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| LOCAL COMMISSIONERS MEMORANDUM |
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Transmittal No: 98 LCM-3

Date: January 23, 1998

Division: Development and
Prevention Services

TO: Local District Commissioners

SUBJECT: Child Day Care Registration: Contracting with the Office of
Children and Family Services for the Provision of
Registration Services

ATTACHMENTS: Attachment - Number of Family Day Care Providers and
School-Age Child Care Providers by District
(Available on-line)

Chapter 750 of the Laws of 1990 allows the Office of Children and Family Services to provide various activities related to the implementation of a state-wide system of registration for child day care providers through purchase of services. Currently 22 social services districts and the New York City Department of Health serve as county registrars. The purpose of this LCM is to provide a basis for additional social services districts to decide whether to contract with the Office for the provision of quality improvement activities relating to child day care registration. Such quality improvement activities include processing registration applications and conducting inspections. The LCM will outline the activities for which the Office is willing to contract; provide data to assist social services districts in preparing budget requests; and provide criteria to be used by the Office in making contract decisions.

Contracting with the Office for the provision of quality improvement activities related to child day care registration allows social services districts the opportunity to maintain a strong relationship with the family day care and school-age child care providers within the county. Such activities can enhance the ability of social services districts to access providers willing to serve children whose care is subsidized by the social

services district. In addition, by conducting such activities the social services district is provided an opportunity to more closely monitor the quality of care received by children and families in receipt of child care subsidies.

DESCRIPTION OF ACTIVITIES

The Office is interested in contracting with local social services districts to process registration applications and conduct inspections. Social services districts must perform all the functions described below for any of the activities for which they choose to contract.

Activity 1: Processing Registration Applications

This activity includes the following functions:

- o Conducting regularly scheduled orientation sessions for potential new applicants. Orientation sessions must be conducted using an Office-supplied curriculum or a local equivalent which has been approved by the Office. Orientation sessions must be held at times and locations which are convenient to potential providers. Individuals attending orientation must be provided with proof of attendance.
- o Providing application packets at orientation sessions and otherwise upon request.
- o Providing technical assistance to help potential and current providers understand and comply with applicable regulations, complete the application (either original or renewal), and submit appropriate documentation. Additional supportive information must be made available to child day care providers.
- o Reviewing applications, including all supporting documentation, for completeness and compliance with applicable regulations. This includes acting upon those portions of the application which require action (e.g. reviewing references and documentation).
- o Notifying providers of application status, including notice within five days of receipt of original application or renewal application and notice of outstanding or incomplete documentation.
- o Mailing renewal application packets to providers 120 days prior to the expiration of their registrations.
- o Recommending approval or disapproval of all applications reviewed to the Bureau of Early Childhood Services Regional Office.

- o Reporting monthly the number of orientation sessions held, including program category (family day care or school-age child care), location, and number of potential providers attending; the number of providers by program category who have been given technical assistance or information; the number of original applications and the number of renewal applications received for each program category; and the number of original applications and the number of renewal applications pending due to outstanding documentation.
- o Entering all applicants into the Office's Child Care Facility System and maintaining accurate up-to date information on the applicant and his/her status.

Activity 2: Conducting Inspections

This activity includes the following functions:

- o Inspecting at least 20 percent of registered providers annually with a priority to newly registered providers and other providers who have not been inspected. To the maximum extent possible, the Office will identify the providers to be inspected. A full compliance study must be made at each of these unannounced inspection visits. All violations must be followed to correction or referred to the Bureau of Early Childhood Services Regional Office for enforcement action.
- o Investigating all complaints that, if true, would indicate lack of compliance with statutory or regulatory requirements. If the complaint indicates that children may be in imminent danger, an unannounced site inspection must be made no later than the next day of program operation. In all other cases inspection visits must be made within 15 days of receiving the complaint, except for those complaints alleging solely the failure to register. In addition to investigating the complaint, a full compliance study must be made if conditions suggest it is necessary. All violations must be followed to correction or referred to the Bureau of Early Childhood Services Regional Office for enforcement action.
- o Sending notices to persons alleged to be operating programs subject to registration who have failed to register. Follow-up is required to assure that providers register within 30 days or state why they are not subject to registration.
- o Investigating all family day care homes where application has been made to provide care for an additional one or two children who are school-age, provided an inspection has not already been made for another reason, and recommending to the Office approval or disapproval of the application to serve one or two additional children. A full compliance study must be made if conditions suggest it is necessary. All violations must be followed to correction or referred to the Bureau of Early Childhood Services Regional Office for enforcement action.
- o Inspecting, upon receipt of the renewal application, all providers who have failed to meet the training requirement or who have unresolved regulatory violations or complaints.

- o Maintaining inspection reports and documentation of compliance or corrective actions in the file of each inspected provider.
- o Maintaining, in the Office's Child Care Facility System, accurate, up-to date information on the provider.
- o Providing information as necessary to meet the requirements of the statute with regard to the operation of a complaint line.

SUBMITTING BUDGET REQUESTS

The Office of Children and Family Services will contract with social services districts to conduct the activities previously described. Social services districts must be willing to provide all of the described activities.

To assist social services districts in calculating the projected workload associated with the available activities, the number of family day care providers and school-aged child care programs in each social services district is attached. Interested districts should consult with the Bureau of Early Childhood Services for assistance in developing projections for additional family day care and school aged slots. In developing staffing and budget projections, an acceptable standard to consider is a registrar/inspector-to-provider ratio of 1 to 150. Reasonable clerical and supervisory costs will also be considered. Administrative costs may not exceed 5 per cent. The Office will approve budget requests which incorporate the most cost effective approach to the activities selected, contingent upon availability of funds.

Letters of interest should be submitted to:

Suzanne Zafonte Sennett
Director
Bureau of Early Childhood Services
NYS Office of Children and Family Services
40 North Pearl Street 11B
Albany, New York 12243

Please direct questions regarding this LCM to Suzanne Zafonte Sennett (AW1160) at (518) 474-9454.

Transfer Implementation

Chapter 436 of the Laws of 1997 renames the Department of Social Services as the Department of Family Assistance comprised of two independent offices: the Office of Children and Family Services and the Office of Temporary and Disability Assistance. Upon the execution of a Memorandum of Understanding and compliance with the Civil Service Laws, responsibility as specified in Chapter 436 will be transferred from the former Department of Social Services to the Office of Children and Family Services (OCFS) and fully integrated with the functions and duties of the former Division for Youth. The contents contained herein have been approved by all necessary staff of the referenced agencies.

Rose M. Pandozy
Deputy Commissioner

NUMBER OF PROVIDERS BY SOCIAL SERVICES DISTRICT

<u>DISTRICT</u>	<u># FAMILY DAY CARE PROVIDERS</u>	<u># SCHOOL-AGE CHILD CARE PROVIDERS</u>
Albany	163	43
Allegany	33	0
Broome	175	24
Cattaraugus	37	3
Cayuga	139	13
Chautauqua	138	10
Chemung	114	16
Chenango	61	6
Clinton	124	8
Columbia	37	5
Cortland	90	9
Delaware	90	1
Dutchess	215	26
Erie	313	100
Essex	64	2
Franklin	107	1
Fulton	35	3
Genesee	51	5
Greene	30	1
Hamilton	0	0
Herkimer	43	9
Jefferson	90	13
Lewis	22	2
Livingston	55	8
Madison	45	7
Monroe	927	75
Montgomery	31	1
Nassau	398	61
Niagara	60	14
Oneida	241	15
Onondaga	456	59
Ontario	117	6
Orange	167	21
Orleans	20	3
Oswego	103	8
Otsego	103	6
Putnam	94	2
Rensselaer	52	11
Rockland	304	34
St. Lawrence	92	2
Saratoga	132	21
Schenectady	138	18
Schoharie	20	1
Schuyler	43	1
Seneca	74	2

Steuben	173	14
Suffolk	403	56
Sullivan	50	1
Tioga	73	4
Tompkins	117	7
Ulster	148	7
Warren	70	8
Washington	45	0
Wayne	98	5
Westchester	434	50
Wyoming	35	1
Yates	23	0