

**DEPARTMENT OF SOCIAL SERVICES**

744 P Street, Sacramento, CA 95814



October 26, 2004

ALL-COUNTY LETTER NO. 04-45

TO: ALL COUNTY WELFARE DIRECTORS  
ALL COUNTY WELFARE FISCAL OFFICERS

REASON FOR THIS TRANSMITTAL

- State Law Change  
 Federal Law or Regulation Change  
 Court Order  
 Clarification Requested by One or More Counties  
 Initiated by CDSS

SUBJECT: STATE FISCAL YEAR 2004/2005 PROCESS FOR COUNTY CERTIFICATION TO FULL UTILIZATION OF THE CHILD WELFARE SERVICES CASE MANAGEMENT SYSTEM AND THE AVAILABILITY OF AN ASSOCIATED FUNDING AUGMENTATION

REFERENCE: CFL 04/05-30, DATED OCTOBER 18, 2004; CFL 04/05-13, DATED AUGUST 30, 2004; ACL 03-54, DATED NOVEMBER 5, 2003; CFL 03/04-41, DATED JANUARY 21, 2004; AND ACL 00-52, DATED AUGUST 7, 2000

This letter updates last year's instructions to counties for certifying to full utilization of the Child Welfare Services/Case Management System (CWS/CMS) in order to secure the funding augmentation available for CWS Programs. These instructions remain the same as last year and act in conjunction with information contained in County Fiscal Letter (CFL) No. 04/05-13 and dated August 30, 2004, and CFL No. 04/05-30, dated October 18, 2004. An additional CFL containing final allocation information is scheduled for release no later than January 2005, providing the final CWS augmentation allocation for State Fiscal Year (SFY) 2004/05. Information regarding the previous year's augmentation can be found in All County Letter (ACL) No. 03-54, dated November 5, 2003, and in CFL No. 03/04-41, dated January 21, 2004, and their respective attachments.

Pursuant to the Budget Act of 2004, Chapter 845, Statutes of 2004 (SB 1612), an augmentation of \$91,440,000 [\$57,150,000 in State General Funds (SGF)] will be available to counties for Emergency Response, Family Maintenance, Family Reunification, and Permanent Placement services provided under county CWS Programs. This augmentation is for the 2004/05 fiscal year only. In order for counties to access these funds, two criteria must be met:

1. Counties must fully expend all budgeted CWS Basic SGF allocations prior to drawing down this augmentation, and
2. Counties must provide certification to the California Department of Social Services (CDSS) that they are fully utilizing CWS/CMS as described in the following section.

### **Definition of Full Utilization**

Pursuant to the Budget Act of 2000 and carried forward in the consecutive Budget Acts and Chapter 845, Statutes of 2004, the CDSS worked collaboratively with stakeholders in reaching an agreement on the definition of full utilization. These stakeholders included members from the County Welfare Directors Association and labor groups representing social workers. The following is the result of that collaboration:

All functional areas within the client services and adoptions components will be utilized, with all mandatory fields completed. The accompanying Attachment (A) details the mandatory data elements to be completed.

In the past four years, several events have occurred which highlight the need for complete, accurate, and timely data and information documentation in CWS/CMS. Both the federally required Program Improvement Plan (PIP) and Assembly Bill 636 require extensive and frequent reporting of multiple critical program outcomes. CWS/CMS is the primary source of that data. Both county performance reporting and the potential for federal funding penalties will be based on that data. To a large extent, individual county performance will reflect how much counties utilize the system to document complete, accurate, and timely program and client information. The CDSS will continue to work with the counties to ensure that the additional CWS/CMS data elements associated with performance outcomes are fully reflected in the system.

### **Certification Process**

To certify compliance with this definition of full utilization, county welfare directors shall use one of the following options:

- A. The county certifies that it currently completes all mandatory yellow and green data fields applicable to the casework being done;
- B. The county cannot certify to full utilization as outlined above in Option (A), and submits an action plan indicating the current status of utilization, steps, milestones, and timelines by which full utilization will be achieved or;
- C. The county cannot certify to full utilization as outlined above in Option (A), and submits an action plan indicating the current status of utilization, along with the steps, milestones, and timelines for those components/indicators by which full utilization will be achieved. Additionally, the county requests an exemption(s) from some aspect(s) of full utilization. All exemption requests must be accompanied by a valid business case reflecting local circumstances.

Certification will be done via a letter from each county welfare director to Bruce Wagstaff, CDSS Deputy Director, Children and Family Services Division. The letter must include one of the options listed above. Any required action plan, exemption request, or business case must be included in the letter.

All letters should be sent to the following address:

County Certifications of CWS/CMS  
California Department of Social Services  
CMS Support Branch  
744 P Street, MS 10-75  
Sacramento, California 95814

If a county is unable to certify compliance, counties shall develop and submit an action plan for reaching their goal of full utilization. County action plans shall use a target date of no later than June 30, 2005, or shall provide an alternate target date accompanied by appropriate justification. The CDSS shall provide a confirmation of county certifications of full utilization, as referenced in Option (A) above, within two weeks of receipt of the county certification. Validation and acceptance of county certifications referencing Option (B) or (C) shall be responded to as quickly as possible.

If a county is unable to certify to any of the full utilization options described above, CDSS will redistribute that county's augmentation funds to the counties with approved certifications. In order for CDSS to have the opportunity to redistribute the funds of those counties that do not meet certification guidelines, counties must submit their letters no later than November 30, 2004; distribution of the final augmentation calculation is scheduled for no later than January 2005. If any county fails to receive an approval letter from CDSS in response to a submitted Letter of Certification, please contact the CMS Support Branch at the number listed below prior to December 14, 2004.

Selected CWS/CMS data identified as indicators of full utilization (see ACL No. 00-52) will continue to be reported monthly by the CWS/CMS Project and delivered to the County Welfare Director in the form of a self-monitoring report. Counties continue to be accountable for ensuring compliance with all aspects of full utilization.

### **Fiscal Impact/Claiming**

Counties must match their total CWS Basic SGF allocation prior to drawing down any portion of this augmentation. Distribution of these funds will be in accordance with the instructions outlined in CFL No. 04/05-13. There is no provision for rolling unexpended funds into the next fiscal year.

Questions related to this allocation, may be addressed to [fiscal.systems@dss.ca.gov](mailto:fiscal.systems@dss.ca.gov). For questions related to the claiming process, please e-mail your questions to

ACL 04-45  
Page Four

[assistance.claims@dss.ca.gov](mailto:assistance.claims@dss.ca.gov). For questions or further clarification related to the certification process, please contact Brenda Usher in the CMS Support Branch, at (916) 657-1655.

Sincerely,

BRUCE WAGSTAFF  
Deputy Director  
Children and Family Services Division

Attachment

c: Meg Sheldon, CWDA

# Attachment A

## Full Utilization Indicators

Functional Area	Indicators	Explanation
Referral Management	<ul style="list-style-type: none"> <li>• Referrals opened</li> <li>• Referrals disposed</li> </ul>	This will capture all the work in the “Referral Management” section of the application. Referrals cannot be saved to the database without completing all the mandatory fields, including allegations, clients and contacts.
Client Management	<ul style="list-style-type: none"> <li>• Child client created</li> <li>• Adult client created (at least one)</li> </ul>	The completion of the demographic fields in the “Client” notebooks covers the mandatory and most important aspects of the Client Management section.
Court Management	<ul style="list-style-type: none"> <li>• Complete the Hearing Notebook for the most recent hearing, with all the findings and orders on the Results Page.</li> <li>• Complete the Hearing Notebook for the next hearing.</li> </ul>	This will provide the minimal Court information required on all court cases and take into consideration that some counties will not be able to use the Court Report or Petition sections of the application.
Service Management	<ul style="list-style-type: none"> <li>• Staff Person/Child contact exist in the Contact Notebook</li> <li>• Staff Person/Parent Contact exists in the Contact Notebook</li> <li>• Staff Person/Substitute Care Provider contact exist in the Contact Notebook</li> </ul>	The Service Management section captures all the services in the form of contacts, services and visits.
Placement Management	<ul style="list-style-type: none"> <li>• Current placement for all children in FR/PP or Adoption.</li> <li>• Mandatory AFCARS fields are entered.</li> </ul>	These indicators will confirm that the placement is documented and that the placement home (FFH) information is supplemented to make the Placement Match process possible.
Case management	<ul style="list-style-type: none"> <li>• All Referrals/Cases over 30 days have an in Effect Case Plan.</li> </ul>	The Case Plan is the main aspect of the Case Management section. The data for the Case Plan needs to be entered even if the user does not use the Case Plan Document. The In Effect Case Plan requires completion of the Case Plan Notebook, creation of the case plan document and supervisor’s approval.
Adoptions	<ul style="list-style-type: none"> <li>• Adoptive placement made/Adoptions finalized.</li> <li>• Mandatory AFCARS fields are entered</li> </ul>	These indicators will validate that the Adoption functionality is utilized and all AFCARS fields are completed.

## Functional Area Usage Indicators

Functional Area	Indicators	Explanation	Page	Mandatory Fields	Required Fields
Referral Management	Referrals opened	Referrals opened and saved to the database	ID	<ul style="list-style-type: none"> <li>• Date</li> <li>• Time</li> <li>• Report Method</li> </ul>	
			Reporter		<ul style="list-style-type: none"> <li>• Unknown OR</li> <li>• First Name</li> <li>• Last Name</li> <li>• Street</li> <li>• City</li> </ul>
			Assignment	<ul style="list-style-type: none"> <li>• Start Date</li> <li>• County</li> <li>• CWS Office</li> <li>• Unit</li> <li>• Caseload</li> </ul>	
Referral Management	Referrals opened	Referrals opened continued	Client	<ul style="list-style-type: none"> <li>• First Name</li> <li>• Last Name</li> <li>• Name type</li> <li>• Gender</li> </ul>	<ul style="list-style-type: none"> <li>• DOB</li> <li>• Lang.</li> <li>• Ethn.</li> <li>• Common Address</li> </ul>
			Allegation	<ul style="list-style-type: none"> <li>• Start Date</li> <li>• Victim</li> <li>• Abuse Type</li> </ul>	
Referral Management	Referrals disposed	Referrals disposed have the same fields as Referrals opened with these additional fields.	Determined Response.	Complete Response Dialog boxes (10)	Generate E/R Document (3)

Functional Area	Indicators	Explanation	Page	Mandatory Fields	Required Fields
			Contact	<ul style="list-style-type: none"> <li>• Staff Person</li> <li>• Start Date</li> <li>• Contact Purpose</li> <li>• Method</li> <li>• Location</li> <li>• Status</li> <li>• Participant</li> </ul>	
			Conclusion	<ul style="list-style-type: none"> <li>• Allegation conclusion</li> </ul>	
			Client Dispo	<ul style="list-style-type: none"> <li>• Closure reason date</li> <li>• Closure Reason</li> </ul>	
			Approval	<ul style="list-style-type: none"> <li>• Pending</li> <li>• Submitted</li> <li>• Approved</li> </ul>	
					<ul style="list-style-type: none"> <li>• Generate x-report</li> <li>• Generate 1166/1169</li> </ul>
Client Management	Child client created	The Child client (focus child) has to be <19 and a victim.	ID	<ul style="list-style-type: none"> <li>• First Name</li> <li>• Last Name</li> <li>• Name Type</li> <li>• Gender</li> </ul>	<ul style="list-style-type: none"> <li>• DOB</li> <li>• Language</li> <li>• Ethnicity</li> <li>• Common Address</li> </ul>
	Adult client created (at least one)		ID	<ul style="list-style-type: none"> <li>• First Name</li> <li>• Last Name</li> <li>• Name Type</li> <li>• Gender</li> </ul>	
Court Management	Hearing Notebook (current)	Hearing Notebook for the most recent hearing, with all the findings and orders on the Results Page.	ID	<ul style="list-style-type: none"> <li>• Hearing Date</li> <li>• Court Info.</li> </ul>	
			Minors	<ul style="list-style-type: none"> <li>• Select Minor</li> <li>• Hearing type</li> </ul>	
			Results		<ul style="list-style-type: none"> <li>• Findings</li> <li>• Orders</li> </ul>

Functional Area	Indicators	Explanation	Page	Mandatory Fields	Required Fields
	Hearing Notebook (Future)	Create Next Hearing by selection "ACTION"	ID	<ul style="list-style-type: none"> <li>Hearing Date</li> <li>Court Info</li> </ul>	
			Minors	<ul style="list-style-type: none"> <li>Select Minor</li> <li>Hearing type</li> </ul>	
Service Management	Staff Person/Child	Contacts	Contact	<ul style="list-style-type: none"> <li>Staff Person</li> <li>Start Date</li> <li>Contact Purpose</li> <li>Method</li> <li>Location</li> <li>Status</li> <li>Participants</li> <li>On Behalf</li> <li>Contact Party Type</li> </ul>	
	Staff Person/Parent			<ul style="list-style-type: none"> <li>same as above</li> </ul>	
	Staff Person/SCP			<ul style="list-style-type: none"> <li>same as above</li> </ul>	
	Child/Parent	Visit	Associated Visit	<ul style="list-style-type: none"> <li>Start Date</li> <li>Participant</li> <li>Visit Party type</li> <li>Completed</li> </ul>	<ul style="list-style-type: none"> <li>must have contact page</li> </ul>
Placement Management	Current Placement for all children in FR/PP and adoption	Placement Notebook	ID	<ul style="list-style-type: none"> <li>Start date</li> <li>Legal Authority</li> <li>Care provider Relationship to child</li> <li>Child Removal date</li> <li>Time</li> <li>Primary reason</li> <li>Primary Caretaker relationship</li> </ul>	Need to have placement facilities in Cache (Search for facilities)

Functional Area	Indicators	Explanation	Page	Mandatory Fields	Required Fields
Case Management	In Effect Case Plan		Case Plan Participant	<ul style="list-style-type: none"> <li>• Start date</li> <li>• End Date</li> <li>• Case Plan Goal</li> </ul>	<ul style="list-style-type: none"> <li>• need client demographic information (language, ethnicity, education and Health Info.)</li> </ul>
				<ul style="list-style-type: none"> <li>• Supervisor Approval</li> </ul>	<ul style="list-style-type: none"> <li>• Should have strengths and service objectives</li> </ul>

## SUMMARY

FUNCTIONAL AREA	INDICATORS	MANDATORY FIELDS	REQUIRED FIELDS
Referral Management	Referrals Open	15 fields	8 fields
	Referrals Disposed	30 fields	12 fields
Client Management	Child Client	4 fields	4 fields
	Adult Client	4 fields	
Court Management	Hearing Notebook-current	4 fields	2 fields
	Hearing Notebook-future	4 fields	
Service Management	Staff person/Child-contact	9 fields	
	Staff person/Parent contact	9 fields	
	Staff person/SCP contact	9 fields	
	Child/Parent-visit	4 fields	
Placement Management	Placement-current	7 fields	
	AFCARS		
Case Management	In Effect Case Plan	4 fields	6 fields
Adoptions	AFCARS		