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Instructions and Template for Senior Obligation Alignment Review (SOAR) Document

A Mandatory Reference for ADS Chapter 300

Partial Revision Date: 09/17/2021
Responsible Office: M/MPBP
File Name: 300man_091721

PART 1 – STANDARD DESCRIPTIVE DATA

(No more than three sentences per row)

Activity Name	
Bureau/Office/Mission	
Anticipated Type of Instrument	Identify the anticipated instrument type (e.g. contract, cooperative agreement, interagency agreement, etc.). NOTE: This selection is a preliminary recommendation that is subject to Contracting/Agreement Officer (CO/AO) approval.
Total Estimated Cost/Amount and whether single or multiple awards	
Anticipated Funding Type or Account (DA, ESF, IDA, OCO, AEECA, SEED, etc.) ¹ for all years of funding. Note if funds are expiring. Please see example to the right.	Fiscal Year (FY) 2021 \$X million Development Assistance (DA), \$X million Economic Support Funds (ESF) Anticipated funding for future years: FY 2022 \$X million ESF FY 2023 \$X million DA FY 2024 \$X million DA, \$X million ESF
Estimated solicitation posting date	MM/DD/YYYY
Planned Period of Performance	MM/YYYY - MM/YYYY
Country (or countries) of performance, if known	
Core Design Team	Identify the names and associated offices of individuals who substantially contributed to the design process. Include any individuals from USAID/Washington or external organizations (e.g., from the partner government).
What development problem(s) does the proposed award address?	Summarize the core development problem that the activity will address.

¹ Development Assistance Fund (DA), Economic Support Fund (ESF), International Disaster Assistance (IDA), Overseas Contingency Operations (OCO), Assistance for Europe, Eurasia, and Central Asia (AEECA), Support for East European Democracy (SEED)

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<p>What are the intended results of the activity?</p>	<p>State the purpose of the activity, or the highest-level result to be achieved by the activity. Also summarize any other high-level intended results that will support the achievement of this purpose.</p>
<p>What anticipated or illustrative major approaches will be implemented to address the defined problem?</p>	
<p>Does this activity prioritize and promote locally led solutions? Does it ensure that local knowledge and priorities are central in the design of this activity? If yes, please specify. If not, please explain why not.</p>	
<p>How does the proposed award advance equity, empowerment, inclusion, and accessibility for people that are under-represented, marginalized, and/or in vulnerable situations? How will we ensure diversity, equity, and inclusion principles and practices are implemented?</p>	
<p>(If applicable) What provisions are being made, if any, for the involvement of U.S. small businesses as either Prime or Subcontractors (see ADS 321 for definition)?</p>	
<p>(If applicable) Are any of the types of organizations from the previous two questions expected to submit offers/apply as contractors/recipients, or expected to be subcontractors/sub-recipients?</p>	
<p>What impact will compliance with Section 889 have on the activity if it cannot be performed for the full duration of the award? Will the award contain the "condition subsequent" language, or will it be structured with</p>	

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<p>"Contract Options" to allow for termination if the contractor is using covered technology and the Agency does not have an approved waiver to allow the contractor to continue performance?</p> <p>For Assistance awards, what impact will compliance with Section 889 have on the activity if the Recipient lacks its own funds (outside the USG award) to pay for technology and services that comply with Section 889 when the current waiver expires?</p>	
<p>(For contracts only) Does the proposed award include Information Technology resources for use by Agency staff? If yes, please provide a copy of M/CIO approval. Please see ADS 300sab, FAQs, and ADS 509, Management and Oversight of Agency Information and Technology Resources, for additional information.</p>	

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PART 2 – JUSTIFICATION

(Part 2 may not exceed three pages. Documents that exceed the page limit will be returned for revision. Annexes will not be accepted. It is only necessary to include the bold titles; the questions and associated instructions may be deleted.)

There is no fixed format for the questions below as the nature of activities can differ extensively. Some questions are mandatory, and others are as applicable. For the “as applicable” questions, Operating Units (OUs) should provide meaningful answers and avoid boilerplate language that does not add value. “As applicable” questions that do not apply may be omitted. OUs may add a final section to this document containing additional information that they deem significant for approval, while not exceeding the three page limit.

OUs should provide clear, concise and relevant explanations to maximize the chances that the activity will be quickly approved. OUs should also anticipate questions and address such matters in this submission to minimize additional queries.

Mandatory:

1. **Other Public- and Private-Sector Resources:** Will the proposed award leverage public- and/or private-sector resources? If so, how? If not, why not?
2. **Use of Evidence:** What has been the use of evidence (e.g., from impact or performance evaluations, scientific research) and assessments and/or analysis (e.g., [political-economy analysis](#), [cash benchmarking](#), [cost-effectiveness analysis](#), [cost-benefit analysis](#), [gender analysis](#), [inclusive development analysis](#), etc.) in designing the activity? What evaluations, research projects, or **collaborative learning processes** are planned to facilitate learning from this activity? Is this activity a new, untested approach that is anticipated to be expanded in scale or scope through the U.S. Government or other funding sources? If so, is an impact evaluation planned, as required, if feasible, in [ADS Chapter 201.3.6](#)? Why or why not?
3. **Past Activities:** How does the activity build on past activities?
 - If this is a follow-on award not based on a thorough review of the initial award, please explain why not.
 - If this is a follow-on award, explain how the new award will demonstrate the following:

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- (a) the inclusion of lessons learned from the previous award to inform better program design;
- (b) an expanded level of results that builds on previous work; and/or
- (c) increased sustainability of development assistance and impact.

4. **Sustainable Results:** How is the activity designed to deliver results that will be sustained beyond USAID engagement and the life of this activity? How, if at all, will this activity work to increase the capabilities of local actors (host governments, nongovernmental organizations, private industry, institutions of higher education)? How, if at all, will the activity facilitate the availability of local resources to enable local actors to either undertake similar work or maintain the results achieved through this activity over time?
5. **COVID-19:** Explain how this activity assists in mitigating the dangers COVID-19 has presented to our progress in global health, education, democracy, and food security. How does this activity incorporate our partners ensuring a unified, global response to the pandemic? (Source: <https://www.usaid.gov/coronavirus>)

As Applicable:

1. **National Security:** How is this activity designed to further the objectives of the interim National Security Strategic Guidance to strengthen alliances, defend democracy worldwide, and address concerns about actions of strategic competitors like China, Russia, and other authoritarian states?
2. **Climate Change:** How does the activity integrate climate change considerations and objectives including, climate mitigation (reducing greenhouse gas emissions), climate adaptation, and climate justice? Were there any major (*i.e.*, moderate or high) climate risks identified in the **Climate Risk assessment**? If so, how will CRM measures be integrated into the design and implementation of the activity (*e.g.*, into the Statement of Work, Environmental Mitigation and Monitoring Plan, Activity Monitoring, Evaluation and Learning Plan, etc.)?

An Action Memorandum addressed to the Administrator (for acquisition and assistance awards at or over \$100 million) or to the relevant Assistant Administrator (for acquisition and assistance awards at or over \$50 million and under \$100 million) must accompany all SOAR requests. The most recent Action Memorandum templates are available at the Executive Secretariat website "What We Provide." The Action Memorandum must request approval or disapproval of the SOAR document and provide a short summary of the request.

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*Please list unresolved comments generated during the five-day review period by Pillar and relevant Regional Bureaus labeled as “Substantive” and that included a solution by the Reviewer. Please include the Reviewer’s self-identifying information (name, office, title). This section will not be considered as part of the **three**-page limit for the Justification section.*

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