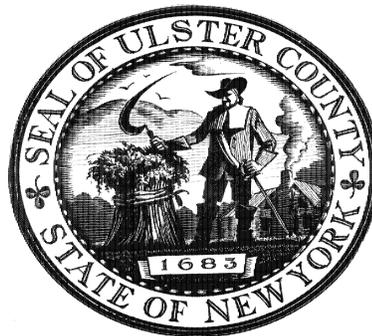


ULSTER COUNTY COMPTROLLER'S OFFICE

Kingston, New York

**Ulster County Department
of Social Services
Review of the Child Care and
Development Block Grant**



Prepared By:
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May 1, 2013

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Elliott Auerbach
Comptroller

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Deputy Comptroller

May 1, 2013

Dear County Officials:

One of the County Comptroller's Office top priorities is to identify areas where Ulster County departments and agencies can improve their operations and services in order to assist Ulster County officials in performing their functions. This includes the development and promotion of short-term and long-term strategies to achieve reduced costs, improved service delivery, and to account for and protect the County's assets.

The reports issued by this Office are an important component in accomplishing these objectives. These reports are expected to be a resource and are designed to identify current emerging fiscally related problems and provide recommendations for improvement.

The following report is based on our review of the New York State Child Care Block Grant. This is a federal grant passed through to New York State with the primary purpose to provide child care services for low-income family members who work, train for work, or attend school.

If we can be of assistance to you, or if you have any questions concerning this Report, please feel free to contact us.

Respectfully submitted,

Ulster County Comptroller

EXECUTIVE SUMMARY

This report (“Report”) examines the New York State Child Care Block Grant (“NYSCCBG”) for low-income families that meet certain requirements established by NYS and are eligible for day care assistance. The purpose of this grant is to provide affordable day care to qualified families, which affords the custodian the ability to work.

This grant has many qualifying criteria such as: income limits, day care market rates, types of day care providers, and facility monitoring requirements. Due to the large volume of information we obtained and the many complexities of the program, our Report focuses on the specified areas tested.

Our test work revealed frequent inaccuracies in the manual calculations necessary to approve provider billings on a monthly basis. We believe these inaccuracies are a result of the complexities of the calculations and the lack of an adequate software program to perform them. Errors occur as a result of the numerous factors that must be verified in order to substantiate the amounts billed. The areas that must be verified on every transaction (approximately 600 per month) are:

- Determining the type of provider
- Verifying the child’s age
- Comparing day care charges to the recipient’s work verification form or confirming the work schedule by contacting the recipient’s employer directly
- Determining which market rates (weekly, daily, part-time, or hourly) to use based on each recipient’s weekly work schedule
- Calculating and allocating the family share to the individual children
- Adjusting for changes that occurred during the re-certification process, a procedure that must be completed at least once every six months

During our review we identified the following issues:

- There were three day care providers being paid although these providers were “closed out” according to Day Care Council (Family of Woodstock), records
- Apparent miscommunication between the Day Care Council and Department of Social Services Day Care Unit
- A majority of invoices that the day care providers were submitting were inaccurate due to the complexity of the calculations, specifically related to the proper rate calculation to charge
- In a sample of 30 cases, we identified three instances where the amount the family unit was required to contribute was in the aggregate approximately \$230 more than they should have been paying
- In a sample of 27 day care provider bills, we found that Ulster County Department of Social Services Day Care Unit had a net overpayment of approximately \$511 to providers
- Of the providers sampled, 9 had established rates that were lower than the set market rate, however, they were paid the higher amounts resulting in additional overpayment by the County of nearly \$540

I. AUTHORITY

The Office of the County Comptroller conducted this review and produced this Report in accordance with the Comptroller’s authority as set forth in Article IX, Section 57, first paragraph, and Sections 57(A) and (G) of the Ulster County Charter, as well as applicable State laws, rules and regulations.

II. BACKGROUND

The New York State Child Care Block Grant (“NYSCCBG”) provides funding for child care to recipients of Temporary Assistance (“TA”), low-income families transitioning off TA, families who have opted to receive “child care in lieu of TA”, and non-TA low income families. Our Report focuses on the latter category: non-TA low-income families that are eligible for funding, if available.

The NYSCCBG provides funding to low-income families¹ that have eligible children² and are either engaged in work, seeking employment, or enrolled in a training program. The main objective of this grant is to support personal responsibility and assist working parents faced with financial hardships by making safe and reliable child care available. In order to qualify the parent/guardian (hereafter referred to as “recipient(s)”) must be “working” as defined below:

- Wages are equal to or greater than the minimum amount required under federal and state labor law;
- self-employed; or
- actively seeking employment

Payments are made directly by the Ulster County Department of Social Services Day Care Unit (“DSS”) to the child care “Provider” (as defined below) once they receive an invoice and the detailed monthly attendance summary.³

Parents have many options in determining who cares for their eligible children. They can choose from licensed child care centers, licensed group homes, licensed family care, and informal unlicensed care (hereafter collectively referred to as “Provider(s)”). Each of these Providers have separate registration, monitoring, and licensing requirements as well as stated enrollment limits associated with the number and age of children. A discussion of the differences and requirements of each provider is beyond the scope of this Report.

¹ This block grant defines low income families as families that fall under the 200% Federal Poverty Level Tables that are issued each year. The current table is effective for June 1, 2012 through May 31, 2013 and is detailed in **Appendix 1.**

² An eligible child is defined as a child who resides with a recipient in an eligible family that is under 13, or under 18, if they have special needs or are under court supervision.

³ The payments are made directly to the provider for the “net” amount. This net amount is the fee that the provider charges (up to the established market rates) less the family share. The family share is calculated by DSS and is paid directly to the provider by the recipient. The current market rates are listed on the Daycare Rate Schedule in **Appendix 2.**

DAY CARE BLOCK GRANT

For the fiscal year ended March 31, 2013, DSS was scheduled to receive funding of \$3,341,932 in order to assist approximately 600 families. Based on past data, the funding is approximately 90% federal aid and 10% state aid. The actual revenue and expenditures for the past five years and budgeted numbers for 2013 are detailed in **Table #1** below:

Table #1: Detailed Schedule of Five Years of Revenues and Expenditures with 2013 Budgeted Numbers						
<u>Revenues:</u>	2008	2009	2010	2011	2012	Budgeted 2013
Federal Aid	\$ 2,771,241	\$ 2,807,777	\$ 2,786,136	\$ 2,921,241	\$ 2,495,161	\$ 2,631,231
State Aid	311,521	200,067	371,790	232,138	358,455	350,413
Misc Revenues	3,002	19,303	3,872	6,193	15,981	10,000
Total Revenues	\$ 3,085,764	\$ 3,027,147	\$ 3,161,798	\$ 3,159,572	\$ 2,869,597	\$ 2,991,644
<u>Expenditures:</u>						
Contractual Exp	\$ 3,189,439	\$ 3,231,297	\$ 3,286,538	\$ 3,593,797	\$ 3,747,924	\$ 3,200,000
Total Exp.	\$ 3,189,439	\$ 3,231,297	\$ 3,286,538	\$ 3,593,797	\$ 3,747,924	\$ 3,200,000
<u>County Funded:</u>	\$ 103,675	\$ 204,150	\$ 124,740	\$ 434,225	\$ 878,327	\$ 208,356
<u>Percentage of Federal and State Aid to Expenditures:</u>						
Federal Aid	89.81%	92.75%	88.12%	92.46%	86.95%	87.95%
State Aid	10.10%	6.61%	11.76%	7.35%	12.49%	11.71%
Repayments	0.09%	0.60%	0.12%	0.17%	0.43%	0.31%

III. OBJECTIVES

The objective of this Report was to determine if DSS has adequate controls to provide reasonable assurance that payments to Providers accurately reflect child care services rendered. Our Report addressed the following related questions:

- Did DSS calculate the recipient’s household (“family unit”) contribution correctly?
- Did DSS have complete applicant files which contained all required forms?
- Did DSS recalculate and pay the proper amount to the child care provider based upon the established market rates less the family share?
- Did DSS apply appropriate rates if the provider charged less than the market rate?
- Is DSS monitoring the child care providers as it relates to safety concerns, licensing, and inspections?

IV. THE PROCESS

A recipient is required to fill out an application which contains information about the family unit and financial/employment information. In addition to the application, the recipient is obligated to complete and/or provide numerous forms to establish eligibility.

Once DSS receives the required documentation, it can take up to four weeks to process the application and confirm the family unit falls below the income limits and qualifies for this

subsidy. After eligibility is determined, the recipient is notified, at which point they choose their provider.

The recipient is allowed to choose a provider based on their needs and are required to contribute a “family share amount” which is determined by their gross salary and family size. This is documented on a *Case Budget* form, as seen in **Appendix 3**. This required contribution is deducted from the payment that DSS makes to the providers and is the provider’s responsibility to collect.

After eligibility is determined and agreements have been signed by all parties the recipient can begin work while their children are cared for by the provider. The provider tracks the child’s attendance at their facility and submits an invoice to DSS on a monthly basis. Upon receipt of these invoices, DSS verifies that the services were approved, the attendance records agree to the recipient’s work schedule, and verify the provider’s invoice for correct billing rates. Once verified, the invoices are forwarded to the DSS accounting department which inputs the invoice into the Welfare Management System (“WMS”) for payment.

Another component of the process is performed by Family of Woodstock (“FOW”). DSS contracts with FOW to serve as the Day Care Council. FOW is thus responsible for registrations and inspections of family day care, school aged child care, and all legally exempt providers. FOW also monitors the providers to verify they are licensed, registered, inspected, and complaints, if any, are investigated. According to the contract, FOW is required to conduct safety inspections on a defined percentage of Providers. As part of our review we conducted a field visit to FOW to verify the terms of this contract were being complied with, and we confirm that FOW has exceeded all NYS minimum standards.

V. SCOPE AND METHODOLOGY

Due to the complexity of this review we divided our field work into three categories: (1) recipient testing, (2) provider/monitoring testing, and (3) disbursement testing.

Recipient Testing: The purpose of this test was to ensure the recipient was working, attending school, or receiving training in accordance with the program regulations. We also verified that the family unit fell under the poverty levels established by the Federal Government. Furthermore, we verified that the children receiving these services were under 13 years old, a criteria set forth in the grant provisions. We accomplished these tests by sampling 30 recipient folders and traced the information within back to applications and other supporting documentation.

Provider/Monitoring Testing: To verify that each provider folder contained an application with all appropriate back up we tested the above 30 recipient’s provider folders. This allowed us to verify 27 various provider files for the following documentation: current inspection, completed sex offender search, signed criminal attestation statement, and provider registration and licensure where applicable. We also reviewed *Provider Rate Verification Forms* to determine that DSS was not overpaying providers if the provider rates were lower than market rates.

Disbursement Testing: For this test we reviewed one month of bills submitted to DSS by the providers. We verified that the children were within the age limits, the recipient was working during the time the day care was charged for, the number of hours agreed to the recipients work schedule or other documentation, and the charges and family share calculations were correct. Additionally, we verified the calculations were signed off and approved by the Social Welfare Examiner, Day Care Supervisor, and the DSS accounting clerk.

VI. FINDINGS AND RECOMMENDATIONS

1. Finding: Paying Provider that is not Active

DSS contracts out the monitoring of Family Day Care, School Aged Child Care, and Legally Exempt Providers to FOW. We conducted a field visit to their facility to review provider folders, in an effort to ascertain that the providers are being monitored, inspected regularly, are licensed, and safe. Within our sample, specific problems were identified, which led to further inquiries.

FOW informed us that on December 7, 2011, they closed out a case stemming from allegations of unsafe conditions at a recipient's home. This was identified by an anonymous call to DSS, which was then turned over to FOW. Upon FOW conducting a site visit to the property, they discovered the residence was vacant. FOW advises that they notified DSS on December 14, 2011 of the case's closure and has produced a copy of the referenced notification. But, in further questioning of DSS staff, DSS advises that they never received the proper close-out notification, nor, according to DSS, did the provider or parent. Our review of child care payments revealed that DSS was still being billed and sending payments to this provider as of the last day of our fieldwork. DSS has paid this provider \$35,781 since the date of closure and had still been sending payments.

When this finding was uncovered, we requested from FOW a listing of providers who had been closed out during 2012. This listing was then compared to the 2012 paid vendor file provided by DSS Accounting. This test revealed two additional circumstances where DSS had paid the provider after the case had been closed. The two providers were paid approximately \$6,800 in overpayments subsequent to their closure.

Inquiries into these three cases revealed two of the cases involved the lack of adequate communication of necessary forms from FOW to DSS. In one of those two cases, as noted above, there are some legitimate questions as to whether the closure notice was in fact delivered by FOW and received by DSS contemporaneously with the date indicated on the form. DSS has stated that the form was not received until after our investigation commenced. One of the three overpayment instances was a result in a processing error by DSS which they have since put in measures to correct since notification by this Office.

We have been assured that DSS has sent two of the cases that resulted in an overpayment to their Resource Recovery Unit to recoup the \$6,800. DSS advises that the payments

totaling \$35,781 were not considered an overpayment to the provider, as the services were still being delivered and the recipient was still entitled to the benefits.

Recommendation #1: We recommend DSS contact FOW to investigate the lack of notifications that would have been required to trigger a stop payment to the provider as of its effective close date. This potential for communication breakdown between the two agencies is very concerning since it has the potential to create situations where payments could continue to a provider until the next recertification period.

DSS should contact FOW as well as NYS Office of Child and Family Services (“OCFS”) to get a listing of all facilities that have been closed out recently to ensure these situations are an anomaly. We further recommend DSS conduct this inquiry on a regular basis to avoid further overpayments and further administrative costs associated with recoupment.

2. Finding: Calculation of Invoices Submitted by Providers

To verify that the County was correctly billed and payments were made accurately, we recalculated 27 provider invoices totaling \$22,982 for 57 children. In order to verify the calculations, we reviewed the *Request for Payment of Day Care Services* (the invoice) and the *Hours Sheet* (the attendance sheet), **Appendix 4**. This information was traced back to the recipient files to verify they agreed to the recipient’s work schedules, family share component, and the age of the children. We used this information in addition to the *Day Care Rate Schedule* to recalculate the monthly bills accordingly.

Our test work revealed that this is a very labor intensive process which is being accomplished by only three day care Social Welfare Examiners. These employees are responsible for re-calculating approximately 200 provider invoices for roughly 300 cases. When provider invoices are received during the second week of each month, they have approximately one week to process, verify, and approve the amounts billed are correct. We found 21 miscalculations out of 57 provider invoices reviewed (a 37% exception rate). These errors resulted in a net overpayment to the providers of \$511. A summary of the types of exceptions are detailed below in **Table #2**.

Table #2 : Table of Differences Found in Invoices		
Range of Differences	Number of Differences	Overpayment (Underpayment)
Under \$10	8	(\$16)
Between \$10 and \$30	6	50
Between \$30 and \$100	4	94
Over \$100	3	383
Totals	21	\$511

The differences identified at first glimpse might seem trivial; however, our sample was small on the scale of work that is being accomplished. Our sample contained only 27 out

of a listing of approximately 200 providers (roughly 14%) for just a one month billing review. If the error rate was applied to all providers and annualized it would amount to a total overpayment of nearly \$45,432. Nevertheless, we realize that every case must be re-certified within a six month period. This requirement could result in a correction rate in the ordinary course of business, but even if this correction rate was as high as 50%, this would still result in approximately \$22,716 of overpayments.

This process is further complicated because the providers complete their own invoices. Of the 27 invoices sampled, 21 required amendments by DSS (78%). This appears to be a result of the providers' uncertainty as to the amount they are to bill for their services, due to the complexity and uniqueness of each recipient's work schedule and case.

As an example, Appendix 4 contains an invoice that was part of our sampled selection. This invoice shows the amount originally submitted by the provider was later changed by the DSS Social Welfare Examiner. In summary this invoice was originally submitted for \$465 and settled at what appears to be \$363, a reduction of 22%.

Recommendation #2: During our interviews and field visits to DSS and FOW, it was brought to our attention that NYS has an integrated computer system that aids in the calculation of these day care payments, the Child Care Time and Attendance program ("CCTA"). The system integrates with the NYS Welfare Management System ("WMS"), NYS Child Care Facilities System ("CCFS"), and others. Some of the major benefits of using this system are built in fraud detection tools, eligibility determinations, on-line attendance system for providers, and standard report capabilities.

DSS is currently in the early stages of implementation and are testing this system on the largest providers; however, they have indicated they have been experiencing a number of problems with the system, as are other counties.

As our Report indicates, there are numerous manual processes and cross-referencing necessary in order to provide accurate payments to the providers. We encourage DSS to continue their efforts in implementing this system and to work with OCFS to correct problems that DSS has encountered thus far. It is our belief that some of the errors and adjustments in bill payments could be reduced once this system is refined and fully implemented.

3. Finding: Calculation of Family Share

This subsidy requires all recipients to pay a "family share" toward their day care costs. This is calculated based on the family unit's gross income in excess of the poverty level and their family size. DSS calculates this amount based on information obtained during the application/re-certification process where the amount is then documented on a *Case Budget* worksheet, Appendix 3. A "*DSS Family Share Agreement*" is filled out to include this amount and is signed and dated by the recipient, **Appendix 5**.

Of the 30 cases sampled, we found discrepancies with three, or 10%. The details of these errors are as follows:

- One family share was incorrectly calculated at \$23 per week when it should have amounted to \$6 per week; an additional annual expense to the family of \$221
- A transposition in family income resulted in a family incurring an additional annual expense of \$7
- One case budget used the wrong family size but resulted in no difference in the family share amount

The differences may not seem to be large discrepancies, but these payments are required to be paid in a timely manner out of the recipients' pocket or they could be in jeopardy of losing their eligibility. Since the recipients of this subsidy are low-income, it is paramount to them that the amounts they are required to pay to stay in the program be accurate, so they are not incurring avoidable additional expenditures, which are no doubt more than trivial in their economic circumstance.

Recommendation #3: The above discrepancies are the result of mathematical errors and incorrect use of poverty levels based on family size; errors which are more likely to occur because they are manually calculated as opposed to electronically. If these calculations were done in an excel sheet, these mathematical errors and use of wrong income limits could have been avoided. We recommend that DSS change their manual computation method and implement a program more reliable such as excel or any other automated software.

4. Finding: Market Rate Differences

Federal and NYS law require the State to establish appropriate payment rates for child care subsidies to ensure equal access to child care services for eligible children. NYS OCFS is responsible for establishing, in regulation, the applicable market rate, which creates a ceiling for reimbursement.

During the application process the provider fills out a *Provider Rate Verification Form* which informs DSS of the provider's current rates. These forms are to ensure the provider is not charging DSS more than they charge private pay clients. Although we are aware the category of providers "Legally-Exempt" are not required to submit verification many of them had. This is perhaps largely due to the language on the certification documentation which states "[t]his must be returned before any additional day care bills will be processed".

Throughout our examination of the rate sheets, we determined that 9 of the 27 providers sampled charged a rate lower than the established market rate for child care. However, DSS compensated at the market rates resulting in an overpayment of approximately \$540. Once more, although this may not appear to be a large amount, annualized, it would total \$48,000 in overpayments. As noted previously, DSS advises that such errors are often corrected and recouped in future billing cycles or in the recertification process. They

further advise that many of the initial overpayments that we identified are the result of information regarding provider eligibility reaching DSS administration after payments are required to be made. However, information provided by DSS as a follow up to our exit interview does not substantiate this correction and recoupment claim. As with a previous finding even assuming a 50% correction rate there would be a potential total overpayment by the County of \$24,000.

Additionally, two of the provider's rate sheets could not be reviewed. We were informed that these rate sheets were not available because as of September 2012 rate verifications were no longer required to be kept on file.

Recommendation #4: NYS Social Services districts are required to use the market rates established by OCFS when determining the payment amounts for all cases. If the provider's rate is in excess of the market rate the recipient who chooses to continue care with the provider must make up the difference. If the provider charges less than the market rates, we recommend that DSS strictly adhere to the rates set by the provider. This will allow for more fund availability for other eligible recipients who may have otherwise been turned away due to grant funds being exhausted. Furthermore, it is important that the *Provider Rate Verification* forms be kept on file stating the providers' rate to avoid the assumption that the provider requires payment at market rates when in fact they may charge less.

5. **Finding #5: Miscellaneous**

Altered files after payment:

While conducting our review, several questions were raised relating to invoice amounts not agreeing to checks issued. Many of these issues were the result of payments including amounts from multiple invoices; typically due to re-billing or late submission of invoices for the month. All check disbursements should be supported by detailed and appropriate documentation in order to substantiate the payments. On the contrary, 20 invoices reflected numerous dollar values, handwritten notes and alterations to those values, and a lack of clarity as to the total amount due to the provider. It was difficult to determine from the invoices the exact amounts that were ultimately paid.

As previously referenced, our example in Appendix 5 shows a total due from DSS of \$465, which appears to be based on two separate values on the invoice (\$205 and \$260). Although these two values have not been altered or stricken, the value of \$465 is crossed out and appears to be replaced by an initialed altered amount of \$362.76. However, when we attempted to trace this to an actual payment we were advised that \$362.76 was actually related to the October payment and has no connection to the September invoice in which it appears. It became evident that invoices were being altered after payments were made making it difficult to follow a bill to disbursement trail.

Lack of separation:

As already mentioned throughout this Report, we note with great respect how labor intensive the billing portion of the Social Welfare Examiner's job responsibilities are. We further acknowledge that this is not their only job responsibility, which could have several implications. At this time, the Social Welfare Examiner's responsibilities consist of qualifying recipients for eligibility for the 6 different programs one can qualify under (all of which have different eligibility requirements), updating recipient information (such as income, employment, child-care provider, address, etc.), tracking and ensuring recipient work schedules on a monthly basis, processing recertification every 6 months, processing provider applications and rates, calculating family shares, and tracking violations. We understand that due to limited staffing issues these conflicting duties occur, but this all inclusive environment allows for the opportunity of errors both unintentional and intentional which heightens the risk of fraud.

Recommendation #5: Segregation of duties has always been an important component of a properly functioning internal control environment. We recommend that DSS and the County Executive's Office investigate the possibility of assigning billing calculations to an appropriate unit such as the accounting department.

We further recommend that once invoices are filed as paid they should not be altered nor accessed unless for research and clarifications purposes.

VII. CONCLUSION

In conclusion, it is clear that the NYSCCBG is a very complicated program which requires a great deal of detailed work at every step, particularly in the billing process.

We have made recommendations above which are summarized as follows:

- DSS and FOW should investigate the lack in communication between the two agencies to avoid further potential overpayments by the County
- DSS should routinely check provider listings for closed cases
- DSS should continue their efforts with the NYS CCTA payment system although they have expressed difficulties, because an automated system of payment that coordinates with other agencies is the ultimate desired outcome for accuracy and fraud detection capabilities
- Many mathematical errors seem to arise from manual calculations being performed, it is suggested that a fully integrated excel program be implemented to avoid errors
- DSS should strictly adhere to the Provider's rates when they are lower than market rates
- Once final payment is made on an invoice it should be filed and only accessible for informational purposes to allow for a clean bill to payment trail
- DSS Day Care Unit seems to be overburdened with every aspect of the program, it should be investigated if at least the billing portion be transitioned to the Accounting Department

A copy of the draft Report was provided to both DSS and FOW. Their written comments are attached hereto as **Exhibit 1.1**. Our response to those written comments is attached as **Exhibit 1.2**. As indicated therein, where warranted have been taken in consideration and have been incorporated into this Report, where warranted.

We wish to thank the Commissioner and his staff at the Department of Social Services as well as the staff at Family of Woodstock for their help with the gathering of the needed items in order to complete this Report.

Respectfully submitted,

Ulster County Comptroller

Appendix 1:
Federal Poverty Level Tables

June 1, 2012 through May 31, 2013

Family Size	Income Standard	200% income
1	\$11,170	\$22,340
2	\$15,130	\$30,260
3	\$19,090	\$38,180
4	\$23,050	\$46,100
5	\$27,010	\$54,020
6	\$30,970	\$61,940
7	\$34,930	\$69,860
8	\$38,890	\$77,780
For each additional member		\$ 3,960

Appendix 2:
Daycare Rate Schedule

Daycare Rate Schedule Effective October 1, 2011

Weekly: 30-55 hours

Part Time 3-5 hours

Daily: 6-11 hours

Hourly under 3 hours

Li-Reg GR-group

DC-Daycare

EX-exempt

EG-exempt group

Licensed Day Care Reg/Fam	Under 1½ years	1 ½ - 2 years	3 - 5 years	6 - 12 years
Weekly	\$200.00	\$199.00	\$190.00	\$188.00
Daily	\$ 44.00	\$ 40.00	\$ 40.00	\$ 40.00
Part-Day	\$ 29.00	\$ 27.00	\$ 27.00	\$ 27.00
Hourly	\$ 7.00	\$ 7.00	\$ 7.00	\$ 7.00

Li. Group Day care	Under 1½ years	1 ½ - 2 years	3 - 5 years	6 - 12 years
Weekly	\$225.00	\$204.00	\$200.00	\$200.00
Daily	\$ 46.00	\$ 45.00	\$ 43.00	\$ 45.00
Part-Day	\$ 31.00	\$ 30.00	\$ 29.00	\$ 30.00
Hourly	\$ 8.50	\$ 8.00	\$ 8.00	\$ 8.00

Day Care Center	Under 1½ years	1 ½ - 2 years	3 - 5 years	6 - 12 years
Weekly	\$250.00	\$230.00	\$212.00	\$206.00
Daily	\$ 52.00	\$ 46.00	\$ 45.00	\$ 46.00
Part-Day	\$ 35.00	\$ 31.00	\$ 30.00	\$ 31.00
Hourly	\$ 8.50	\$ 8.25	\$ 8.00	\$ 8.25

Exempt with Training	Under 1½ years	1 ½ - 2 years	3 - 5 years	6 - 12 years
Weekly	\$140.00	\$139.00	\$133.00	\$131.00
Daily	\$ 31.00	\$ 28.00	\$ 28.00	\$ 28.00
Part-Day	\$ 20.00	\$ 19.00	\$ 19.00	\$ 19.00
Hourly	\$ 4.90	\$ 4.90	\$ 4.90	\$ 4.90

Exempt	Under 1½ years	1 ½ - 2 years	3 - 5 years	6 - 12 years
Weekly	\$130.00	\$129.00	\$124.00	\$122.00
Daily	\$ 29.00	\$ 26.00	\$ 26.00	\$ 26.00
Part-Day	\$ 19.00	\$ 18.00	\$ 18.00	\$ 18.00
Hourly	\$ 4.55	\$ 4.55	\$ 4.55	\$ 4.55

Appendix 3:
Recipient Case Budget

Case Budget

Case Name _____
 Date _____
 Worker _____

Parent Wages Weekly _____ Bi-Weekly _____ Monthly _____
Spouse's Wages Weekly _____ Bi-Weekly _____ Monthly _____
Child Support Weekly _____ Bi-Weekly _____ Monthly _____
Other Income Weekly _____ Bi-Weekly _____ Monthly _____

Parent Wages Annual \$ _____

Spouse's Wages Annual \$ _____

Child Support Annual \$ _____

Other Income Annual \$ _____

Total Annual Income of Household	\$ _____
Poverty Level for a Family of	\$ _____
Total Annual Income Minus the Poverty Level For Family	\$ _____
Multiply by .25	\$ _____
Divide by 52	\$ _____
Rounded Off	\$ _____
Family Share Per Week	\$ _____
Effective Date	

Supervisor's Signature _____ Date _____

Appendix 4:
Provider Invoice

Daycare Name and Address of Provider: **Saugerties, NY 12477**

Vendor Number: **[REDACTED]** Category of Provider: **EX** Period of Service: Mo./Day/Yr. **09/10/12** To **09/30/12**

Exempt enhanced rates

Case Number	Case Name	Child's Name	Case Type	Planned	Actual	Total Charge	Less Parent Fee	Social Service Charge	Age	Corrections Made By DSS Staff
[REDACTED]	[REDACTED]	[REDACTED]	B2		157.75	1000 135	135	405.4	5	148.28 205.28
[REDACTED]	[REDACTED]	[REDACTED]				747.75 497.75	135 135	805.28 362.28		805.28 362.28

** Monthly work verification showed Sept 2, 16, 22, 29, 30th*

NOV 14 2012

I, [REDACTED] Pursuant to the Provisions of Section 415 of the New York State Code and Regulation, I hereby certify that the daycare services, amounting to \$ 4195.00 have actually been performed and the amount charged is due and owing.

Vendor Signature: [REDACTED] Date: 10/25/12

Total Due From DSS per Vendor Calculations: \$ 4195.00
 Corrected Calculations made by DSS STAFF ONLY: \$ ~~1307.6~~ 362.28

RECEIVED
 OCT 26 2012
 DAYCARE

Reviewed and Approved by: [REDACTED]
 Daycare Supervisor Date: [REDACTED]

Ulster County DSS
 Daycare Unit
 1091 Development Court
 Kingston, NY 12401

RECEIVED

OCT 26 2012

ULSTER COUNTY SOCIAL SERVICES
 TEMPORARY ASSISTANCE

[Handwritten signatures and initials]

Appendix 5:
Family Share Agreement

COUNTY OF ULSTER

DEPARTMENT OF SOCIAL SERVICES

1091 DEVELOPMENT COURT
KINGSTON, NEW YORK 12401-1959

Michael P. Hein, County Executive

Michael A. Iapace Esq., Commissioner
Barbara U. Sorlin, Deputy Commissioner
Cynthia N. Belsel, Deputy Commissioner



(845) 334-5000

miap@co.ulster.ny.us
bsor@co.ulster.ny.us
cbel@co.ulster.ny.us

Maria Ruffner, Daycare Supervisor
(845) 334-5316 (845) 334-5192 Fax

DSS FAMILY SHARE AGREEMENT

I agree to the following:

I _____ agree to pay _____ the amount of
(parent) (Provider)

\$ _____ per week for my day care services. This will start effective _____.

If I miss 2 consecutive weeks of paying my family share, the day care services provided for my child(ren) will be terminated by the Agency immediately. I will be responsible for the full cost of daycare for my child(ren) from the date of termination. If I have any changes in providers, my family share must be current with my present provider, before any additional childcare will be authorized.

I agree to inform the daycare subsidy unit of any changes in provider before they occur.

I have been informed by the Ulster County Department of Social Services Day Care Units of my rights as a parent to select and use any legal day care provider.

I agree to pay my family share amount on a weekly basis unless other scheduled payment arrangements have been made with my provider. I understand that the Department of Social Services cannot authorize a different payment schedule.

Parent Signature: _____ Date: _____

Parent Print: _____

Exhibit 1.1:

Written Comments of DSS & FOW

C O U N T Y O F U L S T E R
DEPARTMENT OF SOCIAL SERVICES
1061 DEVELOPMENT COURT
KINGSTON, NEW YORK 12401-1959

Michael P. Hein, County Executive

Michael A. Iapoce, Esq., Commissioner
Barbara J. Sorkin, Deputy Commissioner
Cynthia N. Beisel, Deputy Commissioner



(845) 334-5000
FAX (845) 334-5353

miap@co.ulster.ny.us
bsor@co.ulster.ny.us
cbei@co.ulster.ny.us

April 25, 2013

Honorable Elliott Auerbach
Ulster County Comptroller
County of Ulster
PO Box 1800
Kingston, NY 12401

RE: Department: Ulster County Department of Social Services
Audit Report Title: Review of the Child Care and Development Block Grant

Dear Comptroller Auerbach,

Attached please find the Department of Social Services response to your preliminary draft findings to the above referenced audit.

We appreciate the opportunity to discuss the recommendations and offer our response and clarifications. For each recommendation included in the audit report, the following is our corrective action(s) taken or proposed in the order in which the findings and recommendations were presented.

After the response to the recommendations we will set forth clarifications with respect to minor inaccuracies set forth in your draft findings.

In closing, we would like to thank the Comptroller's Office for their work on this report and appreciate their suggestions towards improving efficiencies and operations within the unit. We also thank them for acknowledging the complexities of the program and for recognizing the importance of this service to the community.

Very truly yours,

Michael A. Iapoce

Michael A. Iapoce, Esq.
Commissioner, Ulster County Department of Social Services

Cc: Ken Crannell, Deputy County Executive

Ulster County Department of Social Services
Response to Review of the Child Care and Development Block Grant
April 25, 2013

Recommendation #1:

Finding: Paying Provider that is not Active

We recommend DSS contact FOW to investigate the lack of notifications that would have been required to trigger a stop payment to the provider as of its effective close date. This lack of communication between the two agencies is very concerning since it has the potential to create situations where payments could continue to a provider until the next recertification period.

DSS should contact FOW as well as NYS Office of Child and Family Services (“OCFS”) to get a listing of all facilities that have been closed out recently to ensure these situations are an anomaly. We further recommend DSS conduct this inquiry on a regular basis to avoid further overpayments and further administrative costs associated with recoupment.

Management Action Plan:

- A meeting will be convened between UCDSS Administration, Daycare Staff and Family of Woodstock to discuss the issues that led to this recommendation and to promote better communication in the future aimed at ensuring timely and proper notification of any information that they are responsible for in connection with overseeing enrollment. In this particular instance, the department, the provider and parent did not receive notification of the case closing from Family of Woodstock. We recognize that having accurate enrollment information is essential to achieving accurate payment authorizations.
- At the time of the above discrepancies, UCDSS did not have access to Child Care Family Services System (CCFS) that Family of Woodstock Daycare Council utilizes for providers. As of December 2012, UCDSS gained access to this system therefore allowing these types of discrepancies to be eliminated. The Daycare Unit currently accesses this system on a daily basis to be assured that all provider changes, openings, closings, violations and status is updated and reviewed. By requiring a daily review of this system, we are assured that we are not paying any provider that has been closed and is in violation.
- On April 19, 2013, a request was sent to OCFS requesting that the Daycare Unit be granted access to reenrollment and notes screens within CCTA. This will allow for an additional backup for information regarding provider status. Once access is granted, the Daycare Staff will immediately begin use to monitor re-enrollment.

Ulster County Department of Social Services
Response to Review of the Child Care and Development Block Grant
April 25, 2013

Recommendation #2:

Finding: Calculation of Invoices Submitted by Providers

During our interviews and field visits to DSS and FOW, it was brought to our attention that NYS has an integrated computer system that aids in the calculation of these day care payments, the Child Care Time and Attendance program (“CCTA”). The system integrates with the NYS Welfare Management System (“WMS”), NYS Child Care Facilities System (“CCFS”), and others. Some of the major benefits of using this system are built in fraud detection tools, eligibility determinations, on-line attendance system for providers, and standard report capabilities. DSS is currently in the early stages of implementation and are testing this system on the largest providers; however, they have indicated they have been experiencing a number of problems with the system, as are other counties.

As our Report indicates, there are numerous manual processes and cross-referencing necessary in order to provide accurate payments to the providers. We encourage DSS to continue their efforts in implementing this system and to work with OCFS to correct problems that DSS has encountered thus far. It is our belief that some of the errors and adjustments in bill payments could be reduced once this system is refined and fully implemented.

Management Action Plan:

- Child Care Time and Attendance program (CCTA) has been implemented by UCDSS and we are in the ongoing process of transitioning participating providers into this program. Currently, the districts are not mandated by OCFS to use CCTA nor are we able to require the providers to use this system, so the utilization of the program is progressing at a random pace. OCFS is encouraging districts to work toward utilization of CCTA for 25% of its caseload and we are committed to achieving that benchmark in 2013.
- Our feedback thus far has been that some participating providers have experienced various problems transitioning to this system including payment errors, household composition and inadequate tech support. UCDSS will continue to work with providers and OCFS in correcting problems that have been encountered and reported to us in regard to CCTA in a collaborative effort to fine tune the process and broker participation.
- UCDSS Administration has had discussions with Rhonda Duffney, Director, Child Care Subsidy Program, OCFS, regarding future trainings for staff and providers with the intention of working toward increased utilization of CCTA. We concur that once this system is refined it will serve to reduce errors and adjustments in bill payments.

Ulster County Department of Social Services
Response to Review of the Child Care and Development Block Grant
April 25, 2013

Recommendation #3:

Finding: Calculation of Family Share

The above discrepancies are the result of mathematical errors and incorrect use of poverty levels based on family size; errors which are more likely to occur because they are manually calculated as opposed to electronically. If these calculations were done in an excel sheet, these mathematical errors and use of wrong income limits could have been avoided. We recommend that DSS change their manual computation method and implement a program more reliable such as excel or any other automated software.

Management Action Plan:

- The Daycare unit has contacted UC Information Services (IS) to explore the possibility of creating an electronic system to check on provider market rates and perform calculations. An initial meeting has been scheduled for April 25, 2013.
- Please note that in accordance with recommendation #2, we would contemplate the increased utilization of CCTA might also help to reduce errors.

Recommendation #4:

Finding: Market Rate Differences

NYS Social Services districts are required to use the market rates established by OCFS when determining the payment amounts for all cases. If the provider's rate is in excess of the market rate the recipient who chooses to continue care with the provider must make up the difference. If the provider charges less than the market rates, we recommend that DSS strictly adhere to the rates set by the provider. This will allow for more fund availability for other eligible recipients who may have otherwise been turned away due to grant funds being exhausted. Furthermore, it is important that the Provider Rate Verification forms be kept on file stating the providers' rate to avoid the assumption that the provider requires payment at market rates when in fact they may charge less.

Management Action Plan:

- Provider Market Rate Sheets can be in effect for a period of four years. However, the Daycare Unit has implemented a process at this time for the purpose of updating all market rate sheets for all providers. For this next billing cycle all providers must attach an updated current Provider Market Rate Sheet. This will allow the unit to have accurate and updated market rate sheets on all providers considering that as of June 1st market rates change at the State level. Providers will be in accordance with the change and all rate changes will be on file.
- The Daycare unit is working with IS to implement scanning of all provider market rate sheets so they are readily available when doing each bill. Instead of having to access a paper file with each bill, the market rate sheet will be viewable on screen when computations are made thus limiting the margin of error.

Ulster County Department of Social Services
Response to Review of the Child Care and Development Block Grant
April 25, 2013

Recommendation #5:

Finding: Miscellaneous - Altered Files After Payments & Lack of Separation

Segregation of duties has always been an important component of a properly functioning internal control environment. We recommend that DSS investigate the possibility of assigning billing calculations to an appropriate unit such as the accounting department. We further recommend that once invoices are filed as paid they should not be altered nor accessed unless for research and clarifications purposes.

Management Action Plan:

- While we are in agreement that segregation of duties is a legitimate recommendation, departmental budgetary restraints and staffing needs do not allow for or create the possibility to add or reassign existing staff in either daycare or fiscal department.
- We are however undertaking to examine whether there may be an opportunity for the fiscal unit to expand their current role of remitting authorized payments to include a rudimentary review of the submitted calculations in an effort to create an additional layer of review.
- In accordance with the auditors' findings, the daycare department has already implemented the following practice with regard to invoices: No invoice will be altered after the original payment. If there are any calculation discrepancies, they will be handled in a re-bill and a new invoice will be created.

Clarifications with Regard to Audit Findings:

1. Cover Letter – Paragraph 3 incorrectly identifies that the New York State Child Care Block Grant program provides benefits to clients whose children are receiving or require protective services. These children would receive services from Title 20 services funds.
2. Page 4 – IV The Process incorrectly sets forth that after eligibility is determined the recipient chooses their provider. The recipient chooses their provider as a part of their eligibility process. When the client is deemed eligible, a packet is presented to the provider.
3. Page 5 – VI Finding and Recommendations – Finding #1: Paying a Provider that is not active. Paragraph #2 - In addition to advising you that the provider did not receive proper closeout notification, we also advised that the client did not receive the proper closeout notice as well.
4. Pages 6 & 10 – Staff identified as Caseworkers should be referred to as Social Welfare Examiners.



A UNITED WAY AGENCY

www.fowinc.org

Michael Berg
Executive Director

4/18/13

ADMINISTRATION
Family of Woodstock, Inc.
POB 3516 - 39 John St.
Kingston, NY 12402
845.331.7080

Elliott Auerbach, Ulster County Comptroller
Ulster County Office Bldg
PO Box 1800
Kingston, NY 12402

ADOLESCENT SERVICES
Family House
845.338.5953

Dear Comptroller *Elliott* Auerbach,

Youth Case Management Services
845.331.7080/255.8801/647.2443

I am writing to respond to the draft audit of the Ulster County Department of Social Services Child Care and Development Block Grant. It is distressing to me that in the second conclusion of your summary it states that there was a "lack of communication between the Day Care Council and the Department of Social Services Subsidy Unit." Family's Child Care Council has always maintained close communication with the Department and provided information, as requested by the Subsidy Unit. The facts are as follows:

MidWay I / MidWay II
845.339.5508 / 845.647.1346

CHILD CARE SERVICES
Child Care Council of Ulster Co.
845.331.5197

- NYS OCFS established the Child Care Facility System (CCFS) more than 10 years ago to provide local subsidy offices with the information on the status of regulated child care providers. Three years ago that system was augmented to include legally exempt providers. Even though that system was in place, at the request of the DSS subsidy office we continued to provide them with paper copies of legally exempt eligibility. In fact, we offered to deliver the information to the Subsidy office weekly and was told to deliver it monthly, which we did.
- It has been the intent that CCFS be the source of this information and as a second step OCFS developed the Child Care Time and Attendance System (CCTA) which interfaces with CCFS. CCTA is a Child Care billing system that monitors eligibility from CCFS data and WMS data, and only allows eligible payments to providers for eligible families. These systems, to date, have not been implemented in the Ulster Co Subsidy Unit.
- It seems clear that there were counties like Ulster that did not fully implement these systems and relied on their local day care councils for information. To correct this, OCFS issued an LCM (12-OCFS-LCM-01) dated 2/3/12, which states on page 3 that "Enrollment agencies will no longer be required to routinely provide districts with copies of enrollment forms or notification" and "districts will have the option of updating a subsidy case decision directly in CCFS instead of informing the enrollment agency in writing." Even though we received this instruction we continued to reliably provide the subsidy office with this information until we received verbal instructions from Ann Haller, Supervisor of Child Care at OCFS, at a Mandatory Training on August 27, 2012, regarding legally exempt providers. She said that we are no longer to mail, hand-deliver, email or fax any information to the Subsidy Office concerning legally exempt providers. She also stated that all of the Subsidy Units had received training on the new process.

CCC of Columbia/Greene Counties
518.822.1944

Columbia Co. Child Care Subsidy
518.822.0087

HIV/ AIDS SERVICES
845.331.7080

DOMESTIC VIOLENCE SVS
Domestic Violence Outreach Svcs
845.338.2370

Family Shelter
845.338.2370

Evolve
845.331.7080

HOMELESS SERVICES
Darmstadt Shelter
845.331.1395

Family Inn
845.340.1847

Adult Case Mgmt Svcs.
845.331.7080/255.8801/647.2443

HOTLINE/WALK-IN CTRS
Family of Ellenville
845.647.2443/647.5700

Family of New Paltz
845.255.8801

Family of Woodstock
845.679.2485/338.2370

COMMUNITY SERVICES
Supervised Visitation
845.331.1395

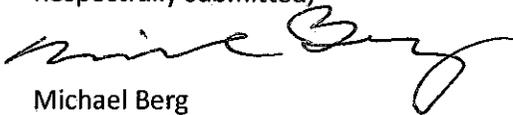
Kingston Cares
845.331.1110

- One point of information, concerning the provider who was overpaid, mentioned on page 5 of the audit, sequence of events is as follows:
 - The Department received an anonymous complaint on 12/6/11 stating that an in home provider had smoked marijuana with the individual while caring for children.
 - On 12/7/11 the Council investigated the complaint by going to the address. At that address we found that the place was vacant.
 - On 12/9/11 the Subsidy Unit was notified by email of what we observed and that the provider's enrollment would be terminated that day.
 - On 12/14/11 the Department notified the Council that they received information of a new address of the parent and provider, thereby acknowledging that they had received the information by the Council. (We have attached copies of the correspondence.) All of this information was available to the Subsidy Unit in CCFS.

We recognize and acknowledge the complexity of the verification process required of the Subsidy Unit and have tried to provide them with information in a timely manner, even when it was not required of us. We feel that it is a misstatement to say that the Child Care Council did not provide information to the Subsidy Unit in a timely manner.

Staff of the Council and the Agency are available to discuss this further, if required.

Respectfully submitted,



Michael Berg
Executive Director



Facility ID: 00527032-LE/IH Name: [Redacted] Status: Closed

02/23/2011 - 02/22/2012

Includes Secure History

- Profile
- To Dos/Reminders
- Letters
- Express Intake
- Provider
- Re-enrollment
- Families
- Requirements
- LDSS
- History
 - Event History
 - Status History
 - People History
 - Note History
 - Letter History
 - Inspection History
 - Family History
 - Decision History
 - Addl Standard
- Conversion History
- Requirement
- Provider Event
- Parent Event

Note Date & Time	Note	Window Name
12/14/2011 09:55:56	DSS Subsidy just notified the office that they received n LE02	
12/14/2011 09:21:56	12/13/2011 left a message for Joanne [Redacted] @ DSS SLE02	
12/14/2011 09:21:05	12/10/2011 sent an email to Joann [Redacted] @ DSS SubsLE02	
12/14/2011 09:18:17	12/8/2011 Jessica [Redacted] called the home-Number is rLE02	
12/14/2011 09:17:19	12/7/2011 arrived at the residence which was vacant. n LE02	



Note Date Time: 12/14/2011 9:06:01 AM

Action Taken By: [Redacted] Kerry

Window: LE02

Note: 12/6/2011 received an email from DSS Subsidy stating they received an anonymous phone call from a gentleman saying that he has smoked marijuana with client [Redacted] while she was doing care for [Redacted] children. The gentleman said he didn't feel that the children were in danger but felt that it was his responsibility to report it.

Expand All Collapse All

LH04

Ready



#1

████████ Kerry (DFA5-C11)

From: ██████████ Penny (DFA5-C11)
Sent: Tuesday, December 06, 2011 11:46 AM
To: ██████████ Kerry (DFA5-C11)
Subject: FW: ██████████

Penny ██████████
Legally Exempt Enrollment Sr. Coordinator
Family Child Care Council
Serving Columbia, Greene & Ulster Counties
39 John Street
Kingston, NY 12401
(845) 331-7080 Ext 132
█████████ Dombrowski@DFA.State.NY.US
www.familyofwoodstockinc.org

From: ██████████@co.ulster.ny.us [mailto:jnic@co.ulster.ny.us]
Sent: Tuesday, December 06, 2011 11:05 AM
To: ██████████ Penny (DFA5-C11)
Subject: ██████████

Hey Penny,

I just had an anonymous phone call from a gentleman saying that he has smoked marijuana with client ██████████ while she was doing care for ██████████ children. The gentleman said he didn't feel that the children were in danger but felt that it was his responsibility to report it.

He asked to remain anonymous. I advised him that I would let the Child Care Council know.

Thanks,
Joanne

12/10/11 - email to JoAnn about case.
12/13/11 - Umom for Joanne ██████████ - DSS



Facility ID: 00527032-LE/IH Name: [REDACTED] Status: Closed

Period: 02/23/2011 - 02/22/2012

Includes Secure History

Note Date & Time	Note	Window Name
12/14/2011 09:55:56	DSS Subsidy just notified the office that they received a LE02	
12/14/2011 09:21:56	12/13/2011 left a message for Joanne [REDACTED] @ DSS S LE02	
12/14/2011 09:21:05	12/10/2011 sent an email to Joann [REDACTED] @ DSS Subs LE02	
12/14/2011 09:18:17	12/8/2011 Jessica [REDACTED] called the home-Number is r LE02	
12/14/2011 09:06:01	12/6/2011 received an email from DSS Subsidy stating 1LE02	

Note Date & Time	Note	Window Name
12/14/2011 09:17:19 AM	Action Taken By: [REDACTED] Kerry Window: LE02 Note: 12/7/2011 arrived at the residence which was vacant. no one answered the door. Home is for sale. Left business card to call the office for parent. No call has come in.	

Note Date Time: 12/14/2011 9:17:19 AM
 Action Taken By: [REDACTED] Kerry
 Window: LE02
 Note: 12/7/2011 arrived at the residence which was vacant. no one answered the door. Home is for sale. Left business card to call the office for parent. No call has come in.

- Profile
- To Dos/Reminders
- Letters
- Express Intake
- Provider
- Re-enrollment
- Families
- Requirements
- LDSS
- History
 - Event History
 - Status History
 - People History
 - Note History
 - Letter History
 - Inspection History
 - Family History
 - Decision History
 - Add Standards
 - Conversion History
 - Requirement
 - Provider Event
 - Parent Event

Expand All Collapse All

LH04

Ready





Facility ID: 00527032-LE/PH Name: [Redacted] Status: Closed

Period: 02/23/2011 - 02/22/2012

Includes Secure History

- Profile
- To Dos/Reminders
- Letters
- Express Intake
- Provider
- Re-enrollment
- Families
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 - People History
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 - Letter History
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 - Family History
 - Decision History
 - Addl Standards
 - Conversion History
 - Requirement
 - Provider Event
 - Parent Event

Note Date & Time	Note	Window Name
12/14/2011 09:55:56	DSS Subsidy just notified the office that they received it	LE02
12/14/2011 09:21:56	12/13/2011 left a message for Joanne [Redacted] @ DSS	SLE02
12/14/2011 09:21:05	12/10/2011 sent an email to Joann [Redacted] @ DSS Subs	LE02
12/14/2011 09:17:19	12/7/2011 arrived at the residence which was vacant	nLE02
12/14/2011 09:06:01	12/6/2011 received an email from DSS Subsidy stating	tLE02

Print Screen

Note Date Time: 12/14/2011 9:18:17 AM

Action Taken By: [Redacted] Kerry

Window: LE02

Note: 12/8/2011 Jessica [Redacted] called the home-Number is no good and will not go through for a connection.

Expand All Collapse All

LH04

Ready



#5

Kerry Wolfeil

From: Kerry [REDACTED] [REDACTED]@familyofwoodstockinc.org
Sent: Friday, December 09, 2011 1:03 PM
To: [REDACTED]@co.ulster.ny.us'
Cc: [REDACTED]@familyofwoodstockinc.org'
Subject: LE provder updates needed

Hi Joann,

We have recently received a complaint from you regarding [REDACTED] (parent-[REDACTED], [REDACTED])

Jessica and I went there on 12/7 and found an empty home. Jessica also tried to call the residence and the phone number is no good (won't go through). So do you know if this parent is still receiving care from the provider and the location of the care? We will be closing the case # 527032 out today at [REDACTED]

Next question:

[REDACTED] is expired and all mail has been returned and phone is no good. Any word on this one. As we will close it out today as well.

I'll close them out after 2:30pm today.

Also had a complaint on [REDACTED] complaint-according to CPS-illegal care- the issue is fine, Bonnie went out 12/7 and she wasn't home. I'll be going out today around 3:15 to verify all is good. I'll send you the complaint letter when completed.

Thanks

Kerry [REDACTED]
Family of Woodstock, Inc.
Program Director

(345) 331-7080 Work
[REDACTED]@familyofwoodstockinc.org
39 John Street
PO Box 3716
Kingston, NY 12402
A Child Care Resource & Referral Agency



Facility ID: 00527032-LE/IDH Name [Redacted] Status: Closed

Period: 02/23/2011 - 02/22/2012

Includes Secure History

- Profile
- To Dos/Reminders
- Letters
- Express Intake
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- Re-enrollment
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 - Letter History
 - Inspection History
 - Family History
 - Decision History
 - Addl Standards
 - Conversion History
 - Requirement
 - Provider Event
 - Parent Event

Note Date & Time	Note	Window Name
12/14/2011 09:55:56	DSS-Subsidy just notified the office that they received n LE02	
12/14/2011 09:21:56	12/13/2011 left a message for Joanne [Redacted] @ DSS S LE02	
12/14/2011 09:21:05	12/10/2011 sent an email to Joann [Redacted] @ DSS S LE02	
12/14/2011 09:18:17	12/8/2011 Jessica [Redacted] called the home-Number is r LE02	
12/14/2011 09:17:19	12/7/2011 arrived at the residence which was vacant. n LE02	
12/14/2011 09:06:01	12/6/2011 received an email from DSS Subsidy stating l LE02	

Note DateTime: 12/14/2011 9:21:05 AM
 Action Taken By: [Redacted] Kerry
 Window: LE02
 Note: 12/10/2011 sent an email to Joann [Redacted] @ DSS Subsidy regarding the case and to inquire if she knew anything about the phone/residence.

Expand All Collapse All

LH04

Ready





Facility ID: 00527032-LE/IH Name: [Redacted] Status: Closed

Period: 02/23/2011 - 02/22/2012

- Profile
- To Dos/Reminders
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 - Family History
 - Decision History
 - Addl Standards
- Conversion History
 - Requirement
 - Provider Event
 - Parent Event

Includes Secure History

Note Date & Time	Note	Window Name
12/14/2011 09:55:56	DSS Subsidy just notified the office that they received in LE02	
12/13/2011 09:24:56	12/13/2011 left a message for Joanne [Redacted] @ DSS LE02	
12/14/2011 09:21:05	12/10/2011 sent an email to Joann [Redacted] @ DSS Subs LE02	
12/14/2011 09:18:17	12/8/2011 Jessica [Redacted] called the home - Number is in LE02	
12/14/2011 09:17:19	12/7/2011 arrived at the residence which was vacant. in LE02	
12/14/2011 09:06:01	12/6/2011 received an email from DSS Subsidy stating: LE02	

Note Date Time: 12/14/2011 9:21:56 AM

Action Taken By: [Redacted] Kerry

Window: LE02

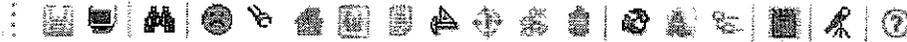
Note: 12/13/2011 left a message for Joanne [Redacted] @ DSS Subsidy to inquire about the parents case to see if we had any information.

Expand All Collapse All

LH04

Ready





Facility ID: 00527032-LE/1H Name: [REDACTED] Status: Closed

02/23/2011 - 02/22/2012

Includes Secure History

Note Date & Time	Note	Window Name
12/14/2011 09:55:56	DSS Subsidy just notified the office that they received info LE02	
12/14/2011 09:21:56	12/13/2011 left a message for Joanne [REDACTED] @ DSS SLE02	
12/14/2011 09:21:05	12/10/2011 sent an email to Joann [REDACTED] @ DSS SubsLE02	
12/14/2011 09:18:17	12/8/2011 Jessica [REDACTED] called the home-Number is rLE02	
12/14/2011 09:17:19	12/7/2011 arrived at the residence which was vacant. nLE02	
12/14/2011 09:06:01	12/6/2011 received an email from DSS Subsidy stating lLE02	

- Profile
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- Express Intake
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 - People History
 - Note History
 - Letter History
 - Inspection History
 - Family History
 - Decision History
 - Addl Standards
 - Conversion History
 - Requirement
 - Provider Event
 - Parent Event

Note Date Time: 12/14/2011 9:55:56 AM
 Action Taken By: [REDACTED] Kerry
 Window: LE02
 Note: DSS Subsidy just notified the office that they received information that the location of care is [REDACTED] and the providers address is [REDACTED] NY 12477.
 DSS Subsidy has been informed the case has been closed.

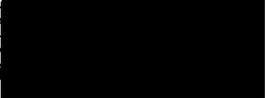
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**NOTICE OF ENROLLMENT CLOSING
LEGALLY-EXEMPT CHILD CARE**

NOTICE DATE: December 14, 2011	ENROLLMENT AGENCY ADDRESS AND TELEPHONE Family of Woodstock 39 John St. P.O. Box 3516 c/o Family of Kingston, NY 12402 (845) 331-7080
ENROLLMENT NO. 527032	
SUBSIDY/ TA CASE NO.	
PROVIDER NAME (And C/O Name if Present) AND ADDRESS	
	SUBSIDY CASE NAME AND ADDRESS

This notice is to inform you that your enrollment as a legally-exempt child care provider is CLOSED. The closure status is:

Effective on: **December 07, 2011**

Located at: 

The reason for this action is:

- You voluntarily requested that your enrollment be closed.
- Your enrollment expired and you are not caring for any subsidized children.
- Your enrollment expired and you did not apply for re-enrollment.
- Your enrollment expired and you did not complete the re-enrollment process. You were previously notified of this on _____.
- You are no longer providing care at the location listed on your enrollment application.
- Other: _____

The parent/caretaker(s) associated with your case and the local Department of Social Services have been notified that your enrollment has been closed. The Department of Social Services will not pay for any child care services that you may have provided during the time you were not enrolled as a legally-exempt child care provider

If you have any questions, you may contact the Enrollment Agency listed on the top of this page.

Exhibit 1.2:
Response to Written Comments

RESPONSE TO THE COMMENTS OF FAMILY OF WOODSTOCK

The comment letter from Family of Woodstock (“FOW”) provides valuable information as to aspects of the process investigated in our report. We acknowledge FOW’s concern with our finding that there is a communication issue between the Day care Council and the Department of Social Services Subsidy Unit. The language of the report in this regard has been modestly changed. Our finding stands on the basis of the fact that FOW and DSS have provided differing information as to at least one case in our sample, and without making an unqualified judgment as to the facts, we feel it is appropriate to note that on the part of one or both parties, there appears to be a communication gap which can be improved upon in certain instances. The finding is not an indication of fault, but a basis for seeking improvement in a process which all parties and this Office acknowledge is very challenging.

RESPONSE TO THE COMMENTS OF THE ULSTER COUNTY DEPARTMENT OF SOCIAL SERVICES

The comment letter from the Department of Social Services (“DSS”) includes a Corrective or Management Action Plan for each recommendation set forth in our Report. DSS is to be commended for taking this immediate and proactive approach to the Report, and their response should be viewed as a model for administrative units which are the subject of future reports and recommendations. We thank DSS for their effort in this regard.

DSS also sets forth certain clarifications as to the Draft Report reviewed by them, which are addressed as follows:

1. The clarification provided with respect to the nature of services provided by the program under review has been reflected in this Final Report.
2. The clarification provided with respect to the proper reference to “Social Welfare Examiners” has been reflected in this Final Report.
3. The other clarifications do not, in our view, require modification of the Final Report. We thank the County Executive’s Office for its comments and our meeting on March 26th to discuss same.