

# Child Care Assistance Program (CCAP)

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The CCAP section of the plan is effective on the date that it is approved by OCFS. The approval date for the CCAP section of the plan can be found on [the OCFS website](#).

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## Part One: NYS Child Care Block Grant

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### I. Administration

1. Total Estimated Funds Available: \$2126000
2. Projected spending for FFY 2023–2024: \$1932000
3. Does your district have a contract or formal agreement with another organization to perform functions using the NYSCCBG?  
 Yes     No

### II. Federal and Local Priorities

1. Rank the following federally mandated priorities: Very low income, Families who have a child with special needs, Families who are experiencing homelessness.  
Priority #1: **Very low income**  
Priority #2: **Families who have a child with special needs**  
Priority #3: **Families who are experiencing homelessness**

2. Does your district have local priorities?  
 Yes     No

### III. Funding Set Asides

1. Does the district plan to set aside portions of its NYSCCBG allocations to serve one or more of its priority populations?  
 Yes     No

### IV. Waiting List

1. The district will establish a waiting list when there are not sufficient NYSCCBG funds to open all eligible cases.  
 Yes     No
2. Is the district currently utilizing a waiting list due to insufficient NYSCCBG funds to open all eligible cases?  
 Yes     No

**V. District Options of Other Eligible Families (Category 3 Cases)**

Please select which families your district chooses to serve:

**1. Families Receiving Temporary Assistance:**

a. When child care services are necessary for a parent or caretaker to participate in an approved activity in addition to their required work activity

- Yes     No

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Limitations:  
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b. When child care services are necessary for a sanctioned parent or caretaker to participate in unsubsidized employment, whereby the parent or caretaker relative receives earned wages at a level equal to or greater than the minimum amount required under Federal and State Labor Law

- Yes     No

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Limitations:  
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**2. Families Receiving Temporary Assistance or Families with Very Low Income:**

a. When child care services are needed for the child to be protected because the child's caretaker is participating in an approved substance abuse treatment program, or in screening for or an assessment of the need for substance abuse treatment

- Yes     No

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Limitations:  
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Individuals not on Temporary Assistance must be employed or on temporary leave of absence from a job prior to participation in the treatment program.

b. When child care services are needed for the child to be protected because the child's caretaker is experiencing homelessness and participating in an approved activity

- Yes     No

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Limitations:  
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Individuals are eligible for child care only for the hours participating in an approved activity, which have been prior approved by the Department.

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c. When child care services are needed for the child to be protected because the child's caretaker is receiving services for victims of domestic violence and participating in an approved activity, or in screening for or an assessment of the need for services for victims of domestic violence

Yes     No

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Limitations:

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d. When child care services are needed for the child to be protected because the child's caretaker is in an emergency situation

Yes     No

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Limitations:

Approved on a case by case basis.

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e. When child care services are needed for the child's caretaker to attend a two-year degree granting program at a community college, a two-year college, or an undergraduate college leading to an associate degree or a certificate of completion

Yes     No

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Limitations:

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f. When child care services are needed for the child's caretaker to attend a four year college or university program leading to a bachelor's degree provided the program is reasonably expected to improve the earning capacity of the caretaker and the caretaker can demonstrate his or her ability to successfully complete the course of study

Yes     No

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Limitations:

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**3. Families with Very Low Income:**

a. When child care services are needed for the child to be protected because the child's caretaker is physically or mentally incapacitated

Yes     No

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Limitations:

Eligibility for this population must be determined by the Family and Children's Services Deputy Commissioner.

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b. When child care services are needed for the child to be protected because one of the child's caretakers is engaged in work and the child's other caretaker is physically or mentally incapacitated

Yes     No

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Limitations:

c. When child care services are needed for the child to be protected because the child's caretaker has family duties away from home necessitating their absence

Yes     No

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Limitations:

Eligibility for this population must be determined by the Family and Children's Services Deputy Commissioner.

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d. When child care services are needed for the child to be protected because one of the child's caretakers is engaged in work and the child's other caretaker has family duties away from home necessitating their absence

Yes     No

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Limitations:

Eligibility for this population must be determined by the Family and Children's Services Deputy Commissioner.

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e. When child care services are needed for the child's caretaker to actively seek employment for a period of up to six months, if the caretaker documents that he or she is currently registered with a New York State Department of Labor's Division of Employment Services Office

Yes     No

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Limitations:

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f. When child care services are needed for the child's caretaker to attend an educational facility providing a standard high school curriculum offered by or approved by the local school district

Yes     No

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Limitations:  
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g. When child care services are needed for the child's caretaker to attend an education program that prepares an individual to obtain a New York State high school equivalency diploma

Yes     No

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Limitations:  
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h. When child care services are needed for the child's caretaker to attend 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 in those areas

Yes     No

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Limitations:  
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i. When child care services are needed for the child's caretaker to attend a program providing literacy training designed to help individuals improve their ability to read and write

Yes     No

-----  
Limitations:  
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j. When child care services are needed for the child's caretaker to attend an English as a second language (ESL) instructional program designed to develop skills in listening, speaking, reading, and writing the English language for individuals whose native or primary language is other than English

Yes     No

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Limitations:  
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k. When child care services are needed for the child's caretaker to attend a training program *which has a specific occupational goal* and is conducted by an institution licensed or approved by the State Education Department other than a college or university

Yes     No

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Limitations:  
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l. When child care services are needed for the child's caretaker to attend a prevocational skills training program

Yes     No

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Limitations:  
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m. When child care services are needed for the child's caretaker to attend a demonstration project designed for vocational training or other projects approved by the Department of Labor

Yes     No

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Limitations:  
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n. When child care services are needed for the child's caretaker to participate in a program to train workers in an employment field that currently is, or is likely to be, in demand in the near future, if the caretaker documents that he or she is a dislocated worker and is currently registered in such a program

Yes     No

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Limitations:  
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**Note:** Unless care is provided under option 2f, the caretaker must complete the selected educational or vocational programs listed above within 48 consecutive calendar months. The caretaker cannot enroll in more than one program.

#### 4. Families without Regard to Income:

a. A family with an open child protective services case when it is determined on a case-by-case basis that such child care is needed to protect the child

Yes     No

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Limitations:

Eligibility for this population must be determined by the Family and Children's Services Deputy Commissioner.

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## VI. Reasonable Distance

The following defines "reasonable distance":

Reasonable distance is defined as one hour of travel time from home to the child care location to the employment location. A Temporary Assistance recipient cannot be required to travel more than one hour to the child care provider. If they are unable to locate appropriate child care within this distance, they will not be required to comply with the required activities as per their Temporary Assistance case.

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

This definition was derived in consideration of the geography and public transportation system in Cortland County. There are no locations within Cortland County from which a round trip to the City of Cortland, where almost all of the registered and center child care providers are located, would take more than an hour of travel time. The concept of using time for this definition rather than miles allows us to account for the amount of time it may take an individual accessing child care services through the use of the public transportation system. It was felt that the use of mileage in the definition would not allow us to achieve a reasonable and consistent definition for all individuals needing to use child care in Cortland County.

## VII. Transportation

Are there circumstances where the district will reimburse for transportation?

Yes

No

## VII. Transportation

Are there circumstances where the district will reimburse for transportation?

Yes

No

# Part Two: Title XX Child Care

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Does the district use Title XX funds to provide child care?

Yes

No

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## I. Funding

1. Enter the projected total of Title XX expenditures for the plan's duration:

\$10000

2. Indicate the financial eligibility limits (percentage of State Income Standard) the district will apply based on family size. Maximum reimbursable limits are 375% for a family of one or two, 355% for a family of three, and 325% for a family of four or more. **Districts that are utilizing Title XX funds only for child protective and/or preventive child care services must not enter financial eligibility limits as these services are offered without regard to income.**

Family Size	Eligibility Limit
Two People	0%
Three People	0%
Four People	0%

3. Does your district have a contract or formal agreement with another organization to perform any of the following functions using Title XX for Child Care Assistance?

Yes  No

## II. Protective and Preventive Cases

1. Does the district use Title XX funds for child care for open child protective services cases?

Yes  No

2. Does the district use Title XX funds for child care for open child preventive services cases?

Yes  No

## III. Programmatic Eligibility

Please select which families your district chooses to serve:

### 1. Families Receiving Temporary Assistance:

a. When child care services are necessary for a parent or caretaker to participate in an approved activity in addition to their required work activity

Yes  No

b. When child care services are necessary for a sanctioned parent or caretaker to participate in unsubsidized employment, whereby the parent or caretaker relative receives earned wages at a level equal to or greater than the minimum amount required under Federal and State Labor Law

Yes  No

### 2. Families Receiving Temporary Assistance or Families with Very Low Income:



a. When child care services are needed for the child to be protected because the child's caretaker is participating in an approved substance abuse treatment program, or in screening for or an assessment of the need for substance abuse treatment

Yes     No

-----  
Limitations:

Eligibility for this population must be determined by the Family and Children's Services Deputy Commissioner.

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b. When child care services are needed for the child to be protected because the child's caretaker is experiencing homelessness and participating in an approved activity

Yes     No

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Limitations:

Eligibility for this population must be determined by the Family and Children's Services Deputy Commissioner.

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c. When child care services are needed for the child to be protected because the child's caretaker is receiving services for victims of domestic violence and participating in an approved activity, or in screening for or an assessment of the need for services for victims of domestic violence

Yes     No

-----  
Limitations:

Eligibility for this population must be determined by the Family and Children's Services Deputy Commissioner.

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d. When child care services are needed for the child to be protected because the child's caretaker is in an emergency situation

Yes     No

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Limitations:

Eligibility for this population must be determined by the Family and Children's Services Deputy Commissioner.

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e. When child care services are needed for the child's caretaker to attend a two-year degree granting program at a community college, a two-year college, or an undergraduate college leading to an associate degree or a certificate of completion

Yes  No

f. When child care services are needed for the child's caretaker to attend a four year college or university program leading to a bachelor's degree provided the program is reasonably expected to improve the earning capacity of the caretaker and the caretaker can demonstrate his or her ability to successfully complete the course of study

Yes  No

**3. Families with Very Low Income:**

a. When child care services are needed for the child to be protected because the child's caretaker is physically or mentally incapacitated

Yes  No

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Limitations:

Eligibility for this population must be determined by the Family and Children's Services Deputy Commissioner.

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b. When child care services are needed for the child to be protected because one of the child's caretakers is engaged in work and the child's other caretaker is physically or mentally incapacitated

Yes  No

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Limitations:

Eligibility for this population must be determined by the Family and Children's Services Deputy Commissioner.

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c. When child care services are needed for the child to be protected because the child's caretaker has family duties away from home necessitating their absence

Yes  No

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Limitations:

Eligibility for this population must be determined by the Family and Children's Services Deputy Commissioner.

-----  
d. When child care services are needed for the child to be protected because one of the child's caretakers is engaged in work and the child's other caretaker has family duties away from home necessitating their absence

Yes  No

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Limitations:

Eligibility for this population must be determined by the Family and Children's Services Deputy Commissioner.

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e. When child care services are needed for the child's caretaker to actively seek employment for a period of up to six months, if the caretaker documents that he or she is currently registered with a New York State Department of Labor's Division of Employment Services Office

Yes  No

f. When child care services are needed for the child's caretaker to attend an educational facility providing a standard high school curriculum offered by or approved by the local school district

Yes  No

g. When child care services are needed for the child's caretaker to attend an education program that prepares an individual to obtain a New York State high school equivalency diploma

Yes  No

h. When child care services are needed for the child's caretaker to attend 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 in those areas

Yes  No

i. When child care services are needed for the child's caretaker to attend a program providing literacy training designed to help individuals improve their ability to read and write

Yes  No

j. When child care services are needed for the child's caretaker to attend an English as a second language (ESL) instructional program designed to develop skills in listening, speaking, reading, and writing the English language for individuals whose native or primary language is other than English

Yes  No

k. When child care services are needed for the child's caretaker to attend a training program *which has a specific occupational goal* and is conducted by an institution licensed or approved by the State Education Department other than a college or university

Yes  No

l. When child care services are needed for the child's caretaker to attend a prevocational skills training program

Yes  No

m. When child care services are needed for the child's caretaker to attend a demonstration project designed for vocational training or other projects approved by the Department of Labor

Yes  No

n. When child care services are needed for the child's caretaker to participate in a program to train workers in an employment field that currently is, or is likely to be, in demand in the near future, if the caretaker documents that he or she is a dislocated worker and is currently registered in such a program

- Yes  No

**Note:** Unless care is provided under option 2f, the caretaker must complete the selected educational or vocational programs listed above within 48 consecutive calendar months. The caretaker cannot enroll in more than one program.

#### IV. Priority

Does the district prioritize certain families for Title XX funding?

- Yes  No

#### V. Title XX Set Asides

Does the district plan to set aside portions of its Title XX allocations to serve one or more of its priority populations?

- Yes  No

#### VI. Case Closing When Funds Are Limited

Select one of the options listed below and describe the process for closing.

Close cases based on **AMOUNT OF TIME** receiving child care services.

**Note:** This option must be selected if the district does not have local priorities listed in subsection IV of this form.

Close cases based on **INCOME**.

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##### If closing based on income...

- The district will close cases starting from the highest income to the lowest income.
- The district will close cases based on income bands, starting from the highest income band to the lowest income band

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Close cases based on **CATEGORY OF FAMILY**.

Close cases based on **INCOME AND CATEGORY OF FAMILY**.

Close cases based on **OTHER CRITERIA**.

#### VII. Waiting List

1. The district will establish a waiting list when there are not sufficient Title XX funds to open all eligible cases

- Yes  No

2. Is the district currently utilizing a waiting list due to insufficient Title XX funds to open all eligible cases?

- Yes  No

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## Part Three: District Options that Apply to Both NYSCCBG and Title XX

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### I. Family Share

1. Family Share Percentage selected by the district:

10%

2. Additional Description of this family share percentage:

### II. Payment to Child Care Providers for Absences

Does the district opt to pay for more than 24 absences per child per provider per year?

Yes  No

### III. Payment to Child Care Providers for Program Closures

Does the district opt to pay for program closures?

Yes  No

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1. The following providers are eligible for payment for program closures:

- Day care center
- Group family day care
- Family day care
- Legally exempt group
- School age child care

2. Our district will only pay for program closures to providers with which the district has a contract or letter of intent.

Yes  No

3. Enter the number of days allowed for program closures (maximum allowable time for program closures is five days):

5

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

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#### IV. Differential Payment Rates

1. Districts must complete the Differential Payment Rate Percent (%) column in the table below for each of the four differential payment rate categories. The state requires a minimum differential of 5% for licensed and registered providers for homelessness and for all providers for non-traditional hours. For these categories, the district must enter "5%" or, if it chooses a higher rate, up to 15%.

The differential payment rate categories for legally exempt providers for homelessness and for nationally accredited programs are optional. If the district chooses not to set differential payment rates, the district must enter zero. If the district chooses to set a differential payment rate, enter the appropriate percentage up to 15 percent (15%). If the district selects a differential payment rate for nationally accredited programs, that rate must be in the range of five percent (5%) to 15 percent (15%). If the district selects a differential payment rate for legally exempt providers for homelessness, the rate may be from 1 percent (1%) to 15 percent (15%).

Differential Payment Rate Category	Differential Payment Rate Percent
<b>Homelessness: Licensed and Registered Providers</b> <i>State required minimum of 5%</i>	5%
<b>Homelessness: Legally Exempt Providers</b>	0%
<b>Non-traditional Hours: All Providers</b> <i>State required minimum of 5%</i>	15%
<b>Nationally Accredited Programs: Licensed and Registered Providers</b> <i>Legally exempt child care providers are not eligible for a differential payment rate for accreditation.</i>	0%

2. For providers that qualify for multiple differential payment rates, the total percentage may not exceed 25% above the applicable market rate or actual cost of care. However, a district may request a waiver from the Office to establish a payment rate that is in excess of 25% above the applicable market rate upon showing that the 25% maximum is insufficient to provide access within the district to child care providers or services that offer care addressing more than one of the differential payment rate categories. If your district wants to establish a total differential payment rate that is more than 25% above the applicable market rate, describe below why the 25% maximum is insufficient to provide access to such child care providers or services.

#### V. Increased Enhanced Market Rate for Legally Exempt Family and In-Home Child Care Providers

1. The enhanced market rate for legally exempt family and legally exempt in-home child care providers who have completed 10 or more hours of training annually is set at 70% of the applicable market rates established for registered family day care. Indicate if the district is electing to establish a payment rate that is in excess of the enhanced market rate for legally exempt family and in-home child care providers who have completed 10 or more hours of training annually and the training has been verified by the legally exempt caregiver enrollment agency.

No  Yes

2. If yes, indicate the percent (71%–75%), not to exceed 75%, of the child care market rate established for registered family day care.

75%

## VI. Enhanced Market Rates for Legally Exempt Group Child Care Programs

Answer both questions:

1. Indicate if the district is electing to establish an enhanced market rate for child care services provided by legally exempt group child care programs that have prepared an approved health care plan and have at least one caregiver in each classroom with age appropriate cardiopulmonary resuscitation (CPR) certification and the enhanced requirements have been verified by the enrollment agency.

Yes  No

2. Indicate if the district is electing to establish an enhanced market rate for child care services provided by legally exempt group child care programs when, in addition to the training required in 18 NYCRR §415.13, the director has completed an approved course and a minimum of 15 hours of approved training annually and each employee with a caregiving role completes a minimum of 5 hours of approved training annually and the enhanced requirements have been verified by the enrollment agency.

Yes  No

If a district chooses to establish both legally exempt group child care enhanced rates and a program is eligible for both enhanced rates, then the enhanced market rate must be based on the percentages selected for each individual market rate, up to a maximum of 87%.

## VII. Sleep

Does the district choose to expand eligibility for child care assistance beyond the requirements of 18 NYCRR §415.4?

Yes  No

## VIII. Child Care Exceeding 24 Hours

Does the district choose to pay for child care services that exceed 24 hours?

Yes  No

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1. Child care services may exceed 24 consecutive hours when such services are provided on a short-term emergency basis or in other situations where the caretaker's approved activity necessitates care for 24 hours on a limited basis. Check below under what circumstances the district will pay for child care exceeding 24 hours.

- On a short-term emergency basis
- The caretaker's approved activity necessitates care for 24 hours on a limited basis

2. Describe any limitations on the payment of child care services that exceed 24 consecutive hours.

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## IX. Child Care Services Unit (CCSU)

Does the district choose to include 18-, 19-, and / or 20-year-olds in the CCSU?

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Yes     No

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If yes, please answer the following:

a. The district will include the following in the CCSU (check all that apply)

- 18-year-olds
- 19-year-olds
- 20-year-olds

**OR**

b. The district will only include the following in the CCSU when it will benefit the family (check all that apply)

- 18-year-olds
- 19-year-olds
- 20-year-olds

Describe the criteria your district will use to determine whether 18-, 19-, or 20-year-olds are included in the CCSU.

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### **X. Waivers**

Districts have the authority to request a waiver of any regulatory provision that is non-statutory. Does the district choose to request a waiver(s)?

Yes     No

### **XI. Notices**

1. The district has chosen to use local equivalent(s) of OCFS required form(s).

Yes     No

2. The district elects to use the OCFS-6025, Application for Child Care Assistance (the local district may add the district name and contact information to the form).

Yes     No



# Part Four: Additional Local Standards for Child Care Providers

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1. Select the additional local standard that will be required of child care providers / programs.

- Verification, using the district's local records, that the provider has given the caretaker complete and accurate information regarding any report of child abuse or maltreatment in which he or she is named as an indicated subject (*only applies to legally exempt relative-only family child care and relative-only in-home child care*)
- Local criminal background check (*only applies to legally exempt relative-only family child care and relative-only in-home child care*)
- Site visits by the district
- Other  
*Please describe:*

2. Check below the type of child care program to which the additional local standard will apply:

- Legally exempt relative-only family child care program
- Legally exempt relative-only in-home child care program
- Legally exempt non-relative family child care program
- Legally exempt non-relative in-home child care program
- Legally exempt group program

**In cases where the standard is person-specific, indicate the roles of the persons to whom the additional local standard will apply:**

**Legally exempt relative-only family child care program**

- Provider
- Provider's employee
- Provider's volunteer
- Provider's household member age 18 or older

**Legally exempt relative-only in-home child care program**

- Provider
- Provider's employee
- Provider's volunteer

**Legally exempt family child care program**

- Provider
- Provider's employee

- Provider's volunteer
- Provider's household member age 18 or older

**Legally exempt in-home child care program**

- Provider
- Provider's employee
- Provider's volunteer

**Legally exempt group program**

- Director
- Employee
- Volunteer

3. Exceptions: There may be instances when the district may be unable to enact the additional standard, such as, the applicable person may reside outside of the district's jurisdiction, or the site of care may not be located within the district. In such cases, the district may create an exception to the applicability stated above.

*Note: The Child Care Facility System cannot track such exceptions and, therefore, the district remains responsible for notifying the applicable Enrollment Agency, using the OCFS-2114, District Notification to Legally Exempt Caregiver Enrollment Agency, that an additional standard is "not applicable" to the specific provider / person named on the referral list.*

Place a checkmark below to show any exception to the applicability of this Local Additional Standard to programs or roles previously identified.

- a. The district will not apply this additional local standard when the applicable person **resides** outside of the district paying child care assistance.
- b. The district will not apply this additional local standard when the **program's site of care is located outside** of the district paying child care assistance.

4. Districts are responsible for implementation of the additional local standard unless they have a formal agreement or contract with another organization. Check the organization that will be responsible for the implementation of the additional local standard.

- Local social services staff  
Provide the name of the unit and contact person:  
Erin Gosse, Cortland DSS Daycare Unit Manager

Contracted agency

5. Are there any fees or other costs associated with the additional local standard?

- Yes
- No

*Note: Costs associated with the additional local standard cannot be passed on to the provider.*

6. Describe, in chronological order, the steps for conducting the additional local standard. Include all agencies involved and their roles. Note that the district's procedures must be in accordance with OCFS Policy.

Cortland County DSS will conduct a check of the local Child Protective Services records related to the child care attestations for the sole purpose of verifying the accuracy of the information submitted to the parent/caretaker. Household members 18 years of age or older will only be required to complete the release when the care is not in the home of the child.

Our Enrollment Provider, the Child Development Council, does this by notifying the parents/caregivers in the enrollment packet of this requirement. After obtaining a release of information to do so, the check will be completed within 5 days by the Department. Providers will be required to provide descriptions of all indicated reports, which will be verified for accuracy by the Department. These descriptions will then be shared with the parent/caretaker, who will be required to acknowledge their receipt and desire to still utilize this provider. The case determination cannot be made by the Department until these steps are completed.

a. Is a release form required to conduct the local standard?

Yes     No

b. If yes, please explain how the release will be obtained and indicate if the enrollment packet will be considered incomplete if the required release forms are not obtained.

The release of information is included in the enrollment packet given to the parent/caregiver by our Enrollment Provide, the Child Development Council. A relative provider's enrollment packet will only be considered completed if the provider has signed a release of information which will allow the Department to conduct a check of the local Child Protective Services records related to the child care attestations for the sole purpose of verifying the accuracy of the information submitted to the parent/caretaker. Once the packet is complete, the Child Development Council enters the case in the CCFS system.

If any of the individuals referenced above refuses to sign the release, the enrollment package will be considered incomplete and the enrollment process cannot move forward and will be withdrawn by the enrollment agency.

c. Describe, in detail, how the district will retrieve referrals from CCFS:

Upon receipt of an e-notice in CCFS, designated district staff will run the LE Additional Local Standard Referral list report in CCFS to obtain a list of individuals subject to the additional local standard.

d. Describe, in detail, how the district will communicate with providers and other applicable persons:

All communications with providers and other applicable persons will be done in writing and be maintained in the case record.

The enrollment packet provided by the Child Development Council includes a Notification of Cortland County's Additional Local Standard for the Enrollment of Legally-Exempt Family Child Care Providers and In-Home Child Care Providers, and the Release of Information. These documents have been attached.

When a check of the local Child Protective Services records related to the child care attestations reveal that an individual referenced above is an indicated subject of a child abuse or maltreatment report, the Department will send out an Acknowledgement Notice to the parent and the provider, informing the provider that they need to provide a written statement regarding the report and that the parent must acknowledge it. This Acknowledgement Notice is attached. The proposed provider will be required to submit to the Department a copy of the written statement provided to the parent/caretaker concerning the indicated report. This statement must be signed by the parent/caretaker, acknowledging receipt of this information and the parent/caretakers wish to use this child care provider.

e. Describe in detail the steps the district takes to determine compliance with the additional local standard:

If a provider refuses to sign a release of information to allow this check to be completed, the enrollment package will be considered incomplete and the enrollment process cannot move forward and will be withdrawn by the enrollment agency.

If the information regarding the indicated child abuse/maltreatment report submitted by the provider does not substantially correlate with the information obtained from the actual report, the Department will notify the provider that they have 7 calendar days to clarify the discrepancies in the information submitted to the Department and the parent/caretaker. This clarification must substantially correlate with the information in the child abuse/maltreatment report, or the provider must submit information to the Department which documents that the information within the child abuse/maltreatment report is inaccurate.

f. Describe in detail how the additional local standard is met:

If there is no indicated Child Protective Services history for the provider, then the additional local standard has been met.

If the information within the indicated child abuse/maltreatment report correlates with the information obtained from the provider and the parent/caretaker still chooses to use the provider, the Enrollment Agency will be notified that the additional local standard has been met.

g. Describe in detail how the additional local standard is not met:

If the information regarding the indicated child abuse/maltreatment report submitted by the provider does not substantially correlate with the information obtained from the actual report, the Department will notify the provider that they must clarify the discrepancies in the information submitted to the Department and the parent/caretaker. This clarification must substantially correlate with the information in the child abuse/maltreatment report, or the provider must submit information to the Department which documents that the information within the child abuse/maltreatment report is inaccurate. If the provider fails to clarify the discrepancies, then the Department will notify the Enrollment Agency that the additional standard has not been met.

h. Describe in detail when the additional local standard is not applicable:

The additional local standard is not applicable when the provider resides outside of Cortland County, or when the program's site of care is located outside of Cortland County. This is due to the fact that we are not given permission to perform Child Protective Services records checks for individuals in other counties in New York State.

i. Describe in detail how the district will inform the Enrollment Agency whether the additional local standard has been met:

The Enrollment Agency will be informed in writing that the additional local standard has been met through the OCFS 2114 form.

j. Describe in detail how the district will inform the Enrollment Agency whether the additional local standard has not been met:

The Enrollment Agency will be informed in writing that the additional local standard has not been met through the OCFS 2114 form.

k. Describe in detail how the district will inform the Enrollment Agency whether the additional local standard is not applicable:

The Enrollment Agency will be informed in writing that the additional local standard is not applicable through the OCFS 2114 form.

l. Describe in detail how the district will monitor the timeliness of conducting the additional standard and reporting the decision (met / not met / not applicable) to the Enrollment Agency.

Within 10 days of receipt of the letter from the Department, the proposed provider will be required to submit to the Department a copy of the written statement provided to the parent/caretaker concerning the indicated report. This statement must be signed by the parent/caretaker, acknowledging receipt of this information and the parent/caretakers wish to use this child care provider.

If the information regarding the indicated child abuse/maltreatment report submitted by the provider does not substantially correlate with the information obtained from the actual report, the Department will notify the provider that they have 10 calendar days to clarify the discrepancies in the information submitted to the Department and the parent/caretaker. This clarification must substantially correlate with the information in the child abuse/maltreatment report, or the provider must submit information to the Department which documents that the information within the child abuse/maltreatment report is inaccurate.

m. Indicate how frequently the additional local standard will be applied.

The Standard will be applied (check all that apply):

- At initial enrollment and re-opening
- At each re-enrollment

n. Describe the justification for the additional local standard in the space below.

To enhance the sharing of information that could affect the safety of children in legally exempt child care settings. Our Department wants to verify that providers have told parents about known Child Protective Services history. In rare situations, providers are deemed unsafe to be around any children by the Family and Children's Services Unit due to a serious child abuse history. Our Department wants parents/caretakers to have the opportunity to make educated decisions regarding providers who may have a history of child abuse/maltreatment. The Department has no regulatory authority to deny enrollments based on child protective report indications or adjudications of abuse or neglect, we can only verify if the additional local standard outlined above is met.

## Part Five: Fraud and Abuse Control Activities

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### I. Front End Detection System (FEDS) Plan

Each district must submit a CCAP FEDS plan as part of their CFSP. The Front End Detection System (FEDS) is an anti-fraud tool that is designed to identify erroneous or fraudulent information on an assistance application before a case is opened and any benefits are issued.

1. Please mark which of the following indicators, if any, the district uses to determine which CCAP applications suggest a higher than acceptable risk for fraudulent or erroneous CCAP payments:

- P.O. Box supplied as a mailing address without a reasonable explanation
- Applicant has a history of denial, case closing or overpayment, resulting from an investigation
- Applicant is self-employed, but cannot provide adequate business records

- Primary tenant with no utility bills in their name
- Information on application is inconsistent with prior case information
- Applicant unsure of their own address
- Applicant cannot supply documentation to verify identity, or identity is suspect
- Documentation or information provided by applicant is inconsistent with the application
- Child care provider lives in the same household as the child
- No absent parent information or information is inconsistent with the application
- Other  
*Please specify:*

2. Please describe the step-by-step FEDS process for CCAP applications.

a. Describe how the application is reviewed for FEDS indicators and referred to the appropriate investigative unit:

The DSS childcare eligibility worker will review all applications upon receipt for the selected FEDS indicators, and if there is no reasonable explanation, they will refer the case to our Investigation Unit .

b. Describe how the referral is sent to the investigative unit and assigned to an investigator:

The childcare eligibility worker will email a FEDS referral to our Investigation Unit, utilizing our FEDS Referral for Child Care Assistance form.

c. Describe how the investigator completes a report of investigation which includes findings and recommendations:

The Investigator will utilize documentary evidence (wage stubs, receipts, etc.), computer matches, public records, third party vendors (TALX/The Work Number, etc.), collateral contacts, and social media, if applicable, to complete their investigation. The Investigator may also attempt to contact the applicant by phone. Home visits, both scheduled and unscheduled, will only be performed when all other investigative tools have failed to resolve the indicator. The investigator will indicate their results on the initial FEDS referral and will send the referral back to the Daycare Unit, within 14 days of receipt of the FEDS referral. The Daycare Unit will then indicate on the form if the case was opened or denied/withdrawn, and will send it back to the Investigation Unit, for purposes of case tracking.

d. Describe the process for completing and submitting the Monthly FEDS Report to OCFS by the tenth of the following month including the staff member responsible for submitting the report to OCFS:

The Investigation Unit Manager, Nicole Bull, will utilize the referral information to submit the report on a monthly basis.

3. List all local CCAP FEDS forms.

FEDS Referral for Child Care Assistance

FEDS Review Sheet

## II. Program Integrity

1. Each social services district must submit a description of the sampling methodology used to determine which providers of child care assistance services will be reviewed for the purpose of comparing the child care provider's attendance forms for children receiving CCAP services with any Child and Adult Care Food Program (CACFP) inspection forms to verify that child care was actually provided on the days listed on the attendance forms.

Describe the sampling methodology and review process:

On a quarterly basis, the Child Development Council of CNY will send the local district a list of providers that they have completed the on-site meal service review for during that quarter. The local district will identify from those providers ones who cared for children receiving subsidized child care services, and will review 25% of all cases identified. The local district will cross reference the CACFP claim with the day care attendance on the billing form, for the month of the on-site meal service review.

Any inconsistencies will be reviewed for an overpayment and referred back to the Child Development Council of CNY to follow up with their procedure for provider eligibility.

2. Each social services district must establish a random sampling methodology used to determine which cases will require verification of a recipient's continued need for child care, including, as applicable, verification of participation in employment, education, or other required activities.

*Please note: The district cannot use criteria such as race, color, sex, gender identity, sexual orientation, disability, religious creed, political belief or any other factors prohibited by law as indicators in drawing the sample.*

Describe the sampling methodology and review process:

All cases are recertified every 12 months, where the complete eligibility of that case is redetermined. This includes verification of the continued need for child care, verification of employment, and education and/or attendance in any approved activity. The recipient is required to provide pay stubs, as education and/or attendance in any approved activity. The recipient is required to provide pay stubs, as well as a statement from their employer or the instructor of any educational program they may be attending. Inconsistencies will be reviewed for any overpayment, and referred to our Fraud Investigation Unit as appropriate.

Given that our recertification period is 12 months, we recognize the need for additional fraud and abuse control activities, as per NYCRR 415.2. To achieve this, each month a contact letter will be sent out on 1% of our open child care cases (for a total of 12% of all open cases for the year). This letter will include a checklist for the recipient to return, asking for verification of employment and household income, changes in household composition and residence, and the need for continued childcare. Any inconsistencies will be reviewed for any overpayment, and referred to our Fraud Investigation Unit as appropriate.

## III. Inspections of Child Care Provider Records and Premises

The district may choose to make announced or unannounced inspections of the records and premises of any provider / program that provides child care to children in receipt of child care assistance to determine if the child care provider is in compliance with applicable laws and regulations and any additional requirements imposed on such a provider by the social services district per 18 NYCRR §415.4.

The district has the right to make inspections of any child care provider prior to children in receipt of child care assistance receiving care, including care in a home, to determine if the child care provider is in compliance with applicable laws and regulations and any additional requirements imposed on such a provider by the district.

The district must report violations of regulations as follows:

- Violations by a licensed or registered child care provider must be reported to the applicable Office of Children and Families (OCFS) Regional Office.

**Cortland County:** Child Care Assistance Program (CCAP)

- Violations or areas of non-compliance by an enrolled or enrolling legally exempt child care provider must be reported to the applicable Enrollment Agency.

Does the district choose to make inspections of such child care providers / programs?

Yes     No