



**New York State
Office of
Children & Family
Services**

www.ocfs.state.ny.us

David A. Paterson
Governor

Gladys Carrión, Esq.
Commissioner

Capital View Office Park
52 Washington Street
Rensselaer, NY 12144

July 2, 2009

Mr. Vincent Colonno, Commissioner
Albany County Department of Social Services
162 Washington Avenue
Albany, NY 12210

Dear Commissioner Colonno:

This letter is in response to Albany County's request to amend the 2007-2009 Child and Family Service Plan. Albany County proposed the following changes to its plan:

- Increase the legally-exempt enhanced market rate up to 75 percent of the applicable registered family day care market rate.
- For all legally-exempt family and in-home child care providers that have been approved by the district for those portions of the district that are not covered by a legally-exempt caregiver enrollment agency as having completed ten or more hours of training annually.
- If funds are available the district will serve dislocated workers who are participating in a program to train workers in an employment field that currently is or is likely to be in demand in the near future if funds are available. The district does not apply any limitations to the programmatic eligibility.

Albany County established that it has published the amendment for public comment. These amendments have been approved and are effective May 15, 2009.

If you have any questions about this approval or 2007-2009 the Child and Family Service Plan please contact me at (518) 474-9620 or by e-mail at Amy.Ryan@ocfs.state.ny.us.

Sincerely,

Amy Ryan
Children and Family Services Specialist
Division of Child Care Services

cc: Kathleen Charbonneau, Assistant Director



Attachment B:

Request to Amend 2007-2009 Child and Family Services Plan

District requesting the amendment ALBANY

Check the option(s) that your district wishes to implement.

Dislocated Worker

Our district is requesting an amendment to Appendix G-2, Other Eligible Families if Funds are Available.

If funds are available, our district will serve families where the caretaker(s) is a dislocated worker who is participating in a program to train workers in an 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.

A dislocated worker is any person who: has been terminated or laid off from employment; has received a notice of termination or layoff from employment that will occur within six months of such notice; or was self-employed but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters.

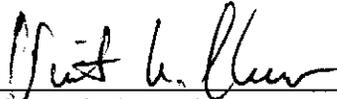
Does your district apply any limitations to the programmatic eligibility?

YES No

If yes, describe eligibility criteria:

This amendment is effective May 15, 2009.

This option cannot be effective prior to May 15, 2009.



Commissioner Signature

6/12/09

Date

Attachment B: continued

District requesting the amendment: ALBANY

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, a district must state the percentage above the market rate it proposes to use:

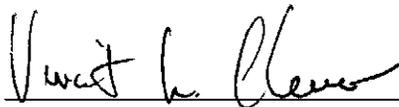
Our district is requesting to increase the legally-exempt enhanced market rate up to 75 percent of the applicable registered family day care market rate. Market rate may not exceed 75 percent of the child care market rates established for registered family day care.

Districts that select the option to increase the legally-exempt enhanced market rate must also select one of the options listed below for which the legally-exempt enhanced market rate applies:

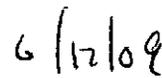
- for all legally-exempt family and in-home child care providers that have been approved by the applicable legally-exempt caregiver enrollment agency or by the district for those portions of the district that are not covered by a legally-exempt caregiver enrollment agency as having completed ten or more hours of training annually;
- 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.

This amendment is effective May 15, 2009.

This option cannot be effective prior to May 15, 2009.



Commissioner Signature



Date

Attachment B: continued

District requesting the amendment Jefferson

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, a 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 75% percent of the applicable registered family day care market rate. Market rate may not exceed 75 percent of the child care market rates established for registered family day care.

Districts that select the option to increase the legally-exempt enhanced market rate must also select one of the options listed below for which the legally-exempt enhanced market rate applies:

for all legally-exempt family and in-home child care providers that have been approved by the applicable legally-exempt caregiver enrollment agency or by the district for those portions of the district that are not covered by a legally-exempt caregiver enrollment agency as having completed ten or more hours of training annually;

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

x 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.

This amendment is effective May 16, 2009. This option cannot be effective prior to May 15, 2009.

 _____ 6/11/09 _____

Commissioner Signature Date

Requests to amend the Child and Family Services Plan should be mailed to: Ms. Amy Ryan, Office of Children and Family Services, Division of Child Care Services, 52 Washington Street, Rensselaer, NY 12144-2796, emailed to Amy.Ryan@ocfs.state.ny.us or faxed to Ms. Ryan at (518) 474-9617

April 27, 2009

**New York State
Office of
Children & Family
Services**

www.ocfs.state.ny.us

Gladys Carrión, Esq.
Commissioner

Capital View Office Park
52 Washington Street
Rensselaer, NY 12144



**New York State
Division of
Probation and
Correctional
Alternatives**

www.dpca.state.ny.us

Robert Maccarone
State Director

80 Wolf Road
Suite 501
Albany, NY 12205

David A. Paterson
Governor



An Equal Opportunity Employer

Commissioner Colette V. Poulin
Albany County Department for Children, Youth & Families
112 State Street, Room 300
Albany, New York 12207

Dear Commissioner Poulin:

This letter is to inform you that your January 1, 2007 to December 31, 2009 County Child and Family Services Plan (CFSP) Annual Plan Update (APU) has been jointly approved by the Division of Probation and Correctional Alternatives and the Office of Children and Family Services.

The Division of Probation and Correctional Alternatives and the Office of Children and Family Services are committed to working together to provide the support probation, youth bureaus and local social service departments need to improve outcomes for youth and their families. We look forward to working with your county to implement the provisions of your CFSP APU.

Sincerely,

A handwritten signature in cursive script, reading "Robert M. Maccarone".

Robert M. Maccarone
State Director
Division of Probation and Correctional Alternatives

A handwritten signature in cursive script, reading "Laura M. Velez".

Laura M. Velez
Deputy Commissioner
Division of Child Welfare and Community Services

A handwritten signature in cursive script, reading "Janice M. Molnar".

Janice M. Molnar
Deputy Commissioner
Division of Child Care Services

Cc: file



**New York State
Office of
Children & Family
Services**

www.ocfs.state.ny.us

David A. Paterson
Governor

Gladys Carrión, Esq.
Commissioner

Capital View Office Park
52 Washington Street
Rensselaer, NY 12144

February 19, 2009

Mr. Vincent Colonno, Commissioner
Albany County DSS
162 Washington Avenue
Albany, NY 12210

Dear Commissioner Colonno:

This letter is to inform you that the child care section found in the administrative component of your Annual Plan Update 2008-2009 was approved on February 19, 2009. The child care section became effective on February 19, 2009.

This approval is being issued separate from the approval of other sections of your plan in order to accommodate your county's need to implement the child care services provisions. A letter approving the remaining sections of your plan will be sent upon their approval.

If you have any questions about this approval or the child care section found in your Annual Plan Update 2008-2009 please contact Ms. Amy Ryan, (518) 474-9620 or by e-mail at Amy.Ryan@ocfs.state.ny.us.

Sincerely,

Janice M. Molnar
Deputy Commissioner
Division of Child Care Services

cc: Kathleen Charbonneau



**CHILD CARE SECTION
APPENDIX G-1**

County: ALBANY

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: **Employment - Day Care Division**
 Transitioning Families: **Employment - Day Care Division**
 Income Eligible Families: **Employment - Day Care Division**
 Title XX: **NA**

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>)	(\$2,402,334)
Estimate of FFY 07-08 Rollover Funds	\$ 1,119,603
Estimate of Flexible Funds for Families (FFFS) for child care subsidies	\$ 0
NYSCCBG Allocation for SFY 08-09	\$10,195,791
Estimate of Local Share	\$ 1,019,127

Total Estimated NYSCCBG Amount: \$12,334,521

A. Subsidy	\$10,693,698
B. Other program costs (excluding subsidy)	\$ 1,503,941
C. Administrative costs	\$ 136,882

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

<u>Function:</u>	<u>Organization:</u>	<u>Amount of Contract:</u>
<input type="checkbox"/> Eligibility screening		
<input type="checkbox"/> Assistance in locating care		
<input type="checkbox"/> Child Care Information Systems		
<input type="checkbox"/> Other		

<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>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
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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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	When the additional activity is appropriate and consistent with the clients' self-sufficiency goals of their employability plan.
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	For PA families the actual treatment hours are approved when it is required as part of their plan of self-sufficiency, and is approved for NPA families when it is court ordered.
b) homeless	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Allowed for both PA families and families with income up to 200% of the State Income Standard not to exceed 60 days; provided the parent is involved in securing permanent shelter, extensions may be granted on a case by case basis
c) a victim of domestic violence	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Allowed for both PA families and families with income up to 200% of the State Income Standard for six months, with extensions granted on a case by case basis, provided the parent is participating in domestic violence counseling
d) in an emergency situation of short duration	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Allowed for both PA families and families with income up to 200% of the State Income Standard provided the emergency and the need for care is verifiable.
3. Families with an open child protective services case when child care is needed to protect the child.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	As recommended by the CPS worker
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	When the caretaker provides a medical report that they are unable to care for the child; circumstances of continued need will be periodically reviewed as necessary (at least every 6 months)
b) has family duties away from home	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Will be allowed when a parent/caretaker needs to be away from home to care for a sick/dying relative; when the parent/caretaker needs to take another child or family member to medical/therapy treatments; they need to attend school hearings or evaluations; criminal trials of family members, <i>and</i> they are unable to take their children in care with them <i>and</i> the parent/caretaker has provided documentation of the circumstances for approval.
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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Allowed for up to six weeks; the parent/caretaker must be registered with the department of labor and maintain and provide as requested documentation of their actively seeking employment. This period may be extended for an additional six weeks within a 12 month period.
6. PA families where a sanctioned parent is participating in unsubsidized employment, earning wages at a level equal to or greater than the minimum amount under law.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Will be provided as is for the guaranteed population as long as the individual is meeting all employment requirements
7. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in:		
a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
b) an education program that prepares an individual to obtain a NYS High School equivalency diploma	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

<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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>d) a program providing literacy training designed to help individuals improve their ability to read and write;</p>	<input checked="" type="checkbox"/> Yes <input 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 checked="" type="checkbox"/> Yes <input 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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>i) a demonstration project designed for vocational training or other project approved by the Department of Labor.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>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.</p>		

<p>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.</p>	<input checked="" type="checkbox"/> Yes <input 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 checked="" type="checkbox"/> Yes <input 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":

The total time from leaving the home and arriving at work should not exceed one hour each way with child –care drop-off and pick-up time included.

Describe any steps/consultations made to arrive at your definition:

The one-hour reasonable distance rule is based on the availability and schedules of public transportation in Albany County.

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: **15%**.

Note: The change to the percentage rate will be implemented at the next case action subsequent to the plan amendment approval.

Case Closings and Openings

Our district has established local priorities beyond the federally mandated priorities. If all NYSCCBG funds are committed; our district will discontinue funding to those families that have lower priorities in order to serve families with higher priorities. Described below is how our district will select cases to be closed in the event that there are insufficient or no funds available.

If all NYSCCBG funds are committed our district will not open new cases.

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.

If not opening new cases is inadequate and active cases must be closed, they will be closed in the order listed below. Within each grouping, the highest income families will be closed first as follows:

- 1st below 100% of the SIS (State Income Standard)
- 2nd 100%-124% SIS
- 3rd 125%-149% SIS
- 4th 150%-174% SIS
- 5th 175%-200% SIS

Group 1

- NPA families seeking employment
- NPA families attending educational and/or vocational programs.
- NPA families who have duties away from home
- NPA families with emergency situations of brief duration
- NPA victim of domestic violence
- NPA homeless families

Group 2

- NPA employed families with income

Group 3

- PA families with a child 13 years of age or older with special needs or under court supervision in order to allow the parent or guardian to participate in activities required by a social services official or to obtain or maintain employment.
- PA families involved in substance abuse programs.
- PA families when the sanctioned parent is employed and/or complying with employment requirements as is expected for the guarantee
- NPA families with ill or incapacitated parents.
- NPA Families with teen parents attending school up to and including High School or equivalent
- Non-parent caretaker cases who require child care to accept/ maintain employment, or is needed due to the (documented) illness or incapacity of the caretaker(s)

- Child protective services case families.
- Foster children of employed foster parents during hours of employment
- PA families engaged in an approved activity in addition to their required activity
- PA homeless families
- PA victims of domestic violence
- PA families with emergency situations of brief duration

Group 4

- PA and NPA families with special needs children when the special needs child requires child care services due to the programmatic eligibility of the parent/caretaker.

Our district reserves the right to open or close cases out of orders when a determination has been made that failure to do so will place a child at risk of foster placement, physical or emotional abuse or neglect. This decision will be approved at the Director level.

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.

When funds become available our district will open cases in the following programmatic order, in reverse order of case closings, within each grouping, the lowest income families will be first as follows, except as noted below:

- 1st below 100% of the SIS (State Income Standard)
- 2nd 100%-124% SIS
- 3rd 125%-149% SIS
- 4th 150%-174% SIS
- 5th 175%-200% SIS

Group 1

- PA and NPA families with special needs children when the special needs child requires child care services due to the programmatic eligibility of the parent(s) or guardian(s).

Group 2

- PA families involved in substance abuse programs.
- Child protective service case families.
- NPA families with ill or incapacitated parents.
- NPA families with teen parents attending school up to and including High School or an equivalent
- Foster children of employed foster parents during employment related hours
- Cases with children living with a non-parent caretaker(s) who requires child care to accept/ maintain employment, or is needed due to the illness or incapacity of the caretaker(s)
- PA families when the sanctioned parent is employed and/or complying with employment requirements as is expected for the guarantee
- PA families involved in an approved activity in addition to a required activity.
- PA homeless families
- PA Victims of domestic violence

Group 3

- NPA employed families with income

Group 4

- NPA families attending educational and/or vocational programs.
- NPA families with duties away from home.
- NPA families seeking employment.
- NPA families with emergency situations of brief duration.
- NPA victim of domestic violence
- NPA homeless families

Fraud and Abuse Control Activities

1. *The district must identify 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 payments and procedures for referring such applications to the district's front end detection system.*

Our district will follow criteria as established under the state FEDS (Front End Detection System) mandate as guidance to identify possible cases which may suggest potential instances of fraud.

These indicators include:

- **Working off the books (currently or previously);**
- **Current applications are inconsistent with prior case information;**
- **Prior history of denial, case closing or overpayments resulting from an investigation**
- **No absent parent information or information is inconsistent with the application or previous applications**
- **Self employment with no adequate business records to support financial assertions**
- **Documentation or information provided is inconsistent with the application, such as different name used for signature, report of an invalid SS#.**

- **Post office box used as a mailing address without cause**

Cases that have any of the state mandated or optional indicators will be referred via the departments existing FEDS referral process. The department's FRAUD staff will as deemed appropriate investigate; conduct home visits and/or office interviews. Outcomes on all FEDS referrals will be reported back to inform the day care staff regarding the validity to the existence of potential fraud prior to the case opening. Based on the investigators findings the day care worker will determine whether the application should be approved or denied.

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

The sample methodology our County will use to ID cases for comparing client participation in required employment activities:

A sampling of all cases in receipt of a child care subsidy will be reviewed for hours of employment activity: verification of program attendance hours and/or hours of actual employment, and/or hours of any other approved eligible programmatic activities for comparison to the hours in care as billed by day care providers. The sample will be based on the current unduplicated caseload which at the present is approximately 1585.

To comply with a statistically valid and representative sampling our district will select 25 cases randomly each month for of a total of 300 cases to be reviewed in this area.

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

Our district will select a sampling from our district day care providers for comparison of inspections forms for providers enrolled in the adult child and adult food program (CACFP) to the actual attendance billing forms in order to verify consistency with the children reported in care under the CAFAP were billed appropriately for subsidy. The providers selected for the sample will be based on the current total of providers participating in the food program which is currently 112. To achieve a statistically valid and representative sample 80 will be the annual target for review in this area.

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).
12. Our district has chosen to include 18, 19 or 20 year olds in the Child

Care Services Unit (complete Appendix G-12).

APPENDIX G-4 (continued)

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.

**** Albany County's local equivalent application form is already approved in the 2007-09 CFSP***

APPENDIX G-8
Additional Local Standards for Child Care Providers

State law allows districts to propose local standards in addition to the State standards for providers who will receive child care subsidies.

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

- a) Providers of legally exempt child care will be requested, for valid 1099 reporting and in order to become a vendor of services in our department, to submit verification of their social security number and a completed W-9.
- b) Providers of legally exempt family child care, all household members 18 years of age and older, and any employee or volunteer in the provider's home will be required to sign a release which will allow our Department to conduct a local criminal history check. If the legally-exempt family child care provider, any household members 18 years of age and older; any employee, or volunteer in the provider's home refuses to sign an authorization for a local criminal background check, the enrollment package will be considered incomplete and the enrollment process cannot move forward and will be withdrawn by the enrollment agency. If the provider does not comply, the parent is sent notice by the enrollment agency that their provider can not be considered a legally exempt provider. When the release is received a local review for criminal history through New York State Department of Corrections and/or local criminal history checks, from Office of New York Court Administration will be conducted by local day care staff. If a search results in a criminal history match, the day care staff will provide that information to the Enrollment Agency, (EA) so that any discrepancies as to what was reported in the enrollment by the potential provider is identified and when necessary can be considered by the EA in making final full enrollment decisions.
- c) Providers of legally exempt family child care, all household members 18 years of age and older, and any employee or volunteer in the provider's home will be asked to sign a release which will allow our Department to conduct a local child welfare database check for Adult Services case history. If a legally exempt provider, a household member 18 years of age and older, and any employee or volunteer in the provider's home refuses to sign the release, which would allow our Department to conduct local database checks, our Department will inform the parent/caretaker of the refusal so that they can consider the refusal when they make a decision to select the provider. In these situations, parents will be reminded of their right to choose another provider and will be given information about how to locate other providers. If a local database check reveals that the provider has an Adult Services case the day care worker will further consult with the adult services caseworker to confirm, from the caseworker's direct knowledge of the case, as to whether the potential provider would or would not be capable and/or acceptable to provide care for children. The consultation between the Day Care worker and the Adult Services case worker will be the determining factor on

whether the provider does or does not meet our local standard and the day care staff will report back to the EA as to whether the local standard is met.

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

Our district will provide in the enrollment package instructions to the provider regarding their need to submit verification of their social security number and a completed W-9 in order to be a registered vendor of services for our Department.

Our district will provide in the enrollment package release forms, which will allow our Department to conduct local criminal history and local database checks. The provider will be instructed to return the enrollment package including the signed release form. When the enrollment agency receives the enrollment they will notify the district of the receipt of the release. District day care staff will then initiate a local criminal history and local welfare database check and will use procedures outlined in number one after the enrollment agency has notified the district that they have received the signed release.

3. Describe below are the procedures the district will use to notify the Legally Exempt Caregiver Enrollment Agency as to whether or not the legally exempt providers are 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*).

The district will notify the enrollment agency in writing as to whether or not any all additional standards have or have not been met. The district will maintain a file, which will document the information used to determine if the standard has been met or not.

4. Described below is the justification for each additional standard

- a) Requesting legally exempt providers to provide confirmation of their Social Security numbers prevents potential fraudulent use of another individual's Social Security number and ensures that all legally exempt providers enrolled are the actual individual receiving subsidy payments.
- b) The additional information gained through the local criminal history check that can be shared with the Enrollment Agency as necessary will provide a more informed background on the potential provider when making their final full enrollment decisions.
- c) By implementing additional local database checks for Adult Services case history the direct awareness of the caseworker will confirm and provide assurances that the provider is capable to provide care for children.

**APPENDIX G-9
PAYMENT TO CHILD CARE PROVIDERS FOR ABSENCES**

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

- | | |
|---|---|
| <input checked="" type="checkbox"/> Day Care Center | <input checked="" type="checkbox"/> School Age Child Care |
| <input checked="" type="checkbox"/> Group Family Day Care | <input checked="" type="checkbox"/> Family Day Care |
| <input checked="" type="checkbox"/> Legally Exempt Group | |

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:

- Illness or handicapping or other condition of the child which requires medical care and/or treatment, or the child requires routine medical care and/or treatment.
- Illness of the child's parent or guardian.
- Vacation of the child or the child's parent or guardian.
- Necessity for the child, parent or guardian to appear in court or to 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 services plan.
- The child's family is homeless, and the homelessness necessitates the child's absence from childcare.
- The child's caretaker is participating in an approved education or training program and the 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:

- A doctor's statement is required for extenuating circumstance due to the child's or the parent/caretaker's illness.
- All other extenuating circumstances may require additional verification of the situation as requested/needed by the childcare case manager.

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

The following providers are eligible for payment for program closures:

- | | |
|---|---|
| <input checked="" type="checkbox"/> Day Care Center | <input checked="" type="checkbox"/> Legally Exempt Group |
| <input checked="" type="checkbox"/> Group Family Day Care | <input checked="" type="checkbox"/> School Age Child Care |
| <input checked="" type="checkbox"/> Family Day 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).

Our district allows payment for up to **Five (5) days** for program closures per year.

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

Our district will allow payment for state, federal or nationally recognized holidays.

Our district will also allow extenuating circumstances beyond a provider's control including but not limited to natural disaster, severe weather, and emergency closings that are due to circumstances other than a regulatory violation.

**APPENDIX G-11
TRANSPORTATION, DIFFERENTIAL PAYMENT RATES, SLEEP**

Transportation

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 **10 percent** above market rate.

Care during non-traditional hours may be paid up to **10 percent** above market rate at licensed or registered child care providers.

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:

Our district allows the maximum number of hours allowed: **8**

Payments will be limited to parents or caretakers who require additional care because they work the third shift.

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

Child Care Exceeding 24 Hours

Our district does not pay for childcare services that exceed 24-Hour care.

Child Care Services Unit

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

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:

The parent or responsible caretaker will be given the *option* to include an 18, 19, or 20 year old in the Child Care Services Unit.

District staff will develop two (2) budgets and each will be presented to discuss with the parent or responsible caretaker what the outcome will be if they included them or not. The district will follow the parent or responsible caretaker's decision.

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

Albany County Department of Social Services Fraud Unit

FEDS REFERRAL CHILD CARE ONLY

TO: FEDS UNIT
FROM: TEAM _____

Date: _____

Applicant's Name: _____ Category: _____

Address: _____

App Reg.#: _____
Phone #: _____

FEDS INDICATORS

INCOME/ RESOURCE

- Working off the books (currently or previously)
- Self employed but without adequate business records to support financial assertions

IDENTITY STATUS

- No Documentation to verify identity or documentation of identity is questionable
- Documents or information provided are inconsistent with application, such as different name used for signature.
- Comments:

Requested by: _____

Extension: _____

Team Leader: _____

Date: _____

RESIDENCE

- PO Box used as a mailing address without a reasonable explanation e.g., high crime area
- Landlord does not verify household composition or provides information inconsistent with application

Client unsure of own address

OTHER

- Prior history of denial, case closing, or overpayment *resulting from an investigation.*
- Application inconsistent with prior case information
- Children under the age of six with no birth certificates available
- No absent parent information or information is inconsistent with application

FEDS UNIT RESPONSE NEEDED

- AS SOON AS POSSIBLE
- 10-15 DAYS
- 20-30 DAYS