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Open Period: October 30, 2017 to November 30, 2017

The USAID Broad Agency Announcement for Building Resilience in the Ninewa Plains and Western Ninewa

I. Overview

- A. This Broad Agency Announcement (BAA) seeks opportunities to co-create, co-design, co-invest, and collaborate in the research, development, piloting, and testing of innovative, practical, cost-effective, and scalable interventions to facilitate the safe and voluntary return of Internally Displaced Persons (IDPs) to their homes in the Ninewa plains and western Ninewa of Iraq and to encourage those who already are in their communities to remain there. The United States Agency for International Development (USAID) invites organizations and companies to participate with us and each other to create more strategic, focused and results-oriented solutions to the barriers to return and to apply scientific and research-motivated approaches to facilitating safe and voluntary returns and encourage minority residents to remain in their communities.
- B. Federal Agency Name:
The United States Agency for International Development
- C. Opportunity Title:
Building Resilience in the Ninewa Plains and Western Ninewa
- D. Opportunity Number: BAA-267-Ninewa-2017
- E. Authority:
This BAA is issued under Federal Acquisition Regulations (FAR) Part 35.016(c). This is not a FAR Part 15 Procurement.
- F. Catalog of Federal Domestic Assistance (CFDA) Number:
98.001 USAID Foreign Assistance Programs for Overseas

II. Collaboration

The intent of the BAA is to allow co-creation and co-design to the maximum extent to create high quality, effective partnerships with great efficiency in time and resources for research, development, piloting, and testing of innovative, practical, cost-effective, and scalable interventions. The types of collaboration include:

- A. Co-creation: Co-creation occurs after an Expression of Interest is approved, but before the concept is developed. The potential partner, the Government, represented by the Activity Manager, and potentially others work together to write and/or revise the Concept

Paper, and jointly present the Concept Paper to USAID's Peer and Scientific Review Board.

- B. Co-design/development: Co-design/development occurs after the Peer and Scientific Review Board recommends the project for further development, and the Contracting/Agreement Officer has determined the proposer to be an Apparently Successful Partner. 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 project, to facilitate project design. During co-design, the Apparently Successful Partner and the Activity Manager will design the technical approach, general resource requirements, and management control of the project under the guidance of the Contracting/Agreement Officer.
- C. Co-invest: Co-invest refers to the Government's strategic aim that the partnerships resulting from the individual BAA awards represent opportunities to achieve mutual or complementary development goals of the Partner, USAID, and potentially other resource partners, and therefore embrace 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 project's objectives, considering the comparative advantages brought by the participation of each party and the award type.

III. Specific Rights Reserved for the Government under this BAA

The Government reserves specific rights, in addition to rights described elsewhere in this document or by law or regulation, including:

- A. The right to award multiple awards, a single award, or no awards.
- B. The right to make award without discussions or to conduct discussions, whichever is determined to be in the Government's interest.
- C. The right to accept proposals in their entirety or to select only portions of proposals for award or co-investment.
- D. The right to select for award an instrument type that is appropriate to the specific development context, partner relationship, and proposal selected for award. Instruments types include but are not limited to contracts, grants, cooperative agreements, Global Development Alliance agreements, Development Innovation Agreements, Inter-Agency Agreements, Government to Government Agreements, Donor to Donor Agreements, and Memorandums of Understanding.
- E. The right to co-create projects with one or more proposers under the BAA, when it is in the best interest of the Government.

- F. The right to request any additional, necessary documentation upon initial review. Such additional information may include, but is not limited to, a further detailed proposal, budget, representations and certifications, and any documentation information, or access needed to perform a pre-award assessment.
- G. The right to fund or co-invest in proposals in phases, with options for continued work at the end of one or more of the phases.
- H. The right to award instruments under this BAA that do not commit or exchange monetary resources.
- I. The right to remove proposers from award consideration should the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, the proposer fails to timely provide requested additional information, or the Government believes it is in its best interest.

IV. Problem and Challenge Statements

A. Problem:

Iraq has experienced substantial political, economic, and social turmoil as a result of the conflict with the Islamic State in Iraq and Syria (ISIS) that erupted in the summer of 2014. Now that hostilities have decreased somewhat with the liberation of ISIS-controlled territory, approximately 2.2 million Iraqis have returned home while 3.3 million Iraqis remain internally displaced, many of whom are minorities, including religious and ethnic groups. According to currently available data from the International Organization for Migration, minorities, including ethnic and religious groups from Christian, Yazidi, Assyrian, Turkmen, and mixed-minority towns, who make up the bulk of the IDPs from the Ninewa plains and western Ninewa, have had slower returns than some other areas liberated from ISIS. There are also reports of IDPs returning to these communities only to depart again.

IDPs from the Ninewa plains and western Ninewa may face unique post-conflict challenges that require specialized interventions to facilitate their permanent return home. It is not clear which barrier or combination of barriers serve as critical binding constraints on the decision to voluntarily return and remain home. USAID is seeking information and ideas from NGOs, the private sector, advocacy organizations, academia, and the international community about how to identify the barriers and how best address such barriers to assist these oppressed populations. Factors that influence IDPs, including those from minority religious and ethnic groups, to return to their home communities and remain there need to be identified, assessed, and addressed.

B. Challenge:

Facilitate the safe and voluntary long term return of IDPs, including minority religious and ethnic groups, to their home communities in the Ninewa plans and western Ninewa. The challenge includes how to identify: (1) the binding constraints that prevent IDPs from the Ninewa plains and western Ninewa from returning and remaining home, or that compelled these marginalized populations to flee in the past; and (2) the solutions to overcome these constraints.

V. Criteria for Consideration

- A. Initial Expressions of Interests are not evaluated against other submissions, but solely on whether USAID believes that the submitter will be a valuable contributor to the co-creation process and on whether the Expression of Interest clearly demonstrates an applied research or development not related to the development of a specific solution or hardware approach as required in FAR 35.0016(a). USAID may need to limit the number of initial submissions selected to move forward based on efficiencies.
- B. Concept Papers are not evaluated against other submissions, but based solely on USAID's determination that the Concept Paper will successfully address the Problem and Challenges set forth herein and has an approach that falls within the definition of applied research or development not related to the development of a specific solution or hardware approach as required in FAR 35.0016(a). USAID may need to limit the number of Concept Papers selected to move forward based on efficiencies.
- C. Decisions regarding USAID's pursuit of a particular project, technology or relationship are based on the available evidence, data, and resulting analysis. USAID seeks solutions that have a significant impact (i.e. breakthroughs, not incremental improvements), and can achieve that impact at scale.
- D. 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.

VI. Award Stages

USAID's Acquisition and Assistance Lab will organize a call for parties interested in learning more about the BAA process in general. It will not be specific to this BAA and will not provide information beyond what is contained in this announcement. The call will take place at 9:00 am EST on November 8, 2017. To participate, please dial (712) 451-0493 and use access code 838595.

The amount of resources made available under this BAA will depend on the concepts received and the availability of funds. Some award types may not include any funding. The award process under this BAA has the following steps:

A. Stage 1: Expressions of Interest

Please submit an expression of interest in accordance with Section IX. More than one expression of interest can be submitted.

Expressions of Interest must indicate the research or development idea which will work towards discovering potential solutions to the Problem and Challenge Statement(s), by 1) increasing knowledge and understanding of potential solutions, 2) exploiting scientific discoveries or improvements in technology, materials, processes, methods, devices, or techniques, 3) advancing the state of the art, or 4) using scientific and technical knowledge in the design, development, testing, or evaluation of a potential new product or service (or of an improvement in an existing product or service). Expressions of

Interest that do not demonstrate any of these use of applied research or development will not be eligible to move on to Stage 2. Expression of Interest will also include information demonstrating that the submitter will be a valuable contributor to the co-creation process.

USAID will review the Expressions of Interest based on the criteria listed in Section V.A and provide a final recommended list for approval to the USAID Contracting/Agreement Officer who will ensure that the Expression of Interests fall within the FAR requirements for eligibility under a BAA.

All potential partners may not move forward to Stage 2.

B. Stage 2: Co-Creation

Co-Creation and Development of the Concept Paper: For Expressions of Interest which are deemed to have merit by USAID and pass criteria/eligibility stated within the BAA and/or specific addenda, USAID will issue an invitation to a potential partner to participate in a co-creation workshop, conference, meeting, or the method designated by USAID to work together with all invitees to further develop the idea presented in the expression of interest.

The exact date and location of the co-creation workshop will be determined after submissions have been received. Note that due to the large number of Expressions of Interest, USAID is unable to provide detailed information to those that are not selected to move forward.

Working together, USAID and the potential partner will collaborate on a Concept Paper. It is during this phase of co-creation and co-design that the parties will begin to identify which additional partners and resources will complement the project. The Concept Paper, generally 5-10 pages, will detail and explain the project.

The following questions are examples of those that will be explored during the co-creation to determine what research and development is necessary to address the Challenge:

1. How do we identify the barrier(s) to residents remaining in their communities and the safe and voluntary return of displaced persons to their home communities in the Ninewa plains or western Ninewa?
2. How do we demonstrate that possible intervention(s) will remove the identified barrier(s)?
3. Are there partnerships with local Iraqi entities that can help address the problem?
4. What coordination with other government, nongovernment, or international entities will help address the problem?
5. How do we address the security context and other challenges of working in Iraq?

Co-Investing/Additional Partners and Resources: During the project co-creation and co-design, the parties and USAID will identify additional partners and resources, and whether additional mechanisms are necessary to implement the project.

All potential partners may not move forward to Stage 3.

C. Stage 3: Review by the Peer and Scientific Review Board

Concept Papers developed during Stage 2 will be reviewed by the Peer and Scientific Review Board, comprised of experts from USAID, partners, and/or outside parties. The Peer and Scientific Review Board will review Concept Papers and recommend which applicants should be considered Apparently Successful Partners. Using its technical expertise, the Peer and Scientific Review Board will recommend whether to move forward with the project including revisions/additions to the project, and potential partners and resources.

All potential partners may not move forward to Stage 4.

D. Stage 4: Discussions and Award Process

Contracting/Agreement Officer Determination. The Contracting/Agreement Officer will review the Peer and Scientific Review Board's recommendations and consider other information, such as the concept paper's compliance with federal law, regulations, and USAID policies, resource availability, preliminary partner responsibility assessments, and Agency priorities, and will make a determination that the respondent is an Apparently Successful Partner. The Contracting/Agreement Officer may also make or narrow down the anticipated instrument type to facilitate project design.

Request for Additional Information. USAID will work with partners identified by the Peer and Scientific Review Board, and co-design the project and assist the partner to provide additional information with respect to the proposer's technical approach, capacity, management and organization, past performance, and budget, representations and certifications, and any documentation information, or access needed to perform a pre-award assessment 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 Apparently Successful Partner. If the Apparently Successful Partner and USAID cannot arrive at a mutually agreeable arrangement, the Contracting/ Agreement Officer will cancel the project at no cost to the Government.

Award. Where USAID determines that the award of an instrument is appropriate, the USAID Contracting/ Agreement Officer will award the instrument.

VII. Award Information

The number of awards might not equal the number of expressions of interest or invitees to co-creation. An invitation to co-creation is not a guarantee that an organization will receive funding.

- A. Awards under this BAA will be made to Apparently Successful Partners on the basis of their ability to further USAID's goals in response to the challenge posed and based on the evaluation criteria outlined in Section VI.B. USAID is seeking new applications of science, innovations, and partnerships that provide the best value to the Government and have the potential to substantially contribute to these goals.
- B. Proposals identified for negotiation may result in a contract, grant, cooperative agreement, Global Development Alliance agreement, Development Innovation Agreement, Inter-Agency 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 Government Contracting/Agreement Officer will determine award instrument type and negotiate instrument terms and conditions with selectees. USAID may select the award instruments it deems appropriate. Any resulting award will comply with all applicable federal law, regulations, and USAID policies; including USG construction policies found in the FAR and USAID construction policies for assistance found in the Automated Directives System (ADS).
- C. 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 BAA. USAID encourages participation from Iraqi organizations, and from those from outside the country that have established partnerships with local Iraqi organizations, including faith-based and community groups. Organizations need not have previously received funding from the U.S. Government. All organizations must be determined to be responsive to the BAA and sufficiently responsible to perform or participate in the final award type.
- D. 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 proposer when the award type is identified.
- E. Organizations are encouraged to consider providing reasonable cost sharing, leverage, or other exchange of resource arrangements, and are encouraged to suggest creative approaches to resourcing projects.

VIII. Information Protection

USAID's goal is to facilitate the research and development that will lead to innovative, and potentially commercially viable, solutions. Understanding the sensitive nature of submitters' information, USAID will work with organizations to protect intellectual property.

Expressions of interest should be free of any intellectual property that submitter wishes to protect, as the expressions of interest will be shared with USAID partners as part of the selection process. However, once submitters have been invited to engage in further discussions, submitters will work with USAID to identify proprietary information that requires protection.

Therefore, organizations making submissions under this BAA grant to USAID a royalty-free, nonexclusive, and 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 BAA. If USAID engages with the organization regarding its submission, the parties can negotiate further intellectual property protection for the organization's intellectual property.

Organizations must ensure that any submissions under this BAA are free of any third party proprietary data rights that would impact the license granted to USAID herein.

IX. Expression of Interest Information

- A. Be in English
- B. Be submitted electronically to USAIDIraqBAA@usaid.gov
- C. Be up to 2 pages (8.5"x11") in length, no smaller than 12 point font;
- D. Contain a header with the following information (included in the page count):
 - 1. Respondent Name/Group and Contact Information;
 - 2. Response Title;
 - 3. BAA Name/Number;
 - 4. Contain one optional graphic that fits on an 8.5"x11" piece of paper (included in the page limit);
- E. Be in .pdf or .docx format