

**MONROE COUNTY – 2017 APU**

**APPENDIX K #1**  
Child Care Amendments

**Is your district amending its Child and Family Services Plan (CFSP) or Annual Plan Update (APU)?**

**Yes** (Check “Yes” or “No” for each Appendix listed below to indicate whether or not there was an amendment to that Appendix. If the Appendix was amended, check “Yes” or “No” to indicate the section that was amended.)

**No** (If this box is checked, no further action is needed on this Appendix)

Appendix	Section
<p><b>Appendix K #2 - Child Care Administration</b></p> <p>Are there changes to this appendix?  <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p>	
<p><b>Appendix L – Other Eligible Families if Funds are Available</b></p> <p>Are there changes to this appendix?  <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p>	
<p><b>Appendix M #1 - Reasonable Distance, Recertification Period, Family Share, Very Low Income, Federal and Local Priorities (Required)</b></p> <p>Are there changes to this appendix?  <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <ul style="list-style-type: none"> <li>If you’ve checked “Yes,” check all of the sections that changed or did not change to the right of this box.</li> </ul>	<p><b>I. Reasonable Distance</b>  <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>II. Recertification Period</b>  <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>III. Family Share</b>  <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>IV. Very Low Income</b>  <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>V. Federal and Local Priorities</b>  <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p>

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Appendix	Section
<p><b>Appendix M #2 – Case Openings, Case Closings, and Waiting List</b> (Required)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <ul style="list-style-type: none"> <li>If you have checked “Yes,” check all of the sections that changed or did not change to the right of this box.</li> </ul>	<p><b>I. Case Openings</b> <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p><b>II. Case Closings</b> <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p><b>III. Waiting List</b> <input type="checkbox"/> Yes; <input type="checkbox"/> No</p>
<p><b>Appendix M #3 – Fraud and Abuse Control Activities and Inspections</b> (Required)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <ul style="list-style-type: none"> <li>If you have checked “Yes,” check all of the sections that changed or did not change to the right of this box.</li> </ul>	<p><b>I. Fraud and Abuse Control Activities</b> <input type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p><b>II. Inspections</b> <input type="checkbox"/> Yes; <input type="checkbox"/> No</p>
<p><b>Appendix N – District Options</b> (Required)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p><b>Appendix O – Funding Set-Asides</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p><b>Appendix P – Title XX Child Care</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p>	
<p><b>Appendix Q - Additional Local Standards for Child Care Providers</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p>	

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Appendix	Section
<p><b>Appendix R – Payment to Child Care Providers for Absences</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p><b>Appendix S – Payment to Child Care Providers for Program Closures</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>	
<p><b>Appendix T – Transportation, Differential Payment Rates, Enhanced Market Rate for Legally-Exempt Family and In-Home Providers, and Sleep</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <ul style="list-style-type: none"> <li>If you have checked “Yes,” check all of the sections that changed or did not change to the right of this box.</li> </ul>	<p><b>I. Transportation</b> <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>II. Differential Payment Rates</b> <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p><b>III. Enhanced Market Rate for Legally-Exempt Family and In-Home Providers</b> <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>IV. Sleep</b> <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p>
<p><b>Appendix U – Child Care Exceeding 24 Hours, Child Care Services Unit, Waivers, and Breaks in Activities</b> (Optional)</p> <p>Are there changes to this appendix?</p> <p><input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <ul style="list-style-type: none"> <li>If you have checked “Yes,” check all of the sections that changed or did not change to the right of this box.</li> </ul>	<p><b>I. Child Care Exceeding 24 Hours</b> <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p> <p><b>II. Child Care Services Unit</b> <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>III. Waivers</b> <input type="checkbox"/> Yes; <input checked="" type="checkbox"/> No</p> <p><b>IV. Breaks in Activities</b> <input checked="" type="checkbox"/> Yes; <input type="checkbox"/> No</p>

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**APPENDIX K #2**  
**Child Care Administration**

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

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

- a. Public Assistance Families:** MSDHC Division of Financial Assistance
- b. Transitioning Families:** MSDHC Division of Financial Assistance
- c. Income Eligible Families:** MSDHC Division of Financial Assistance
- d. Title XX:** MSDHC Division of Child and Family Services

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

- a. FFY 2015-2016 Rollover funds (available from the NYSCCBG ceiling report in the claiming system).....**\$0
- b. Estimate FFY 2016-2017 Rollover Fund .....**\$0
- c. Estimate of Flexible Funds for Family Services transferred to the NYSCCBG.....**\$0
- d. NYSCCBG Allocation 2017.....**\$36,174,056
- e. Estimate of Local Share .....**\$4,221,021
- Total Estimated NYSCCBG Amount .....**\$40,395,077
- f. Subsidy** \$38,370,484
- g. Other program costs excluding subsidy .....**\$0
- h. Administrative costs** \$2,024,593

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

Function	Organization	Amount of Contract
<b>a.</b> <input checked="" type="checkbox"/> Subsidy eligibility screening	Workforce Development Corp	\$0
<b>b.</b> <input type="checkbox"/> Determining if legally-exempt providers meet OCFS-approved additional local standards		
<b>c.</b> <input type="checkbox"/> Assistance in locating care		
<b>d.</b> <input type="checkbox"/> Child care information systems		
<b>e.</b> <input type="checkbox"/> Payment processing		
<b>f.</b> <input type="checkbox"/> Other, specify:		

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**APPENDIX L**

**Other Eligible Families if Funds are Available (Required)**

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

Optional Categories	Option	Limitations
<p><b>1.</b> Public Assistance (PA) families participating in an approved activity in addition to their required work activity.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p><b>2.</b> PA families or families with incomes up to 200% of the State Income Standard when child care services are needed for the child to be protected because the caretaker is:</p> <p><b>a)</b> participating in an approved substance abuse treatment program</p> <p><b>b)</b> homeless</p> <p><b>c)</b> a victim of domestic violence and participating in an approved activity</p> <p><b>d)</b> in an emergency situation of short duration</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>This is covered under the child care guarantee for PA families.</p> <p>This is covered under the child care guarantee for PA families.</p> <p>Authorization limited to requests submitted in writing and administrative approval. LDSS remains sole authority on granting approval on a case-by-case basis.</p>
<p><b>3.</b> Families with an open child protective services case when child care is needed to protect the child.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p><b>4.</b> Families with incomes up to 200% of the State Income Standard when child care services are needed for the child to be protected because the child’s caretaker:</p>		
<p><b>a)</b> is physically or mentally incapacitated</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Authorization is limited to families with written documents from the family's treating physician/mental health professional indicating the reason for the incapacity, its expected duration, and that the applicant is unable to provide care.</p>

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Optional Categories	Option	Limitations
b) has family duties away from home	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
5. Families with incomes up to 200% of the State Income Standard when child care services are needed for the child’s caretaker to actively seek employment for a period up to six months. Child care services will be available only for the portion of the day the family is able to document is directly related to the caretaker engaging in such activities.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Authorization is limited to families already in receipt of low-income daycare subsidy; coverage can continue for up to thirty (30) days to seek new employment.
6. PA families where a sanctioned parent or caretaker relative is participating in unsubsidized employment, earning wages at a level equal to or greater than the minimum amount under law.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
7. Families with incomes up to 200% of the State Income Standard when child care services are needed for the child’s caretaker to participate in:		
a) a public or private educational facility providing a standard high school curriculum offered by or approved by the local school district	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Authorization is limited to student/parent caretakers (under the age of 21) who maintain 85% attendance rate in high school.
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	Authorization is limited to student/parent caretakers (under the age of 21) who maintain 85% attendance rate; GED program must be in addition to 17.5 hours of weekly employment.
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	Authorization is limited to student/parent caretakers (under the age of 21) who maintain 85% attendance rate; program must be in addition to 17.5 hours of weekly employment.
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	Authorization is limited to student/parent caretakers (under the age of 21) who maintain 85% attendance

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Optional Categories	Option	Limitations
		rate; program must be in addition to 17.5 hours of weekly employment.
<p>e) an English as a second language (ESL) instructional program designed to develop skills in listening, speaking, reading, and writing the English language for individuals whose primary language is other than English</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Authorization is limited to student/parent caretakers (under the age of 21) who maintain 85% attendance rate; program must be in addition to 17.5 hours of weekly employment.
<p>f) a two-year full-time degree granting program at a community college, a two-year college, or an undergraduate college with a specific vocational goal leading to an associate’s degree or certificate of completion</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Authorization is limited to student/parent caretakers (under the age of 21) who maintain a minimum 2.0 GPA; program must be in addition to 17.5 hours of weekly employment.
<p>g) a training program, which has a specific occupational goal and is conducted by an institution other than a college or university that is licensed or approved by the State Education Department</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Authorization for program must be in addition to 17.5 hours of weekly employment.
<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	Authorization for program must be in addition to 17.5 hours of weekly employment.
<p>i) a demonstration project designed for vocational training or other project approved by the Department of Labor</p> <p><b>Note:</b> The caretaker must complete the selected programs listed under Section 7 above within 30 consecutive calendar months. The caretaker cannot enroll in more than one program.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Authorization for program must be in addition to 17.5 hours of weekly employment.
<p>8. PA recipients or low-income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a two-year program other than one with a specific vocational sequence (leading to an associate’s degree or certificate of completion and that is reasonably expected to lead to an improvement in the caretaker’s earning capacity) as long as the caretaker is also working at least 17½ hours per week. The caretaker must demonstrate his or her</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

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Optional Categories	Option	Limitations
ability to successfully complete the course of study.		
<p><b>9.</b> PA recipients or low-income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a two-year college or university program (other than one with a specific vocational sequence) leading to an associate’s degree or a certificate of completion that is reasonably expected to lead to an improvement in the caretaker’s earning capacity as long as the caretaker is also working at least 17½ hours per week. The caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<p><input type="checkbox"/> Yes  <input checked="" type="checkbox"/> No</p>	
<p><b>10.</b> PA recipients or low-income families with incomes up to 200% of the State Income Standard who are satisfactorily participating in a four-year college or university program leading to a bachelor’s degree and that is reasonably expected to lead to an improvement in the caretaker’s earning capacity as long as the caretaker is also working at least 17½ hours per week. The caretaker must demonstrate his or her ability to successfully complete the course of study.</p>	<p><input type="checkbox"/> Yes  <input checked="" type="checkbox"/> No</p>	
<p><b>11.</b> Families with incomes up to the 200% of the State Income Standard when child care services are needed for the child’s caretaker to participate in a program to train workers in an employment field that currently is or is likely to be in demand in the future, if the caretaker documents that he or she is a dislocated worker and is currently registered in such a program, provided that child care services are only used for the portion of the day the caretaker is able to document is directly related to the caretaker engaging in such a program.</p>	<p><input type="checkbox"/> Yes  <input checked="" type="checkbox"/> No</p>	



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### APPENDIX M #1

#### Reasonable Distance, Recertification Period, Family Share, Very Low Income, Federal and Local Priorities (Required)

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#### I. Reasonable Distance

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

1. The following defines “reasonable distance”: Within one hour travel time from daycare site to work site to daycare site.
2. Describe any steps/consultations made to arrive at your definition:

This has been the established/approved DHS policy.

#### II. Recertification Period

The district’s recertification period for low income child care cases is every (select one):

six months     twelve months

#### III. Family Share

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

Family Share Percentage selected by the district 35%.

**Note:** *The family share percentage selected here must match the percentage entered in the Program Matrix in the Welfare Management System (WMS).*

#### IV. Very Low Income

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

“Very Low Income” is defined as 165% of the State Income Standard.

#### V. Federal and Local Priorities

1. The district must rank the federally mandated priorities. Cases that are ranked 1 have the highest priority for receiving child care assistance. These rankings apply to case closings and case openings.
  - a. Very low income as defined in Section IV:  Rank 1     Rank 2     Rank 3
  - b. Families with incomes up to 200% of the State Income Standard that have a child with special needs and a need for child care:  Rank 1     Rank 2     Rank 3
  - c. Families with incomes up to 200% of the State Income Standard that are experiencing homelessness:  Rank 1     Rank 2     Rank 3

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2. Does the district have local priorities?

Yes  No

If yes, list below and rank beginning with Rank 4.

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## APPENDIX M #2

## Case Openings, Case Closings, and Waiting List (Required)

**I. Case Openings When Funds Are Limited**

If a social services district does not have sufficient funds to provide child care services to all families who are applying, the district may decide to open certain categories of families as funds become available. The district must open federal priorities first. If the district identified local priorities, they must be opened next. **After the federal and local priorities**, identify the basis upon which the district will open cases if funds become available. Check only **ONE** of the options listed below and describe the process for opening.

1.  Open based on **FIRST COME, FIRST SERVED**.
2.  Open based on **INCOME**. Check one of the boxes below:
  - The district will open cases starting from the lowest income to the highest income.
  - The district will open cases based on income bands, starting from the lowest income band to the highest income band. List the income bands, starting from the band that will be opened first:
    - Band 1: 100% up to, but not including, 110% of SIS
    - Band 2: 110% up to, but not including, 120% of SIS
    - Band 3: 120% up to, but not including, 130% of SIS
    - Band 4: 130% up to, but not including, 140% of SIS
    - Band 5: 140% up to, but not including, 145% of SIS
    - Band 6: 145% up to, but not including, 150% of SIS
    - Band 7: 150% up to, but not including, 155% of SIS
    - Band 8: 155% up to, but not including, 160% of SIS
    - Band 9: 160% up to, but not including, 165% of SIS
    - Band 10: 165% up to, but not including, 170% of SIS
    - Band 11: 170% up to, but not including, 175% of SIS
    - Band 12: 175% up to, but not including, 180% of SIS
    - Band 13: 180% up to, but not including, 185% of SIS
    - Band 14: 185% up to, but not including, 190% of SIS
    - Band 15: 190% up to, but not including, 195% of SIS
    - Band 16: 195% up to 200% of SIS

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3.  Open based on **CATEGORY OF FAMILY**.

List below the remaining category 2 and 3 families included in 18 NYCRR §415.2(a)(2) and 18 NYCRR §415.2(a)(3) that are not federal or local priorities in the order they will be opened first.

4.  Open based on **INCOME AND CATEGORY OF FAMILY**.

List below the incomes (from lowest to highest income) or income bands (from lowest income band to highest income band), and the remaining category 2 and 3 families included in 18 NYCRR §415.2(a)(2) and 18 NYCRR §415.2(a)(3) that are not federal or local priorities in the order they will be opened first.

5.  Open based on **OTHER CRITERIA**.

Describe the criteria the district will use to select cases to be opened:

**II. Case Closings When Sufficient Funds Are Not Available**

If a social services district does not have sufficient funds to continue to provide child care assistance to all families in its current caseload, the district may decide to discontinue child care assistance to certain categories of families. The district must close federal priorities last. If the district identified local priorities, they must be closed next to last. **After the federal and local priorities**, describe the basis upon which the district will close cases if sufficient funds are not available.

**If no priorities are established beyond the federally mandated priorities** and all funds are committed, case closings for families that are not eligible under a child care guarantee and are not under a federally mandated priority must be based on the length of time they have received services (must choose #1 below).

Check only **one** of the options for closing listed below and describe the process for closing.

1.  Close based on **AMOUNT OF TIME** receiving child care services.

Check **one** of the boxes below:

- The district will close cases starting from the shortest time receiving child care services to the longest time.
- The district will close cases starting from the longest time receiving child care services to the shortest time.

2.  Close based on **INCOME**.

Check **one** of the boxes below:

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- The district will close cases starting from the highest income to the lowest income.
- The district will close cases based on income bands, starting from the highest income band to the lowest income band. List the income bands starting from the band that will be closed first:

- Band 1: 195% up to 200% of SIS
- Band 2: 190% up to, but not including, 195% of SIS
- Band 3: 185% up to, but not including, 190% of SIS
- Band 4: 180% up to, but not including, 185% of SIS
- Band 5: 175% up to, but not including, 180% of SIS
- Band 6: 170% up to, but not including, 175% of SIS
- Band 7: 165% up to, but not including, 170% of SIS
- Band 8: 160% up to, but not including, 165% of SIS
- Band 9: 155% up to, but not including, 160% of SIS
- Band10: 150% up to, but not including, 155% of SIS
- Band 11: 145% up to, but not including, 150% of SIS
- Band 12: 140% up to, but not including, 145% of SIS
- Band 13: 130% up to, but not including, 140% of SIS
- Band 14: 120% up to, but not including, 130% of SIS
- Band 15: 110% up to, but not including, 120% of SIS
- Band 16: 100% up to, but not including, 110% of SIS

- 3.  Close based on **CATEGORY OF FAMILY**.  
List the category 2 and 3 families included in 18 NYCRR §415.2(a) that are not federal or local priorities in the order they will be closed.
  
- 4.  Close based on **INCOME AND CATEGORY OF FAMILY**.  
List below the incomes (from the highest to lowest income) or income bands (from the highest income band to the lowest income band), and the category 2 and 3 families included in 18 NYCRR §415.2(a) that are not federal or local priorities in the order they will be closed.
  
- 5.  Close based on **OTHER CRITERIA**.  
Describe the criteria the district will use to select cases to be closed:

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**III. Waiting List**

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

No.

Yes.

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### APPENDIX M #3

#### Fraud and Abuse Control Activities and Inspections (Required)

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#### I. Fraud and Abuse Control Activities

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

Monroe County utilizes two methodologies for identifying and investigating fraud: Front End Detection System (FEDS) and Back End Detection System (BEDS).

#### FEDS

FEDS referrals on Child Care cases are determined at all eligibility interviews using the Electronic Investigation System and the Child Care/Day Care Indicators as approved in the FEDS Plan. Below list Monroe County's Child Care Indicators:

#### Child Care Indicators for Provider Daycare:

- Over Capacity
- Hours of Care do not match hours approved/hours parent(s) are working
- Over Billing/No Absences
- Signature on Attendance Sheets are Questionable
- Care not being provided at approved location
- Parents claim they did not sign timesheets/signed blank timesheets
- In-Home provider may be working during hours claimed for children

#### Child Care Indicators for Clients

- No absent parent information
- Not in an approved activity
- Work/activity hours do not match daycare hours
- Prior History of constant denials, case closings, IPV, Fraud
- Care not being provided at approved location

Income Eligible Child Care eligibility staff will screen new applications for assistance as they are received. A Senior Eligibility Evaluator will complete a Child Care FEDS referral for all applications having an approved indicator. Child Care FEDS referrals will be sent to and processed by the Monroe County Special Investigations Unit Investigators. Collateral contacts may be made, DMV Searches, City Tax Assessment, County Clerk Search, Department of Labor

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Search, U.S. Postal check, landlord, employer, a review of case file, a home visit, and related items as necessary depending on the Child Care Indicators.

The application process will not be interrupted while waiting for the results of an investigation.

### BEDS

In addition to the Front End Detection investigations, Monroe County employs a Back End Detection System (BEDS) for investigative activity as well. There are a growing number of children being cared for by legally exempt providers in the child's home. The local Child Care Council does not have authority or oversight for this group of Legally Exempt providers. Monroe County DHS has found a relatively high incidence of fraudulent activity, including collusion between parent and provider in these cases.

During the course of any fraud investigation (provider fraud or parent fraud) the LDSS may make announced or un-announced site visits during a provider's licensed care hours. For legally-exempt providers, announced or un-announced site visits will occur during the hours they are authorized to provide care. The OCFS licenser or the Child Care Council staff often assist the LDSS throughout the investigation.

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

As a BEDS activity, Monroe County will be generating a monthly report and conduct an investigation of new day care authorizations where the day care is being provided in the legal residence of the child. For those cases reviewed within the first 90 days of day care authorization, Monroe County investigators will conduct a site visit at addresses where the day care is being provided in the legal residence of the child to verify that the care is being provided and confirm the provider identity.

In addition to the BEDS investigations of in-home care, the LDSS will investigate all cases involving: referrals received through the LDSS fraud hotline, from OCFS, from Child Care Council, from internal daycare payables. Monroe County will investigate absent parents, parents employed by a temp agency or working varying hours, self-employed parents, and parents out of compliance with OTDA/OCFS/LDSS program mandates.

The LDSS daycare payables staff reviews all attendance information utilizing the Child Care Time & Attendance (CCTA) system to identify providers who may be billing the LDSS for care provided outside their licensed/statutory authority (i.e., over-capacity, non-traditional hours, etc.) and refer investigations for those cases with anomalies in provider/parent signatures, parent fees and dates attended vs. dates authorized.

Child Care Authorizations are for 1 year. Two months prior to the recertification date, a batch mail is sent out with a renewal application along with instructions on what supporting documents need to be included in re-applying/renewing child care subsidy. The Day Care Evaluator for the case will review the materials and notify the parent(s) if any additional information is needed or something is missing. Supervisors complete a random sample supervisory review of 6% of all cases to ensure quality and consistency in case processing.



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For new child care cases that have been opened where there were not complete supporting documentation (i.e., parents started new job and had only 1 or 2 pay stubs), the Day Care Evaluator will follow-up with the parent to secure any additional documentation needed.

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

When Monroe County is investigating a case of suspected child care fraud, the investigators will reach out to the OCFS licensor or the Child Care Council to ensure that the any Child and Adult Care Food Program inspection forms match MCDHS Child Care Time & Attendance (CCTA) records. Specifically, the MCDHS Investigator will email the Child Care Council or the OCFS licensor to inquire if the subject of the fraud investigation is enrolled in and receiving services via the Child and Adult Care Food Program. If they are, they will ask for copies of the inspection forms that correspond to the time period under investigation and review them to ensure that information is consistent. If discrepancies between the Child and Adult Care Food Program inspection forms and the CCTA records are discovered, the Investigator will notify either the OCFS licensor or Child Care Council and share any pertinent information. Investigation of any discrepancies involving the Child and Adult Care Food Program records is the responsibility of OCFS licensor or the Child Care Council.

### II. Inspections of Child Care Provider Records and Premises

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

The district has the right to make inspections *prior to subsidized children receiving care* of any child care provider, including care in a home, to determine whether the child care provider is in compliance with applicable laws and regulations and any additional requirements imposed on such a provider by the district.

The district must report violations of regulations as follows:

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

1. 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:

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- Legally-Exempt Child Care
  - In-Home
  - Family Child Care
  - Group programs not operating under the auspices of another government agency
  - Group programs operating under the auspices of another government agency
  
- Licensed or Registered Child Care
  - Family Day Care
  - Registered School-Age Child Care
  - Group Family Day Care
  - Day Care Centers
  - Small Day Care Centers

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## APPENDIX N

## District Options (Required)

**I.** Districts have some flexibility to administer their child care subsidy programs to meet local needs. Districts must complete Question 1 below. Note that all districts must complete the differential payment rate table in Appendix T.

**1.** The district selects (check one):

none of the options below  one or more of the options below

**II.** Districts must check the options that will be included in the district's county plan and complete the appropriate appendix for any option checked below.

- 1.**  The district has chosen to establish funding set-asides for NYSCCBG (complete Appendix O).
- 2.**  The district has chosen to use Title XX funds for the provision of child care services (complete Appendix P).
- 3.**  The district has chosen to establish additional local standards for child care providers (complete Appendix Q).
- 4.**  The district has chosen to make payments to child care providers for absences (complete Appendix R).
- 5.**  The district has chosen to make payments to child care providers for program closures (complete Appendix S).
- 6.**  The district has chosen to pay for transportation to and from a child care provider (complete Appendix T).
- 7.**  The district has chosen to pay up to 15% higher than the applicable market rates for licensed or registered child care providers that have been accredited by a nationally recognized child care organization (complete Appendix T).
- 8.**  The district has chosen to pay a differential rate above the required 5%, up to 15% higher than the applicable market rates for child care services during non-traditional hours (complete Appendix T).
- 9.**  The district has chosen to pay a differential rate for child care providers caring for children experiencing homelessness above the required differential amount (complete Appendix T).
- 10.**  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).
- 11.**  The district has chosen to pay for child care services while a caretaker who works the second or third shift sleeps (complete Appendix T).

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12.  The district has chosen to make payments to child care providers who provide child care services exceeding 24 consecutive hours (complete Appendix U).
13.  The district has chosen to include 18-, 19- or 20-year-olds in the Child Care Services Unit (complete Appendix U).
14.  The district requests a waiver from one or more regulatory provisions. Waivers are limited to those regulatory standards that are not specifically included in law (complete Appendix U).
15.  The district has chosen to pay for breaks in activity for low income families (non-public assistance families). Complete Appendix U.
16.  The district has chosen to use local equivalent(s) of OCFS required form(s). Prior to using a local equivalent form the district must obtain OCFS, Division of Child Care Services (DCCS) written approval. ***Any previous approvals for local equivalent forms will not be carried forward into this county plan. Therefore, any local equivalent forms a district wishes to establish or renew must be included in this plan and will be subject to review and approval by OCFS.***

If the district elects to use the OCFS-6025, *Application for Child Care Assistance*, and makes no changes other than adding the district name and contact information, the district only needs to inform OCFS DCCS that it will be using the OCFS-6025.

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

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**APPENDIX O**  
Funding Set-Asides (Optional)

**I. Total NYSCCBG Block Grant Amount, Including Local Funds**

Category: .....\$  
 Category: .....\$  
 Category: .....\$  
 Category: .....\$  
 Category: .....\$

**Total Set-Asides (NYSCCBG) .....\$**

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

Category:  
Description:

Category:  
Description:

Category:  
Description:

Category:  
Description:

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

Category: .....\$  
 Category: .....\$  
 Category: .....\$

**Total Set-Asides (Title XX).....\$**

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

Category:  
Description:

Category:  
Description:

Category:  
Description:

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## APPENDIX P

## Title XX Child Care (Optional)

1. Enter the projected total of Title XX expenditures for the plan's duration: \$3,641,000.00

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)      %      (3)      %      (4)      %

2. 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

3. 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:

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

- Yes     No

If yes, describe which families will receive priority:

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

- Yes     No

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

- Yes     No

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## APPENDIX Q

## Additional Local Standards for Child Care Providers (Optional)

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

The district must coordinate with the local Enrollment Agency, including, but not limited to:

- Informing the Enrollment Agency of the intent to request an additional standard.
- Developing the stepwise process referenced in Question 5.
- Ensuring that no significant burden of work shall be incurred by the Enrollment Agency as a result of the additional local standard, unless such work is addressed in a separate contract or a formal agreement is in place, which are referenced in Question 3.
- Sharing any consent/release form that may be required.
- Keeping the Enrollment Agency informed of the approval status.

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

- Verification, using the district's local records, that the provider has given the caretaker complete and accurate information regarding any report of child abuse or maltreatment in which he or she is named as an indicated subject
- Local criminal background check
- Require providers caring for subsidized children for 30 or more hours a week participate in the Child and Adult Care Food Program (CACFP). *Note that districts are required to notify the Enrollment Agency, using the OCFS-2114, District Notification to Legally-Exempt Caregiver Enrollment Agency, of all providers on the referral list for whom the requirement is "not applicable."*
- Site visits by the district
- Other (please describe):  
Child Care sites must be in compliance with local city or municipal health and safety codes.

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

- Legally-exempt family child care program. 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 provider/program not operating under the auspices of another government agency. Check all that apply.
- Provider/Director     Provider's Employee                       Provider's Volunteer

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- Legally-exempt group provider/program operating under the auspices of another government or tribal agency. Check all that apply.
- Provider/Director     Provider’s Employee     Provider’s Volunteer

2a. Exceptions: There may be instances when the district may be unable to enact the additional standard, such as, the applicable person may reside outside of the district’s jurisdiction, or the site of care may not be located within the district. In such cases, the district may create an exception to the applicability stated above.

**Note:** *The Child Care Facility System cannot track such exceptions and, therefore, the district remains responsible for notifying the applicable Enrollment Agency, using the OCFS-2114, District Notification to Legally-Exempt Caregiver Enrollment Agency, that an additional standard is “not applicable” to the specific provider/person named on the referral list.*

Place a check mark below to show any exception to the applicability of this Local Additional Standard to programs or roles previously identified.

- a. The district will not apply this additional local standard when the applicable person *resides* outside of the subsidy-paying district.
- b. The district will not apply this additional local standard when the *program’s site of care is located outside* of the subsidy-paying district.
- c. The district will not apply this additional local standard when *the informal provider is younger than 18 years* of age.

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

- Local social services staff  
Provide the name of the unit and contact person:

Al Jarvie, SIU Supervisor, DHS Special Investigation Unit 585-753-6886

- Contracted agency  
Provide the name of the agency and contact person:

4. Are there any fees or other costs associated with the additional local standard?

- Yes     No

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

5. Describe, in chronological order, the steps for conducting the additional local standard. Include how the district will retrieve referrals from CCFS, communicate with providers and other applicable persons, determine compliance with the additional local standard,



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inform the Enrollment Agency whether the additional local standard has been “met,” “not met”, or is “not applicable”, and monitor its timeliness. Include all agencies involved and their roles. Note that the district’s procedures must be in accordance with 12-OCFS-LCM-01.

Monroe County will apply the same health and safety standards to legally- exempt (L-E) family and L-E in-home child care program sites as are applied to housing units for public assistance recipients in accordance with Social Service Law 143-B, in determining whether violations may pose a health or safety risk to children utilizing a listing of property violations determined by the Monroe County Department of Public Health that pose significant risk of health or safety concerns. Monroe County will, for each location where subsidized L-E family and L-E in-home childcare is provided within the county, determine, to the extent possible, whether there are open property code violations for the site where the L-E family and L-E in-home childcare will be provided. Monroe County will process the Child Care Facility System (CCFS) referrals for this additional standard at the time of the initial enrollment and at re-enrollment. Additionally, Monroe County will investigate a L-E family or L-E in-home child care site from any hotline, whistleblower, complaint, or other outside tips or concerns where the L-E family or L-E in-home child care is being provided that may have open health or safety violations. a. To initiate the additional standards check, per NYS OCF policy, the CCFS will automatically generate an e-notice referral for where the applicable L-E family and L-E in-home childcare is being provided within the county. b. SIU Investigator received the e-notice referral and enters the information into a spreadsheet including the municipality that the program site is located in. The SIU Investigator will contact the appropriate municipality or access on-line data bases to determine if there are any health and safety violations consistent with the list provided by the Monroe County Health Department (attached). i. For L-E family and L-E in-home care provided within the City of Rochester, Monroe County Department of Human Services (DHS) staff will access a public website(s) managed by the City of Rochester’s Conservation Bureau Violations Codes that are listed on the website are determinations made by the City of Rochester or the Municipal Property Bureau. Monroe County DHS staff will review all property code violations identified on the City of Rochester’s website and compare them against the attached list of Property Conservation Violation Codes designated as “health and safety” violations by the Monroe County Director of Public Health. ii. When L-E family and L-E in-home child care is being provided within Monroe County, but outside the Rochester City limits, Monroe County DHS staff will place telephone calls to those Municipality Property Bureau to determine if they have identified open property code violations. Monroe County staff will contact the Municipality Property Bureau when care is provided outside the City of Rochester. Monroe County DHS staff will confirm by telephone with that Municipality’s Property Bureau whether or not open code violations exist. The same list of “health and safety” violations designated by the Monroe County Director of Public Health is applied to all municipalities for assessing potential risk to children receiving L-E family and L-E in-home care. c. When there is a current open health and safety code violation/s for an enrolled or enrolling providers of L-E family and L-E in-home child care site, a Monroe County Special Investigations Unit (SIU) Investigator will conduct a visit of the property and will contact the L-E family and L-E in-home child care provider to discuss and evaluate the open code violation/s. Prior to a visit, the investigator will check the L-E family and L-E in-home provider’s status in

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CCFS to determine if the provider has withdrawn their application or has been denied. If the L-E family or L-E in-home provider has not withdrawn or been denied, the district will run the program site address thru Citytax or the Municipality's Property Bureau to see if open health and safety code violations have been resolved prior to a visit. i. If the open health and safety code violations have been resolved, the additional standard will be considered “Met” indicating that the L-E family and L-E in-home site does not have health and safety code violations. ii. “Not Met” indicates that the L-E family and L-E in-home child care site has open health and safety violation (1) were identified and that those violations may pose a health and safety risk for children receiving care at the child care site and that the L-E family or L-E in-home child care provider was unwilling or unable to clear the violations in the time frames set forth by the municipality or (2) the municipality determined that the property was uninhabitable due to and issued a vacate order. The violation/s does not affect the parent’s eligibility. Monroe County will inform parents that they need to find a new child care provider and the reason(s) why. iii. The additional standard is considered “Not Applicable” if the L-E family and L-E in-home site is outside of Monroe County. d. The district will notify the EA within 25 days of the CCFS e-notice referral, as to whether the standard is “Met” or “Not Met” or “Not Applicable” utilizing an electronic worksheet approved by NYS OCFS (5-23-2017) in collaboration with the Child Care Council, Inc. (enrollment agency). “Met” indicates that the L-E family or L-E in-home site does not have health and safety code violations. “Not Met” indicates that the L-E family or L-E in-home child care site has open health and safety violation (1) were identified and that those violations may pose a health and safety risk for children receiving care at the child care site and that the L-E family or L-E in-home child care provider was unwilling or unable to clear the violations in the time frames set forth by the municipality or (2) the municipality determined that the property was uninhabitable due to and issued a vacate order. “Not Applicable” indicates the L-E family care or L-E in-home care site is outside of Monroe County for children living in Monroe County. Monroe County will not apply this standard when care is provided outside of Monroe County.

6. Indicate how frequently the additional local standard will be applied. Answer both questions.
- a. The Standard will be applied:
    - i.  At initial enrollment and re-opening
    - ii.  At each re-enrollment
  - b. The district will assess compliance with the additional local standard:
    - i.  *During the enrollment review period*, and, the district will notify the Enrollment Agency of the results within 25 days from the E-Notice referral date.
    - ii.  *During the 12-month enrollment period*, and, the district will notify the Enrollment Agency of the results promptly. Note that this option is always applicable to an additional local standard requiring participation in CACFP.

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7. Describe the justification for the additional local standard in the space below.

Monroe County Department of Human Services has partnered with the City of Rochester and the Lead Free Coalition of Rochester and Monroe County to identify best practices in mitigating health and safety risks for children in our community, particularly children living in poverty. We have informally reviewed LE provider applications for the past three years and identified between 5.5% and 8% of LE provider applications are for sites flagged by the City of Rochester as having open code violations that would be classified as “health and safety” violations by the Director of Public Health. Additionally, 35% of the properties with identified health and safety violations have an identified lead paint hazard. This additional standard will assist providers, parents and the community in minimizing environmental health and safety hazards to children receiving care in L-E family and L-E in-home child care sites.

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Violation codes designated as Health & Safety (8/13/13)**PROPERTY CONSERVATION VIOLATION CODES**

FAILURE TO OBTAIN A C OF O	PC008
FURNACE INOPERABLE (NO HEAT)	PC010
HEAT INADEQUATE	PC020
TRASH/DEBRIS IMMED HAZARD	PC113
PIGEON INFESTATION	PC120
ROOF HAS HOLES	PC188
ROOF LEAKING	PC195
PCH COLUMN(S) MISSING/DET	PC257
STEPS UNEQUAL RISERS	PC270
STEPS HANDRAIL BROKEN/MISS	PC271
STEPS GUARDRAIL BROKEN/MISS	PC277
FIRE EXTG-UPDATE INSPECTION	PC284
COMBUSTIBLE STORAGE INT'R	PC286
F-ESC REPAIR	PC289
F-ESC DOESN'T GO TO FLAT ROOF	PC315
F-ESC. ACCESS BLOCKED	PC320
POOL REQUIRES FENCING	PC342
WINDOW PANE BROKEN/MISSING	PC379
WINDOW PANE BROKEN OR MISSING	PC382
WINDOW NOT OPERABLE	PC388
DOOR BOARDED	PC433
DOOR BROKEN/MISSING – EXT	PC434
PUB HALL LIGHT INADEQUATE	PC468
PUB HALL WAINSC'G NOT F-RET	PC470
FIREWALL NEEDS REPAIR	PC481
FIREWALL NEEDS REPAIR	PC486
PUB HL DR WIRE GLASS REQD.	PC490
PUB STAIR REPAIR	PC502
PUB STAIR HANDRAIL MISS./BROKEN	PC503
PUB STAIR GUARDRAIL MISS/BROKEN	PC507
EGRESS-APT/RM NEEDS 2 <sup>ND</sup>	PC521
CELLAR CHIMNEY HAS HOLES	PC571
CELLAR OCCUPANCY UNAPP'D	PC580
CELLAR STR DR CL DEV BRKN/MISS	PC598
CELLAR STR ENCL F-DOOR	PC600
CELLAR STR ENCL –MISSING/REPAIR	PC601
APPLIANCE RED-TAGGED	PC606
CELLAR CLNG NOT F-RETARDE	PC607
S DET. COVER MISSING	PC609
SMOKE ALARM REQUIRED – BASEMENT	PC610
S-D SYTEM REQ'D 5 OR MORE UNITS	PC612
S-D SYSTEM NEEDS REPAIR	PC614
S-D SYSTEM REQ MORE S-DET	PC616

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S-DET. REQ'D SPECIFY	PC624
S DET. SYS REQ'D 2 FAM 2/3RD FL	PC627
WIRES EXPOSED	PC671
EXIT SIGNS ARE REQUIRED	PC676
EMGNCY LIGHTS ARE REQUIRED	PC677
EMGNCY LIGHTS DON'T WORK	PC678
STORAGE NEAR HEATING UNIT	PC679
S-H/D SYSTEM REQ'D COMM	PC680
FECAL MATER (IMMED HAZD)	PC683
UNSANITARY COND (IMMD HAZ)	PC684
UNSAFE STRUCTURE	PC687
INFESTATION (INT)	PC688
EXITS ARE BLOCKED	PC696
LEAD DUST HAZARD	PC710
LEAD DUST WIPE TEST REQUIRED	PC713
BARE SOIL VIOLATION	PC714
HEATER (KEROSENE) UNAPPROVED	PC728
DOOR LOCK & HASP –REMOVE	PC736
WINDOW BOARDED	PC744
OVER OCCUPIED UNIT	PC772
INTERIOR DETERIORATED PAINT > 2 SQUARE FEET	PC802
INTERIOR DETERIORATED PAINT > 10%	PC803
EXTERIOR DETERIORATED PAINT > 20 SQUARE FEET	PC804
EXTERIOR DETERIORATED PAINT > 10%	PC805
DETERIORATED PAINT IN COMMON HALLWAY	PC807
DETERIORATED PAINT IN ATTIC	PC808
VACATE ORDER-BUSINESS	PC900
VACATE ORDER	PC901
VACATE APARTMENT ORDER	PC902
3 <sup>RD</sup> FLOOR OCCUPANCY W/O	PC913
C-MON. DET REQ'D EXISTING BUILDING	PC917
C-MON DET REQ'D NEW BUILDING	PC918
EXTENSION CORDS - REMOVE	PC937
FLUE (BOILER) DETERIORATED	PC940
FLUE (FURNACE) NOT CONN/SEALED	PC945
FURNACE RED TAGGED	PC949
HAZARD – CORRECT IMMED (SPECIFY)	PC952
JUNCTION BOX OPEN	PC955
OUTLETS REPAIR/REPLACE	PC962
OUTLETS/SWITCH REQ. PLATES	PC963
RLF VLV DISCHARGE (W/HTR)UNAPPT	PC970
SERVICE BOX NEEDS K-O SEALS	PC971
SERVICE IS OVERFUSED	PC973
SEWAGE (RAW) CELLAR	PC974
VENT (DRYER) UNAPPROVED	PC986
WATER (HOT) NONE	PC991

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WIRES EXPOSED ENCLOSE/REMOVE	PC996
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**BUILDING VIOLATION CODES**

STOP WORK ORDER	BC300
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**ELECTRICAL VIOLATION CODES**

SERVICE OFF RESTORE IMMEDIATELY	EL009
CIRCUITS ARE EXPOSED	EL101
OUTLETS ARE MISSING	EL130
SERVICE IS INADEQUATE	EL150
SERVICE NEEDS MAIN DISCONNECT	EL158
WIRING IS UNAPPROVED – UNIT	EL173
WIRING UNAPPROVED – BASEMENT	EL176
OUTLET (LAUNDRY) NEEDS TO BE GRND	EL195
PANEL (MAIN) NEEDS REPAIR	EL221
SERVICE ENTRANCE CABLE DET.	EL272

**PLUMBING VIOLATION CODES**

MAKE ALL PLUMBING OPERABLE	PL010
GAS LINE UNAPPROVED - UNIT	PL200
GAS LINE UNAPPROVED – BASEMENT	PL206
DRAIN LINE UNAPPROVED	PL221
DRAIN LINE LEAKING	PL235
PIPES LEAKING - BASEMENT	PL237
PIPES ARE LEAKING - UNIT	PL318
SINK MISSING/REPAIR	PL340
SUMP PUMP NEEDS REPAIR	PL402
GAS SHUTOFF REQ. (BOILER)	PL516

**ZONING VIOLATION CODES**

ROOMING HOUSE CONVERSION	ZN119
3 <sup>RD</sup> FL OCC WO PMT/CZC	ZN121
B'MENT OCC WO PMT/CZC	ZN123
ADD'NL D-U WO PMT.CZC	ZN130

**MONROE COUNTY LEAD VIOLATIONS**

INTERIOR LEAD PAINT	LP500
EXTERIOR LEAD PAINT	LP600

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**APPENDIX R**

**Payment to Child Care Providers for Absences (Optional)**

1. 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

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

- Yes
- No

3. Base period (check one):  3 months  6 months

4. 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	0	3	3
Base period	0	18	18

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

Payment will only be allowed for open Child & Family Services cases (LDSS case prefix SO) in which the child is to appear in court or keep appointments related to the provision of preventive, FC, adoption or child protective services, or other needs as identified in the child's service plan.

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

Payments will only be made if the child care program is open AND the parent is scheduled to work or attend an approved activity.

NOTE: Monroe County requested a waiver of 415.6(b)(5) so that the county could pay for extenuating circumstances absences only, and not pay for non-extenuating circumstances routine temporary absences. Monroe County also requested to pay for up to three absences for extenuating circumstances in a calendar month, or up to 18 absences for extenuating circumstances over a six month period. The waiver request was approved by OCFS and went into effect the date the childcare portion of Monroe County's 2012-2016 Child and Family Services Plan was approved and became effective.

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

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## APPENDIX S

Payment to Child Care Providers for Program Closures (Optional)

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1. 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
  
2. The district will only pay for program closures to providers with which the district has a contract or letter of intent.
  - Yes     No
  
3. Enter the number of days allowed for program closures (maximum allowable time for program closures is five days).
  
4. List the allowable program closures for which the district will provide payment.

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



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## APPENDIX T

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

## I. Transportation

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

No

Yes, describe:

## II. Differential Payment Rates

1. Districts must complete the Differential Payment Rate Percent (%) column in the table below for each of the four (4) differential payment rate categories. For the two (2) categories that require a state minimum five percent (5%) differential payment rate, the district must enter “5%” or, if it chooses, a higher rate up to 15%.

The other two (2) differential payment rate categories in the table below are optional. If the district chooses not to set differential payment rates, the district must enter zero. If the district chooses to set a differential payment rate, enter the appropriate percentage up to 15 percent (15%). Note that if the district selects a differential payment rate for nationally accredited programs, then that rate must be in the range of five percent (5%) to 15 percent (15%).

Differential Payment Rate Category	Differential Payment Rate Percent (%)	Instructions for Differential Payment Rate Percent (%) Column
Homelessness: Licensed and Registered Providers <b>State required minimum of 5%</b>	5%	Enter a percentage (%): 5% to 15%. ( <u>Must</u> enter at least <u>5%</u> )
Homelessness: Legally-Exempt Providers	0%	Enter 0% or a percentage (%) up to 15%.
Non-traditional Hours: All Providers <b>State required minimum of 5%</b>	5%	Enter a percentage (%): 5% to 15%. ( <u>Must</u> enter at least <u>5%</u> )
Nationally Accredited Programs: Licensed and Registered Providers	10%	Enter 0% or a percentage (%) from 5% to 15%.

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2. Payments may not exceed 25% above market rate. However, if your district wants to establish a payment rate that is more than 15% above the applicable market rate, describe below why the 25% maximum is insufficient to provide access within the district to accredited programs or care provided during non-traditional hours and/or care provided to children experiencing homelessness.

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

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

No.

Yes. Indicate percent, not to exceed 75% of the child care market rate established for registered family day care.

**IV. Sleep**

1. The following describes the standards the district will use to evaluate whether to pay for child care services while a caretaker that works a second or third shift sleeps, as well as any limitations pertaining to payment:

Child care to allow a parent to sleep may be paid with Administrative approval and supporting documentation under the following circumstances: special circumstances include parents working night shift requiring sleep during the day and the child(ren) are below school age or the care is during the school break.

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

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### APPENDIX U

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

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#### I. Child Care Exceeding 24 Hours

1. Child care services may exceed 24 consecutive hours when such services are provided on a short-term emergency basis or in other situations where the caretaker's approved activity necessitates care for 24 hours on a limited basis. Check below under what circumstances the district will pay for child care exceeding 24 hours.

On a short-term or emergency basis

The caretaker's approved activity necessitates care for 24 hours on a limited basis

2. Describe any limitations on the payment of child care services that exceed 24 consecutive hours.

Childcare services exceeding 24 hours may be paid with Administrative approval and supporting documentation.

#### II. Child Care Services Unit (CCSU)

1. Indicate below if your district will include 18-, 19-, or 20-year-olds in the CCSU for determining family size and countable family income.

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

18-year-olds

19-year-olds

20-year-olds

**OR**

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

18-year-olds

19-year-olds

20-year-olds

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

Financial criteria only, when inclusion of the 18/19 year old makes the household eligible for assistance.

#### III. Waivers

1. 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.

See Appendix R - Absences

**MONROE COUNTY – 2017 APU****IV. Breaks in Activities**

1. Districts may pay for child care services for low-income families during breaks in activities either for a period not to exceed two weeks or for a period not to exceed four weeks when child care arrangements would otherwise be lost and the subsequent activity is expected to begin within that period. If your district will pay for breaks in activities, indicate below for how long of a break that the district will pay for (check one):

Two weeks                       Four weeks

2. Districts may provide child care services while the caretaker is waiting to enter an approved activity or employment or on a break between approved activities. The following low-income families are eligible for child care services during a break in activities (check all that are eligible):

- a.  Entering an activity
- b.  Waiting for employment
- c.  On a break between activities