NEW YORK STATE | Office of Children and Family Services

ANDREW M. CUOMO
Governor

SHEILA J. POOLE
Acting Commissioner

October 26, 2016

Ms. Gladys Carrión, Commissioner
Administration for Children's Services
150 William Street
New York, NY 10038

Dear Commissioner Carrión:

This letter is to inform you that the child care section found in your Child and Family Services 2016 Annual Plan Update (APU) has been approved and is effective October 25, 2016.

To allow the Administration for Children's Services to provide training to its workers on the changes in eligibility made in the 2016 APU the following areas of the plan will become effective on January 1, 2017:

- Providing child care services to homeless families as described in Appendix L number two-b; and
- Providing child care services to low-income families whose caretaker is participating in a four-year program leading to a bachelor's degree and working at least 17½ hours per week as described in Appendix L number ten; and
- Providing child care services to allow a child's caretaker to seek employment as described in Appendix L number five; and
- Providing child care services when there is a break in activity for low-income families as described in Appendix U.

This approval is being issued separately 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 district's Child and Family Services Plan 2016 Annual Plan Update, please contact Michelle Clark at (518)473-0676, or by e-mail at Michelle.Clark@ocfs.ny.gov.

Sincerely,

Janice M. Molnar, Ph.D.
Deputy Commissioner
Division of Child Care Services

cc: Shari Gruber
Enc: Approved 2016 APU

New York City - 2016 APU

APPENDIX K
Child Care Administration

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

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

   Public Assistance Families: Administration for Children's Services Division of Early Care and Education (ACS ECE)

   Transitioning Families: ACS ECE

   Income Eligible Families: ACS ECE

   Title XX: ACS ECE

   Provide the following information on the use of New York State Child Care Block Grant (NYSCCBG) Funds.

FFY 2014-2015 Rollover funds (available from the NYSCCBG ceiling report in the claiming system:	$0
Estimate FFY 2015-16 Rollover Funds	$0
Estimate of Flexible Funds for Families (FFS) for child care subsidies	$0
NYSCBG Allocation 2014-15	$500,783,843
Estimate of Local Share	$26,965,283
Total Estimated NYSCCCBG Amount	
a. Subsidy.....	$770,436,681
b. Other program costs excluding subsidy	$0
c. Administrative costs	$6,557,899

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

Function	Organization	Amount of Contract
☐ Eligibility screening		
☐ Determining if legally-exempt providers meet State-approved additional standards		
☐ Assistance in locating care		
☐ Child Care Information Systems		
☒ Other	CUNY PDI	$1,342,000

New York City - 2016 APU

APPENDIX L

Other Eligible Families if Funds are Available (Required)

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

Optional Categories	Option	Limitations
1. Public Assistance (PA) families participating in an approved activity in addition to their required work activity.	☒ Yes ☐ No	
2. PA families or families with income up to 200% of the State Income Standard when the caretaker is:		
a) participating in an approved substance abuse treatment program	☐ Yes ☒ No	
b) homeless	☒ Yes ☐ No	Limited to families with income up to 200% of SIS. Families on cash assistance are not eligible for this eligibility category regardless of their cash assistance status.
c) a victim of domestic violence	☒ Yes ☐ No	
d) in an emergency situation of short duration	☐ Yes ☒ No	
3. Families with an open child protective services case when child care is needed to protect the child.	☐ Yes ☒ No	
4. Families with income up to 200% of the State Income Standard when child care services are needed because the child's caretaker:		
a) is physically or mentally incapacitated	☐ Yes ☒ No	
b) has family duties away from home	☐ Yes ☒ No	
5. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to actively seek employment for a period up to six months.	☒ Yes ☐ No	
6. PA families where a sanctioned parent is participating in unsubsidized employment, earning wages at a level equal to or greater than the	☐ Yes ☒ No	

Optional Categories	Option	Limitations
minimum amount under law.		
7. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in:		
a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district	☒ Yes ☐ No	
b) an education program that prepares an individual to obtain a NYS High School equivalency diploma	☒ Yes ☐ No	
c) a program providing basic remedial education in the areas of reading, writing, mathematics, and oral communications for individuals functioning below the ninth month of the eighth grade level	☒ Yes ☐ No	
d) a program providing literacy training designed to help individuals improve their ability to read and write	☒ Yes ☐ No	
e) English as a second language (ESL) instructional program designed to develop skills in listening, speaking, reading, and writing the English language for individuals whose primary language is other than English	☒ Yes ☐ No	
f) a two-year full-time degree granting program at a community college, a two-year college, or an undergraduate college with a specific vocational goal leading to an associate degree or certificate of completion	☒ Yes ☐ No	
g) a training program, which has a specific occupational goal and is conducted by an institution other than a college or university that is licensed or approved by the State Education Department	☒ Yes ☐ No	
h) a prevocational skill training program such as a basic education and literacy training program	☒ Yes ☐ No	
i) a demonstration project designed for vocational training or other project approved by the Department of Labor	☒ Yes ☐ No	
Note: The parent/caretaker must complete the selected programs listed under number seven within 30		

Optional Categories	Option	Limitations
consecutive calendar months. The parent/caretaker cannot enroll in more than one program.		
8. PA recipients or 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 associate's degree or certificate of completion and that is reasonably expected to lead to an improvement in the parent/caretaker's earning capacity) as long as the parent(s) or caretaker is also working at least 17½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.	☒ Yes ☐ No	
9. PA recipients or 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 associate's degree or a certificate of completion that is reasonably expected to lead to an improvement in the parent/caretaker's earning capacity as long as the parent(s) or caretaker is also working at least 17½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.	☒ Yes ☐ No	
10. PA recipients or 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's 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 17½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.	☒ Yes ☐ No	Limited to low-income families with incomes up to 200% of the SIS. Families on cash assistance are not eligible for this eligibility category regardless of their cash assistance status.
11. Families with incomes up to the 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in a program to train workers in an employment field that currently is or is likely to be in demand in the	☐ Yes ☒ No	

Optional Categories	Option	Limitations
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.		

APPENDIX M

Reasonable Distance, Very Low Income, Family Share, Case Closing and Openings, Recertification Period, Fraud and Abuse Control Activities, Inspections (Required)

Reasonable Distance

Define "reasonable distance" based on community standards for determining accessible child care.

No more than one hour and fifteen minutes travel time, by public transportation or private car, between the caretaker's home and the child care provider.

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

Consultation with parents living throughout the city to determine maximum travel time from home to the work activity site, including time to stop at a child care provider.

Very Low Income

Define "very low income" as it 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 weekly family share of child care costs 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 the county. **35%**

New York City will not use the State prescribed methodology of applying a formula to gross family income above the State Income Standard (SIS). Instead a fee schedule will be utilized. Within a given fee band in the fee schedule, and depending on family income, the family share percentage will be 35% of remaining gross family income after subtracting the applicable SIS level. Family shares or fees will be capped at 17% of annual gross family income. A minimum weekly family share of $15 per week for full-time care or $9 for part-time care will be charged to families. If $15 per week exceeds 35% of remaining income after subtracting SIS from the highest income level listed in a given fee band, a $15 per week minimum family share/fee for full-time care or $9 per week for part-time care will apply to that entire fee band. A part-day weekly family share of 61% of the full-time weekly family share for a family of the same size and income will be charged for children who receive part-day care. Households in receipt of Child Care in Lieu of Cash Assistance (CILOCA) are required to pay $15 per week for their family share.

Note: The percentage selected here must match the percentage selected in Title XX Program Matrix in WMS.

Case Closings

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. Describe below how districts will select cases to be closed in the event that there are insufficient or no funds available.

New York City - 2016 APU

1. Identification of local priorities in addition to the required federal priorities (select one).

   ☒ The district has identified local priorities in addition to the required federal priorities (Complete Section 2)

   ☐ The district has not identified local priorities in addition to the required federal priorities (Complete Section 3).

2. Describe 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. Describe in the space below how the district will select cases to be closed in the event that there are insufficient or no funds available.

   a. The district will select cases to be closed based ONLY on income.

   ☒ No.

   ☐ Yes. Check 1 or 2 below.

   1) ☐ The district will close cases from the highest income to lowest income.

   2) ☐ The district will close cases based on income bands. Describe the income bands, beginning at 200% of the State Income Standard and ending at 100% of the State Income Standard (SIS)

   b. The district will select cases to be closed based ONLY on categories of families.

   ☒ No.

   ☐ Yes. List the categories in the order that they will be closed, including the optional categories selected in Appendix L:

   c. The district will select cases to be closed based on a combination of income and family category.

   ☒ No.

   ☐ Yes. List the categories and income groupings in the order that they will be closed:

   d. The district will select cases to be closed on a basis other than the options listed above.

   ☐ No.

   ☒ Yes. Describe how the district will select cases to be closed in the event that there are insufficient funds to maintain the district's current case load:

   Taking into account our district's federal priorities, cases that have received a child care subsidy the longest will be closed first. The last cases to be closed are families eligible for a child care subsidy that have a child with special needs.

   Cases will be closed in the following order:

1. Very low income and actively seeking employment for 6 months.
2. Very low income and attending four year college and working 17 ½ hours per week
3. Very low income and Employment or Educational /Vocational activities
4. Very low income and/Domestic Violence or Homeless
5. Very low income
6. Families that have a child with special needs

Cases that have received child care subsidies the longest will be closed first within the rankings.

e. The last cases to be closed will be those that fall under federal priorities. Identify how your district will prioritize federal priorities. Cases that are ranked 1 will be closed last.

Very low income ☐ Rank 1 ☒ Rank 2

Families that have a child with special needs ☒ Rank 1 ☐ Rank 2

3. If NYSCCBG funds are committed, case closings for families that 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 the family has received child care services, but must be consistent for all families.

a. Identify how the district will prioritize federal priorities. Cases that are ranked 1 will be closed last.

Very low income ☐ Rank 1 ☐ Rank 2

Families that have a child with special needs ☐ Rank 1 ☐ Rank 2

b. The district will close cases based on the federal priorities and the amount of time the family has been receiving child care services.

☐ Shortest time receiving child care services

☐ Longest time receiving child care services

4. The district will establish a waiting list for families whose cases were closed because our county did not have sufficient funds to maintain our current caseload.

☐ No.

☒ Yes. Describe how these cases will be selected to be reopened if funds become available: Cases will be selected to be reopened in order of application within the priority category.

Case Openings

Describe below how priority is given to federally mandated priorities and how the district will select cases to be opened in the event that insufficient funds are available.

1. The first cases to be opened will be those that fall under the federal priorities.

   Identify how your district will prioritize federal priorities. Cases that are ranked 1 will be opened first.

   Very low income ☐ Rank 1 ☒ Rank 2

   Families that have a child with special needs ☒ Rank 1 ☐ Rank 2

2. The district will select cases to be opened based ONLY on income.

   ☒ No.

   ☐ Yes. Check 1 or 2 below.

   1) ☐ The district will open cases from the lowest income to highest income.

   2) ☐ The district will open cases based on income bands. Describe the income bands, beginning at 200% of the State Income Standard and ending at 100% of the State Income Standard:

3. The district will select cases to be opened based ONLY on category.

   ☐ No.

   ☒ Yes. List the categories in the order that they will be opened, including the optional categories selected in Appendix L:

   1. Families with children who have special needs. Children with special needs from families that meet financial and programmatic eligibility requirements for NYSCCBG funding.
   2. Families with very low income.
   3. Very low income and victim of domestic violence or homeless.
   4. Very low income and employment or education/vocation activities.
   5. Very low income and participating in a four year college program and working 17 ½ hours per week.
   6. Very low income and actively seeking employment for six months.

4. The district will select cases to be opened based on a combination of income and category of family.

   ☒ No.

   ☐ Yes. List the categories and income groupings in the order that they will be opened:

5. The district selects cases to be opened on a basis other than the options listed above.

   ☒ No.

   ☐ Yes. Describe how the district will select cases to be opened in the event that there are not sufficient funds to open all eligible families:

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

   ☐ No.

   ☒ Yes. Describe how these cases will be selected to be opened when funds become available: Refer to process described for opening cases.

The district's recertification period is every ☐ six months ☒ twelve months (Low Income cases).

Fraud and Abuse Control Activities

Describe below the criteria the district will use to determine which child care subsidy applications suggest a higher than acceptable risk for fraudulent or erroneous child care subsidy payment in addition to procedures for referring such applications to the district's front-end detection system.

Indicators:

(a) Working off the books (currently or previously)

(b) Self-employed and without business records to support financial assertions

(c) P.O. Box used as a mailing address without cause (i.e., high crime area)

(d) Client unsure of own address

(e) An individual has no identification to verify his/her identity or the identification is suspect

(f) Prior history of denial, case closing, or overpayments resulting from an investigation or prior fraud history

(g) Application inconsistent with prior case history or with information provided on application

(h) Child(ren) in the household under the age of six with no birth certificate

(i) Missing or inconsistent absent parent information

(j) Income reported as expired minimum wage

(k) Change in family composition other than birth/adoption of a child, death or divorce

(l) Applicant cannot provide pay stubs for an occupation that traditionally provides pay stubs

(m) A referral to employer for employee income information that appears to be amended or tampered with

(n) Applicant works more than five days per week.

(o) Child care provider lives in the same household as child

Describe the sampling methodology used to determine which cases will require verification of an applicant's or recipient's continued need for child care, including, as applicable, verification of participation in employment, education, or other required activities.

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

Describe the sampling methodology used to determine which providers of subsidized child care services will be reviewed for the purpose of comparing the child care provider's attendance forms for children receiving subsidized child care services with any Child and Adult Care Food Program inspection forms to verify that child care was actually provided on the days listed on the attendance forms.

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

Inspections of Child Care Provider Records and Premises

The district may choose to make announced or unannounced inspections of the records and premises of a provider/program that provides child care for subsidized children for the purpose of determining whether the child care provider is in compliance with applicable laws and regulations and any additional requirements imposed on such a provider by the social services district Per 18 NYCRR 415.4(h) (3). Does the district choose to make inspections of such child care providers/programs?

☐ No.

☒ Yes. Provide the details of your inspections plan below.

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

☒ Legally-Exempt Child Care

☒ In-Home; ☒ Family Child Care;

☒ Group programs not operating under the auspices of another government agency

☒ Group programs operating under the auspices of another government agency

☒ Licensed or Registered

☒Family Day Care; ☒ Registered School Age Child Care

☒ Group Family Day Care; ☒Day Care Centers; ☐Small Day Care Centers;

B. The district ☒ *does* <u>*OR*</u> ☐ *does not:*

Reserve the right to make inspections *PRIOR to subsidized children receiving care* in a **home** where the inspection is for the purpose of determining whether the child care provider is in compliance with applicable laws and regulations and any additional requirements imposed on such a provider by the social services district.

C. The district will report violations of regulations as follows:
   - Violations by a licensed or registered child care provider will be reported to the applicable Office of Children and Families (OCFS) Regional Office.
   - Violations by an enrolled or enrolling legally-exempt child care provider will be reported to the applicable Enrollment Agency.

D. Districts are responsible for implementation of the inspections requirement, unless it has a formal agreement or contract with another agency. What agency will be responsible for the implementation of the announced and unannounced inspections of child care providers and premises?

   Name of Agency: NYC ACS
   Contact Person: Shari Gruber

New York City - 2016 APU

APPENDIX N
District Options (Required)

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

1. ☐ The district has chosen to establish funding set-asides for NYSCCBG (complete Appendix O).
2. ☒ The district is using Title XX funds for the provision of child care services (complete Appendix P).
3. ☒ The district has chosen to establish additional local standards for child care providers (complete Appendix Q).
4. ☒ The district has chosen to make payments to child care providers for absences (complete Appendix R).
5. ☒ The district has chosen to make payments to child care providers for program closures (complete Appendix S).
6. ☐ The district has chosen to pay for transportation to and from a child care provider (complete Appendix T).
7. ☒ The district has chosen to pay up to 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 T).
8. ☒ The district has chosen to pay up to 15% higher than the applicable market rates for non-traditional hours (complete Appendix T).
9. ☐ The district has chosen to pay up to 75% of the enhanced market rate for legally-exempt family and in-home child care providers who have completed 10 hours of training, which has been verified by the Legally-Exempt Caregiver Enrollment Agency (complete Appendix T).
10. ☐ The district has chosen to pay for child care services while a caretaker who works the second or third shift sleeps (complete Appendix T).
11. ☐ The district has chosen to make payments to child care providers who provide child care services, which exceed 24 consecutive hours (complete Appendix U).
12. ☐ The district has chosen to include 18-, 19- or 20-year-olds in the Child Care Services Unit (complete Appendix U)
13. ☒ The 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 U).
14. ☒ The district has chosen to pay for breaks in activity for low income families (non public assistance families). Complete Appendix U.

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

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

APPENDIX O

Funding Set-Asides (Optional)

Total NYSCCBG Block Grant Amount, Including Local Funds

Category: .....$

Category: .....$

Category: .....$

Category: .....$

Category: .....$

Category: .....$

Category: .....$

Total Set-Asides .....$

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

Category:

Description:

Category:

Description:

Category:

Description:

Category:

Description:

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

Category: .....$

Category: .....$

Category: .....$

Total Set-Asides (Title XX) .....$

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

Category:

Description:

Category:

Description:

Category:

Description:

Category:

Description:

New York City - 2016 APU

APPENDIX P
Title XX Child Care (Optional)

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

Indicate the financial eligibility limits (percentage of State Income Standard) your district will apply based on family size. Maximum reimbursable limits are 275% for a family of one or two, 255% for a family of three, and 225% 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: (2) 275% (3) 255% (4) 225%

Programmatic Eligibility for Income Eligible Families (Check all that apply.)

Title XX:
- ☐ employment
- ☐ education/training
- ☐ seeking employment
- ☐ illness/incapacity
- ☐ homelessness
- ☐ domestic violence
- ☐ emergency situation of short duration
- ☐ participating in an approved substance abuse treatment program

Does the district apply any limitations to the programmatic eligibility criteria?

☐ Yes ☒ No

(See Technical Assistance #1 for information on limiting eligibility.)

Does the district prioritize certain eligible families for Title XX funding?

☐ Yes ☒ No

If yes, describe which families will receive priority:

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

☒ Yes ☐ No

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

☒ Yes ☐ No

☒ Yes ☐ No

New York City - 2016 APU

APPENDIX Q #1

Additional Local Standards for Child Care Providers (Optional)

The district may propose local standards in addition to the State standards for legally-exempt providers who will receive child care subsidies. This appendix must be completed for **each** additional standard that the district wishes to implement.

1. **Check or describe in the space provided below the additional local standards that will be required of child care providers/programs.**

   ☐ Verification that the provider has given the parent/caretaker complete and accurate information regarding any report of child abuse or maltreatment in which they are named as an indicated subject

   ☒ Local criminal background check

   ☐ Requirement that providers that care for subsidized children for 30 or more hours a week participate in the Child and Adult Food Care Program (CACFP)

   ☐ Site visits by the local district

   ☐ Other (please describe):

2. **Check below the type of child care program to which the additional standard will apply and indicate the roles of the persons to whom it will apply in cases where the standard is person-specific.**

   ☒ **Legally-exempt family child care program**. Check all that apply:

   ☒ Provider ☒ Provider's Employee ☒ Provider's Volunteer

   ☒ Provider's household member age 18 or older

   ☒ **Legally-exempt in-home child care program.** Check all that apply:

   ☒ Provider ☒ Provider's Employee ☒ Provider's Volunteer

   ☒ **Legally-exempt group providers not operating under the auspices of another government agency.** Check all that apply:

   ☒ Provider ☐ Provider's Employee ☐ Provider's Volunteer

   ☒ **Legally-exempt group providers operating under the auspices of another government or tribal agency.** Check all that apply:

   ☒ Provider ☐ Provider's Employee ☐ Provider's Volunteer

3. **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: Early Care and Education Division

Contact Person: Shari Gruber

☐ Contracted agency

Provide the name of the agency and contact person:

Contact Person:

4. **Are there any costs associated with the additional standard?**

☐ Yes ☒ No

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

5. **Describe the steps for evaluating whether the additional local standard has been met.**

- The provider is required to sign a release which will allow ACS to request a criminal background check.
- ACS receives the referral from CCFS.
- ACS sends the request for background check to the Office of Court Administration (OCA).
- The OCA runs the criminal backgrounds check and reports the results to ACS.
  - The standard is met when all the local criminal background checks, for all applicable persons, are conducted.
  - The standard is not met if the applicable local criminal background checks cannot be completed due to the lack of cooperation of the provider or other person who is required to participate.
- ACS provides the record of any criminal convictions to WHEDCO and WHEDCO evaluates the criminal history in accordance with OCFS policy.

6. **Indicate how frequently reviews of the additional standard will be conducted. Check all that apply.**

Legally-Exempt Programs:

☒ Initial enrollment ☐ During the 12-month enrollment period

☒ Re-enrollment ☐ Other

7. **In the space below, describe the procedures the district will use to notify the Legally-Exempt Caregiver Enrollment Agency (EA) as to whether the legally-exempt provider is in compliance with the additional local standards. Districts must notify the EA within 25 days from the date they received the referral from the EA.**

(Districts need to describe this procedure only if the additional local standard is applied to legally-exempt child care providers.)

ACS will notify WHEDCO within 25 days from the date of the referral, whether the additional standard is met or not met, for each applicable person. Additionally, when a criminal conviction exists, ACS forwards the results of the local Criminal History Record Search to the Legally Exempt Caregiver Enrollment Agency within 25 days of the request.

- The additional standard is not applicable when the provider site of care is not located within NYC

8. Describe the justification for the additional standard in the space below.

The background check promotes a safer child care environment for children because it identifies persons with criminal histories who have not been truthful on the enrollment form.

New York City - 2016 APU

APPENDIX Q #2

Additional Local Standards for Child Care Providers (Optional)

The district may propose local standards in addition to the State standards for legally-exempt providers who will receive child care subsidies. This appendix must be completed for **each** additional standard that the district wishes to implement.

1. **Check or describe in the space provided below the additional local standards that will be required of child care providers/programs.**

   ☐ Verification that the provider has given the parent/caretaker complete and accurate information regarding any report of child abuse or maltreatment in which they are named as an indicated subject

   ☐ Local criminal background check

   ☐ Requirement that providers that care for subsidized children for 30 or more hours a week participate in the Child and Adult Food Care Program (CACFP)

   ☐ Site visits by the local district

   ☒ Other (please describe): **Local criminal background checks for arrests**

2. **Check below the type of child care program to which the additional standard will apply and indicate the roles of the persons to whom it will apply in cases where the standard is person-specific.**

   ☒ **Legally-exempt family child care program.** Check all that apply:

   ☒ Provider ☒ Provider's Employee ☒ Provider's Volunteer

   ☒ Provider's household member age 18 or older

   ☒ **Legally-exempt in-home child care program.** Check all that apply:

   ☒ Provider ☒ Provider's Employee ☒ Provider's Volunteer

   ☒ **Legally-exempt group providers not operating under the auspices of another government agency.** Check all that apply

   ☒ Provider ☐ Provider's Employee ☐ Provider's Volunteer

   ☒ **Legally-exempt group providers operating under the auspices of another government or tribal agency.** Check all that apply:

   ☒ Provider ☐ Provider's Employee ☐ Provider's Volunteer

3. **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: Early Care and Education Division

Contact Person: Shari Gruber

☐ Contracted agency

Provide the name of the agency and contact person:

4. **Are there any costs associated with the additional standard?**

☐ Yes ☒ No

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

5. **Describe the steps for evaluating whether the additional local standard has been met.**

- ACS requires that the individuals identified in number two sign a release
- ACS receives the referral from CCFS.
- ACS sends the request for background check to the Office of Court Administration (OCA)
- The OCA runs the criminal backgrounds check and reports the results to ACS
- ACS evaluates any pending arrests to determine whether there are charges pending which involve a crime against a child, a violent crime, other serious crime, fraud, or other activity that indicates a lack of business integrity.
- The additional standard is met when the provider or other applicable person does not have a charge pending which involves a crime against a child, a violent crime or another serious crime or a crime of fraud or activity that indicates a lack of business integrity.
- ACS informs WHEDCO whether the standard is met or not met and why. The additional standard is met when the provider or other applicable person does not have a charge pending which involves; a crime against a child, a violent crime, other serious crime, or, a crime of fraud or activity that indicates a lack of business integrity.

6. **Indicate how frequently reviews of the additional standard will be conducted.** Check all that apply:

Legally-Exempt Programs:

☒ Initial enrollment ☐ During the 12-month enrollment period

☒ Re-enrollment ☐ Other

7. **In the space below, described the procedures the district will use to notify the Legally-Exempt Caregiver Enrollment Agency (EA) as to whether the legally-exempt provider is in compliance with the additional local standards. Districts must notify the EA within 25 days from the date they received the referral from the EA. (Districts need to describe this procedure only if the additional local standard is applied to legally-exempt child care providers.)**

   ACS will notify the Legally Exempt Caregiver Enrollment Agency within 25 days of the date of the referral, that the additional standard:

   - Has not been met-If the applicable person has a pending arrest for a violent crime, a crime against a child, fraud or activity that indicates a lack of business integrity
   - Has been met-if the applicable person does not have a pending arrest for a violent crime, a crime against a child, fraud or activity that indicates a lack of business integrity
     - The additional standard is not applicable when the provider site of care is not located within NYC

8. **Describe the justification for the additional standard in the space below.**

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

New York City - 2016 APU

APPENDIX Q #3

Additional Local Standards for Child Care Providers (Optional)

The district may propose local standards in addition to the State standards for legally-exempt providers who will receive child care subsidies. This appendix must be completed for **each** additional standard that the district wishes to implement.

1. **Check or describe in the space provided below the additional local standards that will be required of child care providers/programs.**

   ☐ Verification that the provider has given the parent/caretaker complete and accurate information regarding any report of child abuse or maltreatment in which they are named as an indicated subject

   ☐ Local criminal background check

   ☐ Requirement that providers that care for subsidized children for 30 or more hours a week participate in the Child and Adult Food Care Program (CACFP)

   ☐ Site visits by the local district

   ☒ Other (please describe): **Proof of Identity**

2. **Check below the type of child care program to which the additional standard will apply and indicate the roles of the persons to whom it will apply in cases where the standard is person-specific.**

   ☒ **Legally-exempt family child care program**. Check all that apply:

   ☒ Provider ☐ Provider's Employee ☐ Provider's Volunteer

   ☐ Provider's household member age 18 or older

   ☒ **Legally-exempt in-home child care program**. Check all that apply:

   ☒ Provider ☐ Provider's Employee ☐ Provider's Volunteer

   ☐ **Legally-exempt group providers not operating under the auspices of another government agency.** Check all that apply:

   ☐ Provider ☐ Provider's Employee ☐ Provider's Volunteer

   ☐ **Legally-exempt group providers operating under the auspices of another government or tribal agency.** Check all that apply:

   ☐ Provider ☐ Provider's Employee ☐ Provider's Volunteer

3. **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: Early Care and Education Division

Contact Person: Shari Gruber

☒ Contracted agency

Provide the name of the agency and contact person: WHEDCo

Contact Person: Diana Perez

4. **Are there any costs associated with the additional standard?**

☐ Yes ☒No

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

5. **Describe the steps for evaluating whether the additional local standard has been met.**

The provider submits to the district's contractor an original or copy of one of the following forms of documentation for the district's contractor to verify his/her identity:

- Current valid photo ID issued by government, employer, school or other official institution/agency including but not limited to:
  - Driver's license/non-driver's identification card
  - Passport or visa
  - Naturalization or citizenship certificate
  - School or military ID card
  - Employment authorization card
  - Permanent resident card
  - Government benefit card (e.g., Welfare/Medicaid/Food Stamps)
  - IDNYC
- OR at least two of the following non-photo IDs including but not limited to:
  - Social security card
  - Birth certificate
  - Baptismal certificate
  - Government benefit card (e.g., Welfare/Medicaid/Food Stamps)
  - Life insurance policy

- The district's contractor informs the EA whether the additional standard is met or not met;
  - The additional standard is met when the provider submits the documentation.
  - The additional standard is not met when the provider does not submit the required documentation

- The additional standard is not applicable when the provider site of care is not located within NYC
- Additionally, the district's contractor provides a copy of the documentation to the EA, to be kept in the EA's files.

6. **Indicate how frequently reviews of the additional standard will be conducted**. Check all that apply.

   Legally-Exempt Programs:

   ☒ Initial enrollment ☐ During the 12-month enrollment period

   ☒ Re-enrollment ☐ Other

7. **In the space below, described the procedures the district will use to notify the Legally-Exempt Caregiver Enrollment Agency (EA) as to whether the legally-exempt provider is in compliance with the additional local standards. Districts must notify the EA within 25 days from the date they received the referral from the EA. (Districts need to describe this procedure only if the additional local standard is applied to legally-exempt child care providers.)**

   - The district's contractor informs the EA whether the additional standard is met or not met;
     - The additional standard is met when the provider submits the documentation.
     - The additional standard is not met when the provider does not submit the required documentation

   - **The district will notify the applicable EA when:**
     - The additional standard is not applicable when the provider site of care is not located within NYC

8. **Describe the justification for the additional standard in the space below.**

   ACS requests verification of the provider's identity to defer fraud.

New York City - 2016 APU

APPENDIX Q #4

Additional Local Standards for Child Care Providers (Optional)

The district may propose local standards in addition to the State standards for legally-exempt providers who will receive child care subsidies. This appendix must be completed for **each** additional standard that the district wishes to implement.

1. **Check or describe in the space provided below the additional local standards that will be required of child care providers/programs.**

   ☐ Verification that the provider has given the parent/caretaker complete and accurate information regarding any report of child abuse or maltreatment in which they are named as an indicated subject

   ☐ Local criminal background check

   ☐ Requirement that providers that care for subsidized children for 30 or more hours a week participate in the Child and Adult Food Care Program (CACFP)

   ☐ Site visits by the local district

   ☒ Other (please describe): **Proof of the location where child care is provided**

2. **Check below the type of child care program to which the additional standard will apply and indicate the roles of the persons to whom it will apply in cases where the standard is person-specific.**

   ☒ **Legally-exempt family child care program**. Check all that apply:

   ☒ Provider ☐ Provider's Employee ☐ Provider's Volunteer

   ☐ Provider's household member age 18 or older

   ☒ **Legally-exempt in-home child care program**. Check all that apply:

   ☒ Provider ☐ Provider's Employee ☐ Provider's Volunteer

   ☐ **Legally-exempt group providers not operating under the auspices of another government agency**. Check all that apply

   ☐ Provider ☐ Provider's Employee ☐ Provider's Volunteer

   ☐ **Legally-exempt group providers operating under the auspices of another government or tribal agency.** Check all that apply:

   ☐ Provider ☐ Provider's Employee ☐ Provider's Volunteer

3. **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: Early Care and Education Division
Contact Person: Shari Gruber

☒ Contracted agency

Provide the name of the agency and contact person: WHEDCo

Contact Person: Diana Perez

4. **Are there any costs associated with the additional standard?**

☐ Yes ☒ No

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

5. **Describe the steps for evaluating whether the additional local standard has been met.**

The legally exempt family child care or in-home child provider, who resides at the child care site, must submit an original or copy of documentation to the District's subcontractor, to verify the location of the child care site, as follows:

- When the provider resides at the child care site, acceptable documents include, but are not limited to:
  - Statement from landlord on his/her official stationery*
  - Lease or deed with the provider's name
  - Rent statement/receipt with preprinted address*
  - Mortgage records (the provider may [for privacy reasons] cross out any specific financial information on the document)
  - Tax records for residence
  - A utility bill with the provider's address (the provider may [for privacy reasons] cross out any specific financial information on the document)*
  - A bank statement with the provider's address (the provider may [for privacy reasons] cross out any specific financial information on the document)*
  - Provider's school records indicating address*

*Documents cannot be more than 60 days old

OR

- When the legally exempt family child care or in-home provider does not reside at the child care site:

- a notarized letter form the owner or tenant of the residence, where care is taking place, approving use of the residence for such care, AND
- documentation to verify that the property owner or tenant, submitting the letter, does reside at the child care site.

The districts' contractor notifies the EA of the following:

- The additional standard is "Met" when the required documentation, as described, is submitted to the District's contractor
- The additional standard is "Not Met" when the required documentation, as described, is NOT submitted to the District's contractor
- The additional standard is "Not Applicable" when the provider site of care is not located within NYC

6. **Indicate how frequently reviews of the additional standard will be conducted.** Check all that apply.

Legally-Exempt Programs:

☒ Initial enrollment ☐ During the 12-month enrollment period

☐ Re-enrollment ☐ Other

7. **In the space below, describe the procedures the district will use to notify the Legally-Exempt Caregiver Enrollment Agency (EA) as to whether the legally-exempt provider is in compliance with the additional local standards. Districts must notify the EA within 25 days from the date they received the referral from the EA. (Districts need to describe this procedure only if the additional local standard is applied to legally-exempt child care providers.)**

The districts' contractor will make a determination on the additional standards and notify the EA within 25 days from the date of the referral.

- The additional standard is "Met" when the required documentation, as described, is submitted to the District's contractor
- The additional standard is "Not Met" when the required documentation, as described, is NOT submitted to the District's contractor

The district will notify the applicable EA when:

- The additional standard is "Not Applicable" when the provider site of care is not located within NYC

8. **Describe the justification for the additional standard in the space below.**

ACS request verification of the location of providing child care in order to deter fraud, verify the location were child care is being provided, confirm what residence is being assessed for the health and safety standards, and to obtain an accurate address for purposes of mailing and home visits.

New York City - 2016 APU

APPENDIX Q #5

Additional Local Standards for Child Care Providers (Optional)

The district may propose local standards in addition to the State standards for legally-exempt providers who will receive child care subsidies. This appendix must be completed for **each** additional standard that the district wishes to implement.

1. **Check or describe in the space provided below the additional local standards that will be required of child care providers/programs.**

   ☐ Verification that the provider has given the parent/caretaker complete and accurate information regarding any report of child abuse or maltreatment in which they are named as an indicated subject

   ☐ Local criminal background check

   ☐ Requirement that providers that care for subsidized children for 30 or more hours a week participate in the Child and Adult Food Care Program (CACFP)

   ☐ Site visits by the local district

   ☒ Other (please describe): **Certificate of occupancy**

2. **Check below the type of child care program to which the additional standard will apply and indicate the roles of the persons to whom it will apply in cases where the standard is person-specific.**

   ☐ **Legally-exempt family child care program**. Check all that apply:

   ☐ Provider ☐ Provider's Employee ☐ Provider's Volunteer

   ☐ Provider's household member age 18 or older

   ☐ **Legally-exempt in-home child care program**. Check all that apply:

   ☐ Provider ☐ Provider's Employee ☐ Provider's Volunteer

   ☒ **Legally-exempt group providers not operating under the auspices of another government agency**. Check all that apply

   ☒ Provider ☐ Provider's Employee ☐ Provider's Volunteer

   ☒ **Legally-exempt group providers operating under the auspices of another government or tribal agency.** Check all that apply:

   ☒ Provider ☐ Provider's Employee ☐ Provider's Volunteer

3. **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: Early Care and Education Division
Contact Person: Shari Gruber

☐ Contracted agency

Provide the name of the agency and contact person:

4. **Are there any costs associated with the additional standard?**

☐ Yes ☒ No

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

5. **Describe the steps for evaluating whether the additional local standard has been met.**

The ACS Quality Assurance Supervisor will identify which legally-exempt group providers not operating under the auspices of another government agency or legally-exempt group providers operating under the auspices of another government or tribal agency are subject to this additional standard.

The Quality Assurance Supervisor will verify the existence of a valid Certificate of Occupancy (C of O) or a Temporary Certificate of Occupancy or Letter of No Objection (LONO) for each legally-exempt group provider by using the NYC DoB Building Information Systems (BIS) database which is currently located at:

http://a810-bisweb.nyc.gov/bisweb/bispi00.jsp.

- If the legally-exempt group program has a valid C of O, a Temporary C of O or an LNO verified by the Quality Assurance Supervisor, the standard is "Met."
- If the legally-exempt group program does not have a valid C of O, a Temporary C of O or a LONO verified by the Quality Assurance Supervisor, the standard is "Not Met."
- If the legally-exempt group program site of care is outside of NYC, the additional standard is "Not Applicable."

6. **Indicate how frequently reviews of the additional standard will be conducted.** Check all that apply.

Legally-Exempt Programs:

☒ Initial enrollment ☐ During the 12-month enrollment period

☒ Re-enrollment ☐ Other

7. **In the space below, describe the procedures the district will use to notify the Legally-Exempt Caregiver Enrollment Agency (EA) as to whether the legally-exempt provider is in compliance with the additional local standards. Districts must notify the EA within 25 days from the date they received the referral from the EA. (Districts need to describe this procedure only if the additional local standard is applied to legally-exempt child care providers.)**

   The district will notify the EA .

   - The ACS Quality Assurance Supervisor will indicate on an excel spread sheet whether or not the standard has been "Met," "Not Met," or "Not Applicable." The completed excel spread sheet will be sent to WHEDCo daily via e-mail. This will occur within 25 days of the date of referral through the OCFS Child Care Facility System
   - The additional standard is "not applicable" when the site of care is not located within NYC.

8. **Describe the justification for the additional standard in the space below.**

   The C of O or a Temporary C of O or an LONO will provide ACS with information concerning the safety of the building and the maximum capacity to occupy it. A C of O or a Temporary C of O or an LONO are key documents used to determine the legal use and maximum occupancy of a building. This information is not included as part of the Certificate of Filing from the NYC Department of Health and Mental Hygiene. The Certificates detail how a building can be safely occupied. Knowing how a building can be safely occupied makes sure that legally-exempt group programs are operating at safe and legal location and within the buildings legal maximum capacity.

New York City - 2016 APU

APPENDIX R

Payment to Child Care Providers for Absences (Optional)

The following providers are eligible for payment for absences (check all that are eligible):

- ☒ Day Care Center
- ☒ Group Family Day Care
- ☒ Family Day Care
- ☒ Legally-Exempt Group
- ☒ School Age Child Care

Our county will only pay for absences to providers with which the district has a contract or letter of intent.

☐ Yes ☒ No

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

Number of absences allowed during base period:

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

List reasons for absences for which the district will allow payment:

Child's illness or disability, family emergency, religious observance, medical care or treatment, extreme weather conditions, child or child's caretaker must appear in court or keep other appointments related to the provision of preventive, foster care, adoption or child protective services or other needs as set forth in the child's servic plan, child's caretaker is participating in an approved education or training program and child's absences coincide with a temporary supsension 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:

NYC ACS reserves the right to monitor inapporpriate over sue of reimbursable absences by a provider or child care program. For family day care provider that receive payment through vouchers the routine limits are 6 days in a month, 12 days in six months.

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

APPENDIX S

Payment to Child Care Providers for Program Closures (Optional)

The following providers are eligible for payment for program closures:

☒ Day Care Center ☒ Legally-Exempt Group

☒ Group Family Day Care ☒ School Age Child Care

☒ Family Day Care

The county 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 time for program closures is five days).

5

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

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

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

New York City - 2016 APU

APPENDIX T

Transportation, Differential Payment Rates, Enhanced Market Rate for Legally-Exempt and In-Home Providers, and Sleep (Optional)

Transportation

Describe any circumstances and limitations your county will use to reimburse for transportation. Include what type of transportation will be reimbursed (public vs. private) and how much your county will pay (per mile or trip). Note that if the county is paying for transportation, the Program Matrix in WMS should reflect this choice.

Differential Payment Rates

Indicate the percentage above the market rate your county has chosen.

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

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

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

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

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

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 annually completed 10 or more hours of training and the training has been verified by the legally-exempt caregiver enrollment agency.

☒ No.

☐ Yes. Our market rate will not exceed 75% of the child care market rate established for registered family day care.

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, as wells as any limitations pertaining to payment:

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

APPENDIX U

Child Care Exceeding 24 Hours, Child Care Services Unit, Waivers, and Breaks in Activities (Optional)

Child Care Exceeding 24 Hours

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

☐ On a short-term or emergency basis

☐ The caretaker's approved activity necessitates care for 24 hours on a limited basis

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

Child Care Services Unit (CCSU)

Indicate below if your county will include 18-, 19-, or 20-year-olds in the CCSU, which is used in determining family size and countable family income.

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

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

OR

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 or not 18-, 19-, or 20-year olds are included in the CCSU.

Waivers

Districts have the authority to request a waiver of any regulatory provision that is non-statutory. Describe and justify why your county is requesting a waiver.

1. New York City Administration for Children's Services (NYC ACS) requests a waiver from 18 NYCRR § 415.2(a)(2)(iv) to require that families work (not families that fall under the transitional child care guarantee) work at least 20 hours per week as a condition of eligibility for child care subsidy.

This waiver request is consistent with the requirements of 18 NYCRR § 385.2(f) and 18 NYCRR § 415.1(o)(1)-(2) which provide, in part, for the local social services district to define engaged in work in the district's employment plan submitted to and approved by the New York State Department of Labor. In its plan, NYC requires the paid employment or work experience

eligibility component to be at least 20 hours weekly. The waiver request is also consistent with Social Services Law 410(1) which provides for child care only when the parent is unavailable for a "substantial part of the day." Neither State law nor regulations define "substantial part of the day." NYC ACS believes that 20 hours is appropriate.

2. NYC Children Services requests a waiver of 18 NYCRR § 415.4(b)(1) allowing:

(1) Income eligibility for a child enrolled in a Head Start collaboration program to be continuous as long as the child remains enrolled in the collaboration program for up to two years; and

(2) Income eligibility for a child dually enrolled in a pre-kindergarten program to remain eligible until the subsequent school year.

The Office of Child Care states in ACYF-PIQ-CC-99-02 that "the Lead Agency may establish different eligibility period for children in Head Start, Early Head Start or State pre-K/child care collaborative programs than generally applies to CCDF-funded children." Our agency currently serves over 1,800 children in Head Start collaboration programs. Additionally, over 7, 300 children are dually enrolled in child care and pre-kindergarten programs in New York City. Streamlining eligibility will provide consistency for both the children and the programs that serve them.

Breaks in Activities

Districts may pay for child care services for low income families during breaks in activities either for a period not to exceed two weeks or for a period not to exceed four weeks when child care arrangements would otherwise be lost and the subsequent activity is expected to begin within that period. Indicate below if your county will make such payments (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 for employment

☒ On a break between activities