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**NOTE: The Assistance portion
of this AAPD
has been incorporated
into ADS303**



Acquisition & Assistance Policy Directive

(AAPD)

From the Office of the Director, Procurement Issued: February 26, 2004

AAPD 04-06

Submission of Development Experience Documents

Subject Category: Acquisition Management (AM);
Assistance (A)
Type: Revised Clauses and Standard Provisions

AAPDs provide information of significance to all agency personnel and partners involved in the Acquisition and Assistance process. Information includes (but is not limited to): advance notification of changes in acquisition or assistance regulations; reminders; procedures; and general information. Also, AAPDs may be used to implement new requirements on short-notice, pending formal amendment of acquisition or assistance regulations.

AAPDs are **EFFECTIVE AS OF THE ISSUED DATE** unless otherwise noted in the guidance below; the directives remain in effect until this office issues a notice of cancellation.

This AAPD: Is New Replaces/ Amends
CIB/AAPD No: _____

Precedes change to: AIDAR Part(s) 752.7005 Appendix _____
 US AID Automated Directives System (ADS) Chapters 303, 306, & 308
 Code of Federal Regulations _____
 Other _____
 No change to regulations

Applicable to: Existing awards; Modification required:
 Effective immediately
 No later than _____
 As noted in guidance below

RFPs/RFAs issued on or after the effective date of this AAPD; all other Pending Awards, i.e., 8(a), sole source...

Other or N/A _____

New Provision/Clause Provided Herein:

Yes; Scheduled update to Prodoc: April 2004

No

(electronic signature)

Timothy T. Beans

PURPOSE:

The purpose of this AAPD is to provide notice to USAID Contracting Officers and Agreement Officers of new addresses and means of submission for submitting documents to USAID's Development Experience Clearinghouse (DEC) and to provide a revised contract clause, AIDAR 752.7005, and revised assistance instrument and interagency agreement schedules and standard provisions in ADS Chapters 303, 306, and 308 with these addresses.

BACKGROUND:

DEC acquires USAID-funded reports and publications for dissemination to the international development community. Effective August 18, 2003, it relocated to new quarters, and it has revised the addresses and means of submission for contractors, recipients, and participating agencies to use in submitting documents to it to reflect the move and to offer new options for submitting documents.

GUIDANCE:

As interim promulgations pending formal revision of AIDAR and ADS 303, 306, and 308, we are providing the current addresses and means of submission to DEC. Substitute the following full text revisions of the contract clause or the assistance instrument or interagency agreement provisions in lieu of those current versions contained in these documents in solicitations, new awards, and existing awards:

A. Acquisitions: AIDAR 752.7005.

**SUBMISSION REQUIREMENTS FOR DEVELOPMENT
EXPERIENCE DOCUMENTS (JAN 2004)**

(a) Contract Reports and Information/Intellectual Products.

(1) The Contractor shall submit to USAID's Development Experience Clearinghouse (DEC) copies of reports and information products which describe, communicate or organize program/project development assistance activities, methods, technologies, management, research, results and experience as outlined in the Agency's ADS Chapter 540. Information may be obtained from the Cognizant Technical Officer (CTO). These reports include: assessments, evaluations, studies, development experience documents, technical reports and annual reports. The Contractor shall also submit to copies of information products including training materials, publications, databases, computer software programs, videos and other intellectual deliverable materials required under the Contract Schedule. Time-sensitive materials such as newsletters, brochures, bulletins or periodic reports covering periods of less than a year are not to be submitted.

(2) Upon contract completion, the contractor shall submit to DEC an index of all reports and information/intellectual products referenced in paragraph (a)(1) of this clause.

(b) Submission requirements.

(1) Distribution. (i) At the same time submission is made to the CTO, the contractor shall submit, one copy each, of

contract reports and information/intellectual products (referenced in paragraph (a)(1) of this clause) in either electronic (preferred) or paper form to one of the following: (A) Via E-mail: docssubmit@dec.cdie.org ; (B) Via U.S. Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210, Silver Spring, MD 20910, USA; (C) Via Fax: (301) 588-7787; or (D) Online: <http://www.dec.org/index.cfm?fuseaction=docSubmit.home>.

(ii) The contractor shall submit the reports index referenced in paragraph (a)(2) of this clause and any reports referenced in paragraph (a)(1) of this clause that have not been previously submitted to DEC, within 30 days after completion of the contract to one of the address cited in paragraph (b)(1)(i) of this clause.

(2) Format. (i) Descriptive information is required for all Contractor products submitted. The title page of all reports and information products shall include the contract number(s), contractor name(s), name of the USAID cognizant technical office, the publication or issuance date of the document, document title, author name(s), and strategic objective or activity title and associated number. In addition, all materials submitted in accordance with this clause shall have attached on a separate cover sheet the name, organization, address, telephone number, fax number, and Internet address of the submitting party.

(ii) The report in paper form shall be prepared using non-glossy paper (preferably recycled and white or off-white) using black ink. Elaborate art work, multicolor printing and expensive bindings are not to be used. Whenever possible, pages shall be printed on both sides.

(iii) The electronic document submitted shall consist of only one electronic file which comprises the complete and final equivalent of the paper copy.

(iv) Acceptable software formats for electronic documents include WordPerfect, Microsoft Word, and Portable Document Format (PDF). Submission in PDF is encouraged.

(v) The electronic document submission shall include the following descriptive information:

(A) Name and version of the application software used to create the file, e.g., WordPerfect Version 9.0 or Acrobat Version 5.0.

(B) The format for any graphic and/or image file submitted, e.g., TIFF-compatible.

(C) Any other necessary information, e.g. special backup or data compression routines, software used for storing/retrieving submitted data, or program installation instructions.

B. Assistance—Grants and Cooperative Agreements to Nongovernmental Organizations:

NOTE: The new language has been incorporated into the schedule of the Assistance templates (For Internal Use Only See http://inside.usaid.gov/M/OAA/policy/news_AssistanceAwardTemplates.html)

The revised provision has been incorporated into the Standard Provisions for U.S. and Non-U.S. Non-governmental Organizations which are listed under the Internal Mandatory References of ADS 303.

See <http://www.usaid.gov/policy/ads/300/303maa.pdf>
and <http://www.usaid.gov/policy/ads/300/303mab.pdf>

1. Sample Format for Award Letter and Schedule, Schedule, Article E. Reporting and Evaluation, Subarticle 2. Program Reporting, a Supplementary Reference to ADS Chapter 303.

2. Program Reporting

The Recipient shall submit ____ [Note - specify number of copies, not to exceed the original and two copies] of a performance report to ____ Note - specify name and title of Cognizant Technical Officer and the Agreement Officer, if desired, along with address]. The performance reports are required to be submitted ____ [Note - state frequency, not to exceed quarterly] and shall contain the following information _____ [Note - state reporting requirements, as related to the Program Description].

Final Report

The Recipient shall submit the original and one copy to ____ [Note - specify name and title of Cognizant Technical Officer and the Agreement Officer, if desired, along with address] and one copy, in electronic (preferred) or paper form of final documents to one of the following: (a) Via E-mail: docsubmit@dec.cdie.org ; (b) Via U.S. Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210, Silver Spring, MD 20910, USA; (c) Via Fax: (301) 588-7787; or (d) Online:

<http://www.dec.org/index.cfm?fuseaction=docSubmit.home>. **(NOTE - Agreement Officer to verify ADS 540 for detailed information on which categories of development experience documents should or should not be submitted to CDIE and appropriate format for electronic transmission.)**

The final performance report shall contain the following information _____ [Note - state reporting requirements, as related to the Program Description].

2. Required as Applicable Standard Provision No. 4 for U.S. Nongovernmental Recipients, a Mandatory Reference to ADS Chapter 303.

4. PUBLICATIONS AND MEDIA RELEASES (JAN 2004)

(This provision is applicable when publications are financed under the award.)

(a) USAID shall be prominently acknowledged in all publications, videos or other information/media products funded or partially funded through this award, and the product shall state that the views expressed by the author(s) do not necessarily reflect those of USAID. Acknowledgements should identify the sponsoring USAID Office and Bureau or Mission as well as the U.S. Agency for International Development substantially as follows:

"This [publication, video or other information/media product (specify)] was made possible through support provided by the Office of _____, Bureau for _____, U.S. Agency for International Development, under the terms of Award No. _____. The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the U.S. Agency for International Development."

(b) Unless the recipient is instructed otherwise by the Cognizant Technical Officer, publications, videos or other information/media products funded under this award and intended for general readership or other general use will be marked with the USAID logo and/or U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT appearing either at the top or at the bottom of the front cover or, if more suitable, on the first inside title page for printed products, and in equivalent appropriate location in videos or other information/media products. Logos and markings of co-sponsors or authorizing institutions should be similarly located and of similar size and appearance.

(c) The recipient shall provide the USAID Cognizant Technical Officer one copy of all published works developed under the award with lists of other written work produced under the award. In addition, the recipient shall submit one electronic (preferred) or one paper copy of final documents to USAID's Development Experience Clearinghouse (DEC) in to one of the following: (A) Via E-mail: docsubmit@dec.cdie.org ; (B) Via U.S. Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210, Silver Spring, MD 20910, USA; (C) Via Fax: (301) 5887787; or (D) Online: <http://www.dec.org/index.cfm?fuseaction=docSubmit.home>.

(d) Electronic documents may be submitted on 3.5" diskettes or as e-mail attachments, and should consist of only one electronic file that comprises the complete and final equivalent of the paper copy; otherwise, a paper copy must be sent. Acceptable software formats for electronic documents include Microsoft Word, WordPerfect, Microsoft Excel and Portable Document Format (PDF).

(e) Each document submitted should include the following information: 1) descriptive title; 2) author(s) name; 3) award number; 4) sponsoring USAID office; 5) date of publication; 6) software name and version (if electronic document is sent).

(f) In the event award funds are used to underwrite the cost of publishing, in lieu of the publisher assuming this cost, as is the normal practice, any profits or royalties up to the amount of such cost shall be credited to the award unless the schedule of the award has identified the profits or royalties as program income.

(g) Except as otherwise provided in the terms and conditions of the award, the author or the recipient is free to copyright any books, publications, or other copyrightable materials developed in the course of or under this award, but USAID reserves a royalty-free nonexclusive and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use the work for Government purposes.

(END OF STANDARD PROVISION)

3. Required as Applicable Standard Provision No. 10 for Non-U.S. Nongovernmental Recipients, a Mandatory Reference to ADS Chapter 303.

10. PUBLICATIONS AND MEDIA RELEASES (JAN 2004)

(This provision is applicable when publications are financed under the award.)

(a) USAID shall be prominently acknowledged in all publications, videos, or other information/media products funded or partially funded through this award, and the product shall state that the views expressed by the author(s) do not necessarily reflect those

of USAID. Acknowledgments should identify the sponsoring USAID Office and Bureau or Mission as well as the U.S. Agency for International Development substantially as follows:

"This [publication, video or other information/media product (specify)] was made possible through support provided by the Office of _____, Bureau for _____, U.S. Agency for International Development, under the terms of Award No.

_____. The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the U.S. Agency for International Development."

(b) Unless the recipient is instructed otherwise by the Cognizant Technical Office, publications, videos, or other information/media products funded under this award and intended for general readership or other general use will be marked with the USAID logo and/or U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT appearing either at the top or at the bottom of the front cover or, if more suitable, on the first inside title page for printed products, and in equivalent appropriate location in videos or other information/media products. Logos and markings of co-sponsors or authorizing institutions should be similarly located and of similar size and appearance.

(c) The recipient shall provide the USAID Cognizant Technical Officer one copy of all published works developed under the award with lists of other written work produced under the award. In addition, the recipient shall submit one copy, in electronic (preferred) or paper form of final documents to one of the following: (1)

Via E-mail: docsubmit@dec.cdie.org ; (2) Via U.S. Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210, Silver Spring, MD 20910, USA; (3) Via Fax: (301) 588-7787; or (4) Online: <http://www.dec.org/index.cfm?fuseaction=docSubmit.home>.

(c) Electronic documents may be submitted on 3.5" diskettes or as e-mail attachments, and should consist of only one electronic file that comprises the complete and final equivalent of the paper copy; otherwise, a paper copy should be sent. Acceptable software formats for electronic documents include Microsoft Word, WordPerfect, Microsoft Excel and Portable Document Format (PDF).

Each document submitted should include the following information:

1) descriptive title; 2) author(s) name; 3) award number; 4) sponsoring USAID office; 5) date of publication; 6) software name and version (if electronic document is sent).

(d) In the event award funds are used to underwrite the cost of publishing, in lieu of the publisher assuming this cost as is the normal practice, any profits or royalties up to the amount of such cost shall be credited to the award unless the schedule of the award has identified the profits or royalties as program income.

(e) Except as otherwise provided in the terms and conditions of the award, the author or the recipient is free to copyright any books, publications, or other copyrightable materials developed in the course of or under this award, but USAID reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use the work for Government purposes.

(END OF STANDARD PROVISION)

C. Assistance—Grants and Cooperative Agreements with Public International Organizations

1. Sample Cover Letter and Schedule for Grants to Public International Organizations, Schedule, Article E. Reporting and Evaluation, a Supplementary Reference to ADS Chapter 308.

E. Reporting and Evaluation

(Describe both fiscal and technical reporting requirements and evaluation criteria and schedules. Specify the address to which each report is to be delivered.)

The Grantee shall prepare and submit a copy of each report required by this grant to the Development Experience Clearinghouse in electronic (preferred) or paper form of final documents to one of the following: (a) Via E-mail: docssubmit@dec.cdie.org ; (b) Via U.S. Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210, Silver Spring, MD 20910, USA; (c) Via Fax: (301) 588-7787; or (d) Online:

<http://www.dec.org/index.cfm?fuseaction=docSubmit.home>.

The title page of all reports forwarded shall include a descriptive title, the author's name(s), grant number, the project number and title, grantee's name, name of the USAID program office, and the publication or issuance date of the report.

2. Required as Applicable Standard Provision No. 10 for Non-U.S. Nongovernmental Recipients, a Mandatory Reference to ADS Chapter 308.

10. PUBLICATIONS AND MEDIA RELEASES (JAN 2004)

(This provision is applicable when publications are financed under the award.)

(a) USAID shall be prominently acknowledged in all publications, videos, or other information/media products funded or partially funded through this award, and the product shall state that the views expressed by the author(s) do not necessarily reflect those of USAID. Acknowledgments should identify the sponsoring USAID Office and Bureau or Mission as well as the U.S. Agency for International Development substantially as follows:

"This [publication, video or other information/media product (specify)] was made possible through support provided by the Office of _____, Bureau for _____, U.S. Agency for International Development, under the terms of Award No. _____. The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the U.S. Agency for International Development."

(b) Unless the recipient is instructed otherwise by the Cognizant Technical Office, publications, videos, or other information/media products funded under this award and intended for general readership or other general use will be marked with the USAID logo and/or U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT appearing either at the top or at the bottom of the front cover or, if more suitable, on the first inside title page for printed products, and in equivalent appropriate location in videos or other information/media products. Logos and markings of co-sponsors or authorizing institutions should be similarly located and of similar size and appearance.

(c) The recipient shall provide the USAID Cognizant Technical Officer one copy of all published works developed under the award with lists of other written work produced under the award. In addition, the recipient shall submit one copy, in electronic (preferred) or paper form of final documents to one of the following: (1)

Via E-mail: docsubmit@dec.cdie.org ; (2) Via U.S. Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210, Silver Spring, MD 20910, USA; (3) Via Fax: (301) 588-7787; or (4) Online: <http://www.dec.org/index.cfm?fuseaction=docSubmit.home>.

(c) Electronic documents may be submitted on 3.5" diskettes or as e-mail attachments, and should consist of only one electronic file that comprises the complete and final equivalent of the paper copy; otherwise, a paper copy should be sent. Acceptable software formats for electronic documents include Microsoft Word, WordPerfect, Microsoft Excel and Portable Document Format (PDF).

Each document submitted should include the following information:

1) descriptive title; 2) author(s) name; 3) award number; 4) sponsoring USAID office; 5) date of publication; 6) software name and version (if electronic document is sent).

(d) In the event award funds are used to underwrite the cost of publishing, in lieu of the publisher assuming this cost as is the normal practice, any profits or royalties up to the amount of such cost shall be credited to the award unless the schedule of the award has identified the profits or royalties as program income.

(e) Except as otherwise provided in the terms and conditions of the award, the author or the recipient is free to copyright any books, publications, or other copyrightable materials developed in the course of or under this award, but USAID reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use the work for Government purposes.

(END OF STANDARD PROVISION)

D. Interagency Agreements: PASA Annex C, Standard Provisions, Article 3. Reports, an Internal Mandatory Reference to ADS Chapter 306.

3. REPORTS

A. The title page of all reports submitted under this Agreement must include a descriptive title, the author's name(s), Award Number, activity number and title, Participating Agency's name, name of the USAID Cognizant Technical Office, and the publication or issuance date of the report.

B. When preparing reports, the Participating Agency must refrain from using elaborate art work, multicolor printing, and expensive paper/binding, unless it is specifically authorized to do so in the Schedule of this Agreement.

C. The metric system of measurements must be used for specifications that are contained in reports unless USAID determines in writing that such use is impractical or is likely to cause significant inefficiencies or the loss of markets to United States firms.

D. Unless otherwise provided in the Schedule of this Agreement, the Participating Agency must prepare and submit the indicated number of copies of the following reports to the persons and offices as stated:

(1) **Semi-annual Technical Progress Report:** Within 45 days following the end of the period being covered, the Participating Agency must submit a technical progress report that addresses the status of the work under the agreement (1) indicating progress made with respect to the goals set forth in Annex A, Statement of Work, and (2) setting forth plans for the ensuing period, including recommendations covering the current needs in the fields of activity that are covered under the terms of this agreement.

Distribution:

USAID Agreement Officer -- 1 copy

USAID Cognizant Technical Officer -- 4 copies

DEC -- 1 copy

(2) **Quarterly Administrative Report:** Within 15 days after the end of the quarter being covered, the Participating Agency must submit a report on administrative matters covering, at a minimum:

- Expenditure status to include actual (or estimated if actual expenditures are not available) expenditures during the quarter and anticipated expenditures for the next quarter. Actual expenditures should be accompanied by copies of corresponding billing notices/vouchers.

- Status of personnel employed under the agreement, including the USAID-funded, full-time employees stationed in the United States and personnel stationed overseas, including any cooperating country nationals. This will include the number of both assigned and temporary duty personnel who have been assigned to USAID during that quarter, including those who started and completed an assignment during the quarter, those who began before the quarter and terminated during the quarter, and those who will continue beyond the end of the quarter.

Distribution:

USAID Agreement Officer -- 2 copies

USAID Cognizant Technical Officer -- 2 copies

(3) **Notice of Personnel Action:** Not later than 15 days after the effective date of any personnel action that will substantially affect the budget or the implementation of this Agreement, the Participating Agency must notify USAID of the personnel action, including the identity of the person involved and the effects the Participating Agency believes the personnel action will have.

Distribution:

USAID Agreement Officer - 1 copy

USAID Cognizant Technical Officer -- 1 copy

(4) **Final Report:** Within 60 days following the Completion Date of the Agreement (as specified in Block 8 of the face sheet of the Agreement), the Participating Agency must submit a final report that summarizes the Participating Agency's accomplishments under this Agreement and recommendations, if any, for subsequent activities.

Distribution:

USAID Agreement Officer -- 1 copy

USAID Cognizant Technical Officer -- 4 copies

DEC -- 1 copy

When DEC is indicated above as a recipient in the distribution of reports, send one copy, in electronic (preferred) or paper form of final documents to one of the following: (1) Via E-mail:

docsuubmit@dec.cdie.org; (2) Via U.S. Postal Service: Development

Experience Clearinghouse, 8403 Colesville Road, Suite 210, Silver Spring, MD 20910, USA; (3) Via Fax: (301) 588-7787; or (4) Online: <http://www.dec.org/index.cfm?fuseaction=docSubmit.home>.

POINTS OF CONTACT:

Please reference web site http://www.dec.org/submit_doc.cfm or contact one of the following concerning the document submission requirements:

Development Experience Clearinghouse

E-mail: docsubmit@dec.cdie.org, Phone: (301) 562-0641

Ms. Susan Wallace, USAID/PPC/DEI/DIS

E-mail: suwallace@usaid.gov, Phone: (202) 712-5822

Please direct concerns with the issuance of this AAPD to:

Mr. Kenneth Monsess, USAID/M/OP/P

E-mail: kmonsess@usaid.gov, Phone: (202) 712-4913