



**USAID**  
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ADS Chapter 300  
Agency  
Acquisition and Assistance (A&A)  
Planning

Partial Revision Date: 03/14/2016  
Responsible Office: M/OAA & M/MPBP  
File Name: 300\_031416

**Functional Series 300 – Acquisition and Assistance**  
**ADS 300- Agency Acquisition and Assistance (A&A) Planning**  
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## ADS 300 – Agency Acquisition and Assistance (A&A) Planning

### 300.1 OVERVIEW

Effective Date: 04/02/2013

This chapter provides the Agency’s policy directives, required procedures, and internal guidance for the planning of USAID direct Acquisition and Assistance (A&A) activities. This chapter applies to all actions awarded and administered by USAID Contracting Officers (COs) and Agreement Officers (AOs) from all funding sources (program, operating expense, etc.)

Federal and Agency regulations, including the [Federal Acquisition Regulation \(FAR\) \(Part 7.102\)](#) and [ADS 201, Planning](#), require advance planning for Agency A&A awards. In particular for acquisition, the FAR requires all U.S. government agencies to perform acquisition planning and conduct market research to ensure that the government meets its needs in the most effective, economical, and timely manner possible. Similar planning for assistance is also essential. The Agency A&A Plan is USAID’s business system for A&A planning.

The A&A strategy developed for the Project Appraisal Document (PAD), required by [ADS 201](#), will contribute to the A&A planning and documentation process defined in this ADS chapter. The PAD documents the project design process for Agency development programs and is completed (where applicable) before A&A planning (i.e. before the action is entered into the Agency A&A Plan or any necessary individual acquisition/assistance plan is drafted). The PAD must contain an implementation plan for the overall project that includes an A&A strategy with the mix of implementing mechanisms contemplated during the life of the project, including all actions awarded by USAID COs and AOs. When there is sufficient detail available for the CO or AO to make a determination on the choice of instrument (acquisition or assistance), the PAD must include a description and justification for the determination.

### 300.2 PRIMARY RESPONSIBILITIES

Effective Date: 03/14/2016

- a. The **Administrator** will provide approval to issue solicitations and to proceed (“go/no-go”) with proposed awards at or above \$75 million in total estimated cost/total estimated amount.
- b. The cognizant **Assistant Administrators** will validate that new planned solicitations with a total estimated cost/total estimated amount of \$25 million, but less than \$75 million, fulfill qualifying criteria and approve the issuance of solicitations; approve pre-award certifications prior to award; and provide clearance for all solicitations and awards at or above \$75 million prior to the Administrator’s review. Assistant Administrators may delegate responsibility for approving solicitations and pre-award certifications for proposed solicitations

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and awards of \$25 million, but less than \$75 million, to cognizant Mission Directors on a case-by-case basis.

c. If delegated by the Assistant Administrators, cognizant **Mission Directors** will validate that selected new planned solicitations with a total estimated cost/total estimated amount of \$25 million, but less than \$75 million, fulfill qualifying criteria and approve the issuance of solicitations; approve pre-award certifications prior to the awards; and provide clearance for all solicitations and awards at or above \$75 million prior to the Assistant Administrator and Administrator's review.

d. The **Bureau for Management, Office of Acquisition and Assistance (M/OAA)** and the **Bureau for Management, Office of Management Policy, Budget, and Performance (M/MPBP)** administer the Agency Acquisition and Assistance (A&A) Plan. The **Bureau for Management, Office of Management Policy, Budget, and Performance, Policy Division (M/MPBP/POL)** serves as Secretariat for the acquisition and assistance review and approval process for solicitations and awards at or above \$25 million in total estimated cost/total estimated amount, providing quality control and tracking of timelines and impact on procurement action lead time.

e. **Operating Units (OUs) – Missions and Bureau/Independent Offices (B/IOs)** – in consultations with the Contracting/Agreement Officers (where appropriate) are responsible for:

- Acquisition and Assistance planning, including conducting market research;
- Identifying Planners for particular procurement (see section **300.2.f**);
- Preparing, submitting, and updating their A&A Plan via the Agency A&A Plan system;
- Completing pre-award requirements, e.g., preparing a written individual acquisition and/or assistance plan, if necessary; and
- Identifying a Planner to receive and facilitate the review and approval of **Acquisition and Assistance Review and Approval Documents (AARAD) for Pre-Solicitation** and Pre-Award Certification Memoranda.

f. Where required, the **Planner** is the designated person responsible for developing and maintaining any necessary, written Individual Acquisition Plan (IAP), or for the planning function in those acquisitions (**FAR 7.101**) or assistance actions not requiring a written individual assistance plan. The Planner will also develop the **Acquisition and Assistance Review and**

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**Approval Documents (AARAD) for Pre-Solicitation**, where applicable. This individual may be, at the discretion of Operating Units, the same person who enters operating unit data into the Agency A&A Plan system and/or who is responsible for A&A planning for the overall operating unit. The Planner may be the Project Design Team Leader or Project Manager, or his or her designee (**ADS 201**), such as the intended Contracting Officer/Agreement Officer Representative (COR/AOR), who will work with the CO/AO in carrying out the planning function. OUs must ensure that a Planner is identified for a particular procurement. Though OUs have the discretion to determine the appropriate individual based on the organizational structure and functions of the unit, the Planner must be an individual with sufficient authority in the OU to ensure that planning complies with this chapter, FAR acquisition planning requirements, and OMB/OFPP Policy Letter 11-01 Performance of Inherently Governmental and Critical Functions.

**g. Contracting Officers (COs) and Agreement Officers (AOs):**

- Review the data in the Agency A&A Plan, consult with their respective technical offices and program offices, as necessary, and concur with the plan;
- Work with Planners to ensure that Individual Acquisition Plans comply with statutory and regulatory requirements and demonstrate sound business judgment and sign the IAPs;
- Obtain the concurrence of the Office of Small and Disadvantaged Business on the acquisition strategy for contracts awarded in USAID/Washington at or above \$25,000; and
- Work with respective technical offices to establish milestone schedules for actions in the A&A Plan and ensure that the milestone schedules/plans are entered into the Global Acquisition and Assistance System (GLAAS).

**h. The Contract Review Board (CRB)** reviews solicitation and award documents for proposed contracts at or above \$25 million as outlined in **ADS 302, USAID Direct Contracting**.

**i. The Office of the Executive Secretary** will facilitate the Administrator's review of the **Acquisition and Assistance Review and Approval Documents (AARAD) for Pre-Solicitation** and pre-award certification memoranda; schedule review meetings with the Administrator; and issue follow-up actions, as appropriate.

**j. The Office of Small and Disadvantaged Business Utilization (OSDBU)** monitors the Agency A&A Plan for small business involvement,

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reviews requirements for potential small business opportunities, and provides concurrence for all contracts awarded in Washington at or above \$25,000.

### 300.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

#### 300.3.1 Agency Acquisition and Assistance Plan and Review System Effective Date: 03/14/2016

USAID has developed a system for advanced Acquisition and Assistance planning, the Agency A&A Plan, which can be accessed via the Agency Intranet Web site at: <http://aaplan.usaid.gov/>. Please note: Users must register in order to gain access to the system. Information regarding the A&A Plan and the user access instructions can be found at: <https://pages.usaid.gov/M/aa-plan>. Once registered, users may access the A&A Plan system in one of three ways: 1) Click the A&A Plan icon in the Corporate Applications Folder on your desktop; 2) Click on the A&A Plan icon in your My.USAID.Gov Apps Folder; or 3) Access the direct URL at: <http://aaplan.usaid.gov>.

**A&A PLAN**  
VERSION 1.0

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**Welcome to the Acquisition and Assistance Plan System**

Plan Dashboard Reports Help

**System and Policy Announcements**

Administer Announcements

**Update Data for Q3**

**Update Planning Data for Q3 and Update Complex Awards (\$25M or Greater Info).** FY2015 Q3 A&A Plan snapshot is due on April 15, 2015. Ensure your OU's data is updated and the following fields for your new complex award actions (with an estimated TEC range value of \$25M or greater) are current: "Anticipated Solicitation Release Date," "Anticipated Award Date", "Award Description", and all of the fields on the "AARAD Info" tab. This will be the central focus of the Q3 AA level meetings so your attention to the fields mentioned is critical.

**Expiring Funds**

Operating Units are encouraged to ensure **expiring funds are committed by March 29, 2015.**

**Update Planning Data for Q2**

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**Purpose:**

This system captures planned A&A actions from all Operating Units (Bureaus, Independent Offices, and Missions). The Agency A&A Plan:

- Functions as a management tool for operating units,
- Helps to ensure that USAID funds are obligated in a timely manner,
- Provides an overview of planned A&A activities for senior managers,
- Supports the achievement of USAID Forward goals, and
- Enables technical offices, **in coordination with program offices**, and Contracting/Agreement Officers/**A&A Specialists (hereafter referred to as CO/AOs)** to gain a better understanding of their portfolios and to plan their workloads more efficiently throughout the fiscal year.

**Required:**

**The Requesting** Operating Unit - including Bureaus, Independent Offices, and Missions - is required to do the following:

- **Develop** an A&A Plan in the Agency system in consultation with their **cognizant CO/AO**.
- **Enter, into the Agency system**, all planned actions \$150,000 and above from all funding sources (operating expense, program, etc.) that must be executed by a CO/AO during a fiscal year and beyond, including:
  - Contracts;
  - Grants;
  - Cooperative Agreements;
  - Task orders (including orders against Federal Supply Schedules, government-wide acquisition contracts, and multiagency contracts);
  - U.S. Personal Services Contracts;
  - Incremental Funding;
  - Award Extensions;
  - Increases in award **Total Estimated Cost/Total Estimated Amount**;
  - Interagency Agreements; and
  - All other implementing *mechanisms* **or modifications** awarded by a CO/AO that obligate USAID funds for the procurement of goods and services.

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- Update the plan on a continual basis throughout the fiscal year. The Agency A&A Plan provides a snapshot of each OU's – and the overall Agency's – A&A activities at any given time.

If an action meets the elements above, the OU must enter the action in the Agency A&A Plan and Business Forecast (as applicable, see **300.3.7**) prior to award, except as otherwise indicated in this ADS chapter. COs/AOs must confirm that an action is in the A&A Plan before signing the award. The CO/AO must notify the requesting office of this requirement if a pending award is not in the plan. The CO/AO may decline to execute the action until it is added to the requesting office's A&A Plan.

Actions in the A&A Plan that have not been marked as "awarded" in the Action Status field at the end of the fiscal year will automatically carry forward to the next fiscal year A&A Plan. These actions can be modified by users in the next fiscal year A&A Plan to update the status and other relevant data fields.

#### **Optional:**

Operating Units may, at their discretion, also include the following types of planned actions in their A&A Plan each fiscal year:

- Awards between \$25,000 and \$150,000,
- Administrative actions signed by a CO/AO, and
- Actions that are not executed by a CO/AO.

#### **Field Support:**

Missions and Operating Units (OUs) electing to use Regional and Pillar Bureau-managed contracts, agreements, and grants in Washington with field support funding or sub-obligation funding are not required to include these actions in their A&A Plans. Plan entries for these instruments, including field support and sub-obligations planned by other OUs, are prepared and maintained by the Washington offices managing these awards.

Access to Regional Bureau-managed A&A instruments must be coordinated directly with the respective Regional Bureau Agreement Officer/Contracting Officer Representatives for the instruments. Access to Pillar Bureau-managed A&A instruments must be coordinated through the Agency Field Support System. Planning with the Washington OUs should be done as soon as Operational Year Budgets (OYB) are set and Operational Plans (OP) are submitted.

#### **CO/AO Role for A&A Plan Maintenance and Oversight:**

The CO/AO, in coordination with M/OAA colleagues, is required to do the following:

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- Review data entered into the A&A Plan system on an ongoing basis to ensure that the information and planned dates are accurate;
- Consult with their respective technical offices and program offices;
- Confirm that actions listed can be awarded by the dates indicated;
- Make any needed changes directly in the Agency A&A Plan;
- Communicate with technical office and program office colleagues regarding any changes made within the Agency A&A Plan;
- Provide concurrence with the A&A Plan on an ongoing basis, and before all deadlines referenced in 300.3.2; and
- Confirm required actions are in the A&A Plan before signature.

**Requesting Office Role for A&A Plan Maintenance and Oversight:**

The requesting technical office, in coordination with the program office and the CO/AO, is required to do the following:

- Plan actions in a timely manner and ensure that accurate and complete data is entered into the Agency A&A Plan as indicated in 300.3.2, and
- Ensure all required actions are included in the OU's A&A Plan.

**300.3.2 Agency A&A Yearly Planning Schedule**

Effective Date: 03/14/2016

M/MPBP will take a snapshot of the data in accordance with the planning schedule below. The data will be shared with Agency senior management and will be used for analytical, planning, and management purposes. The date will also be used to generate the Agency's quarterly Business Forecast.

Action	Bureau/Office	Due Date
Snapshot of A&A Plan – Initial	M/MPBP	October 31
Snapshot of A&A Plan – Quarter 1	M/MPBP	January 1
Snapshot of A&A Plan – Quarter 2	M/MPBP	April 1
Commitment of Expiring Funds Completed	Operating Units	NLT March 29
Snapshot of A&A Plan – Quarter 3	M/MPBP	July 1
Expiring funds designated for field support planned and authorized in	Mission Operating Units and	NLT May 30

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Action	Bureau/Office	Due Date
field support database	Regional Bureau Program Offices	
Field support sub-obligations authorized in field support database	Mission Operating Units	NLT June 30
A&A Plan FY closing date	All Operating Units	Third Monday in July
Obligation of expiring funds	COs/AOs	NLT July 15
Field support New Obligation Authority (NOA) funds authorized in the field support database	Regional Bureau Program Offices (based on input from Mission Operating Units)	NLT July 31
End of fiscal year		September 30
Snapshot of A&A Plan – Quarter 4	M/MPBP	October 5

*\*The above dates are for each fiscal year.*

### **300.3.3 Agency A&A Plan Annual Fiscal Year Closing Date**

Effective Date: 03/14/2016

The Agency Acquisition and Assistance Plan closes on the third Monday in July of each fiscal year. Actions that are added to the Agency A&A Plan after the closing date will be treated with a lower priority than any actions that are already on the plan or may lead to adjustments in the plan to accommodate the new action.

The closing date helps ensure that the CO/AO concurs that actions listed in the plan meet the appropriate procurement action lead time (PALT) for the particular type of action and will be awarded by the date included in the milestone schedule (see **300.3.5**) and entered in the Agency A&A Plan.

In addition, any expiring funds associated with actions submitted after the closing date will be subject to reallocation to other funding requirements. The closing date does not apply to increases in funding amounts for those awards already listed in the Plan and not yet awarded.

Expiring funds designated for Field Support to **Pillar Bureau** awards must be planned and authorized in the Field Support system no later than May 30 of each year. The funds will not be accepted in the field support database after this date.

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### 300.3.4 Senior Management Review of Planned A&A Awards

Effective Date: 09/30/2014

The Administrator created a review process for planned awards with a total estimated cost/total estimated amount of \$25 million or more to increase senior management engagement and accountability in A&A. The review process ensures that the planned awards fulfill qualifying criteria; contributes to more rigorous project design and costing standards; and establishes greater linkages between Washington and field activities. The Agency uses the [Acquisition and Assistance Review and Approval Documents \(AARAD\) for Pre-Solicitation](#) as a part of the review process at the solicitation stage. It serves to inform leadership of high value awards prior to the issuance of solicitations. It provides senior leaders oversight on the use of mechanisms and partner capacity in order to help ensure that the Agency is using innovative approaches to provide long-term sustainable outcomes.

At the pre-solicitation stage, the responsible Assistant Administrator (AA) must ensure that new planned solicitations with a total estimated cost/total estimated amount of \$25 million, but less than \$75 million, fulfill qualifying criteria and approve the issuance of solicitations. Regional AAs may delegate approvals to cognizant Mission Directors on a case-by-case basis. Regional Bureau AAs will identify the specific solicitations for review by Mission Directors and email the list to [aarad@usaid.gov](mailto:aarad@usaid.gov) in the first quarter of the fiscal year. Any updates to the plan must also be emailed to [aarad@usaid.gov](mailto:aarad@usaid.gov). The status of solicitations that fall within the review threshold, including those delegated to Mission Directors, will be discussed in the quarterly A&A Plan meetings. The AA may also approve solicitations for select awards below \$25 million, but an AARAD is not required below \$25 million. At the pre-award stage, the AA (or Mission Director if the pre-solicitation review was delegated) will confirm that the proposed awards at or above \$25 million, but less than \$75 million, address any issues identified in the pre-solicitation review.

For proposed awards at or above \$75 million, the Administrator must approve the issuance of solicitations and provide a final authorization to proceed (“go/no-go”) with the award. The Administrator may also approve solicitations for select awards below \$75 million. Operating Units must use the [Acquisition and Assistance Review and Approval Documents \(AARAD\) for Pre-Solicitation](#) to document the required approvals at the solicitation stage.

The qualifying criteria for new planned solicitations at or above \$25 million are as follows:

1. **Policy Relevance:** The activity is consistent with the Country Development Cooperation Strategy (CDCS), the sector strategy, U.S. policy, and Agency priorities.

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2. **Commitment to Sustainable Results**: The activity reflects a clear commitment to effective programs designed to deliver results that can be sustained beyond the U.S. engagement.
3. **Feasibility**: The situation on the ground is conducive to the success of the activity (if applicable).
4. **Value for Money**: The overall funding is consistent with the Agency's objectives and priorities (in-country, if applicable) and the projected funding level is commensurate with the expected results to be achieved.

**Note:** In the Independent Government Cost Estimate (IGCE), the activity manager confirms that anticipated support costs are as low a percentage of total costs as possible and that local costs are as high a percentage of total costs as possible.

5. **Internal Clearance**: The regional bureau AA (or Mission Director if delegated) has received no objection from the pillar bureau program office AA and vice versa, if applicable.

The senior management review process applies to acquisition and assistance solicitations and awards signed by an M/OAA backstop CO/AO, including contracts, grants, cooperative agreements, leader with associate awards, associate awards, indefinite delivery- indefinite quantity (IDIQ) contracts and task orders issued under IDIQs, awards to public international organizations (PIOs), interagency agreements and Food for Peace non-emergency awards. Humanitarian assistance and transition initiatives solicitations and planned awards are exempted. Bureaus will consider the criteria when planning awards signed within the bureau or mission by AAs or mission directors (e.g., government-to-government agreements (G2G), awards to PIOs and bilateral development partners and Interagency Agreements), but these awards will not be included in this review process at this time.

The AARAD is not required in instances where a Justification to Restrict Eligibility (JRE) or a Justification and Approval for Other Than Full and Open Competition (J&A) signed by the Assistant Administrator or Administrator documents how the proposed award addresses the qualifying criteria.

#### **300.3.4.1 Pre-Solicitation Review and Approval** Effective Date: 03/14/2016

##### **a. Pre-Solicitation AARAD**

The responsible Planner must initiate the [Acquisition and Assistance Review and Approval Documents \(AARAD\) for Pre-Solicitation](#) for planned new solicitations at or above \$25 million in total estimated cost/total estimated

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amount that are subject to the review process. In the AARAD, the Planner must provide a description of how the activity will satisfy each qualifying criterion. Specific criteria may not be relevant in every case, but the Planner must address the criteria to the extent possible in the respective sections of the AARAD. The Planner may attach key elements of the Request for Proposal/Notice of Funding Opportunity for the AA's consideration after an initial review by the CO/AO (e.g., the statement of work/program description, evaluation or selection criteria and independent government cost estimate). The bureau may seek additional documentation, (e.g., the Project Appraisal Document and Individual Acquisition Plan) and will ultimately determine the required documentation for the AA's review. If the AA delegates the review of the solicitation, the Mission Director will approve the AARAD and forward a copy to the AA. Once approved, the Planner will forward the AARAD to the CO/AO who will proceed with the solicitation.

The Planner must first obtain clearances, including the Mission Director/Head of the Operating Unit, and then forward the completed AARAD and supporting documentation to the designated bureau point of contact (POC) for all AARADs the AA will review, with a copy to [aarad@usaid.gov](mailto:aarad@usaid.gov). In order to streamline the review process, each bureau should require no more than four clearances within the bureau prior to the AAs clearance (e.g., Country Desk Officer, Technical Officer who participated in the design process, Program Office, and Deputy Assistant Administrator).

The POC will forward the AARAD to the responsible AA for clearance or approval (depending on the estimated value of the proposed award). Regional bureau AAs will serve as the approving or clearing officials for award solicitations initiated in their respective bureaus in USAID/Washington or overseas Missions falling under their oversight. Pillar bureau AAs will clear or approve USAID/Washington award solicitations that the bureaus initiate. Where applicable, the regional bureau AA will obtain concurrence from the pillar bureau AA. The pillar bureau AA will obtain concurrence from the regional AA when the bureau implements the activity in a country or within one region. There should be no more than one clearance for the pillar or regional bureau in these instances. Operating Units are encouraged to engage with pillar and regional bureau staff during project design to ensure that key issues are addressed prior to drafting the solicitation.

The responsible AA will have 10 calendar days from the day after receipt of the AARAD to raise substantive issues or provide approval or clearance. Upon forwarding the AARAD to the responsible AA, the bureau POC must email [aarad@usaid.gov](mailto:aarad@usaid.gov), with a copy to the Planner, regarding initiation of this 10 day review period. If the responsible AA does not respond within the 10 calendar days, the Planner must note on the AARAD that the 10 calendar days have lapsed and proceed to the next stage of the AARAD approval process as described below. If the AA raises substantive issues, the clock will stop until the

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issues have been resolved. The Planner must maintain documentation of when the AARAD was sent to the responsible AA and the Office of the Executive Secretary (if applicable) for approval.

After the AA has signed the AARAD (or 10 days have lapsed), the Planner will proceed to the next stage of the approval process. For most proposed awards under \$75 million, the Planner will forward the AARAD to the CO/AO who will proceed with the solicitation. If the AARAD is for a proposed solicitation of \$75 million and above, or is identified for review by a pre-solicitation review panel chaired by the Administrator, the Planner must forward the AARAD to the Office of the Executive Secretary for scheduling of the review meeting. The Planner must also send a copy of the AARAD to [aarad@usaid.gov](mailto:aarad@usaid.gov) (see also Pre-Solicitation Review Panel below).

The Administrator will have seven calendar days from receipt of the approval package to authorize the solicitation or raise substantive issues. To facilitate the Administrator's review, a pre-solicitation review panel will be convened during this seven day time frame. If the Administrator or review panel raises substantive issues, the clock will stop until the issues have been resolved. The clock will also stop if there is a scheduling conflict due to the Administrator's schedule or the schedule of the submitting bureau. The Planner should submit only the AARAD for the Administrator's review. The Planner should not submit supporting documentation (e.g., PAD and IAP) unless specifically requested.

Processing the pre-solicitation AARAD does not require a full draft solicitation. Operating Units are encouraged to proceed early in the planning process once a draft statement of work or program description, evaluation **or selection** criteria, and government cost estimate are furnished to the CO/AO. The CO/AO will not issue a solicitation or make available any final requirements document without the signature of the responsible AA (the MD, if deferred by the AA) or the Administrator on the AARAD or written notification from the Planner that the timeframe for approval has lapsed. The Procurement Action Lead Time does not begin until the CO/AO receives the approved AARAD or the notification from the Planner that the approval timeframe has lapsed, along with other required documentation as outlined in **300.3.5**. COR/AOR and CO/AO must retain a copy of the pre-solicitation AARAD in their files.

#### **b. Pre-Solicitation Review Panel**

The Administrator will conduct a review meeting to discuss all pre-solicitation AARADs with a total estimated cost/total estimated amount at or above \$75 million. The Office of the Executive Secretary will schedule a meeting with a review panel chaired by the Administrator upon receipt of a pre-solicitation AARAD cleared by the responsible AA or notification that the timeframe for clearance has lapsed. The panel will include the AA for Management, the Senior Procurement Executive, the Director of the Office of Small and

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Disadvantage Business, and representatives from the Office of Legislative and Public Affairs, the Office of General Counsel, and the Office of the Executive Secretary. The responsible AA, Mission Director (if applicable) and other staff deemed appropriate by the bureau will also attend.

The AARAD must also address the questions listed below, and bureau representatives should be prepared to discuss them at the review meeting.

1. What will the planned award accomplish? Provide tangible, illustrative examples of countries, program descriptions, types of partners, etc. If a follow-on award, what did the Agency learn from the previous award? How will the new award demonstrate significant advances over the previous award? What lessons learned are incorporated from impact evaluations?
2. What is the problem the planned award addresses and the projected end result? For example, if the problem is student dropout rates over 30 percent, explain how the proposed award is going to reduce it and by how much. If the program includes technical assistance, address why the technical assistance is needed and explain what tangible results it provides.
3. What is the reporting and communication strategy? How will the Operating Unit communicate purpose, approach, expected outcomes, and achievements once the award is made?
4. How are data transparency and open data incorporated into the proposed award? The Planner should coordinate with the CO/AO to ensure that language will be included that allows USAID to access all data sets gathered under the proposed award.
5. How will the proposed award leverage science, technology, and innovation? If needed, consult with USAID's Chief Scientist for advice and counsel on scientific, technological and engineering innovations, applications, and best practices.
6. How is knowledge management incorporated into the award? Explain the strategy for presenting data, lessons learned, and related information on external USAID platforms.
7. What is the branding and marking plan for the proposed award? Ensure that the branding is consistent with USAID branding guidelines and [ADS 320, Branding and Marking](#).
8. What opportunities will the proposed award present for U.S.-based small and disadvantaged businesses? If needed, consult with the Office

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of Small and Disadvantaged Business Utilization for advice on how to incorporate such businesses as prime or sub-contractors.

Responsible AAs (and Mission Directors, if delegated) must ensure that these questions are considered prior to approval of the pre-solicitation AARAD for proposed awards below \$75 million.

At the Administrator's discretion, certain planned solicitations with a proposed value below \$75 million may be subject to a review meeting chaired by the Administrator. This may include high profile Presidential initiatives and activities of specific interest, e.g., activities in countries that the Administrator is scheduled to visit. If a particular award below \$75 million will be considered by the pre-solicitation review panel, the Office of the Executive Secretary will inform the responsible bureau within the 10 day timeframe provided for the AA's review.

Ideally, the Administrator and the pre-solicitation review panel will identify any action items by the end of the briefing. If follow-up is needed, the Office of the Executive Secretary will send a tasker through the responsible AA.

### **300.3.4.2 Pre-Award Review and Authorization**

Effective Date: 03/14/2016

#### **a. Pre-Award Certification**

Where the Administrator reviewed an AARAD at the pre-solicitation stage, the Administrator will also provide the final authorization to proceed ("go/no-go") with the award. The Technical Evaluation/**Selection** Committee (TEC/**SC**) chair will prepare an action memorandum to the Administrator certifying that issues raised in the pre-solicitation AARAD review meeting have been addressed; partner capacity has been demonstrated (without disclosing the name of the potential partner); and the intended goals/impacts to be achieved remain feasible. The pre-solicitation AARAD must be included as an attachment to this memorandum. The TEC/SC chair must exclude the name of the potential awardee and any information that may identify the potential awardee from any documentation provided for the pre-award review.

While the pre-award documentation is being prepared, the TEC/SC chair must concurrently obtain required clearances, including the Mission Director/Head of the Operating Unit, and forward the action memorandum to the designated bureau POC, with a copy to [aarad@usaid.gov](mailto:aarad@usaid.gov). In order to streamline the review process, each bureau should require no more than four clearances prior to the AAs clearance, e.g., Country Desk Officer, Technical Officer who participated in the design process, Program Office, and DAA.

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The POC will forward the pre-award certification memorandum to the responsible AA for clearance and indicate whether moving forward with the award is recommended. The responsible AA will obtain **the concurrence** of the pillar/regional **AA**, where applicable. There should be no more than one clearance for the pillar or regional bureau in these instances.

The responsible AA will have 10 calendar days to clear the action memorandum or raise questions, after which time the document will be forwarded to the Administrator for a final authorization to proceed with the award. The POC must also send a copy to [aarad@usaid.gov](mailto:aarad@usaid.gov). The Administrator will have seven calendar days to authorize the award or raise concerns after which time the CO/AO can proceed with the award. If the AA or Administrator raises substantive issues the clock will stop until the issues have been resolved. The TEC/SC chair must maintain documentation of when the request was forwarded to the AA and the Administrator in order to determine that the seven days have lapsed.

The AA and the Administrator must provide a written justification if moving forward to award is not recommended or authorized. The TEC/SC chair must provide the action memorandum with the Administrator's authorization or a copy of the action memorandum with a notation that the seven calendar days have lapsed to the CO/AO for final action on the award. The TEC/SC chair must also attach the approved action memorandum to the pre-award package when submitted to the CRB for final review before award. The COR/AOR and CO/AO must retain a copy of the approved action memorandum in their files.

Awards below \$75 million that were not reviewed by the Administrator at the pre-solicitation stage will be reviewed by the AA (or the Mission Director, if the pre-solicitation review was delegated) through the pre-award certification memoranda to confirm that the findings from the pre-solicitation review were addressed.

Any proposed award within the AARAD review thresholds that did not have an AARAD review and approval at the pre-solicitation stage, are required to have a full AARAD review and approval at the pre-award stage.

**b. Pre-Award Review Meeting**

At the Administrator's discretion, a review meeting may be conducted to discuss the pre-award certification. Generally, these meetings will involve fewer participants than the pre-solicitation review meeting. The responsible AA must be prepared to provide a status report on any actions from the pre-solicitation meeting.

**300.3.5 Procurement Action Lead Time (PALT)**  
Effective Date: 03/16/2016

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When planning Acquisition and Assistance actions, it is important to understand the time it takes to process them. Contracting/Agreement Officers and technical offices must work together to establish realistic milestone schedules for all actions on the Agency A&A Plan and tailor them to fit the individual action. These schedules are an important accounting of the individual milestone events for actions to ensure timely awards. When developing the milestone schedule, the technical office and CO/AOs must consider the competitive nature of the action.

The program and technical offices must include their CO/AO in the design stage of their actions. The program and technical offices must also submit draft documentation with all applicable timeframes (for example, when the activity/project will be approved, when the statement of work (SOW), including evaluation or selection criteria, instructions to offerors/applicants and an independent government cost estimate, will be provided) to the CO/AO, as early as possible in the planning process. The CO/AOs, in turn, will work with the cognizant project/technical staff on the dates that the CO/AO must enter for the solicitation through the award phase.

The timeframes related to these pre-solicitation items, as activity/project approval and senior leadership AARAD reviews, will be projected and recorded as part of the Global Acquisition and Assistance Milestones. The dates agreed to by the technical and program offices with their CO/AO on these items are considered pre-solicitation planning activities; also referred to as Pre-PALT dates. These Pre-PALT dates will also be tracked and monitored milestones, and be part of the Milestone Plan.

Milestone schedules/plans are required for new awards in the Global Acquisition and Assistance System. CO/AOs must ensure that milestone schedules/plans are entered into GLAAS properly. Negotiators must select the appropriate Milestone Plan Template for the type of award they will create. They must choose from one of the standard Milestone Plan templates in GLAAS that were created and approved by M/OAA and must not create a custom template. After selecting the Start Date of the Milestone Plan, negotiators must link the Milestone Plan to the Requisition and baseline the Milestone Plan. As each step is completed, the negotiator must enter the Actual Dates for that particular step so the PALT can be calculated accurately.

The estimated typical timeframes or PALTs for COs/AOs to award select actions are provided below. All timeframes are stated in calendar days. The PALT begins when the CO/AO has received and accepted a complete GLAAS request for an action that was entered in the Agency A&A Plan and Review system. A complete GLAAS request for a new action must include, but is not limited to, the following:

*Text highlighted in yellow indicates that the material is new or substantively revised.*

- Approved Project Appraisal Document (PAD) where required, including required analyses and annexes ([ADS 201.3.12.4](#)) or equivalent documents (may be provided outside the GLAAS request attachments);
- The justification memo to the CO/AO recommending the choice of instrument if the instrument was not determined in the PAD or if an amendment to the PAD is necessary (see [ADS 304.3.5](#));
- Statement of work, statement of objectives for acquisition, a program description for assistance, or performance based statement for Section C of the solicitation **or Notice of Funding Opportunity**;
- Solicitation language designating indicators which the implementing partner will be required to collect and report for Section F of the solicitation. These indicators should be derived from the Project Monitoring and Evaluation Plan, an annex to the PAD;
- Independent government cost estimate;
- Proposal submission instructions to the offeror or applicant;
- Technical evaluation **or selection** criteria (for a competitive action) to be used by the Technical Evaluation/**Selection** Committee;
- For acquisitions, a branding strategy;
- Additional or deferred assessments following the Initial Environmental Examination (IEE) required in the PAD, such as an Environmental Impact Assessment (per [ADS 201.3.13.2](#));
- For acquisitions, documentation that procurements above the simplified acquisition threshold will comply with the requirements of the Officer of Federal Procurement Policy Letter 11-01, and the Performance of Inherently Governmental and Critical Functions using the A&A Template on Inherently Governmental and Critical Functions;
- Written Individual Acquisition Plan, if required;
- Market research documentation;
- Any other documents needed for special clearances, e.g., source nationality/ waivers, restricted commodities, limited competition or **restricted eligibility, NSDD-38**, and any others if not included in the PAD; and

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- For new planned awards at or above \$25 million that are subject to the senior management review process, an approved [Acquisition and Assistance Review and Approval Documents \(AARAD\) for Pre-Solicitation](#), or notification from the Planner that the timeframe for approval has lapsed.
- M/CIO clearance is needed for acquisition of information technology (IT) or requirements with an IT component for Agency use. IT includes, but is not limited to, online subscriptions, cloud COMPUTING services, software, hardware, mobile devices, and IT services. To request a review of proposed IT acquisitions, please contact M/CIO at [ITAuthorization@usaid.gov](mailto:ITAuthorization@usaid.gov).

The CO/AO will advise the project/technical staff on the specific documentation required for the type of action planned.

#### PROCUREMENT ACTION LEAD TIMES BY TYPE OF ACTION

<b>ACTION</b>	<b>TIMEFRAME (Calendar Days)</b>
Unilateral Contract Modification	15 days
Administrative Contract Modification	31 days
Bilateral Contract Modification	91 days
Cooperative Agreement (Non-Competitive)	90 days
Cooperative Agreement (Competitive)	150 days
Cooperative Agreement Modification	71 days
Cooperative Agreement (Technical Office Competition)	90 days
Definitive Contract (Competitive)	268 days
Definitive Contract (Limited Sources)	311 days
Definitive Contract (Sole Source)	151 days
Definitization of Letter Contract	151 days
Indefinite Quantity Contract	327 days
Grant (Competitive)	150 days
Grant (Non-Competitive)	90 days
Grant (Technical Office Competition)	90 days
Grant Amendment	71 days
Interagency Agreement	90 days
Interagency Agreement (Modification)	60 days
Letter Contract	61 days
New Work - Bilateral Contract Modification	91 days
Priced Orders (task orders under BPA's or IQC's)	75 days
Priced Order Non-Competitive	48 days
Termination for Convenience (settlement)	143 days

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<b>ACTION</b>	<b>TIMEFRAME (Calendar Days)</b>
Termination for Default (settlement)	143 days
Termination for Convenience	21 days
Termination for Default	21 days
Unpriced Bilateral Contract Modification	103 days
Unpriced Order	39 days
Personal Services Contract	145 days
Personal Services Contract Modification	45 days
Purchase Order (non-Competitive)	48 days
Purchase Order (Competitive)	75 days
Purchase Order Modification	31 days
Award Fee Modification	32 days
Basic Ordering Agreement	159 days
Option Exercise Modification	61 days

For any award that must be obligated by September 30 of the current fiscal year, the technical office must submit the request with the supporting documents required for the specific type of action to the cognizant CO/AO with sufficient time according to the above PALTs. The action must also be in the Agency A&A Plan (per **300.3.1**). Technical offices must consult with the CO/AO on timing and realistic completion of the action. The CO/AO will need to take into account all Agency priorities, feasibility of timeline, and planned workload considerations.

### **300.3.6 Agency A&A Templates for Technical Officers and Contracting Professionals**

Effective Date: 04/02/2013

In an effort to streamline procurement processes, a series of [Agency Acquisition and Assistance \(A&A\) Templates](#) are provided for use by both technical officers and contracting professionals to assist in awarding actions on the Agency A&A Plan. These templates streamline and standardize Agency A&A-related practice, reduce Procurement Action Lead Time, and create a common reference point for Agency A&A documents.

These mandatory templates provide a comprehensive set of standardized tools for use by technical offices and Contracting/Agreement Officers. These documents, which range from cost guidance to sample acquisition and assistance materials, are designed to provide a clear sense of what technical officers and others should expect to include and take into consideration in each area. The documents provide a mandatory framework with minimum elements and are grouped into three areas: General (which includes cost guidance); Acquisition; and Assistance. They include the following:

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**a. General Templates**

- (1) [ADS 300maa, Independent Government Cost Estimate Guide and Template](#)
- (2) [ADS 300mab, Competitive Range Determination Template](#)
- (3) [ADS 300mac, Cost Realism Checklist Template](#)
- (4) [ADS 300mad, Cost Analysis Checklist Template](#)
- (5) [ADS 300mae, Source Selection Plan Guidance and Template](#)
- (6) [ADS 300maf, Technical Evaluation Committee Chairperson Guide and Template](#)
- (7) [ADS 300mag, Technical Evaluation Committee Process Instruction Guide and Template](#)
- (8) [ADS 300mak, Inherently Governmental and Critical Functions Template](#)

**b. Acquisition Templates**

- (1) [ADS 300mah, Best Practices Guide for Indirect Costing](#)
- (2) [ADS 300mai, Memorandum of Negotiation: Acquisition Template](#)
- (3) [ADS 300mal, Individual Acquisition Plan Template](#)

**c. Assistance Template**

- (1) [ADS 300maj, Memorandum of Negotiation: Assistance Template](#)

The Bureau for Management (M) may periodically revise templates or add new ones to the above list and encourages Agency staff to submit suggestions for new templates and revisions to existing templates. Agency staff must continue to monitor this chapter and the [template Web site](#) for new or revised templates.

**300.3.7 Business Forecast and Other Ad Hoc Data Calls**  
Effective Date: 03/14/2016

*Text highlighted in yellow indicates that the material is new or substantively revised.*

M/OAA uses the data from the Agency A&A Plan to publish the Business Forecast. Within the Agency A&A Plan, the CO/AO is responsible for reviewing all actions to determine the following:

- (1) If the action is/will be an open, competitive opportunity for the Business Forecast; and
- (2) Whether all fields for the Business Forecast are accurate and complete for publication.

All current or future competitive opportunities must be in the Business Forecast (see <https://pages.usaid.gov/M/OAA/agency-business-forecast-preparation-guidance>). M/OAA posts the forecast for public viewing on a quarterly basis to highlight opportunities for small and other businesses that are (or will be in the future) open for the receipt of a proposal or application. Agency officials are encouraged to utilize the data from the Agency A&A Plan in lieu of conducting any ad hoc data calls.

### **300.3.8 Selecting the Appropriate Instrument**

Effective Date: 04/02/2013

The Contracting/Agreement Officers must determine the appropriate instrument for each award in accordance with the principal purpose of the award as required by the [Federal Grant and Cooperative Agreement Act](#) and the policies outlined in [ADS 304, Selecting Between Acquisition and Assistance \(A&A\) Implementing Instruments](#).

### **300.3.9 Agency Acquisition and Assistance (A&A) Plan Reviews**

Effective Date: 03/14/2016

The Bureau for Management will conduct quarterly reviews of each Bureau's A&A Plan. The Assistant Administrator for Management (AA/M) and the Senior Procurement Executive will participate in annual meetings, along with the Assistant Administrator of each Bureau. Additional adhoc meetings may be scheduled, as necessary. The A&A Plan Reviews will focus on each Bureau's planned actions as listed in the Agency A&A Plan system. The Director of OSDBU will participate in the initial review of the annual A&A Plans. Additionally, the A&A Plan Review meetings will discuss how the planned award will enhance competition, expand the partner base, and utilize the appropriate size and type of award mechanism.

The status of the [Acquisition and Assistance Review and Approval Documents \(AARAD\) for Pre-Solicitation](#) for each new planned award at or above \$25 million will be discussed during the A&A Plan Review meetings.

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**300.3.10 Contract Review Board (CRB)**

Effective Date: 09/30/2014

The Contract Review Board must review solicitation and award documents for acquisitions at or above \$25 million. Policies, procedures and parameters for CRB reviews are contained in [ADS 302](#) and the [Contract Review Board Guidelines](#).

The [Acquisition and Assistance Review and Approval Documents \(AARAD\) for Pre-Solicitation](#) for new planned solicitations cleared or approved by the responsible Assistant Administrator (the cognizant Mission Director, if deferred by the AA) or the Administrator must be provided prior to the CRB review of solicitations at or above \$25 million. The AARAD or action memorandum authorized by the Administrator must be provided prior to the CRB review of solicitations or awards at or above \$75 million in total estimated cost/total estimated amount. In the event that the timeframes for a response from the approving official lapsed with no action, the Planner or the Technical Evaluation Panel chair must document the notification of the lapse on the AARAD.

**300.3.11 Acquisition Planning****300.3.11.1 Small Business Review**

Effective Date: 09/30/2014

OSDBU must concur with the acquisition strategy for all contracts awarded in Washington at or above \$25,000, except personal services contracts and those made on behalf of Missions that are solely for mission requirements.

All procurement actions above \$3,000, but below \$150,000, are required to be set-aside for small business in accordance with FAR19.502-2 unless the Contracting Officer determines that there is not a reasonable expectation of obtaining offers from two or more responsible small businesses that are competitive in terms of market prices, quality, and delivery.

The Operating Unit must conduct market research which may include a sources sought notice in Federal Business Opportunities (FBO), and consultation with OSDBU in order to promote small business participation. The CO considers the OU's recommendations and determines the appropriate acquisition strategy. Then the CO must use the [Small Business Review Form 1410-14](#) to obtain OSDBU's concurrence for actions at or above \$25,000, including Institutional Support Contracts and Agreements, multiple award contracts, and orders under GSA Schedule contracts. In cases where OSDBU disagrees with the CO's acquisition strategy, the procedures related to adjudicating disagreements

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regarding small business set-asides in [FAR Part 19](#) and small business screening in [AIDAR Part 719](#) apply.

In addition to the above small business reviews of individual procurements under the noted requirements, the Director of OSDDBU will participate with the AA/M and AAs in reviews of annual worldwide A&A Plans to ensure that acquisition planning appropriately includes opportunities for small businesses, particularly in requirements at \$25 million and above.

### **300.3.11.2 Performance of Inherently Governmental and Critical Functions**

Effective Date: 04/02/2013

Operating Units, in particular the Planner, must confirm that:

- The services to be procured do not include work that must be reserved for performance by Federal employees, and
- The Agency will be able to manage the contractor consistent with its responsibility to perform all inherently governmental functions and maintain control of its mission and operations (see [OMB Office of Federal Procurement Policy Letter 11-01, Performance of Inherently Governmental and Critical Functions](#) and [FAR 7.5](#)).

The Planner must provide documentation confirming that procurements above the simplified acquisition threshold comply with the requirements of the [OMB/OFPP Policy Letter 11-01, Performance of Inherently Governmental and Critical Functions](#). Accordingly, the Planner must complete and submit the Acquisition and Assistance [Template on Inherently Governmental and Critical Functions](#) to the Contracting Officer. This requirement does not apply to personal services contracts.

### **300.3.11.3 Individual Acquisition Plans (IAPs)**

Effective Date: 09/30/2014

In addition to entering all Acquisition and Assistance awards in the Agency A&A Plan, the [Federal Acquisition Regulation \(Part 7.102\)](#) requires agencies to perform acquisition planning and conduct market research at the individual acquisition level for certain awards. This section establishes when a written Individual Acquisition Plan (IAP) is required, who is responsible for preparing it, and its contents and format.

The Planner must prepare a written IAP for cost reimbursement, non-competitive, or time and materials or labor hour acquisitions (including IDIQs/IQCs and task orders). In the case of IDIQs and task orders, the Operating Unit and COs must also refer to [Acquisition Planning for Indefinite](#)

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**Delivery Indefinite Quantity Contracts (IDIQs) and Task Orders (TOs)**. The OU may determine that a written IAP is appropriate for other acquisitions.

Whether or not any IAPs are drafted, all acquisition awards signed by Contracting Officers with a total estimated cost at or above \$150,000 must be entered into the Agency A&A Plan system.

When the total cost of the award, including any options, is \$10 million or more, the Planner must draft the IAP using the **Individual Acquisition Plan Template**. When the total cost of the award, including any options, is less than \$10 million, the use of the IAP Template is optional; however, the Planner must prepare a written IAP that complies with the required contents specified in **FAR 7.105**, as appropriate. The IAP must be approved one level above the Contracting Officer and the signed IAP must be sent to the CO along with the procurement request. An attorney may be asked to review and sign the IAP at the discretion of the acquisition team.

The Planner has overall responsibility for preparing the written IAP; however, an IAP requires the joint expertise of the program/project, technical, and contracting, and legal offices and must integrate the efforts of all personnel responsible for significant aspects of the acquisition. The entire acquisition team should participate throughout the planning process, from the initial draft of the statement of work/specifications to completion of the plan. If an Office of the General Counsel (GC) attorney or Resident Legal Officer (RLO) will be asked to review and sign the IAP, the relevant RLO or GC/A&A attorney must be engaged early in the development of the IAP. The Planner and CO must work closely together to ensure the plan:

- Complies with the requirements in **FAR Part 7.105**;
- Complies with statutory and regulatory requirements and the requirements in the **Office of Federal Procurement Policy Letter 11-01 Performance of Inherently Governmental and Critical Functions**, and
- Demonstrates sound business judgment.

All IAPs must be prepared sufficiently in advance of the release of the solicitation, preferably at the project design stage (see **ADS 201.3.9**) to ensure that requirements are presented in a way that:

- Promotes full and open competition, and
- Provides sufficient time for the identification and resolution of impediments that could delay the acquisition or lead to increased cost or technical risk.

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Written IAPs must contain acquisition background, objectives, and a plan of action. The scope of the written IAP will vary with the complexity and dollar value of the requirement. The IAP must be based on market research and must support the competitive process in accordance with [FAR Part 6](#) (as required in [FAR 7.103](#)). The IAP must take into consideration:

- Budgeting limitations,
- Whether the procurement may involve non-standard terms and conditions or the nature of the activities or procurement raise specific legal implication or concerns,
- Scheduling requirements,
- Estimated contract performance period necessary to meet mission needs, and
- Anticipated source selection techniques and evaluation criteria.

The following types of acquisitions must comply with the planning requirements in [FAR 7.102](#), but do not require written IAPs:

- (1) Fixed-Price Contracts;
- (2) Architect-engineering services;
- (3) Unsolicited proposals (when deemed innovative and unique in accordance with [FAR 15.5](#));
- (4) Regulated utility services where services are available from only one source;
- (5) Acquisitions made from or through other Government agencies using Interagency Agreements ([ADS 306, Interagency Agreements](#)); and
- (6) Contract modifications which exercise an option, add funds to an incrementally funded contract, or make changes authorized by the Changes clause; provided that there is an IAP for the original action and there is no significant deviation from that plan.

**300.3.12 Assistance Planning**  
Effective Date: 04/02/2013

*Text highlighted in yellow indicates that the material is new or substantively revised.*

For cost type assistance awards, the program manager/technical office must conduct similar and appropriate planning and document the actions taken, such as those related to market research, competition, local capacity development, sustainability, etc., but are not required to prepare Individual Acquisition Plans (IAPs) in the format above.

Whether or not any IAPs are drafted, all assistance awards signed by Agreement Officers with a total estimated cost at or above \$150,000 must be entered into the Agency A&A Plan system before award.

### **300.4 MANDATORY REFERENCES**

#### **300.4.1 External Mandatory References**

Effective Date: 03/14/2016

- a. [Clinger-Cohen Act](#)
- b. [Federal Acquisition Regulation \(FAR\)](#)
- c. [FITARA, Subtitle D](#)
- d. [Office of Federal Procurement Policy \(OFPP\) Policy Letter 11-01, Performance of Inherently Governmental and Critical Functions](#)

#### **300.4.2 Internal Mandatory References**

Effective Date: 09/30/2014

- a. [ADS 201, Planning](#)
- b. [ADS 300maa, Independent Government Cost Estimate Guide and Template](#)
- c. [ADS 300mab, Competitive Range Determination Template](#)
- d. [ADS 300mac, Cost Realism Checklist Template](#)
- e. [ADS 300mad, Cost Analysis Checklist Template](#)
- f. [ADS 300mae, Source Selection Plan Guidance and Template](#)
- g. [ADS 300maf, Technical Evaluation Committee Chairperson Guide and Template](#)
- h. [ADS 300mag, Technical Evaluation Committee Process Instruction Guide and Template](#)

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- i. [ADS 300mah, Best Practices Guide for Indirect Costing](#)
- j. [ADS 300mai, Memorandum of Negotiation: Acquisition Template](#)
- k. [ADS 300maj, Memorandum of Negotiation: Assistance Template](#)
- l. [ADS 300mak, Inherently Governmental and Critical Functions Template](#)
- m. [ADS 300mal, Individual Acquisition Plan Template](#)
- n. [ADS 300man, Instructions and Template for Acquisition and Assistance Review and Approval Document \(AARAD\) for Pre-Solicitation](#)
- o. [ADS 300mao, Template Acquisition and Assistance Review and Approval Document \(AARAD\) for Pre-Award](#)
- p. [ADS 300map, Pre-Award Certification Template for Senior Management Review of Acquisition and Assistance Awards](#)
- q. [ADS 302, USAID Direct Contracting](#)
- r. [ADS 303, Grants and Cooperative Agreements to Non-Governmental Organizations](#)
- s. [ADS 304, Selecting Between Appropriate Acquisition and Assistance Implementing Instruments](#)
- t. [ADS 306, Interagency Agreements](#)
- u. <http://forward.inside.usaid.gov/content/board-acquisition-and-assistance-reform-baar>

**300.4.3 Mandatory Forms**  
Effective Date: 04/02/2013

- a. [Small Business Review Form](#)

**300.5 ADDITIONAL HELP**  
Effective Date: 09/30/2014

- a. [ADS 300saa, A&A Plan Page with Link to Web-based Training and Information](#)

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b. [ADS 300sab, Senior Management Review of Planned A&A Awards: Frequently Asked Questions](#)

**300.6**

**DEFINITIONS**

Effective Date: 03/14/2016

**Acquisition and Assistance Review and Approval Document (AARAD) for Pre-Solicitation and Pre-Award**

The form used to review planned acquisition and assistance awards at or above \$25 million in total estimated cost/total estimated amount. The AARAD documents the responsible Assistant Administrator's approval for the contracting officer/agreement officer to move forward with a solicitation and the Administrator's authorization to proceed with awards at or above \$75 million. (Chapter 300)

**administrative contract modification**

A unilateral contract change, in writing, that does not affect the substantive rights of the parties (e.g., a change in the paying office or the appropriation data). (Chapter 300)

**Agency Acquisition and Assistance (A&A) Plan**

The Agency business system that documents all planned acquisition and assistance actions that are to be executed by a USAID contracting officer or agreement officer during a fiscal year and identifies milestones and tracks status in the acquisition or assistance process for each action. (Chapter 300)

**Agreement Officer** (see also Contracting Officer)

A person with the authority to (1) enter into, administer, terminate, and close out assistance agreements, and (2) make related determinations and findings on behalf of USAID. An Agreement Officer may only act within the scope of a duly authorized warrant or other valid delegation of authority. The term "Agreement Officer" includes persons warranted as "Grant Officers." It also includes certain authorized representatives of the Agreement Officer acting within the limits of their authority as delegated by the Agreement Officer. (Chapters 300, [303](#), [304](#))

**assistance**

Financial support to accomplish a public purpose, including grants, cooperative agreements and other agreements in the form of money, or property in lieu of money, by the Federal Government to an eligible recipient. The term does not include technical assistance, the provision of services instead of money; other assistance in the form of loans, loan guarantees, interest subsidies, or insurance; direct payments of any kind to individuals; or contracts which are required to be entered into and administered under procurement laws and regulations. (Chapters 300, [303](#), [304](#))

**basic ordering agreement**

*Text highlighted in yellow indicates that the material is new or substantively revised.*

A written instrument of understanding, negotiated between an agency, contracting activity, or contracting office and a contractor, that contains (1) terms and clauses applying to future contracts (orders) between the parties during its term, (2) a description, as specific as practicable, of supplies or services to be provided, and (3) methods for pricing, issuing, and delivering future orders under the basic ordering agreement. A basic ordering agreement is not a contract. **(Chapter 300)**

#### **bilateral contract modification**

A contract modification that is signed by the contractor and the contracting officer that reflects the agreement of the parties to modify the term of the contract. **(Chapter 300)**

#### **Business Forecast**

Informs the public of competitive opportunities for a contract, grant, or cooperative agreement. The forecast is updated quarterly. **(Chapter 300)**

#### **contract**

A mutually binding legal relationship obligating the seller to furnish the supplies or services (including construction) and the buyer to pay for them. It includes all types of commitments that obligate the Government to an expenditure of appropriated funds and that, except as otherwise authorized, are in writing. In addition to bilateral instruments, contracts include (but are not limited to) awards and notices of awards; job orders or task letters issued under basic ordering agreements; letter contracts; orders, such as purchase orders, under which the contract becomes effective by written acceptance or performance; and bilateral contract modifications. Contracts do not include grants and cooperative agreements covered by 31 U.S.C. 6301, et seq. For discussion of various types of contracts, see FAR Part 16. **(Chapters 300, [331](#))**

#### **Contracting Officer (CO)**

A person representing the U.S. Government through the exercise of his or her delegated authority to enter into, administer, and terminate contracts and make related determinations and findings. This authority is delegated by one of two methods: to the individual by means of a "Certificate of Appointment", SF 1402, as prescribed in FAR 1.603-3, including any limitations on the scope of authority to be exercised, or to the head of each contracting activity (as defined in AIDAR 702.170), as specified in AIDAR 701.601. **(Chapters 300, [302](#), [331](#))**

#### **Contracting Officer Representative (COR)/Agreement Officer Representative (AOR)**

The individual who performs functions that are designated by the Contracting or Agreement Officer, or are specifically designated by policy or regulation as part of contract or assistance administration. **(Chapter 300)**

#### **cooperative agreement**

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A legal instrument used where the principal purpose is the transfer of money, property, services or anything of value to the recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute and where substantial involvement by USAID is anticipated. (**Chapters 300, [303](#), [304](#)**)

**critical function**

A function that is necessary to the agency being able to effectively perform and maintain control of its mission and operations. Typically, critical functions are recurring and long-term in duration. (**Chapter 300**)

**Federal Acquisition Regulation (FAR)**

The primary document containing the uniform policies and procedures for all executive agencies for the acquisition of supplies and services with Congressional appropriations. It is Chapter 1 of Title 48, Code of Federal Regulations (CFR). (**Chapters 300, [302](#), [330](#)**)

**Field Support**

The Agency process whereby Field Operating Units may elect to obtain services, obtain technical assistance, or purchase commodities through awards that have been procured in Washington and are managed by A/CORs in the Pillar Bureaus. Operating units may use New Obligation Authority (NOA) funds or funds carried forward from the previous fiscal year, as well as funds bilaterally obligated in the field that will be sub-obligated into the Pillar Bureau-managed awards. All field support funding must be planned and coordinated in the Field Support System, FS-AID. FS-AID is a web-based system through which all field support transactions are planned by missions, authorized for commitment by missions and regional bureaus, and compiled for action in GLAAS by Pillar Bureaus. (**Chapter 300**)

**grant**

A legal instrument used where the principal purpose is the transfer of money, property, services or anything of value to the recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute and where substantial involvement by USAID is not anticipated. (**Chapters 300, [303](#), [304](#), [591](#), [595](#)**)

**inherently governmental function**

A function that is so intimately related to the public interest as to require performance by Federal Government employees. The Office of Federal Procurement Policy (OFPP) Policy Letter 11-01 provides additional information and a list of functions considered to be inherently governmental. (**Chapter 300**)

**institutional support mechanism**

Non-personal service contracts and agreements that provide personnel or otherwise support Agency operations. This may include institutional contracts

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that provide staff or services or interagency agreements such as PASAs, PAPAs, CASUs and fellow agreements. (**Chapter 300**)

**interagency agreement**

Any agreement between two Federal agencies by which one agency buys goods or services from the other, including but not limited to an agreement under the authority of FAA section 632(b), the Economy Act, the Government Management Reform Act or similar legislation, or by which one agency transfers or allocates funds to another under the authority of FAA section 632(a). (**Chapters 300, 306**)

**information technology (IT)**

General term used to describe any equipment or interconnected system or subsystem of equipment that is used to produce, manipulate, store, communicate, or disseminate information. (**Chapter 545**)

(A) The term 'information technology', with respect to an executive agency means any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the executive agency. For purposes of the preceding sentence, equipment is used by an executive agency if the equipment is used by the executive agency directly or is used by a contractor under a contract with the executive agency which (i) requires the use of such equipment, or (ii) requires the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product.

(B) The term 'information technology' includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

(C) Notwithstanding subparagraphs (A) and (B), the term 'information technology' does not include any equipment that is acquired by a Federal contractor incidental to a Federal contract. (Source: Clinger-Cohen Act) (**Chapters 300, 518, 541-548, 552, 577**)

**information technology resources**

Any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. It includes, but is not limited to, "computers, ancillary equipment, software, firmware, and similar procedures, services (including support services) and related resources". (**Chapters 300, 519, 541, 542, 546**)

**letter contract**

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A written preliminary contractual instrument that authorizes the contractor to begin immediately manufacturing supplies or performing services. (**Chapter 300**)

**market research**

The process of collecting and analyzing information about capabilities within the market to satisfy Agency needs. (**Chapter 300**)

**operating units**

USAID field Missions, regional entities, and USAID/Washington Offices that expend funds to support Agency program objectives. This definition particularly includes operating units performing the functions of formulating policy, strategic and budgetary planning, achieving results, procurement, personnel management, financial management, and statutory requirements. (**Chapters [200-204](#), [260](#), [300](#), [623](#)**)

**Personal Services Contract**

A contract that, by its express terms or as administered, make the contractor personnel appear, in effect, Government employees (See FAR 37.104 and AIDAR Appendix D). (**Chapter 300**)

**Planner**

The designated person responsible for developing and maintaining a written Individual Acquisition Plan (IAP), or for the planning function in those acquisitions (FAR 7.101) or assistance actions not requiring a written plan. The Planner may be the Project Design Team Leader or Project Manager, or his or her designee (**[ADS 201](#)**), such as the intended Contracting Officer/Agreement Officer Representative (COR/AOR), who will work with the CO/AO in carrying out the planning function. Operating Units (OUs) must ensure that a Planner is identified for a particular procurement. Though OUs have the discretion to determine the appropriate individual based on the organizational structure and functions of the unit, the Planner must be an individual with sufficient authority in the OU to ensure that planning complies with this chapter, FAR acquisition planning requirements, and OMB/OFPP Policy Letter 11-01 Performance of Inherently Governmental and Critical Functions. (**Chapter 300**)

**priced order**

An order for supplies or services, the price of which is established at the time of issuance of the order. (**Chapter 300**)

**Program Manager**

Senior member of a Development Objective Team or Mission Technical Office who is responsible for the management of an entire program, if not individual projects, activities and/or awards who may not be the same as the Program Manager designated in GLAAS. (**Chapters [200-203](#), [300](#)**)

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**Project Manager**

Individual designated by the Mission Director to coordinate all activities defined within the Project Appraisal Document. (**Chapters [201](#), [300](#)**)

**purchase order (PO)**

A contractual agreement for small purchases of goods and services. (**Chapter [300](#)**)

**termination for convenience**

The exercise of the Government's right to completely or partially terminate performance of work under a contract when it is in the Government's interest. (**Chapter [300](#)**)

**termination for default**

The exercise of the Government's right to completely or partially terminate a contract because of the contractor's actual or anticipated failure to perform its contractual obligations. (**Chapter [300](#)**)

**unilateral contract modification**

A contract modification that is signed only by the contracting officer. (**Chapter [300](#)**)

**unpriced order**

An order for supplies or services, the price of which is not established at the time of issuance of the order. (**Chapter [300](#)**)

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