

PLANNING APD - FOR TRAINING ONLY

Department of Human Resources

Child Support Enforcement Program

**Planning
Advance Planning Document**

Submitted to the

United States Department of Health and Human Services
Administration for Children and Families
Office of Child Support Enforcement

August 1, 2002

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1 EXECUTIVE SUMMARY

(This section summarizes the body of the PAPD. It is included for convenience only and should contain no information that is not in the body of the report.)

Introduction

The State Child Support Enforcement Division (CSED) is submitting this Planning Advance Planning Document (PAPD) to describe the State's planning for a new project to upgrade the State's Child Support Enforcement System (CSES). The project has been designated the "CSES Upgrade." The project is intended to enhance the efficiency and effectiveness of the CSES by reducing costs and improving customer service and system usability.

This PAPD describes the State's intended plan to evaluate several system enhancement options for the CSES Upgrade. The CSED will evaluate the enhancement options available by performing a cost/benefit analysis of each option and an alternatives analysis. CSED will select the combination of enhancement options that fit its budget limitations and are most cost beneficial to the Child Support Program. CSED will subsequently develop an Implementation APD (IAPD) for implementation of the selected options.

Background

OCSE certified the CSES as compliant with the requirements of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) in June 2000 and the project achieved breakeven in July 2001. The CSES PRWORA Advance Planning Document (APD) was subsequently closed, as approved by OCSE in January 2002.

Funding Request

CSED is requesting Federal Financial Participation (FFP) of \$1,048,000 for this planning effort and will also be requesting FFP for the subsequent implementation effort. The State Legislature has indicated \$20,000,000 in State funds will be available for the entire project. The planning effort is expected to take twelve months beginning October 2002. The implementation project is expected to take 30 months beginning October 2003.

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2 PROBLEM STATEMENT

(This section describes the problems faced by the agency and the need to seek a remedy. It should provide examples of issues and problems being faced)

The CSES Upgrade project is intended to enhance the efficiency and effectiveness of the CSES by reducing costs and improving customer service and system usability. This section describes the State's intended plan to evaluate several system enhancement options for the CSES Upgrade.

Although the CSES has achieved the automation requirements of PRWORA, there is still potential for additional cost savings through increased automation. There is also the potential for increased customer service through improving management information and improving client access to data. Areas the State will evaluate in this planning phase will include the following:

- Graphical User Interface (GUI) - Replace the existing text screens with a GUI to increase worker productivity by making the system easier to use and navigate. The current system screens do not support drop-down menus, controls, multiple screens or other GUI features.
- Management Reporting - Enhance the existing reporting capability of the CSES to help management in increasing worker productivity and customer service. Further automation of management reports will streamline the process of generating and verifying monthly management reports, which currently requires substantial analyst support.
- Data Warehousing - Establish a data warehouse or data mart for CSE data to enhance reporting and analysis capability. This will provide trend analysis and forecasting capabilities, including the ability to run "what-if" scenarios. It will also potentially provide some of the same benefits as the management reporting option.
- Document Generation - Enhance existing document generation capability to increase worker productivity through increased automation. Workers still manually modify legal forms for individual judges and select appropriate paragraphs before the form can be generated.
- Voice Response Unit - Create a speech-enabled interactive VRU to improve customer service. The existing touch-tone system sometimes requires clients to wait through a long list of options. Increasing numbers are requesting to speak to a worker, resulting in long hold times and customer dissatisfaction.
- Web-based Access to CSES - Improve customer service and save worker's time by enhancing the existing CSE web site to provide secure client access to CSE information. The current web site provides static information and does not allow a CP or NCP to access their individual CSE data.

The State believes that significant increases in worker productivity can be achieved through automation. Computer technology should focus on tasks that computers do best (processing data and keeping track of needed actions) and personnel should focus on tasks that humans do best

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(such as interviewing people, making decisions the computer cannot, and resolving issues the computer cannot).

The CSED will evaluate the enhancement options available by performing a needs analysis followed by a feasibility study and alternatives analysis of each option. The Cost/Benefit analysis will be used to select the combination of enhancement options that best fit the State's budget and technology goals and are most cost beneficial to the Child Support Program. CSED will subsequently develop an Implementation APD (IAPD) for implementation of the selected options. Specific requirements and a conceptual design for each option will be detailed in the IAPD

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3 PROJECT MANAGEMENT PLAN

(This section should contain:

A list of Steering Committee members

A list of other key personnel by position and time commitment

An organization chart of the planning effort

Task-oriented list of planning activities including:

Needs Assessment

Feasibility Study

Alternatives Analysis

Cost Benefit Analysis

Request for Proposals (RFPs) to be developed

Procurements to be conducted

Project Schedule (Should include a Work Breakdown Structure (WBS) and/or Gantt Chart or equivalent)

Budget spreadsheets with rate for each FFP rate by quarter)

This section contains the State's plan for the planning phase of the CSES Upgrade. Planning tasks include performing a needs assessment, a feasibility study and alternatives analysis and a cost benefit analysis to determine which of the development options detailed in the problem statement will be most cost-beneficial for the State to pursue. Planning activities will also include the procurement of cost estimation software and the development of a Quality Assurance (QA) RFP and the accompanying procurement. The development of the Implementation Advance Planning Document (IAPD), which includes developing a project plan and budget for the project's Implementation Phase and developing a conceptual systems design for each option, completes the planning activities. The State expects to submit all relevant documentation (feasibility Study and Alternatives and Cost-Benefit Analyses, IAPD, and QA RFP and Contract in the 4th Federal Fiscal Quarter of 2003.

Details on the planning activities and the organizations and personnel responsible for them are included in the following sections.

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3.1 STEERING COMMITTEE

The CSES Upgrade Steering Committee consists of high-level State managers and executives representing all the stakeholders in the CSES Project. They will provide executive support to the CSES Upgrade project. The Steering Committee will meet at least monthly during the life of the project. The Steering Committee will provide written direction to the development team as part of its meeting reports.

CSES Upgrade Steering Committee

Organization	Name	Title
Department of Human Resources	Jane T	Secretary Department of Human Resources
Child Support Enforcement Division	Joe X	Director CSE Division
Child Support Enforcement Division	Joe Y	Assistant Director for CSE Systems
Office of Information Technology	Joe K	Chief Information Officer
Office of Information Technology	Joe P	Director of Development
Office of the Courts	Joe T	Chief CSE Officer

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3.2 KEY PERSONNEL

Listed below are job descriptions of key managers and supervisors assigned to the CSES Upgrade planning project. All personnel working on the planning are State employees and are experience in their respective disciplines. Additional support personnel will be supplied by CSED, The Office of the Courts, and the State Office of Information Technology (OIT).

Organization	Name	Title	Job Description	Lead Planning Responsibility
Child Support Enforcement Division (CSED)	Joe X	Director CSE Division	Chief administrator of the CSED.	Steering Committee Executive Sponsor of CSED Upgrade.
	Joe Y	Assistant Director for CSE Systems	Provides oversight and management support to project, policy clarification	Steering Committee Needs Assessment Feasibility and Alternatives Analysis, CBA
	Joe Z	Specialist IV	Lead Subject Matter Expert (SME) - Requirements development, acceptance testing, leads SME team. Heads User Group.	Needs Assessment
	Joe Q	Manager II	Project Manger - Responsible for overseeing the design, development and test of CSES	IAPD, QA RFP and procurement, software procurement
State Office of Information Technology (OIT)	Joe M	Analyst IV	Technical Lead for the CSES project within State IT department	Conceptual Design
	Joe L	Analyst III	Lead Data Base Administrator	Conceptual Design
Office of the Courts	Joe T	Chief CSE Officer	Oversees the child support program within the judiciary in accordance with the Cooperative Agreement with the State IV-D agency	Steering Committee Needs Assessment

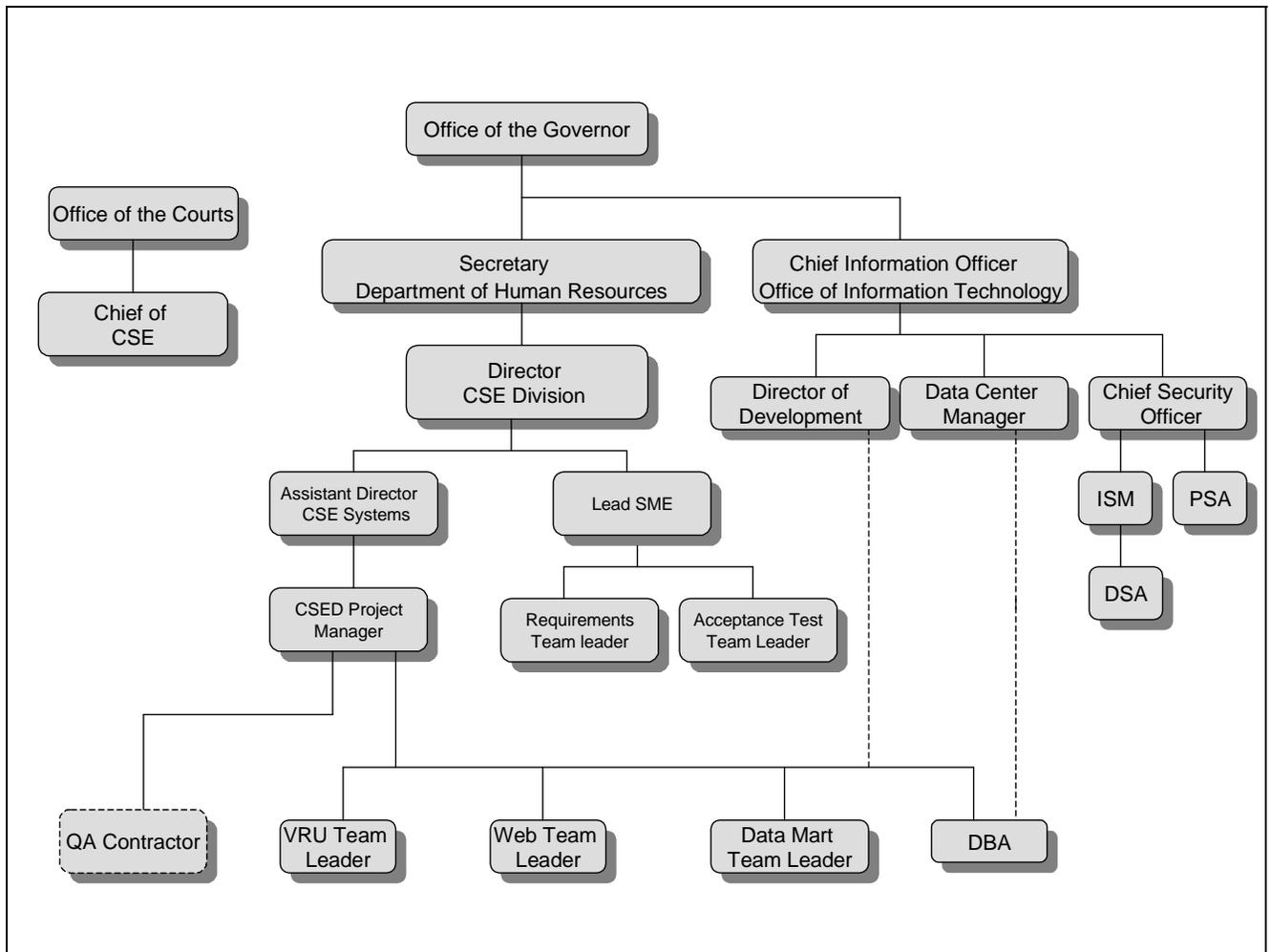
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3.3 ORGANIZATION CHART FOR PLANNING

The following diagram shows the State government organization supporting this project. Experienced developers from the IT Department will work under the direction of the CSE project manager. Additional technical support, such as DBAs, will be available as required from IT. There are clear lines of communication to the State executive and all stakeholders in the project are represented. For the development effort, a QA vendor will be acquired and will report directly to the project manager to ensure an independent assessment of system quality.

CSES Upgrade Organization Chart



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3.4 TASK ORDERED LIST OF PLANNING ACTIVITIES

This section describes the planning activities to be undertaken under this PAPD. Below are the activities, their status and costs. The staffing costs are differentiated between program staff, systems staff and contractor staff as applicable. Rates vary widely within each category of staff. For reporting purposes, the average standard monthly rate of \$8,000 (not including fringe and benefits) was applied to program and systems staff through 2006. The average monthly rate of \$14,000 was applied to contractor staff through 2006.

Work on the planning activities is expected to begin October 2002 and be completed by September of 2003.

3.4.1 Needs Assessment

CSED will assess the outstanding needs of the CSES system and will identify functionality that should be added to the system.

Subtask	Start Date	Stop Date	Months	State FTE	Contractor FTE	Cost	Percent Complete
Needs Assessment	10/1/2002	11/29/2002	2	6	0	\$96,000	0%
Functionality Identification and GAP Analysis	11/30/2002	12/31/2002	1	4	0	\$32,000	0%
Total						\$128,000	

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3.4.2 Feasibility Study and Alternatives Analysis

CSED will review the needs assessment and perform a technical and cost analysis to determine if the best approach for enhancing the system involves transfer, new development, a COTS solution, or some combination of these approaches.

Subtask	Start Date	Stop Date	Months	State FTE	Contractor FTE	Cost	Percent Complete
Requirements Analysis	1/1/2003	2/1/2003	1	8	0	\$64,000	0%
Evaluation Team Training	2/3/2003	2/7/2003	.25	6	0	\$12,000	0%
Create Evaluation Criteria and Weighting	2/8/2003	2/15/2003	.25	6	0	\$12,000	0%
Review State Transfer Systems (5 site visits)	2/16/2003	3/15/2003	1	6	0	\$48,000	0%
Analysis of Alternatives and Determine Selection	3/17/2003	4/1/2003	.5	6	0	\$24,000	0%
Develop Documentation of Feasibility Study and Analysis of Alternatives	4/2/2003	5/1/2003	1	2	0	\$16,000	0%
Total						\$176,000	

3.4.3 Cost Benefit Analysis

CSED will perform a cost/benefit analysis of the proposed CSES functions identified as viable in the Feasibility Study and Alternatives Analysis. The functions that provide the best value to the CSES will be selected for development.

Subtask	Start Date	Stop Date	Months	State FTE	Contractor FTE	Cost	Percent Complete
Status Quo Costs	2/2/2003	3/1/2003	1	2	0	\$16,000	0%
Cost Profiles	3/4/2003	7/1/2003	4	4	0	\$128,000	0%
Benefit Profiles	3/4/2003	6/30/2003	4	5	0	\$160,000	0%
Add Scoring to Analysis of Alternatives, Recompute Final Scores and Update all Documentation	7/2/2003	8/1/2003	1	1	0	\$8,000	0%
Federal Review and Approval	8/15/2003	9/30/2003	2.5	0	0	\$0	0%
Total						\$312,000	

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3.4.4 Quality Assurance Procurement

In order to provide independent oversight of the CSES Upgrade, CSED proposes to acquire a Quality Assurance provider to ensure the correct technical implementation of the selected functions. CSED will develop a RFP and conduct a procurement process in accordance with State and Federal standards. OCSE will provide technical assistance as required in the creation of the Statement of Work.

Subtask	Start Date	Stop Date	Months	State FTE	Contractor FTE	Cost	Percent Complete
RFP Preparation	10/1/2002	2/1/2003	4	2	0	\$64,000	0%
Conduct Procurement	2/10/2003	3/25/2003	1.75	1	0	\$8,000	0%
Bid Evaluation	4/2/2003	5/1/2003	1	3	0	\$24,000	0%
Contract Preparation	5/2/2003	6/30/2003	2	2	0	\$32,000	0%
Federal Review and Approval	7/15/2003	9/30/2003	2.5	0	0	\$0	0%
Total						\$128,000	

3.4.5 Project Planning and Estimating Software Procurement

CSED will evaluate and acquire commercial planning and cost estimation software for the development of the IAPD and ongoing project management.

Subtask	Start Date	Stop Date	Months	State FTE	Contractor FTE	Cost	Percent Complete
Evaluation	10/1/2002	12/1/2003	2	2	0	\$32,000	0%
Acquisition	12/2/2003	1/5/2003	1	1	0	\$8,000	0%
Total						\$40,000	

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3.4.6 Conceptual Systems Design

CSED will develop a Conceptual Design for each function selected for development. General System design will be performed under the IAPD.

Subtask	Start Date	Stop Date	Months	State FTE	Contractor FTE	Cost	Percent Complete
Conceptual Design	4/1/2003	6/1/2003	2	3	0	\$48,000	0%
Total						\$48,000	

3.4.7 IAPD Development

CSED will develop a Project Budget and Project Management Plan for the CSES Upgrade. CSED will also develop a Security Plan for the CSES Upgrade. CSED will integrate these documents with the Needs Assessment, Feasibility and Alternatives Analysis, and the Cost/Benefit Analysis to form the CSES Upgrade IAPD. CSED will develop an RFP to obtain software development services. At least three pre-qualified bidders from the State CIO's Master Contract List will be identified to respond to the RFP.

Subtask	Start Date	Stop Date	Months	State FTE	Contractor FTE	Cost	Percent Complete
Budget	2/1/2003	5/30/2003	4	2	0	\$64,000	0%
Schedule	3/1/2003	5/30/2003	3	2	0	\$48,000	0%
Security	2/1/2003	3/1/2003	1	2	0	\$16,000	0%
Document Prep	4/1/2003	6/30/2003	3	1	0	\$24,000	0%
RFP	5/1/2003	7/1/2003	2	2	0	\$32,000	0%
Federal Review and Approval	7/15/2003	9/30/2003	2.5	0	0	\$0	0%
Total						\$184,000	

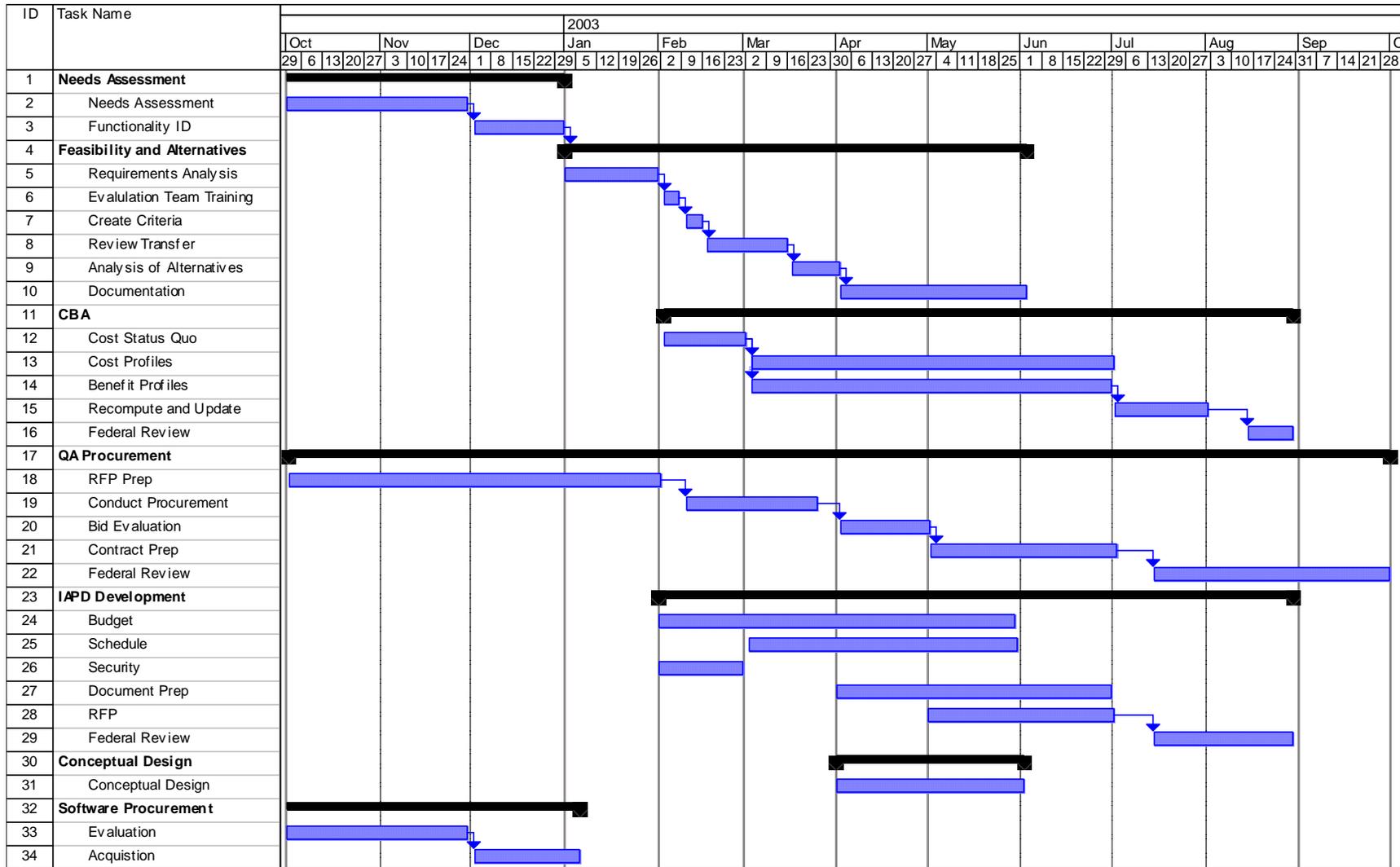
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Schedule for CSES Upgrade Planning Activities

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4 PLANNING BUDGET

(This section contains a budget spreadsheet for each FFP rate to be claimed, totaled by Federal fiscal quarter and year. The budget should contain State staff, contractors (listed separately), hardware, software, training, travel, and supplies/misc.)

The CSES Upgrade planning budget for FY 20003 is shown below. The State is requesting \$691,680 in federal matching funds at the 66% rate. Only 66% FFP is available to the State at this time. The State expects to complete all planning activities in the first three quarters of FY2003.

No contractor support is envisioned for this stage of the project. Existing CSE and IT department desktop computers will be used for planning. Software to be purchased includes cost estimation software for use in developing the IAPD.

CSES Upgrade Planning Budget							
Showing 66% FFP							
Task	FY 2003				Totals		
	Q1	Q2	Q3	Q4	Q1-Q4 Total	Federal Share	State Share
Staff	\$216,000	\$336,000	\$456,000	\$8,000	\$1,016,000	\$670,560	\$345,440
Contractors	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$20,000	\$0	\$0	\$0	\$20,000	\$13,200	\$6,800
Training	\$0	\$4,500	\$4,500	\$0	\$9,000	\$5,940	\$3,060
Supplies/Misc	\$1,000	\$1,000	\$1,000	\$0	\$3,000	\$1,980	\$1,020
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total	\$237,000	\$341,500	\$461,500	\$8,000	\$1,048,000	\$691,680	\$356,320

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5 TOTAL PROJECT COST ESTIMATE

(This section should contain a rough estimate of the total cost of the project.)

The total project cost is fixed at \$60,000,000. The State legislature has fixed \$20,000,000 as the total maximum State share of funding available for the CSES Upgrade. The State will be applying for Federal Financial Participation (FFP) at the 66 percent rate for the remainder of the project implementation costs.

Year	FY 2003	FY 2004	FY 2005	FY 2006	Total	Federal Share of Total	State Share of Total
Plan	\$1,048,000	\$0	\$0	\$0	\$1,048,000	\$691,680	\$356,320
Implement	\$0	\$22,800,000	\$22,800,000	\$11,400,000	\$57,000,000	\$37,620,000	\$19,380,000
Total	\$1,048,000	\$22,800,000	\$22,800,000	\$11,400,000	\$58,048,000	\$38,311,680	\$19,736,320

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