APPENDIX G-1
CHILD CARE SECTION
2011 APU

County: New York City

I. Administration (Required Section)

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

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

Public Assistance Families:	**Administration for Children's Services Division of Child Care and Head Start (ACS DCCHS)**
Transitioning Families:	**ACS DCCHS**
Income Eligible Families:	**ACS DCCHS**
Title XX:	**ACS DCCHS**

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

Estimate of FFY 08-09 Rollover Funds	**$0**
Estimate of Flexible Funds for Families (FFFS) for child care subsides	**$0**
NYSCCBG Allocation for SFY 09-010	**$479,208 M**
Estimate of Local Share	**$257,630 M**
Total Estimated NYSCCBG Amount:	**$736,838M**

A. Subsidy	**$729.512M**
B. Other program costs (excluding subsidy)	**$0**
C. Administrative costs	**$7,326,021**

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

Function:	Organization:	Amount of Contract:
☐ Eligibility screening Function		
☐ Assistance in locating care		
☐ Child Care Information Systems		
☐ Determining if legally-exempt providers meet State approved additional local standards (if applicable)		
☐ Other		

APPENDIX G-2

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

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

Optional Categories	Option	Limitations
1. Public Assistance (PA) families participating in an approved activity in addition to their required work activity.	☒ Yes ☐ No	**PA families participating in an approved activity in addition to their required work activity are eligible until their public assistance case closes or they are sanctioned for non-compliance.**
2. PA families or families with income up to 200% of the State Income Standard when the caretaker is:		
a) participating in an approved substance abuse treatment program	☐ Yes ☒ No	
b) homeless	☒ Yes ☐ No	**Limited to homeless who are working or participating in an educational or vocational activity.**
c) a victim of domestic violence	☒ Yes ☐ No	
d) in an emergency situation of short duration	☐ Yes ☒ No	
3. Families with an open child protective services case when child care is needed to protect the child.	☒ Yes ☐ No	**Families are funded with Title XX.**
4. Families with income up to 200% of the State Income Standard when child care services are needed because the child's caretaker:		
a) is physically or mentally incapacitated	☐ Yes ☒ No	
b) has family duties away from home	☐ Yes ☒ 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 6 months.	☐ Yes ☒ No	
6. PA families where a sanctioned parent is participating in unsubsidized employment, earning wages at a level equal to or greater than the minimum amount under law.	☐ Yes ☒ No	
7. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in:		
a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district	☒ Yes ☐ No	
b) an education program that prepares an individual to obtain a NYS High School equivalency diploma	☒ Yes ☐ No	
c) a program providing basic remedial education in the areas of reading, writing, mathematics, and oral communications for individuals functioning below the ninth month of the eighth grade level	☒ Yes ☐ No	
d) a program providing literacy training designed to help individuals improve their ability to read and write;	☒ Yes ☐ No	
e) English as a second language (ESL) instructional program designed to develop skills in listening, speaking, reading and writing the English language for individuals whose primary language is other than English	☒ Yes ☐ No	

f) a two year full-time degree granting program at a community college, a two year college, or an undergraduate college with a specific vocational goal leading to an associate degree or certificate of completion	☒ Yes ☐ No	
g) a training program, which has a specific occupational goal and is conducted by an institution licensed or approved by the State Education Department other than a college or university	☒ Yes ☐ No	
h) a prevocational skill training program such as, a basic education and literacy training program	☒ Yes ☐ No	
i) a demonstration project designed for vocational training or other project approved by the Department of Labor. **The parent/caretaker must complete the selected programs listed under number seven within 30 consecutive calendar months. The parent/caretaker cannot enroll in more than one program.**	☒ Yes ☐ No	
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 associates degree or certificate of completion and that is reasonably expected to lead to an improvement in the parent/caretaker's earning capacity) as long as the parent(s) or caretaker is also working at least 17 ½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.	☒ Yes ☐ No	**Limited to PA families also participating in at least 35 hours of work activity.**

9. PA recipients and low income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a two-year college or university program (other than one with a specific vocational sequence) leading to an associates degree or a certificate of completion that is reasonably expected to lead to an improvement in the parent/caretaker's earning capacity as long as the parent(s) or caretaker is also working at least 17 ½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.	☒ Yes ☐ No	**Limited to PA families also participating in at least 35 hours of work activity.**
10. PA recipients and low income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a four-year college or university program (leading to a bachelor degree and that is reasonably expected to lead to an improvement in the parent/caretaker's earning capacity) as long as the parent(s) or caretaker is also working at least 17 ½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.	☐ Yes ☒ No	
11. 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 program to train workers in a employment field that currently is or is likely to be in demand in the near future, if the caretaker documents that he or she is a dislocated worker and is currently registered in such a program, provided that child care services are only used for the portion of the day the caretaker is able to document is directly related to the caretaker engaging in such a program.	☐ Yes ☒ No	

APPENDIX G-3

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

Reasonable Distance
Your district is required to define reasonable distance based on community standards for determining accessible child care.

The following defines "reasonable distance": **No more than one hour and fifteen minutes travel time, by public transportation or private car, between the caretaker's home and the child care provider.**

Describe any steps/consultations made to arrive at your definition: **Consultation with parents living throughout the city to determine maximum travel time from home to the work activity site, including time to stop at a child care provider.**

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

Very Low Income is defined as **200** % of the State Income Standard.

Family Share
Family share is the weekly amount paid towards the costs of the child care services by the child's parent or caretaker. In establishing family share, your district must select a percentage from 10% to 35% to use in calculating the family share. The family share of child care is calculated by applying the family share percentage against the amount of the family's annual gross income that is in excess of the State Income Standard divided by 52.

Family Share Percentage selected by our district will **be 35%.**

Note: Make sure the % selected here matches the % selected in Appendix F.

New York City will not use the State prescribed methodology of applying a formula to gross family income above the State Income Standard (SIS). Instead a fee schedule will be utilized. Within a given fee band in the fee schedule, and, depending on family income, the family share percentage will be 35% of remaining gross family income after subtracting the applicable SIS level. Family shares or fees will be capped at 17% of annual gross family income. A minimum weekly family share of $15 for full-time care or $12 for part-time care will be charged to families. If $15 per week exceeds 35% of remaining income after subtracting SIS from the highest income level listed in a given fee band, a $15 per week minimum family share/fee for

full-time care or $12 per week for part-time care will apply to that entire fee band. A part-day weekly family share of 75% of the full-time weekly family share for a family of the same size and income will be charged for children who receive part-day care. Households in receipt of Child Care in Lieu of Public Assistance (CILOPA) are required to pay $15 per week for their family share.

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

In the event that there are limited or no NYSCCBG funds available, cases will be selected to be closed using the longest time receiving child care services within the priority in the reverse priority order that will be used to open cases in priorities funded by the NYSCCBG.

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

☐ shortest time receiving child care services
☐ longest time receiving child care services

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

If additional funds become available (either through an increased allocation or attrition), cases will be selected to be opened in the priority order listed in Appendix G-5.

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

Indicators:
(a) Working off the books (currently or previously)
(b) Self-employed, but without business records to support financial assertions
(c) P.O. Box used as a mailing address without cause, i.e. high crime area
(d) Client unsure of own address
(e) An individual has no identification to verify his/her identity or the identification is suspect
(f) Prior history of denial, case closing, or overpayments resulting from an investigation or prior fraud history
(g) Application inconsistent with prior case history or with information provided on application
(h) Child(ren) in the household under the age of six with no birth certificate
(i) Child care provider lives in same household as the child
(j) Missing or inconsistent absent parent information

If, in the judgment of the eligibility worker, the applicant/recipient did not submit adequate records to support his/her assertions pertaining to identity, income/resources, or residence, the case - with supervisory approval - will be referred to New York City's (NYC) FEDS program.

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

The district will seek verification for 25% of all new applicants.

The district must describe below it sampling methodology used to determine which child care providers of subsidized child care services they will review for the purpose of comparing the child care providers attendance forms for children receiving subsidized child care services and any child and adult care food program inspection forms to verify that child care was actually provided on the days listed on the attendance forms.

A random sample of 40 providers will be chosen from the informal providers subsidized child care who are participating in CACFP. The attendance forms for subsidized children from 10 providers per quarter will be compared to the CACFP inspection forms for those same providers.

APPENDIX G-4

IV. District Options (Required Section)

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

1. ☒ Our district has identified local priorities in addition to the federal priorities (complete Appendix G-5).

2. ☐ Our district has chosen to establish funding set-asides for NYSCCBG (complete Appendix G-6).

3. ☒ Our district is using Title XX funds for the provision of child care services (complete Appendix G-7).

4. ☒ Our district has chosen to establish additional local standards for child care providers (complete Appendix G-8).

5. ☒ Our district has chosen to make payments to child care providers for absences (complete Appendix G-9).

6. ☒ Our district has chosen to make payments to child care providers for program closures (complete Appendix G-10).

7. ☐ Our district has chosen to pay for transportation to and from a child care provider (complete Appendix G-11).

8. ☒ Our district has chosen to pay up to a 15% higher than the applicable market rates for regulated child care services that have been accredited by a nationally recognized child care organization (complete Appendix G-11).

9. ☒ Our district has chosen to pay up to 15% higher than the applicable market rates for non-traditional hours (complete Appendix G-11).

10. ☐ Our district has chosen to pay up to 75% of the enhanced market rate for legally-exempt family and in-home child care providers who have completed 10 hours of training and the training has been verified by the legally-exempt care giver enrollment agency (complete Appendix G-11).

11. ☐ Our district has chosen to pay for child care services while a caretaker who works the second or third shift sleeps (complete Appendix G-11).

12. ☐ Our district has chosen to make payments to child care providers who

provide child care services, which exceed 24 consecutive hours (complete Appendix G-12).

13. ☐ Our district has chosen to include 18, 19 or 20 year olds in the Child Care Services Unit (complete Appendix G-12).

14. ☒ Our district is seeking a waiver from one or more regulatory provisions. Such waivers are limited to those regulatory standards that are not specifically included in law (complete Appendix G- 12).

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

16. ☒ Our district has chosen to use local equivalent forms such as, but not limited to, child care application, client notification and/or legally exempt enrollment forms (attach copies of the local equivalent forms your district uses).

Any previous approvals for local equivalent forms will not be carried forward into this county plan. Therefore, any local equivalent forms a district wishes to establish or renew must be included in this plan and will be subject to review and approval by OCFS.

APU Instructions: ***Only those local equivalent forms that were not already approved in the 2007-09 CFSP need to be included.***

APPENDIX G-5
PRIORITY POPULATIONS-ADDITIONAL LOCAL PRIORITIES

The federal priorities of very low income families and families with children who have special needs must be ranked either one or two. Additional local priorities that have been selected must have a lower rank than the federal priorities:

Category: Families with very low income **Rank:** 2 (select rank one or two).

Description: Below 200%

Category: Families with children who have special needs **Rank:** 1 (select rank one or two)

Description: Children with special needs from families that meet financial and programmatic eligibility requirements for NYSCCBG funding.

Category: Domestic Violence **Rank:** 3

Description: A family receiving PA or with income up to 200% of the SIS when child care services are needed because the child's caretaker is receiving services for victims of domestic violence and needs child care to participate in an approved activity or for screening or assessment of the need for services for domestic violence victims.

Category: Homeless, Employment, Ed/Voc. **Rank:** 4

Description: A family receiving PA or with income up to 200% of the SIS when child care services are needed because the child's caretaker is homeless and working or engaged in an educational or vocational activity.

A family with income up to 200% of the SIS which is at risk of becoming dependent on PA when child care services are needed for the child's caretaker to be employed.

A family that has applied for or is receiving public assistance when child care services are needed for an eligible child who is age 13 or older and who has special needs or is under court supervision in order to enable the child's custodial parent or caretaker relative to participate in required activities including orientation, assessment or work activities as defined in 12 NYCRR §1300 or to engage in work.

A family receiving public assistance or a family with income up to 200 percent of the State income standard which is at risk of becoming dependent on public assistance when child care services are needed:

□ To enable a teenage parent to attend high school or an equivalency program.

A family receiving public assistance and child care services are necessary for a parent or caretaker relative to participate in an approved activity in addition to their required work activity.

Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate and complete one of the following programs within 30 consecutive calendar months:

- a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district
- an education program that prepares an individual to obtain a NYS High School equivalency diploma
- 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
- a program providing literacy training designed to help individuals improve their ability to read and write;
- 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
- 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
- a training program, which has a specific occupational goal and is conducted by an institution licensed or approved by the State Education Department other than a college or university
- a prevocational skill training program such as, a basic education and literacy training program
- a demonstration project designed for vocational training or other project approved by the Department of Labor.

A family receiving public assistance and participating in at least 35 hours of work activity 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 17 ½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study; or
- 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 17 ½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.

Category: Protective/Preventive **Rank:** 5

Description: A family with an open child protective services case when it is determined that such child care is needed to protect the child. A family with an open child preventive services case when it is determined that such child care is needed to prevent the risk of foster care placement of the child. TITL XX funds are used for this category.

APPENDIX G-6
FUNDING SET-ASIDES

Total NYSCCBG Block Grant Amount Including Local Funds

Category:	$
Category:	$
Category:	$
Category:	$
Category:	$
Category:	$
Category:	$
Total set asides	**$**

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

Category:

Category:

Category:

Category:

APPENDIX G-6 (continued)

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

Category:	$
Category:	$
Category:	$
Total set asides (Title XX)	**$**

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

Category:

Category:

Category:

Category:

APPENDIX G-7
TITLE XX CHILD CARE

Projected total Title XX expenditures for plan duration: **Unable to project Title XX expenditures for plan duration because transfer rate of TANF to Title XX may be reduced in the future.**

Financial eligibility limits (percentage of State Income Standard) your district will apply based on family size. Maximum reimbursable limits are 275% for a family of 1 or 2, 255% for a family of 3, and 225% for a family of 4 or more. Districts that are utilizing Title XX funds only for child protective and/or preventive child care services must not enter financial eligibility limits as these services are offered without regard to income.

Family 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 your district apply any limitations to the programmatic eligibility criteria?
☐ YES ☒ NO

(See Technical Assistance #1 for information on limiting eligibility.)
If yes, describe eligibility criteria:

Does your district prioritize certain eligible families for Title XX funding?
☒ YES ☐ NO
If yes, describe which families will receive priority:
Families with open child protective services cases and families with open child preventive services cases.

Does your district use Title XX funds for child care for open child protective services cases?
☒ YES ☐ NO

Does your district use Title XX funds for child care for open child preventive services cases?
☒ YES ☐ NO

APPENDIX G-8
ADDITIONAL LOCAL STANDARDS FOR CHILD CARE PROVIDERS

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

Additional Local Standard #1

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

Upon notification by WHEDCo of the temporary enrollment of a legally-exempt family or in-home child care provider, ACS will submit the provider's name and date of birth to the NYS Office of Court Administration to conduct a Criminal History Records Search. ACS will provide WHEDCo with any criminal history records obtained. WHEDCo will evaluate the convictions in the criminal history record findings in accordance with the guidelines issued in 01 OCFS LCM 11 to determine if the provider can be enrolled. A notice approved by OCFS will accompany the enrollment form for the provider notifying them of the criminal background check. The criminal background check will be completed at no cost to the provider.

ACS will review all arrests currently pending against the provider to determine if there is a charge pending against the provider involving a crime against children or a violent or other serious crime in which case the provider will not have met the additional standard. ACS will notify WHEDCo as to whether the additional standard has been met and WHEDCo will determine whether or not to enroll the provider.

As per the New York State Human Rights Law, neither ACS nor WHEDCo will review "any arrest or criminal accusation of such individual not then pending against that individual which was followed by a termination of that criminal action or proceeding in favor of such individual, as defined in subdivision two of section 160.50 of the criminal procedure law, or by a youthful offender adjudication, as defined in subdivision one of section 720.35 of the criminal procedure law, or by a conviction for a violation sealed pursuant to section 160.55 of the criminal procedure law or by a conviction which is sealed pursuant to section 160.58 of the criminal procedure law." NYS Executive Law 296(16).

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

The legally exempt enrollment agency will notify the provider and the parent and ACS will terminate payment to a provider who has been temporarily enrolled if the provider cannot be fully enrolled.

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

ACS will forward the results of the Criminal History Record Search to the Legally Exempt Caregiver Enrollment Agency within 30 days of the request.

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

ACS is committed to the safety of all children in our child care services, including those in license-exempt care. As per New York State Corrections Law section 752(2), ACS believes that granting enrollment to a legally exempt family or in-home provider who has an arrest or conviction for a crime against a child or a violent or other serious charge as defined in 01OCFS LCM 11 would pose an unreasonable risk to the safety and welfare of a child in their care.

Additionally, because of the prohibition against fingerprinting a legally exempt child care provider, there is no method for ACS or WHEDCo to receive notification if a currently pending arrest against a provider for a violent crime or a crime against a child results in a conviction prior to the annual recertification.

Additional Local Standard #2

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

In order to deter fraud, all legally exempt family and in-home child care providers must provide proof of identity and residency in order to receive payment as a legally exempt child care provider as part of the enrollment packet. If child care is provided at a location that is neither the home of the child nor the provider, a notarized letter from the resident of the location where care is provided must be submitted to WHEDCo.

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

The provider must submit an original document to be copied by WHEDCo or a copy of one of the following forms of documentation for WHEDCo to verify his/her identity:

- Current valid photo ID issued by government, employer, school or other official institution/agency including but not limited to:
  - Driver's license/non-driver's identification card
  - Passport or visa
  - Naturalization or citizenship certificate
  - School or Military ID card
  - Employment Authorization Card
  - Permanent Resident Card
  - Government Benefit Card (e.g., Welfare/Medicaid/Food Stamps)

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

- Social Security card
- Birth certificate
- Baptismal certificate
- Government benefit card (e.g., Welfare/Medicaid/Food Stamps)
- Life Insurance Policy

The provider must submit one of the following forms of documentation, either a copy or an original to be copied by WHEDCo, for WHEDCo to verify his/her residence:

- Statement from landlord on his/her official stationery*
- Lease or deed with the provider's name
- Rent statement/receipt with preprinted address*
- Mortgage records (the provider may [for privacy reasons] cross out any specific financial information on the document)
- Tax records for residence
- A utility bill with the provider's address (the provider may [for privacy reasons] cross out any specific financial information on the document) *

- A bank statement with the provider's address (the provider may [for privacy reasons] cross out any specific financial information on the document) *
- Provider's school records indicating address*

If care is taking place at a location other than the home of the child or the provider, the owner or tenant of the residence where care is taking place must submit a notarized letter to WHEDCo approving the use of their residence for such care along with the documentation listed above to verify the residence of the property owner or tenant of the residence where care is taking place.

*** Documents cannot be more than 60 days old.**

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

ACS requests verification of the provider's identity and location of providing child care in order to deter fraud, verify the location where child care is being provided, confirm what residence is being assessed for the health and safety standards, and to obtain an accurate address for purposes of mailings and home visits.

APPENDIX G-9
PAYMENT TO CHILD CARE PROVIDERS FOR ABSENCES

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

☒ Day Care Center ☒ Legally Exempt Group

☒ Group Family Day Care ☒ School Age Child Care

☒ Family Day Care

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

Base period selected (check one) ☐ 3 months ☒ 6 months

Number of absences allowed during base period:

Period	Routine Limits (# of days)	Extenuating Circumstances (# of days)	Total Number of Absences Allowed (# of days)
In a month	**12**	**3**	**15**
Base period	**24**	**16**	**40**

List reasons for absences for which the district will allow payment:
Child's illness or disability, family emergency, religious observance, medical care or treatment, extreme weather conditions, child or child's caretaker must appear in court or keep other appointments related to the provision of preventive, foster care, adoption or child protective services or other needs as set forth in the child's service plan, child's caretaker is participating in an approved education or training program and child's absences coincide with a temporary suspension of such program for purposes including but not limited to holidays, school conferences and snow days.

List any limitations on the above providers' eligibility for payment for absences:
We reserve the right to monitor inappropriate overuse of reimbursable absences by a provider or child care program. For family day care providers that receive payments through vouchers the routine limits are 6 days in a month, 12 days in six months.

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

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

The following providers are eligible for payment for program closures:

☒ Day Care Center

☒ Group Family Day Care

☒ Family Day Care

☒ Legally Exempt Group

☒ School Age Child Care

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

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

List the allowable program closures for which the district will provide payment:

Public school closure days such as: New Years Day, July 4th, Labor Day, Thanksgiving, and Christmas and /or due to extreme weather conditions.

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

APPENDIX G-11
TRANSPORTATION, DIFFERENTIAL PAYMENT RATES, SLEEP

Transportation

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

Differential Payment Rates

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

Accredited Programs may receive a differential payment up to **15%** above market rate.

Care during non-traditional hours may be paid up to **15%** above market rate.

Limitations to the above differentials are as follows:

Payments of up to 15% above the market rate for care during non-traditional hours will only be available to licensed or registered programs or providers and is contingent upon the availability of funds in the budget. The differential rate will only be paid for night-time and weekend care provided for at least 3 hours per night/day. Night time care must be provided between the hours of 6 PM and 8 AM.

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

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

If a district elects 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 care giver enrollment agency. The district must state the percentage above the market rate it proposes to use.

☐ Our district is requesting to increase the legally-exempt enhanced market rate up to____percent of the applicable registered family day care market rate. Market rate may not exceed 75 percent (75%) of the child care market rates established for registered family day care.

A district that selects the option to increase the legally-exempt enhanced market rate must select one of the options listed below for implementation of the legally-exempt enhanced market rate:

☐ for all legally-exempt family and in-home child care providers that have been approved by the applicable legally-exempt caregiver enrollment agency; or

☐ for those legally-exempt family and in-home child care providers who were receiving the enhanced rate on the date of the regulations, but only for the remainder of their current one-year enrollment period; or

☐ for those legally-exempt family and in-home child care providers who were receiving the enhanced rate on the date of the regulations, for the remainder of the time they remain enrolled and continue to meet the ten-hour annual training requirement.

Sleep

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

N/A

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

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

Child Care Exceeding 24 Hours

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

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

Child Care Services Unit

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

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

☐ 18 year old ☐ 19 year old ☐ 20 year old

-OR-

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

☐ 18 year old ☐ 19 year old ☐ 20 year old

Describe the criteria your district will use to determine whether or not an 18, 19 or 20 year old is included in the Child Care Services Unit.

Waivers

Districts have the authority to request a waiver of any regulatory provision that is non-statutory. Describe and justify why your district is requesting a waiver.
See request and approval, effective September 1, 2012

Breaks in Activities

Districts may pay for child care services for low income families during breaks in activities for a period not to exceed two weeks or for a period not to exceed one month where child care arrangements would otherwise be lost and the subsequent activity is expected to begin within that period (check one).

☒ two weeks ☐ four weeks

Districts may provide child care services while the caretaker is waiting to enter an approved activity or employment or on a break between approved activities. The following low income families are eligible for child care services during a break in activities (check any that are eligible):

☒ entering an activity ☒ waiting to begin employment ☐ break between activities

APPENDIX H
ANNUAL PLAN UPDATE
CHECKLIST
ADMINISTRATIVE COMPONENT – LOCAL DEPARTMENT OF SOCIAL SERVICES

New York City County

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

YES	***NO***	
		I. Financing Process
☐	☒	a. General Information
☐	☐	b. Purchase of Services
☐	☐	c. Performance or Outcome Based Provisions
☐	☒	II. Monitoring Procedures
		III. Appendices
☒	☐	a. Appendix A – Legal Assurances
☐	☒	b. Appendix B – Summary of Memorandum of Understanding with the District Attorney's Office for Child Protective Services (Check "No" if the memorandum is current, designates suitable locations for abandoned infants and there are no changes since the last CFSP or APU.)
☐	☒	c. Appendix C – Estimate of Persons to be Served
☐	☐	d. Appendix D – Non-Residential Services to Victims of Domestic Violence
☐	☐	e. Appendix E – Chafee Foster Care Independence Program Use of Allocations
☐	☐	f. Appendix F – Department of Social Services – Program Information Matrix
		g. Appendix G – Child Care
☒	☐	1. Appendix G-1 – Administration
☒	☐	2. Appendix G-2 – Other Eligible Families if Funds are Available
☒	☐	3. Appendix G-3 – Reasonable Distance, Very Low Income, Family Share, Case Closings and Case Openings, and Fraud and Abuse Control Activities
☒	☐	4. Appendix G-4 – Districts Options
☒	☐	5. Appendix G-5 – Priority Populations
☐	☒	6. Appendix G-6 – Funding Set-Asides
☒	☐	7. Appendix G-7 – Title XX Child Care

☒	☐	8. Appendix G-8 – Additional Local Standards for Child Care Providers
☒	☐	9. Appendix G-9 – Payment to Child Care Providers for Absences
☒	☐	10. Appendix G-10 – Payment for Child Care Providers for Program Closures
☒	☐	11. Appendix G-11 – Transportation, Differential Payment Rates, and Sleep
☒	☐	12. Appendix G-12 – Child Care Exceeding 24 Hours, Child Care Service Unit, Waivers, Break in Activities

Appendix H

	Reason for Change
Appendix G-1:	Updated to reflect contract with YMS (payment vendor) for 5/01/10 to 4/30/13
Appendix G-2:	Updated to reflect that local funds are no longer used for families with an open child protective services case when child care is needed to protect the child. Families continue to be funded with Title XX. Eligibility for PA families or families with income up to 200% of the SIS when the caretaker is homeless is limited to homeless who are working or participating in an educational or vocational activity.
Appendix G-3:	Updated to reflect change in the family share. Minimum fees will increase to $15 (FT)/$12 (PT), up from $5/$4. Fees will be capped at 17% of annual gross family income, up from 12%. Case closings revised to select cases to be closed using the longest time receiving child care services within the priority in the reverse priority order that will be used to open cases in priorities funded by the NYSCCBG. Fraud and Abuse Control Activities revised to reflect new indicators and application.
Appendix G-4:	Deleted district option to choose to pay for child care services while a caretaker who works the second or third shift sleeps.
Appendix G-5	Priority Populations revised to provide category for domestic violence as third ranking priority. Homeless, Employment and Educational/Vocational Activity have been collapsed into one category as the fourth ranking priority. Protective and Preventive are funded with Title XX and have been listed as the fifth ranking category to reflect that they are outside of the priorities funded by the NYSCCBG.
Appendix G-7	Amended to reflect that the only populations for which Title XX is used are Preventive and Protective.
Appendix G-11	Amended to reflect that ACS does not pay for child care services while a caretaker who works the second or third shift sleeps.
Appendix G-12	Breaks in Activities revised to reflect that ACS will pay for a period not to exceed two weeks where child care arrangements would otherwise be lost and the subsequent activity is expected to begin within that period. Previously indicated that ACS would pay four weeks. ACS will provide child care services while the caretaker is waiting to enter an approved activity or employment. Eliminates provision of child care services while the caretaker is on break between activities.

ADDENDUM TO: **New York City County** **Child and Family Services F**

Appendix M-1

District Plan for Inspections of Child Care Provider Records and Premises

Districts may complete and submit this addendum to the Office of Children and Family Services (OCFS) to supplement the authority of the district to conducts audit of providers of subsidized child care.

1. Per 18 NYCRR 415.4(h) (3), the district chooses 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.

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

NON-FAMILY-BASED CARE	FAMILY-BASED CARE
☐ Licensed Small Day Care Centers	☐ Legally-Exempt In-Home Child Care
X Licensed Day Care Centers	☐ Legally-Exempt Family Child Care
☐ Registered School Age Child Care	☐ Registered Family Day Care
X Legally Exempt Group programs operating under the auspices of another government agency	☐ Licensed Group Family Day Care
X Legally-Exempt Group programs not operating under the auspices of another government agency	

3. The district *x does* <u>OR</u> ☐ *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.

4. The district will report violations of regulations as follows:
   a. Violations by a licensed or registered child care provider will be reported to the New York City Department of Health and Mental Hygiene.
   b. Violations by an enrolled or enrolling legally-exempt child care provider will be reported to the applicable Enrollment Agency.

5. Districts are responsible for implementation of the inspections requirement, unless it has a formal agreement or contract with another agency. What agency will be responsible for the implementation of requirement?

   Name of Agency: NYC ACS

   Contact Person: Shari Gruber