



CSE Fundamentals: Planning for a New Statewide System

Get Seed Money To Do Good Planning



CSE Fundamentals: Planning for a New Statewide System

### Purpose of a Planning APD

- **First: A planning APD provides the federal government with the initial start-up data necessary to fund a state's planning activities for a new automation project**
- **Second: An APD provides the state and federal agencies with the kind of high level data generally used to monitor a project's progress**

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### Today's Speaker

- **Joseph Bodmer**  
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### Planning APD

- **Generally used in support of major system development projects, as opposed to less complex computer acquisitions like hardware and software buys**
- **This is a brief document of usually not more than 15-30 pages**

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### Types of APD's

- **Planning APD**
  - ✓ Used to seek reimbursement for planning costs
- **Implementation APD**
  - ✓ Used to seek reimbursement for costs of designing, developing, and implementing a system costing over 5 Million Dollars

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### Elements of a Planning APD

- **Problem Statement**
- **Project Management Plan (PMP)**
- **Planning Budget**
- **Total Project Cost Estimate**

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## Elements of a Planning APD

- **Problem Statement**
  - ✓ 1-3 pages of general discussion of the problem(s) faced by the agency and of the need to seek a remedy
  - ✓ Cites examples of issues and problems being faced

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## Elements of a Planning APD

- **The Project Management Plan (PMP)**
  - ✓ The task-oriented list of activities to be conducted must include commitments to conduct a:
    - Needs Assessment
    - Feasibility Study
    - Alternatives Analysis
    - Cost Benefit Analysis

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## Elements of a Planning APD

- **The Project Management Plan (PMP)**
  - ✓ Provides a list of key personnel
  - ✓ Provides an organization chart for the planning effort
  - ✓ Provides a task-oriented list of planning activities to be conducted including project schedule information

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## Elements of a Planning APD

- **The Project Management Plan (PMP)**
  - ✓ Other task-oriented activities that a PMP might include are:
    - Developing RFP's / ITB's
    - Conducting procurements for:
    - Quality Assurance and IV&V
    - Software development
    - Project management support
    - Hardware and Software purchasing
    - Implementation APD development, etc.

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## A Project Schedule Example

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## Elements of a Planning APD

- **Planning Budget**
  - ✓ Provide a budget spreadsheet showing costs broken-down by Federal Fiscal Quarter (FFQ) and summed to the Federal Fiscal Year (FFY).
  - ✓ Best presentation is to have one page per FFY.
  - ✓ Have last column of each budget spreadsheet show state and Federal shares for each FFY

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## Elements of a Planning APD

- **Budget Categories Include:**
  - ✓ state staff,
  - ✓ contractors (listed by contract)
  - ✓ hardware and software,
  - ✓ training,
  - ✓ miscellaneous/supplies,
  - ✓ travel,
  - ✓ data center (listing both operations and development separately).

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## IN COMPLEX, LARGE SCALE APPLICATION DEVELOPMENT PROJECTS

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## Elements of an Implementation APD

- Executive Summary
- Statement of Needs and Objectives
- Feasibility Study (Includes a summary of the study and the Analysis of Alternatives)
- Project Management Plan
- Interface Requirements
- Security
- Budget (Including cost allocation, if needed)
- Cost Benefit Analysis

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## Planning Phase – The Beginning

- Secure Stakeholder And Executive-level Buy-in
- Create And Staff The Planning Organization
- Prepare Planning APD - Get Fed Approval/FFP
- Conduct The Requirements Analysis
  - ✓ Document Existing System Functionality
  - ✓ Document Desired System Functionality
  - ✓ Document Existing Hardware And Software
  - ✓ Document Desired Hardware And Software
  - ✓ Document Current Costs And Benefits

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## FEASIBILITY, OPERATIONAL AND COST BENEFIT ANALYSIS

### A Description and Discussion

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## Feasibility Studies: Purpose

- The Preliminary Study That Determines Whether a Proposed Systems Project is Technically, Financially, and Operationally Viable
- The Foundation for Approval of the Project's IAPD

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## Feasibility Study Process

- Describes the Status Quo
- Defines the Problem
- Defines System Objectives
- Identifies System Constraints and Assumptions
- Develops System Requirements
- Assesses Project's Feasibility

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## Define System Objectives

- Define New System Functionality
  - ✓ To Be Retained From Current
  - ✓ To Be Added
  - ✓ To Be Further Automated
  - ✓ To Be Redesigned And Improved
- Define Technical Requirements
- Define Organizational Objectives
- Define Cost and Benefit

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## Describe the Status Quo

- Understanding How the Current (Status Quo) System Works
  - ✓ Work Flow and Gap Analysis
  - ✓ Document System Functionality
    - Software Components
    - Manual Components
  - ✓ Technical Architecture (HW & SW)
  - ✓ Interfaces

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## Identify Constraints

- Statute and Regulation
- Technological
- Socio-political
- Financial
- Operational
- Functional
- Document the Logic Underlying the Constraints

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## Define the Problem

- What Functionality is Missing or in Need of Automation in the Current System
- What Functionality is in Need of Improvement or Modification in the Current System
- Obsolescence of Technology, Platforms, and Architectures

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## Identify Assumptions

- Cost and Budget
- Resources
- Functional and Programmatic
- Technical
- Organizational
- System Life
- Document the Logic Underlying the Assumptions

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## Identify Risks

- Budget Shortfalls
- Lack of Resources
- Organizational and Legislative
- Executive Commitment
- Federal Changes and Funding
- Technical Obstacles
- Document the Logic Underlying the Risks

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## Assess Universe of Options

- Use High-Level Criteria To Assess Your Universe of Options
  - ✓ Keep Status Quo
  - ✓ Upgrade Existing System
  - ✓ Transfer Another State's System
  - ✓ New Development
    - COTS (ex. SAP, Seibel, PeopleSoft, etc.)
    - Open Source (ex. Java, JBoss, MySQL, etc.)
    - Proprietary Source (ex. Microsoft, IBM, SUN, etc.)
  - ✓ Hybrid (e.g., combination of above)

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## Compile Requirements Analysis

- Reorganize All of the Previous Work into a List of Requirements the System Must Fulfill / Address
- Ensure Requirements Definition for the Current System Are Considered
- Secure Stakeholder Commitment to Complete Set of Requirements

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## Document First Cut - Alternatives

- Ability to Reduce the Universe of Potential Options to 2-4 Realistic Alternatives for Further Analysis
- These Now Undergo Detailed Evaluation as Part of the "Analysis of Alternatives"
- Document Everything in Scoring (There's a Test Later !!)

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## Create Ranking and Weight

- Define Ranking Criteria to Evaluate Alternatives (What's Important?)
- Weight the Ranking Criteria for Purposes of Later Evaluation of the Alternatives – Remember That Costs & Benefits = 25%
- Create Two Sets Of Evaluation Criteria: High-Level and Complete
- Document the Logic Underlying the Ranking Criteria and Weighting

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ALTERNATIVES ANALYSIS

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## Alternatives Analysis

**A Detailed Analysis Which Evaluates Selected Alternatives for Automation to Determine the Option that is Most Cost Effective, Efficient, and Reasonable.**

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## New Jersey's Experience

- **Transfer System Candidates were Selected Based On:**
  - ✓ **Functional Capacity**
  - ✓ **Technical Infrastructure**
  - ✓ **Documented Effectiveness**
  - ✓ **Suitability for NJ's child support environment**

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## Do Due Diligence – *Road Show*

- **In Feasibility Study Phase, Narrow Your 5 - 10 State Systems Down to 2 - 4 Transfer Options to be Used to Identify the Best Transfer Candidate(s)**
- **Evaluate Them – *It's A Road Show !!***
- **New Development – Invite Vendors To Demonstrate Their Tools/Capabilities**
- **Hybrid – No One Shoe Fits All**

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## New Jersey's Experience

- **Narrowed Potential Transfers to 5 States:**
  - ✓ **Maine**
  - ✓ **Michigan**
  - ✓ **Pennsylvania**
  - ✓ **Vermont**
  - ✓ **Wyoming**

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## Alternatives Analysis

- **Score and Rank Alternatives Based on How Well They Meet Requirements for Hardware, Software, Functions and Processes, Organization, etc.**
- **Remember That You Must Also Score and Rank Risks, Assumptions, and Constraints**
- **Don't Double Count Rankings/Scores (e.g. Risk)**
- **REMEMBER !! Transfer Had To Be Considered**
- **Rank Alternatives**

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## New Jersey's Experience

- **Conducted Onsite Visits to Maine, Michigan, and Pennsylvania**
- **Conducted Virtual Tours of Vermont and Wyoming**
- **Issued Request for Information for Vendors to Demonstrate Their Systems**

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## New Jersey's Experience

- **Conclusion - A Hybrid Solution**
  - ✓ A transfer of the MI system as a base for Case Management, etc.
  - ✓ Transfer and incorporate the Maine Financial Design
  - ✓ Reduced risk and achieved most cost effective design alternative

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## Costs

- **Cost Compare Each Alternative Against the Status Quo**
- **Identify and Characterize All Costs**
- **Build Each Cost Profile Year by Year, Showing All Years For The Project's Lifecycle (Minimum 7 Years of Operations)**
- **Use Current Dollars (Net Present Value Calculations)**

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## COST-BENEFIT ANALYSIS

IN COMPLEX, LARGE SCALE APPLICATION DEVELOPMENT PROJECTS

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## Compare Costs Against Status Quo

- **Cost of Maintaining Current System With No Enhancements**
- **Provides A Control Group to Use To Evaluate All Other Alternatives**
- **Be Consistent in Comparisons**

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## Cost Benefit Analysis

**Performing a Detailed Evaluation of the Costs and Benefits of Each Alternative Identified During the Alternatives Analysis Is Critical ...**

**... This Is Pass Or Fail Critical ! From A Federal Standpoint !**

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## Identify and Characterize Costs

- **Document All Recurring and Non-Recurring Costs**
  - ✓ Hardware
  - ✓ Software
  - ✓ Training
  - ✓ Personnel – State and Contract
  - ✓ Database Conversion and Cleanup
  - ✓ Other (examples in Guide)

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## Build Annual Cost Profiles

- Estimate Level of Effort Using Metrics
  - ✓ COCOMO II
  - ✓ Price-S
  - ✓ Function Point Analysis
- Check – Compare to Similar Systems
- Run Experiments – “What-if Scenarios”
- Be Consistent, Accurate, Measurable, Repeatable, and Reasonable

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## Identify Tangible Benefits

- Derive Cost Saving From Benefit
- Document Assumptions Used
  - ✓ Increased Collections
  - ✓ Reduced Error Rates
  - ✓ Reduced Costs
  - ✓ Reduced Staffing
  - ✓ Improved Security
  - ✓ Improved Access
  - ✓ Improved Interface

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## Use Current Dollars

- Project Constant Annual Dollar Costs and Benefits for Project Life
- Then Convert These Constant Dollars to Current Dollars (*Net Present Value – NPV*)
- This is Only Done for Feasibility Study and Analysis of Alternatives
- Constant Dollars Will Be Used in Annual APD Updates Since They Accumulate To The Project Over Time And Are Not A Projection, But Are Real

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## Identify Intangible Benefits

- Score By Ranking Applicability
- Examples:
  - ✓ Worker Satisfaction
  - ✓ Improved Document Appearance
  - ✓ Improved Staff Retention
  - ✓ User Friendliness
  - ✓ Client Satisfaction

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## Benefits

- Identify and Characterize All Benefits
- No Benefit Is Too Small – Over Time
- Two Categories of Benefits
  - ✓ Tangible
  - ✓ Intangible

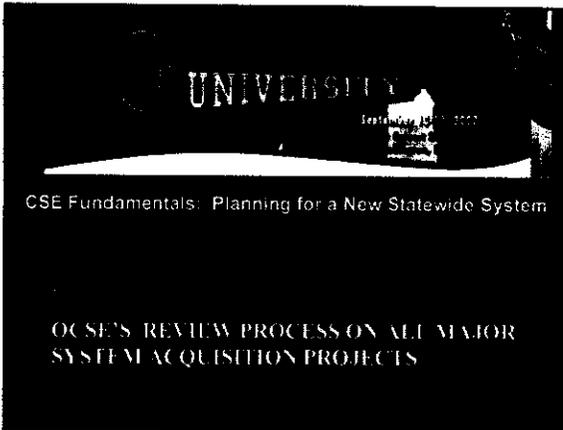
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## Complete Cost-Benefit Analysis

- Convert Costs and Benefits to Current Dollars (*Net Present Value*)
- Compare Quantitative Factors
  - ✓ Net Benefit (Cost)
  - ✓ Benefit/Cost Ratio Based on the Full System Lifecycle
  - ✓ Breakeven or Payback (Date in Month/Year)
- Roll Scores Into Alternatives Analysis

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## Common Errors and Omissions

- Besides Math Errors, Consistency And Measurability Issues, IV&V Often Finds:
  - ✓ Net Present Value (Constant Dollars) Of Each Alternative's Cost And Benefits Was Not Used
  - ✓ Evaluation (Scoring, Ranking and Weighting) Criteria Created Too Late In Process To Be Objective
  - ✓ That System Transfer Considerations Appear Manipulated (Looked At Old vs. New Systems As Potential Transfer Candidates)

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## IV&V Criteria

- Accuracy – is the math, etc., correct?
- Measurability – are the risks, assumptions, constraints, math, etc., documented
- Repeatability – can we repeat the results?
- Consistency – are requirements, constraints, risks, etc., applied evenly across all alternatives
- Reasonableness – to a prudent person, does the outcome appear reasonable (re: OMB Circular A-87)

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## Common Errors and Omissions

- Besides Math Errors, Consistency And Measurability Issues, IV&V Often Finds:
  - ✓ That Data About The Transfer System Candidate Is Misrepresented, Inaccurate, Or Out-Of-Date
  - ✓ That Scoring and Evaluation Of Risks Are Duplicated In The Feasibility Study (i.e., they are embedded in requirements and separately calculated by risk type and severity)
  - ✓ That Results Have Not Been Summarized for Selection Justification in the IAPD

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## Common Errors and Omissions

- Besides Math Errors, Consistency And Measurability Issues, IV&V Often Finds:
  - ✓ The Status Quo Isn't Thoroughly Described
  - ✓ That All Reasonable Alternatives Were Not Considered To At Least A High Level
  - ✓ The Cost-Benefit Analysis Was Not Done For At Least Two (2) Alternatives
  - ✓ That Alternatives Were Not Evaluated On A System Lifecycle Basis

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## Good-To-Know Hints And Tips

- Costs Are Not Always Fully Known, So They May Be Estimated In A Range Or Within A Given Probability
- Always Decide On And Develop Your Evaluation (Scoring, Ranking, and Weighting) Criteria Up-Front – *Think Free And Open Competition Requirements, Just Like A Major Prime Developer Contract*
- Intangible Benefits May Matter In The End – *Don't Ignore Them*

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## Good-To-Know Hints And Tips

- Document, Document, Document – *Remember the Test? IV&V Is Coming!*
- IV&V Does Analyze Underlying Meeting Minutes, Notes, Evaluation Sheets, Requirements Definitions, etc. *Throw Nothing Away!*
- When, In The Final Analysis, The Best Alternative Looks Like A Tie Between Two Or More – *Flip A Coin?*

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## OCSE IV&V Review: WEEK 2

- OCSE Conducts Initial Review of Data and Documentation Submitted By State
- IV&V Team Develops Initial Set of Comments And Questions for State
- IV&V Team Develops, with the State, An Agenda for On-Site Review
- IV&V Team Identifies And Shares With State Additional List Of Documentation To Be Gathered During On-site Portion of the Review

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## OCSE's Typical IV&V Review

- The Review Process Takes Approximately Eight (8-10) Weeks
- OCSE Uses Federal Staff and Contractors to Conduct the Review
- OCSE's Review Is Initiated Upon State Submittal of a Feasibility Study That Includes An Study Of Alternatives With Cost/Benefit Analyses
- OCSE Does Offer To Conduct Draft Reviews and Provide Technical Assistance of Preliminary Data (e.g. Evaluation Criteria, etc.)

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## OCSE IV&V Review: WEEK 3

- On-Site Review With State Staff
- Provide Initial Comments to the State
- Ask Questions Developed During Initial Review
- Interview State Staff And Their Contractors On the Processes Used to Develop the Feasibility Study
- Collect Additional Documentation

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## OCSE IV&V Review: WEEK 1

- Assemble Team - OCSE and Contract Staff
- Internal OCSE Start-Up Meeting to Discuss:
  - ✓ Overall Scope
  - ✓ Identify Documentation Needed From State:
    - Feasibility Study, including prior drafts,
    - Cost-Benefit Analyses,
    - Status Quo Document,
    - Historical Data,
    - Requirements Analysis and Definition, etc)
- Establish, With State Staff, Dates Of On-site IV&V Review, With State And Contractor Staff Interview List

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## OCSE IV&V Review: WEEKS 4-8

- OCSE Conducts Detailed Review of Feasibility Study, Cost-Benefit Analysis, and Other Documentation, Including Of Any Additional Documentation Gathered On-site
- Follow-Up Conference Calls With State Staff, As Required
- Draft Report Developed by OCSE Federal and Contract Staff and Submitted to OCSE Lead
- IV&V Review Report's Interim Results Reported To OCSE's Executive Leadership

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## OCSE IV&V Review: WEEKS 8-10

- OCSE Follow-up Conference Calls To State If Fatal Flaws Or Significant Issues Identified In Draft Report
- OCSE's Efforts Are Directed At Helping State Fix Fatal Flaws And Significant Issues
- Additional Follow-Up Calls With The State As Required Are Conducted
- Results Of Issues Resolution, If Needed and Accomplished By State, Are Entered To Final Report
- Final Report Released To State

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## IV&V Today

- The Following States Have IV&V Full-time:
  - ✓ CA, FL, SC
- The Following State Has IV&V Semi-annually:
  - ✓ NJ
- Due to the Limited Risk and Minor Cost, Requirement for IV&V Was Dropped

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## OCSE IV&V Review: Documentation

- Final Feasibility Study, Alternatives and Cost-Benefit Analyses, Including Status Quo
- Any and All Interim Versions of Documents
- White Papers, Meeting Minutes, Studies
- Evaluation Documents and Correspondence (Including IV&V Team Notes)

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## IV&V Today

From 1988 To 1998, OCSE Had **7 Of 54 CSES Projects Fail**, At A Cost To Taxpayers **Of More Than \$350M**

From 1998 To-date, **19 States** Have Had IV&V Services Imposed On Their CSES Project, **With No Project Failures**

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## OCSE IV&V Review: Documentation

- Requirements and Gap Analyses Documentation
- Evaluation Criteria, Including Derivation of Scoring, Ranking, and Weighting (e.g., spreadsheets, databases, and any contractor-related supporting tools and databases.)

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## IV&V Today

**Of Those 19 Projects:**

- 12 Were Completed And Federally Certified In Eighteen Months Or Less
- 3 Had The IV&V Requirement Dropped
- Of The Four That Remain In IV&V, All Are New Development Efforts, And All Are Within 10% Of Budget And Schedule

**IV&V Services Work !!**

- For States, For Vendors, For OCSE

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## New To IT In Child Support?

- **What communications are in place within the state project?**
  - ✓ **Is there a Project Charter? Does it include all stakeholders or just the agency?**
  - ✓ **Is there a Communications Plan for the project? Does everyone have a voice?**

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## New To IT In Child Support?

- **Who is the point of contact at OCSE for systems issues?**
  - ✓ **What communications are currently in place between your state project staff and OCSE systems staff?**
  - ✓ **What communications would be beneficial between the project and OCSE systems staff? Frequency?**

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## New To IT In Child Support?

- **What communications are in place within the state project?**
  - ✓ **Is there a Project Charter? Does it include all stakeholders or just the agency?**
    - **A project charter is a document issued by senior management that formally authorizes the existence of the project. It provides the project manager with the authority to apply organizational resources to project activities.**

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## New To IT In Child Support?

- **Are there any major upgrades, enhancements or system replacements being planned? If so, what is the status?**
  - ✓ **Has an analysis of alternatives for the upgrade or replacement system been prepared?**
  - ✓ **Has a feasibility study, with a cost/benefit analysis (CBA) been prepared?**
  - ✓ **Is the project actively working with OCSE staff to ensure Federal requirements for planning major systems upgrades or enhancements are being met? For details on CBA requirements, go here: [http://www.ecf.hhs.gov/programs/cse/stsys/dsts\\_plan\\_cba.html](http://www.ecf.hhs.gov/programs/cse/stsys/dsts_plan_cba.html)**

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## New To IT In Child Support?

- **What communications are in place within the state project?**
  - ✓ **Is there a Communications Plan for the project? Does everyone have a voice?**
    - **A communication plan is a document describing the information and communication needs of the project stakeholders: who needs the information, when they need it, and how it will be communicated to them.**

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## New To IT In Child Support?

**Are any systems costs shared between state agencies? If so, is there a cost allocation plan for sharing these costs? Is it Federally approved? For details on cost allocation, [http://www.ecf.hhs.gov/programs/cse/stsys/dsts\\_plan\\_ca.html](http://www.ecf.hhs.gov/programs/cse/stsys/dsts_plan_ca.html).**

**What best practices from other states may be applicable to your system? For information on best practices, [http://www.ecf.hhs.gov/programs/cse/stsys/dsts\\_library\\_best.html](http://www.ecf.hhs.gov/programs/cse/stsys/dsts_library_best.html)**

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## New To IT In Child Support?

- **What is the status of the project's APD?**
  - ✓ **Is there an Active APD in place? To find out,** <http://www.acf.hhs.gov/programs/cse/stsys/certmap.htm>.
  - ✓ **Is the APD up to date? When is the next submittal to OCSE due? APD's must be submitted annually, as well as on an "as-needed basis." For an overview of the APD process,** [http://www.acf.hhs.gov/programs/cse/stsys/dsts\\_plan\\_apd.html](http://www.acf.hhs.gov/programs/cse/stsys/dsts_plan_apd.html).
  - ✓ **Is the APD eligible for closeout? Even if eligible, should we close it out or leave it open? For details on closing out an APD,** [http://www.acf.hhs.gov/programs/cse/stsys/dsts\\_plan\\_apd.html](http://www.acf.hhs.gov/programs/cse/stsys/dsts_plan_apd.html).

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## References

- U.S. Department of Health and Human Services, Administration for Children and Families and Health Care Finance Administration – State Systems APD Guide, September 1996
- U.S. Department of Health and Human Services, Administration for Children and Families, Office of Child Support Enforcement – Addendum to State Systems APD Guide for Child Support Enforcement Systems, March 1999
- Action Transmittal OCSE-AT-90-11, Policy Clarification Relating to Automated Child Support Enforcement Systems, October 9, 1990

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## Thank You

# Questions?

<http://www.acf.hhs.gov/programs/cse/stsys/lcse.htm>

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## References

- U.S. Department of Health and Human Services, Administration for Children and Families, Office of Child Support Enforcement – Automated Systems for Child Support Enforcement: A Guide for States, Revised April 1999, Updated December 1999
- U.S. Department of Health and Human Services, Administration for Children and Families – Feasibility, Alternatives, and Cost/Benefit Analysis Guide, July 1993
- U.S. Department of Health and Human Services, Administration for Children and Families, Office of Child Support Enforcement – Cost/Benefit Companion Guide, August 1994
- U.S. Department of Health and Human Services, Administration for Children and Families - Companion Guide 3: Cost/Benefit Analysis Illustrated for Child Support Enforcement Systems, September 2000

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## References

- Title 45 Public Welfare and Human Services Code of Federal Regulations (CFR), Part 307—Computerized Support Enforcement Systems
- Title 45 Public Welfare and Human Services Code of Federal Regulations (CFR), Part 95—General Administration—Grant Programs (Public Assistance and Medical Assistance)
- Title 45 Public Welfare and Human Services Code of Federal Regulations (CFR), Part 74 - Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations; and Certain Grants and Agreements with States, Local Governments and Indian Tribal Governments

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