OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE

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¦       LOCAL COMMISSIONERS MEMORANDUM    ¦
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OTDA-4037EL (Rev. 11/98)

Transmittal No: 00 LCM-15

Date: August 28, 2000

Division: OBF&DM

TO: Local District Commissioners

SUBJECT: TANF and TANF Maintenance-of-Effort (MOE) Program Reporting

ATTACHMENTS: Attachment 1: Report of TANF and TANF-MOE Programs (LDSS-4722) (Not available on line)

Attachment 2: TANF and TANF-MOE Programs - Instructions and Definitions (Not available on line)

Attachment 3: Federal Data File Specifications for TANF and TANF- MOE Programs that are defined as "Assistance" (not available on line)

Attachment 4: Microsoft Excel File Specifications for TANF and TANF-MOE Programs that are defined as "Assistance" (Not available on line)

Attachment 5: Stratum Codes and National Institute of Standards and Technology County Codes for New York State (Not available on line)

PURPOSE

The purpose of this LCM is to provide updated guidance to local districts on reporting requirements when claiming expenditures that qualify as TANF or as TANF Maintenance-of-Effort (MOE) expenditures under TANF rules.

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BACKGROUND

     The TANF program became effective in New York State in December 1996.
Final TANF regulations were promulgated on April 12, 1999.   The final
regulations   established   the   concept of TANF and TANF-MOE.   The final
regulations also included final reporting requirements that became effective
on October 1, 1999.   This LCM addresses reporting requirements for TANF and
TANF-MOE.

     For the purpose of this LCM, a TANF program is defined as a program for
which all TANF-related expenditures are funded 100% from federal TANF
funds.   A TANF-MOE program is defined as a program in which some TANF-
related expenditures are funded from federal TANF funds and some TANF-
related expenditures are funded from State and/or local funds.

     The final TANF regulations also established the concept of "Assistance"
and "Non-Assistance".   As explained later, reporting requirements vary
significantly based on whether an expenditure is for "Assistance" or "Non-
Assistance".

     The final   TANF regulations also established the concept of Separate
State MOE programs.   Reporting requirements for Separate State MOE programs
were addressed in 00 LCM-8.

REQUIREMENTS

     This LCM covers TANF and TANF-MOE expenditures that occur on or after
October 1, 1999. However, the reporting requirements described in this LCM
must be implemented no later than July 1, 2000 for any program that is
operating as of that date.

     When using the LDSS-3922 claim form to claim TANF or TANF-MOE
expenditures, the LDSS-3922 claim form, a cover letter and Attachment 1 must
be sent together to:

                              OTDA
              Bureau of Financial Services - Claims Unit
                      40 North Pearl Street
                      14th Floor, Section D
                      Albany, New York 12243

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When TANF or TANF-MOE expenditures are authorized through WMS and claimed through the BICS or New York City payment systems rather than on the LDSS-3922 claim form, New York State will develop the capability to provide the needed reporting data.   Until the State has developed this capability, local districts must use Attachment 1 to report the needed information even if they do not use the LDSS-3922 claim form. Once the State has developed its capability to provide the needed data through WMS, local districts will no longer have to submit Attachment 1.

In this regard, New York State has already developed the capability to provide the needed reporting data for TANF and TANF-MOE funded payments to Family Assistance, Safety Net Assistance, and foster care cases. Therefore, the reporting requirements in the LCM do not apply to those payments.

ADDITIONAL INFORMATION

Attachment 1 is an LDSS-4722 Report on TANF and TANF-MOE programs.   It must be submitted with each LDSS-3922 that claims TANF and TANF-MOE expenditures. The report contains three sections.   Section I of the report must be filled out each time the report is submitted.   Section II of the report must be filled out only the first time that the report is submitted for a particular program, or anytime any of the characteristics of the program change.   Section III of the report must be filled out each time the report is submitted for a program that is defined as "Assistance". Refer to the Attachment to 99 LCM-14 for guidance in determining whether a program qualified as a TANF or TANF-MOE Program, and whether the program expenditure is "Assistance" or "Non-Assistance".

Attachments 2, 3, 4 and 5 provide guidance for filling out Section III of Attachment 1 when it is necessary to do so.   Attachment 2 is the federal directions for TANF and TANF-MOE data that must be collected monthly for cases receiving "Assistance".   Attachment 3 is the federal data file specifications for TANF and TANF-MOE data that must be collected monthly for cases receiving "Assistance".   Attachment 4 is Microsoft Excel file specifications for TANF and TANF-MOE data that must be collected monthly for cases receiving "Assistance".   Attachment 5 is a list of stratum codes and county codes to be used in completing Attachment 1.

Section III of Attachment 1 must be submitted on 3.5" diskettes or 100 megabyte Zip disks.   The files must conform to the directions and definitions outlined in Attachment 2 and the data file specifications outlined in Attachment 3.   The files must contain all of the data listed in Attachments 2 and 3 except Disposition, and must use Attachment 5 to fill in the Stratum and the County FIPS Code.   The files may be submitted in either of two formats:

-     An ASCII file that conforms to the format outlined in Attachment 3, or

-     A Microsoft Excel file. The Microsoft Excel file must be in the OTDA Standard Version or an earlier version of Excel (Excel 97 is the OTDA Standard Version of Excel at the time this LCM is being

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released) that conforms to the electronic format of Attachment 4.
If a local district would like a copy of a Microsoft Excel layout
that meets the specifications in Attachment 4, OTDA will provide
it.

The file should be given an eight character name as follows:

-    First character: T

-    Second and third characters: two digit county code based on WMS
     data element 01-010

-    Fourth through seventh characters: two digit year followed by two
     digit month

-    Eighth character: sequence letter to distinguish files from one
     another if multiple files are submitted by a district for a given
     month. The first district file for a given month should have a
     sequence letter A, the second a sequence letter B, and so forth.

    The data reporting requirements for TANF and TANF-MOE Programs that are
defined as "Assistance" are extensive. The federal government requires that
the reported data be timely, complete and accurate.   Failure to meet the
federal government's timely, complete and accurate standards may result in
financial penalties.   The federal government's timeliness standard is that
all monthly reports for a quarter are to be submitted to US DHHS by 45 days
after the end of the quarter.   To meet this timeliness standard, local
districts must submit claims for "Assistance" promptly in accordance with
New York State Regulations.   New York State Regulations require claims to
be submitted by 20 days after the end of a month.   Local districts are
strongly encouraged to be sure that they can meet these data reporting
requirements before embarking on a TANF or TANF-MOE "Assistance" program.

    Requests for the LDSS-4722 should be submitted on form 876 "Request for
Forms or Publications" form, and should be sent to:

                    Office of Temporary and Disability Assistance
                              Document Services
                               P O Box 1990
                              Albany, NY 12201

    Any questions or requests relating to this LCM may be directed to
Lawrence McArthur at (518) 474-1192, via INFOOFIS at 0bm180, or e-mail at
0bm180@dfa.state.ny.us.

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                                  Phil Maher
                             Assistant Commissioner
                    Office of Budget, Finance and Data Management