

ONONDAGA COUNTY – 2017 APU

APPENDIX K #1
Child Care Amendments

Is your district amending its Child and Family Services Plan (CFSP) or Annual Plan Update (APU)?

Yes (Check “Yes” or “No” for each Appendix listed below to indicate whether or not there was an amendment to that Appendix. If the Appendix was amended, check “Yes” or “No” to indicate the section that was amended.)

No (If this box is checked, no further action is needed on this Appendix)

Appendix	Section
<p>Appendix K #2 - Child Care Administration</p> <p>Are there changes to this appendix? <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p>	
<p>Appendix L – Other Eligible Families if Funds are Available</p> <p>Are there changes to this appendix? <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p>Appendix M #1 - Reasonable Distance, Recertification Period, Family Share, Very Low Income, Federal and Local Priorities (Required)</p> <p>Are there changes to this appendix? <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <ul style="list-style-type: none"> If you’ve checked “Yes,” check all of the sections that changed or did not change to the right of this box. 	<p>I. Reasonable Distance <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p>II. Recertification Period <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p>III. Family Share <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p>IV. Very Low Income <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p>V. Federal and Local Priorities <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p>

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Appendix	Section
<p>Appendix M #2 – Case Openings, Case Closings, and Waiting List (Required)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <ul style="list-style-type: none"> If you have checked “Yes,” check all of the sections that changed or did not change to the right of this box. 	<p>I. Case Openings <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p>II. Case Closings <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p>III. Waiting List <input type="checkbox"/> Yes; <input type="checkbox"/> No</p>
<p>Appendix M #3 – Fraud and Abuse Control Activities and Inspections (Required)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <ul style="list-style-type: none"> If you have checked “Yes,” check all of the sections that changed or did not change to the right of this box. 	<p>I. Fraud and Abuse Control Activities <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p>II. Inspections <input type="checkbox"/> Yes; <input type="checkbox"/> No</p>
<p>Appendix N – District Options (Required)</p> <p>Are there changes to this appendix?</p> <p><input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p>	
<p>Appendix O – Funding Set-Asides (Optional)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p>Appendix P – Title XX Child Care (Optional)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p>Appendix Q - Additional Local Standards for Child Care Providers (Optional)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	

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Appendix	Section
<p>Appendix R – Payment to Child Care Providers for Absences (Optional)</p> <p>Are there changes to this appendix? <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p>	
<p>Appendix S – Payment to Child Care Providers for Program Closures (Optional)</p> <p>Are there changes to this appendix? <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p>Appendix T – Transportation, Differential Payment Rates, Enhanced Market Rate for Legally-Exempt Family and In-Home Providers, and Sleep (Optional)</p> <p>Are there changes to this appendix? <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <ul style="list-style-type: none"> If you have checked “Yes,” check all of the sections that changed or did not change to the right of this box. 	<p>I. Transportation <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p>II. Differential Payment Rates <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p>III. Enhanced Market Rate for Legally-Exempt Family and In-Home Providers <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p>IV. Sleep <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>
<p>Appendix U – Child Care Exceeding 24 Hours, Child Care Services Unit, Waivers, and Breaks in Activities (Optional)</p> <p>Are there changes to this appendix? <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <ul style="list-style-type: none"> If you have checked “Yes,” check all of the sections that changed or did not change to the right of this box. 	<p>I. Child Care Exceeding 24 Hours <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p>II. Child Care Services Unit <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p>III. Waivers <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p>IV. Breaks in Activities <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>

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APPENDIX K #2
Child Care Administration

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

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

- a.** Public Assistance Families: Jobsplus!
- b.** Transitioning Families: Jobsplus! and Day Care Unit
- c.** Income Eligible Families: Day Care Unit
- d.** Title XX: Day Care Unit and Children's Division

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

- a.** FFY 2015-2016 Rollover funds (available from the NYSCCBG ceiling report in the claiming system)\$0
- b.** Estimate FFY 2016-2017 Rollover Funds\$0
- c.** Estimate of Flexible Funds for Family Services transferred to the NYSCCBG\$ 1,100,000
- d.** NYSCCBG Allocation 2017.....\$ 17,822,423
- e.** Estimate of Local Share\$ 2,500,000
- Total Estimated NYSCCBG Amount**\$ 22,922,423
- f.** Subsidy\$ 22,922,423
- g.** Other program costs excluding subsidy\$
- h.** Administrative costs\$ 1,000,000

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

Function	Organization	Amount of Contract
a. <input type="checkbox"/> Subsidy eligibility screening		
b. <input checked="" type="checkbox"/> Determining if legally-exempt providers meet OCFS-approved additional local standards	Child Care Solutions	\$ 82,173
c. <input checked="" type="checkbox"/> Assistance in locating care	Child Care Solutions	\$0
d. <input type="checkbox"/> Child care information systems		
e. <input type="checkbox"/> Payment processing		
f. <input type="checkbox"/> Other, specify:		

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APPENDIX L

Other Eligible Families if Funds are Available (Required)

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

Optional Categories	Option	Limitations
<p>1. Public Assistance (PA) families participating in an approved activity in addition to their required work activity.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>2. PA families or families with incomes up to 200% of the State Income Standard when child care services are needed for the child to be protected because the caretaker is:</p> <p>a) participating in an approved substance abuse treatment program</p> <p>b) homeless</p> <p>c) a victim of domestic violence and participating in an approved activity</p> <p>d) in an emergency situation of short duration</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>TA families-none NTA families-not eligible</p> <p>Families with income up to 200%-thirty days can be extended after review (if medical verification documents return to work in 15 days, i.e. maximum 45 days). Only for active child care cases not applicants.</p>
<p>3. Families with an open child protective services case when child care is needed to protect the child.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>4. Families with incomes up to 200% of the State Income Standard when child care services are needed for the child to be protected because the child's caretaker:</p>		
<p>a) is physically or mentally incapacitated</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Must have been employed and is expected to return to work: short term duration only, usually 30 days or less, can be extended after review of medical verification document, returns to work in 15 days max of 45 days or as part of a Children's</p>

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Optional Categories	Option	Limitations
<p>b) has family duties away from home</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>Services case where a need for child care is determined by the Children's Service Administration. Only for active cases not at application.</p>
<p>5. Families with incomes 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. Child care services will be available only for the portion of the day the family is able to document is directly related to the caretaker engaging in such activities.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>6. PA families where a sanctioned parent or caretaker relative is participating in unsubsidized employment, earning wages at a level equal to or greater than the minimum amount under law.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Verified employment and transportation hours only.</p>
<p>7. Families with incomes up to 200% of the State Income Standard when child care services are needed for the child’s caretaker to participate in:</p> <p>a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>One time per school year, must maintain 80% attendance, must maintain passing grades in all subjects. Continuation of funding will be made contingent on the student's successful completion of the semester or class, with attendance and grades submitted to the child care worker for review.</p>
<p>b) an education program that prepares an individual to obtain a NYS High School equivalency diploma</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>One time per school year, must maintain 80% attendance, must maintain passing grades in all subjects. Continuation of funding will be made</p>

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Optional Categories	Option	Limitations
		contingent on the student's successful completion of the semester or class, with attendance and grades submitted to the child care worker for review.
<p>c) a program providing basic remedial education in the areas of reading, writing, mathematics, and oral communications for individuals functioning below the ninth month of the eighth grade level</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<p>d) a program providing literacy training designed to help individuals improve their ability to read and write</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<p>e) 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 primary language is other than English</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<p>f) a two-year full-time degree granting program at a community college, a two-year college, or an undergraduate college with a specific vocational goal leading to an associate's degree or certificate of completion</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>The working parent or caretaker must meet all of the following criteria at the time an application is made:</p> <ol style="list-style-type: none"> 1. Must be a single parent or caretaker with a child in the household who is under the age of 13; if two parent household, applicant must provide information as to why the second parent cannot care for the child during the training hours. 2. Must be working a minimum of 20 hours per week in unsubsidized employment in 9 of the last 12 months, or has graduated from high school or received a GED within the last 6 months prior to application.

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Optional Categories	Option	Limitations
		<p>3. Must be a resident of Onondaga County, but can work outside of the county.</p> <p>4. Must be planning on enrolling in, or already enrolled in an education or training program which is vocational in nature or which leads to a vocational goal with the hard skills necessary for employment. High School Equivalency programs do qualify. A list of approved programs will be available in the Day Care Services Unit.</p> <p>5. The applicant must certify that he/she will NOT decrease his/her hours below a minimum of 20 hours to participate in the training and will not increase his/her financial need to qualify for Public Assistance.</p>
<p>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</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The working parent or caretaker must meet all of the following criteria at the time an application is made:</p> <p>1. Must be a single parent or caretaker with a child in the household who is under the age of 13; if two parent household, applicant must provide information as to why the second parent cannot care for the child during the training hours.</p> <p>2. Must be working a minimum of 20 hours per week in unsubsidized</p>

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Optional Categories	Option	Limitations
		employment in 9 of the last 12 months, or has graduated from high school or received a GED within the last 6 months prior to application. 3. Must be a resident of Onondaga County, but can work outside of the county. 4. Must be planning on enrolling in, or already enrolled in an education or training program which is vocational in nature or which leads to a vocational goal with the hard skills necessary for employment. High School Equivalency programs do qualify. A list of approved programs will be available in the Day Care Services Unit. 5. The applicant must certify that he/she will NOT decrease his/her hours below a minimum of 20 hours to participate in the training and will not increase his/her financial need to qualify for Public Assistance.
h) a prevocational skill training program such as a basic education and literacy training program	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
i) a demonstration project designed for vocational training or other project approved by the Department of Labor Note: The caretaker must complete the selected programs listed under Section 7 above within 30 consecutive calendar months. The caretaker cannot enroll in more than one program.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
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	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

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Optional Categories	Option	Limitations
<p>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 caretaker’s earning capacity) as long as the caretaker is also working at least 17½ hours per week. The caretaker must demonstrate his or her ability to successfully complete the course of study.</p>		
<p>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 caretaker’s earning capacity as long as the caretaker is also working at least 17½ hours per week. The caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>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 caretaker’s earning capacity as long as the caretaker is also working at least 17½ hours per week. The caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>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 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.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	

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APPENDIX M #1

Reasonable Distance, Recertification Period, Family Share, Very Low Income, Federal and Local Priorities (Required)

I. Reasonable Distance

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

1. The following defines “reasonable distance”:

Describes the maximum reasonable distance defined in time or mileage or both that a Temporary Assistance recipient would be expected to travel from home to work activity with a stop at a child care provider along the way. This information is expressed as a one way, not a round trip.

Public Transportation: In the case of any parent/caretaker/child who uses Onondaga County's Centro bus system for transportation, distance should not exceed 22 miles. This distance represents the average of farthest distances from downtown Syracuse East, West, North and South, which Centro serves in areas where we currently have sites available.

Personal Vehicle: In the case of a parent who uses private transportation, distance should not exceed 30 miles. This distance represents an average of the distance across the north-south and east-west points of the county where again, activity sites are located.

Walking: In the case of any child six years or younger, walking either from home to the provider's location, or from the provider to school or to the school bus should not exceed more than 1/2 mile. This will hold true for older children with medically documented special needs with the case manager arranging the necessary child care.

Note: The district makes every attempt to arrange child care and activity as close to home as possible; however, it is still maintained that the client has the final say as to where child care is located as long as the child care arrangements are deemed to be legal.

For the most part, the district automatically allows one-half hour on either end of the day for transportation and dropping off or picking up children; however, all cases are handled in an individual manner and adjustments are made for more or less transportation time as needed.

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

1. The current listing of work activity sites utilized by Onondaga County's employment and training program, Jobsplus!
2. Examination of the current public transportation system (Centro's) bus line.
3. Discussion of current guidelines used by the Child Care Council of Onondaga County.
4. Examination of current travel patterns required for participation in Jobsplus!

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II. Recertification Period

The district's recertification period for low income child care cases is every (select one):

six months twelve months

III. Family Share

“Family Share” is the weekly amount paid towards the costs of the child care services by the child's parent or caretaker. Your district must select a family share percentage from 10% to 35% to use in calculating the amount of 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 district 35%.

Note: *The family share percentage selected here must match the percentage entered in the Program Matrix in the Welfare Management System (WMS).*

IV. Very Low Income

Define “very low income” as it is used in determining priorities for child care benefits.

“Very Low Income” is defined as 125% of the State Income Standard.

V. Federal and Local Priorities

1. The district must rank the federally mandated priorities. Cases that are ranked 1 have the highest priority for receiving child care assistance. These rankings apply to case closings and case openings.

a. Very low income as defined in Section IV: Rank 1 Rank 2 Rank 3

b. Families with incomes up to 200% of the State Income Standard that have a child with special needs and a need for child care: Rank 1 Rank 2 Rank 3

c. Families with incomes up to 200% of the State Income Standard that are experiencing homelessness: Rank 1 Rank 2 Rank 3

2. Does the district have local priorities?

Yes No

If yes, list below and rank beginning with Rank 4.

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APPENDIX M #2

Case Openings, Case Closings, and Waiting List (Required)

I. Case Openings When Funds Are Limited

If a social services district does not have sufficient funds to provide child care services to all families who are applying, the district may decide to open certain categories of families as funds become available. The district must open federal priorities first. If the district identified local priorities, they must be opened next. **After the federal and local priorities**, identify the basis upon which the district will open cases if funds become available. Check only **ONE** of the options listed below and describe the process for opening.

1. Open based on **FIRST COME, FIRST SERVED**.
2. Open based on **INCOME**. Check one of the boxes below:
 - The district will open cases starting from the lowest income to the highest income.
 - The district will open cases based on income bands, starting from the lowest income band to the highest income band. List the income bands, starting from the band that will be opened first:

The district will open cases in the reverse order of case closings:

1st - 100% - 125%

2nd - 126% - 150%

3rd - 151% - 175%

4th - 176% - 200%
3. Open based on **CATEGORY OF FAMILY**.
List below the remaining category 2 and 3 families included in 18 NYCRR §415.2(a)(2) and 18 NYCRR §415.2(a)(3) that are not federal or local priorities in the order they will be opened first.
4. Open based on **INCOME AND CATEGORY OF FAMILY**.
List below the incomes (from lowest to highest income) or income bands (from lowest income band to highest income band), and the remaining category 2 and 3 families included in 18 NYCRR §415.2(a)(2) and 18 NYCRR §415.2(a)(3) that are not federal or local priorities in the order they will be opened first.
5. Open based on **OTHER CRITERIA**.
Describe the criteria the district will use to select cases to be opened:

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II. Case Closings When Sufficient Funds Are Not Available

If a social services district does not have sufficient funds to continue to provide child care assistance to all families in its current caseload, the district may decide to discontinue child care assistance to certain categories of families. The district must close federal priorities last. If the district identified local priorities, they must be closed next to last. **After the federal and local priorities**, describe the basis upon which the district will close cases if sufficient funds are not available.

If no priorities are established beyond the federally mandated priorities and all funds are committed, case closings for families that are not eligible under a child care guarantee and are not under a federally mandated priority must be based on the length of time they have received services (must choose #1 below).

Check only **one** of the options for closing listed below and describe the process for closing.

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

Check **one** of the boxes below:

- The district will close cases starting from the shortest time receiving child care services to the longest time.
- The district will close cases starting from the longest time receiving child care services to the shortest time.

2. Close based on **INCOME**.

Check **one** of the boxes below:

- The district will close cases starting from the highest income to the lowest income.
- The district will close cases based on income bands, starting from the highest income band to the lowest income band. List the income bands starting from the band that will be closed first:

1st - 200% - 176%

2nd - 175% - 151%

3rd - 150% - 126%

4th - 125% - 100%

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

List the category 2 and 3 families included in 18 NYCRR §415.2(a) that are not federal or local priorities in the order they will be closed.

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

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List below the incomes (from the highest to lowest income) or income bands (from the highest income band to the lowest income band), and the category 2 and 3 families included in 18 NYCRR §415.2(a) that are not federal or local priorities in the order they will be closed.

5. Close based on **OTHER CRITERIA**.

Describe the criteria the district will use to select cases to be closed:

III. Waiting List

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

No.

Yes.

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APPENDIX M #3

Fraud and Abuse Control Activities and Inspections (Required)

I. Fraud and Abuse Control Activities

1. 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 payments in addition to procedures for referring such applications to the district's front-end detection system.

The following situations will be referred to FEDS: False address given for provider and/or client; new employer/new earnings not reported to the agency; prior history of denial or case closing (or overpayments) resulting from an investigation; provider violations (e.g. improper billing); expenses exceed income without reasonable explanation; client failed to report unearned income; client has previously failed to accurately report income, household composition or other required eligibility information.

2. 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 Day Care Supervisor randomly reviews two newly opened child care cases per month per intake worker selected randomly. The Day Care Supervisor reviews two recertifications per month randomly selected thru a Cognos report. The Day Care Supervisor review is a thorough review of the continued need for child care, verification of participation in employment, education or other required activities. In addition, the day care workers review the indicators for referrals to the agency legal division at every 6 month and year recertification. Some of the indicators for investigation are low income vs. high expense, and conflicting information.

On a regular basis, the JOBSplus! Support Services Team leader is able to review the work completed by child care technical assistants, in which the technical assistant is assigned cases specific to letter of the alphabet of the applicant/recipient's last name. This practice keeps consistent monitoring of the child care needs for the applicant/recipient regardless of employment codes and case status. The Team Leader provides supervisory review of child care cases that close due to employment and any case in which a recipient changes from one provider to another. On a monthly basis, this Team Leader and/or Administrator randomly reviews six to ten cases per month.

3. 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.

Administered and monitored by Child Care Solutions. We expect to have a universe of 100 childcare providers that are also in the Child and Adult Care Food Program (CACFP) annually. The administrator of CACFP will send us a monthly report of providers that have had inspections. From this list, we will select 10% of the providers at random to review. We will request the inspections reports and compare them to the billing sheets submitted by the providers. Any provider previously selected will not be included in a subsequent sample for the year.

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II. 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 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).

The district has the right to make inspections *prior to subsidized children receiving care* of any child care provider, including care in a home, to determine whether 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 by an enrolled or enrolling legally-exempt child care provider must be reported to the applicable Enrollment Agency.

1. 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 Child Care

Family Day Care

Registered School-Age Child Care

Group Family Day Care

Day Care Centers

Small Day Care Centers

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APPENDIX N

District Options (Required)

I. Districts have some flexibility to administer their child care subsidy programs to meet local needs. Districts must complete Question 1 below. Note that all districts must complete the differential payment rate table in Appendix T.

1. The district selects (check one):

none of the options below one or more of the options below

II. Districts must check the options that will be included in the district's county plan and complete the appropriate appendix for any option checked below.

1. The district has chosen to establish funding set-asides for NYSCCBG (complete Appendix O).
2. The district has chosen to use 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 licensed or registered child care providers that have been accredited by a nationally recognized child care organization (complete Appendix T).
8. The district has chosen to pay a differential rate above the required 5%, up to 15% higher than the applicable market rates for child care services during non-traditional hours (complete Appendix T).
9. The district has chosen to pay a differential rate for child care providers caring for children experiencing homelessness above the required differential amount (complete Appendix T).
10. 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).
11. The district has chosen to pay for child care services while a caretaker who works the second or third shift sleeps (complete Appendix T).

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12. The district has chosen to make payments to child care providers who provide child care services exceeding 24 consecutive hours (complete Appendix U).
13. The district has chosen to include 18-, 19- or 20-year-olds in the Child Care Services Unit (complete Appendix U).
14. The district requests a waiver from one or more regulatory provisions. Waivers are limited to those regulatory standards that are not specifically included in law (complete Appendix U).
15. The district has chosen to pay for breaks in activity for low income families (non-public assistance families). Complete Appendix U.
16. The district has chosen to use local equivalent(s) of OCFS required form(s). Prior to using a local equivalent form the district must obtain OCFS, Division of Child Care Services (DCCS) written approval. ***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.***

If the district elects to use the OCFS-6025, *Application for Child Care Assistance*, and makes no changes other than adding the district name and contact information, the district only needs to inform OCFS DCCS that it will be using the OCFS-6025.

List below the names and attach copies of the local equivalent form(s) that the district would like to use.

- Verification of Employment
- Landlord Form
- Child Care Provider Information Sheet
- Child Support Information Form
- Permission to Release Information to a Day Care Provider

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APPENDIX O
 Funding Set-Asides (Optional)

I. Total NYSCCBG Block Grant Amount, Including Local Funds

Category:\$
 Category:\$
 Category:\$
 Category:\$
 Category:\$

Total Set-Asides (NYSCCBG)\$

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

Category:
 Description:

Category:
 Description:

Category:
 Description:

Category:
 Description:

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

Category:\$
 Category:\$
 Category:\$

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

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

Category:
 Description:

Category:
 Description:

Category:
 Description:

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APPENDIX P

Title XX Child Care (Optional)

1. Enter the projected total of 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) % (3) % (4) %

2. 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

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

- Yes No

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

If yes, describe eligibility criteria:

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

- Yes No

If yes, describe which families will receive priority:

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

- Yes No

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

- Yes No

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APPENDIX Q

Additional Local Standards for Child Care Providers (Optional)

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

The district must coordinate with the local Enrollment Agency, including, but not limited to:

- Informing the Enrollment Agency of the intent to request an additional standard.
- Developing the stepwise process referenced in Question 5.
- Ensuring that no significant burden of work shall be incurred by the Enrollment Agency as a result of the additional local standard, unless such work is addressed in a separate contract or a formal agreement is in place, which are referenced in Question 3.
- Sharing any consent/release form that may be required.
- Keeping the Enrollment Agency informed of the approval status.

1. Check or describe in the space provided below the additional local standards 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
- Local criminal background check
- Require providers caring for subsidized children for 30 or more hours a week participate in the Child and Adult Care Food Program (CACFP). *Note that districts are required to notify the Enrollment Agency, using the OCFS-2114, District Notification to Legally-Exempt Caregiver Enrollment Agency, of all providers on the referral list for whom the requirement is "not applicable."*
- 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 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 provider/program not operating under the auspices of another government agency. Check all that apply.
- Provider/Director Provider's Employee Provider's Volunteer

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- Legally-exempt group provider/program operating under the auspices of another government or tribal agency. Check all that apply.
- Provider/Director Provider’s Employee Provider’s Volunteer

2a. 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 check mark 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 subsidy-paying district.
- b. The district will not apply this additional local standard when the *program’s site of care is located outside* of the subsidy-paying district.
- c. The district will not apply this additional local standard when *the informal provider is younger than 18 years* of age.

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:

Day Care Unit, Kathleen Early

- Contracted agency
Provide the name of the agency and contact person:

4. 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.*

5. Describe, in chronological order, the steps for conducting the additional local standard. Include how the district will retrieve referrals from CCFS, communicate with providers

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and other applicable persons, determine compliance with the additional local standard, inform the Enrollment Agency whether the additional local standard has been “met,” “not met”, or is “not applicable”, and monitor its timeliness. Include all agencies involved and their roles. Note that the district’s procedures must be in accordance with 12-OCFS-LCM-01.

a) The district will arrange for a database check for criminal convictions to be conducted through the online criminal background tool, CLEAR to verify the truthfulness of the attestations pertaining to the criminal history of providers of legally exempt in-home or family child care and for family child care programs, all household members 18 years of age and older residing at the residence where child care is provided.

b) In the enrollment package, the district will provide release forms, which will authorize local criminal history database checks. Providers of legally exempt in-home or family child care and for family child care programs, household members 18 years of age and older residing at the residence where child care is provided will be required to sign a release which will allow our Department to conduct a local criminal history check. The provider will be instructed to return the enrollment package including the signed release form. If the providers of legally exempt in-home or family child care and for family child care programs, any household member 18 years of age or older residing at the residence where child care is provided refuses to sign an authorization for a local criminal background check, the enrollment package will be considered incomplete, the enrollment process cannot move forward and the enrollment package will be withdrawn by the enrollment agency.

c) To initiate the additional standards check, per 12-OCFS-LCM-01, the Child Care Facility System will automatically generate the E-Notice, LE-CCFS LD-003 Legally-Exempt Additional Standard Referral Notification, to inform the district that the additional standards check must be conducted. The district must run the CCFS report, LE Additional Local Standard Referral List to obtain the list of persons (as specified in question #2 above) for whom Legally Exempt Additional Standard(s) Review(s) must be conducted and other pertinent information.

d) The district will arrange for a local database check for criminal convictions to be conducted through the online criminal background tool, CLEAR. If a search results in a criminal convictions history, the day care staff will provide only the convictions history information to the enrollment agency (EA), so that any discrepancies as to what was reported in the enrollment package by the potential provider and others are identified and the enrollment agency may take proper action.

e) The Onondaga County Department of Social Services will make the determinations as follows:

- i. Met- when all the applicable criminal background checks are conducted.
- ii. Not Met- if the applicable criminal background checks cannot be completed due to the lack of cooperation of the provider or other person who is required to participate.

f) In accordance with 12-OCFS-LCM-01, Onondaga County Department of Social Services will complete the OCFS-2114, District Notification to Legally-Exempt Caregiver Enrollment Agency, and send it to the applicable Enrollment Agency to notify

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the Enrollment Agency of the determination. When a convictions history is found, the OCDSS will send the Legally-Exempt Caregiver Enrollment Agency, the OCDSS will also send the list of criminal convictions and information pertaining to each conviction.

6. Indicate how frequently the additional local standard will be applied. Answer both questions.

a. The Standard will be applied:

- i. At initial enrollment and re-opening
- ii. At each re-enrollment

b. The district will assess compliance with the additional local standard:

- i. *During the enrollment review period*, and, the district will notify the Enrollment Agency of the results within 25 days from the E-Notice referral date.
- ii. *During the 12-month enrollment period*, and, the district will notify the Enrollment Agency of the results promptly. Note that this option is always applicable to an additional local standard requiring participation in CACFP.

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

To ensure, as much as possible, the health and safety of children in care.

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APPENDIX R

Payment to Child Care Providers for Absences (Optional)

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

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

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

- Yes No

3. Base period (check one): 3 months 6 months

4. 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			
Base period	14		14

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

Onondaga County will pay for absences for the Salvation Army Head Start Child Care Partnership program who received the federal grant. This grant's focus is on serving 96 infants and toddlers in the Cab Horse and Salina infant centers, specifically on the children of clients served by Onondaga County Social Services-ES.

6. List any limitations on the above providers' eligibility for payment for absences:

ONLY -for the Salvation Army Early Head Start Program

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

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APPENDIX S

Payment to Child Care Providers for Program Closures (Optional)

1. 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

2. The 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).

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

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

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APPENDIX T

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

I. Transportation

1. Describe any circumstances and limitations the district will use to reimburse for transportation. 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 Program Matrix in the Welfare Management System (WMS) should reflect this choice.

No

Yes, describe:

1. For those individuals required to participate in employment activities a bus pass for the child may be issued if a (a) special need is established or (b) the family's cash grant is insufficient to cover the child's transportation expenses.

2. When determined by the Children's Services Administration that it is essential and no other form of transportation is available for a protective child care recipient, a taxi will be authorized.

II. Differential Payment Rates

1. Districts must complete the Differential Payment Rate Percent (%) column in the table below for each of the four (4) differential payment rate categories. For the two (2) categories that require a state minimum five percent (5%) differential payment rate, the district must enter "5%" or, if it chooses, a higher rate up to 15%.

The other two (2) differential payment rate categories in the table below 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%). Note that if the district selects a differential payment rate for nationally accredited programs, then that rate must be in the range of five percent (5%) to 15 percent (15%).

Differential Payment Rate Category	<i>Differential Payment Rate Percent (%)</i>	Instructions for Differential Payment Rate Percent (%) Column
Homelessness: Licensed and Registered Providers State required minimum of 5%	5%	Enter a percentage (%): 5% to 15%. (<u>Must</u> enter at least <u>5%</u>)
Homelessness: Legally-Exempt Providers	0%	Enter 0% or a percentage (%) up to 15%.

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Non-traditional Hours: All Providers State required minimum of 5%	5%	Enter a percentage (%): 5% to 15%. (<u>Must</u> enter at least <u>5%</u>)
Nationally Accredited Programs: Licensed and Registered Providers	0%	Enter 0% or a percentage (%) from 5% to 15%.

2. Payments may not exceed 25% above market rate. However, if your district wants to establish a payment rate that is more than 15% above the applicable market rate, describe below why the 25% maximum is insufficient to provide access within the district to accredited programs or care provided during non-traditional hours and/or care provided to children experiencing homelessness.

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

1. 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. Indicate percent, not to exceed 75% of the child care market rate established for registered family day care.

IV. Sleep

1. The following describes the standards the district will use to evaluate whether to pay for child care services while a caretaker that works a second or third shift sleeps, as well as any limitations pertaining to payment:

Up to 8 hours will be allowed for a parent or caretaker working a third shift. Decisions on the amount will generally be based on the ages of the children, work schedule of parent(s).

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

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APPENDIX U

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

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

On a short-term or emergency basis

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

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

II. Child Care Services Unit (CCSU)

1. Indicate below if your district will include 18-, 19-, or 20-year-olds in the CCSU for determining family size and countable family income.

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

18-year-olds

19-year-olds

20-year-olds

OR

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

18-year-olds

19-year-olds

20-year-olds

2. Describe the criteria your district will use to determine whether or not 18-, 19-, or 20-year olds are included in the CCSU.

III. Waivers

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

Family co-pay:

Waive 18 NYCRR § 415.3(e) which requires that each family receiving child care services, with the exception of a family on temporary assistance, pay a family share based on income. This waiver pertains only to families in receipt of child care in lieu of Temporary Assistance, and only for the child(ren) participating in an Early Head Start Child Care Partnership program.

Flexibility in eligibility periods:

Waive 18 NYCRR § 404.1(d) which requires that redetermination be made not less than every 12 months. This waiver will allow districts to match child care eligibility periods to the Early

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Head Start Child Care Partnership program period regardless of disruptions in the parent's eligibility. This waiver only applies to the child(ren) participating in an Early Head Start-Child Care Partnerships.

Flexibility in reporting changes in family circumstances:

Waive 18 NYCRR § 415.3(b) which requires that applicants are responsible for providing accurate, complete and current information regarding family income and composition, child care arrangements and any other circumstances related to the family's eligibility for child care services, and for notifying the social services district immediately of any changes in such information.

The waiver would relax the income documentation/verification requirements and revise the redetermination process to relax/eliminate the need for parents to report even small changes in their circumstances that lead to a loss of eligibility for child care. This waiver would pertain only if the parent only has a child participating in an Early Head Start Child Care Partnership program.

Pay for enrollment:

Waive 18 NYCRR § 415.6(b), which districts to elect to make a payment on behalf of children who are temporarily absent. This waiver would pertain only if the parent only has a child participating in an Early Head Start Child Care Partnership program.

Districts may amend their Child and Family Services Plan to include absences, increase the number of allowable absences, or exceed the number of absence currently allowed in regulation. Districts selecting this option must indicate the number of days they will allow or if they have elected not to limit the number of allowable absences.

Flexibility in extending day care subsidies for parents who are 19 years old or younger:

Waive 18 NYCRR § 415.2(a)(2)(iii)(a). This waiver will keep the children of teen parents who are still in school, in the Early Head Start Child Care Partnership program full time. Onondaga County will continue to pay day care subsidies during school holidays, breaks and summer vacations.

IV. Breaks in Activities

1. 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. If your district will pay for breaks in activities, indicate below for how long of a break that the district will pay for (check one):

Two weeks Four weeks

2. 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

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following low-income families are eligible for child care services during a break in activities (check all that are eligible):

- a. Entering an activity
- b. Waiting for employment
- c. On a break between activities