

# Child Care

## Appendix K: Child Care Administration

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:** Day Care Unit
- b. **Transitioning Families:** Day Care Unit
- c. **Income Eligible Families:** Day Care Unit
- d. **Title XX:** Family and Children's Services

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

Item	Amount
<b>a. FFY 2016-2017 Rollover funds:</b> <i>(available from the NYSCCBG ceiling report in the claiming system)</i>	\$230,374
<b>b. Estimate FFY 2017-2018 Rollover Funds:</b>	\$317,561
<b>c. Estimate of Flexible Funds for Family Services transferred to the NYSCCBG:</b>	\$0
<b>d. NYSCCBG Allocation 2018:</b>	\$986,170
<b>e. Estimate of Local Share:</b>	\$53,422
<b>Total Estimated NYSCCBG Amount:</b>	\$1,269,966
<b>f. Subsidy:</b>	\$1,039,592
<b>g. Other program costs excluding subsidy:</b>	\$0
<b>h. Administrative costs:</b>	\$203,409

### 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
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Cortland County: Child Care

- a. Subsidy eligibility screening \$
- b. Determining if legally-exempt providers meet OCFS-approved additional local standards Child Development Council of CNY \$3,000  
*(must be noted in Appendix Q with the corresponding additional standard)*
- c. Assistance in locating care \$
- d. Child care information systems \$
- e. Payment processing \$
- f. Other \$  
*Please specify function:*

## Appendix L: Other Eligible Families if Funds are Available

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
<b>1. Public Assistance (PA) families participating in an approved activity in addition to their required work activity.</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	
<b>2. 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:</b>		
<b>a) participating in an approved substance abuse treatment program</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	Families with income up to 200% of the State Income Standard must be employed or on a temporary leave of absence from a job prior to participation in the treatment program. There are no limitations for families in receipt of Temporary Assistance.
<b>b) homeless</b>	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>c) a victim of domestic violence and participating in an approved activity</b>	<input type="radio"/> Yes <input checked="" type="radio"/> No	

<b>d) in an emergency situation of short duration</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	Time limited for a period of up to four weeks and approved on a case by case basis after all other resources have been ruled out.
<b>3. Families with an open child protective services case when child care is needed to protect the child.</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	Eligibility for this population must be determined by the Family and Children's Services Director. Services are approved when they are a part of a child safety plan. The child must be at risk for foster care placement due to high risk factors and child care services must be determined to be necessary to reduce the risk of out of home placement.
<b>4. 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:</b>		
<b>a) is physically or mentally incapacitated</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	This is time limited for a period of up to 8 weeks.
<b>b) has family duties away from home</b>	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<b>5. 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.</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	This is time limited for a period of up to 4 weeks and the caretaker must provide proof of at least 5 job contacts per week.
<b>6. 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.</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	
<b>7. 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:</b>		
<b>a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	Available for caretakers up to age 19.
<b>b) an education program that prepares an individual to obtain a NYS High School equivalency diploma</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	Available up to age 19 with no other limitations. For those over age 19, the caretaker must be employed at least 17.5 hours per week with earnings of at least minimum wage and being time limited for a period of 12

		consecutive months.
<b>c) 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</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	Available up to age 19 with no other limitations. For those over age 19, the caretaker must be employed at least 17.5 hours per week with earnings of at least minimum wage and being time limited for a period of 12 consecutive months.
<b>d) a program providing literacy training designed to help individuals improve their ability to read and write</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	Available up to age 19 with no other limitations. For those over age 19, the caretaker must be employed at least 17.5 hours per week with earnings of at least minimum wage and being time limited for a period of 12 consecutive months.
<b>e) 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</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	Available up to age 19 with no other limitations. For those over age 19, the caretaker must be employed at least 17.5 hours per week with earnings of at least minimum wage and being time limited for a period of 12 consecutive months.
<b>f) 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</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	Available up to age 19 with no other limitations. For those over age 19, the caretaker must be employed at least 17.5 hours per week with earnings of at least minimum wage and being time limited for a period of 12 consecutive months.
<b>g) 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</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	Available up to age 19 with no other limitations. For those over age 19, the caretaker must be employed at least 17.5 hours per week with earnings of at least minimum wage and being time limited for a period of 12 consecutive months.
<b>h) a prevocational skill training program such as a basic education and literacy training program</b>	<input checked="" type="radio"/> Yes <input type="radio"/> No	Available up to age 19 with no other limitations. For those over age 19, the caretaker must be employed at least 17.5 hours per week with earnings of at least minimum wage and being time limited for a period of 12 consecutive months.

<p><b>i) a demonstration project designed for vocational training or other project approved by the Department of Labor</b></p>	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<p><i><b>Note:</b> The caretaker must complete the selected programs listed within 30 consecutive calendar months. The caretaker cannot enroll in more than one program.</i></p>		
<p><b>8. 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.</b></p>	<input checked="" type="radio"/> Yes <input type="radio"/> No	<p>Available up to age 19 with no other limitations. For those over age 19, the caretaker must be employed at least 17.5 hours per week with earnings of at least minimum wage and being time limited for a period of 12 consecutive months.</p>
<p><b>9. 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.</b></p>	<input checked="" type="radio"/> Yes <input type="radio"/> No	<p>Available up to age 19 with no other limitations. For those over age 19, the caretaker must be employed at least 17.5 hours per week with earnings of at least minimum wage and being time limited for a period of 12 consecutive months.</p>
<p><b>10. 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.</b></p>	<input checked="" type="radio"/> Yes <input type="radio"/> No	<p>Available up to age 19 with no other limitations. For those over age 19, the caretaker must be employed at least 17.5 hours per week with earnings of at least minimum wage and being time limited for a period of 12 consecutive months.</p>
<p><b>11. 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.</b></p>	<input checked="" type="radio"/> Yes <input type="radio"/> No	<p>Available up to age 19 with no other limitations. For those over age 19, the caretaker must be employed at least 17.5 hours per week with earnings of at least minimum wage and being time limited for a period of 12 consecutive months.</p>

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# Appendix M #1: Reasonable Distance, Recertification Period, Family Share, Very Low Income, Federal and Local Priorities

## I. Reasonable Distance

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

1. The following defines "reasonable distance":

Reasonable distance is defined as one hour of travel time from home to the child care location to the employment location.

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

This definition was derived in consideration of the geography and public transportation system in Cortland County. There are no locations within Cortland County from which a round trip to the City of Cortland, where almost all of the registered and center daycare providers are located, would take more than an hour. The concept of using time for this definition rather than miles allows us to account for the amount of time it may take an individual accessing daycare services through the use of the public bus system. It was felt that the use of mileage in the definition would not allow us to achieve a reasonable and consistent definition for all individuals needing to use daycare in Cortland County.

## II. Recertification Period

**The district's recertification period for low income child care cases is every:**

- 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:

35%

***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 **200%** of the State Income Standard.

## 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 them below and rank beginning with Rank 4.

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# Appendix M #2: Case Openings, Case Closings, and Waiting List

## 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. Select one of the options listed below and describe the process for opening.

- 1. Open cases based on **FIRST COME, FIRST SERVED.**
- 2. Open cases based on **INCOME.**
- 3. Open cases based on **CATEGORY OF FAMILY.**
- 4. Open cases based on **INCOME AND CATEGORY OF FAMILY.**
- 5. Open cases based on **OTHER CRITERIA.**

## 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).

Select one of the options listed below and describe the process for closing.

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

### If closing based on amount of time...

- 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 cases based on **INCOME.**
  - 3. Close cases based on **CATEGORY OF FAMILY.**
  - 4. Close cases based on **INCOME AND CATEGORY OF FAMILY.**
  - 5. Close cases based on **OTHER CRITERIA.**

## III. Waiting List

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

- No
- Yes

# Appendix M #3: Fraud and Abuse Control



# Activities and Inspections

## 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 criteria used to determine which applications will be referred to our front end detection system are:

- The client is self-employed without adequate business records to support financial assertions;
- There is a prior case history of denial, case closing, or overpayments resulting from an investigation;
- There are case inconsistencies between the application and what is known from prior case history;
- The county of residence is questionable;
- The clients have been separated from marriage within the past month.

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.

*The district cannot use criteria such as the age of provider, the gender of provider, a post office box address, or evidence that the child lives in the same residence as the provider as indicators in drawing the sample.*

All cases are recertified every 12 months, where the complete eligibility of that case is redetermined. This includes verification of the continued need for child care, verification of employment, and education and/or attendance in any approved activity. The recipient is required to provide pay stubs, as well as a statement from their employer or the instructor of any educational program they may be attending. Inconsistencies will be reviewed for any overpayment, and referred to our Fraud Investigation Unit as appropriate.

Given that our recertification period is 12 months, we recognize the need for additional fraud and abuse control activities, as per NYCRR 415.2. To achieve this, each month a contact letter will be sent out on 1% of our open child care cases (for a total of 12% of all open cases for the year). This letter will include a checklist for the recipient to return, asking for verification of employment and household income, changes in household composition and residence, and the need for continued childcare. Any inconsistencies will be reviewed for any overpayment, and referred to our Fraud Investigation Unit as appropriate.

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.

On a quarterly basis, the Child Development Council of CNY will send the local district a list of providers that they have completed the on-site meal service review for during that quarter. The local district will identify from those providers ones who cared for children receiving subsidized child care services, with a minimum of 6 cases examined each quarter, unless the total number is less than 6. The local district will cross reference the CACFP claim with the day care attendance on the billing form, for the month of the on-site meal service review.

Any inconsistencies will be reviewed for an overpayment and referred back to the Child Development Council of CNY to follow up with their procedure for provider eligibility.

## 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 to determine if 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:

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

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

- No.
- Yes. Provide the details of your inspections plan below.

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

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## Appendix N: District Options

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

**I. The district selects:**

- 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 a differential rate 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% minimum differential rate 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 minimum differential rate (complete Appendix T).
10. The district has chosen to pay a differential rate in excess of the 25% maximum differential rate for child care providers that qualify for multiple differential rates to allow sufficient access to child care providers or services within the district (complete Appendix T).
11. 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).
12. The district has chosen to pay for child care services while a caretaker who works the second or third shift sleeps (complete Appendix T).
13. The district has chosen to make payments to child care providers who provide child care services exceeding 24 consecutive hours (complete Appendix U).
14. The district has chosen to include 18-, 19- or 20-year-olds in the Child Care Services Unit (complete Appendix U).
15. 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).
16. The district has chosen to pay for breaks in activity for low income families (non-public assistance families) (complete Appendix U).
17. 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.**

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

18. The district elects to use the OCFS-6025, Application for Child Care Assistance. The local district may add the district name and contact information to the form.

## Appendix O: Funding Set-Asides

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

Category	Amount
	\$
	\$
	\$
	\$
	\$
<b>Total Set-Asides (NYSCCBG):</b>	\$

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	Amount
	\$
	\$
	\$
<b>Total Set-Asides (Title XX):</b>	\$

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:

## Appendix P: Title XX Child Care

1. Enter the projected total of Title XX expenditures for the plan's duration: **\$230,000**

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.

<b>Family Size</b>	<b>Eligibility Limit</b>
<b>Two People</b>	%
<b>Three People</b>	%
<b>Four People</b>	%

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

- Employment
- Seeking employment
- Homelessness
- Education / training
- Illness / incapacity
- 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

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

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. Select the additional local standard 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
  - Provider
  - Provider's employee
  - Provider's volunteer

Provider's household member age 18 or older

Legally-exempt in-home child care program

Provider

Provider's employee

Provider's volunteer

Legally-exempt group provider / program not operating under the auspices of another government agency

Provider / director

Provider's employee

Provider's volunteer

Legally-exempt group provider / program operating under the auspices of another government or tribal agency

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:*  
Cortland County DSS Daycare Unit; Marna Bentley, Social Welfare Manager

Contracted agency (must correspond to Appendix K, Question 3b)  
*Provide the name of the agency and contact person:*

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

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

The individuals referenced in question #2 above will be provided with the "Notification of **Cortland** County Additional Local Standard for the Enrollment of Legally-Exempt Family Child Care Providers, In-Home Child Care Providers, and Legally-Exempt Group Providers Authorization & Release Form" in the enrollment package it distributes to parents. This release will allow the Department to conduct a check of the local child welfare records related to the child care attestations for the sole purpose of verifying the accuracy of the information submitted to the parent/caretaker per 18 NYCRR § 415.4(f)(7)(ii). Household members 18 years of age or older will only be required to complete the release when care is not in the home of the child. If an individual refuses to sign the release, the enrollment package will be considered incomplete and the enrollment will be withdrawn by the enrollment agency.

To initiate the additional standards check, per 12-OCFS-LCM-01, the Child Care Facility System will automatically generate the referral for the applicable child care program types and individual roles, specified in question # 2 above, to the **Cortland County Department of Social Services**. The **Cortland County Department of Social Services** must run the Legally-Exempt Additional Standards Referral List in CCFS to obtain the list of enrolling/enrolled/re-enrolling Legally-Exempt Family Child Care Providers and other individuals for whom a determination is required. However, since CCFS cannot identify any "Exceptions" stated in question # 2, the **Cortland County Department of Social Services** must identify the exceptions. When a referred individual is subject to an exception specified in question #2, the additional standard will not apply and the District will notify the applicable enrollment agency that the additional standard is "**not applicable**" to the individual.

When a child welfare database check of the Cortland County records related to the child care attestations reveal that an individual referenced in question #2 is an indicated subject of a child abuse or maltreatment report, the Department will notify the proposed provider that he/she must submit to the Department a copy of the of the written statement provided to the parent/caretaker concerning the indicated report within 10 days. This statement must be signed by the parent/caretaker, acknowledging receipt of this information and the parent/caretaker's continued wish to use this child care provider.

The Department will review the written statement, and if the information submitted by the provider regarding the indicated child abuse/maltreatment report does not substantially correlate with the

information obtained from the actual report, the Department will notify the provider that they have ten calendar days to clarify the discrepancies in the information submitted to the Department and the parent/caretaker or the provider must submit information to the Department which documents that the information within the child abuse/maltreatment report is inaccurate. This clarification must substantially correlate with the information in the child abuse/maltreatment report. If the provider fails to clarify the discrepancies or establish that the information within the child abuse/maltreatment report is inaccurate, then the Department will notify the Enrollment Agency that the additional standard has not been met.

If the information within the indicated child abuse/maltreatment report correlates with the information obtained from the provider and the parent/caretaker still chooses to use the provider, or, the search of the local records does NOT find that an individual specified in question #2 above is an indicated subject of a child abuse or maltreatment report. the Enrollment Agency will be notified that the additional local standard has been met.

If The district determines the provider/person is not subject to the additional standard based on an exception specified in question #2, the additional standard will be considered "not applicable"

The district will maintain a file which documents how the determination was made as to whether the additional local standard was "met" or "not met" or "not applicable."

In accordance with 12-OCFS-LCM-01, the **Cortland County Department of Social Services** will complete the OCFS-2114, District Notification to Legally-Exempt Caregiver Enrollment Agency, and send it to the Enrollment Agency to notify the Enrollment Agency of the determination of: "Met", "Not Met" or "Not Applicable. The Enrollment Agency enters this information into the CCFS system, which generates a form letter depending on the outcome (notice of denial, notice of termination, or notice of enrollment) and sends this notice to the parent and provider.

## 6. Indicate how frequently the additional local standard will be applied. Answer both questions.

### 1. The Standard will be applied:

- At initial enrollment and re-opening
- At each re-enrollment

### 2. The district will assess compliance with the additional local standard:

- 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.
- 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.

To enhance the sharing of information that could affect the safety of children in legally exempt child care settings, our Department wants to verify that providers have told parents about known Child Protective Services history. Our Department wants parents/caretakers to have the opportunity to make educated decisions regarding providers who may have a history of child abuse/maltreatment.

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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. Select the additional local standard 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

Provider

Provider's employee

Provider's volunteer

Provider's household member age 18 or older

Legally-exempt in-home child care program

Provider

Provider's employee

Provider's volunteer

Legally-exempt group provider / program not operating under the auspices of another government agency

- Provider / director
- Provider's employee
- Provider's volunteer

Legally-exempt group provider / program operating under the auspices of another government or tribal agency

- 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 (must correspond to Appendix K, Question 3b)  
*Provide the name of the agency and contact person:*  
Child Development Council of CNY

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

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

Purpose: The home visiting component helps ensure standards are being met. It also allows the providers an opportunity to connect with a resource for training and support.

Contract scope and amount: All legally exempt providers that are not already inspected under the contract between Office of Children and Family Services (OCFS) and Child Development Council (CDC) will be inspected. This involves approximately 50 providers at \$52 per visit, not to exceed \$3,000 in one year.

Cortland County DSS contracts with the Child Development Council (CDC) to administer the IN-HOME Quality Improvement Program for all enrolled Legally Exempt providers residing in Cortland County, not otherwise inspected under OCFS requirements. The Child Development Council is the Enrollment Provider for Cortland County and is aware of all new providers. The visits are conducted at least one time per year for the following purpose:

- That the child care is being provided in the home that is enrolled;
- That the child care is being provided by the person who is enrolled;
- That the provider is caring for the approved number of children;
- To review the standards in the Home Safety Checklist;
- To review services available at the CDC and within the community to the provider;
- To provide information on training opportunities;
- To provide written information on first aid, poison prevention and Poison Control;
- To provide resources such as first aid kits and smoke detectors, when available.

The provider is notified of the additional standard by the Enrollment Agency, who sends to the provider the "Notification of Additional Local Standard for the Enrollment of Legally Exempt Family Child Care Providers and In-Home Child Care Providers Release and Authorization" form.

To initiate the additional standards check, per 12-OCFS-LCM-01, the Child Care Facility System will automatically generate the referral for the applicable child care program types and individual roles, specified in question # 2 above, to the **Cortland County Department of Social Services**. The **Cortland County Department of Social Services** must run the Legally-Exempt Additional Standards Referral List in CCFS to obtain the list of enrolling/enrolled/re-enrolling Legally-Exempt Family Child Care Providers and other individuals for whom a determination is required. However, since CCFS cannot identify any "Exceptions" stated in question # 2, the **Cortland County Department of Social Services** must identify the exceptions. When a referred individual is subject to an exception specified in question #2, the additional standard will not apply and the District will notify the applicable enrollment agency that the additional standard is "**not applicable**" to the individual.

If during the visit a health and safety concern arises, it will be addressed in one of two ways:

- For fixable non-compliance issues, such as missing a smoke detector or missing health forms providers are given the item they need to come into compliance, and for all non-compliance issues, the visiting worker will make a complaint to the Enrollment Agency.

Quarterly and annual reports will be provided to the local district outlining the number of visits made; instances where health and safety items were offered; instances where appropriate child care advice and guidance was offered; and instances where technical assistance and program development was offered.

In accordance with 12-OCFS-LCM-01, the **Cortland County Department of Social Services** will complete the OCFS-2114, District Notification to Legally-Exempt Caregiver Enrollment Agency, and send it to the Enrollment Agency to notify the Enrollment Agency of the determination of: "Met", "Not

Met” or “Not Applicable.

The district contractor must determine, for each Legally-Exempt Family Child Care Provider on the referral list, whether the additional standard is as follows:

**The standard is “met” when:**

- The provider cooperates with the site visit, and/or
- The provider, the children, and/or the location of care provided is the same information that was provided in the enrollment package.

**The standard is considered to be “not met” when:**

- The provider does not cooperate, and/or
- The provider, the children, and/or the location of care provided is not the same information that was provided in the enrollment package.

**The standard is considered “not applicable” when:**

- Those persons whose role is NOT checked in question #2.
- The referred individual is subject to an exception specified in question #2a

**6. Indicate how frequently the additional local standard will be applied. Answer both questions.**

**1. The Standard will be applied:**

- At initial enrollment and re-opening
- At each re-enrollment

**2. The district will assess compliance with the additional local standard:**

- 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.*
- 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.**

This additional local standard helps to ensure that safe and appropriate child care is being provided. These visits provide an opportunity for advice, guidance, technical assistance, and program development.

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# Appendix R: Payment to Child Care Providers for

# Absences

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

- Day care center
- Group family day care
- Family day care
- Legally-exempt group
- School-age child 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:

- 3 months
- 6 months

## 4. Number of absences allowed per child during base period:

Period	Routine Limits (# of days)	Extenuating Circumstances (# of days)	Total Number of Absences Allowed (# of days)
In a Month	12	3	15
Base Period	12	8	20

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

Any reason is accepted for routine absences.

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

A caretaker is responsible to request payment for absences for extenuating circumstances and to provide documentation to verify the circumstances. Cases are reviewed and approved by the Day Care Unit Supervisor and must be submitted by the caretaker within 30 days of the absence.

Extenuating circumstances, allowable reasons include:

- The need for the child or the child's caretaker to appear in court or to keep appointments related to the provision of Preventive, Foster Care, Adoption or Child Protective Services, or other needs set forth in the child's Service Plan;

- The need for the child to receive medical care and or routine medical treatment;
- The child's family is homeless, and the homelessness necessitates the child's absence from child care;
- The child's caretaker is participating in an approved education or training program and the child's absence coincides with the temporary suspension of such program for purposes including, but not limited to: holidays, school conferences, and snow days resulting in closure.

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

## Appendix S: Payment to Child Care Providers for Program Closures

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

- Day care center
- Group family day care
- Family day care
- Legally-exempt group
- School-age child 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):

5

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

When day care centers are closed for holidays as identified in their contract with the Department, the Department will pay for an absence only if the family did not have to use alternative child care due to the center closing.

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

## Appendix T: Transportation, Differential Payment Rates, Enhanced Market Rate for Legally-Exempt Family and In-Home Providers, and Sleep



**1. Are there circumstances where the district will reimburse for transportation?**

- No
- Yes

**2. If the district will reimburse for transportation, describe any circumstances and limitations the district will use to reimburse. 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.**

**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%).

Differential Payment Rate Category	Differential Payment Rate Percent	Instructions
<b>Homelessness: Licensed and Registered Providers</b> State required minimum of 5%	5%	Enter a percentage (%): 5% to 15%. ( <i>Must</i> enter at least 5%)
<b>Homelessness: Legally-Exempt Providers</b>	0%	Enter 0% or a percentage (%) up to 15%.
<b>Non-traditional Hours: All Providers</b> State required minimum of 5%	15%	Enter a percentage (%): 5% to 15%. ( <i>Must</i> enter at least 5%)
<b>Nationally Accredited Programs: Licensed and Registered Providers</b> <i>Legally-exempt child care providers are not eligible for a differential payment rate for accreditation.</i>	0%	Enter 0% or a percentage (%) from 5% to 15%.

**2. Generally, differential payment rates may not exceed 25% above the applicable market rate or actual cost of care. However, a district may request a waiver from the Office to establish a payment rate that is in excess of 25% above the applicable market rate upon showing that the 25% maximum is insufficient to provide access within the district to child care providers or services that offer care addressing more than one of the differential payment rate categories. However, if your district wants to establish a payment rate that is more than 25% above the applicable market rate, describe below why the 25% maximum is insufficient to provide access to such child care providers or services.**

**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

**2. If yes, indicate percent, not to exceed 75% of the child care market rate established for registered family day care.**

%

#### **IV. Sleep**

**1. Does the district choose to pay for child care services while a caretaker that works a second or third shift sleeps?**

- No  
 Yes

**2. 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:**

The Department will pay for child care services to enable a parent who works a second or third shift to sleep, providing that there is not another responsible and available adult in the home during the time the caretaker is sleeping.

**3. Indicate the number of hours allowed by your district per day (maximum number of hours allowed is eight).**

8

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## Appendix U: Child Care Exceeding 24 Hours, Child Care Services Unit, Waivers, and Breaks in Activities

### **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.**

Approval of services that exceed 24 consecutive hours is subject to the approval of the Department Child Care Unit Supervisor.

**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.**

All 18, 19 or 20 year olds residing in the household will be counted if it benefits the family.

**III. Waivers**

**1. Districts have the authority to request a waiver of any regulatory provision that is non-statutory. The waiver must be approved by OCFs before it can be implemented. 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

**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):**

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