



Minnesota Department of **Human Services**

**Minnesota Temporary Assistance for Needy
Families (TANF) Work Participation Rate
Documentation Review Report**

for

Federal Fiscal Year 2011 (FFY2011)

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TANF Work Participation Rate Documentation Review Report FFY 2011

What is the Work Participation Rate?

The Temporary Assistance for Needy Families (TANF) Work Participation Rate (WPR) is the federally mandated work performance requirement for states that have a TANF program. Minnesota's TANF program is the Minnesota Family Investment Program (MFIP).

The WPR was established under the Personal Responsibility and Work Opportunity Act (PRWORA) of 1996, along with penalties and incentives for states. The Federal Deficit Reduction Act of 2005 (DRA), also known as TANF Reauthorization, included changes to TANF WPR rules. The Final TANF Rule went into effect on October 1, 2008.

Each state has a federally computed Work Participation Rate (WPR). The Department of Human Services (DHS) also calculates individual county WPRs for the purpose of allocating performance-based funds to counties under the state Consolidated Fund. Therefore, it is important that counties and Employment Services/Providers (ES/ESP) accurately and consistently document and track work activities and hours to help improve the WPR and TANF Work Participation Rate Documentation Review results. The documentation reviews are an internal control to ensure consistent measurement of the work participation rate and are part of the federally required Minnesota TANF Work Verification Plan.

States must meet a 50 percent WPR standard; the Adjusted Target in Table 1 is for a decline in the caseload as calculated by the Caseload Reduction Credit (CRC). A reduction is applied if the State's average monthly assistance caseload decreased the previous Federal Fiscal Year (FFY) in comparison to its average monthly caseload in FFY 2005 (baseline year under DRA). Table 1 shows Minnesota's WPRs since FFY 2005. The Minnesota WPR target for FFY 2012 is 50 percent; this is a change from FFY08-11 due to the American Recovery and Reinvestment Act of 2009 (Recovery Act).

Table 1 - Work Participation Rate			
FFY	Target	Adjusted Target (after CRC)	WPR per ACF
2005	50	18.8	28.9
2006	50	14.9	30.3
2007	50	44.6	28.1
		Corrective Compliance Plan	
2008	50	39.8	29.9*
2009	50	39.8	29.9*
2010	50	39.8	Pending
2011	50	39.8	Pending

*With the inclusion of Excess MOE MN made adjusted target

For a federal fiscal year, each county in Minnesota is required to meet the adjusted WPR target or have a 5 percent improvement from their previous year's rate to earn their 2.5 percent WPR performance bonus. When a county does not meet the rate, it must submit a Performance Improvement Plan (PIP) as part of its biennial Service Agreement Plan to its county regional representative in the DHS Transition to Economic Stability (TES) division. If the PIP is approved, the county will receive the 2.5 percent WPR performance bonus. If the county does not submit or have an approved PIP, it does not receive a bonus.

Background and Documentation Review Process

The TANF regulations included in the 2005 DRA require states to monitor participants' engagement in work activities to verify hours of participation.¹ The Department of Human Services (DHS) Transitional Support Quality Services Division (TSQS) is responsible for conducting this monitoring activity and reviews a statewide random sample of TANF WPR cases each quarter. Note that this review covers only WPR documentation, and does not look at eligibility or other case areas.

Bulletin 12-03-01 (issued 04/27/12), "DHS Changes Statewide Reviews of Temporary Assistance for Needy Families (TANF) Cases," provides additional information on the WPR documentation review process. The MFIP Employment Services Manual² (MFIP/DWP ES Manual) includes the MFIP Activity Daily Supervision, Documentation and Verification Guide in Appendix E. TANF reviewers use this primary resource as guidance in determining if the WPR documentation and verification meet federal requirements.

In combination with performance measures, such as the MFIP and Diversionary Work Program (DWP) Self-support Index and the TANF WPR, WPR documentation reviews provide the state and counties with information needed to improve overall program performance.

Four individual quarterly reports for FFY 2011 have been published with the details of the sample results by quarter. This report shows the quarterly and annual results and compares them to FFY08, FFY09, and FFY10.

Review Samples

Each quarter, DHS randomly samples TANF case/month combinations for cases that are in the federal work participation rate denominator, which are cases with a non-disregarded Work Eligible Individual (WEI)³ that have at least one hour of counted core or non-core activity. Some of these cases may also have other allowable activity hours that are neither core nor non-core.

¹ The regulation pertaining to the case review auditing process is 45 CFR 261.62 (b)(5).

² Available at:

http://www.dhs.state.mn.us/main/idcplg?IdcService=GET_DYNAMIC_CONVERSION&RevisionSelectionMethod=LatestReleased&dDocName=id_016957

³ Refer to Evaluation Note Issue 18 April 2009 The TANF Work Participation Rate for definitions of a WEI, core, and non-core activities. <http://edocs.dhs.state.mn.us/lfsrver/Legacy/DHS-4064T-ENG>

Each sample is selected from the preceding quarter after all data have been frozen for federal reporting purposes. The TANF WPR documentation reviewers examine financial and ES files and any supporting documentation for hours reported for the selected review month. The Workforce One (WF1) system contains the non-paid WPR activities and hours tracked by ES; the MAXIS system contains the paid work activities and hours tracked by financial workers.

TANF WPR Documentation Review County Results Sent to Counties in Sample

Prior to the publication of each quarterly report, each of the counties with cases in the TANF WPR documentation review sample receive a review packet consisting of the following:

- a cover letter and a findings information sheet that provides definitions and explanatory information on the summary and individual reports in the packet;
- a county summary (MAXIS Summary, Employment Services Summary, and Employment Services Summary by Provider);
- a case list with the individual review results; and
- a detailed individual case findings report for each case reviewed (MAXIS information and Employment Services information) that should be filed in each case file respectively.

FFY 2011 TANF WPR Documentation Review Results October 2010 through September 2011

This report contains the annual TANF WPR Documentation Review results from the four quarters sampled in Federal Fiscal Year 2011 (FFY11), October 2010 through September 2011. Some FFY08 data are also provided to illustrate the review results over time. In FFY11, 250 TANF work participation rate cases were reviewed for appropriate activities and required documentation on MAXIS, WF1, and the financial and Employment Services case files.

Counties Reviewed

Table 2 shows the 47 counties represented in the 250 cases reviewed for WPR documentation and the number of their cases that were sampled during FFY11.

Table 2 - Counties Sampled for FFY 2011			
County Name	Cases Reviewed	County Name	Cases Reviewed
Aitkin	1	Le Sueur	1
Anoka	12	Lyon	1
Becker	1	McLeod	2
Beltrami	9	Meeker	2
Benton	2	Morrison	1
Big Stone	1	Mower	1
Blue Earth	3	Nicollet	3
Brown	5	Olmsted	11
Carlton	2	Otter Tail	3
Cass	1	Pennington	1
Chisago	1	Polk	1
Clay	1	Ramsey	44
Cottonwood	1	Redwood	2
Crow Wing	1	Rice	4
Dakota	15	St. Louis	5
Dodge	1	Scott	5
Goodhue	5	Sherburne	3
Hennepin	73	Stearns	6
Houston	1	Steele	3
Hubbard	2	Waseca	1
Isanti	2	Washington	3
Itasca	1	Winona	1
Jackson	1	Wright	3
Lincoln	1		

Five counties have never been sampled through September 2011: Grant, Lac Qui Parle, Marshall, Wilkin, and Yellow Medicine.

Result Rates

Table 3 shows what percentage of cases was correct for each quarter in FFY08 through FFY11.

Table 3 - FFY 2008 through FFY 2011 TANF WPR Documentation Review Results					
Fiscal Year	Average of Correct Documentation	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep
FFY 2008	37%	36%	34%	37%	42%
FFY 2009	45%	46%	48%	43%	42%
FFY 2010	46%	49%	42%	50%	42%
FFY 2011	46%	47%	54%*	34%	48%

* First quarter that documentation review sample size was reduced from 100 cases to 50 cases.

The state's rate of FFY average of correct documentation percentage continued to increase for 2008-2010. FFY2011 was the same as FFY2010. The January-March 2011 sample reached the highest number of correctly documented WPR cases; it was also the first quarter with a reduced sample case size (50).

Figure 1 shows the percentage of correctly documented WPR cases for each quarter in FFY 2008 through 2011.

Figure 1. FFY 2008 – 2011 TANF WPR Documentation Review Results

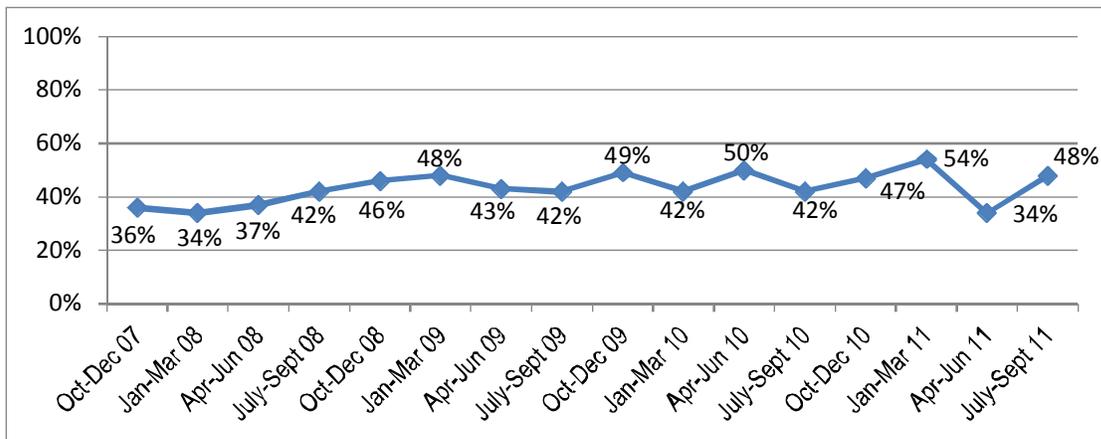
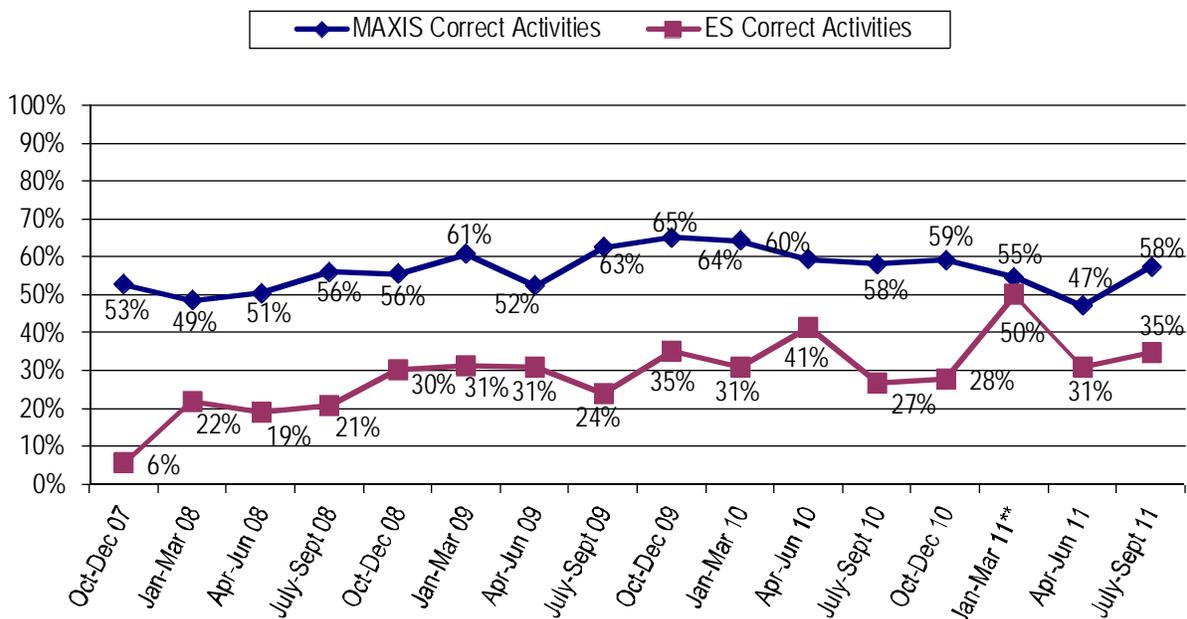


Table A1 in the Appendix (page 15) displays the detailed data used to create Figure 2. Table A1 shows county financial workers' FFY11 correct activity documentation improved by 4 percentage points from FFY08 while ES job counselors' FFY11 correct activity documentation results improved by 17 percentage points from FFY08.

Figure 2 shows the percentage of correct activities documented for ES cases and MAXIS cases for each quarter in FFY08 through FFY11. Not all cases in each sample have both MAXIS and ES activity. Many cases only have MAXIS or ES activity. Some MAXIS cases have more than one activity.

Figure 2. FFY 2008 – FFY 2011 MAXIS/ES Correct Activity Documentation Results



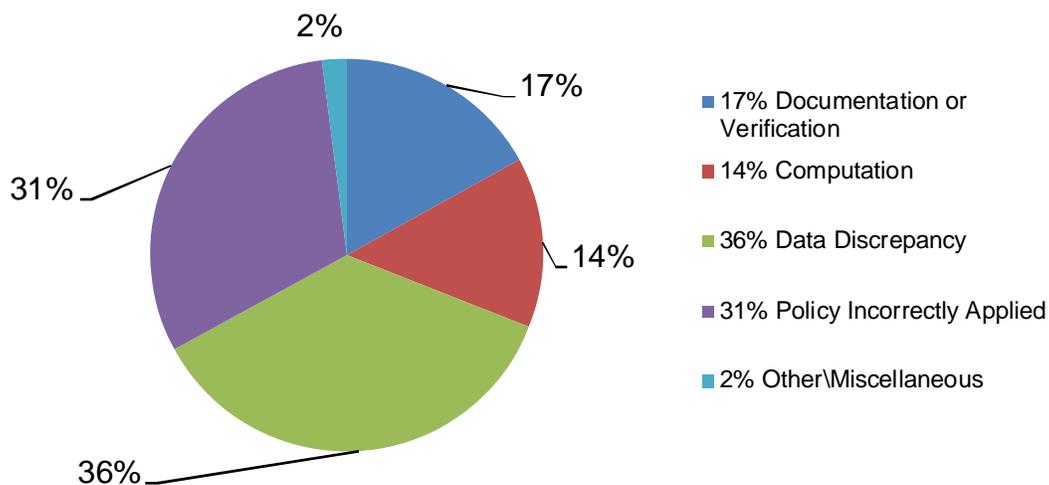
MAXIS Activities

While some cases had no MAXIS activities other cases had more than one. Table 4 shows the total count and percentage of correct documentation per MAXIS activity type represented in the 250 cases with MAXIS activity for FFY11. The “% Docm. Correct” column shows the percentage of the “Total” activity type that is correct for FFY11. The 57 percent of correct **activities** documented is a decrease of 5 percentage points from the 62 percent of correct activities documented for FFY10. This is mainly attributable to the Work Benefit (WB) cases added in the WPR documentation review samples. For FFY2011, 50 percent or more of the WB case documented was in error because the policy was applied incorrectly.

Table 4 - FFY 2011 MAXIS WPR Activity							
Activity Type	Oct-Dec 10	Jan-Mar 11	Apr-Jun 11	Jul-Sep 11	FFY Total	Total Correct	% Docm. Correct
Paid Work (JOBS)	76	31	34	37	178	104	58%
Self-Employment (BUSI)	3		1	3	7	1	14%
Other	2				2	0	0%
Total Activities:	79	31	35	40	185	105	57%

Figure 3 shows the total FFY11 errors by category type for the 80 MAXIS activities with documentation errors. Refer to page 16 of the Appendix for definitions of the five error categories and examples of financial worker/MAXIS error causes.

Figure 3. FFY 2011 MAXIS WPR Errors by Category



Fifty percent of financial worker errors are computation and data discrepancy errors. This is a decrease of 24 percentage points over the 74 percent of errors in these **categories** from FFY10. However, policy incorrectly applied errors increased by 21 percentage points for the same period. This is mainly attributable to the WB cases in the documentation review sample.

Figure 4 illustrates the MAXIS errors by category for FFY08 through FFY11.

Figure 4. FFY 2008-2011 MAXIS WPR Errors by Category

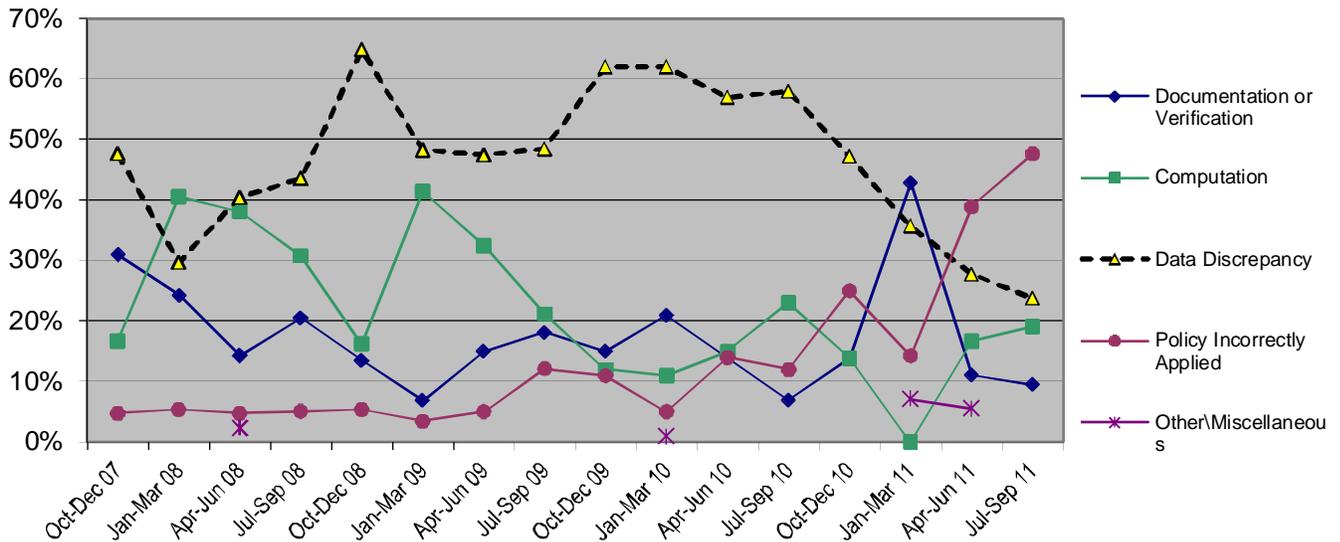


Table 5 shows the top five individual **causes of errors** by MAXIS/financial workers for FFY11. These top error causes represent 67 percent of the FFY11 causes of errors. DHS recommends that counties focus their improvement efforts in these areas.

Table 5 - FFY 2011 MAXIS Causes for Errors	
1) Hours recorded inconsistent with documentation in case file (Data Discrepancy)	27%
2) Other MAXIS policy incorrectly applied error (Policy Incorrectly Applied)	21%
3) No pay stubs or other employer produced document submitted with the HRF (Documentation)	7%
4) Incomplete documentation of work hours (missing a pay stub(s) or other employer produced document) (Documentation)	7%
5) WB policy incorrectly applied (Policy Incorrectly Applied)	5%

Data Discrepancy **caused errors** decreased by 28 percentage points as compared to FFY 2010 data. However, errors caused by policy incorrectly applied increased by 18 percentage points as compared to the FFY 2010 data. This is mainly attributable to WB error coding changes made by DHS to better categorize WB errors. Overall, the top MAXIS **causes of errors** for FFY08 through FFY11 from the above table are 1 and 4. (Note: This data will not match the page 6 data since that data is by category and Table 5 displays the top five causes for errors within the categories.)

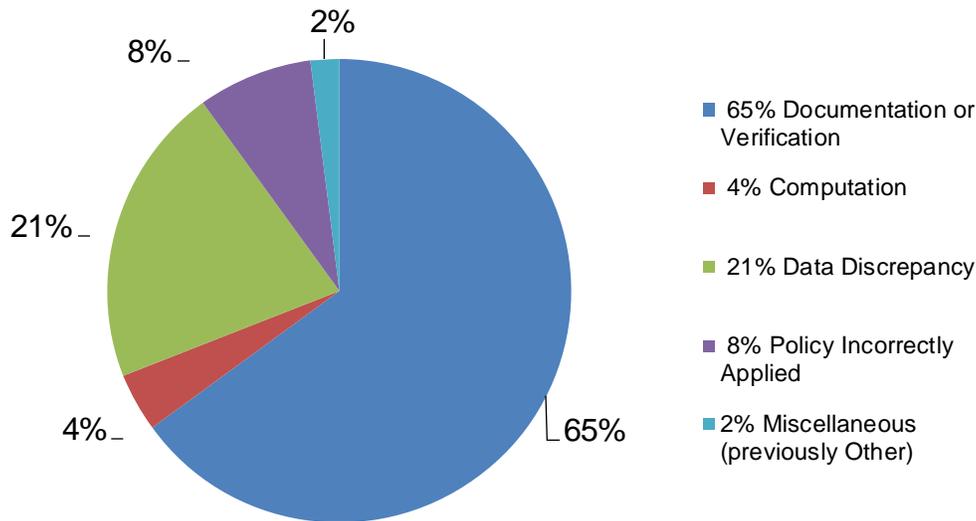
ES Activities

Table 6 shows the total count and percentage of correct documentation (% Docm. Correct) per ES activity type represented in the 99 cases with ES activity for FFY11. The 34 percent of correct **activities** documented is the same percentage as FFY10.

Table 6 - FFY 2011 Employment Services WPR Activity							
Activity Type	Oct- Dec 10	Jan- Mar 11	Apr- Jun 11	Jul- Sep 11	Total Count	Total Correct	% Docm. Correct
Adult Basic Education	1			1	2	1	50%
Community Service Program	1			1	2	0	0%
English as a Second Language (ESL)	1	1	1		3	0	0%
GED (activity <20)					0	0	
GED (activity =>20)	2	2	2		6	2	33%
High School Completion (activity <20)	10	7	5	1	23	16	70%
High School Completion (=>20)		1	1		2	2	100%
Job Search	7	3	7	9	26	11	42%
Job Skills Training Directly Related to	1	2	2	1	6	1	17%
Post secondary Voc/Ed =< 12 months	5	3	1	4	13	1	8%
Post secondary Voc/Ed 13-24 months	4	2	7	3	16	0	0%
Unpaid Work Experience	4	1	2	2	9	4	44%
Total Activities:	36	22	28	22	108	38	35%

Figure 5 shows the total FFY11 errors by category type for 71 ES activities with errors. Refer to page 16 of the Appendix for definitions of the five error categories and examples of ES error causes.

Figure 5. FFY 2011 ES WPR Errors by Category



Sixty-five percent of participant and job counselor error causes are documentation errors. This is an improvement of 2 percentage points from FFY10. For the same period, computation errors improved by 5 percentage points. Data discrepancy errors increased 3 percentage points and policy incorrectly applied errors increased by 3 percentage points.

Figure 6 illustrates the ES errors by category for FFY08 through FFY11. The primary ES errors occur in the documentation category. The DRA documentation requirements are more extensive for ES WPR activities than the MAXIS WPR activities. However, DHS has seen an increase in documentation, but it may not always be complete.

Figure 6. FFY 2008-2011 ES WPR Errors by Category

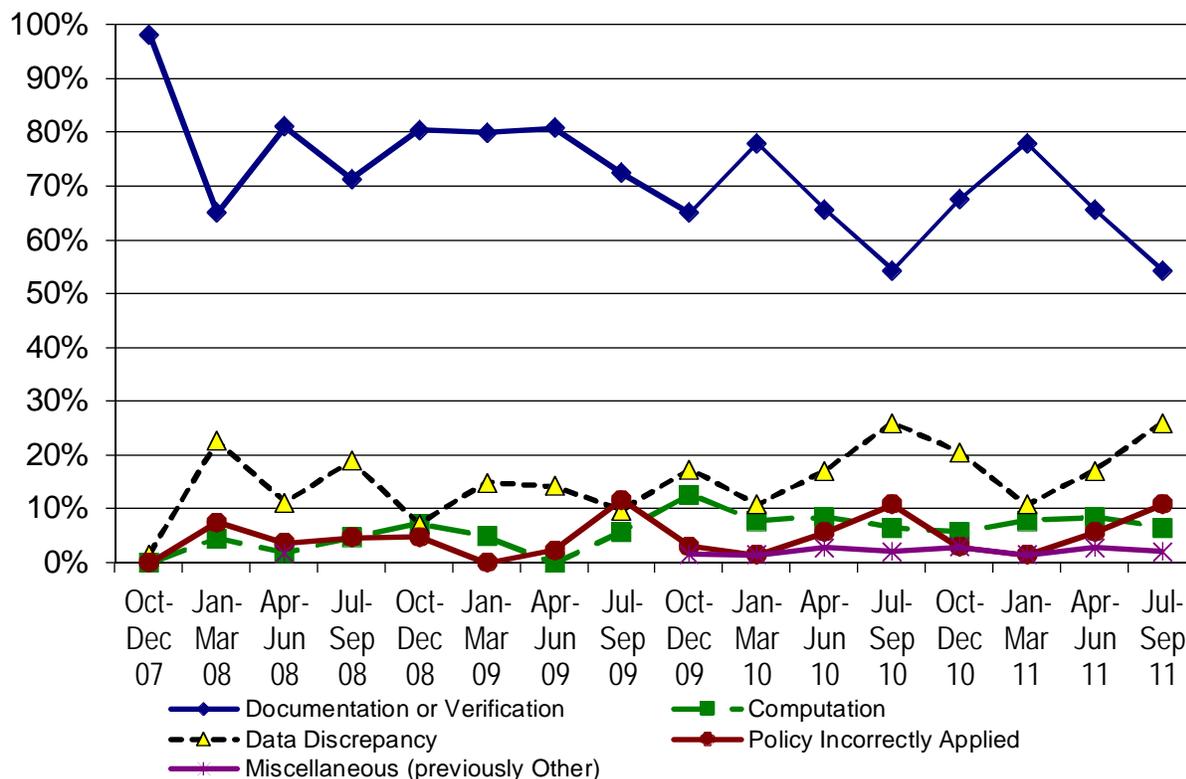


Table 7 shows the top five individual causes of errors by ESP/job counselors that occurred in FFY11.

Table 7 - FFY11 ES Causes for Errors	
1) No time sheet (or activity log) or group attendance sheets found in case file <i>(Documentation)</i>	17%
2) Hours recorded are inconsistent with documentation in case file <i>(Data Discrepancy)</i>	13%
3) Missing statement from school specifying recommended amount of study time <i>(Documentation)</i>	11%
4) Missing the name/signature/phone number of person providing daily supervision/verifying hours <i>(Documentation)</i>	9%
5) Missing ESP method of bi-weekly verification of at least one job contact or No documentation that weekly check-in meetings occurred <i>(Documentation)</i>	7%

The FFY11 ES causes for errors in Table 7 were also in the top 5 for FFY10 and errors 1, 2, 4, 5 changed ranking positions.

Statewide Work Participation Rate

DHS calculates a Preliminary TANF WPR from the monthly data we submit to the Department of Health and Human Services (HHS). HHS calculates the TANF WPR from Minnesota's submitted reports. Refer to footnote 3 on page 2 for more information.

Table 8 shows the statewide count of cases that were reported as successfully participating in the WPR (in-numerator cases). All cases in each quarter's sample were reported in the denominator.

Based on the corresponding documentation in the participants' case files for the 250 WPR cases, there were 174 reported numerator cases and of these:

- 125 cases correctly counted in the WPR numerator
- 49 cases were incorrectly counted in the WPR numerator

Five additional cases that were counted only in the denominator should have been counted in the WPR numerator according to the corresponding documentation. These cases were not counted because the activity hours were missing from MAXIS and/or WF1.

Of the 174 cases in the numerator, our findings show that 44 cases (49-5) should be removed from our reported WPR for FFY2011. We cannot quantify the impact this would have on our preliminary WPR for FFY2011 because the federally reported rate is the average of monthly rates.

Table 8 - TANF WPR Numerator Disposition Results					
Description	Oct-Dec 10	Jan-Mar 11	Apr-Jun 11	July- Sept 11	Total Cases
TANF WPR Cases Reviewed	100	50	50	50	250
Cases reported in WPR Numerator	66	39	37	32	174
Cases correctly counted in WPR Numerator based on documentation	50	30	24	21	125
Cases incorrectly counted in WPR Numerator based on documentation	16	9	13	11	49
Cases should have been counted in WPR Numerator based on documentation	4	0	1	0	5

Lessons Learned

The TANF Work Participation Rate Documentation Review process continues to help clarify policies and develop new policies and procedures for reporting and documenting work activities. This information, along with the statewide corrective action process section, can help improve counties' documentation review performance results. DHS has learned many lessons from the reviews and recommends that counties focus on the following suggestions for reducing common errors.

- **Improve communication between financial workers and job counselors.** It is crucial for financial workers and job counselors to communicate with each other and keep one another current with information about their shared participants.

Examples of issues:

- The job counselor should send pay stubs provided to ESP to the financial worker because the paid work hours for the WPR are reported from MAXIS. The most frequent individual MAXIS error found is “Hours recorded are inconsistent with documentation in case file.” This error occurs when the financial worker does not enter the correct number of hours from the paystub(s) on file.
 - The social worker, public health nurse, or job counselor should notify the financial worker when a student graduates from high school, obtains a General Equivalent Diploma (GED), changes from the school to employment option, or changes from the employment to school option.
 - The job counselor should send a status update to the financial worker with the subsidized employment start/end dates and any income paid information available.
 - The financial worker should implement work related sanctions timely, upon receipt of status update.
- **Pay close attention to information on pay stubs.** Financial workers must be more attentive to the pay stub dates, the number of paid hours per pay category (regular, overtime pay vs. shift differential only), adding and rounding work hours, and entering accurate information on the JOBS panel for the correct month. Fifty percent of the FFY11 errors were due to computation and data discrepancy errors by financial workers. Although it is a decrease of 24 percentage points from FFY10, it is still an issue within the financial workers’ control.
 - **Document Work Benefit (WB) projected hours/income determination.** Single parent WB cases are included in our TANF WPR and therefore TANF WPR Documentation Reviews. Use the most current income/hours on file at the time of WB approval and clearly document what was used for the calculation. If new information becomes available, reassess WB eligibility.
http://www.dhs.state.mn.us/main/groups/agencywide/documents/pub/dhs16_166327.pdf
 - **Review Self-Employment Handbook.** Record and calculate self-employment income and expenses correctly. The handbook is available on the CountyLink, DHS Program Resources, DWP and MFIP page under the Guides and Handbooks section
http://www.dhs.state.mn.us/main/idcplg?IdcService=GET_FILE&RevisionSelectionMethod=LatestReleased&Rendition=Primary&allowInterrupt=1&noSaveAs=1&dDocName=dhs16_144585
 - **Use the DHS school verification form.** DHS-2883 MDHS Request for Verification of School Attendance/Progress - English - 2-09
<https://edocs.dhs.state.mn.us/lfserver/Legacy/DHS-2883-ENG>
 - **Update county/provider forms regarding documentation requirements.** County and provider forms do not always contain all the needed data fields to ensure compliance with

DRA documentation requirements. Randy Rennich is available to review county and provider forms for missing elements; send the form(s) to him at Randy.Rennich@state.mn.us.

- **Train participants to complete forms.** Show participants how to fill out forms such as the Household Report Form (DHS-2120), Self-Employment Report Form (DHS-3336), MFIP/DWP Employment Services Weekly Job Search Activity Log (DHS-5784 available at <https://edocs.dhs.state.mn.us/lfserver/Public/DHS-5784-ENG>), and to provide the detailed information or additional documentation required. This is an ongoing and time consuming activity, but counties can use the documentation requirements to teach participants to build skills that are transferrable to a job.

Some of the time the job counselor spends with participant on the above can be tracked as:

- Assessment – the participant is involved or engaged in an Assessment (initial/formal/continuous) related activity, or
- Job Search/Job Readiness Assistance (JS/JRA) when the nature of the interaction meets the definition of JS/JRA.

Transferable skills include the ability to:

- learn – trainable, receptive to learning opportunities and constructive feedback
- follow instructions – listens and remembers instructions, asks questions to clarify instructions and to better understand expectations
- read directions/instructions – interprets information accurately to complete task
- attend appointments or check-ins – responsible, dependable, respectful, actively communicates if unable to attend appointments
- submit HRF or activity logs – completes assigned tasks as expected, committed, documentation is completed, documentation is clear and submitted timely
- participate in scheduled opportunities – actively participates in overviews, Employment Plan development, training/classes, receptive to constructive feedback and suggestions on documentation, uses new information to make adjustments etc.

Providers can give additional assistance and training when conducting weekly check-in and other face-to-face meetings with participants who are having difficulty with forms and activity logs. Participants who have difficulty completing job search logs may need to be placed in structured job search. Use group meetings, trainings, and job club as opportunities to have participants who successfully complete activity logs share how they do it.

- **Send NOITS immediately.** The job counselor should assess a participant's understanding of the expectations and capability to complete the activity logs. If the participant understands and is capable, do not accept activity logs that do not meet the documentation requirements. The job counselor's signature means that the job counselor has reviewed, verified, and accepted the activity log. Send the participant a NOITS when the weekly/monthly documentation is incomplete or not received. This emphasizes the importance for the participant to follow the Employment Plan requirements and gives participants more time to comply with them by documenting each requirement missed by the date due. In addition, the financial worker may appreciate getting notification earlier to avoid timing issues at their 10-day cutoff. See the link at: <https://edocs.dhs.state.mn.us/lfserver/Legacy/DHS-3175-ENG>

Statewide Corrective Action Process

Recommended actions:

- Review this report, *TANF Work Participation Rate Documentation Review Report for FFY 2011*, with appropriate staff and management to gain a better understanding of the results, activities, and categories of the errors, and use it as a tool to set improvement goals.
- Review specific information about the case finding results with financial and ES staff and discuss what each area can do to make improvements.
- Review the county and ES procedures for recording hours of participation in MAXIS and WF1. Although income may not be countable toward calculating an MFIP grant amount, the hours count toward the WPR (e.g., work study hours). Revise procedures when necessary.
- Review time sheets, activity logs, and other documents used to document/verify hours of participation to ensure the forms meet all of the documentation requirements. Revise forms as necessary. Contact Randy.Rennich@state.mn.us for assistance in developing appropriate forms. (Refer to the MFIP Activity Guide in Appendix E of the MFIP ES Manual.)
- Conduct periodic management/supervisor documentation reviews of participant case files, case notes, and the corresponding data entered in the MAXIS system and WF1 systems to ensure proper documentation and data entry. Use the following forms as a tool to assist counties in reviewing financial and Employment Services cases for documentation purposes:
 - Supervisory Case File Review – TANF Work Participation Verification Documentation Checklist for Unpaid Core and Non-Core Activities. Use the link to access this from the CountyLink, DHS Program Resources, Employment Services home page
http://www.dhs.state.mn.us/main/groups/agencywide/documents/pub/dhs16_157830.pdf
 - Financial Case Review – TANF Work Participation Documentation, Verification, and Coding Checklist. Use the link to access this from the CountyLink, DHS Program Resources, DWP and MFIP home page under MFIP Helps
http://www.dhs.state.mn.us/main/groups/agencywide/documents/pub/dhs16_146446.pdf
- Conduct county information sessions based on the quarterly TANF WPR Documentation Review reports to discuss the MAXIS and Employment Services Activity Errors by Category and Cause information.
- Use the recommended eDocs available or similar county created forms:
 - DHS-2883 MDHS Request for Verification of School Attendance/Progress - English - 2-09 <https://edocs.dhs.state.mn.us/lfserver/Legacy/DHS-2883-ENG>
 - DHS-3336-ENG 8-08 Self Employment Report Form
<https://edocs.dhs.state.mn.us/lfserver/Legacy/DHS-3336-ENG>
 - DHS-5006E-ENG 1-12 Earned Income/Pay Period/Date Tracking Form – 2012
<https://edocs.dhs.state.mn.us/lfserver/Public/DHS-5006D-ENG>
 - DHS-5784-ENG 10-11 Employment Services Weekly Job Search Activity Documentation Log <https://edocs.dhs.state.mn.us/lfserver/Public/DHS-5784-ENG>

- Continue to use the detailed data reports provided by the Department of Employment and Economic Development (DEED) available at:

http://www.positivelyminnesota.com/All_Programs_Services/Work_Participation_-_MFIP_TANF/Reports_Instructions_General_Information/index.aspx

Read the “New Information and Updates” section and access county specific reports in the “Work Participation Reports” section.

Training Opportunities

- Attend state presentations and training sessions on the WPR, documentation and verification requirements, and DRA updates. All trainings for financial workers and job counselors can be found on the [Income Maintenance and Employment Services](#) learning center in [TrainLink](#).

If you have training requests for employment services staff, send an e-mail directly to: dhs.dwp-mfip@state.mn.us. This mailbox is monitored once a day by the DHS MFIP Policy & Performance team in the Transition to Economic Stability (TES) Division.

- Counties and ES providers with incorrect review findings are encouraged to work with DHS Transition to Economic Stability (TES) to obtain supplemental instructions and technical assistance.
- Review the MFIP/DWP Employment Services Manual available at:

http://www.dhs.state.mn.us/main/groups/agencywide/documents/pub/dhs16_166790.pdf

Counties Invited to Comment on this Report

DHS invites counties and ES providers to comment on this report and provide ideas of what additional information they would like to see in future reports. Please send your comments and/or ideas by email to Rita.Galindre@state.mn.us.

Appendix

Table A1 consists of the detailed data used to create Figure 2 on page 5. Represented are the number of MAXIS (MX) and Employment Services (ES) activities reviewed for each quarter in FFY08 through FFY11; the number and percentage of correct activities documented per area (MX/ES). The percentage of correct activities documented is the number of MX or ES cases with documented activity per area (MX/ES) that are correct divided by the number of total MX or ES activities that should be documented. Because not all cases in each sample have MAXIS and ES activity, these percentages will not match the statewide documentation correct percentages in Table 3 on page 4. Many cases have only MAXIS or ES activity, not both. Some MAXIS cases have more than one activity.

Table A1 - FFY 2008 - FFY 2011 MAXIS & ES Correct Documentation Results						
FFY Quarter	Cases w/MAXIS Activity	Correct MX Docm.	% MAXIS Correct Docm.	Cases w/ES Activity	Correct ES Docm.	% ES Correct Docm.
FFY 2008						
Oct-Dec 07	87	46	53%	36	2	6%
Jan-Mar 08	72	35	49%	55	12	22%
Apr-Jun 08	85	43	51%	47	9	19%
July-Sept 08	80	45	56%	43	9	21%
FFY 2008:	324	169	52%	181	32	18%
FFY 2009						
Oct-Dec 08	79	44	56%	43	13	30%
Jan-Mar 09	69	42	61%	51	16	31%
Apr-Jun 09	82	43	52%	42	13	31%
July-Sept 09	83	52	63%	46	11	24%
FFY 2009:	313	181	58%	182	53	29%
FFY 2010						
Oct-Dec 09	69	45	65%	54	19	35%
Jan-Mar 10	73	47	64%	55	17	31%
Apr-Jun 10	84	50	60%	41	17	41%
July-Sept 10	84	49	58%	41	11	27%
FFY 2010:	310	191	62%	191	64	34%
FFY 2011						
Oct-Dec 10	81	48	59%	36	10	28%
Jan-Mar 11*	31	17	55%	22	11	50%
Apr-Jun 11	36	17	47%	29	9	31%
July-Sept 11	40	23	58%	23	8	35%
FFY 2011:	188	105	56%	110	38	35%

* This is the first quarter that the number of cases in the documentation review sample was reduced from 100 cases to 50 cases.

Improvements on meeting the TANF documentation requirements:

- financial workers improved 4 percentage points from FFY08
- job counselors improved by 17 percentage points from FFY08

Definitions & Examples of Error Categories

The five categories used to categorize the error causes for county/MAXIS and ES errors are:

- Documentation & Verification – The appropriate or comparable documentation is not in the case file; it is incomplete or does not verify the number of hours reported in the TANF WPR federal report for the review month.
- Computation – The documentation is in the case file and the number of paid hours or activity hours were identified, added, or calculated incorrectly.
- Data Discrepancy – The documentation is in the case file and the hours reported were inconsistent or there are coding errors.
- Policy Incorrectly Applied – The documentation is in the case file and the financial worker or ESP did not apply the correct policy for the situation.
- Miscellaneous – This category is used for errors that do not fit into one of the above categories.

The chart below lists some examples of error causes by category for MAXIS and ES. It is not an inclusive list.

Examples of Error Causes by Category		
Category	MAXIS Examples	ES Examples
Documentation or Verification	No paystubs or employer produced document; missing – participant’s name, paid hours, employer’s name or signature; incomplete documentation, no self-employment report form or comparable document	No request for school attendance or comparable form; missing – participant’s name, from/to dates, actual hours of attendance; no time sheet or activity log found; missing – type of each job search position interested in, results, company name, ESP signature; documentation submitted less than monthly
Computation	Math errors – simple addition, use of YTD totals; rounding error	Math error – simple addition of activity hours; rounding error, exceeds FLSA
Data Discrepancy	Recording work hours for income not received in the review month, STAT – MEMI coded incorrectly; no subsidized income coded on JOBS	Recording hours that exceed number of days in a week or hours in a day; recording one hour as tracking mechanism; hours recorded are inconsistent with documentation in the case file; total hours of supervised and unsupervised study time exceed time recommended by school
Policy Incorrectly Applied	Self-employment income policy incorrectly applied	Hours recorded under wrong activity; hours reported result of a proxy method or formula
Miscellaneous	Other paid employment miscellaneous error	Failed to notify financial worker of subsidized employment and subsidy type or subsidy has ended; Other Employment Services miscellaneous error