

**New Mexico TANF Reporting Sampling Plan
For Active and Closed TANF Cases
Effective Disaggregate Sample Months July 2013 through the March 2014**

This document details the sampling processes and statistical calculations for the TANF Reporting Sampling Plan in accordance with approved TANF regulations to be implemented by the New Mexico Department of Human Services. The Department is in the process of replacing the current eligibility determination system, the Integrated Service Deliver System (ISD2). This sampling plan will reflect the current sampling structure and describe the interim sampling process to be used during the conversion from ISD2 to the new eligibility system the Automated System Program and Eligibility Network (ASPEN). The conversion process will be carried out in three phases during an eight month process. July 2013 will be the first month of the first phase of transferring cases from ISD2 to the ASPEN system. August 2013 will be the first month utilizing the new sampling plan with the selection of the July sample.

UNIVERSE DEFINED

The active universe includes all TANF cash recipient families who received benefits for the review month through the end of the review month. The closed case universe includes all TANF cash recipient families who were active in the month prior to the review month and whose case was closed for the review month (i.e., did not receive TANF assistance for the review month).

STRATIFICATION

Sampled cases will be stratified to meet the TANF Reporting Requirement. The strata are:

Stratum 00	New Approvals
Stratum 01	All Families
Stratum 02	Two Parent Families
Stratum 03	Closed Cases

SAMPLING FRAME

Date of Sample Selection

This selection process will be completed on the fourth work day of the month following the sample month. Two flat files will be created from the ISD2 and ASPEN universes for each sample month at the same time. Those two flat files will be created on the fourth work day of the month, be available to the TANF Reporting Staff Manager and the Senior Staff Economist (herein collectively referred to as Central Office staff) on that day, with the TANF sample being pulled no later than the ninth work day of the month following the sample month.

Source, Accuracy, and Completeness

Before the sampling process is initiated, there will be two months of User Acceptance Testing (UAT). During the UAT, the accuracy and completeness of the universe will be tested, and if the data received has inaccuracies or certain coded elements are excluded from the universe, the state will investigate

and correct these errors. There will be no UAT after the procedure is brought on line in August 2013 for the July 2013 sample.

Procedure to Ensure Complete Universe

Once a year using the sample month of October, the TANF caseload universe will be compared to those that have received a cash (TANF) deposit on their EBT card. A report from JPMorgan Chase will identify those that have received a TANF deposit. This list of head of households SSNs will then be compared to the TANF caseload universe gathered from ISD2 and ASPEN. The total number of households between the two universes will then be compared. There may be small differences due to supplemental payments, but if the percentage difference between the two universes is more than 5% then the universes will not be considered complete. A check by hand by Central Office staff will then be done to identify the differences. If the 2 universes differ by 5% or less the universes will be considered complete.

Frame Construction

The sample universe will be in a flat file format created by both ISD2 and ASPEN. All active cases and cases that closed in the sample month that received federal TANF funds for the sample month will be included in the sample frame universe.

Frame Compilation

The sample active universe and sample closed universe will be comprised of data entered into either the ISD2 or ASPEN systems by ISD field staff or NMW Contractor staff. The data will be pulled from both systems into flat text files which will then be placed on a secure server. Central Office staff will upload and save the flat files into a shared network file where the flat files can be uploaded into one of two computers that contain SAS software. The text files will each be converted into an Excel document and then the two Excel files will be combined into one Excel file containing the complete active case universe. This process will be repeated for the closed case universe. From the one Excel active file, Central Office staff will purge all duplicate cases, separate the cases into one of three strata subsets, and select the sample from these three strata subsets. From the one Excel closed file, Central Office staff will purge all duplicate cases and select the sample from this universe.

Frame Form

The sample universe will be collected from ISD2 and ASPEN in a text file format. Central Office staff will upload the flat files into one of two computers that contain SAS software. Once the flat files are uploaded, they will be converted to an Excel document for sorting, purging of duplicates, and strata selection. The sample will then be randomly selected by strata and the selected sample cases will be converted back into a text format suitable for transmitting back to ACF.

Method and Frequency in Updating Frame

Once the sample universe has been selected and placed on a secure server, there will be no updating of the universe.

Procedures to Estimate Cases with Uncollectable Data

There should be no cases with uncollectable or unverifiable data on either the ISD2 or ASPEN systems.

Location and Deletion of Listed-in-Error cases

ISD Field staff use different codes to delineate federal TANF funds from state funded clients. Two funded activities are not included in the TANF sample universe: (1) Diversion Payments because an individual receiving a diversion payment is not required to participate in a federal work participation activity; and (2) Education Works because it is state funded. These cases will be removed from the ASPEN universe before Central Office staff receives the flat file. The ISD2 universe includes these cases so Central Office staff will delete these cases during the purge for duplicates. Sometimes the correct coding is not in place and one of those cases slip through and may be selected for the Sample. For such occurrences, the state oversamples by 25 cases to ensure that the state meets its minimum sampling requirement.

Frame Structure

Cases will be ordered by stratum and within the stratum by the County FIPs code.

Treatment of Special Populations

The state does not treat special populations, as defined by the TANF Sampling and Statistical Methods Manual, in any different manner. If the client is work eligible, the household is included in the universe and eligible to be selected in the sample.

Criteria for Stratifying Sample

The state will use a statewide stratified random selection without replacement. The SAS software will be utilized for the sample months July 2013 up to March 2014. As discussed previously, the list of active and closed cases to be subject to sampling will be all TANF cash assistance recipients who either received a cash benefit or who have closed cases during the sample month. The list will be in a flat file format created by both ISD2 and ASPEN. The sampling step is a separate stand-alone process that begins once the cases on the ISD2 and ASPEN flat files are merged and the duplicate cases are removed. The sampling will be done for the TANF active and TANF closed universes.

To determine if a case is newly approved and should be listed in Stratum 00, SAS will match the previous month's data to the sample month. If there is no match, the case will be judged as newly approved. This smaller universe of newly approved cases identified using SAS will then have 55 cases randomly selected to be used in the sample.

To determine if a case is a two parent household and should be included in Stratum 02, SAS will search through the larger universe (minus the cases selected in Stratum 00) and select all cases with a "2" under Type of Family for Work Participation. Those cases identified as two parent households by SAS will then have 60 cases randomly selected to be used in the sample.

The remaining 160 cases to be sampled, will be selected from the larger universe (minus those cases included in Stratum 00 and Stratum 02) using the SAS system. This will be the final sample drawn from this universe for this month.

For the closed case universe, 67 random cases statewide will be selected. A case is considered closed if the case received TANF funding in the previous month and was then closed for the sample month. This will not include cases which have been temporarily suspended for a first or second level sanction.

SAMPLING SELECTION PROCEDURES

Beginning with the sample month of July 2013, one TANF active universe flat file and one TANF closed universe flat file will be produced by the COBOL program from the ISD2 eligibility system. At the same time, a TANF active universe flat file and a TANF closed universe flat file will be created from the new eligibility system ASPEN. Using the SAS Enterprise Guide 5.1 (SAS), the two active universe flat files will be merged and duplicates will be eliminated; the same will occur for the merged closed universe. Then, using SAS, the newly combined TANF active universe will be randomized by stratum to create a list of all active cases that are subject for review. The newly combined TANF closed universe will be randomized statewide to create a listing of cases that are subject to review. This process will be completed monthly until all cases have been transferred from the ISD2 eligibility system into the new ASPEN system and the system has been effectively rolled out statewide and all eligibility determinations will be processed through the ASPEN system.

Each case in the universe will be assigned a stratum as mentioned in the section Criteria for Stratifying Sample. This variable will be used to partition the input data into mutually exclusive, non-overlapping subsets. The sample method will be simple with no duplicates. When a case is selected, it is removed from eligibility for subsequent selections. This makes it impossible to select the same case more than once.

The following random number seeds will be used to determine a fixed starting point for the sequence of random values that are used:

	<u>Active Case Seed No.:</u>	<u>Closed Case Seed No.:</u>
July 2013:	9492	5947
August 2013:	1557	8266
September 2013:	0714	8725
October 2013:	0558	4180
November 2013:	1458	8989
December 2013:	4562	2420
January 2014:	0392	4990
February 2014:	1160	1195
March 2014:	7550	0421

Source of random number seeds: Statistical Sampling: Table of 240,000 Random Decimal Digits, USDA, 1973

The sample selection process through sample month June 2013 will be the same process that has always been used. Both the active and closed TANF sample universes are compiled from the ISD2 eligibility system via a random number generation. The active case selection is processed independently for each stratum. The closed case selection is processed once statewide. Each case selected for both samples will have the corresponding information for data elements specified in the final TANF regulations. Currently the samples are pulled on the 15th of the month following the review month.

The samples have been and will continue to be processed monthly and reported through the National Institute of Health (NIH) router on a quarterly basis.

Estimating Caseload Size Procedures

Three thousand active cases are sampled annually as required by federal regulations. Of these, 600 are new approvals and 2,400 are ongoing cases. Of the 2,400 ongoing cases, 600 will be two parent households. To ensure that the minimal annual sample requirement of 3,000 cases is met, the state employs a ten percent over-sampling methodology. Monthly, this translates into 55 cases selected in stratum 00, 160 cases selected in stratum 01, and 60 cases selected in stratum 02.

Eight hundred closed cases are sampled annually as required by federal regulations. To meet this requirement, the state samples 67 closed cases each month. The state is confident that there is no need to over-sample the closed cases to ensure that the requirement of 800 cases reviewed is met.

Allowances for Dropped Cases Procedures

The state oversamples by 25 active cases each month to ensure that the state meets the required sampling amount and oversamples by 4 closed cases in total to ensure that the state meets the required sampling amount of closed cases. The state rarely, if ever, has a dropped case in Stratum 03.

Determining Sample Size

New Mexico has selected to stratify the sample by newly approved applications (stratum 00); two parent families (stratum 02); and all other families (stratum 01). The yearly minimum required sample size is 3,000 active cases, of which 2,400 are ongoing cases and 600 are newly approved. Of the 2,400 ongoing cases, 600 cases are two parent households. To ensure that New Mexico meets these minimum requirements, the state proposes to increase the yearly sample size to 660 newly approved cases (stratum 00); 1,920 ongoing cases (stratum 01); and 720 two parent cases (stratum 02).

The yearly minimum required sample size is 800 closed cases. To achieve this, New Mexico will sample 67 closed cases each month. The state will not need to pull extra cases because there is no reason why a closed case would need to be dropped from the sample.

Sample Allocation Procedures

The first step in sample allocation is to determine if a case is newly approved and should be listed in Stratum 00. To determine if a case is newly approved, SAS will match the previous month's universe to the sample month's universe. If there is no match, the case will be judged as newly approved. This

smaller universe of newly approved cases identified using SAS will then have 55 cases randomly selected to be used in the sample. The remaining newly approved cases will be removed from the universe and have zero chance to be selected in the sample month.

The second step in sample allocation is to determine if a case is a two parent household and should be included in Stratum 02. SAS will search through the larger universe (minus the cases selected in Stratum 00) and select all cases with a “2” under Type of Family for Work Participation. Those cases identified as two parent households by SAS will then have 60 cases randomly selected to be used in the sample and those cases will be removed from the full universe. As there are differences between how the federal regulations define a two parent household and how the New Mexico regulations define a two parent household, there is the chance that a household meets the federal definition of a two parent household but not the state; therefore, the Type of Family would be coded a “1” and could not be selected in the two parent stratum. Of course this household may be selected in the final allocation procedure during the ongoing case pull.

The third and final step in the sample allocation is to select 160 cases from the remaining universe (minus those cases selected in Stratum 00 and Stratum 02) using the SAS system. This will be the final sample drawn from the active universe for the sample month.

Occasionally, due to coding errors and differences between state and federal regulations, a case may be coded incorrectly per federal rules and may be pulled in an incorrect stratum, per federal definitions. When this occurs, Central Office staff will recode the case to meet federal regulations, and the case will remain in the sample in the stratum in which it was selected.

All cases closed during the sample month will be submitted to the state in two separate flat files that will be combined into one flat file separate and distinct from the active cases flat file universe. Once the closed case universe is combined, SAS will randomly select 67 closed cases.

Computation of Sample Intervals and Determination of Random Starts [if applicable]

Not applicable.

Selection Procedures to Identify Sample Cases

To determine if a case is newly approved and should be listed in Stratum 00, SAS will match the previous month’s data to the sample month. If there is no match, the case will be judged as newly approved. This smaller universe of newly approved cases identified using SAS will then have 55 cases randomly selected to be used in the sample and those cases will be removed from the full universe.

To determine if a case is a two parent household and should be included in Stratum 02, SAS will search through the larger universe (minus those cases selected in Stratum 00) and select all cases with a “2” under Type of Family for Work Participation. Those cases identified as two parent households by SAS will then have 60 cases randomly selected to be used in the sample and those cases will be removed from the full universe.

The remaining 160 cases to be sampled, will be selected from the larger universe (minus those cases in Stratum 00 and Stratum 02) using the SAS system. This will be the final sample drawn from this universe for this month.

All closed cases for the sample month will be in a separate flat file and those cases will not need to be identified.

Time Schedule for Each Step in Sampling Procedure

The sampling procedure will be done through the SAS Program and therefore the timing of the steps is predetermined through the coding in the program.

Relationship to Other Program Sampling

The TANF sample has no relationship with other federally mandated sampling programs in which the state is currently involved.

ADDITIONAL SAMPLING PLAN INFORMATION

Treatment of Special Cases unique to the State

New Mexico provides several full work participation waivers in addition to those allowed by federal guidelines. These state waivers are not allowable by the federal government and will count against the state if those waived cases are selected in the TANF sample. New Mexico requires universal engagement, but if clients meet certain criteria, they may be waived from meeting the federal work participation hours and granted limited work participation status. Individuals meeting a qualifying condition listed below, may be eligible for a limited work participation status:

- Third Trimester Waiver. A client in their third trimester of pregnancy or up to six weeks post partum.
- Over 60. Clients who are over 60 years of age.
- Personal Circumstance. A client who can demonstrate that a personal circumstance prohibits he/she from meeting the federal work participation hours for up to 30 days.
- Good Cause. Clients who show good cause as to why they cannot participate fully in a work activity.
- Disabled but not receiving SSI: An individual who is permanently or temporarily impaired as determined by the Incapacity Review Unit of HSD.

Documentation of Methods for Estimating Proportions and Their Sampling Errors

This is not applicable to New Mexico's TANF sampling plan.

MISCELLANEOUS

Procedures to Compensate for Excessive Over or Under Sampling

If there is need to correct for over-sampling due to the procedure of the monthly sample selection, ACF would be consulted prior to submitting a request for a correction to received guidance to ensure the state's continued compliance.

If under-sampling occurs, the process of Random Number Sampling allows the state to go back to the universe file and select the next "n" cases as an addition to the sample. This process for under-sampling will be performed in both the ISD2 and ASPEN systems.

As with the over-sampling process, ACF will be consulted prior to any correction to ensure the state's continued compliance.

Conformance to Principles of Probability Sampling

This sampling plan conforms to the principles of probability sampling in that each case in the population has a known, non-zero probability of selection, and the method of estimation produces unique point and variances estimates.