

**TA Sanction and Denial Policy/Participation Rate Impact Guide**  
**Districts Other than New York City**

Noncompliance Issue	Reason Codes	Conciliation Required? Yes or No	Case Action	Denial/Sanction Results	Regulatory Citation	Individual Disposition Status Codes (WMS)/Rate Impact
Failed to Keep Employment Assessment Appointment – <b>Applicant</b>	N21	No	Application denial (Family Level)	Entire application is denied	with dependent children 18 NYCRR 385.6(a)(7)(i)  without dependent children 18 NYCRR 385.7(a)(7)(i)	11 Note 3
Failure to Comply with Requirement to Look for Work/Job Search – <b>Applicant</b>	N19	No	Application denial (Family Level)	Entire application is denied	18 NYCRR 385.9(e)(5)(i)	11 Note 3
Failure to submit requested documentation to verify a claimed exemption from work activities – <b>Applicant or Recipient</b> <i>Failure to provide requested documentation of a claimed exemption from work requirements is an eligibility requirement for the household and the entire case would be denied or closed. (i.e. failure to provide a medical statement)</i>	V21 Applicant	No	Application denial (Family Level)	Entire application is denied	18 NYCRR 351.1(b)(2)	11 Note 3
	V20 Recipient		Case closure (Family Level)	Entire case is closed until requested documentation is submitted		20 Note 3
Failure to Comply with Employment Requirements - 1 <sup>st</sup> occurrence <i>An <b>applicant</b> failing to comply with assigned employment activities <u>other than</u> Assessment or Job Search or a <b>recipient</b> failing to participate in employment assessment, job search, job interview, JRT, education/ training or other assigned work activity (including Drug/Alcohol Rehab for recipient with employability code 64—Substance Abuser nonexempt)</i>	WE1	Yes	Individual durational sanction (prorata)	Sanction until compliance for families with dependent children  Sanction 90 days <b>and</b> until compliance for households without dependent children	with dependent children Assessment- 18 NYCRR 385.6(a)(7)(ii) E&T. - 18 NYCRR 385.12(d)(1)(i) Job Search - 18 NYCRR 385.9(e)(5)  without dependent children Assessment- 18 NYCRR 385.7(a)(7)(ii) E&T. - 18 NYCRR 385.12(d)(2)(i) Job Search- 18 NYCRR 385.9(e)(5)	07 Note 1
Failure to Comply with Employment Requirements - 2 <sup>nd</sup> occurrence <i>An <b>applicant</b> failing to comply with assigned employment activities <u>other than</u> Assessment or Job Search or a <b>recipient</b> failing to participate in employment assessment, job search, job interview, JRT, educational training or other assigned work activity (including Drug/Alcohol Rehab for recipient with employability code 64—Substance Abuser nonexempt)</i>	WE2	Yes	Individual durational sanction (prorata)	Sanction 3 months (90 days) <b>and</b> until compliance for families with dependent children  Sanction 150 days <b>and</b> until compliance for households without dependent children	with dependent children Assessment- 18 NYCRR 385.6(a)(7)(ii) E&T. - 18 NYCRR 385.12(d)(1)(ii) Job Search - 18 NYCRR 385.9(e)(5)  without dependent children Assessment- 18 NYCRR 385.7(a)(7)(ii) E&T. - 18 NYCRR 385.12(d)(2)(ii) Job Search- 18 NYCRR 385.9(e)(5)	07 Note 1

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<p>Failure to Comply with Employment Requirements - 3<sup>rd</sup> and all subsequent occurrences</p> <p><i>An applicant failing to comply with assigned employment activities other than Assessment or Job Search or a recipient failing to participate in employment assessment, job search, job interview, JRT, educational training or other assigned work activity (including Drug/Alcohol Rehab for recipient with employability code 64—Substance Abuser nonexempt)</i></p>	WE3	Yes	Individual durational sanction (prorata)	<p>Sanction 6 months (180 days) and until compliance for families with dependent children</p> <p>Sanction 180 days and until compliance for household without dependent children</p>	<p>with dependent children Assessment- 18 NYCRR 385.6(a)(7)(ii) E&amp;T. - 18 NYCRR 385.12(d)(1)(iii) Job Search - 18 NYCRR 385.9(e)(5)</p> <p>without dependent children Assessment- 18 NYCRR 385.7(a)(7)(ii) E&amp;T. - 18 NYCRR 385.12(d)(2)(iii) Job Search - 18 NYCRR 385.9(e)</p>	07 Note 1
<p>Voluntary Quit or Reduced Earnings - Applicant</p> <p><i>An applicant who voluntarily quits his/her job or reduced his/her earnings or caused his/her own termination from employment or reduction in work hours by provoking his/her own discharge to qualify for initial or increased temporary assistance</i></p>	N31	No	Individual Ineligible (incremental)	Individual is disqualified from receiving assistance for 90 days from the date of the job quit or reduced earnings.	18 NYCRR 385.13(a)(8)(i)	10 Note1
<p>Voluntary Quit or Reduced Earnings - 1<sup>st</sup> occurrence</p> <p><i>A recipient who voluntarily quit his/her job or reduced his/her earnings or caused his/her own termination from employment or reduction in work hours by provoking his/her own discharge</i></p>	N41	Yes	Individual durational sanction (prorata)	<p>Sanction until compliance for households with dependent children</p> <p>Sanction 90 days and until compliance for households without dependent children</p>	<p>with dependent children 18 NYCRR 385.12(d)(1)(i); 385.13(a)(8)(ii)</p> <p>without dependent children 18 NYCRR 385.12(d)(2)(i); 385.13(a)(8)(ii)</p>	07 Note 1
<p>Voluntary Quit or Reduced Earnings - 2<sup>nd</sup> occurrence</p> <p><i>A recipient who voluntarily quits his/her job or reduced his/her earnings or caused his/her own termination from employment or reduction in work hours by provoking his/her own discharge</i></p>	N42	Yes	Individual durational sanction (prorata)	<p>Sanction 3 months (90 days) and until compliance for households with dependent children</p> <p>Sanction 150 days and until compliance for households without dependent children</p>	<p>with dependent children 18 NYCRR 385.12(d)(1)(ii); 385.13(a)(8)(ii)</p> <p>without dependent children 18 NYCRR 385.12(d)(2)(ii); 385.13(a)(8)(ii)</p>	07 Note 1
<p>Voluntary Quit or Reduced Earnings - 3<sup>rd</sup> and all subsequent occurrences</p> <p><i>A recipient who voluntarily quits his/her job or reduced his/her earnings or caused his/her own termination from employment or reduction in work hours by provoking his/her own discharge</i></p>	N43	Yes	Individual durational sanction (prorata)	<p>Sanction 6 months (180 days) and until compliance for households with dependent children</p> <p>Sanction 180 days and until compliance for households without dependent children</p>	<p>with dependent children 18 NYCRR 385.12(d)(1)(iii); 385.13(a)(8)(ii)</p> <p>without dependent children 18 NYCRR 385.12(d)(2)(iii); 385.13(a)(8)(ii)</p>	07 Note 1

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Continue <b>Applicant</b> Voluntary Quit Sanction <i>Continuation of N31</i>	M71	No	Individual Ineligible (incremental)	Individual was disqualified from receiving assistance and disqualification continues for 90 days from the date of the quit or reduced earnings.	18 NYCRR 385.13(a)(8)(i)	10 Note 1
Continue <b>Recipient</b> Voluntary Quit Sanction <i>Continuation of N41, N42 or N43</i>	M72	No	Individual durational sanction (prorata)	Individual continues to refuse to work or participate in employment activities as required	18 NYCRR 385.13	07 Note 1
Continue Employment Requirement Sanction <b>Recipient</b> continuation of WE1, WE2 and WE3	M74	No	Individual durational sanction (prorata)	Individual continues to refuse to participate in employment activities as required	18 NYCRR 385.12	07 Note 1
Intentional Misrepresentation of a Disability - 1 <sup>st</sup> occurrence <i>An individual who intentionally misrepresented his/her medical condition and based on clear medical evidence there is no medical basis to support his/her claim</i>	BE1	No	Individual durational sanction (prorata)	90 Days and until willing to comply with employment requirements	18 NYCRR 385.2(d)(8); 385.12(d)(2)	07 Note 1
Intentional Misrepresentation of a Disability - 2 <sup>nd</sup> occurrence <i>An individual who intentionally misrepresented his/her medical condition and based on clear medical evidence there is no medical basis to support his/her claim</i>	BE2	No	Individual durational sanction (prorata)	150 Days and until willing to comply with employment requirements	18 NYCRR 385.2(d)(8); 385.12(d)(2)	07 Note 1
Intentional Misrepresentation of a Disability - 3 <sup>rd</sup> occurrence <i>An individual who intentionally misrepresented his/her medical condition and based on clear medical evidence there is no medical basis to support his/her claim</i>	BE3	No	Individual durational sanction (prorata)	180 Days and until willing to comply with employment requirements	18 NYCRR 385.2(d)(8); 385.12(d)(2)	07 Note 1
Failure/Refusal to Become Employable - <i>An exempt Applicant or Recipient who fails to participate in reasonable medical care, vocational rehabilitation or treatment determined by a medical professional to be necessary to improve his/her ability to work</i>	W40	No	Individual ineligible (incremental)	Client remains ineligible for assistance until he/she is willing to comply with recommended treatment program	Applicant - 18 NYCRR 385.12(a)(1)(i) Recipient - 18 NYCRR 385.12(a)(1)(ii)	10 Note 1
Failure to Comply with IV-D (Child Support Enforcement)	V30	No	25% Needs Reduction	Individual continues to be subject to work requirements.	18 NYCRR 369.2(b)	07 Note 2
Failure to take part in Drug/Alcohol Rehab - <b>Recipient</b> 1 <sup>st</sup> occurrence Employability code 63 - Substance Abuser, Exempt	PX1	No	Individual durational sanction (prorata)	45 Days <b>and</b> until compliance <b>or</b> upon return to required treatment <b>and</b> receiving care in an OASAS certified CCII or a Veterans D/A residential program prior to the end of the 45 days.	18 NYCRR 351.2(i)(2)(iii)(a)	07 Note 1
Failure to take part in Drug/Alcohol Rehab- <b>Recipient</b> 2 <sup>nd</sup> occurrence Employability code 63 - Substance Abuser, Exempt	PX2	No	Individual durational sanction (prorata)	120 Days <b>and</b> until compliance <b>or</b> upon return to required treatment <b>and</b> receiving care in an OASAS certified CCII or a Veterans D/A residential program prior to the end of the 120 days.	18 NYCRR 351.2(i)(2)(iii)(b)	07 Note 1
Failure to take part in Drug/Alcohol Rehab- <b>Recipient</b> 3 <sup>rd</sup> occurrence Employability code 63 - Substance Abuser, Exempt	PX3	No	Individual durational sanction (prorata)	180 Days <b>and</b> until compliance <b>or</b> upon return to required treatment <b>and</b> receiving care in an OASAS certified CCII or a Veterans D/A residential program prior to the end of the 180 days.	18 NYCRR 351.2(i)(2)(iii)(c)	07 Note 1

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Failure to take part in Drug/Alcohol Rehab- <b>Applicant</b> 1 <sup>st</sup> occurrence Employability code 63—Substance Abuser, Exempt	MX1	No	Individual durational sanction (prorata)	45 Days <b>and</b> until compliance <b>or</b> upon return to required treatment <b>and</b> receiving care in an OASAS certified CCII or a Veterans D/A residential program prior to the end of the 45 days.	18 NYCRR 351.2(i)(2)(iii)(a)	07 Note 1
Failure to take part in Drug/Alcohol Rehab - <b>Applicant</b> 2 <sup>nd</sup> occurrence Employability code 63—Substance Abuser, Exempt	MX2	No	Individual durational sanction (prorata)	120 Days <b>and</b> until compliance <b>or</b> upon return to required treatment <b>and</b> receiving care in an OASAS certified CCII or a Veterans D/A residential program prior to the end of the 120 days.	18 NYCRR 351.2(i)(2)(iii)(b)	07 Note 1
Failure to take part in Drug/Alcohol Rehab - <b>Applicant</b> 3 <sup>rd</sup> occurrence Employability code 63 - Substance Abuser, Exempt	MX3	No	Individual durational sanction (prorata)	180 Days <b>and</b> until compliance <b>or</b> upon return to required treatment <b>and</b> receiving care in an OASAS certified CCII or a Veterans D/A residential program prior to the end of the 180 days.	18 NYCRR 351.2(i)(2)(iii)(c)	07 Note 1
Continue Drug/Alcohol Sanction <b>Applicant</b> continuation of <i>MX1, MX2 and MX3</i> <b>Recipient</b> continuation of <i>PX1, PX2, PX3,</i>	M77	No	Individual durational sanction (prorata)	Individual continues to refuse to participate in substance abuse treatment as required and/or has not completed his/her durational sanction	18 NYCRR 351.2(i)(2)(iii)	07 Note 1
Failure to Comply with Drug/Alcohol Screening - <b>Applicant or Recipient</b>	P44	No	Individual non-durational sanction (prorata)	Ineligible for assistance until compliance, other members of household, if otherwise eligible, receive assistance only through non-cash Safety Net	18 NYCRR 351.2(i)(1)(vi)	07 Note 1
Failure to Comply with Drug/Alcohol Assessment - <b>Applicant or Recipient</b>	P45	No	Individual non-durational sanction (prorata)	Ineligible for assistance until compliance, other members of household, if otherwise eligible, receive assistance only through non-cash Safety Net	18 NYCRR 351.2(i)(1)(vi)	07 Note 1
Failure to Comply with Drug/Alcohol Release of Information - <b>Applicant or Recipient</b>	P46	No	Individual non-durational sanction (prorata)	Ineligible for assistance until compliance, other members of household, if otherwise eligible, receive assistance only through non-cash Safety Net	18 NYCRR 351.2(i)(1)(vii)	07 Note 1

**Notes:**

- 1 Rate Impact: Cases which include an adult with an individual disposition status code of 07 Active (Includes individuals Sanctioned Prorata), or 10 (Ineligible or Sanctioned Incrementally) remain in the denominator of the participation rate calculation unless the adult has been sanctioned (grant reduction) and the case has not been excluded, due to sanction, for more than 3 months during the preceding 12 month period.
- 2 Rate Impact: Individuals who have been sanctioned for failure to comply with Child Support Enforcement requirements (IV-D) remain active TA recipients and remain subject to work requirements, unless otherwise determined to be exempt consistent with 18 NYCRR §385.2. Such nonexempt individuals should be assigned to appropriate work activities and are subject to conciliation/sanction for noncompliance with work requirements.
- 3 Rate Impact: Cases in which there is no adult or minor head of household with an individual disposition status code of 07 or 10, at any point during the month, are not included in the participation rate calculation.
- 4 Intentional Program Violations (IPV) sanctions (Reason Code M78, WP1-WP8 and WS1-WS8) do not require conciliation and result in the individual being disqualified from receiving Temporary Assistance for the period of time associated with the infraction as per 18 NYCRR 359.9. These individuals should be assigned Individual Disposition Status code of 10, if on a multi-person case which results in such cases being included in the participation rate calculation. Therefore, any countable participation known to the district should be documented and reported on WTWCMS.