

STEUBEN 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? <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? <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? <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p>Appendix O – Funding Set-Asides (Optional)</p> <p>Are there changes to this appendix? <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? <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? <input checked="" type="checkbox"/> Yes; <input 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?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p>Appendix S – Payment to Child Care Providers for Program Closures (Optional)</p> <p>Are there changes to this appendix?</p> <p><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?</p> <p><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?</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. Child Care Exceeding 24 Hours <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p>II. Child Care Services Unit <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p>III. Waivers <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p>IV. Breaks in Activities <input type="checkbox"/> Yes; <input 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: Child Care Aware® of Steuben and Schuyler a department of Pro Action Steuben & Yates, Inc. (CCASS) and LDSS TA**
- b. Transitioning Families: CCASS and LDSS TA**
- c. Income Eligible Families: CCASS and LDSS TA**
- d. Title XX: CCASS and LDSS TA and LDSS Services Unit**

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)\$202,492**
- b. Estimate FFY 2016-2017 Rollover Funds\$0**
- c. Estimate of Flexible Funds for Family Services transferred to the NYSCCBG\$0**
- d. NYSCCBG Allocation 2017\$2,343,658**
- e. Estimate of Local Share\$148,022**
- Total Estimated NYSCCBG Amount\$2,694,172**
- f. Subsidy \$2,207,903**
- g. Other program costs excluding subsidy \$361,269**
- h. Administrative costs\$125,000**

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 checked="" type="checkbox"/> Subsidy eligibility screening	CCASS	361,269
b. <input checked="" type="checkbox"/> Determining if legally-exempt providers meet OCFS-approved additional local standards	CCASS	Included in Contract
c. <input type="checkbox"/> Assistance in locating care		
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
1. Public Assistance (PA) families participating in an approved activity in addition to their required work activity.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	None
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: <ul style="list-style-type: none"> <li data-bbox="240 793 889 865">a) participating in an approved substance abuse treatment program <li data-bbox="240 940 402 970">b) homeless <li data-bbox="240 1138 889 1209">c) a victim of domestic violence and participating in an approved activity <li data-bbox="240 1222 841 1251">d) in an emergency situation of short duration 	<ul style="list-style-type: none"> <li data-bbox="922 793 1019 865"><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <li data-bbox="922 940 1019 1012"><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <li data-bbox="922 1138 1019 1209"><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <li data-bbox="922 1222 1019 1293"><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 	<ul style="list-style-type: none"> <li data-bbox="1101 793 1409 928">Based on treatment recommendations. Income level up to 200% when funds are available. <li data-bbox="1101 940 1425 1117">Income level up to 200% when funds are available to support housing searches and meet work requirements. <li data-bbox="1101 1138 1409 1209">Income level up to 200% when funds are available. <li data-bbox="1101 1222 1409 1318">Up to six (6) months, Income level up to 200% when funds are available.
3. Families with an open child protective services case when child care is needed to protect the child.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	None
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:		
<ul style="list-style-type: none"> <li data-bbox="240 1579 782 1608">a) is physically or mentally incapacitated <li data-bbox="240 1768 734 1797">b) has family duties away from home 	<ul style="list-style-type: none"> <li data-bbox="922 1579 1019 1650"><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <li data-bbox="922 1768 1019 1839"><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 	<ul style="list-style-type: none"> <li data-bbox="1101 1579 1442 1755">Bi-annual statement and/or physician detailing incapacity: Income level up to 200% when funds are available. <li data-bbox="1101 1768 1425 1885">Up to six (6) months, Income level up to 200% when funds are available.
5. Families with incomes up to 200% of the State	<input type="checkbox"/> Yes	

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Optional Categories	Option	Limitations
<p>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>	<input checked="" type="checkbox"/> No	
<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>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	None
<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>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Income level up to 200% when funds are available' with documentation to indicate anticipated graduation date.
<p>b) an education program that prepares an individual to obtain a NYS High School equivalency diploma</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Income level up to 200% when funds are available, with documentation to indicate anticipated graduation date.
<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</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Students attending a four year fulltime program who works a minimum of 17.5 hours per week will

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Optional Categories	Option	Limitations
degree or certificate of completion		also be eligible. All students must maintain a 2.0 GPA. Students attending a SUNY school must be denied through the SUNY Child Care Subsidy System before qualifying for local subsidy funds. Income level up to 200% when funds are available.
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Income level up to 200% when funds are available.
h) a prevocational skill training program such as a basic education and literacy training program	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Income level up to 200% when funds are available.
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 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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Income level up to 200% when funds are available.
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Income level up to 200% when funds are available.

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Optional Categories	Option	Limitations
<p>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>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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Income level up to 200% when funds are available.</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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Income level up to 200% when funds are available.</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”: 15 miles or 30 minutes from home. Exceptions will be made for: 1) family member providing care; 2) case by case for more rural areas of the county.
2. Describe any steps/consultations made to arrive at your definition: Travel between Bath and Corning is approximately 25 minutes. Corning is Steuben's "Industrial Center".

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 10%.

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 200% 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

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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:

Case openings would follow this methodology, special needs children would be opened first then cases with Families who are experiencing homelessness then cases with income 100-110%, 111-120%, 121-130%, 131-140%, 141-150%, 151-200%
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:

Reduction in caseloads would follow this methodology starting with cases with income 200-151%, 150-141%, 140-131%, 130-121%, 120-111%, 110-100% and then those experiencing homelessness and then those cases with special needs children.

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.

Criteria will be defined under the approved Front End Detection (FEDS) Plan as submitted by Steuben County and approved by the OCFS Office of Audit and Quality Control.

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.

All subsidy recipients go through the recertification process every 6 months. All documentation is requested, including employment and income verification.

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.

The Director of Finance, LDSS will receive a current list of CACFP participants from sponsor quarterly. The Director will randomly select a sampling of six per month to review and compare food program monitoring sheets to the subsidy time sheets with the sponsor.

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?

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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).
12. The district has chosen to make payments to child care providers who provide child care services exceeding 24 consecutive hours (complete Appendix U).

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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.

We are utilizing the OCFS-6025. We will add The Steuben County Logo and Contact information.

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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: 110,000.00

Indicate the financial eligibility limits (percentage of State Income Standard) your district will apply based on family size. Maximum reimbursable limits are 275% for a family of one or two, 255% for a family of three, and 225% for a family of four or more. Districts that are utilizing Title XX funds *only* for child protective and/or preventive child care services must not enter financial eligibility limits as these services are offered without regard to income.

Family Size: (2) 275% (3) 255% (4) 225%

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: Protective/Preventive

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 Q1

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 has coordinated with the local Enrollment Agency on the development of the additional standard, 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 of all consent/release forms.
- 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.

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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: Lisa Baker, Director of Temporary & Disability Assistance

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 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.

The local district will include a Steuben County “Authorization and Release” and a Steuben County “Child Abuse and Maltreatment History Attestation Form” in the enrollment packets it distributes to parent/caregiver. A completed and signed Steuben County “Authorization and Release” form will enable Steuben County Department of Social Services to conduct a search of local child welfare records. The individuals specified in question #2 above will be asked to sign and date the Steuben County “Authorization and Release” form. The database records check will be required only for the types of child care specified in question #2 and will be required only to persons in the roles specified in question # 2. The signed Steuben County “Authorization and Release” in question #2 is required for all persons in the roles, for the enrollment packet to be considered complete. If any of the individuals checked in question #2 above refuses to sign the Steuben County “Authorization and Release” form, which would allow Steuben County Department of Social Services to review only the existing local Steuben County child welfare records related to child care, the enrollment package

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will be considered incomplete and the enrollment process will move forward and will be withdrawn by the Enrollment Agency in accordance with State policy.

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 local district that the additional standards check must be conducted. The designated 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.

The local district will conduct the check of the local database to determine if an individual checked in question #2 above is an indicated subject of a child abuse or maltreatment report. If the check of local records check reveal that an individual specified in question #2 above is an indicated subject of a child abuse or maltreatment, the provider will be notified that they have 10 calendar days to complete, sign, and return the Steuben County “Child Abuse and Maltreatment History Attestation Form”, to Steuben County DSS. After the local district receives the completed and signed attestation form, they will compare the information from the local database search with the attestation form.

If there are discrepancies with the local database check and the attestation form, the information provided by the provider will be considered inaccurate. If the local district determines there are discrepancies between the authorization/release form and the attestation, the local district will notify the provider of the inaccuracies.

Once the provider is notified of the inaccuracies, the provider will have 5 calendar days to submit a signed, amended version of the Steuben County “Child Abuse and Maltreatment Attestation Form” to show that the local district’s information is correct or inaccurate.

After the amended attestation form is returned, the local district will determine if there are any remaining discrepancies between the authorization/release form and the attestation.

The Steuben County Department of Social Services will make the determination on compliance with the additional standard as follows:

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MET:

- when the local records check does not reveal a record wherein the person was an indicated subject of a child abuse or maltreatment report.
- If the information regarding the indicated child protective report submitted by the provider to the parent/caretaker and the district correlates with the information obtained from the local database check and the parent/caretaker still chooses to use the provider, the Enrollment Agency will be notified that the additional standard has been met.

NOT MET:

- If the Child Abuse and Maltreatment Attestation Form is not returned.
- If the provider fails to clarify the discrepancies.

NOT APPLICABLE:

- When the informal provider is younger than 18 years of age.

The district will maintain a file, which documents how the determination was made as to whether or not the additional local standard has been met.

In accordance with 12-OCFS-LCM-01, Steuben 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 the Enrollment Agency of the determination.

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.

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- 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.

The additional standard supports 18 NYCRR 415.4(f)(7)(ii), a State requirement for enrollment which requires the provider and relevant site persons have given the parent true and accurate information regarding indicated child protective reports. The additional standard verifies the provider is telling the truth on the enrollment form. This promotes safer child care for children by verifying that true and accurate information about a caregiver's history has been shared with the child(ren)'s parent/caretaker.

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APPENDIX Q2

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 has coordinated with the local Enrollment Agency on the development of the additional standard, 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 of all consent/release forms.
- 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.

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- 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
- 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.

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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: Lisa Baker, Director of Temporary & Disability Assistance

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 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.

The district will conduct a local criminal history background check to verify the accuracy of the attestations pertaining to the criminal history of the individuals checked in question #2 above. In the enrollment package, the district will provide release forms, which will authorize local criminal history database checks. The individuals checked in question #2 above will be required to sign a release which will allow our Department to conduct a local criminal history check. The individual will be instructed to return the enrollment package to the enrollment agency including the signed release form. If the individual checked in question #2 above 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.

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 local district that the additional standards check must be

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conducted. The designated 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.

For referred providers, the district will arrange for a local database check for criminal convictions to be conducted by Steuben County Sheriff's Department. If the search results in a conviction, the day care staff will provide the conviction information to the enrollment agency.

In accordance with 12-OCFS-LCM-01, Steuben 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 the Enrollment Agency of the determination.

- The standard is " met" when all the applicable criminal background checks are conducted.
- The standard is considered to be " 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.
- The standard is “not applicable” to the informal provider when *the informal provider is younger than 18 years of age.*

The enrollment agency will evaluate any discrepancies in accordance with the Guide to Enrollment.

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

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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.

Attempting to help ensure the provision of SAFE Day Care services to children.

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APPENDIX Q3

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 has coordinated with the local Enrollment Agency on the development of the additional standard, 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 of all consent/release forms.
- 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.

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- 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
- 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*.

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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:

Contracted agency

Provide the name of the agency and contact person: Child Care Aware® of Steuben and Schuyler a department of Pro Action Steuben & Yates, Inc., Kellie Lockwood, MOU Subsidy

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 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.

1. A legally-exempt family child care provider who provides care on an average of 30 hours or more per week is required to fully participate in the Child and Adult Care Food Program (CACFP) as a condition of enrollment to provide child care subsidized by the Steuben County Department of Social Services or it’s contracted agent.

2. The district distributes the Steuben County Legally Exempt Family Child Care Additional Standard Acknowledgement Agreement form to applicants and recipients of child care services along with the LDSS-OCFS 4699, Enrollment Form for Legally-Exempt Family Child Care and Legally-Exempt In-Home Child Care.

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3. The legally-exempt family child care provider is required to sign and submit the Child Care Aware of Steuben and Schuyler, Department of Pro-Action Legally Exempt Family Child Care Additional Standard Acknowledgement Agreement form to the enrollment agency along with the LDSS-OCFS 4699, Enrollment Form for Legally-Exempt Family Child Care and Legally-Exempt In-Home Child Care.
4. The Enrollment Agency documents receipt of the Child Care Aware of Steuben and Schuyler, Department of Pro-Action Legally Exempt Family Child Care Additional Standard Acknowledgement Agreement form in CCFS. In accordance with OCFS guidance and the specifics of this additional standard, the Steuben County Legally Exempt Family Child Care Additional Standard Acknowledgement Agreement form is required for the enrollment packet to be considered complete. When the Steuben County Legally Exempt Family Child Care Additional Standard Acknowledgement Agreement form is not received or not complete, the enrollment cannot progress and, in accordance with OCFS guidance, the packet will be withdrawn if the provider does not submit a completed Steuben County Legally Exempt Family Child Care Additional Standard Acknowledgement Agreement form within the mandatory timeframes.
5. Through E-Notices and reports, the Child Care Facility System will notify the Steuben County Department of Social Services of all enrolling/enrolled/re-enrolling family-child care providers for whom the additional standard process may be applicable. The Steuben County Department of Social Services must run the LD Additional Standard Referral List in CCFS to obtain the list of enrolling/enrolled/re-enrolling family-child care providers for whom a determination of applicability is required.
6. The Steuben County Department of Social Services or their contracted agency must determine, for each family child care provider on the referral list, whether the additional standard for CACFP participation is applicable to the provider, as follows: Applicable the family child care provider provides care, on average, of 30 hours or more per week. Not Applicable the family child care provider provides care, on average, of LESS THAN 30 hours per week; and/or the family child care provider provides care at a site that is located outside; and/or the person *resides* outside of the subsidy-paying Steuben County district.
7. Steuben County Department of Social Services or their contracted agency must make the following notifications:

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- a. Notify the Enrollment Agency, using the OCFS 2114, District Notification to Legally-Exempt Caregiver Enrollment Agency, whether the CACFP participation additional standard is “applicable” or “not applicable” to each family child care provider on the Additional Standard Referral List.
 - b. Notify the applicable CACFP Sponsoring Agency of the name and contact information for each family child care provider who is required to participate in CACFP as determined in the previous step.
8. The CACFP Sponsoring Agency contacts the family child care provider and facilitates the provider’s enrollment in CACFP.
9. Steuben County Department of Social Services obtains the status of the provider’s “participation” in CACFP from the CACFP Sponsoring agency in a manner agreed upon between the two agencies.
10. Upon receiving notification from the CACFP sponsoring agency, as to whether the provider IS or IS NOT actively participating in CACFP, the Steuben County Department of Social Services determines whether the provider is meeting the additional standard as follows:
- a. The Steuben County Department of Social Services will consider the Steuben County additional local enrollment standard of participation in CACFP to be MET when the legally-exempt family child care provider who provides care on the average of 30 hours or more per week;
 - and i. has completed, signed, dated, and submitted the Steuben County Legally Exempt Family Child Care Additional Standard Acknowledgement Agreement form with the OCFS–LDSS-4699, Enrollment Form for Provider of Legally-Exempt Family Child Care or In-Home Child Care to the Enrollment Agency responsible for enrolling the provider;
 - and ii. has enrolled with the CACFP program including signing the CACFP Preapproval checklist (CACFP-106) and the Continuous Application and Agreement for Day Care Homes Participation (CACFP-3705) and has completed the follow-up visit with CACFP, all within the CACFP required time frames;
 - and iii. fully cooperates with all requirements of CACFP, including inspections and/or follow-up visits; and iv. begins claiming CACFP reimbursement no later than the month following the sign-up date and continues to submit monthly claims to CACFP on a timely basis.
 - b. Steuben County Department of Social Services will consider the Steuben County additional local enrollment standard of participation in CACFP to be NOT MET when the legally-exempt family child care provider;

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- i. does not submit a completed Steuben County Legally-Exempt Family Child Care Additional Standard Acknowledgement Agreement form;
- and/or ii. was not initially required to participate in CACFP due to providing child care for less than an average of 30 hours per week and fails to notify the Steuben County Department of Social Services of an increase in hours of care which would require the legally exempt family child care provider to comply with the additional standard;
- and/or iii. changes location of care and fails to notify the Steuben County Department of Social Services, CACFP, and/or the EA of the change.
- iv. refuses to sign up for CACFP; and/or
- v. does not cooperate with any part of the CACFP enrollment process;
- and/or vi. does not remain in compliance with the CACFP regulations;
- and/or vii. fails to cooperate with any CACFP inspection or home visit;
- and/or viii. fails to submit monthly claims to CACFP on a timely basis.

11. Steuben County Department of Social Services informs the Enrollment Agency whether the additional local standard has been met by completing the OCFS-2114, District Notification to Legally-Exempt Caregiver Enrollment Agency and sending it to the Enrollment Agency within 25 days from the date the CCFS E-Notice is issued.

12. Upon receipt of the written determination of the additional local standard from the Steuben County Department of Social Services, the Enrollment Agency enters the results in CCFS.

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

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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.

This will aid in improving the health and nutrition of children cared for by Legally Exempt Providers receiving subsidy payments within our district.

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APPENDIX Q4

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 has coordinated with the local Enrollment Agency on the development of the additional standard, 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 of all consent/release forms.
- 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): Proof of Identity - In order to deter fraud, all legally exempt family and in-home child care providers must provide proof of identity in order to receive payment as a legally exempt child care provider.

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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

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.

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- 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:

- Contracted agency

Provide the name of the agency and contact person: Kellie Lockwood, Child Care Aware® of Steuben and Schuyler, a department of Pro Action of Steuben & Yates, Inc.

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 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.

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 local district that the additional standards check must be conducted. The designated 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 the Legally Exempt Additional Standard(s) Review(s) must be conducted, and other pertinent information.

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The provider must submit an original document to be copied by the district sub-contractor or a copy of one of the following forms of documentation for enrollment agency, Child Care Aware of Steuben and Schuyler, a department of Pro Action of Steuben and Yates, Inc., to verify his/her identity: Current valid photo ID issued by government, employer, school or other official institution/agency including but not limited to:

- Driver’s license/non-driver's identification card
- Passport or visa
- Naturalization or citizenship certificate
- School or Military ID card
- Employment Authorization Card
- Permanent Resident Card
- Government Benefit Card (e.g., Welfare/Medicaid/Food Stamps)

OR at least two of the following non-photo IDs including but not limited to:

- Social Security card
- Birth certificate
- Baptismal certificate
- Government benefit card (e.g., Welfare/Medicaid/Food Stamps)
- Life Insurance Policy

The Steuben County Department of Social Services and/or its contractor will make the determinations as follows:

- Met-The required documentation is submitted
- Not Met-The required documentation is not submitted.

In accordance with 12-OCFS-LCM-01, Steuben 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 the Enrollment Agency of the determination.

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

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- 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.

Steuben County Department of Social Services requests verification of the provider's identity in order to deter fraud.

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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	12	1	13
Base period	12	3	15

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

Sickness or parental excuse

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

The provider must be open. Either of the above reasons qualify, absences do not exceed maximums.

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:

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%.
Non-traditional Hours: All Providers State required minimum of 5%	10%	Enter a percentage (%): 5% to 15%. (<u>Must</u> enter at least <u>5%</u>)
Nationally Accredited Programs: Licensed and Registered Providers	10%	Enter 0% or a percentage (%) from 5% to 15%.

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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. 5%

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 Five (5) hours of sleep time beginning at end of parent's shift work. In two parent households, second parent must be unavailable to provide daycare.

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.

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

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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 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