



USAID
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ADS Chapter 300

Agency Acquisition and Assistance (A&A) Planning

Partial Revision Date: 08/13/2013
Responsible Office: M/OAA & M/MPBP
File Name: 300_081313

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 tool for A&A planning.

The A&A strategy developed for the Project Appraisal Document (PAD), required by [ADS 201, Planning](#), 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: 07/09/2013

- a. The **Administrator** will provide final authorization to proceed ("go/no-go") with proposed awards at or above \$75 million in total estimated cost.
- b. **Assistant Administrators** will validate that all new planned solicitations at or above \$25 million in total estimated cost fulfill qualifying criteria and approve the issuance of a solicitation.
- c. 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.

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d. Operating Units (OUs) – Missions and Bureau/Independent Offices (B/IOs) – in consultations with the Contracting/Agreement officers (CO/AOs) are responsible for:

- Acquisition and Assistance (A&A) planning, including conducting market research;
- Identifying Planners for particular procurement (see section **300.2.c**);
- Preparing, submitting, and updating their A&A Plan via the Agency A&A Plan tool; and
- Completing pre-award requirements, e.g., preparing a written individual acquisition and/or assistance plan, if necessary.

e. 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. This individual may be, at the discretion of Operating Units, the same person who enters operating unit data into the Agency A&A Plan tool 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.

f. Contracting Officers (COs) and Agreement Officers (AOs):

- Review the data in the Agency A&A Plan, consult with their respective program/technical offices, as necessary, and concur with the plan;
- Work with Planners to ensure that Individual Acquisition Plans (IAPs) comply with statutory and regulatory requirements and demonstrate sound business judgment and sign the IAPs;

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- 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 program/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).

g. Board for Acquisition and Assistance Reform (BAAR):

- Review proposed A&A actions that meet one or more criteria as listed below in section **300.3.8**; and
- Provide guidance as to whether the actions can proceed as proposed or must be restructured.

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

i. The **Office of Small and Disadvantaged Business Utilization (OSDBU)** monitors the Agency A&A Plan for small business involvement and reviews requirements for potential small business opportunities.

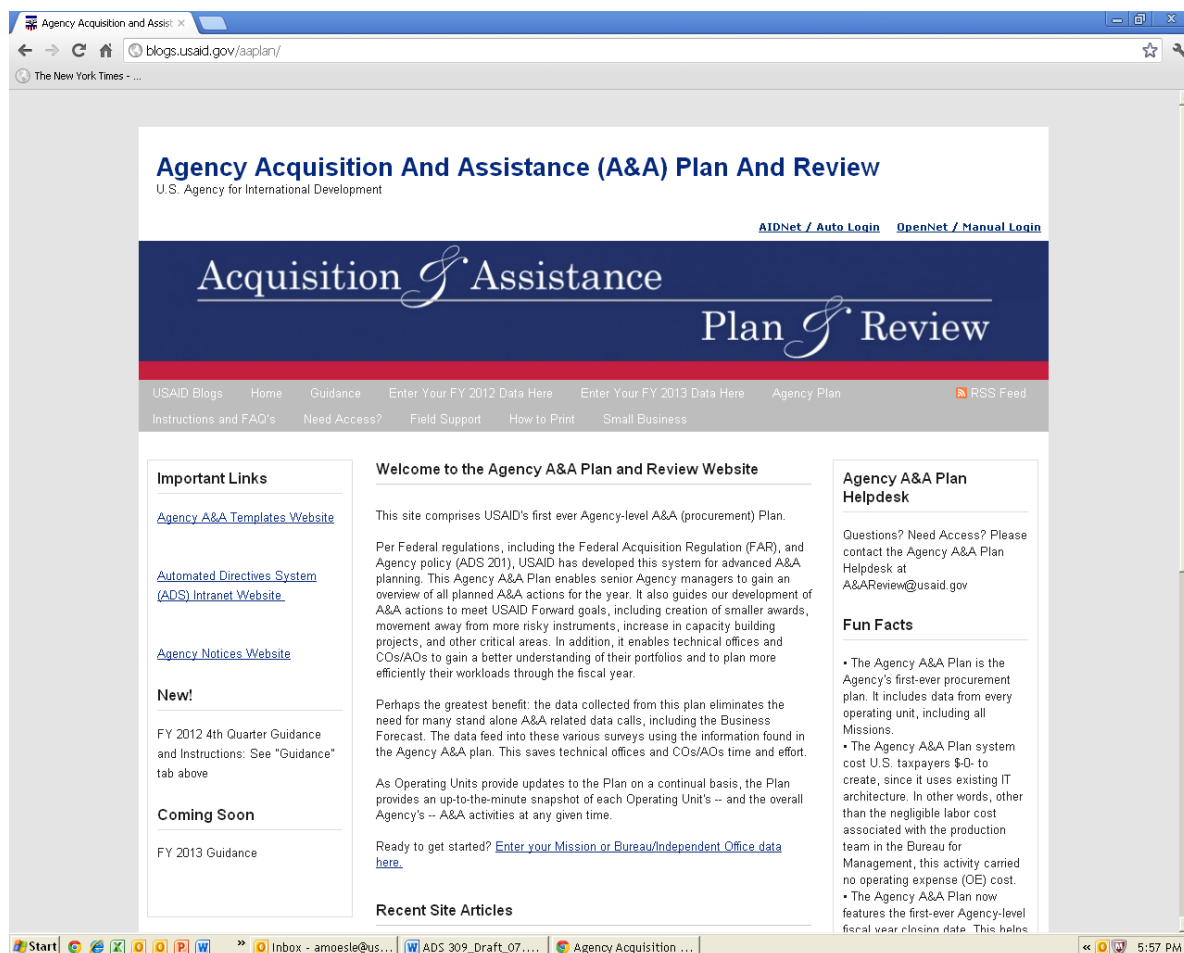
300.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

300.3.1 Agency Acquisition and Assistance Plan and Review Tool

Effective Date: 04/02/2013

USAID has developed a tool for advanced Acquisition and Assistance (A&A) planning, the Agency A&A Plan and Review, which can be accessed via the Agency Intranet website at: <http://blogs.usaid.gov/aaplan/>.

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This business management tool 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 program/technical offices and Contracting/Agreement Officers (COs/AOs) to gain a better understanding of their portfolios and to plan their workloads more efficiently throughout the fiscal year.

Each Operating Unit (OU), including individual Bureaus, Independent Offices, and Missions, is required to develop an A&A Plan in the Agency A&A Plan and Review tool and update the plan on a continual basis. The Agency A&A Plan

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provides a snapshot of each OUs – and the overall Agency's – A&A activities at any given time.

OUs must develop their A&A Plan in consultation with their responsible CO/AO. OUs must include 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;
- Inter-agency Agreements; and
- All other implementing *mechanisms* awarded by a CO/AO that obligate USAID funds for the procurement of goods and services.

OUs may, at their discretion, also include awards between \$25,000 and \$150,000, administrative actions that are the CO/AO's responsibility and actions that are not the CO/AO's responsibility.

Missions and Field OUs electing to use Regional and Pillar Bureau-managed contracts, agreements, and grants in Washington with field support funding or sub-obligation funding do not need to include these actions in their A&A Plans. Acquisition and Assistance (A&A) Plans 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 (AORs/CORs) 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

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as Operational Year Budgets (OYB) are set and Operational Plans (OP) are submitted.

OUs must complete all cells in the appropriate spreadsheet(s) of their A&A Plan and update their plans on a continual basis. CO/AOs must review the data in the spreadsheets, consult with their respective program/technical offices, and confirm that any actions listed on the plan can be awarded by the dates indicated. COs/AOs are encouraged to make changes directly in the Agency A&A Plan. COs/AOs must communicate with their program and technical office colleagues regarding any changes they make within the Agency A&A Plan.

An action must be in the Agency A&A Plan to be awarded, except as otherwise indicated in this chapter. The requesting program/project office, working with the CO/AO, must ensure that actions are planned in a timely manner and entered on the Agency A&A Plan as indicated in **300.3.2**. COs/AOs must confirm that an action is in the A&A Plan before signing the award. The CO/AO must notify the requesting program/project office of this requirement if a pending award is not in the plan. The requesting office must include the action in the A&A Plan before the CO/AO may sign it. Actions that have been carried over from the previous fiscal year can continue to proceed up to the point of award if they were listed in the previous fiscal year's Agency A&A Plan. These actions must be noted on the Agency A&A Plan for the current fiscal year to be signed.

M/MPBP will take a snapshot of the data on the third Wednesday in October, January, April, and July of each fiscal year. The data will be shared with Agency senior management and used for analytical, planning, and management purposes.

300.3.2 Agency A&A Yearly Planning Schedule

Effective Date: 04/02/2013

Action	Bureau/Office	Due Date
Snapshot of A&A Plan – Quarter 1	M/MPBP	Third Wednesday in October
Snapshot of A&A Plan – Quarter 2	M/MPBP	Third Wednesday in January
Commitment of Expiring Funds Completed	Operating Units	NLT March 29
Snapshot of A&A Plan – Quarter 3	M/MPBP	Third Wednesday in April
Expiring funds designated for field support planned and authorized in field support database	Mission Operating Units and Regional Bureau Program Offices	NLT May 30
Field support sub-obligations	Mission Operating	NLT June 30

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Action	Bureau/Office	Due Date
authorized in field support database	Units	
A&A Plan FY closing date	All Operating Units	Third Monday in July
Snapshot of A&A Plan – Quarter 4	M/MPBP	First Wednesday 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

Operating Units must continuously update their A&A Plan throughout each fiscal year.

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

300.3.3 Agency A&A Plan Annual Fiscal Year Closing Date

Effective Date: 04/02/2013

For actions to be awarded in the current fiscal year, the Agency Acquisition and Assistance (A&A) Plan and Review tool closes on the third Monday in July of each fiscal year. The closing date helps to ensure that the Contracting/Agreement Officer (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 agreed to in the Agency A&A Plan. 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. 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: 07/09/2013

At the pre-solicitation stage, the responsible Assistant Administrator (AA) must validate that new planned solicitations, at or above \$25 million in total estimated cost, fulfill qualifying criteria and approve the issuance of a solicitation. For proposed awards at or above \$75 million, the Administrator must provide a final authorization to proceed (“go/no-go”) with the award. Operating Units must use the [Acquisition and Assistance Review and Approval Document \(AARAD\)](#) to document the AA’s approval at the pre-solicitation stage and the Administrator’s authorization at the pre-award stage.

The qualifying criteria for new planned awards at or above \$25 million in total estimated cost are as follows:

1. **Policy Relevance**: The activity is consistent with the Country Development Cooperation Strategy (CDCS), U.S. policy, and Agency priorities.
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. **Partner Capacity (Pre-Award)**: In the event of a final “go/no-go” decision, the proposed partner (without disclosure of the name of the organization) demonstrates sufficient technical capacity to perform the activity and a commitment to developing local capacity, if applicable.
6. **Funding (Pre-Award)**: In the event of a final “go/no-go” decision, the Operating Unit must note if and when any planned funding is expiring.
7. **Internal Clearance**: The regional bureau AA has received no objection from the pillar bureau AA and vice versa, if applicable.

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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, indefinite delivery- indefinite quantity (IDIQ) contracts and task orders issued under IDIQs, awards to public international organizations (PIOs) and interagency agreements. Food for Peace non-emergency awards are included in the review process. Humanitarian assistance and transition initiatives 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.

300.3.4.1 Pre-Solicitation Review and Approval

Effective Date: 07/09/2013

For planned new awards at or above \$25 million in total estimated cost, the responsible Contracting Officer's Representative/Agreement Officer's Representative (COR/AOR) must initiate the Acquisition and Assistance Review and Approval Document (AARAD) to obtain the AA's approval. In the AARAD, the COR/AOR must provide a description of how the activity will satisfy each qualifying criterion. Specific criteria may not be relevant in every case, but the COR/AOR must address the criteria to the extent possible in the respective sections of the AARAD. The COR/AOR may attach additional supporting documentation for the AA's consideration such as the Project Appraisal Document (PAD), the Individual Acquisition Plan (IAP), and key elements of the Request for Proposal/Application after an initial review by the CO/AO (e.g., the statement of work/program description, evaluation criteria and independent government cost estimate).

The COR/AOR must first obtain the clearance of the Mission Director/Head of the Operating Unit and then forward the completed AARAD and any supporting documentation to the responsible AA for approval. Regional bureau AAs will serve as the approving officials for award solicitations initiated in their respective bureaus in USAID/Washington or overseas missions falling under their oversight. Pillar bureau AAs will approve USAID/Washington award solicitations that the bureaus initiate. Where applicable, the regional bureau AA will obtain clearance from the pillar bureau AA. Similarly, the pillar bureau AA will obtain clearance from the regional AA when the activity will be implemented in one country or within one region.

The responsible AA will have seven calendar days from receipt of the AARAD to raise questions and provide approval. When the AARAD is approved by the responsible AA, the COR/AOR will forward the signed AARAD to the CO/AO who will proceed with the solicitation. If the responsible AA does not respond within the seven calendar days, the COR/AOR must note on the AARAD that

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the seven calendar days have lapsed and forward a copy to the CO/AO who will proceed with the solicitation. The COR/AOR must maintain documentation of when the AARAD was sent to the responsible AA for approval.

The CO/AO will not issue a solicitation or otherwise make available any final requirements document without the responsible AA's signature on the AARAD or written notification that the timeframe for approval has lapsed. The Procurement Action Lead Time (PALT) does not begin until the CO/AO receives the AARAD, along with other required documentation as outlined in **300.3.5**. A copy of the pre-solicitation AARAD must be retained in the COR/AOR and CO/AO files.

300.3.4.2 Pre-Award Review and Authorization

Effective Date: 07/09/2013

For awards at or above \$75 million, the Administrator will provide the final authorization to proceed ("go/no-go") with the award. The Technical Evaluation Committee (TEC) chair will complete another [AARAD](#) at the pre-award stage. A description of how the activity, as proposed by the potential awardee being considered (without disclosing the name of the potential awardee), will satisfy each qualifying criterion must be provided in the AARAD. This review is in addition to and builds on the AA's pre-solicitation review and approval. The pre-solicitation AARAD must be included in the package for the Administrator. The Project Appraisal Document (PAD) and CO/AO's responsibility determination may also be provided as attachments. The TEC 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 chair must concurrently obtain clearance from the Mission Director/Head of the Operating Unit and then forward the AARAD with supporting documentation to the responsible AA for a signature, indicating whether or not moving forward with the award is recommended. Where applicable, the responsible AA will obtain the clearance of the pillar/regional AA.

The responsible AA will have seven calendar days to sign the AARAD or raise questions, after which time the document will be forwarded to the Administrator for a final authorization to proceed with the award. The Administrator will also have seven days to authorize the award or raise concerns after which time the CO/AO can proceed with the award. The TEC 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 on the AARAD if moving forward to award is not recommended or authorized. The signed AARAD with the Administrator's authorization or a copy of the AARAD with a notation that the seven calendar days have lapsed must be provided to the

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CO/AO for final action on the award. The pre-award AARAD must be attached to the pre-award package when submitted to the CRB for final review before award. In addition, a copy of the pre-award AARAD must be retained in the COR/AOR and CO/AO files.

300.3.5 Procurement Action Lead Time (PALT)

Effective Date: 05/07/2013

When planning Acquisition and Assistance (A&A) actions, it is important to understand the time it takes to process them. Contracting/Agreement Officers (COs/AOs) 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 program/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 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.

Milestone schedules/plans are required for new awards in the Global Acquisition and Assistance System (GLAAS). 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 tool. A complete GLAAS request for a new action must include, but is not limited to, the following:

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- 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;
- 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 criteria (for a competitive action) to be used by the Technical Evaluation 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; and
- Any other documents needed for special clearances, e.g., source nationality/ waivers, restricted commodities, limited competition, and any others if not included in the PAD; and

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- For new planned awards at or above \$25 million in total estimated cost, an [Acquisition and Assistance Review and Approval Document](#) signed by the responsible Assistant Administrator.

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)	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
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

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ACTION	TIMEFRAME (Calendar 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. 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 (PALT), 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 (COs/AOs). 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:

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](#)

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- (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 website](#) for new or revised templates.

300.3.7 Business Forecast and Other Ad Hoc Data Calls

Effective Date: 04/02/2013

The Bureau for Management, Office of Acquisition and Assistance (M/OAA) uses the data from the Agency A&A Plan to publish the Business Forecast. M/OAA submits 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. M/OAA also submits the forecast to the Small Business Administration annually. 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

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

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: 07/09/2013

The Bureau for Management (M) will conduct quarterly reviews of each Bureau's A&A Plan. The Assistant Administrator for Management (AA/M) will participate in the meetings, along with the Assistant Administrator (AA) of each Bureau. The A&A Plan Reviews will focus on each Bureau's planned actions, as listed in the Agency A&A Plan tool.

The status of the AA's approval of the Acquisition and Assistance Review and Approval Document (AARAD) for each new planned award at or above \$25 million in total estimated cost will be discussed during the A&A Plan Review meetings.

300.3.10 Board for Acquisition and Assistance Reform (BAAR)

Effective Date: 07/09/2013

The BAAR must review proposed Acquisition and Assistance (A&A) actions that meet specific criteria and advise Contracting/Agreement Officers (COs/AOs) and program/project offices on whether the actions should be restructured to:

- Enhance competition,
- Increase transparency,
- Expand opportunities for small organizations and all categories of small business concerns,
- Promote creative or innovative approaches, or
- Otherwise respond to applicable policy.

The BAAR will review A&A actions, preferably at the concept stage, that meet one or more of the following criteria for BAAR consideration and approval:

For Acquisition:

- A new sole source contract with a total estimated cost greater than \$15 million;

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

- A new contract using limited competition (other than on a sole source basis) with a total ceiling greater than \$75 million;
- A new indefinite delivery, indefinite quantity contract (IDIQ) with a total ceiling greater than \$75 million;
- A modification to an existing IDIQ to raise the total ceiling by more than \$35 million;
- An IDIQ Task Order greater than \$50 million, except those task orders that are predominantly for commodity procurement.

For Assistance:

- A new sole source grant or cooperative agreement with a total estimated cost greater than \$15 million;
- A new grant or cooperative agreement using limited competition (other than on a sole source basis) with a total ceiling greater than \$75 million;
- A new Leader with Associates (LWA) award with a total ceiling greater than \$25 million;
- A modification to an LWA to raise the total ceiling by more than \$25 million;
- Funded Leader or Associate award extensions of any duration, or no cost extensions cumulatively greater than 12 months;
- All LWAs, regardless of size, if field support to the Leader Award is expected to exceed 25% of the Leader Award ceiling;
- All LWAs awarded after December 2011 with individual field support actions greater than \$500,000.

The BAAR review does not apply to proposed A&A actions for the benefit of critical priority countries (CPCs) or for actions in furtherance of humanitarian or post-conflict situations.

The status of the Assistant Administrator's approval of the [Acquisition and Assistance Review and Approval Document \(AARAD\)](#) for each new planned award that is at or above \$25 million in total estimated cost will be discussed during the BAAR meetings.

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For additional information on the BAAR and the procedures for submitting actions to the BAAR, please contact the BAAR Secretariat at baar@usaid.gov.

300.3.11 Contract Review Board (CRB)

Effective Date: 08/13/2013

The Contract Review Board (CRB) 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 Document (AARAD) approved by the responsible Assistant Administrator must be provided for the CRB review of solicitations at or above \$25 million in total estimated cost. The AARAD authorized by the Administrator must be provided for the CRB review of awards at or above \$75 million in total estimated cost.

300.3.12 Acquisition Planning

300.3.12.1 Small Business Review

Effective Date: 04/02/2013

The Office of Small and Disadvantaged Business Utilization (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 (CO) 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 (OU) 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 regarding small business set-asides in [FAR Part 19](#) and small business screening in [AIDAR Part 719](#) apply.

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

300.3.12.2 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 (A&A) [Template on Inherently Governmental and Critical Functions](#) to the Contracting Officer. This requirement does not apply to personal services contracts.

300.3.12.3 Individual Acquisition Plans (IAPs)

Effective Date: 04/02/2013

In addition to entering all Acquisition and Assistance (A&A) 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). The Operating Unit (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 tool.

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

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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 (CO) and the signed IAP must be sent to the CO along with the procurement request.

The Planner has overall responsibility for preparing the written IAP; however, an IAP requires the joint expertise of the program/project, technical, and contracting 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. 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.

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,
- Legal aspects of the contemplated terms and conditions,
- Scheduling requirements,

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- 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](#)); 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.

300.3.13 Assistance Planning

Effective Date: 04/02/2013

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 tool before award.

300.4 MANDATORY REFERENCES

300.4.1 External Mandatory References

Effective Date: 04/02/2013

a. [Federal Acquisition Regulation \(FAR\)](#)

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

- b. [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: 07/09/2013

- 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](#)
- 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, Acquisition and Assistance Review and Approval Document](#)
- o. [ADS 302, USAID Direct Contracting](#)
- p. [ADS 303, Grants and Cooperative Agreements to Non-Governmental Organizations](#)
- q. [ADS 304, Selecting Between Appropriate Acquisition and Assistance Implementing Instruments](#)

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

- r. [ADS 306, Interagency Agreements](#)
- s. <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: 08/27/2013

- a. [ADS 300saa, Agency A&A Plan Spreadsheet Sample](#)
- b. [ADS 300sab, Senior Management Review of Planned A&A Awards: Frequently Asked Questions](#)
- c. [ADS 300sac, Sample Action Memorandum and Acquisition and Assistance Review Document \(AARAD\)](#)

300.6 DEFINITIONS Effective Date: 07/09/2013

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. 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 tool 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)

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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

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

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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

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

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

inter-agency 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](#))

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

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](#))

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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**)

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**)

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

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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