

Child Care Assistance Program (CCAP)

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](#).

Part One: NYS Child Care Block Grant

I. Administration

1. Total Estimated Funds Available: \$1938819368
2. Projected spending for FFY 2023–2024: \$894000000

3. Does your district have a contract or formal agreement with another organization to perform functions using the NYSCCBG?

Yes No

If "Yes", please provide information about the organizations performing these functions:

Function	Organization	Amount of Contract
<input checked="" type="checkbox"/> CCAP eligibility screening	NYCPS	125000000
<input type="checkbox"/> Determining if legally exempt providers meet OCFS-approved additional local standards		
<input type="checkbox"/> Assistance in locating care		
<input type="checkbox"/> Child care information systems		
<input checked="" type="checkbox"/> Payment processing	YMS	2700848
<input checked="" type="checkbox"/> Other <i>Please specify function:</i> see uploaded Attachment A and Attachment B	CUNY PDI	1426600

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: **Families who are experiencing homelessness**

Priority #2: **Very low income**

Priority #3: **Families who have a child with special needs**

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

Limitations:

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

Limitations:

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

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Yes No

Limitations:

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

Limitations:

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:

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

Limitations:

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

Limitations:

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

Limitations:

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

Limitations:

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

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

Limitations:

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

Limitations:

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

Limitations:

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

Limitations:

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

Limitations:

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

Limitations:

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:

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

Limitations:

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

Limitations:

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

Yes No

Limitations:

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

Limitations:

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

Limitations:

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

Limitations:

VI. Reasonable Distance

The following defines "reasonable distance":

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.

VII. Transportation

Are there circumstances where the district will reimburse for transportation?

Yes
 No

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

ACS will pay for public transportation for families that are homeless.

VII. Transportation

Are there circumstances where the district will reimburse for transportation?

Yes No

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

ACS will pay for public transportation for families that are homeless.

Part Two: Title XX Child Care

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

Yes No

I. Funding

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

\$38000000

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	%
Three People	%
Four People	%

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

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

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

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

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

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

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

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

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.

If closing based on amount of time...

The district will close cases starting from the shortest time receiving services to the longest time

The district will close cases starting from the longest time receiving services to the shortest time

- Close cases based on **INCOME**.
- 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

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

I. Family Share

1. Family Share Percentage selected by the district:

1%

2. Additional Description of this family share percentage:

A fee schedule will be utilized for families who are not otherwise exempt from paying a family share. Within a given fee band in the fee schedule, and depending on family income, the family share percentage will be 1% of remaining gross family income after subtracting the applicable SIS level. A minimum family share of \$1 will be charged to families regardless of whether care is full time or part time. If \$1 per week exceeds 1% of remaining income after subtracting SIS from the highest income level listed in a given fee band, a \$1 per week minimum family share will apply to that entire fee band. There is no fee for families in receipt of Child Care in Lieu of Cash Assistance (CILOCA) or Transitional Child Care (TCC) so long as a fee waiver for such families remains in effect for New York City.

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

1. Number of additional absences above the required 24 allowed per child per provider per year:

Required absences paid per year:	24
Additional absences paid per year at district option (enter a number from 1–56):	56
Total number of absences paid per child per provider per year (enter a number from 25–80, must add up to required + additional absences):	80

2. List any limitations on reasons for additional absences for which the district will allow payment:

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

Yes No

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

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

5. List any other limitations on providers' eligibility for payment for additional absences:

III. Payment to Child Care Providers for Program Closures

Does the district opt to pay for program closures?

Yes No

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):

20

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

State, federal, religious or cultural holiday, or due to extenuating circumstances beyond the provider's control, including but not limited to: (i) natural disaster; (ii) severe weather; or (iii) other emergency closings that are due to circumstances other than a substantiated regulatory violation.

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
Homelessness: Licensed and Registered Providers <i>State required minimum of 5%</i>	15%
Homelessness: Legally Exempt Providers	0%
Non-traditional Hours: All Providers <i>State required minimum of 5%</i>	15%
Nationally Accredited Programs: Licensed and Registered Providers <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

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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

Indicate the percent (76%–81%), not to exceed 81%, of the applicable market rate for day care centers:

81%

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

Indicate the percent (76%–81%), not to exceed 81%, of the applicable market rate for day care centers:

81%

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

IX. Child Care Services Unit (CCSU)

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

- Yes No

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

The waiver must be approved by OCFS before it can be implemented. Describe and justify why your district is requesting a waiver.

New York City is requesting continuation of a waiver of 18 NYCRR 415.3(e)(1) to exempt families in receipt of Child Care in Lieu of Cash Assistance and Transitional Child Care, from paying a family share based upon the family's income. The waiver is necessary to improve family stability and economic well-being, better support stable parent employment, increase the choices families have for child care arrangements, and reduce a barrier to child care access. To maintain the intended purpose of 18 NYCRR 415.3(e)(1), NYC ACS will continue a sliding fee scale for all other families in receipt of child care assistance based on income and programmatic reason for care.

XI. Notices

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

- Yes No

If using local equivalent forms, list the names of the local equivalent form(s) that the district would like to use:

1. CFWB-012 (subsidy application)
2. CFWB-012A (subsidy application instructions)
3. Recertification Package
 1. CFWB-020 Income from Employment and Other Sources
 2. CFWB-021 Household Information for Child Care Recertification
 3. CFWB-022 Documentation for Child Care Recertification
 4. CFWB-023 Notice of Mail in Recertification
 5. CFWB-024 Recertification Signature Page
4. CFWB-019 Denial of Application
5. Criminal History Additional Local Standard Spreadsheet
6. CFWB-047 Notification of New York City Requirement for Relative Only Child Care Providers
7. CFWB-004 Identification and Provider Site of Care Verification for Informal Child Care Providers

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

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:
Proof of identity

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
- Contracted agency

Provide the name of the agency and contact person:

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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.

ACS/HRA sends the enrollment packet including notice of the additional local standards and the CFWB-004 to (a) families identified in ACCIS (NYC system of record for subsidized care) who have received a voucher from ACS or mandated to receive care by HRA and (b) families who have notified ACS/HRA that they have chosen a new provider or program.

Families provide the notice to their provider along with the OCFS-4699, Enrollment for Legally-Exempt In-Home and Family Child Care Provider Form.

WHEDco runs a report in CCFS to identify programs and providers to send the re-enrollment package including notice of the additional local standard.

All providers submitting an OCFS-4699, Enrollment for Legally-Exempt In-Home and Family Child Care Provider Form (i.e., all legally-exempt in-home and family child care providers) must submit proof of identity with their enrollment and re-enrollment packet.

At the time of enrollment or re-enrollment, during the enrollment packet review process, the provider submits to WHEDco an original or copy of one of the following forms of documentation 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 visas
 - Naturalization or citizenship certificate
 - School or military ID card
 - Employment authorization card
 - Permanent resident card

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., Cash Assistance, Medicaid, SNAP)
 - Life Insurance policy
 - Bank Statement

WHEDco maintains a copy of the documentation in the provider's files.

The additional standard is met when the provider submits the required documentation of identity to WHEDco.

The additional standard is not met when the provider does not submit the required documentation of identity to WHEDco.

The additional standard is "not applicable" when the program's site of care is located outside of the subsidy-paying district.

As part of the enrollment and re-enrollment process, WHEDco collects and maintains the document in

the provider file and makes the determination that the standard is met. This does not conflict with what OCFS has contracted WHEDco to do. OCFS has not contracted with WHEDco to verify proof of identity. ACS determines compliance with the standard based on WHEDCo's enrollment decision.

The provider must submit proof within the timeframe of the enrollment and re-enrollment process (40 days total).

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.

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

ACS/HRA sends the enrollment packet including notice of the additional local standards and the CFWB-004 to (a) families identified in ACCIS (NYC system of record for subsidized care) who have received a voucher from ACS or mandated to receive care by HRA and (b) families who have notified ACS/HRA that they have chosen a new provider or program. Families provide the notice to their provider along with the OCFS-4699, Enrollment for Legally-Exempt In-Home and Family Child Care Provider Form.

WHEDco runs a report in CCFS to identify programs and providers to send the re-enrollment package including notice of the additional local standard.

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

ACS/HRA sends the enrollment packet including notice of the additional local standards and CFWB-004 to (a) families identified in ACCIS (NYC system of record for subsidized care) who have received a voucher from ACS or mandated to receive care by HRA and (b) families who have notified ACS/HRA that they have chosen a new provider or program.

Families provide the notice to their provider along with the OCFS-4699, Enrollment for Legally-Exempt In-Home and Family Child Care Provider Form.

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

ACS determines compliance with the standard based on WHEDCo's enrollment decision.

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

The additional standard is met when the provider submits the required documentation of identity to WHEDco.

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

The additional standard is not met when the provider does not submit the required documentation of identity to WHEDco.

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

The additional standard is "not applicable" when the program's site of care is located outside of the subsidy-paying district.

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

As part of the enrollment and re-enrollment process, WHEDco collects and maintains the document in the provider file and makes the determination that the standard is met. ACS determines compliance with the standard based on WHEDCo's enrollment decision.

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

As part of the enrollment and re-enrollment process, WHEDco collects and maintains the document in the provider file and makes the determination that the standard is not met. ACS determines compliance with the standard based on WHEDCo's enrollment decision.

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

In accordance with 12-OCFS-LCM-01, within 25 days of receiving the E-Notice, ACS will complete the OCFS-approved local equivalent to the OCFS 2114, and send it to the applicable Enrollment Agency outside NYC to notify the Enrollment Agency of the determination "Not Applicable".

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.

ACS monitors the timeliness of conducting the additional standard by requiring the provider to submit proof within the timeframe of the enrollment and re-enrollment process (40 days total).

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.

ACS requests verification of the provider's identity to deter fraud. The additional local standard is applied at each re-enrollment due to prior instances of providers submitting a different identity at re-enrollment.

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:

Proof of location where child care is provided

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

Contracted agency

Provide the name of the agency and contact person:

WHEDCo - Diana Perez

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.

ACS/HRA sends the enrollment packet including notice of the additional local standard and the CFWB-004 to (a) families identified in ACCIS (NYC system of record for subsidized care) who have received a voucher from ACS or mandated to receive child care by HRA and (b) families who have notified ACS/HRA that they have chosen a new provider or program.

Families provide the notice to their provider along with the OCFS-4699, Enrollment for Legally-Exempt In-Home and Family Child Care Provider Form.

At enrollment, during the packet review process, the legally exempt family child care provider, who resides at the child care site, must submit (1) an original or copy of one of the following forms of documentation to the Enrollment Agency to verify the location of the child care site, as follows:

- Lease or deed with your name
- Mortgage records
- Property Tax Bill
- Utility bill with your address (e.g. electricity, gas, heating, oil, water or landline phone)*
- Rent statement/receipt with preprinted address*

- A bank statement with your address*
 - Provider's school records indicating your address*
 - Statement from landlord on his/her official stationery*
- Documents with a * cannot be more than 60 days old.

The additional standard is "met" when the required documentation, as described, is submitted to WHEDCo.

The additional standard is "not met" when the required documentation, as described is NOT submitted to WHEDCo.

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

Using the information obtained from the submitted OCFS-4699, Enrollment for Legally-Exempt In-Home and Family Child Care Provider Form, WHEDCo identifies who is a relative-only or legally exempt family child care provider subject to the additional local standard.

As part of the enrollment process, WHEDCo collects and maintains the document in the provider file and makes the determination that the standard is met.

This does not conflict with what OCFS has contracted WHEDCo to do. OCFS has not contracted with WHEDCo to verify proof of location where child care is provided.

ACS determines compliance with the standard based on WHEDCo's enrollment decision.

The provider must submit proof within the timeframe of the enrollment process (40 days total).

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.

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

ACS/HRA sends the enrollment packet including notice of the additional local standard and the CFWB-004 to (a) families identified in ACCIS (NYC system of record for subsidized care) who have received a voucher from ACS or mandated to receive child care by HRA and (b) families who have notified ACS/HRA that they have chosen a new provider or program.

Families provide the notice to their provider along with the OCFS-4699, Enrollment for Legally-Exempt In-Home and Family Child Care Provider Form.

WHEDCo runs a report in CCFS to identify providers to send the re-enrollment package including notice of the additional local standard.

Using the information obtained from the submitted OCFS-4699, Enrollment for Legally-Exempt In-Home and Family Child Care Provider Form, WHEDCo identifies who is a relative-only or legally exempt family child care provider subject to the additional local standard.

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

ACS/HRA sends the enrollment packet including notice of the additional local standard and the CFWB-004 to (a) families identified in ACCIS (NYC system of record for subsidized care) who have received a voucher from ACS or mandated to receive child care by HRA and (b) families who have notified ACS/HRA that they have chosen a new provider or program.

Families provide the notice to their provider along with the OCFS-4699, Enrollment for Legally-Exempt In-Home and Family Child Care Provider Form.

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

ACS determines compliance with the standard based on WHEDCo's enrollment decision.

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

The additional standard is "met" when the required documentation, as described, is submitted to WHEDco.

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

The additional standard is "not met" when the required documentation, as described is NOT submitted to WHEDco.

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

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

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

As part of the enrollment process, WHEDco collects and maintains the document in the provider file and makes the determination that the standard is met.

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

As part of the enrollment process, WHEDco collects and maintains the document in the provider file and makes the determination that the standard is not met.

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

In accordance with 12-OCFS-LCM-01, within 25 days of receiving the E-Notice, ACS will complete the OCFS-approved local equivalent to the OCFS 2114, and send it to the applicable Enrollment Agency outside NYC to notify the Enrollment Agency of the determination "Not Applicable".

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.

ACS monitors the timeliness of conducting the additional standard by requiring the provider to submit proof within the timeframe of the enrollment and re-enrollment process (40 days total).

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.

ACS requests verification of the location of providing child care in order to deter fraud and verify the location where child care is being provided and confirm what residence is being assessed for health and safety standards.

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:
Division of Child and Family Well-Being, Shari Gruber

- 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.

New York City: Child Care Assistance Program (CCAP)

The provider will receive a release in their enrollment packet that the provider is required to sign and submit to the enrollment agency to allow ACS to request a criminal background check.

If any of the individuals checked in question #2 above refuse to sign the authorization, which would allow ACS to check for criminal convictions, the enrollment package will be considered incomplete and the enrollment process cannot move forward and will be withdrawn by the enrollment agency.

ACS receives the referral from CCFS by accessing the Legally Exempt Additional Standards Due/Overdue-DSS report on a daily basis.

ACS sends the request for background check to the Office of Court Administration (OCA).

The OCA runs the criminal background check and reports the results to ACS.

In accordance with 12-OCFS-LCM-01, within 25 days of receiving the E-Notice, ACS will complete the OCFS-approved local equivalent to the OCFS 2114, and send it to the applicable Enrollment Agency to notify the Enrollment Agency of the determination of: "Met", "Not Met", or "Not Applicable" for all persons referred on the CCFS reports.

The standard is "met" when all the local criminal background checks, for applicable persons are conducted and the results have been received by ACS from OCA.

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.

The standard is "not applicable" when the program's site of care is located outside of the subsidy-paying district. ACS will notify the LECEA that the standard is not applicable when this occurs.

Additionally, when a criminal conviction exists, ACS provides the record of any criminal convictions to the applicable enrollment agency within 25 days of the CCFS referral and the enrollment agency evaluates the criminal history in accordance with OCFS policy.

ACS monitors the timeliness for conducting the additional local standard by utilizing the Legally Exempt Additional Standards Due/Overdue - DSS report on a daily basis.

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 provider will receive a release in their enrollment packet that the provider is required to sign and submit to the enrollment agency to allow ACS to request a criminal background check.

If any of the individuals checked in question #2 above refuse to sign the authorization, which would allow ACS to check for criminal convictions, 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:

ACS receives the referral from CCFS by accessing the Legally Exempt Additional Standards Due/Overdue-DSS report on a daily basis.

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

The provider will receive a release in their enrollment packet that the provider is required to sign and submit to the enrollment agency to allow ACS to request a criminal background check.

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

ACS determines compliance with the additional local standard by utilizing the Legally Exempt Additional Standards Due/Overdue - DSS report on a daily basis.

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

The standard is "met" when all the local criminal background checks, for applicable persons are conducted and the results have been received by ACS from OCA.

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

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.

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

The standard is "not applicable" when the program's site of care is located outside of the subsidy-paying district. ACS will notify the LECEA that the standard is not applicable when this occurs.

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

In accordance with 12-OCFS-LCM-01, within 25 days of receiving the E-Notice, ACS will complete the OCFS-approved local equivalent to the OCFS 2114, and send it to the applicable Enrollment Agency to notify the Enrollment Agency of the determination of:"Met", "Not Met", or "Not Applicable" for all persons referred on the CCFS reports.

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

In accordance with 12-OCFS-LCM-01, within 25 days of receiving the E-Notice, ACS will complete the OCFS-approved local equivalent to the OCFS 2114, and send it to the applicable Enrollment Agency to notify the Enrollment Agency of the determination of:"Met", "Not Met", or "Not Applicable" for all persons referred on the CCFS reports.

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

In accordance with 12-OCFS-LCM-01, within 25 days of receiving the E-Notice, ACS will complete the OCFS-approved local equivalent to the OCFS 2114, and send it to the applicable Enrollment Agency to notify the Enrollment Agency of the determination of:"Met", "Not Met", or "Not Applicable" for all persons referred on the CCFS reports.

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.

ACS monitors the timeliness for conducting the additional local standard by utilizing the Legally Exempt Additional Standards Due/Overdue - DSS report on a daily basis.

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.

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.

Part Five: Fraud and Abuse Control Activities

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:

1) Fraudulent/tampered documents 2) Information on supporting documents is inconsistent with application 3) Information on supporting documents is inconsistent from prior eligibility without explanation (i.e., changes in family composition other than birth or adoption) 4) Both parents employed by same employer 5) Parent employed by provider (except where provider is a SUNY or CUNY child care program or provider) or potential vendor (i.e., school bus company) 6) Non-service professional earning minimum wage (i.e., teachers, managers) 7) Family reapplies following a recent denial including family is denied for being over income and suddenly earns less income 8) Prior denial or investigation for fraud

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

New York City: Child Care Assistance Program (CCAP)

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

ACS provides training to ACS and NYCPS eligibility workers and their supervisors on indicators of fraud, including the FEDS indicators and procedures to refer fraud cases. If staff identify a FEDS indicator, they complete the Referral of Suspected Childcare Subsidy Fraud (CFWB-009) and lists the FEDS indicator/reason for referral on it when sending the form. The CFWB-009 is used to refer all potential fraud and is not limited to the identification of a FEDS indicator by eligibility workers. The eligibility worker submits the completed CFWB-009 to the fraud mailbox (CFWB.Fraud@acs.nyc.gov). The fraud mailbox is monitored by the Fraud and Risk Assessment Coordinator and the Fraud and Risk Assessment Specialist. If the referral includes a FEDS indicator, the Fraud and Risk Assessment Coordinator submits the referral to the Department of Social Services Accountability Office which maintains the FEDS for NYC.

The Department of Social Services provides the FEDS report to the Fraud and Risk Assessment Coordinator at ACS.

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

If staff identify a FEDS indicator on an application, the staff complete the Referral of Suspected Childcare Subsidy Fraud (CFWB-009), listing the FEDS indicator on the form and submits the completed document to the fraud mailbox (CFWB.Fraud@acs.nyc.gov). The fraud mailbox is monitored by the Fraud and Risk Assessment Coordinator and the Fraud and Risk Assessment Specialist.

If the referral includes a FEDS indicator, the Fraud and Risk Assessment Coordinator submits the referral within 2 business days to the Department of Social Services Accountability Office which maintains the FEDS for NYC.

The Department of Social Services Accountability Office returns the FEDS report to the ACS Fraud and Risk Assessment Coordinator.

The Fraud and Risk Assessment Coordinator and the Fraud and Risk Assessment Specialist present all fraud cases to the agency's Fraud and Risk Assessment work group which meets bi-weekly to review and identify actions for all child care subsidy fraud referrals made by a variety of internal and external sources. In addition to the Fraud and Risk Assessment Coordinator and the Fraud and Risk Assessment Specialist, the work group includes the Assistant Commissioner for the Office of Agency Accountability, the Chief of Staff for the Office of the General Counsel, Assistant Commissioner of Payment Services, Executive Director of Payment Services, Senior Analyst for Payment Services, Assistant Commissioner for Policy and Compliance in the Division of Child and Family Well-Being and a Supervisor Level III for the Voucher Enrollment Unit in Child Care Operations.

Upon reviewing cases, the Work Group determines if a referral needs to be made to another city or state agency for further investigation, including the NYC Department of Investigation (DOI), the New York City Human Resources Administration Bureau of Fraud Investigation (HRA BFI), the New York City Department of Health and Mental Hygiene (DoHMH) and the New York State Department of Health Child and Adult Care Food Program (CACFP).

HRA's Data, Analytic, Review and Triage (DART) reviews ACS referrals to determine if a fraud investigation is warranted by BFI. Accepted referrals are entered into the Investigative Reporting Information System (IRIS) and assigned to a BFI investigator.

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

Within 5 business days, the ACS fraud and risk assessment staff reviews the FEDS report and identifies any inconsistencies with the application for child care assistance. The risk assessment staff or members of the risk assessment work group may identify additional documentation to request of the applicant to make a determination regarding the veracity of the application.

Within 1 business day, the Fraud and Risk Assessment Coordinator notifies the eligibility worker via email of the outcome. If the investigation is complete, the eligibility worker moves forward with the determination of eligibility.

If additional documentation is needed to verify eligibility due to an investigation (as distinguished from an incomplete application), the Fraud and Risk Assessment Specialist will send a notice to the applicant specifying the additional documentation needed with a request that it be submitted by within 15 days. If the documentation is not received within 15 days, the Fraud and Risk Assessment Coordinator will notify the eligibility worker via email to deny the application for failure to submit requested documentation.

If the documentation is received, the Fraud and Risk Assessment Coordinator and/or Specialist will make a recommendation as to whether the documentation sufficiently addresses the discrepancy and the investigation closed, if the case should be closed because the applicant certified and/or attested to false information on the application or an enrollment form, or if additional documentation or investigation is needed.

The Fraud and Risk Assessment Coordinator and the Fraud and Risk Assessment Specialist present all fraud cases to the agency's Fraud and Risk Assessment work group which meets bi-weekly to review and identify actions for all child care subsidy fraud referrals made by a variety of internal and external sources. In addition to the Fraud and Risk Assessment Coordinator and the Fraud and Risk Assessment Specialist, the work group includes the Assistant Commissioner for the Office of Agency Accountability, the Chief of Staff for the Office of the General Counsel, Assistant Commissioner of Payment Services, Executive Director of Payment Services, Senior Analyst for Payment Services, Assistant Commissioner for Policy and Compliance in the Division of Child and Family Well-Being and a Supervisor Level III for the Voucher Enrollment Unit in Child Care Operations. Upon reviewing cases, the Work Group determines if a referral needs to be made to another city or state agency for further investigation, including the NYC Department of Investigation (DOI), the New York City Human Resources Administration Bureau of Fraud Investigation (HRA BFI), the New York City Department of Health and Mental Hygiene (DoHMH) and the New York State Department of Health Child and Adult Care Food Program (CACFP).

All recommendations for whether there is a need for further investigation by another agency, request for additional documentation or a determination that the information provided by the FEDS referral are presented to the Fraud and Risk Assessment Work Group. All decisions, including whether to close an investigation, are documented in the minutes of the work group and tracked on an excel spreadsheet.

For cases accepted for investigation by HRA BFI, the BFI investigator completes the Report of Investigation documenting their investigative findings and disposition for supervisory review.

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:

All fraud referrals received by ACS Fraud and Risk Assessment are tracked on an excel spreadsheet and include the referral date and source, provider/program name, case name, and number, allegation, the status of the investigation, the date for all actions taken, reason for closure of the investigation, recoupment amount, if the case was referred to any other agency for further investigation and if there was a FEDS referral submitted to Department of Social Services. The ACS Fraud and Risk Assessment Specialist identifies the number of referrals tracked for the month, along with the number completed and submits the information to OCFS using the Monthly FEDS Report by the tenth of the following month.

3. List all local CCAP FEDS forms.

Referral of Suspected Childcare Subsidy Fraud (CFWB-009)

II. Program Integrity

1. Each social services district must submit a description of the sampling methodology used to determine **New York City:** Child Care Assistance Program (CCAP)

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:

A random sample of 40 providers will be chosen from the 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.

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:

A sample of 20 cases per quarter will be used to verify an applicant or recipient's continued need for child care. 5 of the 20 cases will be from a random sample and 15 cases will be identified from a monthly report of children who are reported absent the entire month and children recertified following 80 or more absences reported in the prior year.

The Fraud and Risk Assessment Coordinator and/or Specialist will identify additional documentation that may need to be requested to verify an applicant's continued need for child care. The Fraud and Risk Assessment Specialist will send a notice to the applicant specifying the additional documentation needed with a request that it be submitted by within 15 days. If the documentation is not received within 15 days, a Notice of Intent to Discontinue (NOID) will be sent with an additional 15 days to provide the documentation. If the documentation is not received, the case is closed for failure to respond to request for documentation for an investigation/audit. The NOID code for failure to respond to request for documentation for an investigation/audit is entered into the case record in ACCIS (NYC's system of record for child care subsidy) and a termination notice is generated.

If the documentation is received, the Fraud and Risk Assessment Coordinator and/or Specialist will make a recommendation as to whether the documentation sufficiently verified the continued need for child care and the investigation closed, if the case should be closed because the applicant certified and/or attested to false information on the application, recertification or an enrollment form, or if additional documentation or investigation is needed.

The Fraud and Risk Assessment Coordinator and the Fraud and Risk Assessment Specialist present all fraud cases to the agency's Fraud and Risk Assessment work group which meets bi-weekly to review and identify actions for all child care subsidy fraud referrals made by a variety of internal and external sources. In addition to the Fraud and Risk Assessment Coordinator and the Fraud and Risk Assessment Specialist, the work group includes the Assistant Commissioner for the Office of Agency Accountability, the Chief of Staff for the Office of the General Counsel, Assistant Commissioner of Payment Services, Executive Director of Payment Services, Senior Analyst for Payment Services, Assistant Commissioner for Policy and Compliance in the Division of Child and Family Well-Being and a Supervisor Level III for the Voucher Enrollment Unit in Child Care Operations. Upon reviewing cases, the Work Group determines if a referral needs to be made to another city or state agency for further investigation, including the NYC Department of Investigation (DOI), the New York City Human Resources Administration Bureau of Fraud Investigation (HRA BFI), the New York City Department of Health and Mental Hygiene (DoHMH) and the New York State Department of Health Child and Adult Care Food Program (CACFP).

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

New York City: Child Care Assistance Program (CCAP)

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.
- 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

Select the organization that will be responsible for conducting inspections:

- Local social services staff

Provide the name of the unit and contact person:

Policy and Compliance Unit, Division of Child and Family Well-Being, Contact Person: Shari Gruber

- Contracted agency

The following types of child care providers / programs in receipt of child care assistance payments are subject to this requirement:

Legally Exempt Child Care

- In-Home
- Family Child Care
- Group programs

Licensed or Registered Child Care

- Family Day Care
- Registered School-Age Child Care
- Group Family Day Care
- Day Care Centers
- Small Day Care Centers