

**APPENDIX G-1**  
**CHILD CARE SECTION**  
**DATED 2007-2009**

**County:** Sullivan

**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: **TA worker authorizes payment**

Transitioning Families: **Child Care Unit**

Income Eligible Families: **Child Care Unit**

Title XX: **Services Unit**

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

Total NYSCCBG Amount: **\$2,100,000.**

A. Subsidy **\$560,000.**

B. Other program costs (excluding subsidy) **\$148,400.**

C. Administrative costs **\$278,000.**

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

<u>Function:</u>	<u>Organization:</u>	<u>Amount of Contract:</u>
<input type="checkbox"/> Eligibility screening		
<input type="checkbox"/> Screening of legally-exempt providers		
<input checked="" type="checkbox"/> Assistance in locating care	<b>Sullivan County Child Care Council</b>	<b>\$85,600.</b>
<input type="checkbox"/> Child Care Information Systems		
<input checked="" type="checkbox"/> Other - <b>Training</b>	<b>Sullivan County Child Care Council</b>	<b>\$49,400 included</b>

**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.

<b>Optional Categories</b>	<b>Option</b>	<b>Limitations</b>
<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>Must be in approved work activity.</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>Inpatient or outpatient programs as approved by local district.</b>
b) homeless	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>Maximum of three months with a review of extenuating circumstances.</b>
c) a victim of domestic violence	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>Needs to be engaged in approved activity or in screening/assessment of need for services.</b>
d) in an emergency situation of short duration	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>Duration of service not to exceed three months with a review of extenuating circumstances.</b>
<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>Each case will be reviewed on it's own merit and circumstances.</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>Time limited. Not to exceed 120 days. Incapacity as defined by Social Security or verified by a medical doctor.</b>
b) has family duties away from home	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>Need documentation of need to be away from home (ex: care for elderly parent 3 hrs per day) on a limited basis, not to exceed three month duration: review available.</b>

<p>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.</p>	<p>X Yes No</p>	<p><b>Service provided for a maximum of six months only for families with open cases.</b></p>
<p>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.</p>	<p>Yes X No</p>	<p><b>Child care is not subsidized for sanctioned parent.</b></p>
<p>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:</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>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>b) an education program that prepares an individual to obtain a NYS High School equivalency diploma</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<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>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>d) a program providing literacy training designed to help individuals improve their ability to read and write;</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<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>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<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>	<p>Yes X No</p>	

<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>	<p>Yes X No</p>	
<p>h) a prevocational skill training program such as, a basic education and literacy training program</p>	<p>Yes X No</p>	
<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>	<p>Yes X No</p>	
<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>	<p>Yes X No</p>	<p><b>Sullivan County does not approved college programs other than vocational.</b></p>
<p><b>9.</b> 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>	<p>Yes X No</p>	<p><b>Sullivan County does not approved college programs other than vocational.</b></p>

## APPENDIX G-3

### III. Reasonable Distance, Very Low Income, Definition of Engaged In Work For Child Care In Lieu of Temporary Assistance, 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": **Reasonable distance is child care is available with a 15 mile radius.**

Describe any steps/consultations made to arrive at your definition: **Sullivan County explores the child care issues at initial assessment. We contract with Center for Workforce Development to implement our employment services. We are rural county and need to make reasonable distance very flexible.**

#### 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 **100%** of the State Income Standard.

#### Definition of Engaged In Work For Child Care In Lieu of Temporary Assistance

##### The minimum number of hours for Federal Fiscal Year 2006 are:

- 20 hours for a single parent with a child under the age of six years old
- 30 hours for a single parent whose children are six years of age and older
- in two parent families the parents must be working a combined total of 55 hours with at least one parent working 30 or more hours.

If a district proposes a higher minimum number of required hours of work describe the requirement below. **Sullivan County is not proposing higher numbers.**

- hours for a single parent with a child under the age of six years old
- hours for a single parent whose children are six years of age and older
- In two parent families the parents must be working a combined total of 55 hours with at least one parent working           or more hours.

#### 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 **35%**.

**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.

**The following will be the priorities for case closings:**

- **Full time working parents 30 hours per week**
- **Part time working parents 20 hours or less**
- **Teen parents who are in approved training/educational program**
- **Parents attending higher education or an approved vocational program**
- **Parents actively involved in job search**
- **Very low income families**
- **Children with special needs**

**Other eligible families will be closed based on income or length of time in receipt of child care services.**

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.

Case openings will be in reverse order of closing. As shown below:

- **Children with special needs**
- **Very low income families**
- **Parents actively involved in job search**
- **parents attending higher education or an approved vocational program**
- **Teen parents who are in approved training/educational program**
- **Part time working parents- 20 hours or less per week**

**- Full time working parents-30 hours per week**

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**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.

**Please see attached FEDS plan**

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.

**Sullivan County does Child Care recertifications every 6 months. We do 100% recertification. At recertification the recipient is required to provide verification of need for continued child care services which included but are not limited to: wage stubs, school verification, medical documentation.**

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.

**Sullivan County Child Care council monitors all legally exempt providers who are participating in the CACFP program. The Child Care council visits 59 of the providers to ensure that the meals are being provided for the proper days the child is in attendance.**

**All child care attendance forms are processed thru the Sullivan County Accounting department and the accounting department verifies the child's attendance.**

## 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 for child care services while a caretaker who works the second or third shift sleeps (complete Appendix G-11).
11.  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).

**APPENDIX G-4 (continued)**

12.  Our district has chosen to include 18, 19 or 20 year olds in the Child Care Services Unit (complete Appendix G-12).
13.  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).
14.  Our district has chosen to pay for breaks in activity for low income families (non public assistance families, complete Appendix G-12).
15.  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-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.

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.
  
2. Described below are the methods and resources that will be utilized to determine that these additional local standards are being met.
  
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.)
  
4. Described below is the justification for each additional standard.

**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.

N/A

**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.

N/A

**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:

**Sullivan County will pay for up to 6 hours of sleep if a parent/caretaker works the second or third shift. The parent/caretaker would have to inform the County of the details of who is providing the childcare and where it is provided. A case by case decision would be made based on all information: Are there two parent/caretakers in the home to split the childcare duties, are the children in school, what shift do they each work, is the caretaker a single parent. If the single caretaker is working the second shift, we would allow the provider to keep the child so the parent/caretaker could have some sleep time.**

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

**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 or 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:

- Financial obligations are current, but stated expenses exceed income *without a reasonable explanation***
- Working off the books (currently or previously)**
- Supported by loans or gifts from family/friends**
- Application is inconsistent with prior case information**
- 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:

- No absent parent information or information is inconsistent with application**
- No documentation to verify identity or documentation of identity is questionable
- Landlord does not verify HH composition or provides information inconsistent with application**
- Self-employed but *without adequate business records* to support financial assertions
- Alien with questionable or no documentation to substantiate immigration status
- Documents or information provided are inconsistent with application, such as different name used for signature or invalid SSN

- ( ) P.O. Box is used as a mailing address *without a reasonable explanation*, e.g., high crime area
- ( ) Primary tenant with no utility bills (e.g., phone or electric) in his/her name
- ( ) 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: **Non-responsible or Non-applying member in HH**
- ( **X** ) County-Specific Indicator: **SN Applicants w/o FEDS indicators (EVR)**

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

a. Specify what program areas will use FEDS:

  X   TA      X   FS      X   Medicaid      X   CC              X   HEAP  
 \_\_\_\_\_ 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.

**When an application is submitted and the TA, FS, MA, CC, or HEAP examiner conducts an interview which reveals FEDS indicators, the examiner manually completes a FEDS referral form, which is then hand delivered to the Special Investigations Unit or phone contact is made for immediate action. An investigator will conduct an interview thereby initiating an investigation prior to eligibility being determined.**

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 are logged into the Summit software program with case number by the SIU clerk and assigned to an investigator. An investigation is done during the application interview or if applicable during the 30 or 45 day time frame prior to the required case opening (average time is 3 to 10 days). The investigator conducts an in-depth investigation as quickly as possible. Depending on the allegation an investigator will conduct an office interview, home visit, and/or conduct interview (s) with collateral contacts.**

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

**Upon completion of investigation, the investigative summary form signed by the investigator and SIU supervisor, with the results of investigation will be given to the examiner within the targeted time frame of 30/45 days. The examiner then completes their portion of the form indicating case disposition and returns the original to SIU.**

- 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.

**The agency does not contract out 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.

**SIU clerk logs all referrals and enters results of investigation. The unit supervisor summarizes the monthly FEDS activity and prepares the monthly report which is sent to OTDA/Program Integrity Unit by the 10<sup>th</sup> of each month.**

- g. Attach copies of:
- Any letter used to inform an applicant of a FEDS interview or home visit-**None**
  - Any letter used to inform an applicant that they may be investigated for FEDS-**None**
  - **The FEDS/EVR Referral Form**
  - **The FEDS/EVR Summary form**

This Plan was completed by: Philip R. Johnson

Title: Chief Investigator

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