

Child Care

Appendix K: Child Care Administration

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:** The Temporary Assistance Child Care Unit within SCDSS' Management and Administrative Services Bureau.
- b. Transitioning Families:** The Temporary Assistance Child Care Unit within SCDSS' Management and Administrative Services Bureau.
- c. Income Eligible Families:** The Non-Temporary Assistance Child Care Unit within SCDSS' Management and Administrative Services Bureau.
- d. Title XX:** The Management Systems Unit within SCDSS' Management and Administrative Services Bureau.

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

Item	Amount
a. FFY 2016-2017 Rollover funds: <i>(available from the NYSCCBG ceiling report in the claiming system)</i>	\$0
b. Estimate FFY 2017-2018 Rollover Funds:	\$0
c. Estimate of Flexible Funds for Family Services transferred to the NYSCCBG:	\$392515
d. NYSCCBG Allocation 2018:	\$32816034
e. Estimate of Local Share:	\$1600000
Total Estimated NYSCCBG Amount:	\$34416034
f. Subsidy:	\$30569888
g. Other program costs excluding subsidy:	\$
h. Administrative costs:	\$3846146

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
<input type="checkbox"/> a. Subsidy eligibility screening		\$
<input type="checkbox"/> b. Determining if legally-exempt providers meet OCFS-approved additional local standards <i>(must be noted in Appendix Q with the corresponding additional standard)</i>		\$
<input checked="" type="checkbox"/> c. Assistance in locating care	Child Care Council	\$1033079
<input type="checkbox"/> d. Child care information systems		\$
<input type="checkbox"/> e. Payment processing		\$
<input type="checkbox"/> f. Other <i>Please specify function:</i>		\$

Appendix L: Other Eligible Families if Funds are Available

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="radio"/> Yes <input type="radio"/> No	TA families participating in an approved activity in addition to their required work activity are eligible until their temporary assistance case closes or they are sanctioned for non-compliance.
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:		
a) participating in an approved substance abuse treatment program	<input checked="" type="radio"/> Yes <input type="radio"/> No	Proof of participation is required.
b) homeless	<input checked="" type="radio"/> Yes <input type="radio"/> No	Only if other eligibility requirements are met (i.e., engaged in work, seeking employment, attending educational or vocational activities, and/or participating in counseling services). Client must provide verification of employment, job search, counseling, and/or educational or vocational activities as well as their housing search effort.

c) a victim of domestic violence and participating in an approved activity	<input checked="" type="radio"/> Yes <input type="radio"/> No	
d) in an emergency situation of short duration	<input checked="" type="radio"/> Yes <input type="radio"/> No	Limited to 30 days. May be extended to 45 days at the Department's discretion if verification of need is provided. Limited to families with active child care cases; not available to new applicants.
3. Families with an open child protective services case when child care is needed to protect the child.	<input checked="" type="radio"/> Yes <input type="radio"/> No	Provided only as part of the family's approved case service plan.
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:		
a) is physically or mentally incapacitated	<input checked="" type="radio"/> Yes <input type="radio"/> No	On a case-by-case basis at the Department's discretion.
b) has family duties away from home	<input checked="" type="radio"/> Yes <input type="radio"/> No	Limited to active military duty.
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.	<input type="radio"/> Yes <input checked="" type="radio"/> No	
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.	<input checked="" type="radio"/> Yes <input type="radio"/> No	Parents must comply with all efforts to have sanction lifted.
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:		
a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district	<input checked="" type="radio"/> Yes <input type="radio"/> No	Limited to parents/caretakers up to and including the age of 21. After case opening, must maintain a minimum of 80% attendance and passing grades in all subjects with continuation of funding depending on review of successful completion of the class/semester. Hours related to internet based course work are excluded.

<p>b) an education program that prepares an individual to obtain a NYS High School equivalency diploma</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>Parent/Caretaker must be employed at least 17.5 hours per week earning wages at a level equal to or greater than minimum amount under the law. Program must be completed within a twelve month period. Attendance record must be submitted to Department for review. Hours related to internet based coursework are excluded.</p>
<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>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>Parent/Caretaker must be employed at least 17.5 hours per week earning wages at a level equal to or greater than minimum amount under the law. Hours related to internet based course work are excluded.</p>
<p>d) a program providing literacy training designed to help individuals improve their ability to read and write</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>Parent/Caretaker must be employed at least 17.5 hours per week earning wages at a level equal to or greater than minimum amount under the law. Hours related to internet based course work are excluded.</p>
<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>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>Parent/Caretaker must be employed at least 17.5 hours per week earning wages at a level equal to or greater than minimum amount under the law. Hours related to internet based course work are excluded.</p>
<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>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>Parent/Caretaker must be employed at least 17.5 hours per week earning wages at a level equal to or greater than minimum amount under the law. Hours related to internet based course work are excluded</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="radio"/> Yes <input type="radio"/> No</p>	<p>Parent/Caretaker must be employed at least 17.5 hours per week earning wages at a level equal to or greater than minimum amount under the law. Hours related to internet based course work are excluded.</p>
<p>h) a prevocational skill training program such as a basic education and literacy training program</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>Parent/Caretaker must be employed at least 17.5 hours per week earning wages at a level equal to or greater than minimum amount under the law. Hours related to internet based course work are excluded.</p>
<p>i) a demonstration project designed for vocational training or other project approved by the Department of Labor</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>Parent/Caretaker must be employed at least 17.5 hours per week earning wages at a level equal to or greater than minimum amount under the law. Hours related to internet based course work are excluded.</p>

Note: The caretaker must complete the selected programs listed within 30 consecutive calendar months. The caretaker cannot enroll in more than one program.

8. PA recipients or low-income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a two-year program other than one with a specific vocational sequence (leading to an associate's degree or certificate of completion and that is reasonably expected to lead to an improvement in the 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.

Yes
 No

Hours related to internet based course work are excluded. TA recipient must be in compliance with all DSS employment program requirements.

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.

Yes
 No

Hours related to internet based course work are excluded. TA recipient must be in compliance with all DSS employment program requirements.

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.

Yes
 No

Hours related to internet based course work are excluded. TA recipient must be in compliance with all DSS employment program requirements.

<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="radio"/> Yes <input checked="" type="radio"/> No</p>	
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Appendix M #1: Reasonable Distance, Recertification Period, Family Share, Very Low Income, Federal and Local Priorities

I. Reasonable Distance

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

1. The following defines "reasonable distance":

One hour travel time - one way. Additional travel time may be authorized at the sole discretion of the Department based on verifiable supporting documentation provided by the client (per 16-OCFS-LCM-19).

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

Consultation with employment staff who have years of experience with the issue of travel time.

II. Recertification Period

The district's recertification period for low income child care cases is every:

- 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:

20%

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 them below and rank beginning with Rank 4.

Appendix M #2: Case Openings, Case Closings, and Waiting List

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

- 1. Open cases based on **FIRST COME, FIRST SERVED**.
- 2. Open cases based on **INCOME**.

If opening based on income...

- 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.

If using income bands, list the bands, starting from the one that will be opened first:

- Rank 1: 0%-25%;
- Rank 2: 26%-50%;
- Rank 3: 51%-75%;
- Rank 4: 76%-100%;
- Rank 5: 101%-105%;
- Rank 6: 106%-110%;
- Rank 7: 111%-115%;
- Rank 8: 116%-120%;
- Rank 9: 121%-125%;
- Rank 10: 126%-130%;
- Rank 11: 131%-135%;
- Rank 12: 136%-140%;
- Rank 13: 141%-145%;
- Rank 14: 146%-150%;
- Rank 15: 151%-155%;
- Rank 16: 156%-160%;
- Rank 17: 161%-165%;
- Rank 18: 166%-170%;
- Rank 19: 171%-175%;
- Rank 20: 176%-180%;
- Rank 21: 181%-185%;
- Rank 22: 186%-190%;
- Rank 23: 191%-195%;
- Rank 24: 196%-200%

- 3. Open cases based on **CATEGORY OF FAMILY**.
- 4. Open cases based on **INCOME AND CATEGORY OF FAMILY**.
- 5. Open cases based on **OTHER CRITERIA**.

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).

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

- 1. Close cases based on **AMOUNT OF TIME** receiving child care services.
- 2. Close cases based on **INCOME**.

If closing based on income...

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

If using income bands, list the bands, starting from the one that will be closed first:

- Rank 1: 196%-200%;
- Rank 2: 191%-195%;
- Rank 3: 186%-190%;
- Rank 4: 181%-185%;
- Rank 5: 176%-180%;
- Rank 6: 171%-175%;
- Rank 7: 166%-170%;
- Rank 8: 161%-165%;
- Rank 9: 156%-160%;
- Rank 10: 151%-155%;
- Rank 11: 146%-150%;
- Rank 12: 141%-145%;
- Rank 13: 136%-140%;
- Rank 14: 131%-135%;
- Rank 15: 126%-130%;
- Rank 16: 121%-125%;
- Rank 17: 116%-120%;
- Rank 18: 111%-115%;
- Rank 19: 106%-110%;
- Rank 20: 101%-105%;
- Rank 21: 76%-100%;
- Rank 22: 51%-75%;
- Rank 23: 26%-50%;
- Rank 24: 0%-25%

- 3. Close cases based on **CATEGORY OF FAMILY**.
- 4. Close cases based on **INCOME AND CATEGORY OF FAMILY**.
- 5. Close cases based on **OTHER CRITERIA**.

III. Waiting List

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

No

Yes

Appendix M #3: Fraud and Abuse Control Activities and Inspections

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 case circumstances have proved to be possible indications of fraud and are used as a basis for referral to the Department's Front End Detection System (FEDS): income documentation is questionable (i.e., income is significantly less than what is customary for the occupation, such as house-cleaners who earn \$25 a day, limousine drivers or hairdressers who never get tips, or employees in the same job for years and never receive a raise), self-employment, "off-the-books" employment, case information inconsistent with prior record, household composition is questionable (i.e., absent parent suspected of being in the home), residence questionable, and lack of ability of second parent to provide child care is questionable.

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 district cannot use criteria such as the age of provider, the gender of provider, a post office box address, or evidence that the child lives in the same residence as the provider as indicators in drawing the sample.

Non-Temporary Assistance (NTA) Child Care cases including Transitional Day Care (TDC) Cases are subject to full recertification at 12 month intervals. Full recertification will be performed on 100% of the cases at the 12 month interval. SCDSS requires that 20 child care cases at the mid-point (6 month) mark be reviewed each month for programmatic and financial eligibility. These randomly selected cases are in addition to those cases due for their annual recertification in the given month.

Temporary Assistance (TA) Child Care cases will be recertified at 12 month intervals. Verification of planned enrollment in required activities is required prior to child care service authorization. Verification of attendance in approved activities is required on all TA child care cases prior to payment authorization.

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 Child Care Council of Suffolk's Child and Adult Care Food Program (CACFP) conducts inspections of home-based child care providers who are enrolled in CACFP. During the inspection process, monitors determine if the children in care are receiving child care subsidy. A notation is made on the on-site inspection report indicating which children receive child care subsidy. These reports are made available to Suffolk County Department of Social Services. There are currently 310 child care providers in Suffolk County participating in the CACFP. Each quarter, the Suffolk County Department of Social Services will randomly sample 5% of the provider's attendance sheets and match them against the meal counts reported to the Child Care Council of Suffolk. DSS will not review a provider's meal count more than once per year, unless there have been irregularities in their reporting.

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 to determine if the child care provider is in compliance with applicable laws and regulations and any additional requirements imposed on such a provider by the social services district per 18 NYCRR §415.4(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:

1. Violations by a licensed or registered child care provider must be reported to the applicable Office of Children and Families (OCFS) Regional Office.
2. Violations by an enrolled or enrolling legally-exempt child care provider must be reported to the applicable Enrollment Agency.

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

- No.
- Yes. Provide the details of your inspections plan below.

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

Appendix N: District Options

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

in Appendix T.

I. The district selects:

- 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 a differential rate 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% minimum differential rate 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 minimum differential rate (complete Appendix T).
- 10. The district has chosen to pay a differential rate in excess of the 25% maximum differential rate for child care providers that qualify for multiple differential rates to allow sufficient access to child care providers or services within the district (complete Appendix T).
- 11. 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).
- 12. The district has chosen to pay for child care services while a caretaker who works the second or third shift sleeps (complete Appendix T).
- 13. The district has chosen to make payments to child care providers who provide child care services exceeding 24 consecutive hours (complete Appendix U).
- 14. The district has chosen to include 18-, 19- or 20-year-olds in the Child Care Services Unit (complete Appendix U).
- 15. 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).
- 16. The district has chosen to pay for breaks in activity for low income families (non-public assistance families) (complete Appendix U).

17. 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.**

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

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

Appendix O: Funding Set-Asides

I. Total NYSCCBG Block Grant Amount, Including Local Funds

Category	Amount
	\$
	\$
	\$
	\$
	\$
Total Set-Asides (NYSCCBG):	\$0

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	Amount
	\$
	\$
	\$
Total Set-Asides (Title XX):	\$0

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:

Appendix P: Title XX Child Care

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	Eligibility Limit
Two People	%
Three People	%
Four People	%

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

- Employment
- Seeking employment
- Homelessness
- Education / training
- Illness / incapacity
- 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

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

Appendix Q: Additional Local Standards for Child Care Providers

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

Verification, using the district's local records, that the provider has given the caretaker complete and accurate information regarding any report of child abuse or maltreatment in which he or she is named as an indicated subject

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

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

Provider

Provider's employee

Provider's volunteer

Provider's household member age 18 or older

Legally-exempt in-home child care program

Provider

Provider's employee

Provider's volunteer

Legally-exempt group provider / program not operating under the auspices of another government agency

Provider / director

Provider's employee

Provider's volunteer

Legally-exempt group provider / program operating under the auspices of another government or tribal agency

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:

- Contracted agency (must correspond to Appendix K, Question 3b)
Provide the name of the agency and contact person:

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

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 NYS OCFS policy, the Child Care Facility System will automatically generate the referral for the applicable child care program types and individual roles, specified in question # 2 above, to the local district. The local district must run the Legally-Exempt Additional Standards Referral List in CCFS to obtain the list of enrolling/enrolling/re-enrolling legally-exempt family child care providers and legally-exempt in-home child care providers for whom a determination is required.

The roles of the persons that are checked in question #2 above must submit an original document to be copied by the local district or a copy of one of the following forms of documentation for the district 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 ID's, including but not limited to:

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

Upon the parent choosing a legally exempt provider, the District will mail a legally exempt application packet to the parent. New providers will be advised of the additional standard at the time of their application to become a legally-exempt provider. The requirement for submission of proof of identity

to the local district at the time of application will be indicated in the application materials along with a list of acceptable forms of documentation to verify the provider's identity. The prospective provider will be advised that submission of proof of identity is required. The District will require the provider to return the proof of identity directly to the District.

The enrollment packet will be submitted to the enrollment agency

The District will advise the enrollment agency when proof of identity is received. For legally-exempt family child care providers and for legally exempt in-home child care providers, the district will determine whether the additional standard was "Met," "Not Met" or "Not Applicable" and will record the results on the OCFS-2114 District Notification To Legally-Exempt Caregiver Enrollment Agency form. The district will notify the enrollment agency within 25 days from the date of the CCFS E-Notice referral date and maintain a file which documents how the determination was made as to whether the additional local standard was "Met" or "Not Met" or "Not Applicable"

The standard is "Met" when:

The legally-exempt child care providers to whom this additional standard applies as indicated in question #2, have submitted the required documentation listed in question #5 to the district.

The standard is considered to be "Not Met" when:

The legally-exempt child care providers to whom this additional standard applies as indicated in question #2, have failed to submit the required documentation listed in question #5 to the district.

The standard is considered to be "Not Applicable" to:

- Those persons whose role is NOT checked in question #2.

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

1. The Standard will be applied:

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

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

- 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.
- 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.

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

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

Verification, using the district's local records, that the provider has given the caretaker complete and accurate information regarding any report of child abuse or maltreatment in which he or she is named as an indicated subject

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 location where child care is provided.

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

Provider

Provider's employee

Provider's volunteer

Provider's household member age 18 or older

Legally-exempt in-home child care program

Provider

Provider's employee

Provider's volunteer

Legally-exempt group provider / program not operating under the auspices of another government agency

Provider / director

Provider's employee

Provider's volunteer

Legally-exempt group provider / program operating under the auspices of another government or tribal agency

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:
Child Care Unit, Carleen Newlands

Contracted agency (must correspond to Appendix K, Question 3b)
Provide the name of the agency and contact person:

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

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 NYS OCFS policy, the Child Care Facility System will automatically generate the referral for the applicable child care program types and individual roles, specified in question # 2 above, to the local district. The local district must run the Legally-Exempt Additional Standards Referral List in CCFS to obtain the list of enrolling/enrolled legally-exempt family child care providers for whom a determination is required.

The legally-exempt family child care provider must submit an original or copy of documentation to the local district, to verify the location of the child care site, as follows:

When the legally-exempt family child care provider resides at the child care site, acceptable documents include, but are not limited to:

- Statement from landlord on his/her official stationery*
 - Lease or deed with the provider's name
 - Rent statement/receipt with preprinted address*
 - Mortgage records (the provider may [for privacy reasons] cross out any specific financial information on the document)
 - Tax records for residence (the provider may [for privacy reasons] cross out any specific financial information on the document)
 - A utility bill with the provider's address (the provider may [for privacy reasons] cross out any specific financial information on the document)*
 - A bank statement with the provider's address (the provider may [for privacy reasons] cross out any specific financial information on the document)*
 - Provider's school records indicating address*
 - Homeowner's insurance policy or bill*
 - Automobile insurance policy or bill*
 - Automobile registration*
 - Suffolk County DSS' Verification of Residence form*
- *Documents cannot be more than 60 days old

OR

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

- a notarized letter from the owner or tenant of the residence, where care is taking place, approving use of the residence for such care, AND
- documentation to verify that the property owner or tenant, submitting the letter, does reside at the child care site. Acceptable documents include, but are not limited to:
 - Statement from landlord on his/her official stationery*
 - Lease or deed with the provider's name
 - Rent statement/receipt with preprinted address*
 - Mortgage records (the provider may [for privacy reasons] cross out any specific financial information on the document)
 - A utility bill with the provider's address (the provider may [for privacy reasons] cross out any specific financial information on the document)*
 - A bank statement with the provider's address (the provider may [for privacy reasons] cross out any specific financial information on the document)*

- Provider's school records indicating address*
- Homeowner's insurance policy or bill*
- Automobile insurance policy or bill*
- Automobile registration*
- Suffolk County DSS' Verification of Residence form*

*Documents cannot be more than 60 days old

Upon the parent choosing a legally exempt provider, the District will mail a legally exempt application packet to the parent. New providers will be advised of the additional standard at the time of their application to become a legally-exempt provider. The requirement for submission of proof of the location where the child care is being provided to the local district at the time of application will be indicated in the application materials along with a list of acceptable forms of documentation to verify the location where the child care is being provided. The prospective provider will be advised that submission of proof of the location where the child care is being provided is required. The District will require the provider to return the proof of location where child care is provided directly to the District. The enrollment packet will be submitted to the enrollment agency (The Child Care Council of Suffolk). The District will advise the enrollment agency when proof of location where child care is provided is received.

For legally-exempt family child care providers, the district will determine whether the additional standard was "Met," "Not Met" or "Not Applicable" and will record the results on the OCFS-2114 District Notification To Legally-Exempt Caregiver Enrollment Agency form. The district will notify the enrollment agency within 25 days of the CCFS E-Notice Referral date from the enrollment agency and maintain a file which documents how the determination was made as to whether the additional local standard was "Met" or "Not Met" or "Not Applicable."

The standard is "Met" when:

The legally-exempt child care providers to whom this additional standard applies as indicated in question #2, have submitted the required documentation listed in question #5 to the district.

The standard is considered to be "Not Met" when:

The legally-exempt child care providers to whom this additional standard applies as indicated in question #2, have failed to submit the required documentation listed in question #5 to the district.

The standard is considered to be "Not Applicable" to:

- Those persons whose role is NOT checked in question #2.

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

1. The Standard will be applied:

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

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

- 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.
- 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.

Suffolk County Local Department of Social Services requests proof of the location where child care is being provided to verify the location where child care is being provided and to deter fraud.

Appendix R: Payment to Child Care Providers for Absences

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

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

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:

- 3 months
- 6 months

4. Number of absences allowed per child during base period:

Period	Routine Limits (# of days)	Extenuating Circumstances (# of days)	Total Number of Absences Allowed (# of days)
In a Month	7	0	7
Base Period	7	0	7

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

All of those defined in 18 NYCRR Section 415.6.

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

Absence notes are required.

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

Appendix S: Payment to Child Care Providers for Program Closures

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

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

2. 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.

Appendix T: Transportation, Differential Payment Rates, Enhanced Market Rate for Legally-Exempt Family and In-Home Providers, and Sleep

1. Are there circumstances where the district will reimburse for transportation?

- No
- Yes

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

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	Differential Payment Rate Percent	Instructions
Homelessness: Licensed and Registered Providers State required minimum of 5%	5%	Enter a percentage (%): 5% to 15%. (Must enter at least 5%)
Homelessness: Legally-Exempt Providers	0%	Enter 0% or a percentage (%) up to 15%.
Non-traditional Hours: All Providers State required minimum of 5%	5%	Enter a percentage (%): 5% to 15%. (Must enter at least 5%)
Nationally Accredited Programs: Licensed and Registered Providers <i>Legally-exempt child care providers are not eligible for a differential payment rate for accreditation.</i>	0%	Enter 0% or a percentage (%) from 5% to 15%.

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

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

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

%

IV. Sleep

1. Does the district choose to pay for child care services while a caretaker that works a second or third shift sleeps?

No

Yes

2. 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:

Child care services are authorized for parents and caretakers who work a third shift. Care will be limited to part-day and is evaluated based on the age and school attendance of the child.

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

5

Appendix U: Child Care Exceeding 24 Hours, Child Care Services Unit, Waivers, and Breaks in Activities

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.

Authorization is solely at the Department's discretion.

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.

An 18, 19 or 20 year old will be included if their parents are supporting them. Self-supporting 18, 19 or 20 year olds will be excluded.

III. Waivers

1. Districts have the authority to request a waiver of any regulatory provision that is non-statutory. The waiver must be approved by OCFs before it can be implemented. Describe and justify why your district is requesting a waiver.

For EHS-CC Partnership Program participating families only and for the specific child(ren) in this program:

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. This waiver would NOT apply to households that move out of Suffolk County.

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 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. This waiver would NOT apply to households that move out of Suffolk County.

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. This waiver would NOT apply to households that move out of Suffolk County. The household MUST

immediately inform Suffolk County Department of Social Services when it moves out of Suffolk County.

The purpose of the above waivers is to encourage participation in the new Early Head Start Child Care Partnerships by allowing flexibility in areas that will promote continuity of service to children.

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

Entering an activity

Waiting for employment

On a break between activities