



George E. Pataki  
Governor

NEW YORK STATE  
OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE  
40 NORTH PEARL STREET  
ALBANY, NY 12243-0001

Brian J. Wing  
Commissioner

## Administrative Directive

### Section 1

<b>Transmittal:</b>	02 ADM 3
<b>To:</b>	Local District Commissioners
<b>Issuing Division/Office:</b>	Division of Transitional Supports and Policy
<b>Date:</b>	March 6, 2002
<b>Subject:</b>	Introduction of Standardized Outcome Measures for TANF Services Plans
<b>Suggested Distribution:</b>	TANF Services Plan Coordinators IM Directors TOP Coordinators Staff Development Coordinators
<b>Contact Person(s):</b>	Christine Insull, DTSP (518-474-9494), Brett Hebner, DTSP (518-486-6118)
<b>Attachments:</b>	Attachment A: Outcome Measures for TANF Services Plans Attachment B: Project Type Descriptions Attachment C: Glossary Attachment D: Sample Reporting Form and Instructions Attachment E: Drug and Alcohol Treatment and Assessment Report
<b>Attachment Available On – Line:</b>	<input checked="" type="checkbox"/>

### Filing References

Previous ADMs/INFs	Releases Cancelled	Dept. Regs.	Soc. Serv. Law & Other Legal Ref.	Manual Ref.	Misc. Ref.
2001 LCM-07 2000 LCM-16 2000 LCM-12					

### Section 2

#### I. Purpose

The purpose of this release is to introduce the Local Social Services Districts (LSSDs) to the phase-in of new requirements on outcome measurement for TANF Services Plan projects.

LSSDs will be required to incorporate standardized outcome measures into each project of their TANF Services Plans by July 1<sup>st</sup> 2002. Incorporating standardized outcome measures will necessitate a modification of each LSSD's TANF Services Plan. LSSDs are encouraged to modify their plans to include the outcome measures as soon as practicable. The July 1<sup>st</sup> deadline is intended to allow LSSDs opportunity to include reporting requirements in new, renewed, or amended contracts with service providers as needed. It is suggested that LSSDs include the appropriate measures in their contracts with service providers or minimally include a reporting clause indicating that the provider is responsible for reporting forthcoming data elements as described by the LSSD, in accordance with this ADM.

TANF Services Plans will need to be modified in the TANF Reporting and Control System (TRACS), identifying the measures chosen for each project as described below. The TRACS system will be updated to accommodate reporting on the standardized measures during 2002. However an interim manual reporting mechanism, described below and in Attachment D "Interim Reporting Form and Instructions", will be available until TRACS has been updated to accept reporting data.

Additionally, the Division of Transitional Supports and Policy (DTSP) is requesting that LSSDs submit any outcome data collected using district-defined measures in the approved plans during calendar year 2001.

## **II. Background**

LDSSs were given flexibility to develop their own outcome measures for the CY-2001 TANF Services Plan projects. As a result, statewide TANF Services Plans contain measures that vary widely in focus and quality. This degree of variation creates major difficulty in aggregating data, even for similar projects. Faced with the need to improve accountability for the approximately \$150 million dollars in TANF Services Plans, and to substantiate maintaining the State's block grant funding level as Congress considers TANF Reauthorization in 2002, a State/Local Workgroup was convened to produce standardized outcome measures. A survey of the over 680 projects statewide in the 2001 TANF Plans culled the vast majority of the projects into "project types"; projects with similar goals, target populations and services. Standardized outcome measures were developed for 17 of the identified project types. The outcome measures were designed to be collectible, focus on outcomes, and be able to accommodate varied projects. To maintain local flexibility, LSSDs may submit to their DTSP liaison unique district designed measures in the event that the standardized measures do not adequately capture a particular project. However, great efforts have been made to ensure that the standardized measures are broad enough to fit the varied and existing projects and we expect that standardized measures will be used in almost all situations.

## **III. Program Implications**

### **A. Outcome Measures**

In an effort to demonstrate the successes of TANF Services Plans, it is critical to aggregate client outcome data for similar projects on a statewide basis; to this end the standardized outcome measures are essential. Outcome measures focus on results in relation to stated program goals. Through outcome measurement, we can gauge if clients are better off as a result of the services provided. Output measures, as defined in Attachment C "Glossary", are often just administrative tracking functions.

Attachment A, "Outcome Measures for TANF Services Plans," provides the standardized measures for each project type. The page for each project type also contains a listing of goals that were common to the project narratives. *Output* measures are listed with the measures only as suggestions, they are not required nor are they all-inclusive. Data is only required to be reported on *outcome* measures unless otherwise indicated in Attachment A.

Standardized measures were not developed for two project types: Domestic Violence (DV) Liaison (mandated) projects, and Transitional Opportunities Program (TOP). DV mandated projects will continue to use the DV subsystem of WMS to avoid duplicative reporting. Similarly, TOP offices will continue to utilize the Excel quarterly report template. There are no additional reporting requirements for these types of projects.

For mandated Drug and Alcohol projects, the current procedure for manual quarterly Drug and Alcohol reporting remain unchanged through the April 1<sup>st</sup> to June 30<sup>th</sup>, 2002 quarter. Attachment E of this ADM is a revised Drug and Alcohol Assessment and Treatment Report, which will be used from July 1<sup>st</sup>, 2002 forward. Once TRACS is updated to accommodate the reporting of mandatory Drug and Alcohol outcomes, it will replace the manual report. Please note, the D&A Mandated *standardized* outcome measures include a new measure for which data may not be currently collected; "*number of mandated individuals who returned to employable status*". Effective July 1<sup>st</sup>, 2002 this new measure will be required. In the interim, LSSDs are encouraged to begin collecting data on the new measure.

## **B. Reporting Period**

The reporting period for standardized outcome measures will be semi-annual beginning with the period of July 1<sup>st</sup>, 2002 through December 31<sup>st</sup>, 2002. LSSDs that incorporate the standardized measures and begin collecting data prior to July 1<sup>st</sup>, 2002 are encouraged, though not required to report outcome measure data for the period of January 1<sup>st</sup>, 2002 through June 30<sup>th</sup>, 2002. An interim reporting form and instructions are included as Attachment D, as described below.

## **C. Project Participants**

The "universe" of project participants to be reported on is defined as the number of families served by the project Year to Date. The units of number served may be families, children, parents, etc., depending upon the measure. The Year to Date number would include anyone who has left the program for whatever reason. For example, 100 clients are enrolled in a project at the beginning of or during the first reporting period, 50 of which leave the project for various reasons. The number of program participants is 100. If during the second reporting period, an additional 25 join the program, for the second reporting period the number of project participants would be 125. Districts may establish criteria, which clients must meet or maintain, to be considered project participants.

Recognizing the uniqueness of mandated Drug/Alcohol services/projects and the client cycling that is often a component of treatment, the achievement of the measures "number of individuals referred for assessment" and "number of individuals mandated to treatment", should be counted minimally in the numerator each time they occur (since it is possible to have multiple assessments or mandates for one client). When deciding if a client achievement should be counted again, LDSS staff may consider whether the case was closed and reopened, or if a change in sanction or employment status has occurred.

For all other project types, a Year-To-Date numerator and denominator will be used. This would mean that any client served by the project during the year would be counted only once in the denominator, and that only the first instance of achieving a measure would be counted (numerator) during the year.

#### **D. Use of Ratios**

Outcome data will be reported using ratios rather than percentages, to provide a better context to the data. For example, if using the measure “Ratio of project participants obtaining employment,” the first number (numerator) would be the number of clients that achieved that measure Year to Date (e.g. 75). The second number (denominator) would be the number of project participants served Year to Date (e.g.100). The ratio in this example can be expressed as “75/100” or “75:100” for the first reporting period. Following the example above, during the second reporting period an additional 25 join the program and 15 program participants achieve the measure, the ratio to be reported is “90/125”.

### **IV. Required Action**

#### **A. Incorporation of Measures**

LSSDs will be required to incorporate standardized outcome measures into each project of their TANF Services Plans by July 1<sup>st</sup> 2002. Incorporating standardized outcome measures will necessitate a modification of each LSSD’s TANF Services Plan.

LSSDs will be required to utilize all measures listed under a project type that relate to the goals and services of their particular project. The measures chosen for each project will be reviewed during the modification approval process to ensure they are appropriate and comprehensive. It is recognized that many projects will not be required to report on every measure listed under a particular project type.

It is suggested that LSSDs include the appropriate measures in their contracts with service providers or minimally include a reporting clause indicating that the provider is responsible for reporting forthcoming data elements as described by the LSSD.

LSSDs that are able to access TRACS should enter appropriate standardized measures when modifying their TANF Services Plan. LSSDs that are not able to submit modifications through TRACS at the time of their next modification should contact their DTSP liaison and identify the standardized measures to be used for each project in conjunction with the modification submittal. LSSDs may submit for approval their own measures where the standardized measures are inadequate.

When identifying which standardized measures are appropriate for a project, LSSDs should refer to Attachment A “Outcome Measures for TANF Services Plans”, and Attachment B “Project Type Descriptions”, for guidance. The project type that most closely describes the particular project should be used. However, standardized outcome measures from other than the project type chosen may be utilized, provided that the LSSD identifies the project type(s) and measures. For modifications **not** being submitted through TRACS, include in the project narrative which project type and outcome measures will be utilized as listed in Appendix A. The number associated with each measure also should be included. Be advised that, at a future date to be determined by DTSP, modifications may be submitted only through TRACS.

Project narratives also will need to be modified in TRACS, identifying the measures chosen for each project. Those LSSDs that have access should submit the modification(s) electronically through TRACS. TRACS will be updated during 2002 to allow LSSDs to choose project types and measures. In the interim, project types and corresponding outcome measures should be entered in the "Goals" section of each project narrative in TRACS. When entering outcome measures in TRACS, enter the project narrative and click "create new record" under "Goals." Next, enter section number 0 (zero), to ensure that the outcome measures section is listed first for all projects. In the narrative box that appears, insert the outcome measures as described in the paragraph above. Follow this procedure for each project.

## **B. Reporting and TRACS**

The TRACS system will be updated to accommodate reporting on the standardized measures during 2002. However, an interim manual reporting mechanism, as described below, will be available until TRACS has been revised to accept reporting data.

Changes have been made to the outputs/outcomes for *mandated* Drug and Alcohol projects (assessment and monitoring), which are currently reported through a quarterly manual report. The current quarterly report will continue to be used for mandated Drug and Alcohol projects. It is intended that TRACS will eventually replace the current quarterly reporting hard-copy forms. Please note that Enhanced Drug and Alcohol projects are not part of the mandated project and are considered a separate project type for which standardized outcome measures have been developed.

## **C. Interim Manual Reporting**

Until such time that TRACS can accommodate performance measures reporting, a manual process will be in place. Reports are due 45 days after the last month of the reporting period (July 1<sup>st</sup>, 2002 through December 31<sup>st</sup>, 2002 is due February 15<sup>th</sup>, 2003; January 1<sup>st</sup>, 2003 through June 30<sup>th</sup>, 2003 is due August 15<sup>th</sup>, 2003). To ease the burden of reporting, where possible, data on the manual report form will be front loaded including County Name, Project Number, and Project Name. A sample reporting form and instructions are included as Attachment D. The county-specific reporting forms will be forwarded following the distribution of this ADM. LDSSs are responsible for manually completing the performance measure data including the *Project Type* and measure *number*, as indicated in Attachment A, and ratio, percentage or number, as appropriate. These fields should be completed manually and mailed to Marlene Masse at the address below.

## **D. 2001 Outcome Data**

As indicated above, it is requested that LSSDs submit any outcome data that has been collected from TANF Services Plan projects during the 2001 calendar year. The purposes of analyzing the data at the state level are: 1) to establish a baseline to compare performance using the standardized measures, wherever possible; and 2) to glean any outcome data, anecdotal or otherwise, from the 2001 calendar year to supplement future data from the standardized measures. The 2001 outcome data may be reported in any format in which it was collected. Summary narrative reports are welcome, though not required to accompany the data. The information should be submitted by May 1<sup>st</sup>, 2002. Please submit by e-mail if possible to Marlene Masse ([OCB020@dfa.state.ny.us](mailto:OCB020@dfa.state.ny.us)) or by hard copy to:

OTDA  
Bureau of Transitional Programs, 9-C  
40 North Pearl Street  
Albany, N.Y. 12243  
Attn: Marlene Masse

Questions regarding this ADM should be directed to Christine Insull at (518) 474-9494 or e-mailed at [Christine.Insull@dfa.state.ny.us](mailto:Christine.Insull@dfa.state.ny.us) or Brett Hebner at (518) 486-6118 or e-mail at [Brett.Hebner@dfa.state.ny.us](mailto:Brett.Hebner@dfa.state.ny.us).

## **V. Systems Implications**

See “Reporting and TRACS” above.

## **VI. Additional Information**

None

## **VII. Effective Date**

March 1, 2002

---

### **Issued By**

**Name:** Shari Noonan

**Title:** Deputy Commissioner

**Division/Office:** Division of Transitional Supports and Policy