|  |  |
| --- | --- |
| 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 Owner Review 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 Group Review 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.  |

#####

| ID | Notes |
| --- | --- |
| **1.2.1** | **Receive APD Findings Report** Triggered by 3.1.11, email is received from OSI with the following attachment:

| **Reference Name** | **Description** |
| --- | --- |
| ***OSI - APD Recommendations and Findings Report*** | Form used by OSI to describe any Findings or Recommendations identified during the APD review and approval process.  |

  |
| **1.2.1a** | **Need clarification of APD Findings?**Review content of *OSI -* *County APD Recommendations and Findings* document *Results of Review 1:* section.

| **Reference Name** | **Description** |
| --- | --- |
| ***OSI - APD Recommendations and Findings Report*** | Form used by OSI to describe any Findings or Recommendations identified during the APD review and approval process. *The items below need to be addressed prior to State completion of the County APD disposition. The Findings identified below should be corrected in the APD and re-submitted within 10 business days from date submitted to the County. Please respond to the findings in the APD in colored text. If the County does not concur with the finding, they may respond on this document.* |

Determine if the findings and recommendations in the document are understandable and whether any further clarification is needed before revising the APD. Possible outcomes: If No go to 1.2.2 If Yes go to 1.2.3 |
| 1.2.3 | **Request and receive APD Findings clarification from APD Coordinator** Clarify *County APD Recommendations and Findings* document. Contact may be via email, telephone or meeting. County describes situation and factors to State APD Representative that require clarification. State 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. Possible outcome: County receives necessary clarification to proceed to 1.2.2 |
| **1.2.2** | **Update County APD** APD Preparer revises APDs as described by the OSI APD Review Team in the *County APD Recommendations and Findings* documentwithin 30 days from date submitted to the County. Activities required in this step include:1. Revise County APD document
2. Revise *County APD Recommendations and Findings* document

1. Steps to revise County APD document:* Save County APD document as new document with updated draft version, revision date and user initials reflected in the document file name.
* Correct the Findings identified in *Results of Review 1 s*ection in the actual APD in colored text or use track changes.
* Keep track of all pages of the APD which have been changed based on each listed finding, so affected page numbers can be recorded in the *Recommendations and Findings* document

2. Steps to Revise *County APD Recommendations and Findings* document: Follow *Instructions for “County Response” column: Indicate the page number where the County has updated the APD. If the County does not agree with the State’s recommendation, please use this column to respond.* * Save as new document with updated draft version, revision date and user initials reflected in the document file name.
* Update the Findings identified in *Results of Review 1 s*ection
* Instructions for “County Response” column: Indicate the page number where the County has updated the APD.
* If the County does not agree with the State’s recommendation, use the *County Response* column to respond.
* If the County does not concur with the finding, they may respond on this document.

 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. |
| **1.2.4** | **Submit revised County APD** County submits revised County APD within 10 business days of receipt date of *County APD Recommendations and Findings* document. After Revised County APD and all required accompanying documentation have been completed in accordance with required procedures, County submits all materials to originating OSI (SAWS or CWS/CMS) APD Coordinator via email. All attachments are listed out in body of email providing a basis for validating expected document attachments and arrival.   |
| **1.2.5** | **Receive notification of receipt of County APD**The County receives Notification of *Receipt of County APD* and *Administrative Review Status* within 1 business day. |
| **1.2.6** | **Receive Approval/Disapproval Letter**County receives Approval Letter or Disapproval Letter within 10 business days of 1.2.5. End process. |
| **1.2.8** | **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 after receiving Deficiency Notice.  |