



ADS Chapter 300

Agency Acquisition and Assistance (A&A) Planning

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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: 03/10/2021

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 and directives, including the [Federal Acquisition Regulation \(FAR\) \(Part 7.102\)](#) and [ADS 201, Program Cycle Operational Policy](#), require advance planning for Agency A&A awards. In particular for acquisition, the FAR requires all U.S. Government departments and 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 was developed by following the requirements of [ADS 201](#) and will contribute to the planning and documentation process defined in this ADS chapter.

300.2 PRIMARY RESPONSIBILITIES

Effective Date: 03/16/2023

- a. The **Bureau for Management, Office of Acquisition and Assistance (M/OAA)** administers the Agency A&A Plan.
- b. **Operating Units (OUs), Missions, and B/IOs** in consultation with the Contracting/Agreement Officers (where appropriate) are responsible for:
 - A&A planning, including conducting market research;
 - Identifying Planners for particular procurement (see section **300.2.e**);
 - Preparing, submitting, and updating their A&A Plan via the Agency A&A Plan system. The OU, Mission, and B/IO are responsible for reviewing the Procurement Action Lead Times (PALT) in section **300.3.3** to determine the time necessary for a particular type of action when entering actions into the A&A Plan; and
 - Completing pre-award requirements (e.g., preparing a written individual acquisition and/or assistance plan, if necessary, preparing other pre-procurement documentation and obtaining all approvals listed in the sections below).

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

c. 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 that do not require a written individual assistance plan. 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 Manager, where a project approach is used ([ADS 201](#)), or the intended Contracting Officer's/Agreement Officer's Representative (COR/AOR), among other examples. The Planner works with the CO/AO to carry 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, the planning requirements of the Federal Acquisition Regulations (FAR), and Policy Letter 11-01 Performance of Inherently Governmental and Critical Functions issued by the Office of Federal Procurement Policy of the Office of Management and Budget (OMB).

d. **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 USAID Office of Small and Disadvantaged Business Utilization (OSDBU) 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).

e. 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](#).

f. The **Office of Small and Disadvantaged Business Utilization (OSDBU)** monitors the Agency A&A Plan for small business involvement, reviews requirements for potential small business opportunities, and provides concurrence for all contracts awarded in Washington at or above \$25,000.

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300.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

300.3.1 Agency A&A Plan and Business Forecast

300.3.1.1 Agency A&A Plan

Effective Date: 03/05/2024

USAID has developed a system for Acquisition and Assistance planning, the Agency A&A Plan, which can be accessed at: <https://dis.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 **two** ways: 1) Click the **DIS** icon in the Corporate Applications Folder on your desktop; or 2) Access the direct URL at: <https://dis.usaid.gov/>.

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 USAID obligates its funds in a timely manner,
- Provides an overview of planned A&A activities for senior managers,
- Supports the achievement of the Administrator's priorities, 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 at or above the simplified acquisition threshold, as defined in FAR 2.101, from all funding sources (operating expense program funds, etc.) that a CO/AO must execute during a fiscal year and beyond. **OUs are also encouraged to enter planned actions below**

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the simplified acquisition threshold that may be of interest to new and local partners. These include:

- Contracts;
- Grants;
- Cooperative Agreements;
- Task Orders (including orders against General Services Administration Federal Supply Schedules, U.S. Government-wide acquisition contracts, and multi-agency contracts);
- **Purchase Orders;**
- Blanket Purchase Agreements (BPAs);
- 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 new awards, the Requesting OU should select “TBD” if the award type is unknown at the time of entry.

- Enter all cost-type agreements and project contributions with Public International Organizations executed by an AO, AA, or Mission Director into the system.
- The A&A Plan must be updated on a continual basis, as it is critical that the status of all actions are current. The Agency A&A Plan provides a snapshot of each OU’s – and the overall Agency’s – A&A activities at any given time.

The OU must enter the action in the Agency A&A Plan (as applicable, see section **300.3.7**) prior to the CO/AO starting the solicitation process for the acquisition or assistance action, as this helps determine workload and staffing requirements. The OU should submit a GLAAS request as soon as practicable for all planned actions, which may be before or after entry in the A&A Plan. Award data within the A&A Plan may be converted to modification actions to expedite these entries. When entering planned actions in the A&A Plan, the B/IO must review the PALT for the particular type of action (see section **300.3.3**) and plan accordingly for when the action may be awarded, based on the PALT. COs/AOs must confirm that an action has been entered in the A&A Plan before proceeding with the action. The CO/AO must notify the requesting office of this requirement if an A&A action is sent to them without first being entered in the A&A plan. The CO/AO may decline to execute the action until the requesting office adds it to their A&A Plan.

Actions in the A&A Plan that have not been marked by the CO/AO or Point of Contact (POC) as “awarded” in the Action Status field at the end of the fiscal year will

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automatically carry forward to the next fiscal year A&A Plan. Users can modify these actions in the next fiscal year's A&A Plan to update the status and other relevant data fields.

Optional:

Operating Units **are** also **encouraged to** include the following types of planned actions in their A&A Plan each fiscal year:

- Administrative actions signed by a CO/AO; and
- Actions not executed by a CO/AO, with the exception of agreements with PIOs.

Field Support:

Missions and Operating Units (OUs) that elect to use contracts, agreements, and grants managed in Washington by Regional and Pillar Bureaus 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 that manage these awards.

Access instruments managed by Regional Bureaus must be coordinated directly with the respective Regional Bureau Agreement Officer/Contracting Officer Representatives for the instruments. Access to A&A instruments managed by Regional Bureaus 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 (OPs) are submitted.

CO/AO Role for Maintaining and Overseeing the A&A Plan:

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

- 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;
- Within the A&A Planning Tool, COs/AOs must select "Yes" for the Business Forecast, when applicable. Additionally, CO/AOs, working with program and technical staff, must ensure that the information is regularly updated;
- Make any needed changes directly in the Agency A&A Plan;

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- 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 Maintaining and Overseeing the A&A Plan:

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 the entry of accurate and complete data into the Agency A&A Plan as indicated in **300.3.2**, and
- Ensure the inclusion of all required actions in the OU's A&A Plan.

300.3.1.2 Agency A&A Plan Reviews Effective Date: 03/05/2024

The Bureau for Management will conduct reviews of each Bureau's A&A Plan **at least annually and on an ad hoc basis as needed**. The Assistant Administrator for the Bureau for Management (AA/M) and the Senior Procurement Executive will participate in annual meetings, along with the Assistant Administrator of each Bureau. Additional ad hoc 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, utilize the appropriate size and type of award mechanism.

300.3.1.3 Business Forecast Effective Date: 03/05/2024

The Agency's Business Forecast provides information about potential funding opportunities at USAID. It is populated from information available in the A&A Plan and is updated daily on USAID.gov (www.usaid.gov/Business-Forecast/search).

All competitive opportunities above the simplified acquisition threshold must be included in the Business Forecast before being posted on Grants.gov, SAM.gov, or Mission websites. COs/AOs are also strongly encouraged to include smaller opportunities to help communicate available funding opportunities to new and local partners.

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The following opportunities must be published on the Forecast:

- Notices of Funding Opportunities (NOFO)
 - Annual Program Statements (APS),
 - amendments to an APS (often referred to as addenda),
 - Requests for Applications (RFAs)
- Broad Agency Announcements (BAA),
- Requests for Proposals (RFP)
- Requests for Task Order Proposals (RFTOP)
- Requests for Task Orders under GSA, GWACs, etc.

CO/AOs may publish Requests for Information or Sources Sought Notices prior to an action being published on the Forecast.

Before publishing activities on the Business Forecast, the CO/AO must review all actions to determine the following:

- 1) If the action is, or will be, a full and open competitive opportunity for the Business Forecast; and
- 2) Whether all fields for the Business Forecast are accurate and complete for publication, which may include “TBD” if the field allows this option. If “TBD” is selected, the CO/AO must update the field when the information is available.

This includes ensuring that:

1. The anticipated solicitation release date is accurate;
2. All Business Forecast data points have been populated; and
3. The description section provides an overview of the activity and includes other critical information not found in other fields of the Business Forecast such as:
 - a. Identifying the base award if the award is a task order,
 - b. Noting if facilities clearances are required,
 - c. Any other information that is important to potential offerors/applicants that is not available in other fields of the Business Forecast.

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CO/AOs are responsible for approving the publication of actions in the Business Forecast and for coordinating with their technical offices to update the A&A Plan for the Business Forecast on a continual basis. While Requesting OUs/Planners must keep CO/AOs informed at all times on the status of actions that should be or have been included in the Business Forecast, only CO/AOs have the system authorization to check "Yes" in the A&A Plan for it to be published in the Business Forecast. If the type of instrument is unknown, CO/AOs may select "TBD," rather than switching the award type after publication on the Business Forecast. CO/AOs must post activities on the Business Forecast as early as possible in the planning and design process, taking into account the B/IO activity approval process and practicalities of the situation. After the CO/AO updates the status in the action field of the A&A Plan indicating the solicitation has closed, the opportunity is automatically removed from the Business Forecast.

If an opportunity is being canceled, the Requesting OU must note the reason for the cancellation in the description and leave it on the Business Forecast for at least one month to notify the public.

The Business Forecast and information pertaining to its use is available at: <https://pages.usaid.gov/M/OAA/agency-business-forecast-preparation-guidance>.

300.3.1.4 Selecting the Appropriate Instrument

Effective Date: 04/02/2013

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 the Appropriate Acquisition and Assistance \(A&A\) Instrument](#).

300.3.2 Agency A&A Yearly Planning Schedule and Fiscal Year Closing Date

Effective Date: 07/13/2022

The Agency Acquisition and Assistance Plan closes on the third Monday in July of each fiscal year. Actions added to the Agency A&A Plan after the closing date will be treated with a lower priority than any actions already included in the Plan and could result in these actions not being completed by the end of the fiscal year unless an adjustment is made in the A&A Plan to accommodate them.

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

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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 but 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 field support database will not accept funds after this date.

Action	Bureau/Office	Due Date
Commitment of Expiring Funds Completed	Operating Units	NLT March 29
Expiring funds designated for field support planned and authorized in the Field Support Database	Mission Operating Units and Regional Bureau Program Offices	NLT May 30
Submission of all documentation required for Fiscal Year End actions to CO/AO	All Operating Units	NLT May 30
Field support sub-obligations authorized in the 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 Field Support Database	Regional Bureau Program Offices (based on input from Mission Operating Units)	NLT July 31
End of fiscal year		September 30

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

300.3.3 Procurement Action Lead Time (PALT)

Effective Date: 03/05/2024

Contracting/Agreement Officers and technical offices must work together to establish realistic milestone schedules for full and open competitive actions of \$10 million or more in the Agency A&A Plan and tailor them to fit the individual action. The A&A Plan includes mandatory PALT milestones for the CO/AO to report and maintain. Additionally, the A&A Plan includes optional PALT milestone reporting. These schedules are an important accounting of the individual milestone events for actions to ensure timely awards.

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The M Bureau will project and record the timeframes related to such pre-solicitation items as activity/project approval. 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. The M Bureau will also track and monitor these Pre-PALT dates as milestones, and they will be part of the Milestone Plan.

The program and technical offices must include their CO/AO in the design stage of their actions. If the design stage identifies that IT or IT resources are required in support of a contract, the program and technical offices must contact M/CIO at **ITAuthorization@usaid.gov** to pre-vet requirements and obtain conditional approval to proceed. The program and technical offices must also submit draft documentation with all applicable timeframes (for example, when the activity will be approved, when the statement of work (SOW), including evaluation criteria, instructions to offerors/applicants and an independent Federal Government cost estimate, will be provided) to the CO/AO, as early as possible in the planning process. The COs/AOs, in turn, will work with the cognizant technical staff on the dates that the CO/AO must enter for the solicitation through the award phase.

The estimated timeframes or PALTs for COs/AOs to award select actions are provided below. All timeframes are stated in calendar days.

In accordance with OFPP Memorandum, Reducing PALT Using Modern Business Practices, January 14, 2021, for purposes of benchmarking timely procurements and the responsiveness of federal acquisition activity, PALT is defined as the time between the date on which an initial solicitation is issued and the date of the award. The CO must enter the "Solicitation Issue Date" in FPDS-NG to calculate PALT. GLAAS does not auto-populate the solicitation issue date in FPDS-NG.

A complete GLAAS request must include the name of the Buyer before release. It must also include the following documents to the maximum extent practicable, but is not limited to:

- An approved Activity Approval Memorandum (AAM), where required ([ADS 201](#)), or equivalent documents (may be provided outside the GLAAS request attachments);
- The justification memo to the CO/AO recommending the choice of instrument;
- Statement of Work, Statement of Objectives or Performance-Based Work Statement for acquisition, or a Program Description for assistance, to be included in Section C of the solicitation or Section A of the Notice of Funding Opportunity (NOFO), respectively. This is also sometimes referred to by the umbrella term, "Activity Description" (see [ADS 201](#));

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- Solicitation language designating indicators that the contractor or recipient will be required to collect and report as part of the contractual deliverables or assistance performance goals. Where applicable, these indicators should be derived from the Mission-wide Performance Management Plan (PMP);
- 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;
- For Notice of Funding Opportunities (NOFOs) that will result in a cooperative agreement, language on the type of substantial involvement that is anticipated between USAID and the recipient ([ADS 304](#));
- An approved environmental compliance document such as an Initial Environmental Examination (IEE), Request for Categorical Exemption (RCE), or Environmental Impact Assessment (EA) (per [ADS 201](#), [ADS 204](#), and [22 CFR 216](#));
- For acquisitions, documentation that procurements above the simplified acquisition threshold comply with the requirements of the Office of Federal Procurement Policy Letter 11-01, and the [Inherently Governmental and Critical Functions Template](#);
- For acquisitions, a written Individual Acquisition Plan (IAP) if required per FAR Part 7;
- Market research documentation;
- Climate Risk Assessment, if required (per [ADS 201](#) and [ADS 201mal, Climate Risk Management for USAID Projects and Activities](#));
- For all prospective A&A activities intended to support the energy sector or support energy infrastructure, documentation of the required screening and (if applicable) exemption (per [ADS 201](#) and [ADS 201mbb, Energy Assistance Guidance](#) (note this document is only available on the Agency's internal website)); and
- Any other documents needed for special clearances, e.g., source nationality/waivers, restricted commodities, limited competition or restricted eligibility, NSDD-38, IT approvals, and any others.

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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

ACTION	TIMEFRAME (Calendar Days)
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)	268 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
Inter-Agency Agreement	90 days
Inter-Agency 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
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 program/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 and the timeframes listed in **300.3.2**. The action must

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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 must consider all Agency priorities, feasibility of timeline, and other planned workload considerations in order to complete actions required by the end of the current fiscal year.

300.3.4 Reserved

300.3.5 Specific Requirements for Acquisition Awards

300.3.5.1 Small Business Review

Effective Date: 07/13/2022

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 the micro-purchase threshold, but below the simplified acquisition threshold, as defined in FAR 2.101, are required to be set aside for small business in accordance with FAR 19.502-2 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 source sought notice in System for Award Management (SAM) and consultation with OSDBU to promote the participation of small businesses. 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 regarding small business set-asides in [FAR Part 19](#) and small business screening in [AIDAR Part 719](#) apply.

Acquisitions involving consolidation, bundling, or substantial bundling are subject to the additional requirements in [FAR Part 7.107](#). OSDBU is required to review proposed solicitations that involve significant bundling of contract requirements, in accordance with [ADS Chapter 321](#). For public notice procedures for acquisitions involving consolidation or substantial bundling, see [ADS 300mau](#).

In addition to the above small business reviews of individual procurements under the noted requirements, the Director of OSDBU 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.

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300.3.5.2 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.

300.3.5.3 Individual Acquisition Plans (IAPs)

Effective Date: 03/08/2022

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 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 the simplified acquisition threshold, as defined in FAR 2.101, 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 in accordance with [FAR 7.105](#). The [Individual Acquisition Plan Template](#) meets these FAR requirements and is only available to Agency staff on

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the intranet. When the total cost of the award, including any Options, is less than \$10 million, the Planner must prepare a written IAP in any format 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, 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, Program Cycle Operational Policy](#)) 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.

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 implications or concerns,

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- 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.

300.3.5.4 Additional Requirements for Information Technology

Effective Date: 08/11/2020

As outlined in [ADS 509, Management and Oversight of Agency Information Technology Resources](#) and in accordance with [FITARA](#), CIO approval is required for all acquisitions that include a requirement for information technology (IT) used by the Agency, regardless of the estimated dollar level. IT includes, but is not limited to, IT services, cloud computing services, software, hardware, mobile devices, and online subscriptions. Operating Units must contact M/CIO at ITAuthorization@usaid.gov in order to request a review or approval of proposed acquisitions that include a requirement for IT used by the Agency (see [ADS 509.3.1 and 509.3.4.2](#) for further details). The Operating Unit must also identify the proposed procurement on the Agency A&A plan by selecting “Yes” in the “containing IT” field. Planners must ensure that the acquisition plan contains sufficient information on the IT requirements under the award, as well as the relevant M/CIO approvals, to ensure that the CO includes the appropriate clauses and provisions in the award.

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When planning acquisitions that include IT, the acquisition planner must perform market research consistent with [FAR Part 10](#). If the planned acquisition includes custom development of software solutions, the request for M/CIO approval must include documentation addressing how the acquisition planner determined that no Federal software solutions, commercial software solutions, or other non-developmental items exist or can be modified to satisfy the requirement (see [ADS 547maa, Limits on Custom-Developed Software](#) for further details regarding requirements for the acquisition of custom-developed software).

300.3.6 Contract Review Board (CRB)

Effective Date: 03/16/2023

The Contract Review Board must review solicitation and award documents for acquisitions at or above a total estimated cost of \$25 million. The CRB does not review actions associated with the execution of Task Orders or awards resulting from Broad Agency Announcements (BAAs). Policies, procedures and parameters for CRB reviews appear in [ADS 302, USAID Direct Contracting](#) and the [Contract Review Board Guidelines](#).

300.3.7 Assistance Planning

Effective Date: 06/27/2018

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, climate risk, 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 the simplified acquisition threshold, as defined in FAR 2.101 must be entered into the Agency A&A Plan system before award.

300.3.8 A&A Tools and Templates

Effective Date: 03/08/2022

M/OAA/ACTS has created useful tools and templates for USAID's A&A Workforce with an easily accessible, central location available on the [Business Process Improvement \(BPI\) intranet page](#) (for internal use only). M/OAA/ACTS may periodically revise these templates and add new templates, as necessary.

300.4 MANDATORY REFERENCES

300.4.1 External Mandatory References

Effective Date: 03/05/2024

a. [Clinger-Cohen Act](#)

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

- b. [Federal Acquisition Regulation \(FAR\)](#)
- c. [FITARA, Title VIII, Subtitle D](#)
- d. [M-15-14, Management and Oversight of Federal Information Technology](#)
- e. [Office of Federal Procurement Policy \(OFPP\) Policy Letter 11-01, Performance of Inherently Governmental and Critical Functions](#)
- f. [OFPP Memorandum, Reducing PALT Using Modern Business Practices, January 14, 2021](#)

300.4.2 Internal Mandatory References

Effective Date: 03/16/2023

- a. [ADS 201, Program Cycle Operational Policy](#)
- b. [ADS 300mak, Inherently Governmental and Critical Functions Template](#)
- c. [ADS 300mar, Data Collection for Contingency Contracting](#)
- d. [ADS 300mat, Guidance for Broad Agency Announcements](#)
- e. [ADS 300mau, Public Notice Procedures for Acquisitions Involving Consolidation or Substantial Bundling](#)
- f. [ADS 302, USAID Direct Contracting](#)
- g. [ADS 303, Grants and Cooperative Agreements to Non-Governmental Organizations](#)
- h. [ADS 304, Selecting the Appropriate Acquisition and Assistance \(A&A\) Instrument](#)
- i. [ADS 306, Interagency Agreements](#)
- j. [ADS 308, Agreements with Public International Organizations](#)
- k. [ADS 321, Office of Small and Disadvantaged Business Utilization](#)
- l. [ADS 509, Management and Oversight of Agency Information Technology Resources](#)

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300.4.3 Mandatory Forms
Effective Date: 04/02/2013

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

300.5 ADDITIONAL HELP
Effective Date: 03/16/2023

- a. [A&A Plan Page with Link to Web-based Training and Information \(this link is only available on the Agency's internal website\)](#)
- b. [A&A Tools and Templates](#)

300.6 DEFINITIONS
Effective Date: 03/16/2023

See the [ADS Glossary](#) for all ADS terms and definitions.

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 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;

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or contracts which are required to be entered into and administered under procurement laws and regulations. (**Chapters 300**, [303](#), [304](#))

basic ordering agreement

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

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

buyer

A term used in GLAAS systems interchangeably with "A&A Specialist." (**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. (**Chapter 300** and [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)

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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

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**)

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**)

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](#))

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information technology (IT)

As defined in [M-15-14: Management and Oversight of Federal Information Technology Resources](#), information technology includes:

- a. Any services or equipment, or interconnected system(s) or subsystem(s) of equipment, that are used in the automatic acquisition, storage, analysis, evaluation, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the agency;
- b. Such services or equipment are “used by an agency” if used by the agency directly or if used by a contractor under a contract with the agency that requires either use of the services or equipment or requires use of the services or equipment to a significant extent in the performance of a service or the furnishing of a product.
- c. The term “information technology” includes computers, ancillary equipment (including imaging peripherals, input, output, and storage devices necessary for security and surveillance), peripheral equipment designed to be controlled by the central processing unit of a computer, software, firmware and similar procedures, services (including provisioned services such as cloud computing and support services that support any point of the lifecycle of the equipment or service), and related resources.
- d. The term “information technology” does not include any equipment that is acquired by a contractor incidental to a contract that does not require use of the equipment.

(**Chapters 300, [518](#), [519](#), [541–548](#), [552](#)**)

information technology resources

As defined in M-15-14: Management and Oversight of Federal Information Technology Resources, information technology resources includes all:

- a. Agency budgetary resources, personnel, equipment, facilities, or services that are primarily used in the management, operation, acquisition, disposition, and transformation, or other activity related to the lifecycle of information technology;
- b. Acquisitions or interagency agreements that include information technology and the services or equipment provided by such acquisitions or interagency agreements; but
- c. Does not include grants to third parties which establish or support information technology not operated directly by the Federal Government.

(**Chapters 300, [519](#), [541](#)**)

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institutional support mechanism

Non-personal service contracts and agreements that provide personnel or otherwise support Agency operations. This may include institutional contracts 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). (Chapter 300 and [306](#))

letter contract

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 (OUs)

The organizational unit responsible for implementing a foreign assistance program for one or more elements of the Department of State's Foreign Assistance Framework. The definition includes all U.S. Government agencies implementing any funding from the relevant foreign assistance accounts (the 150 accounts). For USAID, it includes field Missions and regional entities, as well as Regional Bureaus, Pillar Bureaus, and Independent Offices in USAID/Washington that expend program funds to achieve DOs identified in a CDCS. In Chapter 201, field OUs are referred to as "Missions", and those in Washington are referred to as "Washington OUs." (Chapters [201](#), [260](#), [300](#), [304](#), [436](#), [540](#), [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 Manager, where a project approach is used ([ADS 201](#)), or the intended Contracting Officer/Agreement Officer Representative (COR/AOR), among other examples. The Planner works with the CO/AO to carry out the planning function. Operating Units (OUs)

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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**)

Project Manager

A designated individual who is responsible for providing overall guidance and direction at the project level during project implementation. The Project Manager may be an Office Director, Team Leader, or COR/AOR, among other options. As this is a function in the Mission, rather than a formal position in the Mission's staffing pattern, the designated Project Manager might or might not have formal supervisory authorities over technical staff. (**Chapter [201](#) and 300**)

Public International Organization (PIO)

An international organization that appears on the List of Public International Organizations or has otherwise been designated in accordance with the terms of [ADS Chapter 308](#). (**Chapter 300, [308](#)**)

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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