



USAID
FROM THE AMERICAN PEOPLE

EASTERN AND SOUTHERN CARIBBEAN

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Broad Mission Announcement Number: BMA-538-STIP-2016

The USAID/Eastern and Southern Caribbean Science, Technology, Innovation, and Partnerships Broad Mission Announcement

I. Overview

A. This Broad Mission Announcement (BMA) seeks opportunities to co-create, co-design, co-invest, and collaborate in the development, piloting, testing, and scaling of innovative, practical and cost-effective interventions that support USAID Development Objectives that implement projects to: (1) reduce youth involvement in crime and violence; (2) reduce risks and adapt to the impacts of global climate change; and (3) achieve epidemic control of HIV/AIDS throughout the region, which are outlined in the USAID/ESC Regional Development Cooperation Strategy 2015-2019 (RDCS)¹. In accordance with individual Critical Problem Addenda (See Section III B) issued under this BMA, organizations and companies are invited to participate with USAID in scientific activities, innovations, technologies, and partnerships that further these Development Objectives.

B. Federal Agency Name:

The United States Agency for International Development (USAID) in the Eastern and Southern Caribbean or USAID/ESC.

C. Opportunity Title:

BMA for USAID/ESC Science, Technology, Innovation, and Partnerships (STIP).

D. Opportunity Number:

BMA-538-STIP-2016

E. Announcement Type:

This BMA serves to inform the public of the opportunity for possible funding for science, technology, innovation, and partnerships related to implementing projects to: (1) reduce youth

¹ Available at:

<https://www.usaid.gov/sites/default/files/documents/1862/ESC%20RDCS%20Public%20Ver.%20UPDATED%206-12-15%20CAR.pdf>

involvement in crime and violence; (2) reduce risks and adapt to the impacts of global climate change; and/or (3) achieve epidemic control of HIV/AIDS throughout the region. Actual opportunities for funding and partnering will be issued as Critical Problem Addenda to this BMA. Responses to the BMA will be considered only after a Critical Problem Addendum has been issued. The terms of the BMA apply to each Critical Problem Addendum. Individual Critical Problem Addenda will have specific requirements for evaluation criteria and administrative information, such as the requirements for Expressions of Interest, Concept Papers, and response deadlines.

F. Authority:

This BMA is issued under Federal Acquisition Regulations (FAR) Part 35.016(c) and the Federal Grant and Cooperative Agreement Act of 1977. This is not a FAR Part 15 Procurement.

G. Catalog of Federal Domestic Assistance (CFDA) Number:

98.001 USAID Foreign Assistance Programs for Overseas.

H. Response Date:

The response date, as well as instructions to responders, is established by individual Critical Problem Addenda to this BMA.

I. Open Period:

The open period for this BMA is two years from the date of issuance. **Issuance of this BMA is not a request to receive information from interested parties.** As described above, responses to this BMA will be requested by individual Critical Problem Addenda.

II. Overall Purpose and Specific Rights Reserved for the Government

A. This BMA is a competitive approach to consider proposals that harness scientific research, specific expertise or experience, technology, innovation, and partnerships to discover, test and scale breakthrough innovations to solve development challenges in the areas of economic performance, energy, security and governance, education, health, the environment, and gender allowing USAID to:

1. Reach out to potential partners with recognized expertise in relevant areas, and
2. Co-create, co-design, co-invest, and collaborate with partners.

B. The number of awards may vary and may not mirror the number of expressions of interests or invitees to co-creation. The amount of resources made available under this BMA will

depend on the concepts received and the availability of funds. Some award types may not include any funding.

C. This BMA reserves specific rights for the US Government, in addition to rights described elsewhere in this document or by law or regulation. Such rights include:

1. The right to select for negotiation and award all, some, one, or none of the applications/proposals developed in response to an Addendum issued under this BMA.
2. The right to make awards without discussions, or to conduct discussions and/or negotiations, whichever is determined to be in the US Government's interest.
3. The right to accept applications/proposals in their entirety or to select only portions of applications/proposals for award or co-investment.
4. The right to select for award an instrument type that is appropriate to the specific development context, partner relationship, and proposal selected for award. Possible instruments types include, but are not limited, to contracts, grants, cooperative agreements, Global Development Alliance agreements, Interagency Agreements, Donor to Donor Agreements, and Memoranda of Understanding. In addition, the Government may craft a new instrument type to meet the needs of a specific relationship.
5. The right to co-create activities with one or more interested parties under Addenda to this BMA, when it is in the best interest of the U.S. Government.
6. The right to request additional information. Such additional information may include, but is not limited to, a more detailed application/proposal, budget, or representations and certifications.
7. The right to fund or co-invest in applications/proposals in phases, with options for continued work at the end of one or more of the phases.
8. The right to award only portions of an application/proposal.
9. The right to award instruments under associated Addenda to this BMA subject to the availability of funding.
10. The right to remove interested parties from award consideration, should the parties fail to reach agreement on award terms, conditions, or cost/price within a reasonable time; the interested party fails to timely provide requested additional information; or the US Government believes it is in its best interest.

III. Opportunity Information

A. USAID Program in the Eastern and Southern Caribbean

USAID's work in the ESC region directly supports United States foreign policy priorities, fortifying efforts to stem crime and violence and sustain development gains achieved over the past three decades. USAID/ESC responds to the challenges facing the region through a tailored approach to regional programming that prioritizes resources based on need, host-country commitment, and capacity and enables a limited number of staff to effectively design, monitor, and evaluate activities. USAID/ESC's aligns with regional priorities and directly supports three presidential initiatives: the Caribbean Basin Security Initiative (CBSI), the President's Emergency Plan for AIDS Relief (PEPFAR), and the Global Climate Change Initiative. USAID/ESC provides **development assistance** to organizations and nation states in the Eastern and Southern Caribbean which comprises Antigua & Barbuda, Barbados, Dominica, Grenada, Guyana, St. Kitts & Nevis, St. Lucia, St. Vincent & the Grenadines, Suriname, and Trinidad & Tobago. Overall, this **development assistance** seeks to (1) reduce youth involvement in crime and violence; (2) reduce risks and adapt to the impacts of global climate change; and (3) achieve epidemic control of HIV/AIDS throughout the region.

USAID's Regional Development Cooperation Strategy (RDCS) goal is: "Safer, more prosperous Caribbean Communities." To achieve this goal, USAID/ESC uses its platform as a multi-country service provider to promote local actors and regional entities as partners, enhancing their capacity to achieve common goals and support broader foreign policy priorities in the region. The mission also utilizes the capacity of well-established partners to test promising interventions that can be scaled up to a regional level:

1. First, by catalyzing, leveraging, and complementing public and private sector resources and capabilities to achieve a lasting impact beyond USAID investments.
2. Second, by supporting local champions and advocates of ESC solutions to the country's challenges.
3. Third, by identifying, developing, and assessing demonstration models with the end goal of promoting the replication of proven approaches and models by ESC entities and funding sources.
4. Fourth, by collaborating closely with a broad range of host government and US Government interagency actors to maximize the impact of programs on policy-level priorities and to coordinate related activities.
5. Finally, by documenting methodologies and activities successful in building sustainability and institutional capacity that could be replicated by the Mission's principal projects.

During the five-year life of its RDCS, USAID/ESC will support locally-based initiatives

grounded in innovative approaches so that sustainable systems and procedures to: (1) reduce youth involvement in crime and violence; (2) reduce risks and adapt to the impacts of global climate change; and/or (3) achieve epidemic control of HIV/AIDS throughout the region: are developed, tested and appropriated for replication by others. This includes establishing performance standards as well as identifying the costs and benefits of various approaches, the conditions required for successful model implementation, and sustainability considerations.

B. Critical Problem Addenda

USAID/ESC will issue as needed, Critical Problem Addenda to the BMA that will present specific critical USAID/ESC problems. The Critical Problem Addenda will address identified problems, solutions, scalability opportunities, feasibility studies, and other research and development initiatives addressing one or more of USAID/ESC's focus areas identified above.

C. Collaboration

The intent of the BMA is to allow co-creation and co-design and to the maximum extent to create high quality, effective partnerships with great efficiency in time and resources. The types of collaboration include:

1. Co-creation occurs after an Expression of Interest is approved, but before the Concept Paper is developed. The potential partner(s) and USAID (represented by the Activity Manager), work together to collaborate on the Concept Paper(s) and jointly present the Concept Paper to the Peer and Scientific Review Board. The Peer and Scientific Review Board will be composed of qualified peers and experts who evaluate the merit of the proposed Concept Paper before it moves to the co-design stage.

2. Co-design occurs after the Peer and Scientific Review Board recommends the Concept Paper for further development, and the Contracting/ Agreement Officer has determined the interested party to be the Apparent Potential Partner(s). At this point, the Contracting/Agreement Officer may determine the general nature of the award type or the specific award type, depending on the nature of the activity, to facilitate activity design. During co-design, the Apparent Potential Partner(s) and the Activity Manager will design the technical approach, partner relationships, general resource requirements and management control of the activity under the guidance of the Contracting/Agreement Officer.

3. Co-investment refers to the strategic aim that the partnerships resulting from the individual BMA awards represent opportunities to achieve mutual or complementary development goals of the partner(s) and USAID, embracing shared responsibility, shared risk, and shared resourcing. Shared resourcing may be accomplished through funding by both parties, either through cash resources or the exchange of other resources, both tangible and intangible, such as in-kind contributions, expertise, intellectual property, brand value, high-value

coordination, and access to key people, places, and information. Co-investing does not require equally shared resourcing (such as 1:1 leverage), but rather resource contributions that are appropriate to the specific activity's objectives, considering the comparative advantages brought by the participation of each party and the award type.

IV. Award Process and Stages

The amount of resources made available under this BMA will depend on the concepts received and the availability of funds. Some award types may not include any funding. In response to and subject to the specific information set forth in the respective Critical Problem Addendum, the award process will in general have the following steps:

Stage 1

Submission of Expressions of Interest:

Potential partners will submit an Expression of Interest in response to a Critical Problem Addendum. Expressions of Interest are generally short (2-7 pages) and must indicate the research or development idea that will deliver potential solutions to the Critical Problem, by exploiting scientific discoveries or improvements in technology, materials, processes, methods, devices or techniques, advancing the state of the art, or using scientific and technical knowledge in the design, development, testing, or evaluation of a potential new product or service (or an improvement in the existing product or service). Note that due to the anticipated large number of Expressions of Interests, USAID may be unable to provide additional information to those Expressions of Interest that are not selected to move forward.

Stage 2

Co-Creation and Development of the Concept Paper:

For Expressions of Interest that are deemed to have merit by USAID and pass criteria/eligibility stated in this BMA and the specific Critical Problem Addendum, USAID will issue an invitation to collaborate to the potential partner(s). Responders will have to travel to the co-creation site at their own expense. Working together, USAID and the potential partner(s) will collaborate on a Concept Paper. It is during this phase of co-creation that the parties will determine additional partners and resources to complement the activity. The Concept Paper, generally 5-12 pages, will further detail and explain the activity.

Stage 3

Review by the Peer and Scientific Review Board:

All Concept Papers will be reviewed by a Peer and Scientific Review Board comprised of USAID experts, host government Representatives, partners, and outside development or other experts. The Peer and Scientific Review Board will recommend which Concept Papers are identified for Full Applications/Proposals. Using its technical expertise and in accordance with the specified evaluation criteria, the Peer and Scientific Review Board will recommend whether to move forward with the activity including any revisions/additions, and potential partners and resources. **Please note that being identified to submit a Full Application/Proposal is not a guarantee of award or funding from USAID.**

Additional Partners/Resources:

During the co-creation and co-design phase, both the Apparent Potential Partner(s) and USAID will identify additional partners and resources, and will decide whether additional mechanisms are necessary to implement the activity. Any addition of a new partner to the co-creation or co-design team will require the approval of the Contracting/Agreement Officer.

Stage 4

Contracting/Agreement Officer Determination:

The Contracting/Agreement Officer will review the Peer and Scientific Review Board's recommendations. Considering these recommendations and other information, such as resource availability, preliminary partner responsibility assessment, and Agency priorities, the Contracting/Agreement Officer will make an Apparent Potential Partner(s) determination. The Contracting/Agreement Officer may determine the anticipated instrument type to facilitate activity design and/or may advise the co-design team on possible instruments and relationship types, and/or may determine the instrument at a later time in the co-development process.

Request for Additional Information:

USAID will work with partners identified by the Peer and Scientific Review Board, to co-design the project and assist the partner to provide additional information with respect to the applicant's/proposer's technical approach, capacity, management and organization, past performance, and budget, as well as representations and certifications, as needed.

Final Review and Negotiation:

The USAID Contracting/Agreement Officer will engage in final review, negotiation, and determinations of instrument type, responsibility, cost reasonableness, etc., and will craft an award instrument with the Apparent Potential Partner(s). If the Apparent Potential Partner(s) and USAID cannot arrive at a mutually agreeable arrangement, the Contracting/Agreement Officer will cancel the project at no cost to the Government.

Award:

When USAID determines that award of the instrument is appropriate, the USAID Contracting/Agreement Officer will award the instrument, but when a specific instrument type is contemplated that is not within the Contracting/Agreement Officer's authority, the appropriate authority will award in accordance with USAID's rules and procedures.

V. General Criteria for Consideration

A. Each individual Critical Problem Addendum will specify the criteria for selection for that Addendum. This section provides general information on USAID/ESC's priorities for activity consideration. Submissions are not evaluated against other submissions, but solely against the evaluation criteria from the BMA and the applicable Critical Problem Addendum. USAID may limit the number of initial submissions selected to move forward.

B. Decisions regarding USAID's pursuit of a particular activity, technology, or relationship are based on the available evidence, data, and resulting analysis. USAID/ESC seeks targeted solutions that will achieve significant impacts, with high potential for replication and scaling.

C. The reputations of an organization, its past performance, and the managerial and technical ability of the person or team of people engaged in the endeavor are always significant considerations in assessing the potential and the risks associated with each award.

D. Additional criteria may be considered under this BMA to indicate that the submission successfully addresses the Key Objective(s) and Challenge(s), including:

- Theory of change: Describe the general theory of change and area(s) of intervention of your proposed concept.
- Specify target populations: Indicate the geographic scope and technical sector to be addressed by your concept. Please clearly identify target populations, and if cross-border activities, the reasons for a transnational approach.
- Impact and goals of the program: Indicate broad and discrete goals of the concept and how they relate to USAID/ESC's RDCS strategy and objectives.
- Private-sector partnerships: Indicate specific relationships with private sector actors, and any pre-existing partnership commitments to identify and address identified issues in the target sector.
- Capacity: A short statement of your organization's past experience and capacity to conduct activities related to the proposed concept.
- Risk or challenges: Indicate potential risks or challenges, including legal or regulatory challenges, that may affect the viability of the proposed prototype, product or service

VI. Award Information

A. Awards under this BMA will be based on the individual Critical Problem Addenda which will provide the specific Critical USAID/ESC Problem.

B. No responses will be considered under the BMA until a Critical Problem Addendum has been issued; only submissions that are responsive to a specific Critical Problem Addendum will be considered. Any application, proposal, Concept Paper, or Expression of Interest received that is not in response to a Critical Problem Addendum will not be considered. However, USAID will consider suggestions for Critical Problem Addenda.

C. USAID seeks new applications of science, technologies, innovations and partnerships that provide the best value to the U.S. Government and have the potential to substantially contribute to this goal.

D. Applications/Proposals identified for negotiation may result in a contract, grant, cooperative agreement, Global Development Alliance agreement, Development Innovation Agreement, Interagency Agreement, Government to Government Agreement, Donor to Donor Agreement, Memorandum of Understanding or alternative agreement type, depending upon the nature of the work proposed, the required degree of Government involvement, and other factors. The Contracting/Agreement Officer will determine award instrument type and negotiate instrument terms and conditions with selectees. The Contracting/Agreement Officer will select the award instruments it deems appropriate.

E. Eligibility Information: Public, private, for-profit, and nonprofit organizations, as well as institutions of higher education, public international organizations, non-governmental organizations, U.S. and non-U.S. governmental organizations, multilateral and international donor organizations are eligible under this BMA. All organizations must be determined to be responsive to the BMA and be responsible to perform or participate in the final award type.

F. Cost share, match, and/or leverage will be determined by the individual Critical Problem Addendum, final award type, and/or the mutual agreement of the parties. Nothing in the BMA precludes reasonable cost sharing, matching, leveraging, or other exchange of resource arrangements and interested parties are encouraged to suggest creative approaches to resourcing activities.

VII. Intellectual Property

USAID's goal is to facilitate research and development that will lead to innovative and potentially commercially viable solutions. Understanding the possible sensitive nature of the information, when it is a possible concern, USAID will work with organizations to protect intellectual property. Expressions of Interest should be free of any intellectual property that the interested party wishes to protect, as the Expressions of Interest may be shared with USAID partners as part of the selection process. However, once potential partners have been invited to engage in further discussions, they will work with USAID to identify proprietary information that requires protection. Therefore, it is understood that organizations making submissions under a Critical Problem Addendum to USAID are royalty free, nonexclusive, and USAID shall have the irrevocable right to use, disclose, reproduce, and prepare derivative works, and to have or permit others to do so to any information contained in the Expressions of Interest submitted under the Critical Problem Addendum. If USAID engages with the organization regarding its submission, the parties can then negotiate intellectual property protection for the organization's intellectual property. Organizations must ensure that any submission under any Critical Problem Addendum is free of any third party proprietary data rights that would impact the license granted to USAID herein.

VIII. Standard Clauses and Provisions of Award.

The standard clauses or provisions for awards are generally prescribed by law and regulation and will vary considerably by award type. Information regarding clauses and provisions will be offered to the interested party when the award type is identified.

IX. Obtaining the BMA and Addenda.

This BMA and any future Addenda can be downloaded from <http://www.grants.gov> and <http://www.fbo.gov>. Issuance of this BMA does not constitute an award commitment on the part of USAID, nor does it commit USAID or any of its funding Partners to pay for costs incurred in the preparation and submission of applications/proposals. Further, USAID reserves the right to reject any or all applications/proposals received.