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| Introduction | Process Notes are used to record detailed information about the Activities and Decisions within a process map. | |
| Purpose | In order to capture the information and criteria that is know about each step in the process, this is a loosely structured format which is reader-friendly and provides both summary and detailed process step information. | |
| Procedures for Business Analyst and OwnerReview and Approval | The project Business Analyst drafts Process Notes by recording all information previously collected during the project regarding that activity or decisions. Specific steps for the Business Analyst to develop, review and approve Process Notes are:   1. Draft notes 2. Forward to expert / owner of activity 3. Collect feedback from owner and collaborate to finalize draft 4. Confirm owner approval and signoff 5. Forward current draft to Work Group with 5 business day review period | |
| Procedures for Process Owner and Work GroupReview and Approval | In the following Work Group meeting, the Owner represents their Process Note and any feedback is discussed with the group.   1. Owner collects feedback from group and is responsible to update as agreed. 2. Unresolved negotiations between Owner and Work Group are continued offline as necessary. 3. Revisions are done within 5 business days of meeting date. 4. If negotiations continue between Owner and Work Group past 5 days, the Owner-approved Process Note is considered final draft until outcome is resolved. | |
| Contents | Each entry in the Process Notes describes an Activity or Decision box from this Process Map. Process Notes include all currently known or suggested detail about: | |
|  | * how activity or decision occurs * triggering events * who is involved * systems used * methods of communication used * outputs from possible results | * how often * how long * work aids and tools used (contain decision review criteria including applicable guidelines, procedures, regulations, or policies) |
|  | Draft reflects above factors that may possibly apply. Owners and team members negotiate any changes to all applicable factors during revision period. Activities and decisions are recorded in the notes. | |

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| ID | Notes |
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| **1.1.1** | **Receive input requiring research to determine if an APD is necessary** Activity: A trigger that produces a need to determine whether a County APD is Necessary. May include but not be limited to:    |  |  | | --- | --- | | Division Program Representative | Identifies a project or EDP purchase respective to their division and budget allocation | | IT Division | Identifies department infrastructure needs, equipment, services and staffing needs for budget and APD preparation | | Department Fiscal Unit | Identifies funding sources for above acquisition requests | | Department APD Coordinator | Analyzes project charters, purchase requests, operating budgets and funding sources to determine if an APD is necessary under CFR 45 | | Division APD Preparer | Prepares APDs for annual budgets and projects |  Possible outcomes: go to 1.1.1a |
| **1.1.1a** | **Is County APD necessary?**  Decision: County reviews triggering input from 1.1.1 and performs analysis to determine if a County APD is needed. Tool used to make the decision contains all criteria:   | **Reference Name** | **Description** | | --- | --- | | **County - Is APD Necessary Checklist** | *County uses this aid when preparing a County APD to ensure that (1) an APD is required, (2) CDSS/OSI is the proper recipient, (3) the APD is timely, (4) it excludes prohibited content and (5) it includes required content. Answers to almost all questions should be yes.* |   Possible outcomes:  If Yes go to 1.1.2  If No go to 1.1.3  If Maybe go to 1.1.4 |
| **1.1.4** | **Request and receive clarification from APD Coordinator to determine if APD is necessary**  Counties may contact the State be via email, telephone or meeting. County describes situation and factors to OSI APD Representative that require clarification. OSI APD Representative provides input, performs any necessary research and further internal contact at the State level to clarify issues; provides results of research and recommended next steps to County.  State contact information is found on the County APD WebSite / Portal.  Possible outcomes:  If Yes go to 1.1.2 If No go to 1.1.3 |
| **1.1.3** | **End**  If Is County APD Necessary = No, end process. |
| **1.1.2** | **Create County APD**  APD Preparer prepares APDs based on based on County, State & Federal Regulations and State APD Service Level Agreements (SLAs).  County APD Preparers are encouraged to perform this task with assistance from County Procurement Staff, Fiscal Staff, Program Staff, IT Staff and/or County Council (County APD Development Team) and if necessary. Collaborative roles are optional, as the County prepares APDs based on specific staffing levels and county structures, Assistance and early collaboration from the CWS/CMS Project Office (PO) and SAWS Project Approval are strongly encouraged.  County uses the County – APD Template document on the APD Website as the basis for crating the APD.   |  |  | | --- | --- | | **Reference Name** | **Description** | | ***County - APD Template*** | Template file for use as the basis for creating a County APD. Template contains various APD Sections 1 through 8. |   Content requirements of APDs are described in the references and aids listed below:   | **Reference Name** | **Description** | | --- | --- | | ***County - APD Template with Examples and Suggestions*** | APD template filled out with sample language, section requirements, examples, links to current guidelines and policy as a reference. Distinguishes any differences in preparation or content requirements for CWS/CMS and SAWS. | | ***County - APD Content Development Aid*** | Checklist, while not comprehensive, addresses most of the major APD requirements and can be used as an aid when preparing a county APD for submission to the State. Answers to almost all questions should be yes. | | ***County - Benefiting Programs Chart*** | The California Department of Social Services (CDSS) currently administers, supervises, and/or aids in the operation of the following programs.  List of state programs that benefit from the proposed EDP/ADP expenditure and approval requirements for CWS/CMS, SAWS or both/multiple. | | ***County - Authority Chart*** | Department of Health and Human Services will approve Federal financial participation (FFP) at the applicable rates for the costs of automatic data processing incurred under an approved State plan for titles I, IV-A, IV-B, IV-D, IV-E, X, XIV, XVI(AABD), XIX, or XXI of the Social Security Act and title IV chapter 2 of the Immigration and Nationality Act.  List of state programs that benefit from the proposed EDP/ADP expenditure and approval requirements for CWS/CMS, SAWS or both/multiple. | | ***OSI - APD Pre-Review Checklist*** | Available for County reference, it is a tool used by OSI to perform validation of content for APDs submitted by the counties. | | ***State - APD Procurement Pre-Review Checklist*** | Available for County reference, a list of all elements or factors that are reviewed by CDSS Legal during County APD Legal Review of Procurement. |  Other tools or self certification documents may also be required for county self-certification or authority delegation. Procedures and requirements will be determined and distributed to the counties for direction.If further input or guidance is needed from OSI, contact to OSI may be initiated by the county at any time. |
| 1.1.5 | **Submit County APD** Refer to *Create County APD Process Notes* for details. |
| **1.1.6** | **Receive notification of receipt of County APD**  Triggered by 3.1.5, the County receives Notification of Receipt of County APD and Administrative Review Status within 1 business day. |
| **1.1.7** | **Receive Approval/Disapproval Letter**  Triggered by 3.1.3 (Approval Letter only). APD is approved, end process. |
| **1.1.8** | **Review and Correct County APD based on Deficiency Notice**  Triggered by 3.1.4. County receives Deficiency Notice from OSI Administrative Review process. County corrects APD and/or locates missing documents for submission in accordance with State notice within 10 business days of receipt. |