

**APPENDIX G-1  
CHILD CARE SECTION  
2011 APU**

**County:** Saratoga

**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:      **Temporary Assistance**

Transitioning Families:          **Temporary Assistance**

Income Eligible Families:      **Temporary Assistance**

Title XX:                              **Children Services**

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

FFY 06-07 Rollover Funds ( <i>this amount is available from the NYSCCBG ceiling report in the claiming system</i> )	\$653,662
Estimate of FFY 07-08 Rollover Funds	\$428,983
Estimate of Flexible Funds for Families (FFFS) for child care subsidies	\$0
NYSCCBG Allocation for SFY 08-09	\$2,327,357
Estimate of Local Share	\$52,782

**Total Estimated NYSCCBG Amount:** \$2,809,122

	\$2,809,122
A. Subsidy	\$2,397,697
B. Other program costs (excluding subsidy)	\$158,355
C. Administrative costs	\$253,070

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
- Screening of legally-exempt providers
- Assistance in locating care
- Child Care Information Systems

## 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
<b>1.</b> Public Assistance (PA) families participating in an approved activity in addition to their required work activity.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>Agency approved activities as indicated in Saratoga Counties Welfare to Work Plan.</b>
<b>2.</b> 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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>Agency approved outpatient services as part of an employment plan developed within agency guidelines.</b>
b) homeless	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
c) a victim of domestic violence	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
d) in an emergency situation of short duration	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>3.</b> 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	<b>Provided on a case by case basis as assessed by CPS staff as necessary for the child to remain safely in the home.</b>
<b>4.</b> Families with income up to 200% of the State Income Standard when child care services are needed because the child's caretaker:		
a) is physically or mentally incapacitated	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>Approvable on case by case basis in those situations when other child caretaker in the home is not available due to employment or other approvable circumstance identified in this plan.</b>
b) has family duties away from home	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

<p><b>5.</b> 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.</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<p><b>6.</b> 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.</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<p><b>7.</b> 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:</p>		
<p>a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>b) an education program that prepares an individual to obtain a NYS High School equivalency diploma</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>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</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<p>d) a program providing literacy training designed to help individuals improve their ability to read and write;</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<p>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</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<p>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</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

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

<p>9. PA recipients and low income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a two-year college or university program (other than one with a specific vocational sequence) leading to an associates degree or a certificate of completion that is reasonably expected to lead to an improvement in the parent/caretaker's earning capacity as long as the parent(s) or caretaker is also working at least 17 ½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<p>10. PA recipients and low income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a four-year college or university program (leading to a bachelor degree and that is reasonably expected to lead to an improvement in the parent/caretaker's earning capacity) as long as the parent(s) or caretaker is also working at least 17 ½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<p>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.</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> 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": **For those TANF recipients using their own vehicle or public transportation, Saratoga County has determined a reasonable distance not to exceed one (1) hour one (1) way or the equivalent of fifty (50) miles one (1) way from home to the daycare provider to the employer, with the understanding that exceptions will be considered on a case by case basis, depending upon circumstances.**

Describe any steps/consultations made to arrive at your definition: **Consultation with agency Employment Unit, publication of definition with public comment period and discussion with the Social Services Advisory Council.**

#### 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 **175%** 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 **20%**.

**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 limited funds are available cases will be closed based upon the following income levels:**

- 1.) 200 - 176% FPL;
- 2.) 175 - 151% FPL;
- 3.) 150 - 126% FPL;
- 4.) 125 - 100% FPL;
- 5.) <100% FPL.

**Within each income level above cases will be additionally prioritized for closing in the event of limited funds by the length of time the case has been in receipt of day care funding. Cases that have been open longer will be closed first.**

**Families that have children with special needs will be given priority over all the income categories listed above.**

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.

**In the event of limited funds are available cases will be prioritized for opening based upon income levels in the following manner:**

- 1.) <100% FPL;**
- 2.) 100 - 125% FPL;**
- 3.) 126 - 150% FPL;**
- 4.) 151 - 175% FPL;**
- 5.) 176-200% FPL.**

**Cases within the above categories cases that have not previously been in receipt of day care assistance will be opened before cases that have previously been in receipt. The case application date will further prioritize when other circumstances are equal.**

**Families that have children with special needs will be given priority in case openings over all the income levels stated above.**

## **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.

**The following are the criteria that will be used to determine which child care subsidy applications suggest a higher than acceptable risk for fraudulent or erroneous child care subsidy resulting in a referral to FEDS:**

- (X) Working off the books (currently or previously)**
- (X) Application is inconsistent with prior case information**
- (X) Prior history of denial, case closing, or overpayment resulting from an investigation.**
- (X) No absent parent information or information is inconsistent with application**
- (X) No documentation to verify identity or documentation of identity is questionable**
- (X) Self-employed but without adequate business records to support financial assertions**
- (X) Documents or information provided are inconsistent with application, such as different name used for signature or invalid SSN**
- (X) Unsure of own address.**

**The following procedures will be used to refer such applications to FEDS.**

**The state FEDS referral form will be utilized. The FEDS referral Check-off form is reviewed for every eligibility application by the eligibility examiner. When examiner detects an indicator, the referral form is completed by the examiner and given to IM Supervisor for review and approval. It is then hand-delivered to the Special Investigation Unit the same day for review.**

**The SIU Supervisor approves referral and gives to secretary to log it in. Supervisor assigns it to the investigative staff. Investigation will begin within 24-48 hours; investigation may include home visit and /or collateral contact. The investigators provide the originating examiner with an oral report on a daily basis or if anything of significance is established.**

**Written report is provided as soon as investigation is completed – and always within 30 days of the client’s application.**

**The bottom of the report form has a section for case disposition. The IM worker and the SIU investigator discuss case, at which time this section is completed. The original report will remain in the SIU case record and a copy with cost avoidance figures will be forwarded to the originating IM worker.**

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

**All cases will be reviewed 100% every six (6) months.**

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

**Saratoga County DSS has 22 participating providers. Saratoga County DSS is required to review 18 of these providers annually. Saratoga County DSS will review 9 providers in the first six months of the calendar year and 9 providers in the second six months of the year.**

## 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).

**APPENDIX G-4 (continued)**

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.



**APPENDIX G-11**  
**TRANSPORTATION, DIFFERENTIAL PAYMENT RATES, ENHANCED**  
**MARKET RATES FOR LEGALLY EXEMPT, 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 \_\_\_\_\_ % above market rate.

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

Limitations to the above differentials are as follows:

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

**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:

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

**APPENDIX H  
2011 ANNUAL PLAN UPDATE  
CHECKLIST  
ADMINISTRATIVE COMPONENT – LOCAL DEPARTMENT OF SOCIAL  
SERVICES**

**Saratoga 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. Responses should be attached on separate page and added at the end of this appendix. . Please note that Appendices G-1 must be completed.

<u>YES</u>	<u>NO</u>	
		<b>I. Financing Process</b>
<input type="checkbox"/>	<input checked="" type="checkbox"/>	a. General Information
<input type="checkbox"/>	<input checked="" type="checkbox"/>	b. Purchase of Services
<input type="checkbox"/>	<input checked="" type="checkbox"/>	c. Performance or Outcome Based Provisions
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<b>II. Monitoring Procedures</b>
		<b>III. Appendices</b>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	a. AC-LDSS Appendix A – Legal Assurances <b>(REQUIRED)</b>
<input type="checkbox"/>	<input checked="" type="checkbox"/>	b. AC-LDSS Appendix B – Summary of Memorandum of Understanding with the District Attorney’s Office for Child Protective Services
<input type="checkbox"/>	<input checked="" type="checkbox"/>	c. AC-LDSS Appendix C – Estimate of Persons to be Served
<input type="checkbox"/>	<input checked="" type="checkbox"/>	d. AC-LDSS Appendix D – Non-Residential Services to Victims of Domestic Violence
<input type="checkbox"/>	<input checked="" type="checkbox"/>	e. AC-LDSS Appendix E – Chafee Foster Care Independence Program Use of Allocations
<input checked="" type="checkbox"/>	<input type="checkbox"/>	f. AC-LDSS Appendix F – Department of Social Services – Program Information Matrix <b>(REQUIRED)</b>
		g. AC-LDSS Appendix G – Child Care
<input type="checkbox"/>	<input checked="" type="checkbox"/>	1. AC-LDSS Appendix G-1 – Administration
<input type="checkbox"/>	<input checked="" type="checkbox"/>	2. AC-LDSS Appendix G-2 – Other Eligible Families if Funds are Available
<input type="checkbox"/>	<input checked="" type="checkbox"/>	3. AC-LDSS Appendix G-3 – Reasonable Distance, Very Low Income, Family Share, Case Closings and Case Openings, and Fraud and Abuse Control Activities
<input type="checkbox"/>	<input checked="" type="checkbox"/>	4. AC-LDSS Appendix G-4 – Districts Options
<input type="checkbox"/>	<input checked="" type="checkbox"/>	5. AC-LDSS Appendix G-5 – Priority Populations
<input type="checkbox"/>	<input checked="" type="checkbox"/>	6. AC-LDSS Appendix G-6 – Funding Set-Asides

- |                          |                                     |                                                                                                                  |
|--------------------------|-------------------------------------|------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | 7. AC-LDSS Appendix G-7 – Title XX Child Care                                                                    |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | 8. AC-LDSS Appendix G-8 – Additional Local Standards for Child Care Providers                                    |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | 9. AC-LDSS Appendix G-9 – Payment to Child Care Providers for Absences                                           |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | 10. AC-LDSS Appendix G-10 – Payment for Child Care Providers for Program Closures                                |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | 11. AC-LDSS Appendix G-11 – Transportation, Differential Payment Rates, and Sleep                                |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> | 12. AC-LDSS Appendix G-12 – Child Care Exceeding 24 Hours, Child Care Service Unit, Waivers, Break in Activities |