

**MONROE COUNTY – 2014 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 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.....\$0.00

NYSCBG Allocation 2011-12 .....\$35,160,270.00

Estimate of Local Share .....\$0.00

**Total Estimated NYSCCCBG Amount** .....\$35,160,270.00

**a. Subsidy** .....\$33,560,964.00

**b. Other program costs excluding subsidy** .....\$1,599,306.00

**c. Administrative costs** .....\$0.00

Does your district have a contract or formal agreement with another organization to perform any of the following functions? **NO**

Function	Organization	Amount of Contract
<input checked="" type="checkbox"/> Eligibility screening	Workforce Development Corp	
<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		

**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> <li data-bbox="240 884 906 919">b) homeless</li> <li data-bbox="240 1035 906 1071">c) a victim of domestic violence</li> <li data-bbox="240 1182 906 1218">d) in an emergency situation of short duration</li> </ul>	<ul style="list-style-type: none"> <li data-bbox="922 730 1084 810"> <input type="checkbox"/> Yes  <input checked="" type="checkbox"/> No               </li> <li data-bbox="922 884 1084 963"> <input type="checkbox"/> Yes  <input checked="" type="checkbox"/> No               </li> <li data-bbox="922 1035 1084 1115"> <input type="checkbox"/> Yes  <input checked="" type="checkbox"/> No               </li> <li data-bbox="922 1182 1084 1262"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No               </li> </ul>	<ul style="list-style-type: none"> <li data-bbox="1101 730 1459 831">This is covered under the child care guarantee for PA families.</li> <li data-bbox="1101 884 1459 984">This is covered under the child care guarantee for PA families.</li> <li data-bbox="1101 1035 1459 1136">This is covered under the child care guarantee for PA families.</li> <li data-bbox="1101 1182 1459 1383">Authorization limited to requests submitted in writing and administrative approval. LDSS remains sole authority on granting approval on a case-by-case basis.</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	
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 1602 906 1638">a) is physically or mentally incapacitated</li> </ul>	<ul style="list-style-type: none"> <li data-bbox="922 1602 1084 1671"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No               </li> </ul>	<ul style="list-style-type: none"> <li data-bbox="1101 1602 1459 1902">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</li> </ul>

Optional Categories	Option	Limitations
b) has family duties away from home	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	provide care.
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: <ul style="list-style-type: none"> <li data-bbox="240 905 906 1052">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 1062 906 1167">b) an education program that prepares an individual to obtain a NYS High School equivalency diploma</li> <li data-bbox="240 1272 906 1461">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 1482 906 1587">d) a program providing literacy training designed to help individuals improve their ability to read and write</li> <li data-bbox="240 1692 906 1881">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> </ul>	<ul style="list-style-type: none"> <li data-bbox="922 905 1084 1052"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No             </li> <li data-bbox="922 1062 1084 1167"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No             </li> <li data-bbox="922 1272 1084 1461"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No             </li> <li data-bbox="922 1482 1084 1587"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No             </li> <li data-bbox="922 1692 1084 1881"> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No             </li> </ul>	<ul style="list-style-type: none"> <li data-bbox="1101 905 1458 1052">Authorization is limited to student caretakers who maintain 85% attendance rate in school</li> <li data-bbox="1101 1062 1458 1167">Authorization is limited to student caretakers who maintain 85% attendance rate; GED program must be in addition to 17.5 hours of weekly employment.</li> <li data-bbox="1101 1272 1458 1461">Authorization is limited to student caretakers who maintain 85% attendance rate; program must be in addition to 17.5 hours of weekly employment.</li> <li data-bbox="1101 1482 1458 1587">Authorization is limited to student caretakers who maintain 85% attendance rate; program must be in addition to 17.5 hours of weekly employment.</li> <li data-bbox="1101 1692 1458 1881">Authorization is limited to student caretakers who maintain 85% attendance rate; program must be in addition to 17.5 hours of weekly employment.</li> </ul>

Optional Categories	Option	Limitations
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 who maintain a minimum 2.0 GPA; 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  <b>Note:</b> 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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Authorization for program must be in addition to 17.5 hours of weekly employment.
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.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
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	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

Optional Categories	Option	Limitations
parent/caretaker must demonstrate his or her 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 type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

## 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”: 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%**.

Describe the district’s justification for the family share percentage selected:        %

**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.

**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

Band 10: 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.

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.

Yes. Check 1 or 2 below.

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

## **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 LDSS will follow its daycare FEDS procedure (daycare section) as currently approved or as subsequently amended and approved. Below is the FEDS Plan of Operation approved 3/2012:

**County**            **Monroe**                            **Date**    **03-27-12**

### **FRONT END DETECTION SYSTEM (FEDS) PLAN OF OPERATION**

If an application has one or more of the indicators checked below on the district's approved FEDS plan, and the eligibility worker is not confident that an indicator has been explained or supported adequately, the application must be referred for a FEDS investigation. The wording of each indicator must appear exactly on the FEDS plan as well as the FEDS referral process/form.

#### **Section 1 – State Mandated Indicators**

All district plans must include these indicators:

- (X) Financial obligations are current, but stated expenses exceed income without a reasonable explanation**
- (X) Working off the books (currently or previously)**
- (X) Supported by loans or gifts from family/friends**
- (X) Application is inconsistent with prior case information**
- (X) Prior history of denial, case closing, or overpayment resulting from an investigation.**

#### **Section 2 – State-Approved Optional Indicators**

This section may be left blank if a county chooses not to select any of these optional indicators for its FEDS process. If the district chooses to include any or all of these optional indicators in its plan, eligibility workers must also refer to FEDS any applications with these indicators:

- (X) No absent parent information or information is inconsistent with application**
- (X) No documentation to verify identity or documentation of identity is questionable**
- (X) Landlord does not verify HH composition or provides information inconsistent with application**
- (X) Self-employed but without adequate business records to support financial assertions**
- (X) Alien with questionable or no documentation to substantiate immigration status**
- (X) Documents or information provided are inconsistent with application, such as different name used for signature or invalid SSN**
- (X) P.O. Box is used as a mailing address without a reasonable explanation, e.g., high crime area**
- (X) Primary tenant with no utility bills (e.g., phone or electric) in his/her name**
- (X) Children under the age of six with no birth certificates available**
- (X) Unsure of own address**

**Section 3 – State-Approved County-Specific Indicators**

Eligibility workers are not allowed to refer cases based on an “other” box that they fill in for each FEDS referral. Indicators listed and checked here must be pre-approved by the State and must be pre-filled on the district’s FEDS referral process/form. This section may be left blank if a district chooses not to create any county-specific indicators for their FEDS process. Once the State approves this indicator, eligibility workers must also refer to FEDS any applications with these indicators:

- (X) County-Specific Indicator: No income within the last six months**
- (X) County-Specific Indicator: Moved into Monroe County within the last six months**
- (X) County-Specific Indicator: Rent paid to a relative**

NYS State Dept. of Health disapproved indicators:

1. Landlord does not verify HH Composition or provides information inconsistent with application.
2. P.O. Box used as mailing address without reasonable explanation, e.g. high crime area.
3. Primary tenant with no utility bills (e.g. phone or electric) in his or her name.
4. Children under age six with no birth certificates
5. Unsure of own address
6. Moved in to Monroe County in the last 6 months

NYS OCFS Disapproved indicators for Child care:

1. Supported by loans or gifts from family and friends
2. Landlord does not verify HH Composition or provides information inconsistent with application.
3. Alien with questionable or no documentation to substantiate immigration status.
4. No income within last six months
5. Moved in to Monroe County in the last 6 months

**Section 4 – Description of FEDS Process** - Please describe your FEDS process:

a. Specify what program areas will use FEDS:

TA     FS     Medicaid     CC    \_\_\_\_\_ Other (specify)

b. Describe how an application will be referred by the eligibility worker to the investigative unit. Include if this is a manual, e-mail or automated process, and if there is eligibility supervisory review. OTDA strongly encourages eligibility supervisory review.

*FEDS referrals are determined at every eligibility interview using the Electronic Investigative System where each user has an electronic signature based on the NYS HSEN sign-on, and the indicators established in the FEDS Plan. There are three sets of indicators, one set for each program for TA and FS, MA, and Day Care based on specific instructions from each division.*

*Once the applicant is interviewed for an assistance program he/she has 30 days to return any required documentation to the eligibility worker.*

*The FEDS referral must be referred as soon as possible to provide for an adequate investigation. Referrals on day 1 of application are referred to the FEDS Unit for screening. The FEDS Investigators are co-located with the Temporary Assistance Intake Teams. The process allows for immediate referrals, and the applicant may be referred for a FEDS interview immediately after the intake interview, or mailed an appointment letter for a future interview. The application and file are forwarded to the FEDS investigator for review prior to the interview while the applicant is given notice verbally and via the Documentation Requirements Form 2642 to remain after the intake interview. However, the interview will be rescheduled if the applicant notifies either worker or investigator of a scheduling conflict. If there are no suspicions or deficiencies the referrals is coded as no action and examiner notified shortly thereafter.*

*Applications referred after the initial intake interview, or those applicants who cannot stay for a FEDS interview may have a home visit conducted as necessary.*

*During the FEDS interview the investigator utilizes a FEDS screening form. A research worksheet is employed for FEDS-referred clients not immediately interviewed. The forms assists the investigator with questions regarding resources, income, absent parents, DMV checks, city tax assessment, County Clerk, NYS Department of Labor, employers, etc.*

*Note: Monroe County has implemented an Investigative Program written in house that will be utilized for referrals and tracking electronically. The local district has incorporated the approved FEDS Plan in to that system.*

*Income Eligible Child Care applications do not require an in-person interview. 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 Quality Review 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, review of case file, home visit, and related items as necessary depending on the Child Care Indicators.*

*The application process must not be interrupted while waiting for the results of an investigation. There is no supervisory review for initial referral purposes.*

- c. Describe how the investigative unit logs and tracks the referral, as well as how it processes it (i.e., home visit, collateral contact, office interview, etc.).

*All referrals to the Special Investigations Unit are sent via the electronic Investigative System. This system is an application placed in the Monroe County Dept. of Human Services workspace known as DSS NET. DSS NET is standard on all Monroe County DHS staff PC Desk Tops. The application automatically logs the referral and pulls in the most current information from WMS, pre-filling most of the demographic information. Once the information is input, it can only be changed by individuals with supervisory and administrative rights. The application then utilizes a color coding system to track investigative and supervisory sign-off. The Special Investigations Unit reserves the right to*

*reject any referral that does not meet the minimum standards as set forth in Administrative Directive 05-ADM-08.*

*Child Care FEDS referrals will be forwarded by the Income Eligible Child Care Team to the Quality Review Team via interoffice mail on a daily basis. QRT Investigative staff will utilize the investigative database used by SIU to log in and track Child Care referrals. Once the FEDS referral is made and accepted by the Special Investigations Unit, it will remain a FEDS until the investigation is complete.*

- d. Specify the targeted time frames for reporting investigative results back to the eligibility worker for final determination.

*Once the investigator has completed the FEDS investigation, the investigator will input the information into the Investigative System. Once the investigator signs off electronically, and it has been approved by investigative supervision, a report will be sent to the eligibility team. The eligibility examiner will also be able to follow the investigation as it is processed by the investigator. A completed investigation will entail an investigative summary sent to the Eligibility Team electronically. The summary shall include a report that explains necessary actions taken during the investigation, such as a home visit or office interview or collateral contact made.*

*Results of the investigation must be provided within 30 days of the client's application date.*

*The eligibility team will determine if the recommended action is appropriate, and complete the necessary sign offs in the system.*

- e. If your district contracts out for investigations, such as with a local sheriff's department, explain this process and staffing and identify the contractor.

*Monroe County DHS does not contract for law enforcement services to conduct fraud or FEDS investigations.*

- f. Describe how and when the investigative unit is informed of the final action taken on the application, for inclusion in the FEDS monthly report.

*The Investigative Application is utilized to track an investigations status using a color coded system. The initial input on the FEDS Home Screen will be highlighted in Green. Once the investigator has completed the investigation and uses the electronic sign off the highlighted color will be blue. Once the Supervisor in Investigations approves and signs off the highlighted color will be pink. Once the Intake Supervisor or Sr. Examiner signs off, the investigation goes in to the closed case file. The end user of the application can look at the progress of the referral until it is completed. The application also processes the monthly FEDS report by automatically pre-filling the OTDA generated Excel Spreadsheet.*

**Describe the sampling methodology used to determine which cases will require verification of an applicant’s or recipient’s continued need for child care, including, as applicable, verification of participation in employment, education, or other required activities.**

The LDSS will investigate all cases involving: referrals received by the LDSS fraud hotline; absent parents; parents employed by a temp agency or working varying hours; self-employed parents; parents out of compliance with OTDA/OCFS/LDSS program mandates.

The LDSS reviews all attendance sheets submitted and investigates anomalies in provider/parent signatures, parent fees and dates attended vs. dates authorized.

**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.**

As resources allow, 5% of the CACFP participants with subsidized children will be randomly selected for review on a quarterly basis. The review will be collaboratively conducted by LDSS and CACFP staff.

All referrals received by the LDSS fraud hotline and from the local Child Care Resource & Referral agency will be investigated.

For CACFP and non-CACFP providers, the LDSS will utilize 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.).

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.

**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.

**APPENDIX N**  
**District Options (Required)**

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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.

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.*

**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).

Category:

Description:

Category:

Description:

Category:

Description:

Category:

Description:

**APPENDIX P**  
Title XX Child Care (Optional)

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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

## APPENDIX Q

### 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

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:

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.

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.)

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

**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.

## 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).

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.

## 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.

#### 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.

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

## 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.

#### 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

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
-