

Leonardo Rapadas
Attorney General



Phillip Tydingco
Chief Deputy Attorney General

Office of the Attorney General

March 11, 2013

32-13-184

Honorable Judith T. Won Pat, Ed.D.
Speaker
I Mina'trentai Dos Na Liheslaturan Guahan
155 Hesler Street, Suite 201
Hagåtña, Guam 96910

Office of the Speaker
Judith T. Won Pat, Ed. D.
Date 3-13-13
Time 3:00 P.M.
Received by J.S. TEDTAOTAO


Re: **Office of the Attorney General, Child Support Enforcement Division
APASI Upgrade**

Dear Speaker Won Pat:

Pursuant to P.L. 31-233, Chapter VII, Part I, Section 1, attached please find a copy of the Planning Advanced Planning Document (PAPD) for the APASI Upgrade Project. Also attached please find a letter from Commissioner Vicki Turetsky, Office of Child Support Enforcement, approving the PAPD for planning activities in the amount of \$1,847,000 at the 66% Federal Financial Participation (FFP) rate (\$1,219,020 in FFP, \$627,980 in local funds). See page 17 of PAPD for cost breakdown.

We thank you and your colleagues in the Legislature for your continued support in upgrading CSED's outdated APASI computer system. We will continue to keep you informed on the progress of the upgrade.

Sincerely,


LEONARDO M. RAPADAS
Attorney General of Guam

2013 MAR 14 AM 9:08

Attachments

0184



DEPARTMENT OF HEALTH & HUMAN SERVICES

ADMINISTRATION FOR CHILDREN AND FAMILIES
370 L'Enfant Promenade, S.W.
Washington, D.C. 20447

OCT 16 2012

Barbara Cepeda
Deputy Attorney General & IV-D Director
Child Support Enforcement Division
287 West O'Brien Drive
Hagatna, Guam 96910

Dear Ms. Cepeda:

This is in response to your October 3, 2012, request for approval of a Planning Advance Planning Document Update (PAPDU) for the Absent Parent Automated System Information (APASI) Upgrade Project.

My staff has reviewed your PAPDU submission and based on this review, I am approving the PAPDU for planning activities in the amount of \$1,847,000 at the 66 percent Federal Financial Participation (FFP) rate (\$1,219,020 in FFP, \$627,980 in state costs). This includes direct costs of \$241,000 and vendor costs of \$1,606,000.

We are looking forward to working with you as you move forward with this planning effort. I encourage you to continue to work closely with my staff to ensure all federal requirements for a feasibility study are met and documented.

If you have questions or concerns regarding this PAPDU approval decision, or need additional information, please contact Joseph Bodmer of my staff at (202) 690-1234.

Sincerely,

A handwritten signature in cursive script that reads "Vicki Turetsky".

Vicki Turetsky
Commissioner
Office of Child Support Enforcement

Reference: GU 2012 1003

cc: Patrick Wells, Director, DMG/OGM/OA/ACF
Michael Bratt, Senior Grants Officer, DMG/OGM/OA/ACF
John Kersey, OCSE Program Manager, Region IX

**Guam Office of the Attorney General
Child Support Enforcement Division**



**Planning
Advanced Planning Document
for the APASI Upgrade Project**

November 1, 2011

Submitted to:

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

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2.0 Executive Summary

The Child Support Enforcement Division (CSED), of the Office of the Attorney General of Guam (OAG) is the single and separate agency designated to operate the Title IV-D Child Support Enforcement Program in the Territory of Guam. Currently, the Programs supported by an aging automated system: "APASI." Although APASI is a fully PRWORA Certified system, it does not provide the most effective support to casework in the Guam CSED. Of all the divisions of the Office of the Attorney General of Guam (OAG), the CSED relies most heavily on the information and functionality of its automated system (APASI). This system was transferred in 1996 from the child support enforcement (CSE) system used in the state of Texas. Since the time of that transfer, much has changed in both the CSE program and in the capabilities of information technology.

The Program constraints include; out-of-date technology, data problems and inefficiencies of APASI. Consequently, the CSED intends to upgrade APASI to meet the Program's needs more efficiently, to improve the automation available to support the activities of its staff and to provide timely, reliable, and accurate data for case action. The current financial and staffing pressures affecting many public agencies, private companies, and citizens across the country are especially acute in Guam. The need to increase CSED collections combined with the restrictions on adding program staff make the effective use of automation crucial to the increasing success of child support enforcement on the Island.

An APASI Upgrade Project was initiated this year with the development of this Planning Advance Planning Document (PAPD) that describes the plan Guam has for improving APASI. This PAPD document consists of the following:

- *Section 3 Statement of Need* describes the problems with APASI and Guam's vision for the system that will result from this upgrade.
- *Section 4 Project Management Plan* describes the proposed management of the APASI Upgrade Project follows, which includes the schedule currently proposed for the Planning Phase. The IAPD Planning Phase is projected to begin in December of 2011 and end in December of 2013.
- In *Section 5 Budget and Cost Allocation*, the budget for the Planning Phase is presented, including information concerning the most recent Cost Allocation Plan for the Government of Guam. Guam expects to request federal matching funds for the Planning Phase funding in the amount of \$1,804,000. The OAG/CSED affirms the Guam Legislature's knowledge and approval of the approach and the associated costs for the upgrade of APASI.
- Finally, an estimate of the cost of the entire APASI Upgrade Project, including development and implementation of the solution to be identified in the Planning Phase is given in *Section 6 Total Project Cost Projections*. Although this figure will be refined as planning continues, Guam currently estimates a total cost for the APASI Upgrade Project of \$47,333,000.

Guam looks forward to Federal review of the PAPD and welcomes input to its planning efforts.

3.0 Statement of Need

The Child Support Enforcement Division (CSED), of the Office of the Attorney General of Guam is the single and separate agency designated to operate the Title IV-D Child Support Enforcement Program in the Territory of Guam. Currently, the Programs supported by an aging automated system "APASI" which was a transfer of the Texas IV-D automated system in 1996. The Program is constrained by out-of-date technology, data problems and inefficiencies of APASI. CSED intends to upgrade APASI to better meet the Program's needs and increase the Program's effectiveness.

This section of the PAPD describes the vision that Guam has with respect to automated support for its Child Support Enforcement Program. The scope of the project is to upgrade its current automation, identify problems encountered in using Guam's existing automated system (APASI), and explore areas for improvement in which changes or new functionality will be explored during the Planning Phase.

3.1 Information and Services Vision

It is OAG/CSED's vision to invest in an improved automated system that will accomplish the following:

- Support CSED staff in the effective performance of CSE activities
- Promote the CSED's goal of increasing collections
- Assist in removing the obstacle to Program success that results from the restrictions placed on adding staff
- Help Program staff offer the best service to Guamanian and other families who need support for their children

An investment in improving automated support for CSED staff will allow staff to focus on activities needed to produce more accurate and timely case actions and increase collections.

3.2 System Scope and Objectives

The objective of the APASI Upgrade Project is not just to solve APASI's immediate functional problems, but to provide users with a system that will improve productivity and allow the CSED to reach its true collections potential.

The scope of the APASI Upgrade Project is to implement a Title IV-D automated system at a reasonable cost that:

- Is easy for users to access, navigate, update, and review
- Presents consistent, accurate and trustworthy data to users in the format appropriate to the action or inquiry at hand
- Operates reliably and efficiently at a cost reasonable to its results
- Takes as many actions as feasible with little or no human intervention necessary, or provides an intelligent prompt to the user to take a manual action
- Expands the interaction or interface with other systems, gathering data automatically

- Allows public users to access it in a secure fashion and both collect and provide an optimum amount of information
- Provides managerial controls and statistics that increase productivity and assist the Program in maintaining its federal and local performance goals and requirements

In short, the Office of the Attorney General of Guam, Child Enforcement Division seeks to have at its disposal an automated system that supports the operation of Guam's Child Support Enforcement Program.

Problems with the current system functionality and a summary of system requirements are described in the following section.

3.3 System Requirements Overview

Requirements of the new system will be refined and specified at a greater level of detail during the Planning Phase. The following list summarizes the major areas in which system improvements are needed:

- System financial processing must be re-examined, corrected, and streamlined in the upgrade of APASI.
- For the upgraded APASI, case workflows should be reviewed and updated to match current federal requirements and Guam CSED procedures.
- CSED users should access the upgraded APASI through a MSWindows®-based graphical user interface, and superfluous data should be eliminated or removed from display and processing.
- Others (e.g., CPs, payors, employers) should have appropriate access through a website and interactive voice response functionality.
- Existing interfaces must be improved and new interfaces added to the upgraded APASI, especially in the area of non-custodial parent location.
- The upgraded APASI should provide accurate reports without the need for human intervention.
 - Reports should have 'drill-down' audit trails, easily accessed by users
 - *Ad hoc* reporting should be added
- Document generation utilized in the upgraded APASI should be more automated than is currently the case, easier for staff to use, and streamlined.
- The APASI database must be normalized to the maximum extent possible to make the system easier to maintain and to modify, as requirements change. In addition, a major data cleansing effort must be undertaken with the original legacy data as part of the transition to an upgraded APASI.
- The upgraded APASI must run on a server or servers operated by the Guam Office of the Attorney General.

3.3.1 DEFICIENCIES IN EXISTING CAPABILITIES

Major problems in the existing APASI functionality inhibit the effectiveness of staff and their ability to take timely actions in child support enforcement cases. Deficiencies in current system capabilities include:

- **APASI does not handle court order information effectively** – APASI is unable to deal properly with updated court order information on which accounting is based. The system does distribution based only upon the current order. If a superseding order makes a change in current support payment from this day forward, APASI automatically adjusts historical distribution as if the previous order(s) had not existed. If the new order addresses only current support (not arrears), previously accumulated arrears may be deleted, or APASI will consider all prior accounts as no longer active.

Because the system can only recognize one order at a time, corrections to an old order requires the deletion of all subsequent orders. When this is necessary, payments previously applied to the deleted orders then go into 'overage' until the order to which they were applied is reentered. Because this reapplication process is accomplished by batch processing, only one court order per day is allowed to be reentered to avoid batch failure. If the correction necessary to release an old suspense payment related to the fourth order before the current one, at least five days processing must occur before it is safe to release the old payment.

APASI automatically computes the end date to the obligation for child support arrears causing for the obligation to go historical which causes receipts to be identified as overages.

When there are multiple cases associated to one custodial parent, payments are hard to map to track collections to disbursement.

- **Data on APASI is unreliable** – There are many issues with TANF data, as timely access to updated information from the Department of Public Health is lacking. TANF grant information from Public Health is sent by eMail each month, and is updated manually based on those eMails. For IV-D cases tied to multiple IV-A cases, arrears may at time be split incorrectly between government and family arrears. This, in turn, may cause payments to be applied incorrectly to the arrears, requiring payment adjustments. To make sure these complex adjustments result in correct posting, it is often necessary to test the changes in a Production-loaded test environment prior to entering them in Production.

Not all data was converted from the legacy system (APMS) to APASI. For example, welfare information was incomplete. In addition, data 'purification' wasn't always accomplished. The result now, is a need to do largely manual reconstructions of payment histories (Declaration of Arrears/Financial Activities Report) for the courts.

- **Undistributed collections cannot be resolved** – Although an account reconciliation has recently been accomplished, with help from OCSE, batch reconciliation on APASI is still impossible and Guam has a very high percentage of undistributed collections. While many of the problems with undistributed collections are procedural, the lack of certain

data elements in APASI, difficulties in the case closure process, inefficiencies in making receipt adjustments, and issues concerning some retro modifications all contribute. Data problems go back to early 90s.

- **Data inconsistencies exist on APASI** – In some instances, when what should be the same data is displayed on two different screens, they do not match (e.g., some dates and amounts appear as one thing on some screens and something else on others). *Ad hoc* reporting must currently be used to catch and review discrepancies.
- **APASI has very few interfaces with other systems** – A full interface with Public Health for TANF information, is critical, since lack of timely and accurate grant data can create overpayments (for both programs). There is currently no match for Title XIX Medicaid or Title IV Foster Care data. Interface with other agencies such as public utilities or phones service for Locate purposes would also be helpful.

3.3.2 OPPORTUNITIES FOR ECONOMIES OR EFFICIENCIES

The following are representative examples in which a system upgrade could result in increased Program operating efficiency or improved economies of scale, including:

- **Payment receipt information is not automated** – Though a report of EFT payments is provided to CSED staff, Treasury only sends in-house-generated receipts with minimal information for payments it receives by mail or in-person—the majority of payments. CSED does have on-line access to child support Treasury accounts, but a direct interface and access to images of the actual negotiables received (plus other associated information) would speed up and improve the accuracy of posting.
- **APASI is outdated and requires work-arounds to address shortcomings**. It is not user friendly, and most CSED users have had to adapt to the way it works. Eliminating the necessitated work-arounds would permit more staff time for casework and collections. In addition, APASI is not Y2K compliant, which affects batch operations that involve pre-2000 dates.
- **Reporting and Tracking are not automated** – Most standard reports must be manually defined and initiated and data must sometimes be manipulated off-system. For example: to print checks, a system analyst must use both APASI to assign the check number, which must be down-loaded to an Excel spreadsheet for tracking. Fully automated reporting would save time at month end and in many aspects of case and caseload management.
- **APASI does not allow separate protective payees** – When protective payees are assigned, the payee must be shown as the CP and the user cannot separate all cases. An Investigator must make a decision on how to code and how to pay manually, case-by-case at the end of the month. Correcting the payee assignment issue would free up Investigators for more productive activities.

4.0 Project Management Plan

4.1 Planning Team Organization

OAG will charter two teams of OAG/CSED staff to manage the planning phase for the APASI Upgrade Project: the Executive Steering Committee and the APASI Upgrade Project Team. The APASI Upgrade Project Director will report to the Executive Steering Committee and, with the assistance of the Deputy Project Director, will be responsible for overall management of the project, guidance, and day-to-day operations. Subject Matter Experts (SMEs) from the CSED will be integral to the team and provide the business and technical input necessary to project deliverables and delivering the plan needed to acquire the automated support Guam's CSED needs. The Project Director will have broad authority over Project activity, but will coordinate with the IV-D Director for the use of staff time. Section 4.1.3 shows the organizational chart for the APASI Upgrade Project.

The consulting services of two different vendors will be procured for this project:

- A contract will be issued for Quality Assurance and Project Management (QA/PM) services. The QA/PM vendor will report directly to the CSED's Project Director to provide project management support and ensure an independent assessment of system quality. The QA/PM vendor will participate throughout the full lifecycle of the APASI Upgrade Project, from planning through design, development and implementation.
- A contract will be issued for expert and experienced IV-D automation planning services. The vendor will be responsible for facilitating the planning process, assisting in researching available automation alternatives, maintaining project documentation and preparing deliverables. The Planning Vendor will report directly to the APASI Upgrade Project Director. This vendor will not be eligible to bid on the development and implementation phase of the Project.

4.1.1 EXECUTIVE STEERING COMMITTEE

The APASI Upgrade Executive Steering Committee consists of high-level State managers and executives representing the stakeholders in the APASI Project. They will provide executive support to the APASI Upgrade project. The Steering Committee will meet at least monthly during the life of the project. The Steering Committee will provide direction to the Project Team as part of its meeting activities.

APASI Upgrade Executive Steering Committee

Organization	Name	Title
Office of the Attorney General	Philip J. Tydingco	Chief Deputy Attorney General
Child Support Enforcement Division (CSED)	Barbara P. Cepeda	Deputy Attorney General, IV-D Director

4.1.2 KEY PERSONNEL

Listed below are role/responsibility descriptions of key managers and supervisors assigned to the APASI Upgrade planning project. All personnel working on the planning effort are State

employees and are experienced in their respective disciplines. Additional support personnel will be supplied by CSED, the OAG's Department of Administration, and the Department of Public Health.

APASI Upgrade Key Personnel

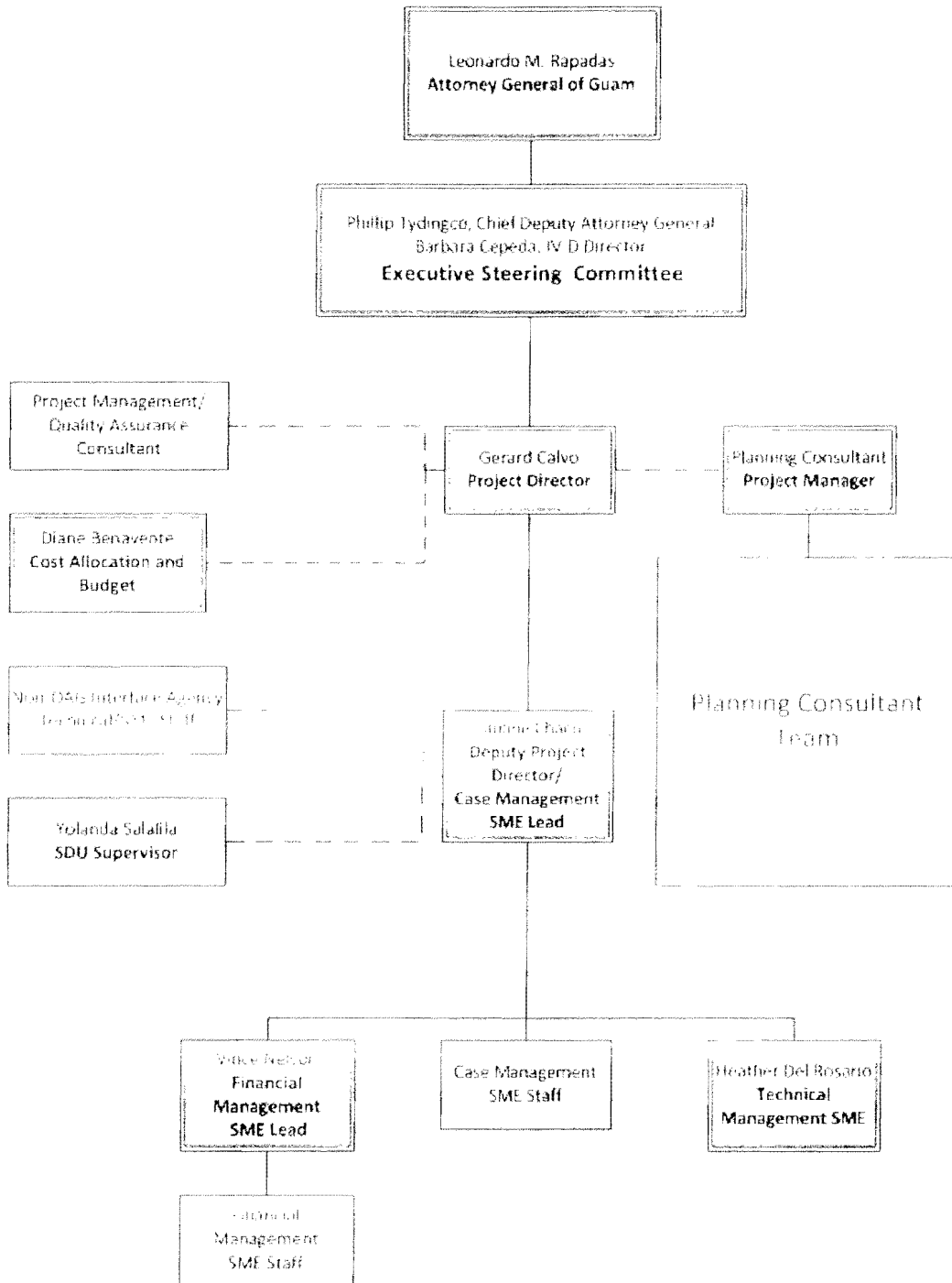
Organization	Name	Title	APASI Upgrade Planning Project Role	Planning Responsibility
Child Support Enforcement Division (CSED)	Barbara Cepeda	Deputy Attorney General, IV-D Director	Project Steering Committee liaison	Project input to the Executive Steering Committee Final delivery signoff
Child Support Enforcement Division (CSED)	Gerard Calvo	Computer Systems Analyst	Project Director	Planning Project Director, IAPD Lead
Child Support Enforcement Division (CSED)	Pauline Chaco	Investigator Supervisor	Deputy Project Director, Case Management SME Coordinator	Deputy Project Director, Case Management SME Lead, Deliverable Review Feasibility Study Lead
Child Support Enforcement Division (CSED)	Heather Del Rosario	Computer Systems Analyst	Technical Management SME Coordinator	Technical Management SME, Deliverable Review, Interface Coordinator, Alternatives Analysis Lead
Child Support Enforcement Division (CSED)	Vince Nelson	Accounting Tech Supervisor	Financial Management SME Coordinator	Financial Management SME Lead, Deliverable Review, Conceptual Design Lead
Child Support Enforcement Division (CSED)	Yolanda Salalila	SDU Supervisor	SDU SME Coordinator	Deliverable Review
Child Support Enforcement Division (CSED)	Diane Benavente	Program Coordinator	Cost Allocation and Budget	Deliverable Review.

4.1.3 PROJECT ORGANIZATION CHART

The diagram on the following page shows the State's participation on the APASI Upgrade Planning project. This organizational chart also shows the position of the two consulting vendors: the Project Management and Quality Assurance vendor and the Project Planning vendor.

APASI Upgrade Project

Organizational Chart

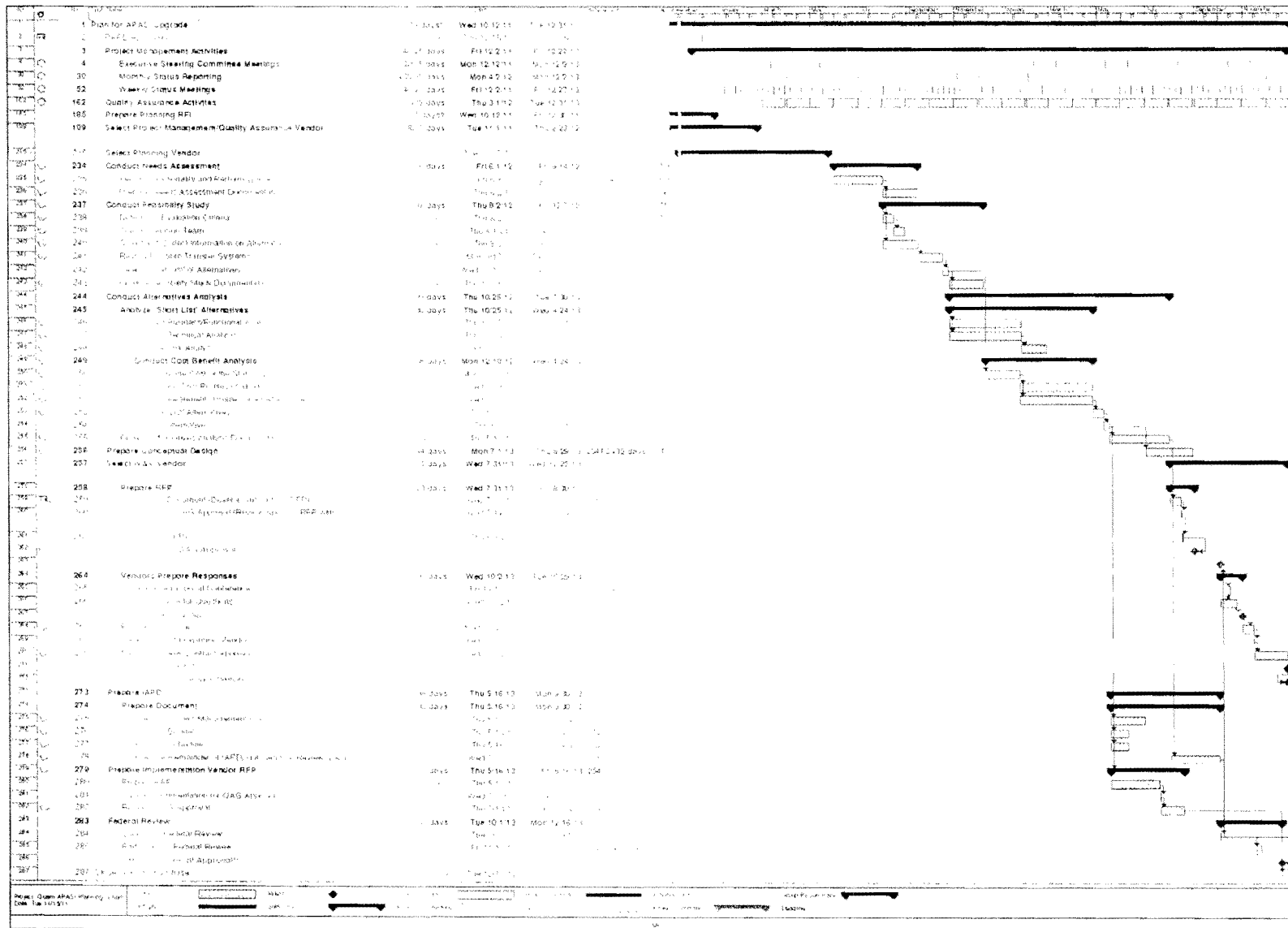


4.2 Planning Activities and Schedule

This section of the Planning Advance Planning Document describes the planning activities to be undertaken for the APASI Upgrade Project, indicates the resources to be committed to the activity, and presents the schedule currently envisioned for the Planning process.

Costs supplied in this section represent approximate total costs (Personnel and Operating) for the activity listed, and include the cost of contracted services.

Work on the Planning Phase is expected to begin in early November 2011 and be completed by late May 2013. A high-level project schedule is presented on the following pages.



4.2.1 PROCURING PLANNING ASSISTANCE & PROJECT MANAGEMENT

Guam has determined that it will need vendor assistance for two major portions of the APASI Upgrade Planning Phase:

- Project Management and Quality Assurance (QA) Consulting Services
- Planning Phase Consulting Services

The CSED will release an RFP for Project Management and QA Services. Once the selection is made and the selected vendor has started work, a separate RFP will be released for a vendor to provide planning services, documentation, and support Guam through the Planning Phase. Both of these RFPs will reflect Guam's statutes and rules concerning the acquisition of consulting services.

During the APASI Upgrade Project, project management will be provided from three primary sources: Guam (including the Executive Steering Committee, the Project Director, and the participation of other members of the CSED), services of the Quality Assurance/Project Management (QA/PM) vendor, and the Planning Phase Vendor. Although the summary schedule shows project management officially beginning with the acquisition of QA/PM vendor services, these activities are initiated at the beginning of the Planning phase with the Guam and QA/PM project management activities will continue into the Implementation Phase (Planning vendor project management services will be replaced by Implementation vendor services). For purposes of this document, Planning Phase project management activities are summarized in one task. Please note that only Guam personnel cost totals are shown under Cost in the tables below. For total Planning Phase Costs, please see *Section 5.0 Budget and Cost Allocation*.

Please note that the estimated cost for the Planning Vendor is expected to exceed \$1,000,000 (\$1,368,000) and Guam will request Federal review of the Planning Vendor RFP and the selection of the Planning Vendor.

Subtask	Start Date	Stop Date	Weeks	State Hours	State Cost	Vendor Hours	Vendor Cost
Planning Phase Project Management	12/2/2011	12/31/2013	109	1,625	\$ 55,000	6,744	\$1,063,000
Quality Assurance Services	3/1/2012	12/31/2013	96	0	\$ 0	1,773	\$ 293,000
Select Project Management/Quality Assurance Vendor	11/01/2011	01/24/2012	4	114	\$ 11,000	0	\$ 0
Select Planning Vendor	11/15/2011	05/23/2012	27	1,035	\$ 35,000	0	\$ 0
TOTALS	N/A	N/A	N/A	3,074	\$104,000	8,517	\$1,356,000

4.2.2 PLANNING REQUEST FOR INFORMATION

At the same time the Project Management/Quality Assurance and the Planning vendors are being selected, Guam will release a Planning Request for Information (RFI). The purpose of the RFI is to gather information about available products and solutions that can be used to address the current and future technology needs of the child support program of Guam and that will help establish realistic system project time frames, and cost projections that will be used to support both the Planning and Implementation Phases of the Project.

It should be noted that the vendor and Guam staff time and cost of this RFI are already included in the project under which this PAPD document has been prepared. For this reason, these amounts are not detailed in this document.

Subtask	Start Date	Stop Date	Weeks	State Hours	State Cost	Vendor Hours	Vendor Cost
Prepare, Release, and Review Planning RFI	10/12/2011	12/30/2011	11	N/A	N/A	N/A	N/A
TOTAL	N/A	N/A	N/A	N/A	N/A	N/A	N/A

4.2.3 CONDUCTING A NEEDS ASSESSMENT

The first task of the new planning vendor will be to facilitate and document a detailed requirements analysis of the CSED's automated system needs, including a functionality gap analysis. The Needs Assessment Document will include a matrix or database for managing the requirements. This document will be shared with OCSE to obtain feedback.

Subtask	Start Date	Stop Date	Weeks	State Hours	State Cost	Vendor Hours	Vendor Cost
Identify Functionality and Perform Gap Analysis	6/1/2012	8/1/2012	9	853	\$29,000	688	\$103,000
Prepare Needs Assessment Documentation	8/2/2012	9/14/2012	6	174	\$6,000	256	\$ 38,000
TOTALS	N/A	N/A	N/A	1,027	\$35,000	944	\$141,000

4.2.4 CONDUCTING A FEASIBILITY STUDY

The objective of the Feasibility Study that CSED and its planning vendor will complete is to survey a variety of solutions and make a rough determination of their feasibility in solving Guam's IV-D system needs. The result will be a 'short list' of documented alternatives for further analysis. The Feasibility Study will be shared with OCSE to obtain feedback.

After establishing evaluation criteria and preparing CSED staff for the evaluation process, the APASI Upgrade Planning Phase Team will research the various approaches to the needed upgrade of APASI including:

- System enhancement
- Transfer of existing functionality already in service in another State
- Replacement of the system utilizing new development
- Some combination of the above strategies
- Additional alternative(s) as submitted by the vendor community as a result of the Planning Request for Information (RFI) process
- Some new alternative suggested by our research

Because of the cost of travel to Guam, the Project may utilize remote demonstrations in reviewing possible system transfers.

Subtask	Start Date	Stop Date	Weeks	State Hours	State Cost	Vendor Hours	Vendor Cost
Determine Evaluation Criteria	8/2/2012	8/15/2012	2	108	\$ 4,000	80	\$12,000
Train Evaluation Team	8/16/2012	8/29/2012	2	36	\$ 1,000	80	\$12,000
Select and Collect Information on Alternatives	8/2/2012	9/14/2012	6	332	\$11,000	284	\$43,000
Review Possible Transfer Systems	9/17/2012	10/16/2012	4	436	\$15,000	88	\$13,000
Select 'Short List' of Alternatives	10/17/2012	10/24/2012	1	144	\$ 5,000	24	\$4,000
Finalize Feasibility Study Documentation	10/25/2012	12/7/2012	6	180	\$ 6,000	256	\$38,000
TOTALS	N/A	N/A	N/A	1,236	\$42,000	812	\$122,000

4.2.5 CONDUCTING AN ALTERNATIVES ANALYSIS

Once the APASI Upgrade Planning Phase Team has narrowed down the alternatives to two to four alternatives that appear to best met the Program's needs, it will analyze them to determine the best technical and functional fit for Guam CSED, and analyze the risks involved in proceeding. A full Cost/Benefit Analysis will be made of each 'short list' alternative. Utilizing the pre-determined evaluation criteria, the Team will score each alternative based on the results of the analysis, and select a final candidate with the highest feasibility of success. The Alternatives Analysis document will be shared with OCSE to obtain feedback.

Subtask	Start Date	Stop Date	Weeks	State Hours	State Cost	Vendor Hours	Vendor Cost
Conduct Business/Functional Analysis	10/25/2012	1/24/2013	66	329	\$11,000	248	\$ 37,000
Conduct Technical Analysis	10/25/2012	1/24/2013	66	298	\$10,000	248	\$ 37,000
Prepare Risk Analysis	1/25/2013	2/25/2013	22	144	\$ 5,000	88	\$ 13,000
Conduct Cost Benefit Analysis	12/10/2012	4/24/2013	98	510	\$17,000	1,288	\$193,000
Determine Cost of the Status Quo	12/10/2012	1/23/2013	37	270	\$ 9,000	232	\$ 35,000
Prepare Cost Profiles of Alternatives	1/23/2013	4/24/2013	60	120	\$ 4,000	528	\$ 79,000
Prepare Benefits Profiles of Alternatives	1/23/2013	4/24/2013	66	120	\$ 4,000	528	\$ 79,000
Score the Alternatives	4/25/2012	5/8/2013	10	240	\$ 8,000	80	\$ 12,000
Select Best Alternative	5/9/2013	5/15/2013	5	120	\$ 4,000	40	\$ 6,000
Finalize Alternatives Analysis Documentation	5/16/2013	7/30/2013	51	198	\$ 7,000	416	\$ 62,000
TOTAL	N/A	N/A	N/A	1,839	\$62,000	2,408	\$360,000

4.2.6 PREPARING A CONCEPTUAL DESIGN

Guam expects the General System design of the selected APASI Upgrade alternative to be an Implementation Phase task, but the development of a guiding Conceptual Design is a critical part of the Planning process.

Subtask	Start Date	Stop Date	Weeks	State Hours	State Cost	Vendor Hours	Vendor Cost
Develop Conceptual Design Document	7/1/2013	8/29/2013	9	492	\$17,000	336	\$50,000
TOTAL	N/A	N/A	N/A	492	\$17,000	336	\$50,000

4.2.7 SELECTING AN IV&V VENDOR

Independent Verification and Validation (IV&V) will be an immediate need of the Implementation Phase of the APASI Upgrade Project, and Guam will secure the services of an IV&V vendor during the latter part of the Planning Phase, timing services to begin shortly after federal approval of the IAPD.

Subtask	Start Date	Stop Date	Weeks	State Hours	State Cost	Vendor Hours	Vendor Cost
Select IV&V Vendor	7/31/2013	12/25/2013	21	654	\$22,000	92	\$14,000
TOTAL	N/A	N/A	N/A	654	\$22,000	92	\$14,000

4.2.8 PREPARING THE IMPLEMENTATION APD AND IMPLEMENTATION VENDOR RFP

Utilizing the results of the planning activities, the APASI Upgrade Planning Phase Team will prepare an implementation Advance Planning Document (IAPD) for the APASI Upgrade Project. The document will contain the following material:

- Statement of needs and objectives
- Summary of results of the requirements analysis, feasibility study, and alternatives analysis
- Implementation Phase Project Management Plan
- Proposed Implementation Phase budget
- Prospective Cost Allocation Plan
- Proposed Implementation Phase activity schedule

In addition, an RFP for the acquisition of an Implementation vendor will be prepared. Since these services will undoubtedly exceed the \$1,000,000 threshold, the RFP will be provided, along with the IAPD, for Federal review. CSED will participate in the review process, and will make the adjustments deemed necessary. Upon receiving Federal approval, the RFP will be released; a vendor/solution will be selected as a result of the procurement process.

Subtask	Start Date	Stop Date	Weeks	State Hours	State Cost	Vendor Hours	Vendor Cost
Prepare Proposed Implementation Phase Project Management Plan	5/16/2013	6/28/2013	6	90	\$ 3,000	256	\$ 38,000
Prepare Proposed Implementation Phase Budget & Cost Allocation Plan	5/16/2013	6/6/2013	3	48	\$ 2,000	128	\$ 19,000
Prepare Proposed Implementation Phase Project Activity Schedule	5/16/2013	6/6/2013	3	36	\$ 1,000	128	\$ 19,000
Prepare Remainder of IAPD, Assemble, & Review	7/31/2013	9/30/2012	9	260	\$12,000	352	\$ 53,000
Prepare Implementation Vendor RFP	5/16/2013	8/16/2013	9	594	\$20,000	352	\$ 53,000
Federal Review and Approval	10/1/2013	12/16/2013	11	246	\$ 8,000	40	\$ 6,000
TOTAL	N/A	N/A	N/A	1,274	\$46,000	1,256	\$188,000

5.0 Budget and Cost Allocation

This section of the Planning Advance Planning Document describes the following:

- Budget estimate for the Planning Phase of the APASi Upgrade Project
- Guam Cost Allocation Plan
- Source of the Guam's share of total Planning Phase Costs

Guam is requesting federal matching funds at the 66% rate in the amount of \$1,804,000 for the preparation of the IAPD and Development Phase vendor RFP. Guam expects to complete the planning activities before the end of the third Quarter of FFY 2013.

5.1 Planning Phase Budget

For the Planning Phase, resulting in the development of the IAPD for the APASi Upgrade Project, OAG/CSED intends to utilize two vendor firms to provide quality assurance and IAPD development services, as described in *Section 4.1 – Project Team Organization*. As indicated in the table below, these consulting services constitute the largest share of Planning Phase expenditures. Existing CSED IT equipment will be used for the Planning Phase.

Please note that for purposes of this document, Guam Overhead for the APASi Upgrade Project is the sum of the rented space charges, supplies and materials, and telephone toll charges attributed solely to the Planning Phase for the Guam staff involved in the Project. System hardware and software and all overhead costs for the vendors will be contained in their loaded hourly rate.

Cost Category	FFY 2012	FFY 2013	FFY 2014	Total
Direct Personnel (Salaries and benefits for planning staff)	\$129,000	\$167,000	\$32,000	\$ 328,000
Contractor Services (Planning vendor and other possible private sector service providers)	\$624,000	\$1,480,000	\$126,000	\$2,230,000
Subtotal Direct Personnel & Contractor Services (Vendors)	\$753,000	\$1,647,000	\$158,000	\$2,558,000
System Hardware (Acquisitions for planning purposes contained in vendor loaded rate)	\$ 0	\$ 0		\$ 0
System Software (Acquisitions for planning purposes contained in vendor loaded rate)	\$ 0	\$ 0		\$ 0
Overhead (Space, Supplies & Materials, Equipment, and Telephone Toll directly to planning activities)	\$ 25,000	\$ 35,000	\$ 7,000	\$ 67,000
TOTALS	\$778,000	\$1,682,000	\$165,000	\$2,625,000

5.2 Planning Phase Cost Allocation

This section describes the existing Cost Allocation Plan for the Government of Guam. Guam does not anticipate the need to modify this plan for the Planning Phase of the APASI Upgrade Project, as the Phase will not involve significant changes in services outside the Office of the Attorney General of Guam. The relatively small amounts of time that staff of other agencies (such as the Department of Public Health) spend participating in the Planning Phase will either be absorbed by the agency or charged directly to CSED activity codes.

In following years, the amount allocated to the CSE program by indirect cost agencies will rise, due to the increase in CSED expenditures for Planning Phase activities. This, however, does not affect the cost allocation methodology and will constitute no change in Guam's Cost Allocation Plan.

5.2.1 COST ALLOCATION PLAN

With respect to the Office of the Attorney General's Child Support Enforcement Division, the Cost Allocation Plan and Indirect Cost Rate Proposal approved for Guam for FFY 2011 – 2012 describes how the costs of various agencies in the Department of Administration, Department of Public Works, and others are allocated to other agencies for whom they provide services. The allocating agencies and their services are described below:

Department of Administration

- Division of Accounts – is responsible for establishing and providing a uniform financial system and controls of organizational units of the government. Its major objective is to provide accurate and timely financial information for effective management in compliance with statutory mandates and requirements. To accomplish this objective, the Division provides services such as: a) systems management and technical support; b) payroll accounting and services; c) appropriation and encumbrance accounting; d) financial reporting; e) record management; f) accounts payable and receivable; g) cash management; h) fixed asset accounting; i) debt service management; j) bank reconciliation, and other accounting services.

- Federal Grants Accounting Division – is responsible for the transactions of various federal grants accounts within the government of Guam. Its major objectives is to establish and promote a uniform financial system and controls for organizational units of the government, as well as provide accurate and timely financial information for effective management in compliance with statutory mandates and requirements.

- Financial Management Division (Treasurer of Guam) – is responsible for receiving, depositing and investing revenues for the government of Guam. It is also responsible for the receipt of cash payments for government services and charges, and the issuance of checks. The Division's major objectives are to: 1) provide a centralized depository system for all funds received and paid on behalf of the Government of Guam; and 2) explore investment opportunities whenever revenues exceed current expenditure requirements to gain interest as an additional revenue income.

- Data Processing Division – is responsible for providing technical and consultation services on computer hardware and application software; design, develop and implement computerized information system for government of Guam departments and agencies. The Division's major objectives are to organize data processing resources to provide efficient and effective services to users and to administer effective and efficient information technology services and resources to the various departments and agencies.

- General Services Agency – is responsible for providing centralized procurement and warehouse activities for the Government of Guam. The Agency's major objective is to allocate limited resources to meet the demands of the Government of Guam departments and agencies by purchasing at the lowest cost possible and providing for the best economic use. The Agency is also responsible for: 1) the acquisition and distribution of Federal Surplus Personal Property donations; 2) the destruction, and/or disposal through public sales of Government of Guam Surplus Personal Property; and 3) the management of the government of Guam records, which include the transfer, receipt, retention and disposition of records.

- Human Resources Division – is responsible for administering an effective and efficient personnel management program for non-autonomous departments and agencies within the Executive Branch in the areas of recruitment, test development and validation, classification and compensation, employee records, employee management relations, and employee benefits and employee assistance. The Division also provides effective training related services to support the efforts to implement sound management and employee performance practices.

Department of Public Works

- Building Maintenance Division – is responsible for providing preventive maintenance services, repairs, modification, renovation, testing and general upkeep of public buildings and facilities with the exception of autonomous and semi-autonomous agencies and those exempted by law. The periodic inspection of government facilities and permanent interior equipment allows maintenance crews to uncover premature conditions that indicate the need for corrective action to prevent major equipment failure or complete facility operation shutdown that may result in costly repairs. The Division performs major construction work on government facilities in the fields of electrical, plumbing, carpentry and masonry.

Bureau of Budget and Management Research

- Budget and Management Division – provides guidelines on organizational methods, policy execution, financial management, and technical assistance to the various agencies and departments. The Bureau is tasked with improving the planning, programming and budgeting abilities of the government, through proper research and recommendation on all aspects of its operations. Additionally, it ensures that all internal accounting and control systems are operated in accordance with policies, procedures and laws. The Bureau also provided advisory guidance to the Governor on policy development, program coordination, planning and budgeting matters.

Civil Service Commission

- The Civil Service Commission is responsible to hear adverse action appeals on employees taken to suspend, demote or dismiss an employee from the classified service if such right to appeal to the Commission is established in the personnel rules governing the employee. The Commission also entertains grievance appeals pursuant to rules and regulations and investigates upon receipt of report on Political Activity involving an employee of the Government.

Retirement Fund

- The Government of Guam Retirement Fund was established in 1951 to provide annuities and other benefits to its members who complete a prescribed number of years in government service. It also provides benefits to the surviving spouse and minor children of deceased employees and retirees. As a result, employees can accumulate reserves for themselves and their families to meet, without prejudice or hardship, the hazards of old age, disability, death and termination of employment.

5.2.2 ALLOCATIONS TO THE CHILD SUPPORT ENFORCEMENT OFFICE

Cost allocation methods differ among the allocating agencies. These differences are shown in the following table, along with the measurement, percentage, and allocation to the Child Support Enforcement Office that have been approved for the current biennium.

Department of Administration Division of Accounts	Expenditures	Percent	Allocation
The Division of Accounts' allowable costs are allocated on the basis of total expenditures by department/agency.	\$4,497,417.65	0.61%	\$13,759.28
Department of Administration Federal Grants Accounting Division	Total Accounts Established	Percent	Allocation
The Federal Grants Accounting Division's allowable costs are allocated on the basis of the number of federal accounts established by department/agency.	4	1.24%	\$2,928.84
Department of Administration Financial Management Division (Treasurer of Guam)	Expenditures	Percent	Allocation
The allowable costs for the Treasurer's Office (Guam) are allocated on the basis of the total expenditures, by department/agency.	\$4,497,417.65	0.61%	\$4,558.22
Department of Administration Data Processing Division	Expenditures	Percent	Allocation
The Data Processing Division's allowable costs are allocated on the basis of total expenditures, by department/ agency.	\$4,497,417.65	0.61%	\$3,589.10

Department of Administration General Services Agency	Requisitions Processed	Percent	Allocation
The General Services Agency's allowable costs are allocated on the basis of the number of requisitions processed.	27	0.35%	\$3,141.52
Department of Administration Human Resources Division	Number of Employees	Percent	Allocation

The Human Resources Division's allowable costs are allocated on the basis of the number of employees by department/agency.	57	0.50%	\$9,266.85
Department of Public Works Building Maintenance Division	Total Sq. Footage	Percent	Allocation
The Building Maintenance Division's allowable costs are allocated on the basis of square feet of building area maintained by each department/agency.	0	0.00%	\$0.00
Bureau of Budget and Management Research Budget and Management Division	Number of Employees	Percent	Allocation
The Budget and Management Division's allowable costs are allocated on the basis of the number of employees by department/agency.	57	0.50%	\$6,575.00
Civil Service Commission	Number of Employees	Percent	Allocation
The Civil Service Commission's allowable costs are allocated on the basis of the number of employees per department/agency.	57	0.50%	\$3,344.84
Retirement Fund	Number of Contributing Members	Percent	Allocation
The Retirement Fund's allowable costs are allocated on the basis of the number of employees contributing to the fund by department agency.	57	0.53%	\$24,082.37

5.2.3 STATE FUNDING SOURCES FOR PLANNING

The OAG/CSED affirms the Guam Legislature's knowledge and approval of the approach and the associated costs for the upgrade of APASI. Guam will fund its share (34% of the total) of the APASI Upgrade Project from its General Fund, to be appropriated specifically to the Project by the Guam Legislature.

6.0 Total Project Cost Projections

Total costs for the entire APASI Upgrade Project, through Implementation, will vary dramatically, depending upon the solution chosen during the Planning Phase. Review of recent awards and experience in other states indicate that variation is considerable:

- Cost of making sufficient modifications to the current APASI to correct problems and modernize functionality might be accomplished for as little as \$5,000,000.
- Cost of a simple database and code migration from ADABAS® to a small server platform such as or Java® (or .NET®) could be between \$4,000,000 and \$10,000,000. Cost of system modifications on the new platform might double that estimate.
- Cost of a full system transfer might cost between \$40,000,000 and \$60,000,000, but could go much higher.
- Cost of a hybrid approach involving an existing framework solution customized to specific Program needs is uncertain but might range between \$15,000,000 and \$35,000,000.

For purposes of this document, we are using projections based on higher estimates, allowing for flexibility in the selection of the solution that is right for Guam. Guam will apply for Federal Financial Participation (FFP) at the 66 percent rate for the remainder of the Project implementation costs.

Amounts below include Guam and vendor costs beginning with the contract to produce this document and ending with full implementation of the new upgraded APASI.

Year	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	Total
Plan	\$111,000*	\$778,000	\$1,682,000	\$165,000	\$0		\$2,736,000
Implement	\$0	\$0	\$0	\$6,340,000	\$23,111,000	\$15,549,000	\$45,000,000
Total	\$111,000	\$778,000	\$1,682,000	\$6,505,000	\$23,111,000	\$15,549,000	\$47,736,000

*Cost of the PAPD/RFI development not included in the cost estimates in Section 5.1 Planning Phase Budget.

	Federal Share of Total	State Share of Total
Plan	\$1,804,000	\$929,000
Implement	\$29,700,000	\$15,300,000
Total	\$31,504,000	\$16,229,000

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CHAPTER VII

LEGAL SERVICES

PART I - OFFICE OF THE ATTORNEY GENERAL

Section 1. Legislative Intent. It is the intent of *I Liheslaturan Guåhan* that the Office of the Attorney General (OAG) *shall* expend the funds appropriated in accordance with the object class appropriation levels. *I Liheslaturan Guåhan* supports the efforts of the OAG to acquire the appropriate technology to replace its aging APASI system. The OAG *shall* expend up to Thirty-four Thousand Dollars (\$34,000) from the Miscellaneous Object Category (290) for the preliminary work related to the APASI system upgrade. The funds *shall* be used to produce the Planning Advance Planning Document (PAPD), which *shall* be submitted to the Speaker of *I Liheslaturan Guåhan* upon its completion. Along with the PAPD, the OAG *shall* submit to the Speaker of *I Liheslaturan Guåhan* a formal commitment letter from the respective grantor agency, pledging the total federal funds for the APASI system upgrade.

Section 2. Appropriation. The amounts below are appropriated and authorized from the General Fund to the OAG for its operations in Fiscal Year 2011, to include office rental and local matching fund requirements. This appropriation *shall* be expended in accordance with object class allocations outlined below.

PL 30-196