



CDSS

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March 27, 2012

COUNTY FISCAL LETTER (CFL) NO. 11/12-46

TO: COUNTY WELFARE DIRECTORS
COUNTY WELFARE FISCAL OFFICERS
COUNTY CHILD WELFARE SERVICES/CASE MANAGEMENT
SYSTEM (CWS/CMS) SINGLE POINTS OF CONTACT
COUNTY TECHNICAL CONTACTS
COUNTY PROBATION OFFICERS

SUBJECT: 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. 10/11-50,
DATED JANUARY 18, 2011; CFL NO. 11/12-30, DATED
NOVEMBER 1, 2011

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. 10/11-50 CWS EDP CAPE issued on January 18, 2011. All 58 counties must complete the 2012 CWS EDP CAPE, as it is the only source of information available to the Office of Systems Integration (OSI), CWS/CMS Office to complete the State of California's Annual Advance Planning Document Update (APDU). The California Department of Social Services (CDSS) must submit the state's Annual APDU to the federal Administration for Children and Families (ACF) 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 eligibility for FFP. In connection with this responsibility, the state requires all counties to annually report two fiscal years (FYs) of CWS-related EDP estimated expenditures for planned activities 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 2012-13 and 2013-14. The 2012 CAPE application will be available March 1, 2012 through April 30, 2012, for counties to enter and submit their EDP planned activities. Counties are instructed to use the 2012 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 through the OSI website link:

<http://www.hwcws.cahwnet.gov/default.asp>

Then by following this 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, and information technology staff.

CAPE Training

To provide counties with instructions on how to enter and complete their 2012 CAPE information, a CAPE Desk Guide will be available on the CWS/CMS website. 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 2012 CAPE will provide estimated expenditures for two FYs (updated 2012-13 estimates and new estimates for 2013-14). County estimates reported in the 2011 CAPE for FY 2011-12 will appear in the 2012 CAPE, but must be modified to reflect current status.

Counties are required to report the following in their 2012 CAPE:

- All CWS related EDP estimated expenditures for FYs 2012-13 and 2013-14, regardless of the cost.

- All CWS related EDP estimated expenditures for all CWS/CMS and Non-CWS/CMS (previously referred to as Statewide Automated Child Welfare Information System (SACWIS)/Non-SACWIS)¹.
- All Central Service Costs (allocated or billed) for services provided to CWS by a governmental unit on a centralized basis to its departments and agencies.
- All actual expenditures for projects approved through the Advanced Planning Document (APD) process for FY 2011/12.² See Reconciliation of Expenditures section of this letter.

When completing the 2012 CAPE, CDSS recommends that the counties refer to CFL 03/04-27, as a guideline to assist in determining CWS/CMS and Non-CWS/CMS eligible expenditures. It is important to note that the claiming instructions included in CFL 03/04-27 are obsolete. CFL 03/04-27 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, for claiming CWS/CMS and Non-CWS/CMS M&O costs. The claiming methodology is located 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 11/12-30, dated November 1, 2011. 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/2011-12/11-12_30.pdf

SACWIS Claiming Requirements

The 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

¹ The SACWIS is currently referred to by the state as CWS/CMS.

² 45 Code of Federal Regulations (CFR) 95.610 Annual APDU

Program Instruction 01-05 state's *"The regulations at 45 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 SACWIS³ 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."*⁴

Further, page five of the approved 2009-10 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&O costs are distributed to the benefiting programs using the individual caseworker time study hours, or observations, of the Social Services, California Work Opportunity and Responsibility to Kids, Other Public Welfare Programs, Child Care, Non-Welfare and Generic functions. However, prior to this distribution process, M&O costs are first directly identified to the project and then to the benefiting function(s) or program level. 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&O costs are allocated to the benefiting programs using ratios developed from caseworker hours or observations. M&O costs for any system developed and operated to benefit a single program will be charged only to that benefiting program."*⁵

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 2011 CAPE, the state used the county allocations for CWS System Support Staff. Allocation amounts will again be used to report CWS System Support Staff

³ The SACWIS is currently referred to by the state as CWS/CMS.

⁴ http://www.acf.hhs.gov/programs/cb/laws_policies/policy/pi/2001/pi0105.htm

⁵ http://www.cdss.ca.gov/getinfo/cfl00/pdf/00-01_22.PDF

planned expenditures for the 2012 Annual APDU. Counties do not need to report these costs in their 2012 CAPE.

Reconciliation of Expenditures for APDs via Completion Reports

The CDSS must submit in the State's Annual APDU to the ACF all county EDP expenditures and procurements as a condition of FFP. Therefore, all counties must reconcile projects approved for FY 2010-11. A Completion Report must be submitted for all CAPE projects approved by APDs and for those Non-CAPE APDs approved for FY 2010-11. See CAPE Guide section 7.0 Completion Report for instructions regarding how to process CWS Completion Reports on line and/or manually.

The CAPE Guide section 7.0 is located behind County Logon:

CWS/CMS>County Info>County Logon>Guides>Applications>2012 CAPE Desk Guide.

The Completion Report template is located behind the County Logon:

CWS/CMS>County Info>County Logon>APD Process>Tools>Appendix C Completion Report Template.

The acceptance of the 2012 CAPE information by CDSS does not constitute a state or federal commitment to funds or approval of the proposed activities. Funding for planned activities is subject to availability of state and federal funds as well as state and federal approval via the APD process.

Questions regarding the 2012 CAPE should be directed to Mary Bouzard of the CWS/CMS Office, at (916) 263-1863. Questions regarding claiming or cost allocation should be directed to the CDSS Fiscal Systems Bureau at Fiscal.Systems@dss.ca.gov.

Sincerely,

ORIGINAL DOCUMENT SIGNED BY

FRAN MUELLER
Deputy Director
Administration Division

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GREGORY E. ROSE
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Children and Family Services Division