



CDSS

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EDMUND G. BROWN JR.  
GOVERNOR

January 19, 2011

ALL COUNTY LETTER (ACL) NO. 11-02

TO: ALL COUNTY WELFARE DIRECTORS  
ALL COUNTY WELFARE FISCAL OFFICERS

SUBJECT: FISCAL YEAR (FY) 2010/2011 PROCESS FOR COUNTY  
CERTIFICATION TO SYSTEM UTILIZATION OF THE CHILD  
WELFARE SERVICES/CASE MANAGEMENT SYSTEM (CWS/CMS)  
AND THE AVAILABILITY OF AN ASSOCIATED FUNDING  
AUGMENTATION

REFERENCE: COUNTY FISCAL LETTER (CFL) No. 10/11-46, DATED  
DECEMBER 22, 2010; ALL COUNTY LETTER (ACL) No. 09-84,  
DATED DECEMBER 28, 2009; ALL COUNTY INFORMATION NOTICE  
No. I-44-05, DATED AUGUST 25, 2005

This letter updates last year's instructions to counties for certifying to system utilization of the CWS/CMS in order to secure the funding augmentation available for CWS programs. These instructions are similar to last year's and work in conjunction with information contained in CFL No. 10/11-46 dated December 22, 2010. An additional CFL containing the final CWS and local priorities identified in county system improvement plans augmentation allocations for FY 2010-11 is scheduled for release no later than March 1, 2011. Information regarding last year's augmentation may be found in ACL No. 09-84.

Pursuant to the Budget Act of 2010, an augmentation of \$56,501,000 (\$31,322,000 from the General Fund [GF]) will be available to counties for Emergency Response, Family Maintenance, Family Reunification, and Permanent Placement services provided under county CWS programs. Additionally, an augmentation of \$60,565,000 (\$39,367,000 from the GF) will be available for local priorities identified in county system improvement plans. These augmentations are for the FY 2010-11 only. In order for counties to access these funds, two criteria must be met:

1. Counties must fully expend all budgeted CWS Basic GF allocations prior to drawing down this augmentation; and

REASON FOR THIS TRANSMITTAL

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

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 System Utilization**

Pursuant to the Budget Act of 2000 and carried forward in consecutive Budget Acts, including Assembly Bill 180, Chapter 47, Statutes of 2009 CDSS worked collaboratively with stakeholders in reaching an agreement on the definition of system utilization. These stakeholders included members from the County Welfare Directors Association (CWDA) 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.

The selected Child CWS/CMS data identified as indicators of system utilization (see Attachment A) are reported monthly by the CWS/CMS Project and available to the County Welfare Directors in the form of a self-monitoring Full Utilization report. This high-level county activity report reflects county activity in all areas relevant to system utilization, regardless of any county exemptions received from CDSS. The reports are electronically delivered to the CWS/CMS website under the County Specific Logon at the beginning of each month. We hope this information will provide the county with beneficial information and productive feedback on each county's efforts to more fully utilize the CWS/CMS application.

In past years, the federal Adoption and Foster Care Analysis and Reporting System (AFCARS) and National Child Abuse and Neglect Data System reporting requirements have emphasized the need for complete, accurate, and timely data and information documentation in CWS/CMS. More recently, the extensive and frequent reporting of critical program outcomes of the federal Child and Family Services Review Program Improvement Plan (PIP) and Assembly Bill 636 (Chapter 678, Statutes of 2001) also have focused on CWS/CMS as the primary source of this data.

Counties continue to be accountable for ensuring compliance with all aspects of system utilization. Individual county performance will reflect how well counties utilize the system to document complete, accurate, and timely program and client information. Both county performance reporting and potential federal funding penalties will be based on data entered into CWS/CMS by county staff. The CDSS continues to work with the counties to ensure that additional CWS/CMS data elements associated with performance outcomes are captured in CWS/CMS.

## **Certification Process**

To certify compliance with the definition of system utilization, County Welfare Departments (CWD) must use one of the following options:

- A. The county certifies that it currently completes all mandatory yellow data fields and green Adoptions and Foster Care Reporting and Analysis Reporting System (AFCARS) fields applicable to the casework being done. (Supervisors and staff can review and update the AFCARS data fields from the AFCARS Navigation Tool [cross-reference All County Information Notice No. I-44-05]).
- B. The county cannot certify to system utilization as outlined above in Option A, and submits an action plan indicating the current status of utilization, steps, milestones, and timelines by which system utilization will be achieved.
- C. The county cannot certify to system 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 system utilization will be achieved. Additionally, the county requests an exemption(s) from some aspect(s) of system utilization. All exemption requests must be accompanied by a valid business case reflecting local circumstances.

Certification will be done via a letter from each CWD to Gregory E. Rose, Deputy Director, Children and Family Services Division. The letter must specify one of the options listed above and, if applicable, also include the required action plan, exemption request, and business case.

All letters should be sent to the following address:

**County Certifications of CWS/CMS  
California Department of Social Services  
c/o CMS Support Branch  
744 P Street, MS 8-5-75  
Sacramento, California 95814**

If a county is unable to certify compliance, the county may develop and submit an action plan for reaching the goal of system utilization. The action plan should use a target date of no later than June 30, 2011, or provide an alternate target date accompanied by appropriate justification. The CDSS will provide confirmation of the county's certification of system 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 Option C will be provided as quickly as possible.

If a county is unable to certify to the system certification criteria described above, CDSS will redistribute that county's funds to the counties with approved certifications.

In order for CDSS to have the opportunity to redistribute the funds of those counties that fail to meet certification guidelines, counties must submit their letters no later than February 14, 2011. Distribution of the final augmentation calculation is scheduled for no later than March 1, 2011. 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.

### **Fiscal Impact/Claiming**

Counties must expend their total CWS Basic GF allocation prior to drawing down any portion of this augmentation. Distribution of these funds will be in accordance with the instructions outlined in CFL 10/11-46. The budget language does not contain a 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 certification process, please contact me at (916) 657-2614 or the CMS Support Branch at (916) 651-7884.

Sincerely,

***ORIGINAL DOCUMENT SIGNED BY:***

GREGORY E. ROSE  
Deputy Director  
Children and Family Services Division

Enclosures

## Attachment A System 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 or attempted contact exists in the Contact Notebook</li> <li>• Staff Person/Parent contact or attempted contact exists in the Contact Notebook</li> <li>• Staff Person/Substitute Care Provider contact or attempted contact exists 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
Court Management	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		