

SULLIVAN COUNTY – 2014 APU
APPENDIX K
Child Care Administration

Describe how your local district is organized to administer the child care program, including any functions that are subcontracted to an outside agency.

1. Identify the unit that has primary responsibility for the administration of child care for:

Public Assistance Families: Temporary Assistance
 Transitioning Families: Child Care Unit
 Income Eligible Families: Child Care Unit
 Title XX: Services Unit

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

FFY 2009-2010 Rollover funds (available from the NYSCCBG ceiling report in the claiming system:\$600,864.00
 Estimate FFY 2010-11 Rollover Funds\$290,972.00
 Estimate of Flexible Funds for Families (FFS) for child care subsidies.....\$0.00
 NYSCBG Allocation 2011-12\$1,434,926
 Estimate of Local Share\$28,491
Total Estimated NYSCCBG Amount\$2,355,253

a. Subsidy.....\$1,982,551.00
 b. Other program costs excluding subsidy.....\$211,865.00
 c. Administrative costs.....\$360,641.00

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

Function	Organization	Amount of Contract
<input checked="" type="checkbox"/> Eligibility screening	SCCCC	\$22,907
<input checked="" type="checkbox"/> Determining if legally-exempt providers meet State-approved additional standards	SCCCC	\$38,000
<input type="checkbox"/> Assistance in locating care		
<input type="checkbox"/> Child Care Information Systems		

<input checked="" type="checkbox"/> Other (Registration services)	SCCCC	\$91,300.00
Other (Legally exempt provider training, in home technical assistance to legally exempt providers, fraud detection and support, CCTA)	SCCCC	\$59,658.00

APPENDIX L

Other Eligible Families if Funds are Available (Required)

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

Optional Categories	Option	Limitations
1. Public Assistance (PA) families participating in an approved activity in addition to their required work activity.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Must be in approved work activity.
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	Inpatient or outpatient programs as approve by local district.
b) homeless	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Maximum of three months with a review of extenuating circumstances.
c) a victim of domestic violence	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Need to be engaged in approved activity or in screening/assessment of need for services.
d) in an emergency situation of short duration	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Duration not to exceed three months with a review of extenuating circumstances.
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	Cases to be reviewed on their own merit and circumstances.
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	Not to exceed 120 days. Incapacity as defined by Social Security or verified by a medical doctor.
b) has family duties away from home	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	With documentation of need to be away from home (i.e., to care for elderly parent 3 hours a day). On limited basis not to exceed three months, review available.

Optional Categories	Option	Limitations
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 six months.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Services provided for a maximum of six months and only for families with open cases.
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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
7. Families with income up to 200% of the State Income Standard when child care services are needed for the child’s caretaker to participate in:		
a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Approved by local district as defined as an approved activity through Employment Plan.
b) an education program that prepares an individual to obtain a NYS High School equivalency diploma	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Approved by local district; defined as an approved activity through Employment Plan.
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Approved by local district; defined as an approved activity through Employment Plan.
d) a program providing literacy training designed to help individuals improve their ability to read and write	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Approved by local district; defined as an approved activity through Employment Plan
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Approved by local district; defined as an approved activity through Employment Plan
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	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Approved by local district; defined as an approved activity through Employment Plan
g) a training program, which has a specific occupational goal and is conducted by an institution other than a college or university that is licensed or approved by the State Education Department	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Approved by local district; defined as an approved activity through Employment Plan
h) a prevocational skill training program such as a basic education and literacy training program	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Approved by local district; defined as an

Optional Categories	Option	Limitations
<p>i) a demonstration project designed for vocational training or other project approved by the Department of Labor</p> <p>Note: 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>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>approved activity through Employment Plan</p> <p>Approved by local district; defined as an approved activity through Employment Plan</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 associate's 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 17½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<input type="checkbox"/> Yes <input checked="" 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 two-year college or university program (other than one with a specific vocational sequence) leading to an associate's degree or a certificate of completion that is reasonably expected to lead to an improvement in the parent/caretaker's earning capacity as long as the parent(s) or caretaker is also working at least 17½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<p>10. 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's 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 17½ hours per week. The parent/caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

Optional Categories	Option	Limitations
<p>11. Families with incomes up to the 200% of the State Income Standard when child care services are needed for the child’s caretaker to participate in a program to train workers in an employment field that currently is or is likely to be in demand in the future, if the caretaker documents that he or she is a dislocated worker and is currently registered in such a program, provided that child care services are only used for the portion of the day the caretaker is able to document is directly related to the caretaker engaging in such a program.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

APPENDIX M

Reasonable Distance, Very Low Income, Family Share, Case Closing and Openings, Recertification Period, Fraud and Abuse Control Activities, Inspections (Required)

Reasonable Distance

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

The following defines “reasonable distance”: Reasonable distance is child care available within a fifteen-mile radius of the parent's workplace.

Describe any steps/consultations made to arrive at your definition: Sullivan County explores the issues of child care at initial assessment. A contract with the Center for Workforce Development exists to implement the County's employment services. Sullivan is a primarily rural county, necessitating flexibility regarding "reasonable distance."

Very Low Income

Define “very low income” as it is used in determining priorities for child care benefits.

“Very Low Income” is defined as 100% of the State Income Standard.

Family Share

“Family share” is the weekly amount paid towards the costs of the child care services by the child’s parent or caretaker. In establishing family share, your district must select a percentage from 10% to 35% to use in calculating the family share. The weekly family share of child care costs is calculated by applying the family share percentage against the amount of the family’s annual gross income that is in excess of the State Income Standard divided by 52.

Family Share Percentage selected by the county 35%.

Note: The percentage selected here must match the percentage selected in Title XX Program Matrix in WMS.

Case Closings

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. Describe below how districts will select cases to be closed in the event that there are insufficient or no funds available.

1. Identification of local priorities in addition to the required federal priorities (select one).
 - The district has identified local priorities in addition to the required federal priorities (Complete Section 2)
 - The district has not identified local priorities in addition to the required federal priorities (Complete Section 3).

2. Describe 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. Describe in the space below how the district will select cases to be closed in the event that there are insufficient or no funds available.

a. The district will select cases to be closed based ONLY on income.

No.

Yes. Check 1 or 2 below.

1) The district will close cases from the highest income to lowest income.

2) The district will close cases based on income bands. Describe the income bands, beginning at 200% of the State Income Standard and ending at 100% of the State Income Standard:

b. The district will select cases to be closed based ONLY on categories of families.

No.

Yes. List the categories in the order that they will be closed, including the optional categories selected in Appendix L:

c. The district will select cases to be closed based on a combination of income and family category.

No.

Yes. List the categories and income groupings in the order that they will be closed:

d. The district will select cases to be closed on a basis other than the options listed above.

No.

Yes. Describe how the district will select cases to be closed in the event that there are insufficient funds to maintain the district's current case load:

e. The last cases to be closed will be those that fall under federal priorities. Identify how your district will prioritize federal priorities. Cases that are ranked 1 will be closed last.

Very low income Rank 1 Rank 2

Families that have a child with special needs Rank 1 Rank 2

3. If all NYSCCBG funds are committed, case closings for families that 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 the family has received child care services, but must be consistent for all families.
- a. Identify how the district will prioritize federal priorities. Cases that are ranked 1 will be closed last.
- Very low income Rank 1 Rank 2
- Families that have a child with special needs Rank 1 Rank 2
- b. The district will close cases based on the federal priorities and the amount of time the family has been receiving child care services.
- Shortest time receiving child care services
- Longest time receiving child care services
4. The district will establish a waiting list for families whose cases were closed because our county did not have sufficient funds to maintain our current caseload.
- No.
- Yes. Describe how these cases will be selected to be reopened if funds become available:

Case Openings

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

1. The first cases to be opened will be those that fall under the federal priorities.
- Identify how your district will prioritize federal priorities. Cases that are ranked 1 will be opened first.
- Very low income Rank 1 Rank 2
- Families that have a child with special needs Rank 1 Rank 2
2. The district will select cases to be opened based ONLY on income.
- No.
- Yes. Check 1 or 2 below.
- 1) The district will open cases from the lowest income to highest income.
- 2) The district will open cases based on income bands. Describe the income bands, beginning at 200% of the State Income Standard and ending at 100% of the State Income Standard:

3. The district will select cases to be opened based ONLY on category.

No.

Yes. List the categories in the order that they will be opened, including the optional categories selected in Appendix L:

1. Families with an open child protective services case when child care is needed to protect the child.
2. Public Assistance (PA) families or families with income up to 200% of the State Income Standard when the caretaker is homeless.
3. PA families or families with income up to 200% of the State Income Standard when the caretaker is participating in an approved substance abuse treatment program.
4. PA families or families with income up to 200% of the State Income Standard when the caretaker is a victim of domestic violence.
5. Families with income up to 200% of the State Income Standard when child care services are needed because the child's caretaker is physically or mentally incapacitated.
6. 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 six months.
7. PA families or families with income up to 200% of the State Income Standard when the caretaker is in an emergency situation of short duration.
8. PA families participating in an approved activity in addition to their required work activity.
9. Families with income up to 200% of the State Income Standard when child care services are needed because the child's caretaker has family duties away from home.
10. 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 an education program that prepares an individual to obtain a NYS High School equivalency diploma.
11. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district.
12. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in a 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.

13. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in a program providing literacy training designed to help individuals improve their ability to read and write.
 14. 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 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.
 15. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in a 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.
 16. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in a training program, which has a specific occupational goal and is conducted by an institution other than a college or university that is licensed or approved by the State Education Department.
 17. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in a prevocational skill training program such as a basic education and literacy training program.
 18. Families with incomes up to the 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in a program to train workers in an employment field that currently is or is likely to be in demand in the future, if the caretaker documents that he or she is a dislocated worker and is currently registered in such a program, provided that child care services are only used for the portion of the day the caretaker is able to document is directly related to the caretaker engaging in such a program.
 19. Families with income up to 200% of the State Income Standard when child care services are needed for the child's caretaker to participate in a demonstration project designed for vocational training or other project approved by the Department of Labor.
4. The district will select cases to be opened based on a combination of income and category of family.
 - No.
 - Yes. List the categories and income groupings in the order that they will be opened:
 5. The district selects cases to be opened on a basis other than the options listed above.
 - No.
 - Yes. Describe how the district will select cases to be opened in the event that there are not sufficient funds to open all eligible families:

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

No.

Yes. Describe how these cases will be selected to be opened when funds become available:

The district's recertification period is every six months twelve months

Fraud and Abuse Control Activities

Describe below the criteria the district will use to determine which child care subsidy applications suggest a higher than acceptable risk for fraudulent or erroneous child care subsidy payment in addition to procedures for referring such applications to the district's front-end detection system.

The CCC's Eligibility Specialist (ES) meets face to face with subsidy applicants. All original documents submitted for the application are verified unless otherwise directed by the County. Referrals are made to the Special Investigations unit by the Child Care unit, the DFS fiscal office, Employment and TA/MA/FS workers.

Describe the sampling methodology used to determine which cases will require verification of an applicant's or recipient's continued need for child care, including, as applicable, verification of participation in employment, education, or other required activities.

Sullivan County conducts child care certifications every six months of all subsidy recipients. The recipient is required to provide verification of the need for continued child care services including, but not limited to, wage stubs, school verification and medical documents.

Describe the sampling methodology used to determine which providers of subsidized child care services will be reviewed for the purpose of comparing the child care provider's attendance forms for children receiving subsidized child care services with any Child and Adult Care Food Program inspection forms to verify that child care was actually provided on the days listed on the attendance forms.

Due to the small size of the County and the ES's familiarity with the child care providers and the families, the CACFP Coordinator, Registrar and Subsidy Specialist, who are all located in the same office, regularly confer if any information regarding the providers conflicts with their records. The providers' status is also discussed at monthly staff meetings. Legally exempt providers who are enrolled in CACFP are required to provide a schedule of when the children attend and what meals are being provided. The Child Care Council does an unannounced visit with the provider three times per year. The provider must provide verification of the meals served and the children's attendance.

Inspections of Child Care Provider Records and Premises

The district may choose to make announced or unannounced inspections of the records and premises of a provider/program that provides child care for subsidized children for the purpose

of determining whether the child care provider is in compliance with applicable laws and regulations and any additional requirements imposed on such a provider by the social services district Per 18 NYCRR 415.4(h) (3). Does the district choose to make inspections of such child care providers/programs?

No.

Yes. Provide the details of your inspections plan below.

A. The following *types* of subsidized child care providers/programs are subject to this requirement:

Legally-Exempt Child Care

In-Home;

Family Child Care;

Group programs not operating under the auspices of another government agency

Group programs operating under the auspices of another government agency

Licensed or Registered

Family Day Care;

Registered School Age Child Care

Group Family Day Care; Day Care Centers; Small Day Care Centers;

B. The district *does* OR *does not*:

Reserve the right to make inspections *PRIOR to subsidized children receiving care* in a **home** where the inspection is for the purpose of determining whether the child care provider is in compliance with applicable laws and regulations and any additional requirements imposed on such a provider by the social services district.

C. The district will report violations of regulations as follows:

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

APPENDIX N
District Options (Required)

Districts have some flexibility to administer their child care subsidy programs to meet local needs. Check which options that your district wishes to include in your county plan. Complete the attached appendices for any area(s) checked.

1. The district has chosen to establish funding set-asides for NYSCCBG (complete Appendix O).
2. The district is using Title XX funds for the provision of child care services (complete Appendix P).
3. The district has chosen to establish additional local standards for child care providers (complete Appendix Q).
4. The district has chosen to make payments to child care providers for absences (complete Appendix R).
5. The district has chosen to make payments to child care providers for program closures (complete Appendix S).
6. The district has chosen to pay for transportation to and from a child care provider (complete Appendix T).
7. The district has chosen to pay up to 15% higher than the applicable market rates for regulated child care services that have been accredited by a nationally recognized child care organization (complete Appendix T).
8. The district has chosen to pay up to 15% higher than the applicable market rates for non-traditional hours (complete Appendix T).
9. The district has chosen to pay up to 75% of the enhanced market rate for legally-exempt family and in-home child care providers who have completed 10 hours of training, which has been verified by the Legally-Exempt Caregiver Enrollment Agency (complete Appendix T).
10. The district has chosen to pay for child care services while a caretaker who works the second or third shift sleeps (complete Appendix T).
11. The district has chosen to make payments to child care providers who provide child care services, which exceed 24 consecutive hours (complete Appendix U).
12. The district has chosen to include 18-, 19- or 20-year-olds in the Child Care Services Unit (complete Appendix U)
13. The 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 U).
14. The district has chosen to pay for breaks in activity for low income families (non public assistance families). Complete Appendix U.

15. The district has chosen to use local equivalent forms such as, but not limited to, child care application, client notification, and/or 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 O
Funding Set-Asides (Optional)

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 from the NYSCCBG (e.g., estimated number of children).

Category:
 Description:

Category:
 Description:

Category:
 Description:

Category:
 Description:

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

Category:	\$
Category:	\$
Category:	\$
Total Set-Asides (Title XX)		\$

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

Category:
 Description:

Category:
Description:

Category:
Description:

Category:
Description:

APPENDIX P
Title XX Child Care (Optional)

Enter projected total Title XX expenditures for the plan's duration:\$ 1,700,000.00

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

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

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 the district apply any limitations to the programmatic eligibility criteria?

- Yes No

(See Technical Assistance #1 for information on limiting eligibility.)

If yes, describe eligibility criteria: Must have exhausted all other funding sources.

Emergency situation must not exceed three months (can have review of circumstances).

Illness/incapacity as defined by Social Security or verified by medical doctor and time limited not to exceed three months.

Needs to be engaged in approved activity/in screening process.

Inpatient/outpatient in programs approved by the district.

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

- Yes No

If yes, describe which families will receive priority:

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

- Yes No

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

- Yes No

APPENDIX Q #1

ADDITIONAL LOCAL STANDARDS FOR CHILD CARE PROVIDERS (OPTIONAL)

The district may propose local standards in addition to the State standards for legally-exempt providers who will receive child care subsidies. This appendix must be completed for **each** additional standard that the district wishes to implement.

1. Check or describe in the space provided below the additional local standards that will be required of child care providers/programs.
 - Verification that the provider has given the parent/caretaker complete and accurate information regarding any report of child abuse or maltreatment in which they are named as an indicated subject
 - Local criminal background check
 - Requirement that providers that care for subsidized children for 30 or more hours a week participate in the Child and Adult Food Care Program (CACFP)
 - Site visits by the local district
 - Other (please describe):

2. Check below the type of child care program to which the additional standard will apply and indicate the roles of the persons to whom it will apply in cases where the standard is person-specific.
 - Legally-exempt family child care program. Check all that apply.
 - Provider Provider's Employee Provider's Volunteer
 - Provider's household member age 18 or older
 - Legally-exempt in-home child care program. Check all that apply.
 - Provider Provider's Employee Provider's Volunteer
 - Legally-exempt group providers not operating under the auspices of another government agency. Check all that apply.
 - Provider Provider's Employee Provider's Volunteer
 - Legally-exempt group providers operating under the auspices of another government or tribal agency. Check all that apply.
 - Provider Provider's Employee Provider's Volunteer

3. Districts are responsible for implementation of the additional local standard unless they have a formal agreement or contract with another organization. Check the organization that will be responsible for the implementation of the additional local standard.
 - Local social services staff
Provide the name of the unit and contact person:
 - Contracted agency
Provide the name of the agency and contact person:

Sullivan County Child Care Coordinating Council/Donna Willi, Executive Director

- Both the district and the district sub-contractor understand and agree that, when the district sub-contractor is the Legally-Exempt Enrollment Agency providing services under contract to the State, there can be no co-mingling of services or resources. District staff do not have the same security in the Child Care Facility System (CCFS) as legally-exempt enrollment staff. Specifically relevant to this additional standard, district staff are not given data entry rights in CCFS for recording inspections. Therefore, the district sub-contractor must NOT record the site visits/inspections it performs on behalf of the local district and this additional standard in CCFS. Each agency, enrollment agency, and local district is given access in CCFS on a need to know basis and both the district and the enrollment agency are responsible for adhering to this provision.
- The district has shared a copy of this proposed additional standard with the local district sub-contractor.
- Upon approval, the district will provide a copy of the approved additional local standard to the local district sub-contractor.

4. Are there any costs associated with the additional standard?

Yes No

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

5. Describe the steps for evaluating whether the additional local standard has been met.

The local social services district (LDSS) sub-contractor will conduct a site visit to 50% of legally exempt in-home child care providers on an annual basis in order to verify the provision of care and to verify that the information provided in the enrollment package is true.

Programs to be visited will be chosen in one of two ways or a combination of the two. The LDSS sub-contractor will review the timesheets submitted to the district or its sub-contractor and will inspect any that create a red flag, for example, claiming full day childcare for school aged children when school is in session; and/or

The LDSS sub-contractor will run the LDSS additional standard referral report for monthly numbers and choose every 2nd legally-exempt in-home provider, for example, if the number is ten LE in-home providers, five will be chosen.

The LDSS sub-contractor will verify that the standards attested to in the enrollment package are being met. If the site visit reveals a discrepancy, the LDSS subcontractor will refer the provider to the enrollment agent for a complaint investigation.

The additional standard is met when the provider cooperates with the site visit and the verification process. The additional standard is not met when the provider does not cooperate. The additional standard is determined to be “not applicable” when the in-home provider is not selected for the site visit.

Attempted inspections do not satisfy this site visit requirement unless the visit results in a determination that the address given for the site of care does not exist and the provider enrollment was terminated, OR the inspection was attempted but the provider refused the agency access to the residence and as a result the provider enrollment was terminated.

6. Indicate how frequently reviews of the additional standard will be conducted. Check all that apply.

Legally-Exempt Programs:

- Initial enrollment During the 12-month enrollment period
 Re-enrollment Other: Each subsequent year re-enrolled.

The results of the reviews of the additional standard will be submitted by the district sub-contractor quarterly to the local district. CCFS does not currently support tracking of local district inspection results. These inspections will not be tracked in CCFS.

7. In the space below, described the procedures the district will use to notify the Legally-Exempt Caregiver Enrollment Agency (EA) as to whether the legally-exempt provider is in compliance with the additional local standards. Districts must notify the EA within 25 days from the date they received the referral from the EA. (Districts need to describe this procedure only if the additional local standard is applied to legally-exempt child care providers.)

For all LE in-home providers on the referral list, the local district sub-contractor will notify the enrollment agent, in writing, of the determination of the additional standard and any concerns noted during inspection. For each LE in-home provider referred, the determination for the additional standard will state whether the additional standard was “met,” “not met” or “not applicable.” This notification and a copy of the inspection report will be given to the LE Coordinator so that she/he may take any necessary action.

8. Describe the justification for the additional standard in the space below.

Since the implementation of CCTA and the upgrades to the legally exempt side of CCFS the need for more oversight to the legally exempt child care program has become apparent.

APPENDIX Q #2

Additional Local Standards for Child Care Providers (Optional)

The district may propose local standards in addition to the State standards for legally-exempt providers who will receive child care subsidies. This appendix must be completed for **each** additional standard that the district wishes to implement.

1. Check or describe in the space provided below the additional local standards that will be required of child care providers/programs.

- Verification that the provider has given the parent/caretaker complete and accurate information regarding any report of child abuse or maltreatment in which they are named as an indicated subject
- Local criminal background check
- Requirement that providers that care for subsidized children for 30 or more hours a week participate in the Child and Adult Food Care Program (CACFP)
- Site visits by the local district
- Other (please describe):

2. Check below the type of child care program to which the additional standard will apply and indicate the roles of the persons to whom it will apply in cases where the standard is person-specific.

- Legally-exempt family child care program. Check all that apply.

- Provider Provider's Employee Provider's Volunteer
- Provider's household member age 18 or older

- Legally-exempt in-home child care program. Check all that apply.

- Provider Provider's Employee Provider's Volunteer

- Legally-exempt group providers not operating under the auspices of another government agency. Check all that apply.

- Provider Provider's Employee Provider's Volunteer

- Legally-exempt group providers operating under the auspices of another government or tribal agency. Check all that apply.

- Provider Provider's Employee Provider's Volunteer

3. Districts are responsible for implementation of the additional local standard unless they have a formal agreement or contract with another organization. Check the organization that will be responsible for the implementation of the additional local standard.

Local social services staff

Provide the name of the unit and contact person:

Contracted agency

Provide the name of the agency and contact person:

Donna Willi, Executive Director, Sullivan County Child Care Coordinating Council

4. Are there any costs associated with the additional standard?

Yes No

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

5. Describe the steps for evaluating whether the additional local standard has been met.

A. A legally-exempt family child care provider who offers care for more than 30 hours per week is required to participate in the Child and Adult Care Feeding Program (CACFP) as a condition of enrollment to provide child care subsidized by the Sullivan County Department of Family Services (DFS). All legally-exempt family child care providers will be required to sign the Sullivan County Legally Exempt Family Child Care Additional Standard Acknowledgement Agreement form (to be created) to initiate the enrollment process. The enrollment packet for any provider of legally-exempt family child care will be considered “incomplete” if the Sullivan County Legally Exempt Family Child Care Additional Standard Acknowledgement Agreement form is not signed and submitted with the enrollment packet.

The Sullivan County DFS will consider a legally-exempt family child care provider to be “compliant” and meeting the Sullivan County additional local enrollment standard of participation in CACFP when:

1. The legally-exempt family child care provider who offers care for more than 30 hours per week has completed, signed, dated and submitted the Sullivan County Legally Exempt Family Child Care Additional Standard Acknowledgement Agreement form as a part of the “Enrollment Form for Provider of Legally-Exempt Family Child Care” (OCFS-LDSS- 4699) to the EA, which is the Sullivan County Child Care Council, Inc. (SCCCC); and
2. The legally exempt family child care provider who offers care for more than 30 hours per week has enrolled with the CACFP program including signing the CACFP Pre-Approval checklist (CACFP-106) and the Continuous Application and Agreement for Day Care Homes Participation (DOH-3705) and has completed the follow-up visit with CACFP, all within the CACFP required time frames; and
3. The legally-exempt family child care provider who offers care for more than 30 hours per week fully cooperates with all requirements of CACFP, including inspections and/or follow-up visits; and

4. The legally-exempt family child care provider who offers care for more than 30 hours per week begins claiming CACFP reimbursement no later than the month following the sign-up date and continues to submit monthly claims to CACFP on a timely basis.
- B. The Sullivan County Child Care Council, Inc. will consider the legally-exempt family child care provider “non-compliant” and NOT meeting the Sullivan County additional local enrollment standard for participation in CACFP when:
1. The legally-exempt family child care provider does not submit a completed Sullivan County Legally-Exempt Family Child Care Additional Standard Acknowledgement Agreement form; and/or
 2. The legally-exempt family child care provider who offers care for more than 30 hours per week refuses to sign up for CACFP; and/or
 3. The legally-exempt family child care provider who offers care for more than 30 hours per week does not cooperate with any part of the CACFP enrollment process; and/or
 4. The legally-exempt family child care provider who offers care for more than 30 hours per week does not remain in compliance with the CACFP regulations; and/or
 5. The legally-exempt family child care provider who offers care for more than 30 hours per week fails to cooperate with any CACFP inspection or home visit; and/or
 6. The legally-exempt family child care provider who offers care for more than 30 hours per week fails to submit monthly claims to CACFP on a timely basis; and/or
 7. The legally-exempt family child care provider, which was not initially required to participate in CACFP due to providing child care for less than 30 hours per week, fails to notify the EA of an increase in hours of care which would require the legally-exempt family child care provider to comply with the additional standard; and/or
 8. The legally-exempt family child care provider which changes location of care and provides care for more than 30 hours per week fails to notify the Sullivan County DFS, the EA and CACFP of the change.

Any legally-exempt family child care provider who offers care for more than 30 hours per week which does not participate with the Sullivan County additional local standard for enrollment described above is non-compliant and considered to be ineligible to provide subsidized child care to Sullivan County DFS. No subsidy payments will be issued for care provided by such providers who are non-compliant with the requirement to participate in CACFP.

The provider is noncompliant with the additional standard for participation with CACFP when the provider has signed the legally-exempt family child care additional standard agreement and the provider fails to participate fully with CACFP. When the provider is non-compliant the additional standard is not met and the provider will not be eligible for payment for child care services provided retro-active to the first date child care services were provided.

6. Indicate how frequently reviews of the additional standard will be conducted. Check all that apply.

Legally-Exempt Programs:

- Initial enrollment During the 12-month enrollment period
 Re-enrollment Other

7. In the space below, described the procedures the district will use to notify the Legally-Exempt Caregiver Enrollment Agency (EA) as to whether the legally-exempt provider is in compliance with the additional local standards. Districts must notify the EA within 25 days from the date they received the referral from the EA. (Districts need to describe this procedure only if the additional local standard is applied to legally-exempt child care providers.)

The Sullivan County Child Care Council, Inc. is the EA and as such is responsible for the legally exempt enrollment services and administering the CACFP. The District will require the EA to submit quarterly reports of compliance and non-compliance with the additional local standard.

- A. Once the EA fully enrolls a provider who is required to participate in CACFP due to offering care for more than 30 hours per week, the EA will notify CACFP by providing them with the completed CACFP Additional Standard Tracking form (to be created).
- B. Within approximately 45 business days of notification CACFP will notify the EA whether the legally-exempt family child care provider is or is not “actively participating” in CACFP via the CACFP Additional Standard Tracking form.
- C. Information from the Additional Standard Tracking forms will be summarized by the Sullivan County Child Care Council, Inc. and submitted to the District for review and approval on a quarterly basis.

8. Describe the justification for the additional standard in the space below.

Implementation of the additional standard will occur at re-enrollment of existing enrolled providers and with all new enrollments. The additional standard will aid in improving the health and nutrition of children cared for by Legally Exempt Family Child Care Providers receiving subsidy payments within the district. Implementation of the additional standard will also create an opportunity to better monitor legally exempt family child care homes for verification of care as well as quality of care.

APPENDIX R
Payment to Child Care Providers for Absences (Optional)

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

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

Our county will only pay for absences to providers with which the district has a contract or letter of intent.

- Yes No

Base period (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			
Base period			

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

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 S

Payment to Child Care Providers for Program Closures (Optional)

The following providers are eligible for payment for program closures:

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

The county 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 time for program closures is five days).

List the allowable program closures for which the county 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 T

Transportation, Differential Payment Rates, Enhanced Market Rate for Legally-Exempt and In-Home Providers, and Sleep (Optional)

Transportation

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

Differential Payment Rates

Indicate the percentage above the market rate your county has chosen.

- Accredited programs may receive a differential payment up to _____ % above market rate.
- Care during non-traditional hours may be paid up to _____ % above market rate.
- Limitations to the above differentials:

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

Enhanced Market Rate for Legally-Exempt Family and In-Home Child Care Providers

Indicate if the district is electing to establish a payment rate that is in excess of the enhanced market rate for legally-exempt family and in-home child care providers who have annually completed 10 or more hours of training and the training has been verified by the legally-exempt caregiver enrollment agency.

- No.
- Yes. Our market rate will not exceed 75% of the child care market rate established for registered family day care.

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, as well as any limitations pertaining to payment:

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

Sullivan County will pay for up to 5 hours of sleep if a parent/caretaker works the second or third shift. The parent/caretaker would have to inform the County of the details of who is providing the child care and where it is provided. A case-by-case decision would be made based on all information such as: are there two parents/caretakers in the home to split the child care duties, are the children in school, what shifts do the parents/caretakers each work, is the caretaker a single parent, etc. If a single parent/caretaker is working the second shift, we would allow the child care provider to keep the child so that the single parent/caretaker could have some sleep time.

APPENDIX U

Child Care Exceeding 24 Hours, Child Care Services Unit, Waivers, and Breaks in Activities (Optional)

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 situations where the caretaker's approved activity necessitates care for 24 hours on a limited basis. Check below under what circumstances the county will pay for child care exceeding 24 hours.

- On a short-term or emergency basis
 The caretaker's approved activity necessitates care for 24 hours on a limited basis

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

Child Care Services Unit (CCSU)

Indicate below if your county will include 18-, 19-, or 20-year-olds in the CCSU, which is used in determining family size and countable family income.

The district will include the following in the CCSU (check all that apply).

- 18-year-olds 19-year-olds 20-year-olds

OR

The district will only include the following in the CCSU when it will benefit the family (check all that apply)

- 18-year-olds 19-year-olds 20-year-olds

Describe the criteria your district will use to determine whether or not 18-, 19-, or 20-year olds are included in the CCSU.

Waivers

Districts have the authority to request a waiver of any regulatory provision that is non-statutory. Describe and justify why your county is requesting a waiver.

Breaks in Activities

Districts may pay for child care services for low income families during breaks in activities either for a period not to exceed two weeks or for a period not to exceed four weeks when child care arrangements would otherwise be lost and the subsequent activity is expected to begin within that period. Indicate below if your county will make such payments (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 for employment
 On a break between activities