

MONROE COUNTY – 2016 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: **MCDHS Division of Financial Assistance**
 - Transitioning Families: **MCDHS Division of Financial Assistance**
 - Income Eligible Families: **MDHS Division of Financial Assistance**
 - Title XX: **MCDHS Division of Child & Family Services**

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

FFY 2014-2015 Rollover funds (available from the NYSCCBG ceiling report in the claiming system):	\$0.00
Estimate FFY 2015-16 Rollover Funds	\$0.00
Estimate of Flexible Funds for Families (FFS) for child care subsidies.....	\$0.00
NYSCBG Allocation 2014-15	\$36,259,399.00
Estimate of Local Share	\$0.00
Total Estimated NYSCCCBG Amount	\$36,259,399.00
a. Subsidy	\$34,446,429.00
b. Other program costs excluding subsidy	\$0.00
c. Administrative costs	\$1,812,970.00

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 type="checkbox"/> Eligibility screening		
<input type="checkbox"/> Determining if legally-exempt providers meet State-approved additional standards		
<input type="checkbox"/> Assistance in locating care		
<input type="checkbox"/> Child Care Information Systems		
<input type="checkbox"/> Other		

MONROE COUNTY – 2016 APU

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 type="checkbox"/> Yes <input checked="" 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 data-bbox="240 852 906 932">b) homeless <li data-bbox="240 974 906 1054">c) a victim of domestic violence <li data-bbox="240 1096 906 1176">d) in an emergency situation of short duration 	<ul style="list-style-type: none"> <li data-bbox="922 730 1084 810"> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <li data-bbox="922 852 1084 932"> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <li data-bbox="922 974 1084 1054"> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <li data-bbox="922 1096 1084 1176"> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 	Authorization limited to requests submitted in writing and administrative approval. LDSS remains sole authority on granting approval on a case-by-case basis.
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 State Income Standard when child care services are needed because the child’s caretaker: <ul style="list-style-type: none"> <li data-bbox="240 1520 906 1558">a) is physically or mentally incapacitated 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Authorization is limited to families with written documents from the family’s treating physician/mental health professional indicating the reason for the incapacity, its expected duration, and that the applicant is unable to provide care.

MONROE COUNTY – 2016 APU

Optional Categories	Option	Limitations
b) has family duties away from home	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
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	Authorization is limited to families already in receipt of a low-income daycare subsidy; coverage can continue for up to thirty (30) days to seek new employment.
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	Authorization is limited to student caretakers who maintain 85% attendance rate in school
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	Authorization is limited to student caretakers (under the age of 21) who maintain 85% attendance rate; GED program must be in addition to 17.5 hours of weekly employment.
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	Authorization is limited to student caretakers (under the age of 21) who maintain 85% attendance rate; GED program must be in addition to 17.5 hours of weekly employment.
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	Authorization is limited to student caretakers (under the age of 21) who maintain 85% attendance rate; GED program must be in addition to 17.5 hours of weekly employment.
e) English as a second language (ESL) instructional program designed to develop skills in listening, speaking, reading, and writing the English	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Authorization is limited to student caretakers (under the age of 21) who maintain 85% attendance rate; GED

MONROE COUNTY – 2016 APU

Optional Categories	Option	Limitations
language for individuals whose primary language is other than English		program must be in addition to 17.5 hours of weekly employment.
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	Authorization is limited to student caretakers (under the age of 21) who maintain 85% attendance rate; GED program must be in addition to 17.5 hours of weekly employment.
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Authorization for program must be in addition to 17.5 hours of weekly employment.
h) a prevocational skill training program such as a basic education and literacy training program	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Authorization for program must be in addition to 17.5 hours of weekly employment.
i) a demonstration project designed for vocational training or other project approved by the Department of Labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Authorization for program must be in addition to 17.5 hours of weekly employment.
<p>Note: The parent/caretaker must complete the select programs listed under number seven within 30 consecutive calendar months. The parent/caretaker cannot enroll in more than one program.</p>		
8. PA recipients or low-income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a two-year program other than one with a specific vocational sequence (leading to an associate's degree or certificate of completion and that is reasonably expected to lead to an improvement in the 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	
9. PA recipients or low-income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a two-year college or university program (other than one with	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

MONROE COUNTY – 2016 APU

Optional Categories	Option	Limitations
<p>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 ability to successfully complete the course of study.</p>		
<p>10. PA recipients or low-income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a four-year college or university program leading to a bachelor’s degree and that is reasonably expected to lead to an improvement in the 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 type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>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.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	

MONROE COUNTY – 2016 APU

APPENDIX M

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

Reasonable Distance

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

The following defines “reasonable distance”: Within one hour travel time from daycare site to work site or work site to daycare site.

Describe any steps/consultations made to arrive at your definition: This has been the established/approved DHS policy.

Very Low Income

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

“Very Low Income” is defined as **165%** 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 **35%**.

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)
 - 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.

MONROE COUNTY – 2016 APU

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:

Monroe County Defines low-income as 165% of the state income standard

Band 1: 195% up to 200% of SIS

Band 2: 190% up to, but not including, 195% of SIS

Band 3: 185% up to, but not including, 190% of SIS

Band 4: 180% up to, but not including, 185% of SIS

Band 5: 175% up to, but not including, 180% of SIS

Band 6: 170% up to, but not including, 175% of SIS

Band 7: 165% up to, but not including, 170% of SIS

Band 8: 160% up to, but not including, 165% of SIS

Band 9: 155% up to, but not including, 160% of SIS

Band10: 150% up to, but not including, 155% of SIS

Band 11: 145% up to, but not including, 150% of SIS

Band 12: 140% up to, but not including, 145% of SIS

Band 13: 130% up to, but not including, 140% of SIS

Band 14: 120% up to, but not including, 130% of SIS

Band 15: 110% up to, but not including, 120% of SIS

Band 16: 100% up to, but not including, 110% of SIS

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:

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

No.

MONROE COUNTY – 2016 APU

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

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:

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.

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.

MONROE COUNTY – 2016 APU

Yes. Check 1 or 2 below.

- 1) The district will open cases from the lowest income to highest income.
- 2) The district will open cases based on income bands. Describe the income bands, beginning at 100% of the State Income Standard and ending at 200% of the State Income Standard:

If Monroe County LDSS previously closed cases due to insufficient funding, and new funds subsequently become available, Monroe County will begin authorizing/opening new subsidy cases based on the reverse order of the income bands detailed in Case Closing - Section 2 (a) (i.e. open new cases starting at Band 16 first and proceeding to Band 1 depending on available funds). Families who may have had their cases closed due to insufficient funding will need to re-apply should new funds subsequently become available.

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:

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:

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:

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

MONROE COUNTY – 2016 APU

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.

Monroe County utilizes two methodologies for identifying and investigating fraud: Front End Detection System (FEDS) and Back End Detection System (BEDS).

FEDS

FEDS referrals on Child Care cases are determined at all eligibility interviews using the Electronic Investigation System and the Child Care/Day Care Indicators as approved in the FEDS Plan. Below list Monroe County's Child Care Indicators:

Child Care Indicators for Provider Daycare:

- Over Capacity
- Hours of Care do not match hours approved/hours parent(s) are working
- Over Billing/No Absences
- Signature on Attendance Sheets are Questionable
- Care not being provided at approved location
- Parents claim they did not sign timesheets/signed blank timesheets
- In-Home provider may be working during hours claimed for children

Child Care Indicators for Clients

- No absent parent information
- Not in an approved activity
- Work/activity hours do not match daycare hours
- Prior History of constant denials, case closings, IPV, Fraud
- Care not being provided at approved location

Income Eligible Child Care eligibility staff will screen new applications for assistance as they are received. A Senior Eligibility Evaluator will complete a Child Care FEDS referral for all applications having an approved indicator. Child Care FEDS referrals will be sent to and processed by the Monroe County Special Investigations Unit Investigators. Collateral contacts may be made, DMV Searches, City Tax Assessment, County Clerk Search, Department of Labor Search, U.S. Postal check, landlord, employer, a review of case file, a home visit, and related items as necessary depending on the Child Care Indicators.

The application process will not be interrupted while waiting for the results of an investigation.

BEDS

In addition to the Front End Detection investigations, Monroe County employs a Back End Detection System (BEDS) for investigative activity as well. There are a growing number of

MONROE COUNTY – 2016 APU

children being cared for by legally exempt providers in the child's home. The local Child Care Council does not have authority or oversight for this group of Legally Exempt providers. Monroe County DHS has found a relatively high incidence of fraudulent activity, including collusion between parent and provider in these cases.

During the course of any fraud investigation (provider fraud or parent fraud) the LDSS may make announced or un-announced site visits during a provider's licensed care hours. For legally-exempt providers, announced or un-announced site visits will occur during the hours they are authorized to provide care. The OCFS licensor or the Child Care Council staff often assist the LDSS throughout the investigation.

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.

As a BEDS activity, Monroe County will be generating a monthly report and conduct an investigation of new day care authorizations where the day care is being provided in the legal residence of the child. For those cases reviewed within the first 90 days of day care authorization, Monroe County investigators will conduct a site visit at addresses where the day care is being provided in the legal residence of the child to verify that the care is being provided and confirm the provider identity.

In addition to the BEDS investigations of in-home care, the LDSS will investigate all cases involving: referrals received through the LDSS fraud hotline, from OCFS, from Child Care Council, from internal daycare payables. Monroe County will investigate absent parents, parents employed by a temp agency or working varying hours, self-employed parents, and parents out of compliance with OTDA/OCFS/LDSS program mandates.

The LDSS daycare payables staff reviews all attendance information utilizing the Child Care Time & Attendance (CCTA) system to identify providers who may be billing the LDSS for care provided outside their licensed/statutory authority (i.e., over-capacity, non-traditional hours, etc) and refer investigations for those cases with anomalies in provider/parent signatures, parent fees and dates attended vs. dates authorized.

Child Care Authorizations are for 1 year. Two months prior to the recertification date, a batch mail is sent out with a renewal application along with instructions on what supporting documents need to be included is re-applying/renewing child care subsidy. The Day Care Evaluator for the case will review the materials and notify the parent(s) if any additional information is needed or something is missing. Supervisors complete a random sample supervisory review of 6% of all cases to ensure quality and consistency in case processing.

For new child care cases that have been opened where there were not complete supporting documentation (i.e., parents started new job and had only 1 or 2 pay stubs), the Day Care Evaluator will follow-up with the parent to secure any additional documentation needed.

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

MONROE COUNTY – 2016 APU

Adult Care Food Program inspection forms to verify that child care was actually provided on the days listed on the attendance forms.

When Monroe County is investigating a case of suspected child care fraud, the investigators will reach out to the OCFS licensor or the Child Care Council to ensure that the any Child and Adult Care Food Program inspection forms match MCDHS Child Care Time & Attendance (CCTA) records. Specifically, the MCDHS Investigator will email the Child Care Council or the OCFS licensor to inquire if the subject of the fraud investigation is enrolled in and receiving services via the Child and Adult Care Food Program. If they are, they will ask for copies of the inspection forms that correspond to the time period under investigation and review them to ensure that information is consistent. If discrepancies between the Child and Adult Care Food Program inspection forms and the CCTA records are discovered, the Investigator will notify either the OCFS licensor or Child Care Council and share any pertinent information. Investigation of any discrepancies involving the Child and Adult Care Food Program records is the responsibility of OCFS licensor or the Child Care Council.

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

MONROE COUNTY – 2016 APU

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.

MONROE COUNTY – 2016 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.

MONROE COUNTY – 2016 APU

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.

MONROE COUNTY – 2016 APU

APPENDIX O
Funding Set-Asides (Optional)

Total NYSCCBG Block Grant Amount, Including Local Funds

Category:	\$

Total Set-Asides.....\$

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:	\$

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

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

MONROE COUNTY – 2016 APU

Category:

Description:

Category:

Description:

Category:

Description:

Category:

Description:

MONROE COUNTY – 2016 APU

APPENDIX P

Title XX Child Care (Optional)

Enter projected total Title XX expenditures for the plan’s duration:\$ **25,000,000.00**

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) % (3) % (4) %

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

MONROE COUNTY – 2016 APU

APPENDIX Q

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):

Local Code Enforcement Check: Child Care sites must be in compliance with local city or municipal health and safety codes.

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:

The district will apply the Local Additional Standard when the L-E family or L-E in home child care site is outside of Monroe County:

- Yes
-

MONROE COUNTY – 2016 APU

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 is “Not Applicable” to the specific site 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: DHS Special Investigation Unit

Contracted agency

Provide the name of the agency and contact person:

Department of Human Services Special Investigation Unit (SIU) 585-753-5687

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. Monroe County will apply the same health and safety standards to legally-exempt (L-E) family and L-E in-home child care program sites as are applied to housing units for public assistance recipients in accordance with Social Service Law 143-B, in determining whether violations may pose a health or safety risk to children. Attached is a listing of property violations determined by the Monroe County Department of Public Health that pose significant risk of health or safety concerns.

B. Monroe County will, for each location where subsidized L-E family and L-E in-home child care is provided within the county, determine, to the extent possible, whether there are open property code violations for the site where the L-E family and L-E in-home child care will be provided.

C. Monroe County will process the Child Care Facility System (CCFS) referrals for this additional standard at the time of the initial enrollment and at re-enrollment. Additionally, Monroe County will investigate a L-E family or L-E in-home child care site from any hotline, whistleblower, complaint, or other outside tips or concerns where the L-E family or L-E in-home child care is being provided that may have open health or safety violations. Monroe County will notify the EA of the results using the OCFS-2114 District Notification to Legally-Exempt Caregiver Enrollment Agency form.

i. To initiate the additional standards check, per NYS OCF policy, the CCFS will automatically generate an e-notice referral for where the applicable L-E family and L-E in-home child care is being provided within the county.

MONROE COUNTY – 2016 APU

- ii. For L-E family and L-E in-home care provided within the City of Rochester, Monroe County Department of Human Services (DHS) staff will access a public website(s) managed by the City of Rochester’s Conservation Bureau Violations Codes that are listed on the website are determinations made by the City of Rochester or the Municipal Property Bureau.
- iii. When L-E family and L-E in-home child care is being provided within Monroe County, but outside the Rochester City limits, Monroe County DHS staff will place telephone calls to those Municipality Property Bureau to determine if they have identified open property code violations.
- iv. Monroe County DHS staff will review all property code violations identified on the City of Rochester’s website and compare them against the attached list of Property Conservation Violation Codes designated as “health and safety” violations by the Monroe County Director of Public Health.
- v. Monroe County staff will contact the Municipality Property Bureau when care is provided outside the City of Rochester. Monroe County DHS staff will confirm by telephone with that Municipality’s Property Bureau whether or not open code violations exist. The same list of “health and safety” violations designated by the Monroe County Director of Public Health is applied to all municipalities for assessing potential risk to children receiving L-E family and L-E in-home care.

D. This applies to L-E Family Child Care Sites

When open health and safety code violation/s are identified at an L-E family child care site, a Monroe County Special Investigations Unit (SIU) Investigator may visit the property and may contact the L-E family child care provider to discuss and evaluate the open code violation/s. Prior to a visit, the investigator will check the L-E family provider’s status in CCFS to determine if the provider has withdrawn their application or has been denied. If the L-E family provider has not withdrawn or been denied, the district will run the program site address thru Citytax to see if open health and safety code violations have been resolved prior to a visit.

- i. If the open health and safety code violations have been resolved, the additional standard will be considered “Met” indicating that the L-E family site does not have health and safety code violations. The Monroe County will complete the *OCFS-2114* form and provide it to the applicable EA notifying them that the additional standard has been “Met.”
- ii. “*Not Met*” indicates that the L-E family child care site has open health and safety violation (1) were identified and that those violations may pose a health and safety risk for children receiving care at the child care site and that the L-E family or L-E in-home child care provider was unwilling or unable to clear the violations in the time frames set forth by the municipality or (2) the municipality determined that the property was uninhabitable due to and issued a vacate order. If the district determines the additional standard is “*Not Met*,” then the district will complete the

MONROE COUNTY – 2016 APU

OCFS-2114 and provide it to the applicable EA. The violation/s does not affect the parent’s eligibility. Monroe County will inform parents that they need to find a new child care provider.

- iii. The additional standard is considered “*Not Applicable*” if the L-E family site is outside of Monroe County. Monroe County DHS will contact the applicable Enrollment Agency using the *OCFS-2114* form that this additional standard is “*Not Applicable*.”

E. This applies to L-E In-home Child Care Sites

When open health and safety code violation/s are identified at an L-E in-home child care site, a Monroe County Special Investigations Unit (SIU) Investigator may visit the property and may contact the L-E in-home child care provider to discuss and evaluate the open code violation/s. Prior to a visit, the investigator will check the L-E in-home provider’s status in CCFS to determine if the provider has withdrawn their application or have been denied. If the L-E in-home provider has not withdrawn or been denied, the district will run the program site address thru Citytax to see if open health and safety code violations have been resolved prior to a visit.

- i. If the open health and safety code violations have been resolved, the additional standard will be considered “*Met*” indicating that the L-E in-home site does not have health and safety code violations. Monroe County will complete the *OCFS-2114* form and provide it to the applicable EA notifying them that the additional standard has been “*Met*.”
- ii. If open health and safety code violations are found to still exist at the L-E in home site, the family will be referred to the Department of Human Services (DHS) Housing Unit (as children live in the home full time) and the additional standard will be considered “*Not Met*.” The Monroe County will send the *OCFS-2114* form to the applicable EA indicating the additional standard is “*Not Met*” thereby which they will terminate enrollment.
- iii. The additional standard is considered “*Not Applicable*” if the L-E in-home site is outside of Monroe County. Monroe County DHS will contact the applicable Enrollment Agency using the *OCFS-2114* form that this additional standard is “*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 **Complaint**

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

MONROE COUNTY – 2016 APU

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 district will notify the EA within 25 days of the CCFS e-notice referral, as to whether the standards is “Met” or “Not Met” or “Not Applicable” utilizing the *OCFS-2114 District Notification to Legally -Exempt Caregiver Enrollment Agency.*

“Met” indicates that the L-E family or L-E in-home site does not have health and safety code violations. The Monroe County DHS will complete *OCFS-2114* and provide it to the applicable EA notifying them that the additional standard has been “Met.”

Whenever the district is unable to complete processing the additional standard within the 25-day time frame allowed for the EA to make a full enrollment decision, and all requirements appear to be in compliance, the additional standard will be considered “Met” and the provider will be enrolled.

“Not Met” indicates that the L-E family or L-E in-home child care site has open health and safety violation (1) were identified and that those violations may pose a health and safety risk for children receiving care at the child care site and that the L-E family or L-E in-home child care provider was unwilling or unable to clear the violations in the time frames set forth by the municipality or (2) the municipality determined that the property was uninhabitable due to and issued a vacate order. If the district determines the additional standard is “Not Met,” then the district will complete the *OCFS-2114* and provide it to the applicable EA.

“Not Applicable” indicates the L-E family care or L-E in-home care site is provided outside of Monroe County for children living in Monroe County. Monroe County will not apply this standard when care is provided outside of Monroe County. Monroe County will complete the *OCFS-2114* and provide it to the applicable EA notifying them that the additional standard is not “Not Applicable.”

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

Monroe County Department of Human Services has partnered with the City of Rochester and the Lead Free Coalition of Rochester and Monroe County to identify best practices in mitigating health and safety risks for children in our community, particularly children living in poverty. We have informally reviewed LE provider applications for the past three years and identified between 5.5% and 8% of LE provider applications are for sites flagged by the City of Rochester as having open code violations that would be classified as “health and safety” violations by the Director of Public Health. Additionally, 35% of the properties with identified health and safety violations have an identified lead paint hazard. This additional standard will assist providers, parents and the community in minimizing environmental health and safety hazards to children receiving care in L-E family and L-E in-home child care sites.

MONROE COUNTY – 2016 APU

Violation codes designated as Health & Safety (8/13/13)**PROPERTY CONSERVATION VIOLATION CODES**

FAILURE TO OBTAIN A C OF O	PC008
FURNACE INOPERABLE (NO HEAT)	PC010
HEAT INADEQUATE	PC020
TRASH/DEBRIS IMMEDIATE HAZARD	PC113
PIGEON INFESTATION	PC120
ROOF HAS HOLES	PC188
ROOF LEAKING	PC195
PCH COLUMN(S) MISSING/DET	PC257
STEPS UNEQUAL RISERS	PC270
STEPS HANDRAIL BROKEN/MISS	PC271
STEPS GUARDRAIL BROKEN/MISS	PC277
FIRE EXTG-UPDATE INSPECTION	PC284
COMBUSTIBLE STORAGE INT'R	PC286
F-ESC REPAIR	PC289
F-ESC DOESN'T GO TO FLAT ROOF	PC315
F-ESC. ACCESS BLOCKED	PC320
POOL REQUIRES FENCING	PC342
WINDOW PANE BROKEN/MISSING	PC379
WINDOW PANE BROKEN OR MISSING	PC382
WINDOW NOT OPERABLE	PC388
DOOR BOARDED	PC433
DOOR BROKEN/MISSING – EXT	PC434
PUB HALL LIGHT INADEQUATE	PC468
PUB HALL WAINSC'G NOT F-RET	PC470
FIREWALL NEEDS REPAIR	PC481
FIREWALL NEEDS REPAIR	PC486
PUB HL DR WIRE GLASS REQ'D.	PC490
PUB STAIR REPAIR	PC502
PUB STAIR HANDRAIL MISS./BROKEN	PC503
PUB STAIR GUARDRAIL MISS/BROKEN	PC507
EGRESS-APT/RM NEEDS 2 ND	PC521
CELLAR CHIMNEY HAS HOLES	PC571
CELLAR OCCUPANCY UNAPP'D	PC580
CELLAR STR DR CL DEV BRKN/MISS	PC598
CELLAR STR ENCL F-DOOR	PC600
CELLAR STR ENCL –MISSING/REPAIR	PC601
APPLIANCE RED-TAGGED	PC606
CELLAR CLNG NOT F-RETARDE	PC607
S DET. COVER MISSING	PC609
SMOKE ALARM REQUIRED – BASEMENT	PC610
S-D SYTEM REQ'D 5 OR MORE UNITS	PC612

MONROE COUNTY – 2016 APU

S-D SYSTEM NEEDS REPAIR	PC614
S-D SYSTEM REQ MORE S-DET	PC616
S-DET. REQ'D SPECIFY	PC624
S DET. SYS REQ'D 2 FAM 2/3RD FL	PC627
WIRES EXPOSED	PC671
EXIT SIGNS ARE REQUIRED	PC676
EMGNKY LIGHTS ARE REQUIRED	PC677
EMGNKY LIGHTS DON'T WORK	PC678
STORAGE NEAR HEATING UNIT	PC679
S-H/D SYSTEM REQ'D COMM	PC680
FECAL MATER (IMMED HAZD)	PC683
UNSANITARY COND (IMMD HAZ)	PC684
UNSAFE STRUCTURE	PC687
INFESTATION (INT)	PC688
EXITS ARE BLOCKED	PC696
LEAD DUST HAZARD	PC710
LEAD DUST WIPE TEST REQUIRED	PC713
BARE SOIL VIOLATION	PC714
HEATER (KEROSENE) UNAPPROVED	PC728
DOOR LOCK & HASP –REMOVE	PC736
WINDOW BOARDED	PC744
OVER OCCUPIED UNIT	PC772
INTERIOR DETERIORATED PAINT > 2 SQUARE FEET	PC802
INTERIOR DETERIORATED PAINT > 10%	PC803
EXTERIOR DETERIORATED PAINT > 20 SQUARE FEET	PC804
EXTERIOR DETERIORATED PAINT > 10%	PC805
DETERIORATED PAINT IN COMMON HALLWAY	PC807
DETERIORATED PAINT IN ATTIC	PC808
VACATE ORDER-BUSINESS	PC900
VACATE ORDER	PC901
VACATE APARTMENT ORDER	PC902
3 RD FLOOR OCCUPANCY W/O	PC913
C-MON. DET REQ'D EXISTING BUILDING	PC917
C-MON DET REQ'D NEW BUILDING	PC918
EXTENSION CORDS - REMOVE	PC937
FLUE (BOILER) DETERIORATED	PC940
FLUE (FURNACE) NOT CONN/SEALED	PC945
FURNACE RED TAGGED	PC949
HAZARD – CORRECT IMMED (SPECIFY)	PC952
JUNCTION BOX OPEN	PC955
OUTLETS REPAIR/REPLACE	PC962
OUTLETS/SWITCH REQ. PLATES	PC963
RLF VLV DISCHARGE (W/HTR)UNAPPT	PC970
SERVICE BOX NEEDS K-O SEALS	PC971
SERVICE IS OVERFUSED	PC973

MONROE COUNTY – 2016 APU

SEWAGE (RAW) CELLAR	PC974
VENT (DRYER) UNAPPROVED	PC986
WATER (HOT) NONE	PC991
WIRES EXPOSED ENCLOSE/REMOVE	PC996

BUILDING VIOLATION CODES

STOP WORK ORDER	BC300
-----------------	-------

ELECTRICAL VIOLATION CODES

SERVICE OFF RESTORE IMMEDIATELY	EL009
CIRCUITS ARE EXPOSED	EL101
OUTLETS ARE MISSING	EL130
SERVICE IS INADEQUATE	EL150
SERVICE NEEDS MAIN DISCONNECT	EL158
WIRING IS UNAPPROVED – UNIT	EL173
WIRING UNAPPROVED – BASEMENT	EL176
OUTLET (LAUNDRY) NEEDS TO BE GRND	EL195
PANEL (MAIN) NEEDS REPAIR	EL221
SERVICE ENTRANCE CABLE DET.	EL272

PLUMBING VIOLATION CODES

MAKE ALL PLUMBING OPERABLE	PL010
GAS LINE UNAPPROVED - UNIT	PL200
GAS LINE UNAPPROVED – BASEMENT	PL206
DRAIN LINE UNAPPROVED	PL221
DRAIN LINE LEAKING	PL235
PIPES LEAKING - BASEMENT	PL237
PIPES ARE LEAKING - UNIT	PL318
SINK MISSING/REPAIR	PL340
SUMP PUMP NEEDS REPAIR	PL402
GAS SHUTOFF REQ. (BOILER)	PL516

ZONING VIOLATION CODES

ROOMING HOUSE CONVERSION	ZN119
3 RD FL OCC WO PMT/CZC	ZN121
B'MENT OCC WO PMT/CZC	ZN123
ADD'NL D-U WO PMT.CZC	ZN130

MONROE COUNTY LEAD VIOLATIONS

INTERIOR LEAD PAINT	LP500
EXTERIOR LEAD PAINT	LP600

MONROE COUNTY – 2016 APU

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	0	3	3
Base period	0	18	18

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

Payment will only be allowed for open Child & Family Services cases (LDSS case prefix SO) in which the child is to appear in court or keep appointments related to the provision of preventive, FC, adoption or child protective services, or other needs as identified in the child’s service plan.

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

Payments will only be made if the child care program is open and the parent is scheduled to work or attend an approved activity.

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

Note: Monroe County requested a waiver of 415.6(b)(5) so that the county could pay for extenuating circumstances absences only, and not pay for non-extenuating circumstances routine temporary absences. Monroe County also requested to pay for up to three absences for extenuating circumstances in a calendar month, or up to 18 absences for extenuating circumstances over a six month period. The waiver request was approved by OCFS and went into effect the date the child care portion of Monroe County’s 2012-2016 Child and Family Services Plan was approved and became effective.

MONROE COUNTY – 2016 APU

APPENDIX S

Payment to Child Care Providers for Program Closures (Optional)

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).

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

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

MONROE COUNTY – 2016 APU

APPENDIX T

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

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.

Differential Payment Rates

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

- Accredited programs may receive a differential payment up to **10%** above market rate.
- Care during non-traditional hours may be paid up to % above market rate.
- Limitations to the above differentials:

Currently recognized accrediting organizations are: NAEYC, NECPA, ACA and Pathways

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:

Childcare to allow a parent to sleep may be paid with Administrative approval and supporting documentation under the following circumstances: special circumstances include parents working night shift requiring sleep during the day and the child(ren) are below school-age or the care is during school breaks.

MONROE COUNTY – 2016 APU

Indicate the number of hours allowed by your district (maximum number of hours allowed is eight). 6 hours

MONROE COUNTY – 2016 APU

APPENDIX U

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

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.

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.

Financial criteria only, when inclusion of the 18/19 year old makes the household eligible for assistance.

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.

See Appendix R, Absences.

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

MONROE COUNTY – 2016 APU

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