

COVER PAGE

Approved 7/3/07

**CHILD AND FAMILY SERVICES PLAN**

**January 1, 2007 – December 31, 2009**

**Putnam County**

This Child and Family Services Plan including the Strategic Component, the Administrative Component-Local Department of Social Services, the Administrative Component-Youth Bureau, and the PINS Diversion Services Plan-Strategic Component covers the period of January 1, 2007 to December 31, 2009. The plan contains County Outcomes and Strategies to be undertaken that respond to community needs by the Youth Bureau for youth development and services and by the District in the areas of Adoption, Foster Care Services for Children, Preventive Services for Children, Protective Services for Adults, Protective Services for Children, Other Adult Services, and Other Children and Family Services. In addition, the Plan contains a description of public participation. The Plan contains estimates of expenditures and program information.

Renee Jarrett  
Contact Person

845 225-7040  
Phone

Case Supervisor  
Title

Renee.Jarrett@dfa.state.ny.us  
Email

## APPENDIX G INSTRUCTIONS FOR CHILD CARE APPENDICES G-1 THROUGH G-12

The Child Care section of the county plan has been designed to reflect the increased flexibility allowed in the delivery of child care services under a block grant model. This component of the county plan is structured to reflect both federal and State requirements while allowing districts the opportunity to address locally defined needs and priorities.

Planning activities continue to support a partnership between the State and the county for meeting shared goals and outcomes. Child Care services covered in the county plan include the New York State Child Care Block Grant (NYSCCBG) and Title XX. The LDSS has the option of including additional information as may be determined locally to clarify or strengthen the plan. LDSS is responsible for developing the Child Care Section of the county plan that will allow them to meet the needs of the community and to maximize the use of available funds.

The Child Care section of the county plan has been created as a form, which will allow districts to complete the child care section as an electronic document.

### **Format:**

This portion of the county plan is divided into the following four required Appendices and eight optional Appendices.

### Required Appendices:

- I. Administration – Appendix G-1
- II. Other Eligible Families if Funds are Available – Appendix G-2
- III. Reasonable Distance, Very Low Income, Definition of Engaged In Work For Child Care In Lieu of Temporary Assistance, Family Share, Case Closings and Case Openings and Fraud and Abuse Control Activities – Appendix G-3
- IV. Districts Options – Appendix G-4

### Optional Appendices:

1. Priority Populations-Additional Local Priorities – Appendix G-5
2. Funding Set-Asides – Appendix G-6- **not attached to this document**
3. Title XX Child Care– Appendix G-7
4. Additional Local Standards for Child Care Providers – Appendix G-8- **not attached to this document**
5. Payment to Child Care Providers for Absences – Appendix G-9
6. Payment to Child Care Providers for Program Closures – Appendix G-10
7. Transportation, Differential Payment Rates, and Sleep – Appendix G-11
8. Child Care Exceeding 24 Hours, Child Care Service Unit, Waivers, Break in Activities – Appendix G- 12

## **INSTRUCTIONS FOR REQUIRED APPENDICES**

### I. Administration – Appendix G-1

In this Appendix, a district must describe how it is organized to administer the child care subsidy program.

In the first section, a district must identify which unit(s) is responsible for child care for different categories of families.

In the second section, a district must provide an estimate of how the district will use New York State Child Care Block Grant (NYSCCBG) subsidy funds.

In the Total Block Grant Amount, a district must provide an estimate of the district's NYSCCBG allocation plus any local share. Then estimate the amount of funding that will go toward subsidy to families, other program costs, and administrative costs. The total of these three costs should add up to the total NYSCCBG amount.

Allowable program costs include the following costs of providing child care services:

- eligibility determinations and re-determinations;
- participation in adjudicatory and judicial hearings;
- child care placements including transportation to such placements;
- inspection, review and supervision of child care placements including monitoring compliance with any additional local child care requirements imposed;
- training of social services district staff; and
- the establishment of computerized child care information systems.

A social services district may spend no more than 5% of its annual block grant allocation for administrative activities. The term "administrative activities" does not include the costs of providing child care services set forth above. Administrative activities include, but are not limited to the following:

- providing local officials and the public with information about the program;
- conducting public hearings;
- monitoring program activities for compliance with program requirements;
- maintaining substantiated complaint files;
- coordinating the resolution of audit and monitoring findings;
- evaluating program results;
- managing or supervising persons with responsibilities listed under allowable program costs;
- travel costs incurred for official business in carrying out the program; and
- other costs for goods and services required for the administration of the program including rental or purchase of equipment, utilities, and office supplies.

In the third section, a district must indicate if the district has a contract or formal agreement with another organization, provide the name of the organization and the amount of the contract.

## II. Other Eligible Families if Funds are Available – Appendix G-2

In this Appendix, a district must indicate which other families are eligible under NYSCCBG, if any, that will be included as part of its county plan. If the district has elected to serve one or more of these families, they must be served as long as funds are available. Refer to Child Care Technical Assistance # 1 for a list of eligible families that are guaranteed child care, families that must be served if funds are available, and other eligible families that the district may serve if they funds available and they have indicated in their county plan that they will serve these families.

A district should select "Yes" in the option column next to the category of eligible families it will serve. A district should select "No" in the option column next to the category of eligible families it will NOT serve. Each category and sub-category should be addressed with a "Yes" or "No". A district can select a "Yes" and "No" for subcategories under one optional category. For example, a district may elect to pay for child care services when the parent or caretaker is physically or mentally incapacitated but not when the parent or caretaker has family duties away from the home. A district will describe any limitations that will be imposed on these other eligible families it has proposed to serve as part of its county plan.

## III. Reasonable Distance, Very Low Income, Definition of Engaged In Work For Child Care In Lieu of TA, Family Share, Case Closings and Openings, and Fraud Abuse and Control Activities- Appendix G-3

### Reasonable Distance

Recipients of public assistance benefits who have children under age 13 years of age, need child care in order to participate in required work activities, and are unable to find an appropriate and available child care provider located within a reasonable distance from the recipient's home or work activity site, cannot be penalized for failure to comply with work requirements.

A district is required by regulation to define reasonable distance in their county plan. Distance may be defined in terms of time and/or distance in miles for a public assistance recipient to travel from home to a work activity site with a stop at a child care provider. The definition must be defined as a **one-way trip, not a round trip**. Describe any steps taken or consultations made that helped you arrive at your definition of reasonable distance.

### Very Low Income

Federal regulations require that two specific populations be prioritized: families with very low income and families with children who have special needs. In this section, a district will define the term "very low income". "Very low income" may be defined at 200% of the State Income Standard (SIS) or at a lower percentage. The definition of very low income does not affect eligibility but rather it affects prioritization of all categories of eligible families for the NYSCCBG

with the exception of families who are eligible for a child care guarantee. If a district designates an amount less than 200% as a definition of very low income, this lower percentage must be taken into account when prioritizing families for opening and closing cases.

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

A district that will require a higher standard than the State requires for families to meet the engaged in work requirement for child care in lieu of temporary assistance must enter the minimum hours required in this section. A district that does not require a higher standard than the State requirement does not need to complete this section.

### **Family Share**

A district must indicate the family share percentage from 10% to 35% it will use. The State's sliding fee scale for the family share of child care is calculated by applying a family share percentage against the excess of the family's gross annual income over the State Income Standard divided by 52.

### **Instructions for Case Closings and Openings**

Districts must describe their process for selecting cases for closing and opening when insufficient or no funds are available. In describing this process, districts must address the following:

- a. federal priorities of families with very low income and children with special needs;
- b. locally identified priorities (as identified in Appendix G-8), if any; and
- c. funding set-asides, if any.

Eligible families are defined in the Child Care Technical Assistance #1. Determinations regarding case closings and limitations on case openings may only be made from the following two categories of eligible families: families that are eligible as long as funds are available and families that are eligible as long as funds are available and when the district has listed such family as eligible in its COUNTY PLAN.

### **Case Closings**

In describing its process for closing cases, a district must describe how priority is given to federally mandated priorities, which are very low-income and children with special needs. A district may want to consider whether category two and category three families (see Child Care Technical Assistance #1) will be differentiated from one another in the selection process for case closings and whether particular families within each of these categories will be given priority over other families. For example, a district may choose to close cases from category three before closing any cases from category two. Additionally, if a district has selected to serve all potentially eligible families in category three, they may also elect to describe within this category which cases would be closed first. No case closings may be made based on insufficient funds for any family that falls under the child care guarantee.

Once a district has committed all of the funds available to it, either through set asides approved in the district's county plan and/or because all of the available funds are projected to be needed for open child care cases, the district may discontinue funding to those families which are not eligible for a child care guarantee that have lower priorities in order to serve families

with higher priorities. If no priorities are established beyond the federally-mandated priorities and all 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. The district must specify in its county plan whether case closings will be based on the shortest or longest length of time receiving child care services.

A district may elect to place families whose cases have been closed due to insufficient funds on a waiting list. If additional funds become available (either through an increased allocation or through attrition), the process to open these cases should be included in the district's definition of opening cases when limited funds are available.

### **Opening Cases When Limited Funds are Available**

A district must describe how priority is given to federally mandated priorities, which are very low-income and children with special needs. A district must also describe how cases will be selected from all potential applicants if a limited amount of funds are available for case openings. Districts should consider how they would address cases that were closed due to insufficient funds.

Applicants must be given the opportunity to apply even if there are insufficient funds to open their case. A district may elect to place such families on a waiting list. If additional funds become available (either through an increased allocation or through attrition), the process described in this section must be used to open new cases.

### **Fraud and Abuse Control Activities**

In this section, the district must describe their fraud and abuse control activities for their child care subsidy program. A district must identify 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.

The district must describe its sampling methodology used to determine which cases they 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 cannot use age of provider, gender of provider, Post Office box, or child residing in the same residence as provider as an indicator for drawing the sample.

The district must also describe its sampling methodology used to determine which child care providers of subsidized, child care services enrolled in the Child and Adult Care Food Program it will review for the purpose of comparing the child care providers attendance forms and any Child and Adult Care Food Program inspection forms to verify that child care was actually provided on the days listed on the child care providers' attendance forms.

## **IV. District Options – Appendix G-4**

In this Appendix, a district will select which options, if any, it wishes to establish to administer the child care subsidy program. Appendices 5 through 12 only need to be completed if the district selected the option associated with that Appendix.

Districts that use local equivalent forms in place of State forms must submit copies of the local forms. The forms will be reviewed by OCFS to determine whether the forms meet all statutory and regulatory requirements. Any previous approvals for local equivalent forms will **not** be carried forward in 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.

## **INSTRUCTIONS FOR OPTIONAL APPENDICES**

### **Appendix G-5 - Priority Populations-Additional Local Priorities**

In this Appendix, a district that will establish local priorities must describe how priority is given to local priorities in addition to Federal priorities. Local priorities may refine but cannot replace federal priorities. Priorities may be based on one or more of a combination of factors including, but not limited to: household composition, reason for care, income level and special circumstances. Priorities cannot be based on the number of children in the family needing child care, the age of the child, or the type of care. Priorities cannot have the effect of limiting the caretaker's choice of a child care provider or the guarantee of child care.

Intake and case closings due to funding limitations will be governed by priorities set in this appendix and any set-asides described in Appendix G-6.

If you select more than one priority, you may wish to rank your priorities. Ranking is optional. However, if you do not rank your priorities you must treat priorities equally for case openings and closings.

### **Appendix G-6 -Funding Set-Asides**

In this Appendix, a district may set aside portions of its allocations to serve one or more of its priority populations. A district can choose **NOT** to set aside any funds, set aside a portion of funds, or to set aside all of their NYSCCBG, including families eligible for a child care guarantee. A district may also set aside funds for Title XX child care.

Set-aside amounts should be based on a 12-month period. Amounts may be adjusted from one category to another without a plan amendment as long as the total adjustments in a calendar year do not exceed 10% of any category. All such adjustments require a page replacement and notification to the Office of Children and Family Services within 30 days of the adjustment. Adjustments exceeding 10% of any category require a plan amendment.

Districts must indicate the categories of families and amount of money set aside. Districts must also justify why one category of families was selected over another category.

### **Appendix G-7 -Title XX For Low Income Child Care**

In this Appendix, a district that is utilizing Title XX funds to provide child care to low income families must describe anticipated expenditures, financial eligibility limits and financial and programmatic eligibility. A district must also describe local priorities, if any, for Title XX child care.

A district that is utilizing Title XX funds only for child protective and/or preventive cases must not include financial eligibility limits as child care services in these instances are provided without regard to income.

### **Appendix G-8 - Additional Local Standards for Child Care Providers**

In this Appendix, a district that will require additional local standards for any type of provider including licensed, registered, legally-exempt family and in-home or legally-exempt group child care providers, must describe the additional local standards and justification for the additional local standards. A district must describe how these additional local standards will be met and monitored. Additional local standards cannot supersede State regulations or State requirements.

A district may make participation in the Child and Adult Care Food Program a condition of enrollment of legally-exempt providers who will be providing an average in excess of 30 hours of care per week to one or more subsidized children.

A district may require that legally-exempt child care providers certify whether or not they have asked household members 18 years of age and older, volunteers or employees whether or not they have been arrested. Legally-exempt providers must also certify whether or not they have been arrested. If the legally-exempt provider, household member 18 years of age or older, volunteer or employee has been arrested the legally-exempt provider must provide the legally-exempt caregiver Enrollment Agency with the charges and other relevant information regarding the arrest. If the legally-exempt provider fails to provide such information they cannot be enrolled. The legally-exempt caregiver Enrollment Agency must evaluate the information to determine the appropriateness to care for children.

A district that has proposed additional local standards of legally-exempt providers must include procedures for notifying the applicable Legally-exempt Caregiver Enrollment Agency if the district determines that the legally-exempt provider is not in compliance with the additional local standard. Any additional standards established by a district may not extend the timeframes for the Legally-exempt Caregiver Enrollment Agency to review the enrollment package.

A district may not incur costs associated with meeting additional local standards that under the legally-exempt enrollment regulations will be funded by OCFS through direct contract with the

local Legally-exempt Caregiver Enrollment Agency. OCFS cannot honor claims from a district for services that duplicate activities that are already funded through a different mechanism.

Any previous approvals for additional local standards will not be carried forward into this county plan. Therefore, any additional local standards 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-9 - Payment to Child Care Providers for Absences**

In this Appendix, a district may opt to pay for absences only to licensed, registered or legally-exempt group child care providers with whom the district has a contract or letter of intent, or to all providers of subsidized child care services except to legally-exempt family child care providers and legally-exempt in-home child care providers. A district must describe which types of child care providers are eligible to receive payment for absences, the reasons for absences, whether or not it will require a contract or letter of intent and any limitations placed on providers who will be eligible for payment for absences. While regulations state the maximum number of absences allowed, a district may choose a lower limit on the number of absences it will pay for during its base period. A district must choose a base period of three months or six months for determining the number of allowable absences.

The following chart summarizes the maximum allowable limit for which reimbursement for payment for temporary absences from child day care may be claimed.

Period	Routine limits (# of days)	Extenuating circumstance(s) (# of days)	Total # of absences allowed (# of days)
1 month	12	3	15
3 months	12	8	20
6 months	24	16	40

**Appendix G-10 – Payment to Child Care Providers for Program Closures**

In this Appendix, a district may opt to pay for program closures only to licensed, registered or legally-exempt group child care providers with whom the district has a contract or letter of intent, or to all providers of subsidized child care services except to legally-exempt family child care providers and legally-exempt in-home child care providers. A district must select which type of child care providers are eligible to receive payment for program closures and whether or not they will require a contract or letter of intent for payment of program closures. Districts must state the maximum number of program closures they will allow per year. While regulations state the maximum number of program closures allowed is five days, a district may choose a lower limit for the number of program closures they will pay. Districts must also list allowable program closures for which the district will provide payment.

**Appendix G-11 -Transportation, Differential Payment Rates, and Sleep**

### **Transportation**

A district may make payments for eligible families for transportation to and from a child care provider. A district will be reimbursed for transportation expenses charged by a child care provider that are separate and apart from the regular rate charged by the provider. Also, the district may make arrangements using other providers of transportation services. Expenditures for transportation are reimbursed as a program cost under the district's NYSCCBG allocation. Appendix F under transportation (column 20) must indicate the district will pay for transportation costs.

### **Differential Payment Rates for Nationally Accredited Programs/Care During Non-Traditional Hours**

A district is allowed to establish differential payment rates above the market rate for child care services provided by licensed and registered child care providers that have been accredited by a nationally recognized child care organization. Nationally recognized organizations that provide accreditation to licensed and registered child care providers include the National Association for Education of Young Children (NAEYC), National Association for Family Child Care (NAFCC) and National School Age Child Care Association (NSACCA).

Additionally, a district is allowed to establish differential payment rates for child care services that are provided during non-traditional hours, that is during evening, night or weekend hours. If a district elects to establish differential payment rates for non-traditional hours, it must provide this rate for all types of providers, as federal requirements do not allow rate setting that would limit access to a full range of providers.

The differential payment rates established by the district may be up to 15% higher than the applicable market rates. The differential payment rates the district sets for accredited programs may be different from the rates set for care provided during non-traditional hours.

There can be a total of only 15% in differential payments to any one provider. For instance, a provider who is nationally accredited and who also provides child care for non-traditional hours is eligible only for a maximum of 15% increase above the market rate for the respective type of care and age of the child.

A district may establish a payment rate that is in excess of 15% above the applicable market rate where the 15% maximum is insufficient to provide access within the appropriate market rate. A district must describe why the 15% maximum is insufficient to provide access within the district to accredited programs and/or to care provided during non-traditional hours. A district must state the percentage above the market rate it proposes to use.

### **Sleep**

A district may pay for child care services while a parent or caretaker who works a second or third shift sleeps. A district can pay up to 8 hours of child care services while a parent or caretaker sleeps. A district must describe the criteria used in determining

the need to pay for child care while a parent or caretaker sleeps and the number of hours the district will allow.

## **Appendix G-12 – Child Care Exceeding 24 Hours, Child Care Service Unit, Waivers, Breaks in Activities**

### Child Care Exceeding 24 Hours

A district may pay for child care services that exceed 24 consecutive hours when such services are provided on a short-term basis or in other cases where the parent/caretaker's approved activity necessitates care for 24 hours on a limited basis. A district will describe any limitation that it establishes in determining to pay for child care services that exceed 24 consecutive hours.

### Child Care Service Unit

The Child Care Service Unit is the basis upon which a district will determine which household and/or family member should be counted in determining family size and countable family income. A district that elects to include 18, 19 and/or 20 year olds in the Child Care Service Unit must complete this Appendix. A district may elect to count 18, 19 and/or 20 year olds in the Child Care Service Unit or only to include in them in the Child Care Service Unit in every instance when it would benefit the family. A district that elects to only include 18, 19 or 20 year olds in the Child Care Service Unit when it benefits the family must describe the criteria used to determining if the 18, 19and/or 20 year old will be counted in the Child Care Service Unit.

When a district has included an 18, 19and/or 20 year old in the Child Care Service Unit, they are considered a dependent child and therefore, the parent must actively pursue child support for them as well as include child support received, as income to the Child Care Service Unit. Districts should note the inclusion of 18, 19 and/or 20 year olds mean that any income of such individuals will also be counted.

### Waivers

A district has the authority to request a waiver of any regulatory provision that is non-statutory. A district must describe the regulatory provision that they wish to have waived and the regulatory provision must be approved by OCFS before implementation.

### Breaks In Activities

A district 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.

A district may provide child care services while the caretaker is waiting to enter an approved activity or employment or on a break between activities.

### Child Care Technical Assistance

The following assistance documents are included as attachments to the Local Commissioners Memorandum (LCM) accompanying these county plan Guidelines.

- Child Care Technical Assistance # 1 - Eligible Families
- Child Care Technical Assistance # 2 – Limiting Eligibility for Other Eligible Families if Funds are Available

## **ELIGIBLE FAMILIES**

Families are eligible for child care services under the New York State Child Care Block Grant (NYCCBG) program if the family meets one or more of the following criteria:

1. **Families which are guaranteed child care.** A social services district must guarantee child care services to a family which meets the criteria set forth below regardless of whether the social services district has any State or federal funds available under the NYSCCBG program to pay for all or a portion of the child care costs.
  - a. A social services district must guarantee child care services to a family that has applied for or is receiving public assistance when such services are needed for a child under 13 years of age in order to enable the child's parent(s) or caretaker relative(s) to participate in activities required by a social services official including orientation, assessment, or work activities as defined in 12 NYCRR Part 1300.
  - b. A social services district must guarantee child care services to a family that is receiving public assistance when such services are needed for a child under 13 years of age in order to enable the child's parent(s) or caretaker relative(s) to engage in work as defined by the social services district.
  - c. A social services district must guarantee child care services to a family that has applied for and would otherwise be eligible for public assistance benefits or was in receipt of public assistance and voluntarily closed their public assistance case while still eligible for public assistance, when:
    - (1) child care is needed for a child under 13 years of age in order to enable the child's parent(s) or caretaker relative(s) to be employed for at least the number of hours that would be required if the family were in receipt of public assistance; and
    - (2) the family is eligible for public assistance but chooses to receive child care services in lieu of public assistance.
  - d. A social services district must guarantee child care services for a period up to 12 consecutive months after the month in which the public assistance case closed or, for those who chose child care in lieu of public assistance, the month after the family is no longer financially eligible for public assistance, provided:
    - (1) the case closed or the family became financially ineligible for public assistance due to increased income from either employment or child support; or because the family voluntarily ended their public assistance case and their income is no longer within public assistance standards;
    - (2) the family received public assistance in at least three of the six months immediately preceding the case closing; or, for a family which chose child care in lieu of public assistance, was eligible for public assistance in at least three of the six months immediately preceding their ineligibility for public assistance;
    - (3) the family includes an eligible child that is under the age of 13 and needs child care services in order to enable the child's parent(s) or caretaker relative(s) to be employed; and

(4) the family has income at or below 200 percent of the applicable State income standard

2. **Families which are eligible when funds are available.** A social services district must provide child care services to a family eligible under this category, to the extent that the district continues to have funds available under either the district's allocation from the New York State Child Care Block Grant program or any local funds appropriated for such program, subject to any priorities or set asides as approved by the Office of Children and Family Services.

- a. A family which has applied for or is receiving public assistance when child care services are needed for an eligible child who is age 13 years or older and who has special needs or is under court supervision, in order to enable the child's parent(s) or caretaker relative(s) to participate in activities required by a social services official including orientation, assessment, or work activities as defined in 12 NYCRR Part 1300.
- b. A family receiving public assistance when child care services are needed for an eligible child who is age 13 years or older and who has special needs or is under court supervision in order to enable the child's parent(s) or caretaker relative(s) to engage in work as defined by the social services district.
- c. A family receiving public assistance when child care services are necessary:
  - (1) to enable a teenage parent to attend high school or an equivalency program; or
  - (2) for the child to be protected because the child's parent(s) or caretaker relative(s) is physically or mentally incapacitated or has family duties away from home necessitating his or her absence.
- d. A family with income up to 200 percent of the State income standard which is at risk of becoming dependent on public assistance when child care services are needed:
  - (1) for the child's caretaker(s) to be employed; or
  - (2) to enable a teenage parent to attend high school or an equivalency program.

3. **Families which are eligible if funds are available and if the social services district has listed such families as eligible in the district's Child and Family Services Plan.** The following families are eligible provided the social services district has listed such families as eligible families in the district's Child and Family Services Plan and the district continues to have funds available from the NYSCCBG or any local funds appropriated for such program:

- a. A family receiving public assistance when child care services are necessary for a parent or caretaker relative to participate in an approved activity in addition to their required work activity.
- b. A family receiving public assistance when child care services are necessary for a sanctioned parent or caretaker relative to participate in unsubsidized employment whereby the parent or caretaker relative receives earned wages at a level equal to or greater than the minimum amount required under federal and State labor law.
- c. A family receiving public assistance or with income up to 200 percent of the State income standard when child care services are needed for the child to be protected because the child's caretaker is:
  - (1) participating in an approved substance abuse treatment program or in screening for an assessment of the need for substance abuse treatment;
  - (2) homeless or receiving services for victims of domestic violence and needs child care in order to participate in an approved activity or in screening for

- or an assessment of the need for services for victims of domestic violence;  
or
- (3) in an emergency situation of short duration including, but not limited to, cases where the caretaker's absence from the home for a substantial part of the day is necessary because of extenuating circumstances such as a fire, being dispossessed from the home, seeking living quarters or providing chore/housekeeper services for an elderly or disabled relative.
- d. A family with income up to 200 percent of the State income standard when child care services are needed for the child to be protected because the child's caretaker(s) is physically or mentally incapacitated or has family duties away from home necessitating his or her absence.
- e. A family with an open child protective services case when it is determined on a case-by-case basis that such child care is needed to protect the child.
- f. A family with income up to 200 percent of the State income standard when child care services are needed for the child's caretaker(s) to participate in one of the following activities provided such activity is an allowable activity set forth in the social services district's Child and Family Services Plan and the district determines that the activity is necessary part of a plan for the family's self-support:
  - (1) actively seek employment for a period of up to six months as established by the social services district in its Child and Family Services Plan, if the caretaker documents that he or she is currently registered with a New York State Department of Labor Division of Employment Services Office, provided that the 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; or
  - (2) education or vocation activities including attendance in one of the secondary or post-secondary programs allowable under Part 415 of the State regulations.
- g. A family receiving public assistance or with income up to 200 percent of the State income standard when child care services are needed for the child's caretaker(s) to attend a two year program other than one with a specific vocational sequence leading to an associates degree or certificate of completion, or a four year college or university program leading to a bachelor's degree provided:
  - (1) the program is reasonably expected to improve the earning capacity of the caretaker;
  - (2) the caretaker is and continues to participate in non-subsidized employment whereby the caretaker works at least 17 ½ hours per week and earns wages at a level equal to or greater than the minimum amount required under federal and State labor law while pursuing the course of study; and
  - (3) the caretaker can demonstrate his or her ability to successfully complete the course of study.

## **Child Care Technical Assistance #2**

### **LIMITING ELIGIBILITY FOR OTHER ELIGIBLE FAMILIES IF FUNDS ARE AVAILABLE**

Districts may choose to serve all of these other eligible families, none of these other eligible families, some of these other families, or may add criteria that may limit eligibility within any of the category 2 and 3 descriptions in Child Care Technical Assistance #1.

The following is a partial list of ways a district may choose to limit eligibility within categories.

#### **Time Limitations**

Districts may choose to limit eligibility by setting certain time limitations. For example, districts may choose to support certain activities for a period of time that is shorter than the allowable State maximum. One example of this is seeking employment. Although State reimbursement is available for districts choosing to cover child care for a period of up to six months while a parent looks for work, a district could choose to cover this activity for a shorter period of time such as three months.

#### **Restricting Programmatic Eligibility**

Districts may wish to modify one or more categories of eligibility. For example, although reimbursement is available for a long list of educational activities, districts may decide that they can only support certain educational activities. For example, districts may limit educational activities to basic remedial education. Alternatively, districts may choose to pay for educational activities only in combination with another activity such as part-time work.

#### **Restricting Income Eligibility**

Districts may wish to restrict income eligibility to certain families. Although families with income up to and including 200 percent of the State income standard are financially eligible for subsidies through the NYSCCBG, districts may set different financial eligibility limits for the optional categories of other eligible families. For example, the district could limit eligibility for individuals who are attending a two-year college program to an income less than 200 percent of the State income standard.

#### **Eligibility Until Funds Run Out**

Districts may wish to serve some categories of families up to a certain amount of funds per year. For example, a district could set aside funds for families in substance abuse treatment programs. Families who apply for child care for this purpose would be eligible as long as they meet eligibility criteria and as long as the district has funds available in the set-aside. Once the set-aside is exhausted, no additional families would be authorized under this category. If a category of eligibility will be limited by set-aside funds, Appendix G-6, Attachment 2-Funding Set-Asides, must be completed.

**APPENDIX G-1  
CHILD CARE SECTION  
DATED 2007-2009**

**County:** Putnam

**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: **CWS**  
 Transitioning Families: **CWS**  
 Income Eligible Families: **CWS**  
**Title XX: CWS-not used for subsidy**

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

Total NYSCCBG Amount:	<b>\$772,550</b>
A. Subsidy	<b>\$581,401</b>
B. Other program costs (excluding subsidy)	<b>\$N/A</b>
C. Administrative costs	<b>\$191,149</b>

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 checked="" type="checkbox"/> Eligibility screening	<b>County Child Care Council of Dutchess</b>	
<input checked="" type="checkbox"/> Screening of legally-exempt providers	<b>County Child Care Council of Dutchess</b>	
<input checked="" type="checkbox"/> Assistance in locating care	<b>County Child Care Council of Dutchess</b>	
<input checked="" type="checkbox"/> Child Care Information Systems	<b>County Child Care Council of Dutchess</b>	
<input checked="" type="checkbox"/> Other	<b>County Child Care Council of Dutchess</b>	

**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. 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 when the caretaker is:		
a) participating in an approved substance abuse treatment program	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
b) homeless	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
c) a victim of domestic violence	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
d) in an emergency situation of short duration	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
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 State Income Standard when child care services are needed because the child's caretaker:		
a) is physically or mentally incapacitated	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
b) has family duties away from home	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

<p>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.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<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>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>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:</p>		
<p>a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>b) an education program that prepares an individual to obtain a NYS High School equivalency diploma</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>c) a program providing basic remedial education in the areas of reading, writing, mathematics, and oral communications for individuals functioning below the ninth month of the eighth grade level</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>d) a program providing literacy training designed to help individuals improve their ability to read and write;</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<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>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

<p>f) a two year full-time degree granting program at a community college, a two year college, or an undergraduate college with a specific vocational goal leading to an associate degree or certificate of completion</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<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>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>h) a prevocational skill training program such as, a basic education and literacy training program</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<p>i) a demonstration project designed for vocational training or other project approved by the Department of Labor.</p> <p><b>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.</b></p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<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>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

<p>9. PA recipients and 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 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.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
---	--	--

## 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": **1.5 miles walking distance one-way. 1.5 hours travel time one way when public or private transportation is available. Due to lack of adequate public transportation and rural nature of roadways the Director of Eligibility or the Employment Coordinator can grant exceptions.**

Describe any steps/consultations made to arrive at your definition: **The Department has seen historically that in most cases childcare could be located within defined distances.**

#### 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.

#### 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.

- h ours for a single parent with a child under the age of six years old
- h ours 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% 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 **20%**.

**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.

**Based upon local priorities as defined in appendix and then based upon closing families with longest time receiving child care services first.**

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 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. The district has chosen to close cases based on:

- 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.

**A waiting list will be established based upon date of application and defined local priorities. Closed cases due to lack of funds will be automatically placed on waiting list. Openings within defined local priorities will be based on lowest income.**

**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.**

If the district suspects that the childcare subsidy application has been falsified the day care eligibility worker would review the application and refer to FEDS in the legal department.

**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. The district obtains verification of participation in employment, education or other required activities for all applicants requesting subsidized day care services.

**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.**

If the district suspects that the child care provider of subsidized care services has falsified or submitted fraudulent attendance forms for child care subsidy payment, the district will contact the Senior Coordinator of the Child and Adult Care Food Program at the Child Care Council of Dutchess, Inc. the CACFP Senior Coordinator will provide attendance forms to verify days that child care was actually provided.

#### 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 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 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 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.

**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: **1**

Description: **Families with an open child protective case**

Category: **2B** Rank: **2**

Description: **TANF recipients who are homeless**

Category: **2A** Rank: **3**

Description: **TANF recipients in an approved substance abuse treatment program**

Category: **2D** Rank: **4**

Description: **In a emergency situation of short duration**

Category: **4A** Rank: **5**

Description: **Physically or mentally incapacitated for a short period of time with a doctor's note stating reason and expected date of recovery.**



APPENDIX G-9  
**PAYMENT TO CHILD CARE PROVIDERS FOR ABSENCES**

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

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

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	6	3	9
Base period	6	9	15

List reasons for absences for which the district will allow payment:  
**Absences are allowed if the child is absent from care due to illness or extenuating circumstances.**

List any limitations on the above providers' eligibility for payment for 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 checked="" type="checkbox"/> Day Care Center       | <input type="checkbox"/> Legally Exempt Group             |
| <input checked="" type="checkbox"/> Group Family Day Care | <input checked="" type="checkbox"/> School Age Child Care |
| <input checked="" 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). **5 days provider must notify district in writing of the 5 holidays it wishes to include**

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

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.

**Client must demonstrate inability to access transportation with a plan to access transportation within a three month period from date of authorization. Transportation must not exceed \$60.00 per day and must be with a DSS contracted or authorized transportation service.**

**Differential Payment Rates**

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

Accredited Programs may receive a differential payment up to **15%** above market rate.

Care during non-traditional hours may be paid up to **15%** above market rate.

Limitations to the above differentials are as follows: **must be accredited by a nationally recognized organization. Non-traditional hours are described as evenings , early mornings, nights and weekends between 7am and 6pm is traditional for purposed of this definition.**

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.

**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:

**Limited to 8 hours per day with documentation from employer as to exact days and hours worked.**

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

**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.  
**Limited to 48 consecutive hours, If more hours are required, documentation must be submitted and approval by the Director of Services would be required.**

**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. **If child is attending High School.**

**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