APPENDIX G-1 CHILD CARE SECTION 2011 APU

County: Yates

I. 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:

Public Assistance Families: Temporary Assistance

Transitioning Families: Temporary Assistance

Income Eligible Families: Temporary Assistance

Title XX: Children's Services

2. FFY 06-07 Rollover Funds (this amount is available from the NYSCCBG

ceiling report in the claiming system)	(\$58,870)
Estimate of FFY 07-08 Rollover Funds	\$60,424
Estimate of Flexible Funds for Families (FFFS) for child care subsides	\$0
NYSCCBG Allocation for SFY 08-09	\$621,839
Estimate of Local Share	\$0

Total Estimated NYSCCBG Amount: \$682,263

A. Subsidy	\$615,651
B. Other program costs (excluding subsidy)	\$0
C. Administrative costs	\$66,612-

3.	. Does your district have a contract or formal agreement with another organization to perform any o the following functions?		
	Function:	Organization:	Amount of Contract:
	☐ Eligibility screening		
	Assistance in locating care		
	Child Care Information Systems		
	Determining if legally- exempt providers meet State approved additional local standards (if applicable)		
	Other		

APPENDIX G-2

II. Other Eligible Families if Funds are Available (Required Section)

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

Optional Categories	Option	Limitations
1Public Assistance (PA) families participating in an approved activity in addition to their required work activity.	⊠ Yes □ No	Must be included in employment plan developed by Workforce Development and Temporary Assistance
2. PA families or families with income up to 200% of the State Income Standard when the caretaker is:		
a) participating in an approved substance abuse treatment program	∑ Yes □ No	Must have medical documentation and statement of availability of no other provider
b) homeless	Yes No	
c) a victim of domestic violence	∑ Yes □ No	Limit to one month for purpose of receiving housing, legal matters and employment
d) in an emergency situation of short duration	⊠ Yes □ No	Limited to case by case approval by DSS admin and limited to one month: include but not limited to: medical emergencies that took caretaker parent out of work, personal or local disaster that disrupted ability to work, etc.
3. Families with an open child protective services case when child care is needed to protect the child.	Yes No	This will be provided by Protective Day Care and Children's Services+
4. Families with income up to 200% of the State Income Standard when child care services are needed because the child's caretaker:		
a) is physically or mentally incapacitated	☐ Yes ⊠ No	Provided by Preventive Services In Children's Services
b) has family duties away from home	☐ Yes ⋈ No	

5.	Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to actively seek employment for a period up to 6 months.	⊠ Yes □ No	Limited to two months and 20 hrs. per week
6.	PA families where a sanctioned parent is participating in unsubsidized employment, earning wages at a level equal to or greater than the minimum amount under law.	⊠ Yes □ No	
7.	Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in:		
	a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district	∑ Yes ☐ No	
	b) an education program that prepares an individual to obtain a NYS High School equivalency diploma	Yes No	
	c) a program providing basic remedial education in the areas of reading, writing, mathematics, and oral communications for individuals functioning below the ninth month of the eighth grade level	☐ Yes ⊠ No	
	d) a program providing literacy training designed to help individuals improve their ability to read and write;	⊠ Yes □ No	
	e) English as a second language (ESL) instructional program designed to develop skills in listening, speaking, reading and writing the English language for individuals whose primary language is other than English	⊠ Yes □ No	

f) a two year full-time degree granting program at a community college, a two year college, or an undergraduate college with a specific vocational goal leading to an associate degree or certificate of completion	☐ Yes ⊠ No	
g) a training program, which has a specific occupational goal and is conducted by an institution licensed or approved by the State Education Department other than a college or university	⊠ Yes □ No	Training program must be completed in 12 months
 h) a prevocational skill training program such as, a basic education and literacy training program 	☐ Yes ☑ No	
 i) a demonstration project designed for vocational training or other project approved by the Department of Labor. The parent/caretaker must complete the selected programs listed under number seven within 30 consecutive calendar months. The parent/caretaker cannot enroll in more than one program. 	☐ Yes ⊠ No	
8. PA recipients and 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 associates degree or certificate of completion and that is reasonably expected to lead to an improvement in the parent/caretaker's earning capacity) as long as the parent(s) or caretaker is also working at least 17 ½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.	☐ Yes ⊠ No	

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	9. PA recipients and low income families	Yes	
	with incomes up to 200% of the State	🔀 No	
	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 associates degree or a certificate		
	of completion that is reasonably		
	expected to lead to an improvement in		
	the parent/caretaker's earning capacity		
	as long as the parent(s) or caretaker is		
	also working at least 17 ½ hours per		
	week. The parent/caretaker must		
	demonstrate his or her ability to		
	successfully complete the course of		
	study.		
	10. PA recipients and low income families	Yes	
	with incomes up to 200% of the State	⊠ No	
	Income Standard who are satisfactorily		
	participating in a four-year college or		
	university program (leading to a		
	bachelor degree and that is reasonably		
	expected to lead to an improvement in		
	the parent/caretaker's earning capacity)		
	as long as the parent(s) or caretaker is		
	also working at least 17 ½ hours per		
	week. The parent/caretaker must		
	demonstrate his or her ability to		
	successfully complete the course of		
	study.		
	11. Families with income up to 200% of the	Yes	
	State Income Standard when child care	No No	
	services are needed for the child's		
	caretaker to participate in a program to		
	train workers in a employment field that		
	currently is or is likely to be in demand		
	in the near future, if the caretaker		
	documents that he or she is a dislocated		
	worker and is currently registered in		
	such a program, provided that child care		
	services are only used for the potion of		
	the day the caretaker is able to		
	document is directly related to the		
	caretaker engaging in such a program		

APPENDIX G-3

III. Reasonable Distance, Very Low Income, Family Share, Case Closings and Openings, and Fraud and Abuse Control Activities (Required Section)

Reasonable Distance

Your district is required to define reasonable distance based on community standards for determining accessible child care.

The following defines "reasonable distance": 1 mile walking or 20 minutes driving

Describe any steps/consultations made to arrive at your definition: There was an informal meeting on 1/16/04 with Commissioner of Social Services, Income Maintenance Director, Accounting Supervisor and Deputy Commissioner. This decision was agreed upon after considering the rural neighborhood of Yates County and the lack of public transportation.

Very Low Income

Very Low Income is defined by each district and is used in determining priorities for child care benefits.

Very Low Income is defined as **150**% of the State Income Standard.

Family Share

Family share is the weekly amount paid towards the costs of the child care services by the child's parent or caretaker. In establishing family share, your district must select a percentage from 10% to 35% to use in calculating the family share. The family share of child care 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 our district 35%.

Note: Make sure the % selected here matches the % selected in Appendix F.

Case Closings (select one or two)

1. The district must describe below how priority is given to federally mandated priorities and describe local priorities. If all NYSCCBG funds are committed, the district will discontinue funding to those families that have lower priorities in order to serve families with higher priorities. Described below is how the district will select cases to be closed in the event that there are insufficient or no funds available.

Yates County will close optional cases first. Next, families with income levels at 200-175% of State Standard, and then families at 150%-100% of State Standard will be closed. Families with children with special needs will be closed last.

2. The district has not established priorities beyond the federally-mandated priorities.	If all NYSCCBG
funds are committed, case closings for families which are not eligible under a child care	guarantee and are
not a federally-mandated priority must be based on the length of time in receipt of serv	vices. The length
of time used to close cases may be based either on the shortest or longest time rec	ceiving child care
services but must be consistent for all families. The district has chosen to close cases ba	sed on:

Ш	shortest time receiving child care services
	longest time receiving child care services

Case Openings

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

Families will be put on a waiting list and will be opened on a fist come first served basis within each category, starting with the families with children who have special needs first, followed by lowest income category (100%-150% of State Standard), then 150%-175%, then 175%-200%. The Day Care budget will be reviewed continuously to encouraged families to re-enroll as funds become available. The Distrait will maintain a list of those families and as identified funds become available will contract families to encourage the re-apply.

Fraud and Abuse Control Activities

The district must identify below the criteria it will use to determine which child care subsidy applications suggest a higher than acceptable risk for fraudulent or erroneous child care subsidy payment and procedures for referring such applications to the district's front end detection system.

Yates will incorporate the following criteria as the basis for Front End Detection referrals:

- P.O. Box used as a mailing address w/o cause
- Documentation to verify identity is suspect
- Documentation or info ration provided is inconsistent with application
- Previous case closing or overpayment resulting form a investigation
- Application inconsistent with prior case
- No absent parent information or information inconsistent with application

The FEDS referral process is initiated by the day care eligibility worker who believes that any of the above criteria are under suspicion, and makes a written referral to the FEDS/fraud Coordinator (unit supervisor) who in turn logs the referral and gives it to the Investigator (County Sheriff Inv.).

The district must describe below it sampling methodology used to determine which cases it will seek verification of an applicant or recipient's continued need for child care including, as applicable, verification of participation in employment, education or other required activities.

The District authorizes child care cases for a 6 month period. As each case comes up for renewal, the case will automatically go through our eligibility re-determination process, including documentation and verification. Any issues that are in question will be reviewed for possible frauds referral activities.

The district must describe below it sampling methodology used to determine which child care providers of subsidized child care services they will review for the purpose of comparing the child care providers attendance forms for children receiving subsidized child care services and 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.

Each of the joint child care/food program providers will be sampled once every six months to compare time sheets between the Child Care Subsidy programs and the Food Program inspection time sheets to determine whether there are time reporting inconsistencies. A minimum of 19 providers' records will be reviewed.

APPENDIX G-4

IV. District Options (Required Section)

Districts have certain flexibility to administer the child care subsidy program to meet local needs. Check which options that your district wishes to include in its county plan. Complete attachments for any area(s) checked.

1.	Our district has identified local priorities in addition to the federal priorities (complete Appendix G-5).
2.	Our district has chosen to establish funding set-asides for NYSCCBG (complete Appendix G-6).
3. 🖂	Our district is using Title XX funds for the provision of child care services (complete Appendix G-7).
4.	Our district has chosen to establish additional local standards for child care providers (complete Appendix G-8).
5. 🖂	Our district has chosen to make payments to child care providers for absences (complete Appendix G-9).
6.	Our district has chosen to make payments to child care providers for program closures (complete Appendix G-10).
7.	Our district has chosen to pay for transportation to and from a child care provider (complete Appendix G-11).
8.	Our district has chosen to pay up to a 15% higher than the applicable market rates for regulated child care services that have been accredited by a nationally recognized child care organization (complete Appendix G-11).
9.	Our district has chosen to pay up to 15% higher than the applicable market rates for non-traditional hours (complete Appendix G-11).
10.	Our 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 and the training has been verified by the legally-exempt care giver enrollment agency (complete Appendix G-11).
11. 🖂	Our district has chosen to pay for child care services while a caretaker who works the second or third shift sleeps (complete Appendix G-11).
12. 🗌	Our district has chosen to make payments to child care providers who provide child care services, which exceed 24 consecutive hours (complete Appendix G-12).

APPENDIX G-4 (continued)

13.	Our district has chosen to include 18, 19 or 20 year olds in the Child Care Services Unit (complete Appendix G-12).
14. 🗌	Our district is seeking a waiver from one or more regulatory provisions. Such waivers are limited to those regulatory standards that are not specifically included in law (complete Appendix G- 12).
15. 🖂	Our district has chosen to pay for breaks in activity for low income families (non public assistance families, complete Appendix G-12).
16. 🔀	Our district has chosen to use local equivalent forms such as, but not limited to, child care application, client notification and/or legally exempt enrollment forms (attach copies of the local equivalent forms your district uses).

APPENDIX G-5 PRIORITY POPULATIONS-ADDITIONAL LOCAL PRIORITIES

The federal priorities of very low income families and families with children who have special needs must be ranked either one or two. Additional local priorities that have been selected must have a lower rank than the federal priorities:

Category:	Families with very low income	Rank:	(select rai	ik one or two)
Descriptio	n:			
Category:	Families with children who have spe	ecial needs	Rank:	(select rank one or two)
Descriptio	n:			
Category:		Rank:		
Descriptio	n:			
Category:		Rank:		
Descriptio	n:			
Category:		Rank:		
Descriptio	n:			

APPENDIX G-6 FUNDING SET-ASIDES

Total NYSCCBG Block Grant Amount Including Local Funds

	\$	
Category:	\$	
Total set asides	\$	
Describe for each category the rationale behind specific set-	aside amounts out of the NYSCCBG (e.	,
estimated number of children, etc.).	`	ځ.
estimated number of children, etc.). Category:		ځ.
estimated number of children, etc.).		. }
estimated number of children, etc.). Category:		. 2
estimated number of children, etc.). Category: Category:		. 2

APPENDIX G-6 (continued)

The following amounts are set aside for specific prior	rities out of the Title XX block grant:	
Category:	\$	
Category:	\$	
Category:	\$	
Total set asides (Title XX)	\$	
Describe for each category the rationale behind spec (e.g. estimated number of children, etc.).	ific set aside amounts out of the Title XX bloc	ck grant
Category:		

APPENDIX G-7 TITLE XX CHILD CARE

Projected total Title XX expenditures for plan duration: \$5,500

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 1 or 2, 255% for a family of 3, and 225% for a family of 4 or more. Districts that are utilizing Title XX funds <u>only</u> 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	5%
Programmatic Eligibility for Income Eligible Families. (Check all that apply.)					
Title XX:		employmen	t		education/training
		seeking em	oloyment		illness/incapacity
	\boxtimes	homelessne	SS		domestic violence
	\boxtimes	emergency	situation of sho	ort dura	ntion
		participating	g in an approve	ed subs	tance abuse treatment program
Does your district a		any limitati	ons to the prog	ramma	atic eligibility criteria?
(See Technical Ass If yes, describe elig			ormation on lir	miting	eligibility.)
	NO C	Only manda	ted child prot	tective	itle XX funding? preventive. There is a limit on time for an ne month on DV and 40 days on illness or
If yes, describe wh 1 - Families with I 2 - Families with I	highe	st concern f	for child safety	y issue	
Does your district v	use T	itle XX func	ls for child care	e for op	pen child protective services cases?
Does your district	use T	itle XX func	ls for child care	e for op	pen child preventive services cases?

APPENDIX G-9 PAYMENT TO CHILD CARE PROVIDERS FOR ABSENCES

	C	at are eligible)	ment to	r absences:
		Day Care Center		Legally Exempt Group
		Group Family Day Care		School Age Child Care
		Family Day Care		
		strict will only pay for absence of intent. Yes \sum No	es to pro	oviders with which the district has a contract
Base p	period se	elected (check one) 3 m	onths	
Numb	er of ab	sences allowed during base pe	eriod:	

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

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

Child sick/medical and unable to attend, parent disable, medical or pregnancy

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

Contracted providers – day care centers only

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

APPENDIX G-10 PAYMENT TO CHILD CARE PROVIDERS FOR PROGRAM CLOSURES

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	
Our district will only pay for program closures to of intent. Yes No	o providers with which the district has a contract or letter
Enter the number of days allowed for program clays). 5	losures (maximum allowable program closures is five
List the allowable program closures for which th weather – Center closed due to illness	e district will provide payment. Disasters such as
Note: Legally exempt family child care and in-hreimbursed for program closures.	nome child care providers are not allowed to be

APPENDIX G-11 TRANSPORTATION, DIFFERENTIAL PAYMENT RATES, ENHANCED MARKET RATES FOR LEGALLY EXMEPT, SLEEP

Transportation

Describe below under what circumstances and limitations if any your district will use to reimburse for transportation, what type of transportation will be reimbursed (public vs. private), and how much your

district will pay (per mile or trip). Note if paying for transportation, Appendix F will need to reflect this choice.
<u>Differential Payment Rates</u>
Indicate below the percentage above the market rate your district has chosen.
Accredited Programs may receive a differential payment up to % above market rate.
Care during non-traditional hours may be paid up to % above market rate.
Limitations to the above differentials are as follows:
Payments may not exceed 15% above market rate. However, if your district wishes to establish a payment rate that is in excess of 15% above the applicable market rate must describe below why the 15% maximum is insufficient to provide access within the district to accredited programs and/or care provided during non-traditional hours.
Enhanced Market Rate For Legally-Exempt Family and In-Home Child Care Providers
If a district elects to establish a payment rate that is in excess of the enhanced market rate for legally- exempt family and in-home child care providers who have annually completed 10 or more hours of training and the training has been verified by the legally-exempt care giver enrollment agency. The district must state the percentage above the market rate it proposes to use.
Our district is requesting to increase the legally-exempt enhanced market rate up topercent of the applicable registered family day care market rate. Market rate may not exceed 75 percent (75%) of the child care market rates established for registered family day care.
A district that selects the option to increase the legally-exempt enhanced market rate must select one of the options listed below for implementation of the legally-exempt enhanced market rate:
for all legally-exempt family and in-home child care providers that have been approved by the applicable

for those legally-exempt family and in-home child care providers who were receiving the enhanced rate on the date of the regulations, but only for the remainder of their current one-year enrollment period; or
for those legally-exempt family and in-home child care providers who were receiving the enhanced rate on the date of the regulations, for the remainder of the time they remain enrolled and continue to meet the ten-hour annual training requirement.

Sleep

The following describes the standards that will be used in evaluating whether or not to pay for child care services while a parent or caretaker that works a second or third shift sleeps and any limitations pertaining to payment:

A single parent or both parents at work

Indicate the number of hours allowed by your district (maximum number of hours allowed is eight). **8** hours

APPENDIX G-12 CHILD CARE EXCEEDING 24 HOURS, CHILD CARE SERVICES UNIT, WAIVERS, BREAKS IN ACTIVITIES

Child Care Exceeding 24 Hours

Child care services may exceed 24 consecutive hours when such services are provided on a short-term emergency basis or in other cases where the caretaker's approved activity necessitates care for 24 hours on a limited basis.

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

Child Care Services Unit

The Child Care Service Unit is the basis upon which a district will determine which household and/or family members should be counted in determining family size and countable family income.

Our district will include the following in the Child Care Services Unit (check which ones apply).
☐ 18 year old ☐ 19 year old ☐ 20 year old
-OR-
Our district will include only the following in the Child Care Services Unit when it will benefit the family (check which ones apply).
☐ 18 year old ☐ 19 year old ☐ 20 year old
Describe the criteria your district will use to determine whether or not an 18, 19 or 20 year old is included

in the Child Care Services Unit.

Waivers

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.

Breaks in Activities

Districts may pay for child care services for low income families during breaks in activities for a period not to exceed two weeks or for a period not to exceed one month where child care arrangements would otherwise be lost and the subsequent activity is expected to begin within that period (check one).
□ two weeks
Districts may provide child care services while the caretaker is waiting to enter an approved activity of employment or on a break between approved activities. The following low income families are eligible for child care services during a break in activities (check any that are eligible):
entering an activity waiting to begin employment break between activities

APPENDIX H 2011 ANNUAL PLAN UPDATE CHECKLIST

ADMINISTRATIVE COMPONENT – LOCAL DEPARTMENT OF SOCIAL SERVICES

Yates County

All Local Department of Social Services are required to complete this checklist. For each item below, please indicate by marking "YES" or "NO" whether there are any changes to report. For each item that is answered "Yes" or where a "NO" response is not an option, a written response is required clearly indicating what has changed and reason for the change. Reponses should be attached on separate page and added at the end of this appendix.

<u>YES</u>	<u>NO</u>	
		I. Financing Process
	\bowtie	a. General Information
\square		b. Purchase of Services
	\boxtimes	c. Performance or Outcome Based Provisions
		II. Monitoring Procedures
		III. Appendices
\boxtimes		a. Appendix A – Legal Assurances
		b. Appendix B – Summary of Memorandum of Understanding with the District Attorney's Office for Child Protective Services (Check "No" if the memorandum is current, designates suitable locations for abandoned infants and there are no changes since the last CFSP or APU.)
	\square	c. Appendix C – Estimate of Persons to be Served
Ħ	Ħ	d. Appendix D – Non-Residential Services to Victims of Domestic Violence
Ħ	Ħ	e. Appendix E – Chafee Foster Care Independence Program Use of Allocations
Ħ		f. Appendix F – Department of Social Services – Program Information Matrix
		g. Appendix G – Child Care
	\boxtimes	1. Appendix G-1 – Administration
	\boxtimes	2. Appendix G-2 – Other Eligible Families if Funds are Available
\boxtimes		3. Appendix G-3 – Reasonable Distance, Very Low Income, Family Share, Case
		Closings and Case Openings, and Fraud and Abuse Control Activities
	\boxtimes	4. Appendix G-4 – Districts Options
		5. Appendix G-5 – Priority Populations
	\boxtimes	6. Appendix G-6 – Funding Set-Asides
\boxtimes		7. Appendix G-7 – Title XX Child Care
		8. Appendix G-8 – Additional Local Standards for Child Care Providers
\boxtimes		9. Appendix G-9 – Payment to Child Care Providers for Absences
	\boxtimes	10. Appendix G-10 – Payment for Child Care Providers for Program Closures
\boxtimes		11. Appendix G-11 – Transportation, Differential Payment Rates, and Sleep
	\bowtie	12. Appendix G-12 – Child Care Exceeding 24 Hours, Child Care Service Unit,
		Waivers, Break in Activities