APD 101 / 201

The Advance Planning Document Process
Overview

The Advanced Planning Document (APD) Process

- APD Basics:
  - Planning APD
  - Implementation APD
  - Operational APD
- APD Update (APDU) Basics:
  - Annual Update
  - As Needed Update
  - Operational Update
- APD Submissions
- APD Approval/Disapproval
- References
APD BASICS
Purpose of an APD

First: An APD Provides the Federal Government With the Data Required to Determine Funding for a State 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
Types of APDs

Three Major Types of APD Submissions

• Planning APD (PAPD)
  • Used to Seek Reimbursement for Planning Costs
• Implementation APD (IAPD)
  • Used to Seek Reimbursement for Costs of Designing, Developing, and Implementing a System
• Operational APD (OAPD)
  • Used to Seek Reimbursement for Costs for Maintaining and Operating the CSE System
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
Elements of a Planning APD

1. Problem Statement
2. Project Management Plan (PMP)
3. Planning Budget
4. Total Project Cost Estimate
Planning APD

The 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/Problems Being Faced
Planning APD

The Project Management Plan (PMP)

• Provide a List of Key Personnel

• Provide an Organization Chart for the Planning Effort

• Provide a Task-Oriented List of Planning Activities to be Conducted Including Project Schedule Information
Planning APD

The Project Management Plan (PMP)

• The Task-Oriented List of Activities to be Conducted. Must Include Commitments to Conduct a:
  • Needs Assessment
  • Requirements Definition
  • Feasibility Study
  • Alternatives Analysis
  • Cost Benefit Analysis
Planning APD

The Project Management Plan (PMP)

• Other Task-Oriented Activities That a PMP Might Include Are:
  • Developing RFP’s etc.
  • Conducting Procurements for
    • Quality Assurance (QA),
    • Independent Verification and Validation (IV&V),
    • Software Development,
    • Project Management Support,
    • Hardware Purchasing,
    • Installation,
  • Implementation APD Development, etc.
Planning APD

Planning Budget

• Provide a Budget Spreadsheet For Each FFP Rate To Be Claimed, Totaled by Federal Fiscal Quarter and Year

• The Budget Categories Include:
  – State Staff, Contractors (listed separately),
  – Hardware and Software,
  – Training,
  – Miscellaneous/Supplies,
  – Travel
The Implementation APD

- Executive Summary
- Statement of Needs and Objectives
- Feasibility Study - Including a Summary of the Analysis of Alternatives
- Project Management Plan
- Interface Requirements
- Security
- Budget
- Cost Benefit Analysis
The Implementation APD

Executive Summary

• Overview of the Project’s Expectations, Goals
• Statement of Executive Support for the Project
• Summary of the Planning Phase Activities
• Summary of Any Requests for Waivers
• Summary of Total Project Cost Estimate
• Summary of Initial Project Funding Requested
The Implementation APD

• Statement of Needs and Objectives
  • Describe the Current Environment,
  • Identify New System Needs,
  • Define Objectives of the New System
  • Describe Anticipated Benefits

• Summary of the Feasibility Study -
  Includes a High Level Discussion of the:
  – Requirements Analysis,
  – Results of the Analysis of Alternatives,
  – Feasibility Study
The Implementation APD

Project Management Plan

• Task-Oriented Project Activities Listing
  • by Module/Function, Procurements, Including IV&V

• Project Schedule by Lifecycle Phases
  • GANTT, PERT, MS Project is ACF Standard

• Resources Statement
  • Key Personnel, Oversight, QA, State and Contract Staff
  • Organization Charts for the Project and Umbrella Agency

• Procurements
  • by Type and Purpose, Including Waiver Requests
Sample Task-Oriented Activity

CHANGES TO CLIENT DATA  (completed by in-house staff and contractor staff)

REQUIREMENT: CSMS was enhanced to accept the child’s birth city, county, state and residency state. CSMS was to be enhanced to accept the date of request of application and the date the application and program information was provided. Also, fields were added to track Medicaid and Foster Care case activity.

DESIGN: December 15, 1998 - January 29, 1999 (1 staff month) [$6,392]
   (½ contractor month) [$6,150]

DEVELOPMENT: February 1, 1999 - February 26, 1999
   (1 contractor month) [$12,300]

TESTING: March 1, 1999 – March 31, 1999 (¼ staff month) [$1,598]

IMPLEMENTATION: April 1, 1999 – April 15, 1999 (¼ staff month) [$1,598]

STATE STAFF MONTHS: 1½ (1 program person - 1½ staff months) [$9,588]

CONTRACT MONTHS: staff months [ $18,450]

COST:  $28,038 [$9,588 = program; $18,450 = contractor]

STATUS: COMPLETED
# Project Schedule Example

<table>
<thead>
<tr>
<th>ID</th>
<th>Task Name</th>
<th>1999 Qtr 4</th>
<th>1999 Qtr 1</th>
<th>1999 Qtr 2</th>
<th>1999 Qtr 3</th>
<th>2000 Qtr 4</th>
<th>2000 Qtr 1</th>
<th>2000 Qtr 2</th>
<th>2000 Qtr 3</th>
<th>2000 Qtr 4</th>
<th>2001 Qtr 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Task 1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>General Design</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>General Design Review</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Detailed Design</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Detailed Design Review</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Code</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Code Inspection</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Unit Test</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Unit Integration</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Task 2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>General Design</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>General Design review</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Detailed Design</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>Detailed Design Review</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>Code</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Code Inspection</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>Unit Test</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>Unit Integration</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>Task 3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>Integration Test</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>Test Readiness Review</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>Task 4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>23</td>
<td>Pilot Test</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>24</td>
<td>Task 5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>25</td>
<td>Project Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>26</td>
<td>IV&amp;V</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>27</td>
<td>Quality Assurance</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>28</td>
<td>System Administration</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The Implementation APD

Interface Requirements

- List and Describe Each Interface, Including:
  - Purpose,
  - Frequency,
  - Agency/Corporate Dependencies/Limitations
The Implementation APD

Security

• Summary of Program Risk Analysis
  • Scope, Data Access, Physical Plant, Personnel, Frequency
• Summary of Program Disaster Recovery and Contingency Planning
• Summary of Anticipated Application Security
• Identification of Program’s Security Officer
The Implementation APD

Budget

- Budget Line Items Reflect Tasks in PMP
  - Sub-elements In Each Task Are State Staff and Contractors
- Other Costs Can be Separate Line Items
  - Data Center, Hardware/Software, QA, IV&V, Travel, Training, etc.
- Recommend Separate But Identical Budgets for Different FFP Rates
  - Regular and Enhanced
- Budget Spreadsheets Must Accumulate
  - Costs By FFQ, Summed To FFY
- Provide a Budget Summary by FFY by FFP Rate
  - Include a Line to Show Total Planning Phase Costs
# Sample Project Budget

## Project Budget (1999)

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Q1 Funding</th>
<th>Q2 Funding</th>
<th>Q3 Funding</th>
<th>Q4 Funding</th>
<th>1999 Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Regular</td>
<td>Enhanced</td>
<td>Regular</td>
<td>Enhanced</td>
<td>Regular</td>
</tr>
<tr>
<td>Task 1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Staff Costs</td>
<td>$0.00</td>
<td>$5,040.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Contractor Costs</td>
<td>$0.00</td>
<td>$90,000.00</td>
<td>$0.00</td>
<td>$30,000.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Task Total</td>
<td>$0.00</td>
<td>$95,040.00</td>
<td>$0.00</td>
<td>$30,000.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Task 2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Staff Costs</td>
<td>$0.00</td>
<td>$3,840.00</td>
<td>$0.00</td>
<td>$2,880.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Contractor Costs</td>
<td>$0.00</td>
<td>$112,500.00</td>
<td>$0.00</td>
<td>$135,000.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Task Total</td>
<td>$0.00</td>
<td>$116,340.00</td>
<td>$0.00</td>
<td>$137,880.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Task 3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Staff Costs</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Contractor Costs</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Task Total</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Task 4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Staff Costs</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Contractor Costs</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Task Total</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Task 5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Staff Costs</td>
<td>$0.00</td>
<td>$54,000.00</td>
<td>$0.00</td>
<td>$54,000.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Contractor Costs</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Task Total</td>
<td>$0.00</td>
<td>$54,000.00</td>
<td>$0.00</td>
<td>$54,000.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Training</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Staff Costs</td>
<td>$25,000.00</td>
<td>$0.00</td>
<td>$25,000.00</td>
<td>$0.00</td>
<td>$25,000.00</td>
</tr>
<tr>
<td>Contractor Costs</td>
<td>$75,000.00</td>
<td>$0.00</td>
<td>$75,000.00</td>
<td>$0.00</td>
<td>$75,000.00</td>
</tr>
<tr>
<td>Training Total</td>
<td>$100,000.00</td>
<td>$0.00</td>
<td>$100,000.00</td>
<td>$0.00</td>
<td>$100,000.00</td>
</tr>
<tr>
<td>Maintenance Costs</td>
<td>$45,000.00</td>
<td>$0.00</td>
<td>$45,000.00</td>
<td>$0.00</td>
<td>$45,000.00</td>
</tr>
<tr>
<td>IV&amp;V Costs</td>
<td>$125,000.00</td>
<td>$0.00</td>
<td>$125,000.00</td>
<td>$0.00</td>
<td>$125,000.00</td>
</tr>
<tr>
<td>QA Costs</td>
<td>$125,000.00</td>
<td>$0.00</td>
<td>$125,000.00</td>
<td>$0.00</td>
<td>$125,000.00</td>
</tr>
<tr>
<td>Travel Costs</td>
<td>$100,000.00</td>
<td>$0.00</td>
<td>$100,000.00</td>
<td>$0.00</td>
<td>$100,000.00</td>
</tr>
<tr>
<td>Miscellaneous Costs</td>
<td>$40,000.00</td>
<td>$0.00</td>
<td>$40,000.00</td>
<td>$0.00</td>
<td>$40,000.00</td>
</tr>
<tr>
<td>Hardware Costs</td>
<td>$100,000.00</td>
<td>$0.00</td>
<td>$100,000.00</td>
<td>$0.00</td>
<td>$100,000.00</td>
</tr>
<tr>
<td>Software Costs</td>
<td>$20,000.00</td>
<td>$0.00</td>
<td>$20,000.00</td>
<td>$0.00</td>
<td>$20,000.00</td>
</tr>
<tr>
<td>Data Center/Processing</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operational Costs</td>
<td>$150,000.00</td>
<td>$0.00</td>
<td>$150,000.00</td>
<td>$0.00</td>
<td>$150,000.00</td>
</tr>
<tr>
<td>Development Costs</td>
<td>$200,000.00</td>
<td>$0.00</td>
<td>$200,000.00</td>
<td>$0.00</td>
<td>$200,000.00</td>
</tr>
<tr>
<td>Data Center/Processing Total</td>
<td>$350,000.00</td>
<td>$0.00</td>
<td>$350,000.00</td>
<td>$0.00</td>
<td>$350,000.00</td>
</tr>
<tr>
<td>TOTALS</td>
<td>$1,005,000.00</td>
<td>$265,380.00</td>
<td>$885,000.00</td>
<td>$251,880.00</td>
<td>$885,000.00</td>
</tr>
</tbody>
</table>
## Sample Summary Budget

### Summary Budget

<table>
<thead>
<tr>
<th></th>
<th>FFY 98 Actual</th>
<th>FFY 99 Actual</th>
<th>FFY 00 Actual</th>
<th>FFY 01 Actual</th>
<th>FFY 02 Actual</th>
<th>FFY 03 Projected</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Regular</td>
<td>Enhanced</td>
<td>Regular</td>
<td>Enhanced</td>
<td>Regular</td>
<td>Enhanced</td>
<td>Regular</td>
</tr>
<tr>
<td>Development</td>
<td>$1,100,000</td>
<td>$0</td>
<td>$2,100,000</td>
<td>$550,000</td>
<td>$3,000,000</td>
<td>$600,000</td>
<td>$4,500,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>$3,000,000</td>
<td>$600,000</td>
<td>$3,000,000</td>
<td>$600,000</td>
<td>$4,500,000</td>
</tr>
<tr>
<td>Operations</td>
<td>$1,000,000</td>
<td>$0</td>
<td>$1,560,000</td>
<td>$467,420</td>
<td>$1,560,000</td>
<td>$450,000</td>
<td>$2,000,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td>$2,100,000</td>
<td>$0</td>
<td>$3,660,000</td>
<td>$1,017,420</td>
<td>$4,560,000</td>
<td>$1,050,000</td>
<td>$6,500,000</td>
</tr>
</tbody>
</table>

Total Planning Phase Costs: $2,510,000
The Implementation APD

Budget

• Program Cost Distribution
  • Factors: Budget Costs By Year, By Program, By FFP Rates
  • Overview of Cost Allocation Methodology Calculation Algorithm(s)

• Cost Allocation Plan (CAP)
  • Briefly Discuss Departmental/Project Cost Pools Affecting Overhead, Data Center, Telecommunications, etc.
  • Cite Any U.S. DHHS Division of Cost Allocation Plans)
The Implementation APD

Cost Benefit Analysis

• ACF Guidance Document Recommended:
  • “Feasibility, Alternatives and Cost Benefit Analysis”

• Functional Model
  • Attributes Benefits to Individual Functions – Summary from Feasibility Study
The Implementation APD

Cost Benefit Analysis

• Basic Components Include:
  • Summary Description of *Whiz Bang* Benefits
    • Also Cites Summary of Breakeven Date and
    • Cost Benefit Ratio Over Entire Project Life
  • Costs and Benefits Analyses
  • Breakeven Chart
Sample Breakeven Chart
APDU BASICS
Three Types of APD Updates

- **Annual** - Submitted 60 days prior to the *Annual Anniversary* of the PAPD or IAPD to Provide the Official Project Status Updates, Request Continued Project Funding, and Report Post-implementation Costs and Benefits.

- **As-Needed** - Used to Uniquely Report Significant Changes to the Project Approach, Procurement, Methodology, Schedule, or Costs. Also Submitted When One or More Critical Milestones Are Missed. This also applies to the PAPD.

- **Operational** – Submitted Annually When no Development Projects are Being Done to Provide a Summary of Maintenance and Operations (M&O) Activities, Annual Funding, and an Acquisition Plan.
APD Updates

Specifically APDU’s are Required When ...

1. For Enhanced Funded Projects;
   - Annually
   - As-Needed
     - Project Cost Increase of $300K or 10% of Project Cost (whichever is less)
     - Schedule Extension > 60 days ...

2. For Regular Funded Development Projects;
   - Annually
   - As-Needed
     - Project Cost Increase of $1 Mil. or >
     - Schedule Extension > 60 days ...
Annual APDU Submittal Requirements

- Submittal Required 60 Days Prior to the One Year Anniversary of the Last APD Approval
- Failure to Submit in a Timely Fashion Could Lead to Suspension of the Project or to the Requirement for an IV&V Assessment
Annual APDU Content

Each Annual APDU Must Include:

• An Updated Executive Summary That Reports on Project Status of Major Tasks and Milestones

• A Reference to the Initial Approved APD and All Subsequently Approved Changes As a Baseline Against Which Any New or Additional Changes are Now Being Proposed

• An Updated Project Management Plan (PMP) That Reports on New Tasks, Tasks Completed, Degree of Completion of Unfinished Tasks, Changes in Resources, Organization, Etc.
Annual APDU Content

• Each Annual APDU Must Include:
  • An Updated Project Schedule With Revised Completion Dates for All Tasks (New, Complete, Unfinished)
  • An Updated Procurement Plan, Including a Revised Procurement Waiver Request, If Applicable
  • An Updated Project Budget Reflecting …
    • Expenditures Status Detailing Costs Incurred To-date by FFY
    • Narrative Explaining the Difference Between Projected and Actuals for the Previously Approved APD
    • An Updated Budget Spreadsheet Including Requests for Additional Federal Funding
Annual APDU Content

• Each Annual APDU Must Include:
  – A Report of Any Approved or Anticipated Change to Allocation Basis in the APD's Approved Cost Methodology
  – Updates to Any Remaining Sections (Security, Interfaces, Otherwise Either Resubmit Same Sections or State in the Summary that No Changes to These Sections Exist.)
As-Needed APDU Submittal Requirements

- Submittal of an As-Needed APDU is Required Whenever a Significant Change in:
  - System Concept or Scope,
  - Procurement Approach or Scope,
  - or the Approved CAP Methodology

- Also Required Whenever Changes to the Project Schedule or Costs Exceed Regulatory Thresholds

- As-Needed APDU is due No Later Than 60 Days after the Occurrence of the Change Being Reported
As-Needed APDU Content

• The As-Needed APDU Must Contain a Revised Schedule and/or Budget to Show the Change in Schedule, Cost, or Cost Allocations

• The As-Needed APDU Must Contain Supporting Documentation (Usually in the PMP) to Justify the Need for Changing a Previously Approved Project Schedule, Cost, Milestone, Tasking, or Procurement Approach
Optional APDU Content

- The State May Include an Acquisition Summary Section in the Annual APDU and As-Needed APDU to Request a Waiver for Prior Approval of Procurements and Contracts
- For Each Planned Procurement and Contract, the State Provides the Following Information in the APD:
  - Type (e.g. firm fixed price, time & materials)
  - Scope (e.g. M&O, development, service agreement)
  - Procurement Strategy (open competition, sole source, master services contract)
  - Estimated cost
  - Timeframe of contract
  - A statement that the procurement complies with all applicable State and Federal requirements or the State must submit an acquisition checklist for the procurement
Waiver Request:

Upon approval of this AAPDU, the State requests a waiver of federal prior approval for future task orders for contractual services for activities and programming related to ASSET$ applications development, FSA and PRWORA compliance, certification compliance, and other developmental, maintenance and support activities. Pertinent documentation related to any task order will promptly be forwarded to your office for your files. Funding for such services and any other additional costs incurred will be reported and requested in Annual APDUs that will be provided on a regular basis. If these costs exceed the requested thresholds, As Needed APDUs will be provided prior to the annual update reporting. [The list of current contract staff and the additional (new) contract staff requested is found on pages….]
Operational APDU

• The Operational APDU is Submitted Annually When No Development is Being Done and Includes the Following:
  • A Summary of M&O Activities
  • Summary of Acquisitions
  • Annual Budget for M&O
  • Cost Allocation (if applicable)
Summary of M&O Activities

- Describe Activities Sufficiently to Show that They are M&O Activities, this Includes:
  - Corrective changes are tasks to correct minor errors or deficiencies in software
  - Adaptive changes are minor revisions to existing software to meet changing requirements
  - Perfective changes are minor improvements to application software so it will perform in a more efficient, economical and/or effective manner
- Any Software Development Activities Require the Submission of a Traditional AAPDU
Operational APDU

Summary of Acquisitions

• Provide a List of Planned M&O Procurements and Current M&O Contracts Including:
  • Type and Scope of Contract
  • Procurement Strategy
  • Estimated Cost
  • Expected Period of Performance (first year of contract)
  • Written Affirmation that the Procurement Meets Federal and State Procurement Standards

• In Subsequent Years of a Multi-year Contract, Provide a Statement that indicates the Contract Year (e.g. the 2nd Year of a 5 Year Contract)

• Sole-source Contracts also Require an Affirmative Statement that the Acquisition is Justified Under State Procurement Law/Regulations
Operational APDU

Annual Budget for M&O

• Provide Sufficient Information for the Federal Program Office to Approve FFP for Operational Activities for the Year Covered by the OAPDU

• Project Budget Details Estimated Operational Expenditures by Category:
  – State Staff,
  – Contract costs, by contract, for the year covered by the OAPDU
  – Hardware
  – Software
  – Training
  – Overhead
  – Miscellaneous/Supplies
  – Travel

• Costs Should be Broken Out by Quarter and Totaled for the Year
Operational APDU

Cost Allocation

• Cost Allocation for Operational Activities is different than Cost Allocation for System Development Activities
• If Cost Allocation Across Multiple Programs is Necessary, Use Methodology and Percentages for Operational Activities as Approved by the HHS/PSC/Division of Cost Allocation (DCA)
• Include a Section Indicating the Approved Cost Allocation Percentage for Each Program Involved
APD

SUBMISSION
APD Submissions

• Send APD’s To:
  • OCSE Commissioner
  • ATTN: Director DSTS

• If Multi-OPDIV:
  Tony Hardy, Acting Director
  Division of Financial Services/OA
  Administration for Children & Families
  370 L’Enfant Promenade, S.W.
  Washington, D.C.   20447
  ATTN: Jim Blackie – Mail Stop OA 6th Floor
  Aerospace
  • One Copy for Each Federal Funding OPDIV Involved

• Send a Copy to Your Regional Office
Electronic Submissions

• Final Rule Changes Most References of “In Writing” to “In a Record” Which Now Allows for Electronic Submissions and Approvals
• Program Offices are at Different Readiness Levels Today for Accepting Electronic Submissions
• OCSE Accepts Electronic Submissions
  • A Scanned, Signed Copy of the Cover Letter is Required
Electronic Submissions Notes

- ACF’s Email System Will Reject Large Files Without Notifying Either Party That The Transmission Was Unsuccessful.
- It’s Important to Receive an Acknowledgement Letter and/or Email Acknowledgement to Make Sure ACF has Received Your Submission.
- Experimenting with States’ Access to Posting Submissions on MS Sharepoint (Testing now with MA and AR)
- ACF Street Address for Federal Express, DHL and other Courier Mail is Different from our Mailing Address
- Please Send Submissions with Electronic Media via FedEx, DHL, etc
APD APPROVAL/ DISAPPROVAL
Approval of APDs

- The State Will Receive Response Either From
  - Commissioner
    OCSE/ACF (for IV-D specific APD’s)
  - Tony Hardy
    Acting Director,
    DFS/OA/ACF (for multi-OPDIV-related APD’s)
Approval of APDs

- **ACF’s Response Will:**
  - Grant Approval (With or Without Conditions);
  - Disapprove the Request;
  - Defer Decision Pending Submission of Additional Information;
  - Provide Decision on the State’s Request for Waiver of Prior Approval for Contracts and RFP’s (if applicable)
Approval of APDs

- If No Written or Response in a Record Is Received by the State Within 60 Days
  - The Response Is “Provisionally Approved” From the 61st Day Following Acknowledged Receipt of the State’s Submission to HHS.
“Provisional Approval”

• Means That the State Can Proceed With Its Project, at Its Own Risk, Without Waiting for HHS Prior Approval

• Once HHS Approves the Project, It Will Be Eligible for Funding From the Date of Provisional Approval.
APD Disapproval

• An APD May Be Disapproved If:
  • The CSES Ceases to Comply With the APD
  • Not Enough Resources Allocated to the Project (including QA)
  • Poor or Inadequate Project Management
  • Ill-conceived Project Plan
  • Requested Budget in Cover Letter and APD Budgets do not Agree
  • Required Independent Verification and Validation (IV&V) Assessment Not Completed
APD Disapproval

• When OCSE Disapproves an APD:
  • CSES Implementation Project Is Suspended
  • Previously Approved FFP for the Project Ceases For The Entire Period of the Suspension of the APD.
  • No Additional FFP Will Be Approved Until the APD Is Re-authorized
Waiver of Any APD Requirement

- Provides a **Waiver** process for any APD requirement
- New to Part 95, but CSE has had this authority
  - Must provide alternative approach that enables it to be in substantial compliance with other requirements.
  - Waiver and alternative approach can be all or portion of APD regulatory provisions
  - Must demonstrate why meeting regulatory provision is unnecessary or inappropriate;
  - Secretary (or designee) will review to assure that all processes provide for effective and efficient program operation.
- If approved, waiver becomes part of State’s APD.
- If approved, State must have IV&V assessment to determine degree of IV&V needed.
REFERENCES
References

- Title 45 Public Welfare and Human Services Code of Federal Regulations (CFR), Part 92--General Administration-Grant Programs (Public Assistance and Medical Assistance)
- Title 45 Public Welfare and Human Services Code of Federal Regulations (CFR), Part 95--General Administration-Grant Programs (Public Assistance, Medical Assistance and State Children’s Health Insurance Programs)
References


• Information Memorandum (IM) 11-18, Revision to the Methodology for Allocating Costs to Programs Participating in Information Systems (IS) Development Projects.
References