

**APPENDIX G-1 Child Care Section
DATED 2007-2009**

County: Dutchess

I. Administration (Required Section)

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: **Dutchess County Department of Social Services Day Care Unit**

Transitioning Families: **Dutchess County Department of Social Services Day Care Unit**

Income Eligible Families: **Dutchess County Department of Social Services Day Care Unit**

Title XX: **Dutchess County Department of Social Services Day Care Unit**

2. Indicate the use of New York State Child Care Block Grant (NYSCCBG) Funds.

Total NYSCCBG Amount:	\$5,117,107 (4/1/05-3/31/06)
A. Subsidy	\$2,694,944(Claimed 10/1/05-5/31/06)
B. Other program costs (excluding subsidy)	\$ 55,898 “
C. Administrative costs	\$ 557,706 “

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

<u>Function:</u>	<u>Organization:</u>	<u>Amount of Contract:</u>
<input type="checkbox"/> Eligibility screening		
<input type="checkbox"/> Screening of legally-exempt providers		
<input checked="" type="checkbox"/> Assistance in locating care	Child Care Council of Dutchess	\$14,636
<input checked="" type="checkbox"/> Child Care Information Systems	Kindertrack	\$81,338
<input checked="" type="checkbox"/> Other – Registration, training, fingerprinting	Child Care Council of Dutchess	\$251,225

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 ICP/CSP. Select any categories your district wants to serve 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	
2. PA families or families with income up to 200% of the State Income Standard (SIS) when the caretaker is: a) participating in an approved substance abuse treatment program b) homeless c) a victim of domestic violence d) in an emergency situation of short duration	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	a) Public Assistance recipients only b) c) When attending the Latina worker's evening DV support group sessions d)
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	
4. Families with income up to 200% of the SIS when child care services are needed because the child's caretaker: a) is physically or mentally incapacitated b) has family duties away from home	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	a) Two parent households in which one parent is employed and the other parent is incapacitated and unable to provide care b)

<p>5. Families with income up to 200% of the SIS when child care services are needed for the child's caretaker to actively seek employment for a period up to 6 months.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>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.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>If working towards lifting the sanction</p>
<p>7. Families with income up to 200% of the SIS when child care services are needed for the child's caretaker to participate in:</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>As approved by the Work Force Investment Board or the Department's Employment Unit</p>
<p>a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>b) an education program that prepares an individual to obtain a NYS High School equivalency diploma</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</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 type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>d) a program providing literacy training designed to help individuals improve their ability to read and write;</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>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</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</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 degree or certificate of completion</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>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</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>h) a prevocational skill training program such as, a basic education and literacy training program</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	

<p>i) a demonstration project designed for vocational training or other project approved by the Department of Labor.</p> <p>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.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>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.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>9. PA recipients and families with incomes up to 200% of the SIS who are satisfactorily participating in a four-year college or university program (leading to a bachelor degree 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.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	

APPENDIX G-3

III. Reasonable Distance, Very Low Income, Definition of Engaged In Work For Child Care In Lieu of Temporary Assistance, 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":

For the purpose of determining whether child care is accessible to a TANF recipient who is a caretaker relative of a child under the age of 13 Dutchess County defines a reasonable distance as **one-way travel time up to one and one half hours from home to a work activity with a stop at a child care provider.**

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

The Department determined that a distance of two miles from a bus route was appropriate.

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 **100%** of the State Income Standard.

Definition of Engaged In Work For Child Care In Lieu of Temporary Assistance

The minimum number of hours for Federal Fiscal Year 2006 are:

- 20 hours for a single parent with a child under the age of six years old
- 30 hours for a single parent whose children are six years of age and older
- in two parent families the parents must be working a combined total of 55 hours with at least one parent working 30 or more hours.

If a district proposes a higher minimum number of required hours of work describe the requirement below.

- hours for a single parent with a child under the age of six years old
- hours for a single parent whose children are six years of age and older
- in two parent families the parents must be working a combined total of 55hours with at least one parent working or more hours.

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 percent to 35 percent 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 gross income that is in excess of the State Income Standard divided by 52.

Family Share Percentage selected by our district **30%**.

Case Closings (select one)

Our district has established local priorities beyond the federally-mandated priorities. If all NYSCCBG funds are committed, our district will discontinue funding to those families that have lower priorities in order to serve families with higher priorities. Described below is how our district will select cases to be closed in the event that there are insufficient or no funds available.

Our 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 services. The length of time used to close cases may be based either on the shortest or longest time receiving child care services but must be consistent for all families. Our district has chosen to close cases based on

- shortest time receiving child care services
 longest time receiving child care services

Case Openings

Described below is how our district will select cases to be opened in the event that there are insufficient funds available.

In the event that there are limited funds available the County will continue to accept applications for day care. If no funds are available, the County will deny each application.

As funds become available, the County will open cases in the following order:

- 1. Employed individuals who have a child with special needs**
- 2. Employed individuals with incomes at or below 100% of the State Income Standard (SIS)**
- 3. Employed individuals with incomes at or below 175% of the SIS**
- 4. Employed individuals with incomes at or below 200% of the SIS**
- 5. Families in receipt of public assistance with income up to 200% of SIS when caretaker is participating in an approved substance abuse program**
- 6. Families in receipt of public assistance with income up to 200% of SIS when caretaker is participating in an approved educational or vocational activity approved by the DC WIB.**
- 7. Families in receipt of public assistance when the caretaker is a victim of domestic violence and attending the Latina worker's domestic violence support group,**
- 8. Families in receipt of public assistance when the sanctioned parent is participating in unsubsidized employment earning wages at a level**

- equal to or greater than the minimum wage if working toward lifting a sanction,**
- 9. Families in receipt of public assistance when the caretaker is participating in an approved substance abuse treatment program or in substance abuse screening or assessment**

All families with an open Child Protective Services case in need of care to protect a child will be opened whether or not we have child care block grant funds.

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.

DUTCHESS COUNTY FRONT END DETECTION SYSTEM PLAN FOR OPERATIONS FOR NYSCCBG CHILD CARE CASES

Prepared by:

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FEDS Contact Person:

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1. The following criteria will prompt a Child Care FEDS Referral:

- Working off the books
- Self-employed without adequate business records
- P. O. Box used as a mailing address without cause
- Client unsure of own address
- Documentation to verify identity is suspect
- Documentation or information provided is inconsistent with application
- Previous case closing or overpayment resulting from an investigation
- Application inconsistent with prior case
- Children under six with no birth certificate
- Provider lives in same household as parent
- No absent parent information or information inconsistent with application

2. Childcare Unit Process and Procedure:

The FEDs referral will be reviewed for each Childcare eligibility interview. When one or more of the circumstances listed above occurs, the referral form and the appointment notice are completed by the Childcare worker. The referral is given to the Childcare supervisor with the case record. The supervisor reviews the referral and, if appropriate, sends the FEDS referral to the Special Investigations Unit (SIU) within 24 hours of the date of application.

3. Special Investigations Unit Process and Procedure:

The FEDS referral will be logged in and assigned immediately. The investigation will begin within forty-eight (48) hours. The investigation will include collateral contacts and home visits when necessary, computer checks and further interviews with the applicant. A written report will be provided to the Childcare worker within five (5) days of the completion of the investigation. If an investigation cannot be completed within five (5) days, an oral report will be given to the

Childcare worker within forty-eight (48) hours and a written report as soon as the investigation can be completed. All investigations will be completed in a manner that will allow the processing of applications within thirty (30) days.

a) Investigative unit processing, includes logging, tracking and brief description of investigative unit processes (i.e., home visit, collateral contact, age, etc.). Also includes the targeted timeframes for reporting investigative results back to eligibility worker for final determination.

4. Procedure for Reporting Final Disposition:

The lower section of the Investigation Unit's report has a section for the case disposition. The childcare worker will complete this section when processing the case. The original of the form will be sent to SIU for report purposes. The copy will be filed in the case record.

5. Methodology for completing the monthly FEDS report:

The SIU Supervisor has a program in place on his computer to summarize the monthly FEDS activity. The SIU Supervisor will prepare the monthly report of FEDS complaints and investigations and forward the report to O.C.F.S. via e-mail by the 10th of the following month.

The FEDS program has been operational for Family Assistance, Safety Net and Medicaid since 1/93. SIU currently has five (5) Investigators involved with both FEDS and fraud referrals.

Dated: 4/4/07

The district must describe below its 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.

For all low income and transitional child care cases, a recertification application is completed yearly (copy attached). An Employment Questionnaire (copy attached) is also completed yearly. This results in a contact every six months. Verification of income is required at each contact. A new enrollment form is only required at recertification.

For child care for TA individuals in training, participating in WEP, attending approved drug/alcohol treatment, or employed, a new enrollment form is required yearly. All informal providers must submit forms to the child care supervisor who reviews them and forwards them to the child care council for approval. Payment is made only if provider is approved and

verification of attendance/participation is received. Payment is made for actual hours of participation plus reasonable travel time.

The district must describe below its 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.

Dutchess currently has approximately 47 providers who are not day care centers in the Child Adult Care Food Program. The Child Care Council of Dutchess (CCCD) forwards the attendance forms from each inspection to the Department where annually 40 of the 47 providers are selected for a point in time review. The Supervisor of the Day Care Unit contacts the CCCD member who is in charge of the site visits on a monthly basis and requests a list of 3-4 providers that had site visits done that month along with the names of the children present at the time of the visit. He will then compare the information to the attendance forms for that provider to verify that DSS was billed correctly. Any discrepancies will be referred to the Special Investigations Unit for further action.

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 your ICP/CSP. 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 for low-income eligible families (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 for child care services while a caretaker who works the second or third shift sleeps (complete Appendix G-11).
11. 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).*
12. Our district has chosen to include 18, 19 or 20 year olds in the Child Care Services Unit (complete Appendix G-12).*

APPENDIX G-4 (continued)

13. 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).*
14. Our district has chosen to pay for breaks in activity for low-income families (non public assistance families, complete Appendix G-12).
15. 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).

Any previous approvals for local equivalent forms will not be carried forward into this ICP/CSP. 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.

APPENDIX G-5 Priority Populations
ADDITIONAL LOCAL PRIORITIES

In addition to the federal priorities of very low income families and families with children who have special needs, the following additional local priorities have been selected:

Category: 3 Rank:

Description: Public Assistance recipients participating in an approved substance abuse program or screening or an assessment of need for a substance abuse program

Category: Rank:

Description:

Category: Rank:

Description:

Category: Rank:

Description:

Category: Rank:

Description:

APPENDIX G-6

Funding Set- Asides

**Total NYSCCBG Block Grant Amount Including Local
Funds**

Category:	\$
Category:	\$
Category:	\$
Category:	\$
Category:	\$
Category:	\$
Category:	\$
Total set asides	\$

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

Category:

Category:

Category:

Category:

Category:

APPENDIX G-6 (continued)

The following amounts are set aside for specific priorities out of the Title XX block grant:

Category:	\$
Category:	\$
Category:	\$
Total set asides (Title XX)	\$

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

Category:

Category:

Category:

Category:

APPENDIX G-7

Title XX Child Care

Projected total Title XX expenditures for plan duration: \$

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.

Family Size: (2) % (3) % (4) %

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

Does your 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:

Does your district prioritize certain eligible families for Title XX funding?

YES NO

If yes, describe which families will receive priority:

Does your district use Title XX funds for child care for open child protective services cases?

YES NO

Does your district use Title XX funds for child care for open child preventive services cases?

YES NO

APPENDIX G-8

Additional Local Standards for Child Care Providers

State law allows districts to propose local standards in addition to the State standards for providers who will receive child care subsidies.

1. Described below are the additional standards that will be required of providers as well as which providers must comply with each additional standard.
2. Described below are the methods and resources that will be utilized to determine that these additional standards are being met.
3. Described below is the justification for each additional standard.

APPENDIX G-9 PAYMENT TO CHILD CARE PROVIDERS FOR ABSENCES

The following providers are eligible for payment for absences:
(Check any that are eligible)

- | | |
|---|--|
| <input checked="" type="checkbox"/> Day Care Center | <input type="checkbox"/> School Age Child Care |
| <input type="checkbox"/> Group Family Day Care | <input type="checkbox"/> Family Day Care |
| <input type="checkbox"/> Legally Exempt Group | |

Our district will only pay for absences to providers with which the district has a contract or letter of intent*. Yes No

Base period selected (check one) 3 months 6 months

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	3	15
Base period	12	8	20

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

Illness of the adult or child or a temporary crisis

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

Payment will only be made when the provider charges all customers the same rates with absences

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:

- | | |
|--|--|
| <input type="checkbox"/> Day Care Center | <input type="checkbox"/> Legally Exempt Group |
| <input type="checkbox"/> Group Family Day Care | <input type="checkbox"/> School Age Child Care |
| <input type="checkbox"/> Family Day Care | |

Our district will only pay for program closures to providers with which the district has a contract or letter of intent. Yes No

Enter the number of days allowed for program closures (maximum allowable program closures is five days). **Not applicable – we do not pay for closures.**

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

APPENDIX G-11

Transportation, Differential Payment Rates, 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.

Differential Payment Rates

Indicate below the percentage above the market rate your district has chosen.

Accredited Programs may receive a differential payment up to _____ percent above market rate.

Care during non-traditional hours may be paid up to _____ percent above market rate.

Limitations to the above differentials are as follows:

Payments may not exceed 15 percent above market rate. However, if your district wishes to establish a payment rate that is in excess of 15 percent above the applicable market rate you must describe below why the 15 percent maximum is insufficient to provide access within the district to accredited programs and/or care provided during non-traditional hours.

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:

The district will pay for child care while a parent or caretaker relative works a second or third shift when the parent or caretaker relative requests it and the Day Care Unit Director and the Deputy Commissioner determine that it is necessary to allow him/her to get a minimum of 6 hours sleep per day.

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.

Not determined to be a need in Dutchess County

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

N/A

Child Care Services Unit

The Child Care Service Unit is the basis upon which a district will determine which household and/or family 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

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 four weeks

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 any that are eligible):

entering an activity waiting to begin employment break between activities

APPENDIX G-13 Local Equivalent Forms

Application for Child Care Services

Employment Questionnaire