**Employment Services Penalty Checklist for Administrative Review**

**TANF Only** KEESM 3500

Penalties can result in a temporary hardship to the family without other alternatives of support. Penalties must be applied with much care and consideration. To ensure penalties are applied uniformly and appropriately, the following guidelines must be applied in all instances of Employment Services non-cooperation.

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 Case Name Penalized Individual’s Name Case Number

 **Penalty Request for:**

Work Program Penalty: [ ]  1st [ ]  2nd [ ]  3rd [ ]  4th or More

Date Client Notified of Expectations:

Document How Customer Understood Expectations & Consequences:       .

Good Cause Criteria Considered Per KEESM 3530 [ ]

* The expectations must be realistic for the person to complete.
* There is documented evidence that the person was made aware of the specific participation requirement.

 [ ]  Document in file [ ]  Documented in case log

* There is documented evidence that the person was informed of the consequences for failing to meet the specific expectations and of the ability to report good cause. *(Documentation that* [*ES-3102*](http://dcfnet.dcf.ks.gov/Forms/Pages/default.aspx?action=search&formnumber=3102&businessarea=All&region=All&status=Active)*, Important Information about Cooperation, was discussed and distributed to the client fulfills this guideline.)*

 [ ]  Document in file [ ]  Documented in case log

* At the point non-cooperation is first reported or discovered, the worker must check with PPS to determine if there is any domestic violence within the family or any PPS activity that might support good cause for failing to meet requirements.

 [ ]  Date PPS Contacted:       [ ]  No PPS Involvement [ ]  No Good Cause

* If a person has been assigned to the Domestic Violence/Sexual Assault activity, the worker will contact DV advocate to determine if there is good cause for failing to cooperate due to domestic violence.

 [ ]  Date DV Contacted:       [ ]  No DV Involvement [ ]  No Good Cause

* Personal contact must be attempted and documented in the case file. All steps below must be completed.

 [ ]  Written Notice of a scheduled appointment or assignment. Date: \_\_     \_\_

 [ ]  Phone call/text/email to reschedule appointment or assignment. Date: \_\_     \_\_

 [ ]  Written Notice of the rescheduled appointment or assignment

 with a 10 day time limit for cooperation. Date: \_\_     \_\_

 [ ]  2nd attempt to reach the client by phone/text/email. Date: \_\_     \_\_

Career Navigator Signature Date

 **[ ]  Penalty Approved [ ]  Penalty Not Approved**

ES Program or Assistant Program Administrators Signature Date

Additional Comments: \_     \_

Instructions for the ES Penalty Checklist

Case Name: *Case Name in KEES*

Penalized Individual’s Name: *only 1 name per form*

Case Number: *TANF case number in KEES*

**Box:** Penalty Request for: *select from drop box*

Work Program Penalty: *Go to the Non-Compliance page in KEES to determine which penalty is being applied*

 Date Client Notified of Expectations: *Date the ES-3102 was given to the client*

Document How Customer Understood Expectations & Consequences: *Reviewed ES-3102 at Interview or Orientation on (date).*

Good Cause Criteria Considered Per KEESM 3530: *Check box if CN reviewed KEESM 3530*

Document in file: *Check the box if a document was scanned to Image Now.*

Documented in case log: *Check the box if included in a Journal entry.*

Date PPS Contacted: *Date CN contacted PPS to determine if client had good cause for not cooperating.*

No PPS Involvement: *Check the box if there is no PPS Involvement*

No Good Cause: *Check the box if PPS cannot provide good cause for non-cooperation*

Date DV Contacted: *Date CN contacted the DV/SA advocate to determine if client had good cause for not cooperating.*

No DV Involvement: *Check the box if the client is not working with a DV/SA advocate.*

No Good Cause: *Check the box if DV/SA advocate cannot provide good cause for non-cooperation*

**Personal contact must be attempted and documented in the case file:**

Written Notice of a scheduled appointment or assignment: *check the box if the client was notified in writing of the appointment or assignment and list the date they were notified. This could include a notice being sent from KEES, a local appointment letter mailed to the client, a Self-Sufficiency form, etc.*

Phone Call/text/e-mail to reschedule appointment or assignment: *check the box if the CN attempted to call/text/e-mail the client and the date of the attempt. This should be included in a Journal entry.*

Written Notice of the rescheduled appointment or assignment with a 10 day time limit for cooperation: *check the box if the client was notified in writing of the appointment or assignment and list the date they were notified. The client must be given 10 from the date the written notice is sent to keep the appointment or complete the assignment. This does not include a text or e-mail.*

2nd attempt to reach the client by phone/text/e-mail: *check the box if the CN attempted to call/text/e-mail the client and the date of the attempt. This should be included in a Journal entry.*

Additional Comments: *CN has the option of listing any additional info they feel is relative to determining a penalty. This could include additional reasons for requesting the penalty or additional attempts to contact the client prior to requesting the penalty.*