

1400 SAMPLE SIZES AND PROCEDURES FOR SELECTING SAMPLE CASES

1410 Annual Sample Size Requirements

State agencies and Tribal grantees should consider their own management information needs relative to desired reliability of characteristic data broken out for specific groupings, geographic areas, or by monthly or quarterly time periods in deriving the TANF and the SSP-MOE sample sizes. While this section of the manual specifies the minimum required annual sample sizes for completed case reviews, States and Tribes are encouraged to select larger size samples in order to increase the precision of the resulting estimates and to meet their own information needs.

For TANF data collection and reporting purposes, there are two sampling frames from which cases are to be sampled. The sampling frames are for families receiving assistance (i.e., active cases, including all newly approved applicants) and families no longer receiving assistance (i.e., closed cases).

If a State has one or more SSP-MOE programs, it must collect and report a limited amount of data on TANF families receiving assistance, as defined in Appendix B (page 121) and no longer receiving assistance under the SSP-MOE programs. For the SSP-MOE data collection and reporting purposes, there are two sampling frames from which cases are to be sampled. The sampling frames are for families receiving assistance (i.e., active SSP-MOE cases, including all newly approved applicants) and families no longer receiving assistance (i.e., closed SSP-MOE cases).

1411 Sample Size Requirements for the TANF Active Sample

The minimum required annual sample size for the active TANF sample is 3000 completed cases, of which approximately 2400 are ongoing cases and 600 are newly approved applicants. Of the 2400 ongoing cases, approximately 600 cases are two-parent TANF families. Approximately, one-twelfth of the annual sample must be selected each month of the annual sample period. The minimum required sample sizes are designed to provide reasonably precise estimates for such proportions as the work participation rates for all families (e.g., a precision of about plus or minus 2 percentage points at a 95% confidence level) and for two-parent families (e.g., a precision of about plus or minus 2.3 percentage points at a 95% confidence level), as well as for demographic and case characteristics of newly approved TANF families and all TANF families. In addition, these sample sizes will permit us to detect real changes in certain proportions over time (e.g., changes in the proportion of child-only cases).

The midpoint estimate (from which the confidence limits are constructed) of the overall and two-parent work participation rates will be used in determining if States have met the statutory requirements. If the State is unwilling to accept the precision levels obtained from the minimum required annual sample sizes for the purpose of assessing penalties for failing to meet the work participation rates, it is the State's responsibility to increase its sample size to what the State determines is an acceptable level of precision for this purpose.

To meet these sample size requirements, States and Tribes may select one of the following options:

1. Use a simple or systematic random sampling methodology (or other acceptable method) and use an overall sample size that is sufficiently large enough to obtain the 600 cases needed to meet the two-parent family required sample size, the 600 required to meet the newly approved application sample size, and the 3000 cases required to meet the overall sample size.
2. Stratify the sample by newly approved applications; two-parent families; and all other families, and use a random sampling method within each stratum to select the sample. Taking into consideration the fact that two-parent families are included in the calculation of the all family work participation rate, compute the sample size for each stratum based on the 600-case requirement for the two-parent stratum and 600 for the newly approved applications stratum, and 1800 cases for the remaining families.

Under option 2, each stratum is sampled separately, and the monthly all families work participation rate is a weighted rate, reflecting the representation of two-parent families and other families with at least one adult or a minor child head-of-household to the total all family population. If a State or Tribe uses a stratified sample design, the State (or Tribe) must submit the monthly caseload for each stratum. These monthly caseload sizes by stratum are due 45 days after the close of each quarter (i.e., the same due dates as for the quarterly TANF Data Report, Sections one, two and three).

If a State or Tribe does not have enough newly approved applicants or two-parent families to meet the required annual sample sizes of 600 families (i.e., the average monthly sample size of approximately 50 newly approved applicant families or 50 two-parent families), the State or Tribe must select 100% of such families and select from the other ongoing stratum enough additional cases to meet the overall required annual sample size of 3000 families. If a State or Tribe does not have enough families to meet the overall sample requirement (i.e., 3000 families for the active TANF sample for an average monthly sample of 250 families), the State or Tribe must report on 100% of their families each month.

States and Tribes are not limited to these two methods for meeting the sample size requirements. However, alternative methods should be discussed with Regional statistical staff to ensure the reliability of the work participation rates and any other statistic used to award a bonus or assess a penalty is not severely affected.

1412 Sample Size Requirements for the TANF Sample of Closed Cases

The minimum required annual sample size for the sample of closed cases is 800 cases. Approximately one-twelfth of the annual sample must be selected each month of the annual sample period. An 800-case sample will permit us to obtain a precision of plus or minus 3.5 percentage points for an attribute of 0.50 at a 95% confidence level. This result is obtained from the formula in Section 1232.1 of this manual.

If a State or Tribe does not have enough closed cases to meet the required minimum annual sample size of 800 families (i.e., an average monthly sample size of approximately 67 families), the State or Tribe must collect data for and report on 100% of the closed cases.

1413 Sample Size Requirements for the SSP-MOE Active Sample

The minimum required annual sample size for the active SSP-MOE sample is 3000 cases, of which approximately 2400 are ongoing cases and 600 are newly approved applicants. Of the 2400 ongoing SSP-MOE cases approximately 600 cases are two-parent families. Approximately, one-twelfth of the annual sample must be selected each month of the annual sample period. The minimum required annual sample sizes are designed to provide reasonably precise estimates for such proportions as the work participation rates for all families (e.g., a precision of about plus or minus 2 percentage points at a 95% confidence level) and for two-parent families (e.g., a precision of about plus or minus 2.3 percentage points at a 95% confidence level), as well as for demographic and case characteristics of State SSP-MOE families. In addition, these sample sizes will permit us to detect real changes in certain proportions over time (e.g., changes in the proportion of child-only cases).

If a State does not have enough newly approved applicants or two-parent families to meet the required annual sample size of 600 newly approved applicant families and 600 two-parent families (i.e., the average monthly sample size of approximately 50 newly approved applicant families and 50 two-parent families respectively), the State must select 100% of such families and select from the other ongoing stratum enough additional cases to meet the overall required annual sample size of 3000 families. If a State does not have enough families to meet the overall sample requirement (i.e., 3000 families for the active SSP-MOE sample for an average monthly sample of 250 families), the State must

collect data for and report on 100% of its families.

1414 Sample Size Requirements for the SSP-MOE Sample of Closed Cases

The minimum required annual sample size for the SSP-MOE sample of closed cases is 800 cases. Approximately one-twelfth of the annual sample must be selected each month of the annual sample period. An 800-case sample will permit us to obtain a precision of plus or minus 3.5 percentage points for an attribute of 0.50 at a 95% confidence level. This result is obtained from the formula in Section 1232.1 of this manual.

If a State does not have enough closed cases to meet the required annual SSP-MOE sample size of 800 families (i.e., an average monthly sample size of approximately 67 families), the State must collect data for and report on 100% of the closed cases.

1415 Adjustment to the Sample Size for States and Tribes with Small Caseloads

If a State or Tribe has a small average monthly caseload, it may use the following procedures in applying the finite correction factor to adjust the minimum annual sample size. The formula for obtaining an adjusted sample size using the finite correction factor is:

$$n_1 = \frac{n}{1 + (n - 1) / N}$$

where N = Total number of case months for the annual sample period (i.e., the average monthly caseload times twelve months)

n = minimum required annual sample (e.g., active case sample is 3000 cases and closed case sample is 800 cases)

1. Compute the estimated number of case months for the annual reporting period.

For example, if a State or Tribe has an estimated average monthly active TANF caseload of 1,000 cases, then the total number of case months is 12,000 case months (i.e., $N = 1,000$ cases per month times 12 months = 12,000 case months).

2. Use the above formula and round up to determine the adjusted overall sample size requirement.

For our example, the adjusted overall minimum required active TANF sample size would be:

$$n_1 = \frac{3000}{1 + (3000 - 1) / 12000} = 2400$$

3. In computing the adjusted minimum annual sample size for the State's or Tribe's active TANF sample or the active State SSP-MOE sample, prorate the overall adjusted sample size to determine the required number of two parent families, the required number of newly approved applicants and the required number of other ongoing cases.

For our example, the sample size requirement for two-parent families is 480 cases (i.e., 600 times 2400 divided by 3000), for newly approved applicant families is 480 (i.e., 600 times 2400 divided by 3000) and for other ongoing cases is 1440 cases (i.e., 1800 times 2400 divided by 3000).

1416 Average Monthly Sample Size

A State agency or Tribal grantee must select approximately one-twelfth of its annual sample size each sample month. The average monthly sample size is determined by dividing the required annual sample size by 12 and rounding the result up to the nearest whole number. For the active TANF sample and SSP sample, the average monthly sample sizes are 250 cases, of which 50 are two-parent families, 50 are newly approved applicants, and 150 are other ongoing cases. For TANF and SSP samples of closed cases, the average monthly sample sizes are about 67 cases. The following additional procedures apply to the TANF samples and to the State's SSP samples:

1. State agencies and Tribal grantees should select additional cases (use the rate for "listed-in-error" cases based on historical data or, if unknown, use five percent) of each sample to compensate for cases that may be reported as "listed-in-error";
2. A State or Tribe may increase its sample size above the minimum (and we encourage them to do so) but may not reduce its sample size below the minimum; and
3. A State or Tribe has the option of collecting and reporting data for the entire TANF population and a State has the option of collecting and reporting data for its entire SSP population. However, we encourage States and Tribes to take advantage of their option to use sampling, when appropriate. Sufficiently large samples can produce reasonably precise estimates, while

saving substantial administrative staff resources and funds.

1420 Sample Frame

Creating a frame or list of cases from which the monthly samples are to be selected and determining the sample size are preliminary steps applicable to any probability sample design. Careful study of the structure of the sample frame is always essential in probability sampling, especially in systematic random sampling. The choice of a frame depends upon the criteria of timeliness, completeness, and administrative burden. The structure of the sample frame should provide for an unduplicated list of cases comprising the target population or otherwise allow for all units to have a known, non-zero chance of selection into the sample. In systematic random sampling, cases should be randomly ordered with respect to the variables being measured, e.g., case characteristics data, earnings, participation in work activities, etc. This random order is usually achieved if cases are arranged by case number or by county and then alphabetically within county, or by any other file organization that is not directly related to the measurement of critical variables. In stratified sampling, each family must be assigned to one (and only one) stratum. The structure of the sampling frame must be fully documented in the sampling plan and may not be changed without an approved revision of the sampling plan.

1421 Sampling Frame for the TANF Active Case Sample

The monthly TANF sample frame consists of all families who receive assistance under the State (Tribal) TANF Program for the sample month by the end of the sample month. The term "assistance", defined in §260.31 of the final rule, includes cash, payments, vouchers, and other forms of benefits designed to meet a family's ongoing basic needs (i.e., for food, clothing, shelter, utilities, household goods, personal care items, and general incidental expenses). It includes such benefits even when they are provided in the form of payments by a TANF agency, or other agency on its behalf, to individual recipients and conditioned on their participation in work experience, community service, or other work activities (i.e., under §261.30).

Except where excluded as indicated in the following paragraph, it also includes supportive services such as transportation and child care provided to families who are not employed.

The term "assistance" excludes:

1. Nonrecurrent, short-term benefits (such as payments for rent deposits or appliance repairs) that:

- a. Are designed to deal with a specific crisis situation or episode of need;
 - b. Are not intended to meet recurrent or ongoing needs; and
 - c. Will not extend beyond four months.
- 2. Work subsidies (i.e., payments to employers or third parties to help cover the costs of employee wages, benefits, supervision, and training);
- 3. Supportive services such as child care and transportation provided to families who are employed;
- 4. Refundable earned income tax credits;
- 5. Contributions to, and distributions from, Individual Development Accounts;
- 6. Services such as counseling, case management, peer support, child care information and referral, transitional services, job retention, job advancement, and other employment-related services that do not provide basic income support; and
- 7. Transportation benefits provided under an Access to Jobs or Reverse Commute project, pursuant to section 404(k) of the Act, to an individual who is not otherwise receiving assistance.

The exclusion of nonrecurrent, short-term benefits under (1) of this paragraph also covers supportive services for recently employed families, for temporary periods of unemployment, in order to enable continuity in their service arrangements.

The TANF active case sample frame could be a master file; a payroll file; an eligibility, activity, or other caseload file; or a combination of such files depending on how the State or Tribe defines its range of benefits/assistance. If such a list cannot be constructed based on the above definition of the sampling universe, it may be necessary to use a special procedure to ensure that all families receiving assistance have a known, non-zero chance of being included in the sample. The sampling plan should contain the State or Tribe's objective criteria for the delivery of assistance and determination of eligibility as set forth in the State or Tribe's family assistance plan. State agencies and Tribal grantees should verify the receipt of assistance for all selected cases, and all such cases discovered not to have received assistance for the reporting month should be reported as "listed-in-error." For all other cases selected into the sample, the data collection must be completed and the data must be submitted to ACF by the specified time frames.

States or Tribes that use regular first-of-the-month payroll or eligibility listings as the frame for selection of sample cases must extend that frame at the end of the report month and continue sampling all cases for which assistance was initiated during the report month that were not on the first-of-the-month payroll/eligibility listing. Care must be taken to ensure that the sample frame consists of unduplicated cases. A distinction is made between cases already receiving TANF and cases in which assistance is initiated during the month. For example, a case receiving a regular payment on October 1 and a supplemental payment on October 12 should only be subject to selection once for the month of October. Procedures for accomplishing this must be specified in the sampling plan. Normally, this will be accomplished by running a computer sort/merge routine at the end of the report month in order to establish the list of supplemental cases to be added to the frame.

States or Tribes that use simple random sampling should form the sample frame at the end of the sample month, ensuring all families that received assistance for the month by the end of the month are on the sample frame. Then the sample is selected after the end of the sample month.

1422 The Treatment of Special Groups With Respect to TANF Reporting

There are a number of family circumstances that merit special attention. These are described below.

1422.1 Newly Approved Applicant (aka, Initial Assistance Cases)

A newly-approved applicant or an "initial payment/assistance" case for a sample month means the family is newly added to the TANF caseload and the current reporting month is the first month in which the TANF family receives TANF assistance (and thus has had a chance to be selected into the TANF sample). This may be either the first month that the TANF family has ever received assistance or the first month of a new spell on assistance. The initial payment/assistance case should be included on the sample frame for the initial month in which it received assistance and for all subsequent months for which assistance is issued. For States that provide assistance back to the date of application, these cases may, at State option, be included on the frames for prior months, as assistance was not received by the end of such months.

A family that moves back and forth between receipt of assistance to receipt of only non-assistance in a subsequent month while remaining in the TANF program will be a newly approved applicant each time it moves to receipt of assistance for a reporting month.

1422.2 Non-Custodial Parents

A non-custodial parent is defined in §260.30 as a parent of a minor child who: (1) lives in the State and (2) does not live does not live in the same household as the minor child. The State must report information on the non-custodial parent if the non-custodial parent: (1) is receiving assistance as defined in §260.31; (2) is participating in work activities as defined in section 407(d) of the Act; or (3) has been designated by the State as a member of a family receiving assistance. In reporting non-custodial parents, States or Tribes should not treat the non-custodial parent as a separate case. Rather, when the family unit containing his/her child(ren) is selected into the sample, code the type and amount of assistance received by the non-custodial parent as part of that case. The non-custodial parent's person level data must also be provided. States and Tribes have the option to include or exclude the non-custodial parent from the work participation rate on a case-by-case basis. If an individual is both a custodial parent for a TANF family receiving assistance and a non-custodial parent for another TANF family receiving assistance, the State or Tribe should report the individual only with the family for which (s)he is the custodial parent.

1422.3 Members of Indian Tribes Not Eligible under a Tribal Family Assistance Plan

The State sample frame must include each member of an Indian tribe otherwise meeting the definition of the sampling unit who is domiciled in the State and is not eligible for assistance under a Tribal family assistance plan.

1422.4 Members of Indian Tribes Receiving Assistance under a Tribal Family Assistance Plan

The State should not include members of an Indian tribe receiving assistance under a Tribal family assistance plan, even if the State selected the option to include such families in the calculation of its participation rate as provided for in section 407(b)(4) of the Social Security Act.

1422.5 Cases Selected For More Than One Sample Month

If a family is selected into the sample for more than one month during the annual reporting period, the State or Tribe should collect data for and report on the family for each month for which it is selected.

1422.6 Cases Receiving Assistance Under the State's TANF Program and Separate

State Programs for the Same Month

A TANF eligible family may receive some form of assistance under both the State's TANF Program and its SSP during the reporting month. If this occurs, the family should be included on the active sample frame for both the TANF and the SSP. If such a family is selected into the sample, the State should collect data for and report on the family for each program for which it was selected.

1422.7 Cases With a Child Not Living With a Parent or Adult Caretaker Relative

Many activities are covered under section 401(a) of the Social Security Act (Act) (the purposes of the TANF program). However, some activities are not permissible under the purposes of the TANF program, but had been included in a State's approved AFDC plan, JOBS plan, or Supportive Services plan as of 9/30/95, or at State option, 8/21/96. Section 404(a)(2) "grandfathers in" States whose prior programs had such expenditures. Thus, this section allows States to use Federal TANF funds for specific activities that had been previously authorized based on an approved plan, using the same financial eligibility criteria contained in the approved prior plan. Examples of such activities are juvenile justice and foster care activities that were included in some States' approved plan.

The legislative history makes it clear that the State may elect to continue to provide the service or benefit under section 404(a)(2) of the Act, notwithstanding the prohibitions in section 408 of the Act. For example, if a State's approved AFDC plan enabled it to provide "assistance" or services to children in the juvenile justice system that does not constitute TANF "assistance", then it may continue to use TANF funds for such activities even though the child is not living with his parent or other adult caretaker relative. Nonetheless, if the child is receiving "assistance" funded under the State TANF program, the child is a child-only family for data collection and reporting purposes. For a State that reports on its entire caseload, the State must collect data on and report data for all such child-only families for each month that the families receive assistance. For the State that reports its data for a sample of families, the State must include all such child-only families on its monthly sample frame for each month that the family receives assistance. If the child-only family is selected in a monthly sample, the State must collect data for and report data on the child-only family for that month.

1422.8 Cases for Which State Changes Funding Stream

State must make all changes in funding streams to cases for a report month prior to formation of the sample frame(s) and sample selection for the report month. Changes in funding stream after sample selection are not permitted because such changes will destroy the representativeness of the sample and result in invalid samples. This would make the State liable for a data reporting penalty.

1423 Sample Frame for the Sample of Closed TANF Cases

For closed cases, the monthly TANF sample frame must consist of all families whose assistance under the State TANF Program was terminated for the reporting month (do not include families whose assistance was temporarily suspended), but received assistance under the State's TANF Program in the prior month. A family that moves from receipt of assistance under the TANF program for a month to receipt of benefits that are not assistance under the TANF program for the subsequent month is a closed case for reporting purposes. Also, a TANF eligible family that is transferred to the State's SSP or Tribal TANF program is usually closed for the State TANF Program.

1424 Sample Frame for the Sample of Active SSP Cases

The monthly active SSP sample frame must consist of all families who receive assistance under the separate State programs for the reporting month by the end of the reporting month. The term "assistance" for separate State programs has the same meaning as for TANF Programs. See Section 1421 (page 27) for the definition.

1425 Sample Frame for the Sample of Closed SSP Cases

For closed cases, the monthly SSP sample frame must consist of all families whose "assistance" under the SSP was terminated for the reporting month (do not include families whose assistance was temporarily suspended), but received assistance under the SSP in the prior month. A family that is transferred to a State's TANF Program is usually a closed case for the SSP.

1430 Procedures for Selecting Sample Cases

States and Tribal grantees have flexibility to choose from a wide variety of sampling methods, including systematic random sampling, simple random sampling, and stratified (systematic or simple) random sampling. For illustrative purposes, the following procedures are based on the systematic random sampling design and, if used, are repeated

each month during the annual sample period. In illustrating the procedures, a State or Tribe with an estimated average monthly active TANF caseload of 42,600 is used. These same procedures could be used to select the sample of closed TANF cases or the sample of the active and closed SSP cases. Note, these procedures could be used to select a sample within each stratum for a stratified systematic random sample design.

1. Estimate Caseload Size

The TANF average caseload is an estimate of the average monthly number of cases that will receive assistance for the forthcoming annual sample period. The average caseload size should be estimated on the basis of past caseload sizes and trends. Any known circumstances, such as policy changes that would appreciably change caseload sizes, also should be taken into account in making the estimate.

Since the average monthly caseload must be estimated before the beginning of the annual sample period, unanticipated changes can result in the need for adjusting the sample interval. Recognizing the difficulty of forecasting caseloads over a 12-month period, States and Tribes should re-evaluate the estimated caseload before the end of each quarterly reporting period. If the caseload estimate is changed, a new sample interval for the 12-month period and adjustments to the number of sample cases already selected may be needed. The procedures in Section 1510 (page 42), or 1520 (page 44,) can be used depending on whether the sample requires correction for oversampling or undersampling. If no correction is required for the remaining quarterly reporting period(s), using these procedures will result in a self-weighting annual sample.

2. Determine Sample Size

The minimum required annual sample sizes of completed cases are shown in Section 1410 (page 21). In our illustration, the minimum sample size is used.

$$n = 3,000$$

An estimate of the percent of cases that may possibly be reported as listed-in-error during the TANF data collection process will need to be made in order to arrive at the required completed sample size. For example, assuming that 5 percent of the selected cases will be reported as listed-in-

error, the number of cases to be selected can be computed as follows:

$$3,000 \div (1 - .05) = 3,158$$

3. Establish Frame

As mentioned in Section 1421 (page 27), a listing of all TANF cases that received assistance for the sample month by the end of the month (including initial assistance cases and cases that are reinstated) comprises the frame from which the sample is selected.

4. Establish Average Monthly Sample Size

The average monthly sample size is obtained by dividing the sample size for the sample period by the number of months in the period. In our illustration, the average monthly sample size is $3,158 \div 12$, which is 263.167 cases.

5. Compute Sample Interval

The sample interval is obtained by dividing the estimated average caseload in the annual sample period (Step 1) by the unrounded average monthly sample size (Step 4). In our example, the sample interval is $42,600 \div 263.167$, or 161 (rounded down). This means that each month, data will be collected for 1 out of every 161 TANF cases.

6. Select Random Start Number

The random start number can be as large as the number of cases contained in the sample interval and is used only to determine the first selected sample case for each month's sample. Since the sample interval in our example is 161, we must select a random start number between 001 and 161 (inclusive). Assume the number selected is 103.

7. Select Monthly Sample

The sequential position of the first selected sample case on the frame is the starting point for selection of all subsequent cases. (If the frame is in several parts, it will be desirable to assemble the parts so that one continuous list is created. Every " k^{th} " case will then be selected from a list in which all cases are present.)

It is important in selecting the monthly sample to apply the same sample

interval to the entire list of cases each month. This is an important part of the sampling design and should not be violated in order to obtain a specific number of cases each month.

In our illustration, if the sample interval was a whole number, the 103rd case on the list would be selected and every 161st case thereafter, i.e., 103rd, 264th, 425th, etc. In each of the remaining eleven months of the sample period, assuming no adjustment in estimated caseload size is necessary after the sixth month, new random starts would be obtained as the first case of each month and then multiples of 161 added to obtain the other cases for data collection and reporting.

It should be understood that the numbers selected for the sample cases relate to specific cases; substitutions or approximations are not acceptable. For example, only the 103rd case must be selected, not the 102nd, or 104th, etc. Once the random start and sample interval are determined, the specific cases to be selected are identified.

There are several methods of selecting sample cases when the sample interval is not a whole number. In one method, the sample case to be selected is determined by rounding the number obtained after the sample interval is added to the previous sample interval. For example, since in our illustration the sample interval number was actually 161.87 instead of 161, the following sample cases would be selected from the sample frame of eligible cases (assuming a random start number of 163):

Selected Cases	Selection Procedure
# 103	- random start case
# 265	<div> 103 + <u>161.87</u> 264.87 = 265 </div> <div> - random start case - interval - rounded </div>
# 427	<div> 264.87 + <u>161.87</u> 426.74 = 427 </div> <div> - previous total - interval - rounded </div>
# 589	<div> 426.74 + <u>161.87</u> 588.61 = 589 </div> <div> - previous total - interval - rounded </div>
# 750	<div> 588.61 + <u>161.87</u> 750.48 = 750 </div> <div> - previous total - interval - rounded </div>
etc.	etc.

For TANF purposes, an acceptable method for selecting sample cases when the sample interval is not a whole number is to round down to the next lower whole number and use that number in selecting the sample cases. For example, using the same sample interval of 161.87 and random start number of 103, the interval would be rounded down to 161 and the sample cases selected would be the 103rd, the 261th, the 425th, the 586th, 747th, etc.

8. Submission of Caseload Size, Sample Interval and Sample Cases Selected

If a State or Tribe opts to use systematic random sampling or stratified systematic random sampling, the State or Tribe should send the estimated average monthly caseload and the computed sample interval(s) to be used for the 12-month sample period to the ACF Regional TANF Manager thirty (30) calendar days before the October sample selection.

If a State or Tribe uses a stratified sample design, it must submit the monthly caseload sizes by stratum (see the TANF Data Report - Section four and the SSP-MOE Data Report - Section four) for each month of the quarter within 45 days after the end of the quarter. These data are needed for weighting purposes.

Regardless of the method used to select the sample cases, each State and Tribe that opts to collect data for and report on a sample of cases must submit the monthly list of selected sample cases (including reserve pool cases, if applicable, under Section 1531 page 47), within 10 days of the date of selection specified in the State or Tribe sampling plan.

1440 Procedures for Selecting Sample Cases Using a Simple Random Sample

States and Tribal grantees may want to use simple random sampling or stratified simple random sampling because there are a number of computer software packages that contain programs that use this method of sampling. For illustrative purposes, the following procedures are based on the simple random sampling design and, if used, are repeated each month during the annual sample period. These same procedures could be used to select the sample of closed TANF cases or the sample of the active and closed SSP cases. Note, these procedures could be used to select a sample within each stratum for a stratified simple random sample design.

1. Establish the Monthly Sample Frame

As mentioned in Section 1421 (page 27), a listing of all TANF cases that received assistance for the sample month by the end of the month (including initial assistance cases and cases that are reinstated) comprises the frame from which the sample is selected.

2. Determine the Number of Families on the Sample Frame

Many automated simple random sampling routines need to know the number of sampling units on the sample frame and the number of units to

be selected prior to execution of the sample selection routine. For the TANF active sample, the sampling units are the families receiving TANF assistance. If a stratified simple random sample is used, the State must determine the number of families in each stratum for the sample month.

3. Determine Sample Size

The minimum required annual sample sizes of completed cases are shown in Section 1410 (page 21). In our illustration, the minimum sample size is used.

$$n = 3,000$$

An estimate of the percent of cases that may possibly be reported as "listed-in-error" during the TANF data collection process will need to be made in order to arrive at the required completed sample size. For example, assuming that 5 percent of the selected cases will be reported as "listed-in-error", the number of cases to be selected can be computed as follows:

$$3,000 \div (1 - .05) = 3,158$$

4. Establish Average Monthly Sample Size

The average monthly sample size is obtained by dividing the sample size for the sample period by the number of months in the period. In our illustration, the average monthly sample size is $3,158 \div 12$, which is 263.167 cases or 263 cases.

5. Select Monthly Sample

The most practical way of selecting a sample of TANF cases using a simple random sample is with the use of automated routines. These routines use a random number generator to select n (the number of units to be selected) out of N (the number of units on the sample frame). The n sample cases should be selected without replacement. To illustrate using a monthly sample frame with 42,600 families and a monthly sample size of 263 sample cases, the automated sampling routine would select 263 numbers between 1 and 42,600 inclusive. If the random numbers generated include 20, 175, 183, 500, etc., then the 20th, 175th, 183rd, and 500th case on the sample frame would be drawn into the sample.

6. Submission of Caseload Size, Sample Interval, and Sample Cases Selected

If a State or Tribe uses a stratified sample design, it must submit the monthly caseload sizes by stratum for each month of the quarter within 45 days after the end of the quarter. These data are needed for weighting purposes. States and Tribes that use non-stratified sample designs report their total monthly caseload numbers on the TANF Data Report - Section Three. These figures are used to weight the State data.

Regardless of the method used to select the sample cases, each State and Tribe that opts to collect data for and report on a sample of cases must submit the monthly list of selected sample cases (including reserve pool cases, if applicable) within 10 days of the date of selection specified in the State or Tribe sampling plan.

1450 Retention of Sampling Records

The regulations at 45 CFR 92.42 set forth record retention and access requirements applicable to all financial and programmatic records, supporting documents, statistical records, and other records of grantees or subgrantees. Regarding record retention, 45 CFR 94.42(b) requires a 3-year period – or longer, “if any litigation, claim, negotiation, , audit, or other action involving the records has been started before the expiration of the 3-year period. When one of the enumerated events occurs, the retention period extends “until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.”

Each State and Tribe shall retain all sampling records for an annual sample period in accordance with the policy stated in the preceding paragraph. These materials shall include the

1. original monthly sample frames from which the sample was selected;
2. computer programs used to construct the sample frames and select the sample cases;
3. caseload estimate worksheets;
4. sample intervals and random start numbers;
5. sample size;
6. lists of selected cases, including supplemental and reserve pool cases if

applicable;

7. audit trail tracking logs;
8. the quarterly TANF Data Reports and . Of a[[:ocab;e. Tje SS{-MOE Data Reports; and
9. the annual report containing information on the TANF progeram and, if applicable, the State's MOE program(s).

In addition, the State and Tribe shall retain the approved sampling plan until a revised plan is approved and implemented. When the revised approved sampling plan is implemented, the previously approved sampling plan should be retained for three years. These materials are to be made available to the Regional staff upon request.