

APD Documentation Requirements

PAPD Documentation Requirements by Program					
Documents	FSP	FSP EBT	WIC	WIC SAM	WIC EBT
Transmittal Letter with Official Signature	X	X	X	X	X
Executive Summary	X	X	X	X	X
Resource Requirements	X	X	X	X	X
Schedule of Planning Activities, Milestones, and Deliverables	X	X	X	X	X
Proposed Budget	X	X	X	X	X
Cost Allocation Plan	X	X	X*	X*	X ¹

IAPD Documentation Requirements by Program					
Documents	FSP	FSP EBT	WIC	WIC SAM	WIC EBT
Transmittal Letter with Official Signature	X	X	X	X ²	X
Executive Summary	X	X	X	X	X
Feasibility Study/Alternatives Analysis	X	N/A	X	N/A ³	X
Cost-Benefit Analysis	X	N/A	X	N/A	X
Functional Requirements Documents	X	N/A	X	X	X
General Systems Design	X	N/A	X	N/A ⁴	X
Capacity Planning or Study	X	N/A	X	X	X
Project Management Plan and Resource Requirements	X	X	X	X	X
Schedule of Planning Activities, Milestones, and Deliverables	X	X	X	X	X
Proposed Budget	X	X	X	X	X
Cost Allocation Plan	X	X	X ⁵	X ⁶	X ⁷
Security Planning	X	X	X	X	X
Request for Waiver of Depreciation	X	X	X	X	X
Training Plan	X	X ⁸	X	X	X

Maintenance and Operations w/ Enhancements (M&O) IAPD Documentation Requirements by Program ⁹					
Documents	FSP	FSP EBT	WIC	WIC SAM	WIC EBT
Transmittal Letter with Official Signature	X	X	X	X	X
Description of hardware or software changes	X	X	X	X	X
Budget reflecting State and Federal costs by Federal FY & Quarter	X	X	X	X	X
Description of how these changes will benefit the Federal programs being served by the system.	X	X	X	X	X

Annual APDU Documentation Requirements by Program					
Documents	FSP	FSP EBT	WIC	WIC SAM	WIC EBT
Transmittal Letter with Official Signature	X	N/A	X	X	X
Project Status (including major accomplishments, challenges and resolutions, and outstanding issues)	X	N/A	X	X	X
Changes to the approved PAPD/IAPD	X	N/A	X	X	X
Revised Schedule of Activities, Milestones, and Deliverables	X	N/A	X	X	X
Revised Budget	X	N/A	X	X	X
Actual Expenditures to Date	X	N/A	X	X	X
Contractor Performance	X	N/A	X	X	X

APDU As-Needed Documentation Requirements by Program					
Documents	FSP	FSP EBT	WIC	WIC SAM	WIC EBT
Transmittal Letter with Official Signature	X	X	X	X	X
Project Status (including major accomplishments, challenges and resolutions, and outstanding issues)	X	X	X	X	X
Changes to the approved PAPD/IAPD	X	X	X	X	X
Revised Schedule of Activities, Milestones, and Deliverables	X	X	X	X	X
Revised Technical Approach (if applicable)	X	X	X	X	X
Revised Budget	X	X	X	X	X
Actual Expenditures to Date	X	N/A	X	X	X
Revised Project Mgt Plan and Resource Requirements (if applicable)	X	X	X	X	X
Revised Cost Allocation Plan (if applicable)	X	X	X	X	X
Contractor Performance	X	N/A	X	X	X
Training Plan (if applicable)	X	X	X	X	X

- 1 As applicable
- 2 Request for Funding regardless of source required for a WIC SAM system.
- 3 Alternatives Analysis is required to be submitted prior to the IAPD for WIC.
- 4 GSD will be available from SAM system being adopted.
- 5 As applicable
- 6 As applicable
- 7 As applicable
- 8 If applicable
- 9 Required if M&O includes high risk items or enhancements

PAPD Document Submission Thresholds

Stakeholder	Competitive Procurements Program/Funding Source				Non-Competitive Procurements Program/Funding Source		
	FSP	FSP EBT	WIC	WIC EBT	FSP	WIC	WIC EBT
State Agency prepares and submits PAPD 60 days before project initiation FNS reviews and approves PAPD within 60 days.	For All projects >\$5 million total project costs	For all projects requesting FFP for new technology	For all projects requesting Federal funding	For all projects requesting Federal funding	For all projects >\$1million total project costs	For all projects requesting Federal funding	For all projects requesting Federal funding

IAPD Document Submission Thresholds

Stakeholder	Competitive Program/Funding Source				Noncompetitive Program/Funding Source		
	FSP	FSP EBT	WIC	WIC EBT	FSP	WIC	WIC EBT
State agency prepares and submits IAPD 60 days before project initiation FNS reviews and approves IAPD within 60 days.	For all projects >\$5 million total project costs	For all projects requesting FFP	For all projects requesting funding ≥\$500,000 total costs	For all projects requesting funding	For all projects >\$1 million total project costs	For all projects requesting funding >\$100,000 total costs	For all projects requesting funding

Annual APDU Document Submission Thresholds

Stakeholder	Competitive Procurements Program/Funding Source				Non-Competitive Procurements Program/Funding Source		
	FSP	FSP EBT	WIC	WIC EBT	FSP	WIC	WIC EBT
State agency prepares and submits APDU within 90 days of anniversary of initial PAPD/ IAPD approval FNS reviews and approves APDU within 60 days.	For all approved PAPDs/ IAPDs	Only required on an as-needed basis	For all approved PAPDs/ IAPDs	For all approved PAPDs/ IAPDs	For all approved PAPDs/ IAPDs	For all approved PAPDs/ IAPDs	For all approved PAPDs/ IAPDs

APDU As Needed Document Submission Thresholds

Stakeholders	Cost Changes		Schedule Changes	
	FSP	WIC	FSP	WIC
State agency prepares and submits APDU as soon as change becomes known. FNS reviews and/or approves APDU within 60 days.	For any increase in total costs > \$1 million or 10%, whichever is higher	For all projects >\$100,000 total costs	> 120 days for major milestones	> 90 days for major milestones

Any significant change in procurement approach and/or scope, system concept and/or scope, or change in cost allocation methodology.

WIC IS and EBT Approval Thresholds

Acquisition Cost	Documents Required from State Agency
Not Applicable	PAPD required regardless of dollar threshold
<\$5,000	No Federal review needed
\$5,000 to \$99,999	Written notification to the RO within 60 days of expenditure or contract execution
>\$100,000 Non-Competitive Acquisition	Sole source justification submitted to FNS prior to acquisition
\$100,000 to \$499,000	Specific documentation required for FNS prior approval <ul style="list-style-type: none"> • Description of needs • Explanation of purchases • Budget • Cost allocation proposal¹⁰ • Procurement documents (e.g., RFPs and contracts)
≥\$500,000	State agency must submit an APD

RFP and Contract Document Submission Thresholds

Procurement Documents	Competitive Procurements Program/Funding Source				Noncompetitive Procurements Program/Funding Source		
RFP	FSP	FSP EBT	WIC	WIC EBT	FSP	WIC	WIC EBT
State agency prepares and submits RFP. FNS reviews and/or approves RFP within 60 days.	For all projects requesting FFP with total project costs > \$5M	For all projects requesting FFP	For all projects requesting Federal funding ≥\$100,000	For all projects requesting Federal funding	For all projects with total acquisition cost > \$1M	For all projects requesting Federal funding ≥\$100,000	For all projects requesting Federal funding
Contract	FSP	FSP EBT	WIC	WIC EBT	FSP	WIC	WIC EBT
State agency prepares and submits contract. FNS reviews and/or approves contract within 60 days.	For all projects requesting total FFP > \$5M	For all projects requesting FFP	For all projects requesting Federal funding ≥\$100,000	For all projects requesting Federal funding	For all projects with total acquisition cost > \$1M	For all projects requesting Federal funding ≥\$100,000	For all projects requesting Federal funding
Contract Amendment	FSP	FSP EBT	WIC	WIC EBT	FSP	WIC	WIC EBT
State agency prepares and submits contract amendment. FNS reviews and/or approves contract amendment within 60 days.	For any amendment ≥ 20% of base contract cost (cumulative)	For all projects requesting FFP	For any amendment ≥ 20% of base contract cost (cumulative)	For all projects requesting Federal funding	For all projects with total acquisition cost > \$1M	For all projects requesting Federal funding ≥\$100,000	For all projects requesting Federal funding

¹⁰ If any systems acquisition is to be used for non-WIC functions, a cost allocation proposal must be submitted.

Maintenance and Operations Decision Table

Maintenance and Operations Decision Table Examples

	IAPD Required	IAPD Not Required
Hardware	Replacement of mainframe and associated peripheral devices	Routine hardware replacement of routers, hubs, storage devices that does not affect type of platform
	Architecture change from client/server or distributed system to web-based	Routine PC replacement (usually planned in advance on a cycle replacing a percentage of PCs on an annual basis)
	Increased storage and/or processor capacity to meet increased caseload requirements.	Upgrade of peripheral devices such as printers or scanners
		Procurement for leased hardware and peripherals needs to be rebid
Software	Software enhancement adds new functionality to the existing certification/eligibility or issuance system	Routine software maintenance, including fixes, patches, and upgrades that do not introduce additional functional capabilities to the system
	Implementation of Enterprise Architecture	Routine software license renewals
		Routine support activities that normally include corrective, adaptive, and perfective changes, <u>without introducing additional functional capabilities</u>
Services	Consultant services are required to develop and implement software upgrades to an existing system that adds new functionality to the system	Contract for routine maintenance and operations services is due to expire, needs to be rebid; SOW does not include any enhancements or upgrades to software that will add functionality to the system