

**SARATOGA COUNTY – 2017 APU**

**APPENDIX K #1**  
Child Care Amendments

**Is your district amending its Child and Family Services Plan (CFSP) or Annual Plan Update (APU)?**

**Yes** (Check “Yes” or “No” for each Appendix listed below to indicate whether or not there was an amendment to that Appendix. If the Appendix was amended, check “Yes” or “No” to indicate the section that was amended.)

**No** (If this box is checked, no further action is needed on this Appendix)

Appendix	Section
<p><b>Appendix K #2 - Child Care Administration</b></p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p><b>Appendix L – Other Eligible Families if Funds are Available</b></p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p><b>Appendix M #1 - Reasonable Distance, Recertification Period, Family Share, Very Low Income, Federal and Local Priorities (Required)</b></p> <p>Are there changes to this appendix?</p> <p><input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <ul style="list-style-type: none"> <li>• If you’ve checked “Yes,” check all of the sections that changed or did not change to the right of this box.</li> </ul>	<p><b>I. Reasonable Distance</b> <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>II. Recertification Period</b> <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>III. Family Share</b> <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>IV. Very Low Income</b> <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>V. Federal and Local Priorities</b> <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p>

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Appendix	Section
<p><b>Appendix M #2 – Case Openings, Case Closings, and Waiting List</b> (Required)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <ul style="list-style-type: none"> <li>If you have checked “Yes,” check all of the sections that changed or did not change to the right of this box.</li> </ul>	<p><b>I. Case Openings</b> <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p><b>II. Case Closings</b> <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p><b>III. Waiting List</b> <input type="checkbox"/> Yes; <input type="checkbox"/> No</p>
<p><b>Appendix M #3 – Fraud and Abuse Control Activities and Inspections</b> (Required)</p> <p>Are there changes to this appendix?</p> <p><input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <ul style="list-style-type: none"> <li>If you have checked “Yes,” check all of the sections that changed or did not change to the right of this box.</li> </ul>	<p><b>I. Fraud and Abuse Control Activities</b> <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p><b>II. Inspections</b> <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>
<p><b>Appendix N – District Options</b> (Required)</p> <p>Are there changes to this appendix?</p> <p><input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p>	
<p><b>Appendix O – Funding Set-Asides</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p><b>Appendix P – Title XX Child Care</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p><b>Appendix Q - Additional Local Standards for Child Care Providers</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	

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Appendix	Section
<p><b>Appendix R – Payment to Child Care Providers for Absences</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p><b>Appendix S – Payment to Child Care Providers for Program Closures</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p><b>Appendix T – Transportation, Differential Payment Rates, Enhanced Market Rate for Legally-Exempt Family and In-Home Providers, and Sleep</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <ul style="list-style-type: none"> <li>If you have checked “Yes,” check all of the sections that changed or did not change to the right of this box.</li> </ul>	<p><b>I. Transportation</b> <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>II. Differential Payment Rates</b> <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p><b>III. Enhanced Market Rate for Legally-Exempt Family and In-Home Providers</b> <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>IV. Sleep</b> <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>
<p><b>Appendix U – Child Care Exceeding 24 Hours, Child Care Services Unit, Waivers, and Breaks in Activities</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <ul style="list-style-type: none"> <li>If you have checked “Yes,” check all of the sections that changed or did not change to the right of this box.</li> </ul>	<p><b>I. Child Care Exceeding 24 Hours</b> <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p><b>II. Child Care Services Unit</b> <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p><b>III. Waivers</b> <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p><b>IV. Breaks in Activities</b> <input type="checkbox"/> Yes; <input type="checkbox"/> No</p>

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**APPENDIX K #2**  
**Child Care Administration**

**I.** Describe how your district is organized to administer the child care program, including any functions that are subcontracted to an outside agency.

**1.** Identify the unit that has primary responsibility for the administration of child care for:

- a.** Public Assistance Families: Temporary Assistance
- b.** Transitioning Families: Temporary Assistance
- c.** Income Eligible Families: Temporary Assistance
- d.** Title XX: Children Services

**2.** Provide the following information on the use of New York State Child Care Block Grant (NYSCCBG) Funds.

- a.** FFY 2015-2016 Rollover funds (available from the NYSCCBG ceiling report in the claiming system) .....\$777,996.00
- b.** Estimate FFY 2016-2017 Rollover Funds .....\$505,095.00
- c.** Estimate of Flexible Funds for Family Services transferred to the NYSCCBG .....\$0.00
- d.** NYSCCBG Allocation 2017 .....\$1,782,639.00
- e.** Estimate of Local Share .....\$30,127.00
- Total Estimated NYSCCBG Amount** .....\$2,287,734.00
- f.** Subsidy .....\$2,137,861.00
- g.** Other program costs excluding subsidy .....\$0.00
- h.** Administrative costs .....\$180,000.00

**3.** Does your district have a contract or formal agreement with another organization to perform any of the following functions using the NYSCCBG?

Function	Organization	Amount of Contract
<b>a.</b> <input type="checkbox"/> Subsidy eligibility screening		
<b>b.</b> <input type="checkbox"/> Determining if legally-exempt providers meet OCFS-approved additional local standards		
<b>c.</b> <input type="checkbox"/> Assistance in locating care		
<b>d.</b> <input type="checkbox"/> Child care information systems		
<b>e.</b> <input type="checkbox"/> Payment processing		
<b>f.</b> <input type="checkbox"/> Other, specify:		

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**APPENDIX L**

Other Eligible Families if Funds are Available (Required)

I. Listed below are the optional categories of eligible families that your district can include as part of its County Plan. Select any categories your district wants to serve using the NYSCCBG funds and describe any limitations associated with the category.

Optional Categories	Option	Limitations
<p><b>1.</b> Public Assistance (PA) families participating in an approved activity in addition to their required work activity.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Agency approved activities as indicated in Saratoga County's Temporary Assistance and Food Stamp Employment Plan.</p>
<p><b>2.</b> PA families or families with incomes up to 200% of the State Income Standard when child care services are needed for the child to be protected because the caretaker is:</p> <p><b>a)</b> participating in an approved substance abuse treatment program</p> <p><b>b)</b> homeless</p> <p><b>c)</b> a victim of domestic violence and participating in an approved activity</p> <p><b>d)</b> in an emergency situation of short duration</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>Agency approved outpatient services as part of the Saratoga County Temporary Assistance and Food Stamp Employment Plan.</p>
<p><b>3.</b> Families with an open child protective services case when child care is needed to protect the child.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Provided on a case by case basis, as assessed by CPS staff, as necessary for the child to remain safely in the home.</p>
<p><b>4.</b> Families with incomes up to 200% of the State Income Standard when child care services are needed for the child to be protected because the child's caretaker:</p>		
<p><b>a)</b> is physically or mentally incapacitated</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Approved on case by case basis in those situations when other child's caretaker in the home is not available due to employment or other</p>

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Optional Categories	Option	Limitations
<p><b>b)</b> has family duties away from home</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>approved circumstance identified in this plan</p>
<p><b>5.</b> Families with incomes up to 200% of the State Income Standard when child care services are needed for the child’s caretaker to actively seek employment for a period up to six months. Child care services will be available only for the portion of the day the family is able to document is directly related to the caretaker engaging in such activities.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p><b>6.</b> PA families where a sanctioned parent or caretaker relative is participating in unsubsidized employment, earning wages at a level equal to or greater than the minimum amount under law.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p><b>7.</b> Families with incomes up to 200% of the State Income Standard when child care services are needed for the child’s caretaker to participate in:</p>		
<p><b>a)</b> a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p><b>b)</b> an education program that prepares an individual to obtain a NYS High School equivalency diploma</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p><b>c)</b> a program providing basic remedial education in the areas of reading, writing, mathematics, and oral communications for individuals functioning below the ninth month of the eighth grade level</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p><b>d)</b> a program providing literacy training designed to help individuals improve their ability to read and write</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p><b>e)</b> an English as a second language (ESL) instructional program designed to develop skills in listening, speaking, reading, and writing the English language for individuals whose primary language is other than English</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	

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Optional Categories	Option	Limitations
<p><b>f)</b> a two-year full-time degree granting program at a community college, a two-year college, or an undergraduate college with a specific vocational goal leading to an associate’s degree or certificate of completion</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p><b>g)</b> a training program, which has a specific occupational goal and is conducted by an institution other than a college or university that is licensed or approved by the State Education Department</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p><b>h)</b> a prevocational skill training program such as a basic education and literacy training program</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p><b>i)</b> a demonstration project designed for vocational training or other project approved by the Department of Labor</p> <p><b>Note:</b> The caretaker must complete the selected programs listed under Section 7 above within 30 consecutive calendar months. The caretaker cannot enroll in more than one program.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p><b>8.</b> PA recipients or low-income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a two-year program other than one with a specific vocational sequence (leading to an associate’s degree or certificate of completion and that is reasonably expected to lead to an improvement in the caretaker’s earning capacity) as long as the caretaker is also working at least 17½ hours per week. The caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p><b>9.</b> PA recipients or low-income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a two-year college or university program (other than one with a specific vocational sequence) leading to an associate’s degree or a certificate of completion that is reasonably expected to lead to an improvement in the caretaker’s earning capacity as long as the caretaker is also working at least 17½ hours per week. The caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	

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Optional Categories	Option	Limitations
<p><b>10.</b> PA recipients or low-income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a four-year college or university program leading to a bachelor’s degree and that is reasonably expected to lead to an improvement in the caretaker’s earning capacity as long as the caretaker is also working at least 17½ hours per week. The caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<p><input type="checkbox"/> Yes  <input checked="" type="checkbox"/> No</p>	
<p><b>11.</b> Families with incomes up to the 200% of the State Income Standard when child care services are needed for the child’s caretaker to participate in a program to train workers in an employment field that currently is or is likely to be in demand in the future, if the caretaker documents that he or she is a dislocated worker and is currently registered in such a program, provided that child care services are only used for the portion of the day the caretaker is able to document is directly related to the caretaker engaging in such a program.</p>	<p><input type="checkbox"/> Yes  <input checked="" type="checkbox"/> No</p>	

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## APPENDIX M #1

Reasonable Distance, Recertification Period, Family Share, Very Low Income,  
Federal and Local Priorities (Required)

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**I. Reasonable Distance**

Define “reasonable distance” based on community standards for determining accessible child care.

1. The following defines “reasonable distance”:

For the TANF recipients using their own vehicle or public transportation, Saratoga County has determined a reasonable distance not to exceed one (1) hour one way or the equivalent of fifty (50) miles one way from home to the daycare provider or the employer, with the understanding that exceptions will be considered on a case by case basis, depending on circumstances.

2. Describe any steps/consultations made to arrive at your definition:

Consultation with agency employment unit, publication of definition with public comment period, and discussion with the Social Service Advisory Council.

**II. Recertification Period**

The district’s recertification period for low income child care cases is every (select one):

six months     twelve months

**III. Family Share**

“Family Share” is the weekly amount paid towards the costs of the child care services by the child’s parent or caretaker. Your district must select a family share percentage from 10% to 35% to use in calculating the amount of family share. The weekly family share of child care costs is calculated by applying the family share percentage against the amount of the family’s annual gross income that is in excess of the State Income Standard divided by 52.

Family Share Percentage selected by the district 20%.

**Note:** *The family share percentage selected here must match the percentage entered in the Program Matrix in the Welfare Management System (WMS).*

**IV. Very Low Income**

Define “very low income” as it is used in determining priorities for child care benefits.

“Very Low Income” is defined as 175% of the State Income Standard.

**SARATOGA COUNTY – 2017 APU****V. Federal and Local Priorities**

1. The district must rank the federally mandated priorities. Cases that are ranked 1 have the highest priority for receiving child care assistance. These rankings apply to case closings and case openings.

a. Very low income as defined in Section IV:  Rank 1  Rank 2  Rank 3

b. Families with incomes up to 200% of the State Income Standard that have a child with special needs and a need for child care:  Rank 1  Rank 2  Rank 3

c. Families with incomes up to 200% of the State Income Standard that are experiencing homelessness:  Rank 1  Rank 2  Rank 3

2. Does the district have local priorities?

Yes  No

If yes, list below and rank beginning with Rank 4.

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## APPENDIX M #2

## Case Openings, Case Closings, and Waiting List (Required)

**I. Case Openings When Funds Are Limited**

If a social services district does not have sufficient funds to provide child care services to all families who are applying, the district may decide to open certain categories of families as funds become available. The district must open federal priorities first. If the district identified local priorities, they must be opened next. **After the federal and local priorities**, identify the basis upon which the district will open cases if funds become available. Check only **ONE** of the options listed below and describe the process for opening.

1.  Open based on **FIRST COME, FIRST SERVED**.
2.  Open based on **INCOME**. Check one of the boxes below:
  - The district will open cases starting from the lowest income to the highest income.
  - The district will open cases based on income bands, starting from the lowest income band to the highest income band. List the income bands, starting from the band that will be opened first:
3.  Open based on **CATEGORY OF FAMILY**.  
List below the remaining category 2 and 3 families included in 18 NYCRR §415.2(a)(2) and 18 NYCRR §415.2(a)(3) that are not federal or local priorities in the order they will be opened first.
4.  Open based on **INCOME AND CATEGORY OF FAMILY**.  
List below the incomes (from lowest to highest income) or income bands (from lowest income band to highest income band), and the remaining category 2 and 3 families included in 18 NYCRR §415.2(a)(2) and 18 NYCRR §415.2(a)(3) that are not federal or local priorities in the order they will be opened first.
5.  Open based on **OTHER CRITERIA**.  
Describe the criteria the district will use to select cases to be opened:
  - 1) <100% FPL
  - 2) 100-125% FPL
  - 3) 126-150% FPL
  - 4) 151-175% FPL
  - 5) 176-200% FPL

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Cases within the above categories that have not previously been in receipt of daycare assistance will be open before cases that had previously been in receipt. The case application date will further prioritize when other circumstances are equal. Families that have children with special needs will be given priority in case openings over all income levels stated above.

### II. Case Closings When Sufficient Funds Are Not Available

If a social services district does not have sufficient funds to continue to provide child care assistance to all families in its current caseload, the district may decide to discontinue child care assistance to certain categories of families. The district must close federal priorities last. If the district identified local priorities, they must be closed next to last. **After the federal and local priorities**, describe the basis upon which the district will close cases if sufficient funds are not available.

**If no priorities are established beyond the federally mandated priorities** and all funds are committed, case closings for families that are not eligible under a child care guarantee and are not under a federally mandated priority must be based on the length of time they have received services (must choose #1 below).

Check only **one** of the options for closing listed below and describe the process for closing.

1.  Close based on **AMOUNT OF TIME** receiving child care services.

Check **one** of the boxes below:

- The district will close cases starting from the shortest time receiving child care services to the longest time.
- The district will close cases starting from the longest time receiving child care services to the shortest time.

2.  Close based on **INCOME**.

Check **one** of the boxes below:

- The district will close cases starting from the highest income to the lowest income.
- The district will close cases based on income bands, starting from the highest income band to the lowest income band. List the income bands starting from the band that will be closed first:

3.  Close based on **CATEGORY OF FAMILY**.

List the category 2 and 3 families included in 18 NYCRR §415.2(a) that are not federal or local priorities in the order they will be closed.

**SARATOGA COUNTY – 2017 APU**4.  Close based on **INCOME AND CATEGORY OF FAMILY**.

List below the incomes (from the highest to lowest income) or income bands (from the highest income band to the lowest income band), and the category 2 and 3 families included in 18 NYCRR §415.2(a) that are not federal or local priorities in the order they will be closed.

5.  Close based on **OTHER CRITERIA**.

Describe the criteria the district will use to select cases to be closed:

By income bands:

- 1) 200-176% FPL
- 2) 175-151% FPL
- 3) 150-126% FPL
- 4) 125-100% FPL
- 5) <100% FPL

Within each income level above, cases will be additionally prioritized for closing in the event of limited funds by the length of time the case has been in receipt of child care funding. Cases that have been open longer will be closed first.

**III. Waiting List**

The district will establish a waiting list when there are not sufficient funds to open all eligible cases.

No.

Yes.

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## APPENDIX M #3

## Fraud and Abuse Control Activities and Inspections (Required)

**I. Fraud and Abuse Control Activities**

1. Describe below the criteria the district will use to determine which child care subsidy applications suggest a higher than acceptable risk for fraudulent or erroneous child care subsidy payments in addition to procedures for referring such applications to the district's front-end detection system.

The following are the criteria that will be used to determine which child care subsidy applications suggest a higher than acceptable risk for fraudulent or erroneous child care subsidy resulting in a referral to FEDS:

- Working off the books (currently or previously)
- Application is inconsistent with prior case information
- Prior history or denial, case closing, or overpayment resulting from an investigation
- No absent parent information or information is inconsistent with application
- No documentation to verify identity or documentation of identity is questionable
- Self-employed but without adequate business records to support financial assertion
- Unsure of own address

The following procedure will be used to refer such applications to FEDS. The state FEDS referral form will be utilized. The FEDS referral check-off form is reviewed by eligibility examiners. When an examiner detects an indicator, the referral form is completed by the examiner and given to eligibility supervisor for review and approval. It is the hand-delivered to the Special Investigations Unit the same day for review.

The SUI senior approves the referral at which time it is logged into the master log. The case is assigned to an investigator who begins research within 24-48 hours; investigation may include home visit and/or collateral contact. The investigator provides eligibility examiner with an oral report on a daily basis or if anything of significance is established.

Written report is provided as soon as investigation is complete—and always within 30 days of the client's application. The bottom of the report form has a section for case disposition. The eligibility worker and the SIU investigator discuss the case, at which time this section is completed.

The original report will remain in the SIU case record and a copy with cost avoidance figures will be forwarded to the eligibility worker.

2. Describe the sampling methodology used to determine which cases will require verification of an applicant's or recipient's continued need for child care, including, as applicable, verification of participation in employment, education, or other required activities.

All cases are reviewed 100% every six (6) months.

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3. Describe the sampling methodology used to determine which providers of subsidized child care services will be reviewed for the purpose of comparing the child care provider's attendance forms for children receiving subsidized child care services with any Child and Adult Care Food Program inspection forms to verify that child care was actually provided on the days listed on the attendance forms.

Saratoga County currently has 43 participating providers. Saratoga County will review 10 providers quarterly.

### II. Inspections of Child Care Provider Records and Premises

The district may choose to make announced or unannounced inspections of the records and premises of any provider/program that provides child care for subsidized children for the purpose of determining whether the child care provider is in compliance with applicable laws and regulations and any additional requirements imposed on such a provider by the social services district per 18 NYCRR §415.4(h)(3).

The district has the right to make inspections *prior to subsidized children receiving care* of any child care provider, including care in a home, to determine whether the child care provider is in compliance with applicable laws and regulations and any additional requirements imposed on such a provider by the district.

The district must report violations of regulations as follows:

- Violations by a licensed or registered child care provider must be reported to the applicable Office of Children and Families (OCFS) Regional Office.
- Violations by an enrolled or enrolling legally-exempt child care provider must be reported to the applicable Enrollment Agency.

1. Does the district choose to make inspections of such child care providers/programs?

No.

Yes. Provide the details of your inspections plan below.

- a. The following *types* of subsidized child care providers/programs are subject to this requirement:

Legally-Exempt Child Care

In-Home

Family Child Care

Group programs not operating under the auspices of another government agency

Group programs operating under the auspices of another government agency

Licensed or Registered Child Care

Family Day Care

Registered School-Age Child Care

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- Group Family Day Care
- Day Care Centers
- Small Day Care Centers

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## APPENDIX N

## District Options (Required)

**I.** Districts have some flexibility to administer their child care subsidy programs to meet local needs. Districts must complete Question 1 below. Note that all districts must complete the differential payment rate table in Appendix T.

**1.** The district selects (check one):

none of the options below  one or more of the options below

**II.** Districts must check the options that will be included in the district's county plan and complete the appropriate appendix for any option checked below.

- 1.**  The district has chosen to establish funding set-asides for NYSCCBG (complete Appendix O).
- 2.**  The district has chosen to use Title XX funds for the provision of child care services (complete Appendix P).
- 3.**  The district has chosen to establish additional local standards for child care providers (complete Appendix Q).
- 4.**  The district has chosen to make payments to child care providers for absences (complete Appendix R).
- 5.**  The district has chosen to make payments to child care providers for program closures (complete Appendix S).
- 6.**  The district has chosen to pay for transportation to and from a child care provider (complete Appendix T).
- 7.**  The district has chosen to pay up to 15% higher than the applicable market rates for licensed or registered child care providers that have been accredited by a nationally recognized child care organization (complete Appendix T).
- 8.**  The district has chosen to pay a differential rate above the required 5%, up to 15% higher than the applicable market rates for child care services during non-traditional hours (complete Appendix T).
- 9.**  The district has chosen to pay a differential rate for child care providers caring for children experiencing homelessness above the required differential amount (complete Appendix T).
- 10.**  The district has chosen to pay up to 75% of the enhanced market rate for legally-exempt family and in-home child care providers who have completed 10 hours of training, which has been verified by the Legally-Exempt Caregiver Enrollment Agency (complete Appendix T).
- 11.**  The district has chosen to pay for child care services while a caretaker who works the second or third shift sleeps (complete Appendix T).

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12.  The district has chosen to make payments to child care providers who provide child care services exceeding 24 consecutive hours (complete Appendix U).
13.  The district has chosen to include 18-, 19- or 20-year-olds in the Child Care Services Unit (complete Appendix U).
14.  The district requests a waiver from one or more regulatory provisions. Waivers are limited to those regulatory standards that are not specifically included in law (complete Appendix U).
15.  The district has chosen to pay for breaks in activity for low income families (non-public assistance families). Complete Appendix U.
16.  The district has chosen to use local equivalent(s) of OCFS required form(s). Prior to using a local equivalent form the district must obtain OCFS, Division of Child Care Services (DCCS) written approval. ***Any previous approvals for local equivalent forms will not be carried forward into this county plan. Therefore, any local equivalent forms a district wishes to establish or renew must be included in this plan and will be subject to review and approval by OCFS.***

If the district elects to use the OCFS-6025, *Application for Child Care Assistance*, and makes no changes other than adding the district name and contact information, the district only needs to inform OCFS DCCS that it will be using the OCFS-6025.

List below the names and attach copies of the local equivalent form(s) that the district would like to use.

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**APPENDIX O**  
Funding Set-Asides (Optional)

**I. Total NYSCCBG Block Grant Amount, Including Local Funds**

Category: .....\$  
 Category: .....\$  
 Category: .....\$  
 Category: .....\$  
 Category: .....\$

**Total Set-Asides (NYSCCBG) .....\$**

**1. Describe the rationale behind specific set-aside amounts from the NYSCCBG (e.g., estimated number of children) for each category.**

Category:  
Description:

Category:  
Description:

Category:  
Description:

Category:  
Description:

**II. The following amounts are set aside for specific priorities from the Title XX block grant:**

Category: .....\$  
 Category: .....\$  
 Category: .....\$

**Total Set-Asides (Title XX).....\$**

**1. Describe the rationale behind specific amounts set aside from the Title XX block grant (e.g., estimated number of children) for each category.**

Category:  
Description:

Category:  
Description:

Category:  
Description:

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## APPENDIX P

## Title XX Child Care (Optional)

**1. Enter the projected total of Title XX expenditures for the plan's duration:**

Indicate the financial eligibility limits (percentage of State Income Standard) your district will apply based on family size. Maximum reimbursable limits are 275% for a family of one or two, 255% for a family of three, and 225% for a family of four or more. Districts that are utilizing Title XX funds *only* for child protective and/or preventive child care services must not enter financial eligibility limits as these services are offered without regard to income.

Family Size: (2)      %      (3)      %      (4)      %

**2. Programmatic Eligibility for Income Eligible Families (Check all that apply.)**

- Title XX:     employment                       education/training  
                   seeking employment             illness/incapacity  
                   homelessness                       domestic violence  
                   emergency situation of short duration  
                   participating in an approved substance abuse treatment program

**3. Does the district apply any limitations to the programmatic eligibility criteria?**

- Yes     No

(See Technical Assistance #1 for information on limiting eligibility.)

If yes, describe eligibility criteria:

**4. Does the district prioritize certain eligible families for Title XX funding?**

- Yes     No

If yes, describe which families will receive priority:

**5. Does the district use Title XX funds for child care for open child protective services cases?**

- Yes     No

**6. Does the district use Title XX funds for child care for open child preventive services cases?**

- Yes     No

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## APPENDIX Q

## Additional Local Standards for Child Care Providers (Optional)

I. The district may propose local standards in addition to the State standards for legally-exempt providers who will receive child care subsidies issued by the district. This appendix must be completed for **each** additional local standard that the district wants to implement.

The district must coordinate with the local Enrollment Agency, including, but not limited to:

- Informing the Enrollment Agency of the intent to request an additional standard.
- Developing the stepwise process referenced in Question 5.
- Ensuring that no significant burden of work shall be incurred by the Enrollment Agency as a result of the additional local standard, unless such work is addressed in a separate contract or a formal agreement is in place, which are referenced in Question 3.
- Sharing any consent/release form that may be required.
- Keeping the Enrollment Agency informed of the approval status.

1. Check or describe in the space provided below the additional local standards that will be required of child care providers/programs.

- Verification, using the district's local records, that the provider has given the caretaker complete and accurate information regarding any report of child abuse or maltreatment in which he or she is named as an indicated subject
- Local criminal background check
- Require providers caring for subsidized children for 30 or more hours a week participate in the Child and Adult Care Food Program (CACFP). *Note that districts are required to notify the Enrollment Agency, using the OCFS-2114, District Notification to Legally-Exempt Caregiver Enrollment Agency, of all providers on the referral list for whom the requirement is "not applicable."*
- Site visits by the district
- Other (please describe):

2. Check below the type of child care program to which the additional local standard will apply and indicate the roles of the persons to whom it will apply in cases where the standard is person-specific.

- Legally-exempt family child care program. Check all that apply.
  - Provider                       Provider's Employee                       Provider's Volunteer
  - Provider's household member age 18 or older
- Legally-exempt in-home child care program. Check all that apply.
  - Provider                       Provider's Employee                       Provider's Volunteer
- Legally-exempt group provider/program not operating under the auspices of another government agency. Check all that apply.
  - Provider/Director     Provider's Employee                       Provider's Volunteer

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- Legally-exempt group provider/program operating under the auspices of another government or tribal agency. Check all that apply.
- Provider/Director     Provider's Employee     Provider's Volunteer

2a. Exceptions: There may be instances when the district may be unable to enact the additional standard, such as, the applicable person may reside outside of the district's jurisdiction, or the site of care may not be located within the district. In such cases, the district may create an exception to the applicability stated above.

**Note:** *The Child Care Facility System cannot track such exceptions and, therefore, the district remains responsible for notifying the applicable Enrollment Agency, using the OCFS-2114, District Notification to Legally-Exempt Caregiver Enrollment Agency, that an additional standard is "not applicable" to the specific provider/person named on the referral list.*

Place a check mark below to show any exception to the applicability of this Local Additional Standard to programs or roles previously identified.

- a. The district will not apply this additional local standard when the applicable person *resides* outside of the subsidy-paying district.
- b. The district will not apply this additional local standard when the *program's site of care is located outside* of the subsidy-paying district.
- c. The district will not apply this additional local standard when *the informal provider is younger than 18 years* of age.

3. Districts are responsible for implementation of the additional local standard unless they have a formal agreement or contract with another organization. Check the organization that will be responsible for the implementation of the additional local standard.

- Local social services staff  
Provide the name of the unit and contact person:
- Contracted agency  
Provide the name of the agency and contact person:

4. Are there any fees or other costs associated with the additional local standard?

- Yes     No

**Note:** *Costs associated with the additional local standard cannot be passed on to the provider.*

5. Describe, in chronological order, the steps for conducting the additional local standard. Include how the district will retrieve referrals from CCFS, communicate with providers and other applicable persons, determine compliance with the additional local standard, inform the Enrollment Agency whether the additional local standard has been "met," "not met", or is "not applicable", and monitor its timeliness. Include all agencies involved and

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their roles. Note that the district's procedures must be in accordance with 12-OCFS-LCM-01.

6. Indicate how frequently the additional local standard will be applied. Answer both questions.
- a. The Standard will be applied:
    - i.  At initial enrollment and re-opening
    - ii.  At each re-enrollment
  - b. The district will assess compliance with the additional local standard:
    - i.  *During the enrollment review period*, and, the district will notify the Enrollment Agency of the results within 25 days from the E-Notice referral date.
    - ii.  *During the 12-month enrollment period*, and, the district will notify the Enrollment Agency of the results promptly. Note that this option is always applicable to an additional local standard requiring participation in CACFP.
7. Describe the justification for the additional local standard in the space below.

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**APPENDIX R**

**Payment to Child Care Providers for Absences (Optional)**

1. The following providers are eligible for payment for absences (check all that are eligible):

- Day Care Center                       Legally-Exempt Group  
 Group Family Day Care               School-Age Child Care  
 Family Day Care

2. Our district will only pay for absences to providers with which the district has a contract or letter of intent.

- Yes     No

3. Base period (check one):     3 months     6 months

4. Number of absences allowed during base period:

Period	Routine Limits (# of days)	Extenuating Circumstances (# of days)	Total Number of Absences Allowed (# of days)
In a month			
Base period			

5. List reasons for absences for which the district will allow payment:

6. List any limitations on the above providers' eligibility for payment for absences:

**Note:** *Legally-exempt family child care and in-home child care providers are **not** eligible to receive payment for absences.*

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**APPENDIX S**

**Payment to Child Care Providers for Program Closures (Optional)**

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1. The following providers are eligible for payment for program closures:

- Day Care Center                       Legally-Exempt Group  
 Group Family Day Care     School-Age Child Care  
 Family Day Care

2. The district will only pay for program closures to providers with which the district has a contract or letter of intent.

- Yes     No

3. Enter the number of days allowed for program closures (maximum allowable time for program closures is five days).

4. List the allowable program closures for which the district will provide payment.

**Note:** *Legally-exempt family child care and in-home child care providers are **not** allowed to be reimbursed for program closures.*

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## APPENDIX T

Transportation, Differential Payment Rates, Enhanced Market Rate  
for Legally-Exempt Family and In-Home Providers, and Sleep (Optional)**I. Transportation**

1. Describe any circumstances and limitations the district will use to reimburse for transportation. Include what type of transportation will be reimbursed (public and/or private) and how much your district will pay (per mile or trip). Note that if the district is paying for transportation, the Program Matrix in the Welfare Management System (WMS) should reflect this choice.

No

Yes, describe:

**II. Differential Payment Rates**

1. Districts must complete the Differential Payment Rate Percent (%) column in the table below for each of the four (4) differential payment rate categories. For the two (2) categories that require a state minimum five percent (5%) differential payment rate, the district must enter “5%” or, if it chooses, a higher rate up to 15%.

The other two (2) differential payment rate categories in the table below are optional. If the district chooses not to set differential payment rates, the district must enter zero. If the district chooses to set a differential payment rate, enter the appropriate percentage up to 15 percent (15%). Note that if the district selects a differential payment rate for nationally accredited programs, then that rate must be in the range of five percent (5%) to 15 percent (15%).

<b>Differential Payment Rate Category</b>	<b><i>Differential Payment Rate Percent (%)</i></b>	<b>Instructions for Differential Payment Rate Percent (%) Column</b>
Homelessness: Licensed and Registered Providers <b>State required minimum of 5%</b>	5%	Enter a percentage (%): 5% to 15%. ( <u>Must</u> enter at least <u>5%</u> )
Homelessness: Legally-Exempt Providers	0%	Enter 0% or a percentage (%) up to 15%.
Non-traditional Hours: All Providers <b>State required minimum of 5%</b>	5%	Enter a percentage (%): 5% to 15%. ( <u>Must</u> enter at least <u>5%</u> )
Nationally Accredited Programs: Licensed and Registered Providers	0%	Enter 0% or a percentage (%) from 5% to 15%.

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2. Payments may not exceed 25% above market rate. However, if your district wants to establish a payment rate that is more than 15% above the applicable market rate, describe below why the 25% maximum is insufficient to provide access within the district to accredited programs or care provided during non-traditional hours and/or care provided to children experiencing homelessness.

**III. Enhanced Market Rate for Legally-Exempt Family and In-Home Child Care Providers**

1. Indicate if the district is electing to establish a payment rate that is in excess of the enhanced market rate for legally-exempt family and in-home child care providers who have completed 10 or more hours of training annually and the training has been verified by the legally-exempt caregiver enrollment agency.

No.

Yes. Indicate percent, not to exceed 75% of the child care market rate established for registered family day care.

**IV. Sleep**

1. The following describes the standards the district will use to evaluate whether to pay for child care services while a caretaker that works a second or third shift sleeps, as well as any limitations pertaining to payment:
  
2. Indicate the number of hours allowed by your district per day (maximum number of hours allowed is eight).

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## APPENDIX U

Child Care Exceeding 24 Hours, Child Care Services Unit, Waivers,  
and Breaks in Activities (Optional)**I. Child Care Exceeding 24 Hours**

1. Child care services may exceed 24 consecutive hours when such services are provided on a short-term emergency basis or in other situations where the caretaker's approved activity necessitates care for 24 hours on a limited basis. Check below under what circumstances the district will pay for child care exceeding 24 hours.

- On a short-term or emergency basis  
 The caretaker's approved activity necessitates care for 24 hours on a limited basis

2. Describe any limitations on the payment of child care services that exceed 24 consecutive hours.

**II. Child Care Services Unit (CCSU)**

1. Indicate below if your district will include 18-, 19-, or 20-year-olds in the CCSU for determining family size and countable family income.

- a. The district will include the following in the CCSU (check all that apply).

- 18-year-olds                       19-year-olds                       20-year-olds

**OR**

- b. The district will only include the following in the CCSU when it will benefit the family (check all that apply)

- 18-year-olds                       19-year-olds                       20-year-olds

2. Describe the criteria your district will use to determine whether or not 18-, 19-, or 20-year olds are included in the CCSU.

**III. Waivers**

1. Districts have the authority to request a waiver of any regulatory provision that is non-statutory. Describe and justify why your district is requesting a waiver.

**IV. Breaks in Activities**

1. Districts may pay for child care services for low-income families during breaks in activities either for a period not to exceed two weeks or for a period not to exceed four weeks when child care arrangements would otherwise be lost and the subsequent activity is expected to begin within that period. If your district will pay for breaks in activities, indicate below for how long of a break that the district will pay for (check one):

- Two weeks                       Four weeks

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2. Districts may provide child care services while the caretaker is waiting to enter an approved activity or employment or on a break between approved activities. The following low-income families are eligible for child care services during a break in activities (check all that are eligible):

- a.  Entering an activity
- b.  Waiting for employment
- c.  On a break between activities