
ISAWS CONSORTIUM

Advanced Planning Document (APD) Guide

August 2004

Version 0.0

Table of Contents

1.0	Introduction.....	3
1.1	Submittal Process	3
2.0	Sample APD Request Letter.....	6
3.0	Sample APD Response Letter.....	8
4.0	Conclusion.....	9

ISAWS Consortium

Advanced Planning Document Guide

1.0 Introduction

In order for Counties to claim state and federal monies for information technology hardware, software or services they must submit an Advanced Planning Document (APD) to the state. This document, in conjunction with the State's Format for requesting Computer Equipment & Services are provided as a guideline to assist a county in completing an APD only, not as a way for a county to request new money. Any questions regarding state or federal funding should be directed to the State Project Approvals Unit.

Please note, if the county is using county only money, prior state and federal approvals are not required.

In addition to the state APD process there may be internal county specific purchasing requirements that may also need to be met. Consult the county fiscal or purchasing manager for additional information.

The APD process does not grant a county any new money for IT hardware, software or services. An APD gives a county approval to purchase an item and claim reimbursement within their previous funding levels or allocations.

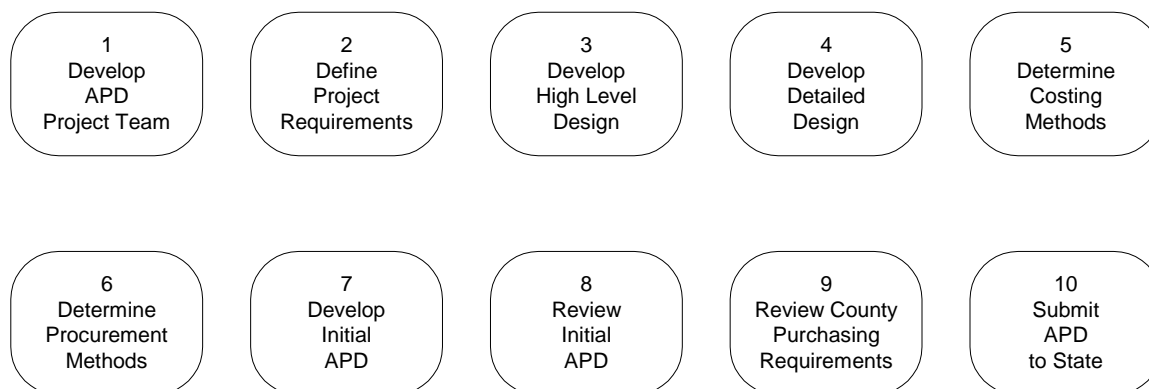
1.1 Submittal Process

Successful completion of a plan (APD) requires that the submitter provide information to the state in a specific format. The state would like reasonable answers to the following questions:

1. What is the computer equipment, software, or service needed?
2. Why is this equipment, software, or service needed?
3. Which Social Services programs will benefit?
4. What are the one-time implementation costs and what are the on-going annual costs?
5. How will the items be procured?

The diagram below contains some specific suggestions to assist a county in developing a strategy to create and submit an APD.

APD Submittal Process - Overview



- 1. Develop an APD Project Team** – It is important to identify all of the staff necessary to complete an APD. Some suggestions are... program managers, IT staff, and county purchasing managers. Counties require Board of Supervisor approval for certain purchases. It may be necessary to involve County Administrator Office or Board members as well.
- 2. Define Project Requirements** – The APD should address information related to the five specific questions required by the State as noted above.
- 3. Develop High Level Design** – The purpose of this phase is to develop a number of solutions, one of which will be selected to solve the existing problems and satisfy the existing desires of the county. During this phase, a variety of hardware, software and communications options to satisfy the overall objectives are identified.
- 4. Develop a Detailed Design** - This phase solidifies the plan. At this time all of the detailed hardware, software and service questions should be addressed in the plan. The items listed in the portion of the plan will be used to generate the required hardware, software and services lists. This list will be the basis used for receiving price quotes from vendors.
- 5. Determine Costing Methods** – The State of California requires all items be purchased through a competitive process. This can be in the form of obtaining quotes from three separate vendors or using California Multiple Award Schedule (CMAS) and General Services Administration (GSA) type contracts as well. Please check with your county purchasing department and or with the state for specific requirements. Your county will need to identify and document the approved methods used to gather quotes.

6. **Determine Procurement Methods** – Once approved quotes have been received it is important to determine and monitor the procurement methods. Many times items are required to arrive in a specific order or by a specific date for a project to be successful. Someone in the group must be identified to monitor and inventory the products and or services that will be purchased.
7. **Develop the initial APD** – This is the first draft of the document that will be submitted to the State.
8. **Review the initial APD** – The entire APD team should review and signoff on the document that will be submitted. It is much easier to make changes before the document is submitted to the State... otherwise it becomes necessary to submit one (or more) amendments.
9. **Review County Purchasing Requirements** – In many counties submitting the APD to the state is only half of the process. It may be necessary to complete similar documents within the county or to the Board of Supervisors as well. Please review and follow all county specific guidelines.
10. **Submittal** - Upon completion, the document is submitted to the Project Approvals Unit of Statewide Automated Welfare System (SAWS) who will review and approve or disapprove claiming reimbursement for the project. If an approval is granted, SAWS will respond back with an account number to charge the project costs.

APD submittal or questions on completing this information to the state should be directed to Ramiro Mazuka at the address below.

Ben Selvidge, Manager
Attention: Ramiro Mazuka, Analyst
Project Approvals Unit
Statewide Automated Welfare System (SAWS) Project
Systems Integration Division (SID)
Health and Human Services Data Center (HHSDC)
1651 Alhambra Boulevard
Sacramento, CA 95816-7092

E-mail: ben.selvidge@sid.hhsdc.ca.gov
E-mail: ramiro.mazuka@sid.hhsdc.ca.gov

Phone: (916) 229-4460
FAX: (916) 229-3170

Below are sample APD request and response letters.

2.0 Sample APD Request Letter

Sample APD request

1/1/2004

Ben Selvidge, Manager
Attention: Ramiro Mazuka, Analyst
Project Approvals Unit
Statewide Automated Welfare System (SAWS) Project
Systems Integration Division (SID)
Health and Human Services Data Center (HHSDC)
1651 Alhambra Boulevard
Sacramento, CA 95816-7092

Regarding: County XYZ Request for EDP Software.

Mr. Mazuka,

County XYZ Human Services is currently using the original ISAWS workstations that were deployed in 1999. These computers have Windows NT 4.0 with Outlook 98. Outlook 98 is no longer supported by Microsoft and is not compatible with the county's new e-mail service provider. **(Why?)**

In order to continue to provide email services necessary for department business requirements, County XYZ would like to upgrade 10 computers to Outlook 2002. **(What?)**

The new software will continue to assist CalWORKS, Food Stamp and Medi-Cal users in communication with other users/Agencies. **(Which Programs?)**

The total one time costs are:

~\$115.00 X 10 computers for a total of **\$1150.00**

There are no ongoing costs associated with this upgrade.

(One time vs. Ongoing Costs)

The software will be purchased from YYY Government Solutions.

CMAS 1-11-22-3-444
Mr. Government
Account Manager
(877) 555-5555

(How will the items be procured?)

County XYZ Contact information:

Program Manager: Mr. XYZ County Human Services
Phone: (800) 555-5555
Fax: (800) 555-5555
E-mail xyz@isaws.cahwnet.gov

IT Consultant: John Stinehelfer – ISAWS Consortium Office
Phone: 916-859-4947
Fax: 916-859-4969
E-mail Jstinehelfer@govconnect.com

(County Contact info incase the state has questions)

Thank you for your attention to this request. Please contact me if additional information is needed.

Sincerely,

Mr. XYZ

3.0 Sample APD Response Letter

California Health and Human Services Agency Data Center
Statewide Automated Welfare System (SAWS) Project
P.O. Box 168025
Sacramento, California 95816
(916) 229-4400, FAX (916) 229-3170

May 18, 2004

John Stinehelfer
IT Consultant
ISAWS Consortium Office
XYZ County Human Services
1111 Any County Road
Anywhere, CA 12345

Dear Mr. Stinehelfer:

This letter is written in order to announce the approval of your May 14, 2004, request to purchase the upgraded Microsoft Outlook 2002 software for ten PCs for continue e-mail service. It was agreed that the software currently housed on these PCs, Microsoft Windows NT, version 4.0 with Microsoft Outlook 98, was obsolete and no longer supported by Microsoft. It is also noted that the old software was not compatible with the county's new email service provider. This upgrade will support CalWORKS, Food Stamps and Medi-Cal. It is understood that this software will be competitively purchased.

The one-time costs are \$1,150.00 with annual maintenance and operation costs not being requested.

This approval is contingent upon the availability of state and federal funds. Account Number 11-22-3,444 is assigned for claiming purposes. Funds must be claimed within two-years of this letter. If additional time is required, an extension must be requested. If there are any questions regarding the claiming of costs, please call the California Department of Social Services, Fiscal Policy Bureau at (916) 657-3440.

If there are any other questions or concerns, please call me at (916) 229-3362 or Ramiro Mazuka at (916) 229-4460. E-mail: Ramiro.mazuka@sid.hhsdc.ca.gov

Sincerely,

Ben Selvidge, Manager
SAWS Project Approvals

4.0 Conclusion

This information is provided as a guideline to assist counties in planning for and preparing and APD to be submitted to the State Project Approvals Unit.

In addition to this document you should obtain the State:

Document for Requesting Computer Equipment and Services.

The above mentioned document can be obtained from the state at the address below.

Project Approvals Unit
Statewide Automated Welfare System (SAWS) Project
Systems Integration Division (SID)
Health and Human Services Data Center (HHSDC)
1651 Alhambra Boulevard
Sacramento, CA 95816-7092

(916) 229-4460

Change Control Log

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