

Preparing and Submitting a Planning APD (PAPD)



You are here...

- ✓ APD Overview
- ✓ **Planning APD**
- ✓ Implementation APD
 - ✓ RFPs and Procurement
- ✓ APD Updates
- ✓ System Testing Regulation
- ✓ Getting to Go Live
- ✓ Project Management



Acronyms used in this module:

- APD – Advance Planning Document
- APDU – Advance Planning Document Update
- FFP – Federal Financial Participation
- FNS – Food and Nutrition Service
- HB 901 – Handbook 901
- IAPD – Implementation Advance Planning Document
- IT – Information Technology
- PAPD – Planning Advance Planning Document
- QA – Quality Assurance
- SAM – State Agency Model
- SNAP – Supplemental Nutrition Assistance Program
- USDA – United States Department of Agriculture
- WIC – Supplemental Nutrition Program for Women, Infants, and Children

Learning Outcomes

After completing this module, learners will -

- ❖ Apply Purpose and Goals
- ❖ Name Components
- ❖ Use Process steps between FNS and State Agency
- ❖ Understand FNS review focus
- ❖ Identify Conflicts of Interest
- ❖ Use Tips
- ❖ Apply Lessons learned



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PAPD Objectives

- ❖ Request Prior Approval
- ❖ Assure FNS planned system will meet program requirements
- ❖ FNS commitment to the project

~Federal funds are subject to availability~



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PAPD Objectives

- ❖ Notifies FNS of State Agency's need and intent
- ❖ Specifies nature of planning activities
- ❖ Who will conduct planning activities



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PAPD Document Submission Thresholds

Stakeholder	Program / Funding Source			
	SNAP	SNAP EBT	WIC	WIC EBT
State Agency prepares and submits PAPD at least 60 days before project initiation FNS reviews within 60 days.	For All projects >\$6 million total project costs	For all projects requesting FFP for new technology	For all projects ≥\$500,000 utilizing Federal funding	For all projects utilizing Federal funding

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Required Documentation for a PAPD

Documents	PAPD Documentation Requirements by Program				
	SNAP	SNAP EBT	WIC	WIC SAM	WIC EBT
Transmittal Letter	X	X	X	X	X
Executive Summary	X	X	X	X	X
Resource Requirements	X	X	X	X	X
Schedule of Planning Activities, Milestones & Deliverables	X	X	X	X	X
Proposed Budget	X	X	X	X	X
Cost Allocation Plan	X	X	X	X ¹	X ¹

¹As applicable

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PAPD Budget

- ❖ Reflects duration of planning phase broken out by FFY and quarter
- ❖ Captures all anticipated expenditures for planning phase
 - Feasibility Study / Alternatives Analysis
 - Implementation Advance Planning Document (IAPD)
 - Request for Proposal (RFP)
- ❖ Detailed narrative supports budget line items



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PAPD Budget Example

Task/Line Item	Q1	Q2	Q3	Q4	FY Total
State Costs					
State Agency Travel					
Local Agency Travel					
SA Staff Time					
LA Staff Time					
Equipment					
IT Support					
Indirect					
Contractor Costs					
Travel					
Deliverable					

- ### PAPD Budget
- ❖ Lists projected costs
 - ❖ Reflects actual costs to date in PAPD Updates
 - ❖ Final PAPD when planning phase complete
 - Includes budget with all actual costs
- 

- ### PAPD Process Steps
- State Agency**
- ❖ Prepares and submits PAPD  FNS
 - ❖ Sends 1 electronic copy to:
 - FNS Regional Office
 - with a cc: to your FNS State Systems Office Analyst
- 

PAPD Process Steps

State Agency

- ❖ Simultaneously submits copy of PAPD to HHS and any other participating Federal agencies, if applicable
- ❖ Internal State Agency Approval Process
 - Possible to use same or similar documents to satisfy both State internal review and FNS

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PAPD Process Steps

FNS

60 days for APD review

- ✓ Sound document
- ✓ Describing your needs
- ✓ Accomplished within an acceptable timeframe



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PAPD Process Steps

FNS

- ❖ FNS comments or approval  State Agency
- ❖ FNS provides written approval of PAPD
 - before entering into contractual agreements or commitments



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PAPD Process Steps

FNS
Approval Conditions

- ❖ General – availability of Federal funds
- ❖ Specific – Funding may be approved for only a given time period; or incremental based on conditions

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PAPD Process Steps



- ❖ Conduct Planning Activities!
- ❖ Submit APD Updates Annually or As Needed

➤ *See FNS HB 901 for details*

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PAPD Process Summary

1. FNS Reviews
 - Clarification needed?
2. FNS approves or disapproves
 - Disapprovals may be appealed
3. Contract services required?
 - Planning Request for Proposal

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PAPD Process Summary

- 4. SA conducts planning activities
- 5. Updates are submitted as FNS HB 901 instructs
- 6. Final PAPD is submitted



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8 Key Elements FNS Reviews

- 1. Planning phase objectives
- 2. Appropriate scope demonstrated
- 3. Planned resources
- 4. Stakeholders and involvement

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8 Key Elements FNS Reviews

- 5. Costs justified
- 6. System transfer consideration
- 7. Itemized planning budget
- 8. Costs allocated

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Planning Phase Outcomes

- ❖ Implementation Advance Planning Document (IAPD)
 - Results of planning, feasibility study, course of action
- ❖ Design/Development/Implementation or Transfer and Implementation RFP



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Conflicts of Interest

A conflict of interest is:

Any situation that could impair a contractor's ability to provide objective and impartial information, advice or counsel, or which could create an unfair competitive advantage for the contractor or its subcontractors.

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Contractor Conflicts of Interest

Planning Activities	&	Development
Project Management	&	Development
Project Management	&	M&O
Development	&	Quality Assurance



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Quality Assurance (QA)

- ❖ Procedures intended to ensure that a product or service under development meets specified requirements



- ❖ QA is a continuous management process that takes place throughout all phases of the project lifecycle

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Quality Assurance (QA)

- ❖ **WHAT?**
 - Independent monitoring of project status
- ❖ **HOW?**
 - Formal reviews
 - Schedules
 - Accomplishments & Deliverables
 - Costs

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Quality Assurance (QA)

- ❖ **WHO?**
 - State
 - Contractor
 - Must not be the same State staff or vendor performing project management services or system development.

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Tips for Successful Planning

1. Engage all stakeholders early
 - ✓ Collaborate with program, policy & IT staffs
2. Maintain communications
 - ✓ State partners
 - ✓ Federal partners
 - ✓ Third party partners



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Tips for Successful Planning

3. Know Federal APD requirements
4. Know your Federal and State procurement rules
 - ✓ Internal review process
5. Talk with other States



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Lessons Learned



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Lessons Learned

- ❖ Hire Project Manager early in process
- ❖ Involve executive leadership early to facilitate ongoing support
- ❖ Prepare to have State staff control the RFP process
- ❖ Allow time to review APD and RFP documents to eliminate duplication and ensure consistency

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Lessons Learned

- ❖ Realistic level of effort for project aspect
- ❖ Impact of additional work - backfill
- ❖ Acknowledge factors outside control
- ❖ Allow time to address resistance to change

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Lessons Learned

Those who fail to plan, plan to fail-
Plan to be successful.

Harvey Mackay



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Review - Learning Outcomes

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Your next goal...

- ✓ APD Overview
- ✓ Planning APD

✓ Implementation APD

✓ RFPs and Procurement

✓ APD Updates

✓ System Testing Regulation

✓ Getting to Go Live

✓ Project Management

Come See Us!

An engraved invitation from FNS Handbook 901
www.fns.usda.gov/apd

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