

**CHEMUNG COUNTY – 2015 APU**

**APPENDIX K**  
**Child Care Administration**

Describe how your local 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: Temporary Assistance (TA)

Transitioning Families: Temporary Assistance (TA)

Income Eligible Families: Temporary Assistance (TA)

Title XX: Temporary Assistance (TA)

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

FFY 2009-2010 Rollover funds (available from the NYSCCBG ceiling report in the claiming system: .....	\$0.00
Estimate FFY 2010-11 Rollover Funds .....	\$0.00
Estimate of Flexible Funds for Families (FFS) for child care subsidies.....	\$300,000.00
NYSCBG Allocation 2011-12 .....	\$3,711,545.00
Estimate of Local Share .....	\$345,420.00
<b>Total Estimated NYSCCCBG Amount .....</b>	<b>\$4,356,965.00</b>
<b>a. Subsidy .....</b>	<b>\$4,140,965.00</b>
<b>b. Other program costs excluding subsidy .....</b>	<b>\$207,000.00</b>
<b>c. Administrative costs .....</b>	<b>\$9,000.00</b>

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

Function	Organization	Amount of Contract
<input checked="" type="checkbox"/> Eligibility screening	Chemung Co. Child Care Council	\$110,000
<input checked="" type="checkbox"/> Determining if legally-exempt providers meet State-approved additional standards	Chemung Co. Child Care Council	(included in above contract)
<input checked="" type="checkbox"/> Assistance in locating care	Chemung Co. Child Care Council	(included in above contract)
<input type="checkbox"/> Child Care Information Systems		
<input type="checkbox"/> Other		

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**APPENDIX L**

**Other Eligible Families if Funds are Available (Required)**

Listed below are the optional categories of eligible families that your district can include as part of its County Plan. Select any categories your county wants to serve using the NYSCCBG funds 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 when the caretaker is: <ul style="list-style-type: none"> <li data-bbox="240 730 906 810">a) participating in an approved substance abuse treatment program</li> <li data-bbox="240 852 906 932">b) homeless</li> <li data-bbox="240 974 906 1054">c) a victim of domestic violence</li> <li data-bbox="240 1096 906 1176">d) in an emergency situation of short duration</li> </ul>	<ul style="list-style-type: none"> <li data-bbox="922 730 1084 810"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No               </li> <li data-bbox="922 852 1084 932"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No               </li> <li data-bbox="922 974 1084 1054"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No               </li> <li data-bbox="922 1096 1084 1176"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No               </li> </ul>	<ul style="list-style-type: none"> <li data-bbox="1101 730 1453 852">This applies only to PA families successfully participating in a program.</li> <li data-bbox="1101 852 1453 974">This applies only to PA families successfully participating in a program.</li> <li data-bbox="1101 974 1453 1096">This applies only to PA families successfully participating in a program.</li> <li data-bbox="1101 1096 1453 1283">This applies only to PA families when child care is needed, in non-work related situations, in order to retain the day care slot.</li> </ul>
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	This applies only to PA families successfully participating in a program.
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The incapacitation must be verified by a licensed medical professional and will be reviewed after 30 days.
b) has family duties away from home	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	This applies only to PA families successfully participating in a program.

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Optional Categories	Option	Limitations
5. Families with income 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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Parents can seek employment for 30 days and receive paid child care for up to 20 hours a week. If the parent does not find employment after 30 days, their case is closed.
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: <ul style="list-style-type: none"> <li data-bbox="240 800 906 947">a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district</li> <li data-bbox="240 957 906 1062">b) an education program that prepares an individual to obtain a NYS High School equivalency diploma</li> <li data-bbox="240 1073 906 1262">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</li> <li data-bbox="240 1272 906 1377">d) a program providing literacy training designed to help individuals improve their ability to read and write</li> <li data-bbox="240 1388 906 1577">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</li> <li data-bbox="240 1671 906 1850">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</li> </ul>	<ul style="list-style-type: none"> <li data-bbox="922 800 1084 947"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No                             </li> <li data-bbox="922 957 1084 1062"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No                             </li> <li data-bbox="922 1073 1084 1262"> <input type="checkbox"/> Yes  <input checked="" type="checkbox"/> No                             </li> <li data-bbox="922 1272 1084 1377"> <input type="checkbox"/> Yes  <input checked="" type="checkbox"/> No                             </li> <li data-bbox="922 1388 1084 1577"> <input type="checkbox"/> Yes  <input checked="" type="checkbox"/> No                             </li> <li data-bbox="922 1671 1084 1850"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No                             </li> </ul>	

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Optional Categories	Option	Limitations
<p>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</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Parent must provide documentation of continued participation at time of recertification in order to continue eligibility. If the parent does not provide documentation of participation, then the case will be closed.</p>
<p>h) a prevocational skill training program such as a basic education and literacy training program</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>i) a demonstration project designed for vocational training or other project approved by the Department of Labor</p> <p><b>Note:</b> 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.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>8. PA recipients and 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 parent/caretaker’s earning capacity) as long as the parent(s) or caretaker is also working at least 17½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Parent must work at least 20 hours per week.</p>
<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 associate’s 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 17½ hours per week. The parent/caretaker must demonstrate his or her</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Parent must work at least 20 hours per week.</p>

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Optional Categories	Option	Limitations
ability to successfully complete the course of study.		
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’s 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 17½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Limited to families up to 125% of the state income standards.

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**APPENDIX M**

Reasonable Distance, Very Low Income, Family Share, Case Closing and Openings, Recertification Period, Fraud and Abuse Control Activities, Inspections (Required)

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**Reasonable Distance**

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

The following defines “reasonable distance”:

Chemung County DSS defines reasonable distance as 22 miles between home or work with childcare accessible along the way.

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

Contacted the Chemung County Planning Board to determine the distance between county borders.

Considered the location of major employers in Chemung County.

Consulted the Chemung County Transit to determine the accessibility of bus routes throughout the county.

Considered the location of licensed and regulated childcare providers throughout the county.

**Very Low Income**

Define “very low income” as it is used in determining priorities for child care 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 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 and justify this percentage decision. 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 county 25%.

**Note:** The percentage selected here must match the percentage selected in Title XX Program Matrix in WMS.

**Case Closings**

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. Describe below how districts will select cases to be closed in the event that there are insufficient or no funds available.

1. Identification of local priorities in addition to the required federal priorities (select one).

The district has identified local priorities in addition to the required federal priorities (Complete Section 2)

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The district has not identified local priorities in addition to the required federal priorities (Complete Section 3).

2. Describe 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. Describe in the space below how the district will select cases to be closed in the event that there are insufficient or no funds available.

a. The district will select cases to be closed based ONLY on income.

No.

Yes. Check 1 or 2 below.

1)  The district will close cases from the highest income to lowest income.

2)  The district will close cases based on income bands. Describe the income bands, beginning at 200% of the State Income Standard and ending at 100% of the State Income Standard:

b. The district will select cases to be closed based ONLY on categories of families.

No.

Yes. List the categories in the order that they will be closed, including the optional categories selected in Appendix L:

c. The district will select cases to be closed based on a combination of income and family category.

No.

Yes. List the categories and income groupings in the order that they will be closed:

1. The first categories of cases to be closed are those in the optional categories found in Appendix L. They will be closed based on income, from the highest to the lowest; the highest being closed first.

2. The second category of cases to be closed are cases between 101% and 200% of the State Income Standard (SIS).

3. The third category of cases to be closed are special needs.

4. The fourth category of cases to be closed are cases that are 100% and under the State Income Standard (SIS).

d. The district will select cases to be closed on a basis other than the options listed above.

No.

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Yes. Describe how the district will select cases to be closed in the event that there are insufficient funds to maintain the district’s current case load:

e. The last cases to be closed will be those that fall under federal priorities. Identify how your district will prioritize federal priorities. Cases that are ranked 1 will be closed last.

Very low income  Rank 1  Rank 2

Families that have a child with special needs  Rank 1  Rank 2

3. If all NYSCCBG funds are committed, case closings for families that 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 the family has received child care services, but must be consistent for all families.

a. Identify how the district will prioritize federal priorities. Cases that are ranked 1 will be closed last.

Very low income  Rank 1  Rank 2

Families that have a child with special needs  Rank 1  Rank 2

b. The district will close cases based on the federal priorities and the amount of time the family has been receiving child care services.

Shortest time receiving child care services

Longest time receiving child care services

4. The district will establish a waiting list for families whose cases were closed because our county did not have sufficient funds to maintain our current caseload.

No.

Yes. Describe how these cases will be selected to be reopened if funds become available:

1. The first category of cases to be opened is employed with an income up to 100% of the State Income Standard (SIS).

2. The second category of cases to be opened is special needs.

3. The third category of cases to be opened between 101% and 200% of the State Income Standard (SIS).

4. The fourth category of cases to be opened are those in the optional categories found in Appendix L. They will be opened based on income, from the lowest to the highest income; the lowest being opened first.

**Case Openings**

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

1. The first cases to be opened will be those that fall under the federal priorities.

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Identify how your district will prioritize federal priorities. Cases that are ranked 1 will be opened first.

Very low income     Rank 1     Rank 2

Families that have a child with special needs     Rank 1     Rank 2

2. The district will select cases to be opened based ONLY on income.

No.

Yes. Check 1 or 2 below.

1)  The district will close cases from the highest income to lowest income.

2)  The district will close cases based on income bands. Describe the income bands, beginning at 200% of the State Income Standard and ending at 100% of the State Income Standard:

3. The district will select cases to be opened based ONLY on category.

No.

Yes. List the categories in the order that they will be opened, including the optional categories selected in Appendix L:

4. The district will select cases to be opened based on a combination of income and category of family.

No.

Yes. List the categories and income groupings in the order that they will be opened:

1. The first category of cases to be opened is employed with an income up to 100% of the State Income Standard (SIS).

2. The second category of cases to be opened is special needs.

3. The third category of cases to be opened between 101% and 200% of the State Income Standard (SIS).

4. The fourth category of cases to be opened are those in the optional categories found in Appendix L. They will be opened based on income, from the lowest to the highest income; the lowest being opened first.

5. The district selects cases to be opened on a basis other than the options listed above.

No.

Yes. Describe how the district will select cases to be opened in the event that there are not sufficient funds to open all eligible families:

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

No.

Yes. Describe how these cases will be selected to be opened when funds become available:

Families whose cases were closed to insufficient NYSCCBG funds will be placed on a waiting list. Closed cases and new cases on the waiting list will be opened according to the following:

1. The first category of cases to be opened is employed with an income up to 100% of the State Income Standard (SIS).
2. The second category of cases to be opened is special needs.
3. The third category of cases to be opened between 101% and 200% of the State Income Standard (SIS).
4. The fourth category of cases to be opened are those in the optional categories found in Appendix L. They will be opened based on income, from the lowest to the highest income; the lowest being opened first.

The district’s recertification period is every  six months  twelve months

TA cases have a 6 month recertification and Services cases have a 12 month recertification.

**Fraud and Abuse Control Activities**

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 payment in addition to procedures for referring such applications to the district’s front-end detection system.

The criteria used to determine which child care subsidy applications suggest a higher than acceptable risk for fraudulent or erroneous child care subsidy payments is listed below:

Applicant is working off the books (currently or previously)

Current Application is inconsistent with prior case information

Applicant has a prior history of denial, case closing or overpayment resulting from an investigation (ex: Fraud, FEDS, etc.)

No absent parent information or information is inconsistent with prior application

No documentation to verify the applicant’s identity

Applicant cannot provide a birth certificate for a child younger than 6 years of age

Applicant is self-employed but cannot provide adequate business records to support financial assertions

Documents or information provided are inconsistent with application

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PO Box used as a mailing address without reasonable explanation

Applicant is unsure of own address

Child care provider lives in the same household as the child

Note: Chemung County does not have any county-specific indicators; we use only pre-approved State indicators

The procedures for referring such applications to the district's FEDS unit are as follows:

The eligibility worker or child care subsidy specialist identifies an application that meets one or more of the above criteria and completes a manual referral (F-294 attached) or enters the referral in the automated Special Investigation Unit (SIU) computer program within 1 business day of the eligibility interview. All manual referrals are entered in the SIU system by the Senior Clerk in SIU. All referrals are tracked in our automated SIU program.

In addition to the referral the eligibility worker or child care specialist forwards any/all supporting documentation to SIU via email or inter-office mail. This supporting documentation is entered in the SIU case file. The investigation is conducted and the eligibility worker or child care specialist is notified of the results via email or interoffice mail.

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.

Temporary Assistance cases are recertified every 6 months and Services cases are recertified yearly. In both instances, verification of need for child care, including verification in employment, education, or other required activities must be provided. All cases are also reviewed throughout the certification period when changes are reported and verification affecting eligibility must be provided. A random sample of 48 active Services cases per quarter will be reviewed for household composition and income. This is based on the estimated annual caseload size of 655 cases with a 5% margin of error and a 90% confidence level which equals an annual sample of 192 cases.

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.

Chemung County DSS has contracted with Chemung County Child Care Council for this service. Chemung County Child Care Council reviews copies of the CACFP Monitor inspection forms. Every four months, they will pull at least 20 cases (75%) and compare the CACFP Monitor inspection forms against the subsidy billing form. They look for any discrepancies in billing days and time between the CACFP program and subsidy billing. If there are any discrepancies in what hours are being billed, what was approved for child care, or if the days billed are different from CACFP, verification of attendance at employment and/or school is requested. They also administer the CACFP so everything is done on site.

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**Inspections of Child Care Provider Records and Premises**

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

No.

Yes. Provide the details of your inspections plan below.

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

Legally-Exempt Child Care

In-Home;

Family Child Care;

Group programs not operating under the auspices of another government agency

Group programs operating under the auspices of another government agency

Licensed or Registered

Family Day Care;

Registered School Age Child Care

Group Family Day Care;  Day Care Centers;  Small Day Care Centers;

B. The district  *does* OR  *does not*:

Reserve the right to make inspections *PRIOR to subsidized children receiving care* in a **home** where the inspection is for the purpose of determining whether the child care provider is in compliance with applicable laws and regulations and any additional requirements imposed on such a provider by the social services district.

C. The district will report violations of regulations as follows:

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

**CHEMUNG COUNTY – 2015 APU****APPENDIX N****District Options (Required)**

Districts have some flexibility to administer their child care subsidy programs to meet local needs. Check which options that your district wishes to include in your county plan. Complete the attached appendices for any area(s) checked.

1.  The district has chosen to establish funding set-asides for NYSCCBG (complete Appendix O).
2.  The district is using Title XX funds for the provision of child care services (complete Appendix P).
3.  The district has chosen to establish additional local standards for child care providers (complete Appendix Q).
4.  The district has chosen to make payments to child care providers for absences (complete Appendix R).
5.  The district has chosen to make payments to child care providers for program closures (complete Appendix S).
6.  The district has chosen to pay for transportation to and from a child care provider (complete Appendix T).
7.  The district has chosen to pay up to 15% higher than the applicable market rates for regulated child care services that have been accredited by a nationally recognized child care organization (complete Appendix T).
8.  The district has chosen to pay up to 15% higher than the applicable market rates for non-traditional hours (complete Appendix T).
9.  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).
10.  The district has chosen to pay for child care services while a caretaker who works the second or third shift sleeps (complete Appendix T).
11.  The district has chosen to make payments to child care providers who provide child care services, which exceed 24 consecutive hours (complete Appendix U).
12.  The district has chosen to include 18-, 19- or 20-year-olds in the Child Care Services Unit (complete Appendix U)
13.  The 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 U).
14.  The district has chosen to pay for breaks in activity for low income families (non public assistance families). Complete Appendix U.

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15.  The district has chosen to use local equivalent forms such as, but not limited to, child care application, client notification, and/or 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.*

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

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

Category:	.....	\$ 0.00
Category:	.....	\$
<b>Total Set-Asides</b>	.....	<b>\$</b>

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

Category:  
Description:

Category:  
Description:

Category:  
Description:

Category:  
Description:

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

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

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

Category:

Description:

Category:

Description:

Category:

Description:

Category:

Description:

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**APPENDIX P**

**Title XX Child Care (Optional)**

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Enter projected total Title XX expenditures for the plan’s duration: .....\$ 308,220.00

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

Family Size: (2) 200%            (3) 200%            (4) 200%

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

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

Does the district apply any limitations to the programmatic eligibility criteria?

- Yes     No

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

If yes, describe eligibility criteria:

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

- Yes     No

If yes, describe which families will receive priority:

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

- Yes     No

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

- Yes     No

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**APPENDIX Q #1**

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

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

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

- Verification that the provider has given the parent/caretaker complete and accurate information regarding any report of child abuse or maltreatment in which they are named as an indicated subject
- Local criminal background check
- Requirement that providers that care for subsidized children for 30 or more hours a week participate in the Child and Adult Food Care Program (CACFP)
- Site visits by the local district
- Other (please describe):

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

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

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:

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Contracted agency

Provide the name of the agency and contact person:

Chemung County Child Care Council - Ruth Krusen

4. Are there any costs associated with the additional standard?

Yes     No

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

5. Describe the steps for evaluating whether the additional local standard has been met.

Criminal background checks are compared to the enrollment form to determine if the information matches. If it matches, the standard has been met, if the information provided on the enrollment form doesn't match, the standard has not been met.

6. Indicate how frequently reviews of the additional standard will be conducted. Check all that apply.

Legally-Exempt Programs:

Initial enrollment                       During the 12-month enrollment period  
 Re-enrollment                               Other

7. In the space below, described the procedures the district will use to notify the Legally-Exempt Caregiver Enrollment Agency (EA) as to whether the legally-exempt provider is in compliance with the additional local standards. Districts must notify the EA within 25 days from the date they received the referral from the EA. (Districts need to describe this procedure only if the additional local standard is applied to legally-exempt child care providers.)

The LDSS contracts with the EA to ensure background checks are conducted on all Legally Exempt providers

8. Describe the justification for the additional standard in the space below.

DOC, Criminal history and warrant checks will ensure that basic health and safety standards are being met and ensure the information provided pertaining to the provision of childcare is legal and correct.

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**APPENDIX Q #2**

Additional Local Standards for Child Care Providers (Optional)

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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. This appendix must be completed for **each** additional standard that the district wishes to implement.

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

- Verification that the provider has given the parent/caretaker complete and accurate information regarding any report of child abuse or maltreatment in which they are named as an indicated subject
- Local criminal background check
- Requirement that providers that care for subsidized children on an average of 30 or more hours a week participate in the Child and Adult Food Care Program (CACFP)
- Site visits by the local district
- Other (please describe):

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

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

*Exceptions:*

a. The district will apply the Local Additional Standard when the provider/person resides outside of Chemung County:

Yes.

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No. *Note that when this exception is chosen, the district must notify the applicable Enrollment Agency using the OCFS-2114 District Notification to Legally-Exempt Caregiver Enrollment Agency form on a provider/person-specific basis that this additional standard “Does not apply” to the specific provider/person named on the referral list.*

b. The district will apply the Local Additional Standard to the informal providers specified, who are less than 18 years of age:

Yes.

No. *Note that when this exception is chosen, the district must notify the applicable Enrollment Agency using the OCFS-2114 District Notification to Legally-Exempt Caregiver Enrollment Agency form on a provider-specific that this additional standard “Does not apply” to the specific provider named on the referral list.*

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:

Chemung Department of Social Services, Mindy Banfield or designee

Contracted agency

Provide the name of the agency and contact person:

4. Are there any costs associated with the additional standard?

Yes     No

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

5. Describe the steps for evaluating whether the additional local standard has been met.

1. The local district will include a “Notification of Chemung 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” and a “Chemung County Department of Social Services Child Abuse and Maltreatment History Attestation Form” in the enrollment packets it distributes to parents which will allow the Chemung County Department of Social Services (CCDSS) 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).

2. The individuals specified in question #2 above will be asked to sign and date the “Authorization and Release” form. The records check will be required only for the

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- types of child care specified in question #2 and will be required only to persons in the roles specified in question #2.
3. To initiate the additional standards check, per NYS OCFS policy, 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 CCDSS. The CCDSS 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 CCDSS 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.
  4. The signed release(s) is/are *required*, for all persons in the roles specified in question #2, for the enrollment packet to be considered complete. If any of the individuals checked in question #2 above refuses to sign the release, which would allow CCDSS to review only the existing local child welfare records related to the child care attestations, the enrollment package will be considered *incomplete* and the enrollment process cannot move forward and will be *withdrawn* by the enrollment agency in accordance with State policy.
  5. The local district will conduct the check of the local database to determine whether an individual checked in question #2 above is an indicated subject of a child abuse or maltreatment report. When the local records check reveals that an individual specified in question #2 above is an indicated subject of a child abuse or maltreatment report the proposed child care provider will be required to submit to CCDSS a copy of the “Child Abuse and Maltreatment History Attestation Form” provided to the parent/caretaker concerning the indicated incident(s). This form must be signed by the parent/caretaker acknowledging receipt of this information and the parent/caretaker's wish to use this child care provider. The exception is that when the local records check reveals that an individual specified in question #2 above is an indicated subject of a report, *but it's been determined through an Administrative Review* that the individual's indication is not “relevant and reasonable” to child care, the individual will not be required to complete the “Child Abuse and Maltreatment History Attestation Form.”
  6. If the information regarding the indicated child protective report submitted by the provider does not substantially correlate with the information obtained during the local records check related to the child care attestations, the CCDSS will notify the provider that he or she has ten (10) calendar days to clarify the discrepancies in the information submitted to the district and parent/caretaker. Within the ten (10) calendar day period, the provider must submit information to CCDSS and the parent/caretaker that either substantially correlates with the information obtained by the district's local database check of the records related to the child care attestations or the provider submits information to the district which documents that the information

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obtained from the local database check of the records related to the child care attestations is inaccurate. If the provider fails to clarify the discrepancies the CCDSS will notify the Enrollment Agency that the additional standard is **“not met.”**

7. If the information on the “Child Abuse and Maltreatment History Attestation Form” regarding the indicated child protective report submitted by the provider to the parent/caretaker and the local district correlates with the information obtained from the local database check, the District will notify the Enrollment Agency that the additional standard has been **“met.”**
8. For legally-exempt child care providers referred through CCFS and are specified in question #2, the CCDHS will determine whether the additional standard was **“met,” “not met”** or **“not applicable”** and will record the results on the *OCFS-2114 District Notification To Legally-Exempt Caregiver Enrollment Agency* form. This notification and a copy of the inspection report will be given to the LE Coordinator so that she/he may take any necessary action.

6. Indicate how frequently reviews of the additional standard will be conducted. Check all that apply.

Legally-Exempt Programs:

- |                                                        |                                                                           |
|--------------------------------------------------------|---------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> Initial enrollment | <input checked="" type="checkbox"/> During the 12-month enrollment period |
| <input checked="" type="checkbox"/> Re-enrollment      | <input type="checkbox"/> Other                                            |

7. In the space below, described the procedures the district will use to notify the Legally-Exempt Caregiver Enrollment Agency (EA) as to whether the legally-exempt provider is in compliance with the additional local standards. Districts must notify the EA within 25 days from the date they received the referral from the EA. (Districts need to describe this procedure only if the additional local standard is applied to legally-exempt child care providers.)

For legally-exempt child care program types and roles, specified in question #2, the district’s contractor will determine whether the additional standard was **“met,” “not met”** or **“not applicable”** and will record the results on the *OCFS-2114 District Notification To Legally-Exempt Caregiver Enrollment Agency*. This notification will be given to the enrollment agency within 25 days of the generation of the E-Notice referral, so that the enrollment agency may take any necessary action.

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

**The additional standard is “met” when:**

- The local records check is conducted as specified in question #5 and the local records check reveals that an individual specified in question #2 above is NOT an indicated subject of a child abuse or maltreatment report, or

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- The local records check reveals that an individual specified in question #2 above IS an indicated subject of a child abuse or maltreatment report and:
  - the district determines that the provider has given the parent/caretaker true and accurate information regarding any indicated reports applicable to the persons specified in question #2, or
  - it’s been determined through an Administrative Review that the individual’s indication record is not relevant and reasonably related to child care.

**The additional standard is “not met” when:**

- The local records check reveals that an individual specified in question #2 IS an indicated subject of a child abuse or maltreatment report (and there is no determination made through an Administrative Review that the individual’s indication record is not relevant and reasonably related to child care), and the district determines that the provider has NOT given the parent/caretaker true and accurate information regarding any indicated reports applicable to the persons specified in question #2.

**The additional standard “not applicable” when:**

- The district determines the provider/person is not subject to the additional standard based on an *exception* specified in question #2.

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.**”

**8. Describe the justification for the additional standard in the space below.**

The local district wants to make sure that providers have told parents/caretakers about known indicated child protective histories for themselves and any other persons specified in #2. The additional standard supports 18 NYCRR § 415.4(f)(7)(ii), a State requirement for enrollment which requires the provider and relevant site persons have given the parent true and accurate information regarding indicated child protective reports. The additional standard verifies the provider is telling the truth on the enrollment form. This promotes safer child care for children by verifying that true and accurate information about a caregiver’s history has been shared with the child(ren)’s parent/caretaker.

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**APPENDIX Q #3**

Additional Local Standards for Child Care Providers (Optional)

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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. This appendix must be completed for **each** additional standard that the district wishes to implement.

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

- Verification that the provider has given the parent/caretaker complete and accurate information regarding any report of child abuse or maltreatment in which they are named as an indicated subject
- Local criminal background check
- Requirement that providers that care for subsidized children for 30 or more hours a week participate in the Child and Adult Food Care Program (CACFP)
- Site visits by the local district
- Other (please describe):

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

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

*Exceptions:*

a. The district will apply the Local Additional Standard when the provider/person resides outside of Chemung County:

- Yes.

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No. *Note that when this exception is chosen, the district must notify the applicable Enrollment Agency using the OCFS-2114 District Notification to Legally-Exempt Caregiver Enrollment Agency form on a provider/person-specific basis that this additional standard “Does not apply” to the specific provider/person named on the referral list.*

b. The district will apply the Local Additional Standard to the informal providers specified, who are less than 18 years of age:

Yes.

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

Local social services staff

Provide the name of the unit and contact person:

Contracted agency

Provide the name of the agency and contact person:

Chemung County Child Care Council – Ruth Harvey

4. Are there any costs associated with the additional standard?

Yes     No

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

5. Describe the steps for evaluating whether the additional local standard has been met.

1. A Legally-Exempt Family Child Care Provider who provides care on an average of 30 hours or more per week is required to fully participate in the Child Adult Care Food Program (CACFP) as a condition of enrollment to provide child care subsidized by the Chemung County Department of Social Services.

2. The local district distributes the *Chemung County Legally-Exempt Family Child Care Additional Standard Acknowledgement Agreement* form to applicants and recipients of child care services with the *LDSS-OCFS 4699, Enrollment Form for Legally-Exempt Family Child Care and Legally Exempt In-Home Child Care*.

3. The Legally-Exempt Family Child Care Provider is required to sign and submit the *Chemung County Legally-Exempt Family Child Care Additional Standard Acknowledgement Agreement* form to the enrollment agency with the *LDSS-OCFS 4699, Enrollment Form for Legally-Exempt Family Child Care and Legally Exempt In-Home Child Care*.

4. The enrollment agency documents receipt of the *Chemung County Legally-Exempt Family Child Care Additional Standard Acknowledgement Agreement Form* in CCFS. In accordance with OCFS guidance and the specifics of this additional standard, *the*

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*Chemung County Legally-Exempt Family Child Care Additional Standard Acknowledgement Agreement Form* is required for the enrollment packet to be considered complete. When the *Chemung County Legally-Exempt Family Child Care Additional Standard Acknowledgement Agreement Form* is not received or not complete, the enrollment cannot progress, and, in accordance with OCFS guidance, the packet will be withdrawn if the provider does not submit a completed *Chemung County Legally- Exempt Family Child Care Acknowledgement Agreement* form within the mandatory timeframes.

5. Through E-notices and reports the CCFS will notify the district of all enrolling/enrolled/re-enrolling Legally-Exempt Family Child Care Providers for whom the additional standard may be applicable. The local district 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 for whom a determination is required.
6. When the local-district determines that the legally-exempt provider is subject to participate in CACFP, the CACFP sponsor facilitates the legally-exempt provider's enrollment in CACFP.
7. The local district will determine whether or not the Legally-Exempt Provider is actively participating in CACFP or will enroll the provider in CACFP.
8. The CACFP sponsoring agency will ensure the Legally-Exempt Provider and the Parent/Caretaker has received, reviewed, and signed the *Chemung County Legally-Exempt Family Child Care Provider Additional Standard Acknowledgment Agreement* form with the *OCFS-LDSS 4699, Enrollment Form for Provider of Legally-Exempt Family Child Care and In-Home Child Care* and approve them those who meet the criteria for subsidy payments.
9. The local district will ensure the Legally-Exempt Family Child Care Provider complies with all CACFP requirements and is actively claiming no later than the month following the sign up date and continues to submit monthly CACFP claims on a timely basis.
10. If the local district's contractor determines that the Legally-Exempt Child Care Provider is required to meet the additional standard but refuses to do so or elects not to do so, then the local district will deem this provider not eligible to receive child care subsidy payments.
11. The enrollment agency will document all information regarding the additional standards into CCFS.
12. The local district's contractor will provide the local district with weekly reports that include:
  - The number of legally-exempt providers participating in CACFP.
  - The number of legally-exempt providers that are not participating in CACFP.

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- The number of legally-exempt providers that are required to participate in CACFP.

6. Indicate how frequently reviews of the additional standard will be conducted. Check all that apply.

Legally-Exempt Programs:

- Initial enrollment                       During the 12-month enrollment period  
 Re-enrollment                                       Other

7. In the space below, described the procedures the district will use to notify the enrollment agency as to whether the legally-exempt provider is in compliance with the additional local standards. Districts must notify the enrollment agency within 25 days from the date they received the referral from the EA. (Districts need to describe this procedure only if the additional local standard is applied to legally-exempt child care providers.)

For legally-exempt child care providers to whom additional standard applies that are specified in question #2, the district’s contractor will determine whether the additional standard was “**met**,” “**not met**” or “**not applicable**” and will record the results on the *OCFS-2114 District Notification To Legally-Exempt Caregiver Enrollment Agency*. This notification will be given to the enrollment agency within 25 days of the generation of the E-Notice referral, so that the enrollment agency may take any necessary action.

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

**The standard is “met” when:**

- The (CACFP) Acknowledgment Agreement Form is completed in it’s entirely, signed by those that are required to do so and returned with the enrollment package.
- The Legally-Exempt Family Child Care Provider provides care, on average, of 30 hours or more per week.

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

- The (CACFP) Acknowledgment Agreement Form is not completed in it’s entirely and/or is not signed by those that are required to do so and/or not return it with the enrollment package.
- The provider signs the acknowledgement form but does not follow-up and enroll in CACFP or does not comply with the CACFP requirements.

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

- The individual’s role in question #2 box is not checked.
- The referred individual is subject to an exception specified in question #2a.
- The Legally-Exempt Family Child Care Provider provides care, on average, LESS THAN 30 hours or more per week.

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The district and the district contractor 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.**”

8. Describe the justification for the additional standard in the space below.

This additional standard will aid in improving the health and nutrition of children cared for by Legally-Exempt Providers receiving subsidy payments within our district.

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**APPENDIX Q #4**

Additional Local Standards for Child Care Providers (Optional)

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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. This appendix must be completed for **each** additional standard that the district wishes to implement.

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

- Verification that the provider has given the parent/caretaker complete and accurate information regarding any report of child abuse or maltreatment in which they are named as an indicated subject
- Local criminal background check
- Requirement that providers that care for subsidized children for 30 or more hours a week participate in the Child and Adult Food Care Program (CACFP)
- Site visits by the local district
- Other (please describe): **Proof of Identity**

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

- Legally-exempt family child care program. Check all that apply.
  - Provider                       Provider’s Employee                       Provider’s Volunteer

- Provider’s household member age 18 or older

- Legally-exempt in-home child care program. Check all that apply.
  - Provider                       Provider’s Employee                       Provider’s Volunteer

- Legally-exempt group providers not operating under the auspices of another government agency. Check all that apply.
  - Provider                       Provider’s Employee                       Provider’s Volunteer

- Legally-exempt group providers operating under the auspices of another government or tribal agency. Check all that apply.
  - Provider                       Provider’s Employee                       Provider’s Volunteer

*Exceptions:*

a. The district will apply the Local Additional Standard when the provider/person resides outside of Chemung County:

Yes.

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No. *Note that when this exception is chosen, the district must notify the applicable Enrollment Agency using the OCFS-2114 District Notification to Legally-Exempt Caregiver Enrollment Agency form on a provider/person-specific basis that this additional standard “Does not apply” to the specific provider/person named on the referral list.*

b. The district will apply the Local Additional Standard to the informal providers specified, who are less than 18 years of age:

Yes.

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

Local social services staff

Provide the name of the unit and contact person:

Contracted agency

Provide the name of the agency and contact person:

Child Care Council-Ruth Harvey

4. Are there any costs associated with the additional standard?

Yes     No

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

5. Describe the steps for evaluating whether the additional local standard has been met.

The roles of the persons that are checked in question #2 above must submit an original document to be copied by the district contractor or a copy of one of the following forms of documentation for the district contractor to verify his/her identity:

a. Current valid photo ID issued by government, employer, school or other official institution/agency including but not limited to:

- Driver’s license/non-driver's identification card
- Passport or visa
- Naturalization or citizenship certificate
- School or Military ID card
- Employment Authorization Card
- Permanent Resident Card
- Government Benefit Card (e.g., Welfare/Medicaid/Food Stamps)

**OR** at least two of the following non-photo IDs including but not limited to:

- Social Security card
- Birth certificate

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- Baptismal certificate
  - Government benefit card (e.g., Welfare/Medicaid/Food Stamps)
  - Life Insurance Policy
- b. The district and the district contractor 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.”**

6. Indicate how frequently reviews of the additional standard will be conducted. Check all that apply.

Legally-Exempt Programs:

- Initial enrollment                       During the 12-month enrollment period
- Re-enrollment                               Other

7. In the space below, described the procedures the district will use to notify the Legally-Exempt Caregiver Enrollment Agency (EA) as to whether the legally-exempt provider is in compliance with the additional local standards. Districts must notify the EA within 25 days from the date they received the referral from the EA. (Districts need to describe this procedure only if the additional local standard is applied to legally-exempt child care providers.)

For legally-exempt child care providers to whom additional standard applies that are specified in question #2, the district contractor will determine whether the additional standard was **“met,” “not met”** or **“not applicable”** and will record the results on the *OCFS-2114 District Notification To Legally-Exempt Caregiver Enrollment Agency* form.

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

**The standard is “met” when:**

- The legally-exempt child care provider and those, to which this additional standard applies as indicated in question #2, will submit the required documentation listed in question #5 to the district contractor.

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

- The legally-exempt child care provider and those, to which this additional standard applies as indicated in question #2, do not submit the required documentation listed in question #5 to the district contractor.

**The standard is considered to be “not applicable” to:**

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

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8. Describe the justification for the additional standard in the space below.

Chemung County Department of Social Services requests verification of the provider's identity in order to deter fraud.

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**APPENDIX Q #5**

Additional Local Standards for Child Care Providers (Optional)

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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. This appendix must be completed for **each** additional standard that the district wishes to implement.

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

- Verification that the provider has given the parent/caretaker complete and accurate information regarding any report of child abuse or maltreatment in which they are named as an indicated subject
- Local criminal background check
- Requirement that providers that care for subsidized children for 30 or more hours a week participate in the Child and Adult Food Care Program (CACFP)
- Site visits by the local district
- Other (please describe):

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

- Legally-exempt family child care program. Check all that apply.
  - Provider                       Provider’s Employee                       Provider’s Volunteer

- Provider’s household member age 18 or older

- Legally-exempt in-home child care program. Check all that apply.
  - Provider                       Provider’s Employee                       Provider’s Volunteer

- Legally-exempt group providers not operating under the auspices of another government agency. Check all that apply.
  - Provider                       Provider’s Employee                       Provider’s Volunteer

- Legally-exempt group providers operating under the auspices of another government or tribal agency. Check all that apply.
  - Provider                       Provider’s Employee                       Provider’s Volunteer

*Exceptions:*

a. The district will apply the Local Additional Standard when the provider/person resides outside of Chemung County:

Yes.

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No. *Note that when this exception is chosen, the district must notify the applicable Enrollment Agency using the OCFS-2114 District Notification to Legally-Exempt Caregiver Enrollment Agency form on a provider/person-specific basis that this additional standard “Does not apply” to the specific provider/person named on the referral list.*

b. The district will apply the Local Additional Standard to the informal providers specified, who are less than 18 years of age:

Yes.

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

Local social services staff

Provide the name of the unit and contact person:

Contracted agency

Provide the name of the agency and contact person:

Child Care Council-Ruth Harvey

4. Are there any costs associated with the additional standard?

Yes     No

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

5. Describe the steps for evaluating whether the additional local standard has been met.

a. The district contractor will conduct a site visit to all legally-exempt child care providers to whom this additional standard applies that are specified in question #2 on an annual basis in order to verify that care is given by the provider, to the children, at the location provided in the enrollment package.

b. The district and the district contractor 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.**”

c. The contractor provides the results of the site visit to the Enrollment Agency whenever non-compliance issues were identified as a result of the site visit. The Enrollment Agency will address any non-compliance issues with the provider.

6. Indicate how frequently reviews of the additional standard will be conducted. Check all that apply.

Legally-Exempt Programs:

Initial enrollment

During the 12-month enrollment period

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Re-enrollment                       Other

7. In the space below, describe the procedures the district will use to notify the legally-Exempt Caregiver Enrollment Agency (EA) as to whether the legally-exempt provider is in compliance with the additional local standards. Districts must notify the EA within 25 days from the date they received the referral from the EA. (Districts need to describe this procedure only if the additional local standard is applied to legally-exempt child care providers.)

For legally-exempt child care providers to whom additional standard applies that are specified in question #2, the district contractor will determine whether the additional standard was “**met**,” “**not met**” or “**not applicable**” and will record the results on the *OCFS-2114 District Notification To Legally-Exempt Caregiver Enrollment Agency*. This notification and a copy of the inspection report will be given to the Legally-Exempt Coordinator so that she/he may take any necessary action.

The district contractor must determine, for each legally-exempt child care provider on the referral list, whether the additional standard is as follows:

**The standard is “met” when:**

- The legally-exempt child care provider cooperates with the site visit, or
- The legally-exempt child care 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 legally-exempt child care provider does not cooperate, or
- The legally-exempt child care 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

8. Describe the justification for the additional standard in the space below.

Since the implementation of Child Care Time and Attendance system and the upgrades to the legally-exempt side of Child Care Facility System the need for more oversight to the legally-exempt child care program has become apparent.

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**APPENDIX R**

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

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

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

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

- Yes       No

Base period (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	3	15
Base period	12	8	20

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

When the child is scheduled to be in attendance and is absent.

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

When the child care program is not open and accessible to families.

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

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**APPENDIX S**

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

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The following providers are eligible for payment for program closures:

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

The county 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 time for program closures is five days).

5 days

List the allowable program closures for which the county will provide payment.

The district will allow the program to select 5 program closings per year. These may include a State, Federal or Nationally recognized holiday, Natural Disaster; a state of Emergency in the County or other emergency closing due to circumstances beyond the child care program's control, other than a substantiated regulatory violation.

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

**CHEMUNG COUNTY – 2015 APU****APPENDIX T****Transportation, Differential Payment Rates, Enhanced Market Rate for Legally-Exempt and In-Home Providers, and Sleep (Optional)**

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**Transportation**

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

N/A

**Differential Payment Rates**

Indicate the percentage above the market rate your county has chosen.

- Accredited programs may receive a differential payment up to \_\_\_\_\_ % above market rate.
- Care during non-traditional hours may be paid up to 15% above market rate.
- Limitations to the above differentials:

Payments may not exceed 15% above market rate. However, if your district wishes to establish a payment rate that is more than 15% above the applicable market rate, 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.

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

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 annually completed 10 or more hours of training and the training has been verified by the legally-exempt caregiver enrollment agency.

No.

Yes. Our market rate will not exceed 75% of the child care market rate established for registered family day care.

**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, as well as any limitations pertaining to payment:

The district will pay for eight (8) hours of child care service when a sole caretaker parent or both parents in a two parent household works the 3<sup>rd</sup> shift and the child/children are not attending school. In a two parent family when one parent is working the 3<sup>rd</sup> shift and the second parent works 1<sup>st</sup> shift and the child/children are not attending school, child care services will be provided up to eight (8) hours for sleep for the parent working the 3<sup>rd</sup> shift.

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

Eight hours.

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**APPENDIX U**

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

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**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 situations where the caretaker’s approved activity necessitates care for 24 hours on a limited basis. Check below under what circumstances the county 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

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

N/A

**Child Care Services Unit (CCSU)**

Indicate below if your county will include 18-, 19-, or 20-year-olds in the CCSU, which is used in determining family size and countable family income.

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

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

**OR**

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

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

Considered a part of the family unit as long as the individual is enrolled as a full-time high school student.

**Waivers**

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

**Breaks in Activities**

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. Indicate below if your county will make such payments (check one).

- Two weeks
- Four weeks

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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 for employment
- On a break between activities