



October 27, 2009

New York State
Office of
Children & Family
Services

Mr. Roberto Rodriguez, Commissioner
Ulster County Department of Social Services
1061 Development Court
Kingston, New York 12401-1959

www.ocfs.state.ny.us

Dear Commissioner Rodriguez:

You were previously notified in a letter dated, July 27, 2009 that your district's Child and Family Services 2008 Annual Plan Update, except for the Child Care Appendix G-8, had been approved by the Office of Children and Family Services (OCFS).

David A. Paterson
Governor

Gladys Carrión, Esq.
Commissioner

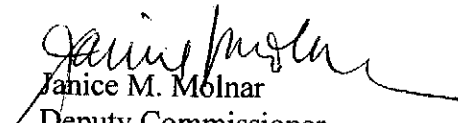
On October 27, 2009, Ms. Maria Ruffner had informed the Division of Child Care Services that Ulster County was no longer interested in pursuing approval of Appendix G-8, Additional Local Standards. Therefore, the child care section of Ulster County's Child and Family Services 2008 Annual Plan Update has been approved without Appendix G-8 effective, July 27, 2009.

Capital View Office Park
52 Washington Street
Rensselaer, NY 12144

A copy of your approved plan can also be found on OCFS website at <http://www.ocfs.state.ny.us/main/> under child care, child care subsidy program.

If you have any questions about this approval or the child care section found in your Annual Plan Update 2008-2009 please contact Ms. Rhonda Duffney, (518) 474-3775 or by e-mail at Rhonda.Duffney@ocfs.state.ny.us.

Sincerely,


Janice M. Molnar
Deputy Commissioner
Division of Child Care Services

cc: Maria Ruffner





July 27, 2009

Commissioner Roberto Rodriguez
Ulster County Department of Social Services
1061 Development Court
Kingston, New York 12401-1959

**New York State
Office of
Children & Family
Services**

www.ocfs.state.ny.us

Gladys Carrión, Esq.
Commissioner

Capital View Office Park
52 Washington Street
Rensselaer, NY 12144



**New York State
Division of
Probation and
Correctional
Alternatives**

www.dpca.state.ny.us

Robert Maccarone
State Director

80 Wolf Road
Suite 501
Albany, NY 12205

David A. Paterson
Governor



An Equal Opportunity Employer

Dear Commissioner Rodriguez:

This letter is to inform you that your January 1, 2007 to December 31, 2010 County Child and Family Services Plan (CFSP) Annual Plan Update, except for the Child Care Appendix G-8, Additional Local Standards, of the Administrative Component, has been approved by the Office of Children and Family Services.

The Appendix G-8 is still being reviewed for regulatory compliance and your county will be contacted with the results of that review. The OCFS Division of Child Care Services (DCCS) will work with your county to obtain approval of Appendix G-8. Until such time that Appendix G-8 is approved, you may not implement these additional standards. If you have any questions about the child care section of your Annual Plan Update, please contact Ms. Amy Ryan at (518) 474-9620, or by e-mail at Amy.Ryan@ocfs.state.ny.us.

Additionally, the PINS Diversion Services Plan of your January 1, 2007 to December 31, 2010 County Child and Family Services Plan (CFSP) Annual Plan Update (APU) has been jointly approved by the Division of Probation and Correctional Alternatives and the Office of Children and Family Services.

The Office of Children and Family Services and the Division of Probation and Correctional Alternatives are committed to working together to provide the support probation, youth bureaus and local social service departments need to improve outcomes for youth and their families. We look forward to working with your county to implement the provisions of your CFSP APU.

Sincerely,

Robert M. Maccarone
State Director
Division of Probation and Correctional Alternatives

Laura M. Velez
Deputy Commissioner
Division of Child Welfare and Community Services

Janice M. Molnar
Deputy Commissioner
Division of Child Care Services

Cc: file

**APPENDIX G-1
CHILD CARE SECTION
DATED 2007-2009**

County: Ulster

I. Administration (Required Section)

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:

Public Assistance Families: **Family Assistance Unit**

Transitioning Families: **Day Care Family Assistance Unit**

Income Eligible Families: **Day Care Unit**

Title XX: **Child Protective Services Unit**

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

FFY 06-07 Rollover Funds (<i>this amount is available from the NYSCCBG ceiling report in the claiming system</i>)	\$815,900.0
Estimate of FFY 07-08 Rollover Funds	\$824,158.00
Estimate of Flexible Funds for Families (FFFS) for child care subsidies	\$-0-
NYSCCBG Allocation for SFY 08-09	\$3,324,378.00
Estimate of Local Share	\$208,356.00

Total Estimated NYSCCBG Amount: \$4,359,892.00

	<u>\$4,359,892.00</u>
A. Subsidy	\$3,163,856.00
B. Other program costs (excluding subsidy)	\$ 591,730.00
C. Administrative costs	\$ 601,306.00

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

Function:

Organization:

Amount of Contract:

- Eligibility screening
- Assistance in locating care
- Child Care Information Systems
- Determining if legally-exempt providers meet State approved additional local standards (if applicable)
- 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/CSP. 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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
2. PA families or families with income up to 200% of the State Income Standard (SIS) when the caretaker is: a) participating in an approved substance abuse treatment program b) homeless c) a victim of domestic violence d) in an emergency situation of short duration	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	a) Up to 6 months with verification from the treatment program. b) c) d) Up to 1 month
3. Families with an open child protective services case when child care is needed to protect the child.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
4. Families with income up to 200% of the SIS when child care services are needed because the child's caretaker: a) is physically or mentally incapacitated b) has family duties away from home	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	a) b) Up to 1 month with verification of need.

5. Families with income up to 200% of the SIS when child care services are needed for the child's caretaker to actively seek employment for a period up to 6 months.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Working at least 17.5 hours a week and earning minimum wage.
b) An education program that prepares an individual to obtain a NYS High School equivalency diploma	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
d) A program providing literacy training designed to help individuals improve their ability to read and write;	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> 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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

<p>g) A training program, which has a specific occupational goal and is conducted by an institution licensed or approved by the State Education Department other than a college or university</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>h) A prevocational skill training program such as, a basic education and literacy training program</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>i) A demonstration project designed for vocational training or other project approved by the Department of Labor</p> <p>The parent/caretaker must complete the selected programs listed under number seven within 30 consecutive calendar months. The parent/caregiver cannot enroll in more than one program.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>8. PA recipients and 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 associates degree 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 this course of study.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

<p>9. PA recipients and 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 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.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>10. PA recipients and 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 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.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

APPENDIX G-3

III. Reasonable Distance, Very Low Income, 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 child care.

The following defines "reasonable distance": **1 hour maximum from work activity to child care provider and return home.**

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

Very Low Income

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

Very Low Income is defined as **150%** of the State Income Standard.

Family Share

Family share is the weekly amount paid towards the costs of the child care 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 child care 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.

(Regardless of Family Size)

Cases with highest income close first:

1. Cases over 175% poverty level
2. Cases over 150% poverty level

3. Cases over 125% poverty level
4. Special needs cases close last

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:

- shortest time receiving child care services
- longest time receiving child care services

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.

(Regardless of family size)

Cases with lowest income open first:

1. **Families who have children with special needs**
2. **Those under 150% poverty level**
3. **Child only cases**
4. **Those under 175% poverty level**
5. **Those under 200% poverty level**

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.

- Working off the books
- Self-employed without adequate business records
- P.O. Box used as a mailing address without cause
- Client unsure of own address
- Documentation to verify identity is suspect
- Documentation or information provided is inconsistent with application
- Previous case closing or overpayment resulting from an investigation
- Application inconsistent with prior case
- Children under six with no birth certificate
- Provider lives in same household as parent
- No absent parent information or information inconsistent with application

The district must describe below its 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.

Ulster County recertifies 100% of their child care cases every 6 months. Verification for the continued need for child care is done at that time.

The district must describe below its 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.

There are 98 providers that participate in the child adult care food program in Ulster County. The district will randomly select 6 providers per month, the district will then contact the child adult food sponsor to determine when the last site inspection was done and what subsidized children were seen at that inspection. The district will compare the subsidy attendance form with the inspection form to verify that child care was actually provided on the days listed on the attendance forms. The district will follow up when any discrepancies are found.

APPENDIX G-4

IV. District Options (Required Section)

Districts have certain flexibility to administer the child care 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 child care 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 child care 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 for child care services while a caretaker who works the second or third shift sleeps (complete Appendix G-11).
11. Our district has chosen to make payments to child care providers who provide child care services, which exceed 24 consecutive hours (complete Appendix G-12).
12. Our district has chosen to include 18, 19 or 20 year olds in the Child Care Services Unit (complete Appendix G-12).

APPENDIX G-4 (continued)

- 13. 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).
- 14. Our district has chosen to pay for breaks in activity for low income families (non public assistance families, complete Appendix G-12).
- 15. 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.

APPENDIX G-9

PAYMENT TO CHILD CARE PROVIDERS FOR ABSENCES

The following providers are eligible for payment for absences:
(Check any that are eligible)

- | | |
|---|---|
| <input checked="" type="checkbox"/> Day Care Center | <input type="checkbox"/> Legally Exempt Group |
| <input checked="" type="checkbox"/> Group Family Day Care | <input checked="" type="checkbox"/> School Age Child Care |
| <input checked="" type="checkbox"/> Family Day Care | |

Our district will only pay for absences to providers with which the district has a contract or letter of intent. Yes No

Base period selected (check one) 3 months 6 months

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	12	15	30/6 months
Base period	24	40	40/6 months

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

- Illness**
- court dates**
- medical appointments**
- mental health appointments**
- documented family emergency.**

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

Providers must be registered/licensed and have a signed contract with the Ulster County Department of Social Services.

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

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

The following providers are eligible for payment for program closures:

- | | |
|---|--|
| <input checked="" type="checkbox"/> Day Care Center | <input type="checkbox"/> Legally Exempt Group |
| <input type="checkbox"/> Group Family Day Care | <input type="checkbox"/> School Age Child Care |
| <input type="checkbox"/> Family Day Care | |

Our district will only pay for program closures to providers with which the district has a contract or letter of intent. Yes No

Enter the number of days allowed for program closures (maximum allowable program closures is five days). **5**

List the allowable program closures for which the district will provide payment. holiday, flood, blizzard.

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

**APPENDIX G-11
TRANSPORTATION, DIFFERENTIAL PAYMENT RATES, 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.

When funds are available, the district will pay for transportation to and from camps when transportation is charged by the camp session. The district will pay vendor flat rate of up to \$100.00 per summer.

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.

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 district will pay up to 6 hours of sleep time when the caregivers work the overnight shift and there is no other person at home to supervise the children. The sleep time is determined as half of the number of hours the caretaker worked during the second or third shift.

Indicate the number of hours allowed by your district (maximum number of hours allowed is eight). **8**

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

Child Care Exceeding 24 Hours

Child care 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 child care 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.

Our district will include the following in the Child Care Services Unit (check which ones apply).

18 year old 19 year old 20 year old

-OR-

Our district will include only the following in the Child Care Services Unit when it will benefit the family (check which ones apply).

18 year old 19 year old 20 year old

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.

18,19 and 20 year olds will be included only when their addition to the CCSU lowers the family share or makes the family eligible.

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.

Breaks in Activities

Districts may pay for child care services for low income families during 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 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 any that are eligible):

entering an activity waiting to begin employment break between activities