APPENDIX G-1 CHILD CARE SECTION APU 2011

County: LEWIS

I. Administration (Required Section)

Describe how your district is organized to administer the childcare program including any functions that are subcontracted to an outside agency.

1. Identify the unit that has primary responsibility for the administration of childcare for:

Public Assistance Families: Employment & Training

Transitioning Families: Employment & Training

Income Eligible Families: Employment & Training

Title XX: Children's Services

2. Indicate the use of New York State Child Care Block Grant (NYSCCBG) Funds.

Estimate of Rollover Funds for FFY 08-09	\$23,148
Estimate of Flexible Funds for Families (FFFS) for child care subsides	\$0
NYSCCBG Allocation for SFY 09-10	\$379,370
Estimate of Local Share	\$2,000

Total Estimated NYSCCBG Amount: \$404,518

A. Subsidy	\$389,160
B. Other program costs (excluding subsidy)	\$13,358
C. Administrative costs	\$2,000

	Ooes your district have a cont erform any of the following fu	ract or formal agreement with anoth unctions?	her organization to
<u>Fun</u>	ction:	Organization:	Amount of Contract
	Eligibility screening		
	Assistance in locating care	Community Action Planning Council Jefferson County Kindertrack	\$31,6000
	Child Care Information Systems	immer truck	
	Determining if legally- exempt providers meet State approved additional local standards (if applicable)	Community Action Planning Council Jefferson County	
	Other		

APPENDIX G-2

II. Other Eligible Families if Funds are Available (Required Section)

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

Optional Categories	Option	Limitations
1. Public Assistance (PA) families participating in an approved activity in addition to their required work activity.	∑ Yes □ No	None
2. PA families or families with income up to 200% of the State Income Standard When the caretaker is:		
a) Participating in an approved substance abuse treatment program	∑ Yes ☐ No	None
b) Homeless	Yes No	None
c) A victim of domestic violence	∑ Yes □ No	None
d) In an emergency situation of short duration	∑ Yes □ No	None
3. Families with an open child protective services case when childcare is needed to protect the child.	∑ Yes ☐ No	Only when Title XX funds are exhausted and upon recommendation of Childrens' Services supervisory staff
4. Families with income up to 200% of the State Income Standard when child care services are needed because the child's caretaker:		
a) Is physically or mentally incapacitated	∑ Yes □ No	Only when Title XX funds are exhausted and upon recommendation of Childrens' Services supervisory staff
b) Has family duties away from home	∑ Yes □ No	Only when Title XX funds are exhausted and upon recommendation of Childrens' Services supervisory staff

5. Families with income up to 200% of the State Income Standard when childcare services are needed for the child's caretaker to actively seek employment for a period up to 6 months.	☐ Yes ⊠ No	
6. PA families where a sanctioned parent is participating in unsubsidized employment, Earning wages at a level equal to or greater Than the minimum amount under law.	∑ Yes □ No	
7. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in:		
a) A public or private educational facility providing a standard high school curriculum offered by or approved by the local school district	⊠ Yes □ No	
b) An education program that prepares an individual to obtain a NYS High School equivalency diploma	∑ Yes ☐ No	
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	⊠ Yes □ No	
d) A program providing literacy training designed to help individuals improve their ability to read and write;	Yes No	
e) 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	⊠ Yes □ No	
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 degree or certificate of completion	⊠ Yes □ No	

g) A training program, which has a	⊠ Yes	
specific occupational goal and is	☐ No	
conducted by an institution licensed or		
approved by the State Education		
Department other than a college or		
university		
h) A prevocational skill training	X Yes	
program such as, a basic education and	☐ No	
literacy training program	5 7	
i) A demonstration project designed for		
vocational training or other project	☐ No	
approved by the Department of Labor.		
The parent/caretaker must complete the		
selected programs listed under number		
seven within 30 consecutive calendar		
months. The parent/caretaker cannot		
enroll in more than one program.		
8. PA recipients and low income families	X Yes	
With incomes up to 200% of the State	No No	
Income Standard who are satisfactorily		
participating in a two-year program other		
than one with a specific vocational		
sequence (leading to an associates degree or		
certificate of completion and that is		
reasonably expected to lead to an		
improvement in the parent/caretaker's		
earning capacity) as long as the parent(s) or		
caretaker is also working at least 17 ½		
hours per week. The parent/caretaker must		
demonstrate his or her ability to		
successfully complete the course of study.		

9. PA recipients and low income families	X Yes	
with incomes up to 200% of the State	☐ No	
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		
associates degree or a certificate of		
completion that is reasonably expected to		
lead to an improvement in the		
parent/caretaker's earning capacity as long		
as the parent(s) or caretaker is also working		
at least 17 ½ hours per week. The		
parent/caretaker must demonstrate his or		
her ability to successfully complete the		
course of study.		
10. PA recipients and low income families	X Yes	
with incomes up to 200% of the State	□No	
Income Standard who are satisfactorily		
participating in a four-year college or		
university program (leading to a bachelor		
degree and that is reasonably expected to		
lead to an improvement in the		
parent/caretaker's earning capacity) as long		
as the parent(s) or caretaker is also working		
at least 17 ½ hours per week. The		
parent/caretaker must demonstrate his or		
her ability to successfully complete the		
course of study.		
11. Families with income up to 200% of the	X Yes	
State Income Standard when child care	□No	
services are needed for the child's caretaker		
to participate in a program to train workers		
in a employment field that currently is or is		
likely to be in demand in the near 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.		

APPENDIX G-3

III. Reasonable Distance, Very Low Income, Family Share, Case Closings and Openings, and Fraud and Abuse Control Activities (Required Section)

Reasonable Distance

Your district is required to define reasonable distance based on community standards for determining accessible childcare.

The following defines "reasonable distance": Reasonable distance is defined in Lewis County as 20 minutes off the direct route to employment activities.

Describe any steps/consultations made to arrive at your definition: The Director of Services consulted with the Principal Welfare Examiner in the Employment Unit as well as the Daycare Supervisor to define community standards.

Very Low Income

Very Low Income is defined by each district and is used in determining priorities for childcare benefits.

Very Low Income is defined as **100**% of the State Income Standard.

Family Share

Family share is the weekly amount paid towards the costs of the childcare services by the child's parent or caretaker. In establishing family share, your district must select a percentage from 10% to 35% to use in calculating the family share. The family share of childcare 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 our district **25**%.

Case Closings (select one or two)

1. The district must describe below how priority is given to federally mandated priorities and describe local priorities. If all NYSCCBG funds are committed, the district will discontinue funding to those families that have lower priorities in order to serve families with higher priorities. Described below is how the district will select cases to be closed in the event that there are insufficient or no funds available.

2. The district has not established priorities beyond the federally mandated priorities. If			
all NYSCCBG funds are committed, case closings for families, which are not eligible under			
a child, care guarantee and are not a federally mandated priority must be based on the length			
of time in receipt of services. The length of time used to close cases may be based either on			
the shortest or longest time receiving child care services but must be consistent for all			
families. The district has chosen to close cases based on:			

	Shor	test tir	ne rec	ceiving	child	care	servi	ces
X	Long	gest tin	ne rec	eiving	child	care	servic	es

Case Openings

The district must describe below how priority is given to federally mandated priorities and how the district will select cases to be opened in the event that there are insufficient funds available.

In the case of insufficient funds to serve all applicants of child care services, openings will be based on serving the lowest income to the highest income. Lews County will accept applications for child care that will be date stamped. Eligibility will be determined and applicants will be assigned to a waiting list. The waiting list will be established by exact income. When funds become available, the lowest income applicants will open first. When child care is needed for a child with special needs, their application will be placed on the top of any waiting list.

Fraud and Abuse Control Activities

The district must identify below the criteria it will use to determine which child care subsidy applications suggest a higher than acceptable risk for fraudulent or erroneous child care subsidy payment and procedures for referring such applications to the district's front end detection system.

The department will refer cases to the FEDS/Investigation Unit if they meet any of the criteria established in the County's Front End Detection System Plan of Operation. These criteria include the 5 State-Mandated indicators and several optional indicators selected by the County.

The district must describe below it sampling methodology used to determine which cases it will seek verification of an applicant or recipient's continued need for child care including, as applicable, verification of participation in employment, education or other required activities.

Each child care case is recertified every six months, at which time the district verifies the continued need for child care services.

The district must describe below it sampling methodology used to determine which child care providers of subsidized child care services they will review for the purpose of comparing the child care providers attendance forms for children receiving subsidized child care services and 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.

The County randomly selects one provider per month to review.

APPENDIX G-4

IV. District Options (Required Section)

Districts have certain flexibility to administer the childcare subsidy program to meet local needs. Check which options that your district wishes to include in your county plan. Complete attachments for any area(s) checked.

1.	Our district has identified local priorities in addition to the federal priorities (complete Appendix G-5).
2.	Our district has chosen to establish funding set-asides for NYSCCBG (complete Appendix G-6).
3.	Our district is using Title XX funds for the provision of childcare services (complete Appendix G-7).
4. 🖂	Our district has chosen to establish additional local standards for child care providers (complete Appendix G-8).
5. 🖂	Our district has chosen to make payments to child care providers for absences (complete Appendix G-9).
6.	Our district has chosen to make payments to child care providers for program closures (complete Appendix G-10).
7.	Our district has chosen to pay for transportation to and from a childcare provider (complete Appendix G-11).
8.	Our district has chosen to pay up to a 15% higher than the applicable market rates for regulated child care services that have been accredited by a nationally recognized child care organization (complete Appendix G-11).
9. 🛛	Our district has chosen to pay up to 15% higher than the applicable market rates for non-traditional hours (complete Appendix G-11).
10.	Our 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 and the training has been verified by the legally-exempt care giver enrollment agency (complete Appendix G-11).
11. 🛛	Our district has chosen to pay for childcare services while a caretaker who works the second or third shift sleeps (complete Appendix G-11).

12. 🔀	Our district has chosen to make payments to childcare providers who provide child care services, which exceed 24 consecutive hours (complete Appendix G-12).
13. 🖂	Our district has chosen to include 18, 19 or 20 year olds in the Child Care Services Unit (complete Appendix G-12).
14.	Our district is seeking a waiver from one or more regulatory provisions. Such waivers are limited to those regulatory standards that are not specifically included in law (complete Appendix G- 12).
15. 🗌	Our district has chosen to pay for breaks in activity for low-income families (non public assistance families, complete Appendix G-12).
16.	Our district has chosen to use local equivalent forms such as, but not limited to, child care application, client notification and/or legally exempt enrollment forms (attach copies of the local equivalent forms your district uses)

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.

PURPOSELY BLANK

APPENDIX G-5 PRIORITY POPULATIONS-ADDITIONAL LOCAL PRIORITIES

In addition to the federal priorities of very low income families and families with children who have special needs, the following additional local priorities have been selected:

Category:	Rank:
Description:	
Category:	Rank:
Description:	
Category:	Rank:
Description:	
Cotogoggy	Doub
Category:	Rank:
Description:	
Category:	Rank:
Description:	

PURPOSELY BLANK

APPENDIX G-6 FUNDING SET-ASIDES

Total NYSCCBG Block Grant Amount Including Local Funds

Category:	\$	
Category:	\$	
Total set asides	\$	
Describe for each category the rationale behind spec NYSCCBG (e.g. estimated number of children, etc.). Category:	ific set-aside amoun	ts out of the
Category:		

APPENDIX G-6 (continued)

The following amounts are set aside for specific priorities out of the Title XX block grant:		
	Category:	\$
	Category:	\$
	Category:	\$
	Total set asides (Title XX)	\$
		de amounts out of the Title
Category:		

APPENDIX G-7 TITLE XX CHILD CARE

Projected total Title XX expenditures for plan duration: \$10,000.00

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 1 or 2, 255% for a family of 3, and 225% for a family of 4 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 Siz	e: (2)	275 % (3) 255 %	(4) 22:	5%
Programmatic Eli	gibilit	ty for Income Eligible Fami	lies. (Check all that apply.)
Title XX:		employment		education/training
		Seeking employment	\boxtimes	illness/incapacity
	\boxtimes	Homelessness	\boxtimes	domestic violence
		Emergency situation of sho	ort dur	ration
	\boxtimes	Participating in an approve	ed subs	stance abuse treatment program
Does your 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:				
YES NO)	itize certain eligible familie		Title XX funding?
Does your district		Title XX funds for childcare	for op	pen child protective services cases?
Does your district		Title XX funds for childcare	for op	en child preventive services cases?

APPENDIX G-8 ADDITIONAL LOCAL STANDARDS FOR CHILD CARE PROVIDERS

The district may propose local standards in addition to the State standards for providers who will receive child care subsidies.

1. Described below are the additional local standards that will be required of providers as well as which providers must comply with each additional standard.

At initial enrollment the local social service district will provide the parent with the legally-exempt enrollment package, which will include a release allowing the district to request a local criminal background check for criminal convictions.

All Legally-Exempt Family Child Care providers and members of the Legally-Exempt Family Child Care provider's household 18 years of age or older and Legally-Exempt In Home Child Care providers, will be asked to sign a release at initial enrollment, which will allow the local social service district to request that the Sheriff's department conduct a local criminal background check for criminal convictions.

The standard only applies to Legally-Exempt Family Child Care providers and members of their household 18 years of age or older and Legally-Exempt In Home Child Care providers that have signed the release.

If any of the above individuals refuses to sign the release the additional standard does not apply to those individuals and these providers would be considered for temporary enrollment.

The enrollment agency will forward all signed releases to the local social service district. The social service district will give all signed releases to the Sheriff's department. The Sheriff's department will provide the results of the local criminal background check to the enrollment agency.

The results of the local criminal (convictions) history check will be used by the enrollment agency to verify that the Legally-Exempt Family Child Care provider and each member of the household 18 years of age or older and Legally-Exempt In Home Child Care Provider have provided complete and accurate information regarding any of their criminal convictions. The enrollment agency will also use this information along with the information provided on the enrollment package to determine if the provider can be enrolled.

2. Described below are the methods and resources that will be utilized to determine that these additional local standards are being met.

The Sheriff's department in Lewis County has agreed to conduct a search of their local records to determine if the Legally-Exempt Family Child Care provider and each member of the Legally-Exempt Family Child Care provider's household 18 years of age or older and Legally-Exempt In Home Child Care provider have any criminal convictions.

The Sheriff's department will provide the results of their local criminal background check to the enrollment agency. Once the results of the local criminal (convictions) background check has been forwarded to the enrollment agency the social service district will inform the enrollment agency that the additional standard has been met.

3. Described below are the procedures the district will use to notify the Legally Exempt Caregiver Enrollment Agency as to whether or not the legally exempt provider is in compliance with the additional local standards. (Districts only need to describe this procedure if the additional local standard is applied to legally exempt child care providers.)

The district and enrollment agency are co-located. The district provides the enrollment agency with written documentation that the additional standard has been met.

Until the enrollment agency receives the results of the local criminal background check from the Sheriffs department the enrollment status will remain not yet determined.

4. Described below is the justification for each additional standard.

Lewis County wants to ensure the health and safety of children that are in the care of legally exempt child care providers.

APPENDIX G-9 PAYMENT TO CHILD CARE PROVIDERS FOR ABSENCES

	ng providers are eligible for pa hat are eligible)	iyment f	or absences:
	Day Care Center		Legally Exempt Group
\boxtimes	Group Family Day Care	\boxtimes	School Age Child Care
	Family Day Care		
Our o	district will only pay for absence contract or letter of intent.		roviders with which the district has ε
Base period	selected (check one) 3	months	
Number of a	bsences allowed during base p	period:	

Period	Routine Limits (# of days)	Extenuating Circumstances (# of days)	Total Number of Absences Allowed (# of days)
In a month	5	5	5
Base period	5	5	5

List reasons for absences for which the district will allow payment: **Not defined.**

List any limitations on the above providers' eligibility for payment for absences: **Based on what providers require, up to maximum allowed.**

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

PURPOSELY BLANK

APPENDIX G-10 PAYMENT TO CHILD CARE PROVIDERS FOR PROGRAM CLOSURES

The following providers are eligible for paymer	nt for program closures:
Day Care Center	Legally Exempt Group
Group Family Day Care	School Age Child Care
Family Day Care	
Our district will only pay for program closures contract or letter of intent. Yes No	•
Enter the number of days allowed for program of closures is five days).	closures (maximum allowable program
List the allowable program closures for which t	the district will provide payment.
Note: Legally exempt family child care and in- be reimbursed for program closures	home child car providers are not allowed to

APPENDIX G-11 TRANSPORTATION, DIFFERENTIAL PAYMENT RATES, ENHANCED MARKET RATES FOR LEGALLY EXMEPT, SLEEP

Transportation

Describe below under what circumstances and limitations if any your district will use to reimburse for transportation, what type of transportation will be reimbursed (public vs. private), and how much your district will pay (per mile or trip). Note if paying for transportation, Appendix F will need to reflect this choice.

N/A

Differential Payment Rates

Indicate below the percentage above the market rate your district has chosen.

Accredited Programs may receive a differential payment up to % above market rate.

Care during non-traditional hours may be paid up to % above market rate. The 15% will only be the providers charges other no subsided families the additional amount and the providers request the additional amount in writing to the department.

Limitations to the above differentials are as follows:

Payments may not exceed 15% above market rate. However, if your district wishes to establish a payment rate that is in excess of 15% above the applicable market rate must describe below why the 15% maximum is insufficient to provide access within the district to accredited programs and/or care provided during non-traditional hours.

Sleep

The following describes the standards that will be used in evaluating whether or not to pay for child care services while a parent or caretaker that works a second or third shift sleeps and any limitations pertaining to payment:

The parent will report what hours he/she is working to the district.

Indicate the number of hours allowed by your district (maximum number of hours allowed is eight).

DSS will approve child care of up to 8 hours for sleep time for the caretaker of a child who works a 2^{nd} or 3^{rd} shift. This will be determined on a case by case basis.

APPENDIX G-12 CHILD CARE EXCEEDING 24 HOURS, CHILD CARE SERVICES UNIT, WAIVERS, BREAKS IN ACTIVITIES

Child Care Exceeding 24 Hours

Childcare services may exceed 24 consecutive hours when such services are provided on a short-term emergency basis or in other cases where the caretaker's approved activity necessitates care for 24 hours on a limited basis.

Describe any limitations for payment of childcare services that exceed 24 consecutive hours.

Child Care Services Unit

The Child Care Service Unit is the basis upon which a district will determine which household and/or family members should be counted in determining family size and countable family income.

	the following in the	e Child Care Services Unit (check which one
apply).	19 year old	20 year old
	-(OR-
benefit the family (check	•	in the Child Care Services Unit when it wi

Describe the criteria your district will use to determine whether or not an 18, 19 or 20 year old is included in the Child Care Services Unit. An eligibility determination will be made constituting each family unit; if beneficial and a daycare benefit can be given, it will. Established local criteria will include 18, 19 and 20 year olds that are full or part-time students with only part-time income.

Waivers

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. **No waivers are requested.**

Breaks in Activities

for a period not to exceed two weeks or for a period not to exceed one month where child care arrangements would otherwise be lost and the subsequent activity is expected to begin within that period (check one).
two weeks four weeks
Districts may provide childcare 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 childcare services during a break in activities (check any that are eligible):
☐ Entering an activity ☐ waiting to begin employment ☐ break between activities

APPENDIX H 2011 ANNUAL PLAN UPDATE CHECKLIST

ADMINISTRATIVE COMPONENT – LOCAL DEPARTMENT OF SOCIAL SERVICES

Lewis County

All Local Department of Social Services are required to complete this checklist. For each item below, please indicate by marking "YES" or "NO" whether there are any changes to report. For each item that is answered "YES" or where a "NO" response is not an option, a written response is required clearly indicating what has changed and reason for the change. Reponses should be attached on separate page and added at the end of this appendix. Please note that Appendix G-1 must be completed by all local districts.

YES	<u>NO</u> □	I. Financing Processa. General Informationb. Purchase of Services
		c. Performance or Outcome Based Provisions
	\boxtimes	II. Monitoring Procedures
		 III. AC-DSS Appendices a. AC-DSS Appendix A – Legal Assurances (REQUIRED) b. AC-DSS Appendix B – Summary of Memorandum of Understanding with the District Attorney's Office for Child Protective Services
	\boxtimes	 c. AC-DSS Appendix C – Estimate of Persons to be Served d. AC-DSS Appendix D – Non-Residential Services to Victims of Domestic Violence
		e. AC-DSS Appendix E – Chafee Foster Care Independence Program Use of Allocations
\boxtimes		 f. AC-DSS Appendix F – Department of Social Services – Program Information Matrix (REQUIRED)
		 g. AC-DSS Appendix G - Child Care 1. AC-DSS Appendix G-1 - Administration 2. AC-DSS Appendix G-2 - Other Eligible Families if Funds are Available 3. AC-DSS Appendix G-3 - Reasonable Distance, Very Low Income, Family Share, Case Closings and Case Openings, and Fraud and Abuse Control Activities
		 AC-DSS Appendix G-4 – Districts Options AC-DSS Appendix G-5 – Priority Populations AC-DSS Appendix G-6 – Funding Set-Asides AC-DSS Appendix G-7 – Title XX Child Care AC-DSS Appendix G-8 – Additional Local Standards for Child Care Providers
П		9. AC-DSS Appendix G-9 – Payment to Child Care Providers for Absences

		10. AC-DSS Appendix G-10 - Payment for Child Care Providers for Program
_	_	Closures
	\boxtimes	11. AC-DSS Appendix G-11 – Transportation, Differential Payment Rates, and
		Sleep
	\boxtimes	12. AC-DSS Appendix G-12 - Child Care Exceeding 24 Hours, Child Care
		Service Unit Waivers Break in Activities