



JOHN A. WAGNER
DIRECTOR

STATE OF CALIFORNIA—HEALTH AND HUMAN SERVICES AGENCY
DEPARTMENT OF SOCIAL SERVICES
744 P Street • Sacramento, CA 95814 • www.cdss.ca.gov



EDMUND G. BROWN JR.
GOVERNOR

January 18, 2011

COUNTY FISCAL LETTER (CFL) NO. 10/11-50

TO: ALL COUNTY WELFARE DIRECTORS
ALL COUNTY WELFARE FISCAL OFFICERS
ALL COUNTY CWS/CMS SINGLE POINTS OF CONTACT
ALL COUNTY TECHNICAL CONTACTS
COUNTY PROBATION OFFICERS

SUBJECT: 2011 CHILD WELFARE SERVICES (CWS) ELECTRONIC DATA
PROCESSING (EDP) COUNTY ANNUAL PLANNING ESTIMATES
(CAPE)

REFERENCE: CFL No. 03/04-27, Dated October 17, 2003
CFL No. 06/07-36, Dated May 21, 2007
CFL No. 09/10-47, Dated February 24, 2010
CFL No. 10/11-25, Dated October 1, 2010

The purpose of this CFL is to inform the counties of their responsibilities relative to the CWS EDP CAPE report. The processes described herein supersede those of CFL No. 09/10-47 CWS EDP CAPE issued on February 24, 2010. All 58 counties must complete the 2011 CWS EDP CAPE as it is the only source of information available to the Office of Systems Integration (OSI), CWS/Case Management System (CMS) Office to complete the State of California's Annual Advance Planning Document (APD) Update. The California Department of Social Services (CDSS) must submit the state's APD Update to the federal Administration for Children and Families (ACF) annually to maintain Federal Financial Participation (FFP).

CAPE Instructions

Federal regulations require the state to monitor and account for all county EDP expenditures and procurements as a condition of FFP. In connection with this responsibility, the state requires all counties to annually report two Fiscal Years (FYs) of CWS-related EDP planned activities and estimated expenditures in the CAPE application.

The CAPE captures all county estimated EDP-related expenditures to support CWS/CMS Maintenance and Operation (M&O) activities for FY 2011-12 and FY 2012-13. The 2011 CAPE application will be available March 1, 2011 through April 29, 2011, for counties to enter and submit their EDP planned activities. Counties are instructed to use the 2011 CAPE application which can be found on the CWS/CMS website. As a reminder, the OSI website has been updated and the CAPE application can be found by following the path: CWS/CMS - County Info - County Logon - Applications - CAPE.

Counties must estimate each project cost as close to their anticipated expenditures as possible. The development of this information must be coordinated among the county's CWS program, fiscal, procurement, probation, and information technology staff.

CAPE Training

To provide counties with instructions on how to enter and complete their 2011 CAPE information, a CAPE Desk Guide will be available on the CWS/CMS website on February 1, 2011. The Desk Guide will be located under the "County Info" tab behind the "County Logon" section under "Guides." If you need access to the "County Logon" section, please contact your county's Single Point of Contact. The CAPE Desk Guide can also be accessed from the CAPE application by clicking on the help icon in the top right corner of the page.

CAPE Requirements

The 2011 CAPE will provide estimated expenditures for two FYs (updated FY 2011-12 estimates and new estimates for FY 2012-13). County estimates reported in the 2010 CAPE for FY 2011-12 will appear in the 2011 CAPE, but must be modified to reflect current status. Additionally, those projects started in 2010 but not listed in the 2010 CAPE, should also be included.

Counties are required to report the following information in their 2011 CAPE:

- All CWS-related EDP estimated expenditures for FY 2011-12 and FY 2012-13, regardless of the cost.
- All CWS-related EDP estimated expenditures for CWS/CMS and Non-CWS/CMS (previously referred to as Statewide Automated Child Welfare Information System [SACWIS]/Non-SACWIS).
- All Central Service Costs (allocated or billed) for services provided to CWS by a governmental unit on a centralized basis to its departments and/or agencies.

When completing the 2011 CAPE, CDSS strongly suggests that the counties refer to CFL 03/04-27, dated October 17, 2003, as a guideline to assist in determining CWS/CMS and Non-CWS/CMS eligible expenditures. Counties must note that CFL 03/04-27 claiming instructions are obsolete and is to be used solely as a guide for determining CWS/CMS and Non-CWS/CMS eligible expenditures. This CFL is located at the following link:

http://www.dss.cahwnet.gov/lettersnotices/entres/getinfo/cfl03/pdf/03-04_27.pdf

Counties must use the claiming methodology outlined in CFL 06/07-36, dated May 21, 2007 for claiming CWS/CMS and Non-CWS/CMS M&O costs. The claiming methodology is found at the following link:

http://www.dss.cahwnet.gov/lettersnotices/entres/getinfo/cfl06/pdf/06-07_36.pdf

In addition, the current federally approved CWS/CMS percentages are located in CFL 10/11-25, dated October 1, 2010. As a reminder, the federally approved CWS/CMS percentages change annually. The current CFL is located at the following link:

http://www.dss.cahwnet.gov/lettersnotices/entres/getinfo/cfl/2010-11/10-11_25.pdf

SACWIS Claiming Requirements

State of California's 2010-11 Final Budget Summary, Chapter 712, released by the Department of Finance, documents the intention of the Legislature, that agencies applying for federal funds will maximize all federal funds available. The federal ACF Program Instruction 01-05 states, *"The regulations at 45 Code of Federal Regulations (CFR) 1355.57(b) specify that the cost allocation methodology must be in accordance with the regulations at 45 CFR 95.631 (benefiting program concept) to the extent that a State's SACWIS¹ includes functions, processing, information collection and management, equipment or services that are not directly related to the administration of the programs carried out under title IV-B or IV-E."*²

Further, page five of the approved 2007-08 Cost Allocation Plan states: *"Federal regulations, 45 CFR Part 95.631(b), and Part 45 CFR 1355.50-1355.57, requires the cost incurred for the operations of an EDP system be identified and assigned by the State agency to the funding sources in accordance with the approved cost allocation plan required by Subpart E of the same part. Federal regulations specifically identified in 45, Part 1355.50-1355.57, reference SACWIS cost distribution requirements. Accordingly, M and O costs are distributed to the benefiting programs using the individual caseworker time study hours, or observations, of the Social Services, CalWORKS, Other Public Welfare Programs, Child Care, Non-Welfare and Generic functions. However, prior to this distribution process, M and O costs are first directly identified to the project and then to the benefiting function(s) or program level.*

¹Statewide Automated Child Welfare Information System (SACWIS) is currently referred to by the state as CWS/CMS.

²http://www.acf.hhs.gov/programs/cb/laws_policies/policy/pi/2001/pi0105.htm

If determined to be generic in nature, costs are further allocated to function based on a ratio of the quarterly total active cases on the system by function. After assignment to the appropriate level, the M and O costs are allocated to the benefiting programs using ratios developed from caseworker hours or observations. M and O costs for any system developed and operated to benefit a single program will be charged only to that benefiting program.”³

Therefore, the state requires counties to properly identify and claim all CWS/CMS expenditures that are eligible for FFP at the rates allowed in the federally approved cost allocation methodology. Additionally, all APD projects/activities claiming county-only funds must remain consistent with the previously claimed funds. For all other previous APD projects/activities, if the request is CWS/CMS eligible, the request must follow CWS/CMS guidelines even if the previous request was claimed as Non-CWS/CMS.

For the 2010 CAPE, the state used the county allocations for CWS System Support Staff. Allocation amounts will again be used to report CWS System Support Staff planned expenditures for the 2011 Annual APDU. Counties do not need to report these costs in their 2011 CAPE.

Questions regarding the 2011 CAPE may be directed to Mary Bouzard, CWS/CMS Office, OSI at (916) 263-1863. Questions regarding claiming or cost allocation may be directed to the CDSS Fiscal Systems Bureau, at Fiscal.Systems@dss.ca.gov. The acceptance of the 2011 CAPE information by CDSS does not constitute a federal or state commitment to funds or approve the proposed activities. Funding for planned activities is subject to availability of state and federal funds, as well as state and/or federal approval via the APD process.

Sincerely,

ORIGINAL DOCUMENT SIGNED BY:

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FRAN MUELLER
Deputy Director
Administration Division

GREGORY E. ROSE
Deputy Director
Children and Family Services Division

³ http://www.dss.cahwnet.gov/cdssweb/entres/pdf/CWD_CAP.pdf