



Department of Human Resources  
311 West Saratoga Street  
Baltimore MD 21201

Family Investment Administration  
**ACTION TRANSMITTAL**

Control Number: #08-14

Effective Date: UPON RECEIPT

Issuance Date: OCTOBER 29, 2007

**TO: DIRECTORS, LOCAL DEPARTMENTS OF SOCIAL SERVICES  
DEPUTY/ASSISTANT DIRECTORS FOR FAMILY INVESTMENT  
FAMILY INVESTMENT SUPERVISORS AND ELIGIBILITY STAFF**

**FROM: KEVIN M.MCGUIRE, EXECUTIVE DIRECTOR**

**RE: NON-COMPLIANCE TRACKING SHEET**

**PROGRAM AFFECTED: TEMPORARY CASH ASSISTANCE (TCA)**

**ORIGINATING OFFICE: OFFICE OF PROGRAMS**

**SUMMARY:** Although tracking instances of non-compliances for TCA program requirements can be tedious and detailed, it is necessary to keep track of the number of instances of non-compliance a customer has accumulated. This ensures that the customer performs the cure for the correct length of time in relation to the instance of non-compliance. Some local departments have not been able to develop a good way to track non-compliant behavior and the conciliation and sanction process and requested help doing so.

This action transmittal introduces two tracking sheets for local departments to use for tracking instances of non-compliance. One tracking sheet includes work requirements only and the other includes all TCA requirements subject to conciliation and sanction for non-compliance. Local departments may choose to use either one and local departments that have developed a tracking sheet may continue to use it. However, use of a non-compliance tracking sheet is necessary for accurate sanctioning.

**ACTION REQUIRED:** Complete a non-compliance tracking sheet for each customer who has not complied with program requirements. The first time the form is used, case managers must review all of the CARES narration to determine which instance of non-compliance has occurred and if conciliation was previously allowed. Update the tracking form with the past history at that point. Maintain a copy of the tracking form in the customer's case record.

**ACTION DUE:** Upon receipt.

**INQUIRIES:** Direct all TCA inquiries to Marilyn Lorenzo at 410-767-7333, email: [mlorenzo@dhr.state.md.us](mailto:mlorenzo@dhr.state.md.us) or Gretchen Simpson at 410-767-7937, email: [gsimpson@dhr.state.md.us](mailto:gsimpson@dhr.state.md.us).

cc: DHR Executive Staff  
FIA Management Staff  
Constituent Services  
DHR Help Desk





**NON-COMPLIANCE TRACKING SHEET  
FOR WORK REQUIREMENTS**

**INSTRUCTIONS:**

Complete this tracking sheet for each work mandatory individual in the assistance unit, when applying the Conciliation and Sanction policy for a Work Sanction. Keep it in the front of the case record for easy access.

**POLICY TIPS AND REMINDERS:**

- The conciliation period starts on the day the Notice of Non-Compliance (NONC) is sent to the customer, the first time the customer does not comply.
- Each customer gets one 30-day conciliation period per eligibility requirement (work, substance abuse, child support, DEAP).
- When the NONC is mailed, an instance of noncompliance is counted, unless the customer has good cause.
- Customers must comply all of the days the work activity is available during the sanction period, unless the customer has good cause. If the customer misses time and does not have good cause, the compliance period starts over.
- **Do not delete** the codes on the DEM1 screen, which track the instances of non-compliance in the "PLACE OF BIRTH" field. (See below)

**Note:** Remember to count the instances of non-compliance and not sanctions.

- When a TCA case is sanctioned phantom income applies for FS.
- Narrate the C&S process thoroughly.

**Remember to:**

1. Always explore good cause.
2. Code the DEM1 screen with the instances of non-compliance in the "PLACE OF BIRTH" field with the codes:
  - a. **GU**- Guam-1st instance of non-compliance
  - b. **VI**- Virgin Islands-2<sup>nd</sup> instance of non-compliance
  - c. **CZ** – Czechoslovakia-3<sup>rd</sup> non-compliance
3. Send a Notice of Adverse Action by the 20<sup>th</sup> day of the conciliation period if the customer does not respond.
4. Count cures as follows:
  - a. 1<sup>st</sup> instance of non-compliance: prorate the benefit, the day after 1 day of compliance.
  - b. 2<sup>nd</sup> instance of non-compliance: prorate benefits the day after the **10th** day of compliance.
  - c. 3<sup>rd</sup> *and* subsequent instances of non-compliance: prorate benefits the day after the **30th** day of compliance.

**Family Investment Administration  
Non-Compliance and Sanction Tracking Sheet**

Program Requirement: CS W SAT DEAP MP Non-Compliant Customer Name: \_\_\_\_\_ CID# \_\_\_\_\_

**HEAD OF HOUSEHOLD NAME** \_\_\_\_\_

<b>1st Instance of Non-Compliance</b>	<b>2nd Instance of Non-Compliance</b>	<b>3<sup>rd</sup> Instance of Non-Compliance</b>	<b>4<sup>th</sup> Instance of Non-Compliance</b>
<b>30 Day Conciliation Period</b>	<b>No Conciliation</b>	<b>No Conciliation</b>	<b>No Conciliation</b>
<b>Date NONC sent:</b> MM ____ DD ____ YY ____	<b>Date NONC sent:</b> MM ____ DD ____ YY ____	<b>Date NONC sent:</b> MM ____ DD ____ YY ____	<b>Date NONC sent:</b> MM ____ DD ____ YY ____
<b>Date of conciliation period:</b> From: _____ To: _____	<b>Date NOAA sent:</b> MM ____ DD ____ YY ____	<b>Date NOAA sent:</b> MM ____ DD ____ YY ____	<b>Date NOAA sent:</b> MM ____ DD ____ YY ____
<b>FIP Appt. to discuss non-compliance</b> MM ____ DD ____ YY ____	<b>FIP Appt. to discuss noncompliance</b> MM ____ DD ____ YY ____	<b>FIP Appt. to discuss non-compliance</b> MM ____ DD ____ YY ____	<b>FIP Appt. to discuss non-compliance</b> MM ____ DD ____ YY ____
<b>Good cause verified:</b> Yes ____ No ____	<b>Good cause verified:</b> Yes ____ No ____	<b>Good cause verified:</b> Yes ____ No ____	<b>Good cause verified:</b> Yes ____ No ____
<b>Date of NOAA:</b> MM ____ DD ____ YY ____	<b>Cured prior to NOAA or sanction being imposed?</b> Yes ____ No ____ (instance of non-compliance still counts)	<b>Cured prior to NOAA or sanction being imposed?</b> Yes ____ No ____ (instance of non-compliance counts)	<b>Cured prior to NOAA or sanction being imposed?</b> Yes ____ No ____ (instance of non-compliance counts)
<b>Cured prior to NOAA or sanction being imposed?</b> Yes ____ No ____ (instance of non-compliance still counts)	<b>Date Sanction Imposed:</b> MM ____ DD ____ YY ____	<b>Date Sanction Imposed:</b> MM ____ DD ____ YY ____	<b>Date Sanction Imposed:</b> MM ____ DD ____ YY ____
<b>Date sanction imposed</b> MM ____ DD ____ YY ____	<b>Date of Cure:</b> MM ____ DD ____ YY ____	<b>Date of Cure:</b> MM ____ DD ____ YY ____	<b>Date of Cure:</b> MM ____ DD ____ YY ____
<b>Date of Cure:</b> MM ____ DD ____ YY ____			
For <b>Work Program</b> requirements: Cure is 1 day of compliance. Benefits issued the day after compliance.	For <b>Work Program</b> requirements: Cure is 10 days of compliance. Prorated benefits issued the day after the 10 <sup>th</sup> day of compliance.	For <b>Work Program</b> requirements: Cure is 30 days of compliance. Prorated benefits issued the day after the 30 <sup>th</sup> day of compliance.	For <b>Work Program</b> requirements: Cure is 30 days of compliance. Prorated benefits issued the day after the 30 <sup>th</sup> day of compliance.
For <b>all other</b> requirements: Cure is the day the customer complies. Benefits issued same day.	For <b>all other</b> requirements: Cure is the day the customer complies. Benefits issued same day.	For <b>all other</b> requirements: Cure is the day the customer complies. Benefits issued same day.	For <b>all other</b> requirements: Cure is the day the customer complies. Benefits issued same day.

Use an additional tracking sheet, for instances of non-compliance over four for this customer for this program requirement. Use separate sheets for other program requirements or other non-compliant people.

**Family Investment Administration**  
**Non-Compliance and Sanction Tracking Sheet**

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- Customers must comply all of the days the work activity is available during the sanction period, unless the customer has good cause. If the customer misses time and does not have good cause, the compliance period starts all over.
- **Do not delete** the codes on the DEM1 screen, which track the instances of non-compliance in the "PLACE OF BIRTH" field. (See below)

**Note:** Remember to count the **instances of non-compliance** and not sanctions.

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