



USAID | DEMOCRATIC REPUBLIC OF THE CONGO

BAA ISSUANCE DATE: August 28, 2018
AMENDMENT 1 ISSUANCE DATE: October 05, 2018, 12:30 Kinshasa local time
BAA CLOSING DATE: October 29, 2018, 17:00 Kinshasa local time

SUBJECT: Amendment 1 to Broad Agency Announcement (BAA) Number BAA-DRC-WASH-2018, "Sustainable Peri-urban Water and Sanitation services"

The United States Agency for International Development (USAID) is issuing this Broad Agency Announcement (BAA) to seek participants to co-create, co-design, co-invest, and collaborate on research and development (R&D) interventions to address the binding constraints and bottlenecks to sustainable and resilient WASH service delivery pathways in peri-urban areas.

Amendment #1 to this BAA is hereby issued to notify interested offerors/applicants of the responses to the questions received and to extend the BAA closing date to October 29, 2018. All other provisions and text of the BAA remain unchanged.

If changes are made to the closing date and time, as well as other aspects of the BAA, the BAA will be amended. Any amendments to this BAA will be issued and posted on the Federal Business Opportunities (FBO) website and grants.gov website. Offerors/Applicants are encouraged to check those websites (<http://www.fbo.gov>) and (<https://www.grants.gov/>) periodically.

It is the responsibility of the recipient of this Amendment to the BAA to ensure that the BAA has been received from the Internet in its entirety. USAID bears no responsibility for data errors resulting from download or conversion processes. If your organization decides to submit an Expression of Interest in response to this BAA, it must be submitted by the designated date and time indicated above.

NOTE: ONLY Electronic submissions will be accepted. No other forms of Electronic submission will be accepted. Please note that the designated initial point of entry to the Government infrastructure for proposal submission is the USAID/Washington Internet server which will determine the timeliness of submission.

Offerors/Applicants must address an Expression of Interest(s) to the Contracting and Agreement Officer Andre Guy Soh, at asoh@usaid.gov with a copy to kinshasaproposals@usaid.gov and to Andre Nkuluntu at ankuluntu@usaid.gov.

Issuance of this BAA and Amendment does not in any way obligate the U.S. Government to award a contract/grant nor does it commit the U.S. Government to pay for costs incurred in the preparation and submission of a proposal/application. Furthermore, the Government reserves the right to reject any and all offers/applications, if such action is considered to be in the best interest of the U.S. Government.

Thank you for your interest in USAID programs.

Sincerely,

Andre Guy Soh
Contracting and Agreement Officer

BAA-DRC-WASH-2018 Questions Received

Below is a summary of questions received and answers provided by USAID.

- 1. By “peri-urban” is USAID referring only to the urban-rural interface around larger cities such as Goma, Bukavu, Kananga, Mbuji Mayi or Mwene Ditu, or could this include smaller urban areas as well?**

This could include smaller urban areas located within USAID/DRC’s Country Development Cooperation Strategy (CDCS) targeted regions mentioned in the BAA. With this said USAID/DRC is very interested in the development of highly scalable models in all the three BAA areas of interest which could be adapted for larger or smaller urban areas.

- 2. What is the total amount of resources that USAID intends to allocate and how many awards does USAID anticipate issuing?**

At this stage, USAID cannot speculate on the amount of funding or on the number of awards it can/will make. This will depend on the quality of the concept papers received.

- 3. Are the total resources going to be allocated separately for each “area of interest”?**

See the Answer to Question 2 above for further details.

- 4. Is USAID expecting prior experience in-country in each of the three specialized areas to qualify for acceptance?**

Prior in-country experience is not required. Nevertheless, ideas proposed must clearly and unambiguously demonstrate linkages to local needs and realities and demonstrate potential for scalability within the DRC and in the region.

- 5. Does USAID expect organizations to include more than one area of interest in their EOIs?**

It is at the discretion of the applicant /offeror to determine whether they will submit one Expression of Interest per area of interest or multiple. USAID is looking for innovative ideas as well as organizations with expertise working on solutions to help address the key bottleneck to sustainable and resilient WASH service delivery pathways in peri-urban areas. An Expression of Interest that demonstrates this experience, and which includes more than one program, idea, or approach may be as successful as an organization that

submits multiple Expressions of Interest. USAID will also accept multiple EOIs from a single organization.

6. **Due to the difficulty in obtaining visas for the DRC, it would be helpful to know when the Stage 2 Co-Creation “workshop, conference, meeting, or other method” is planned for, and where this would likely be held, so we can start making logistical arrangements for anyone traveling to the DRC if required.**

The dates of the BAA phases have not yet been finalized and are subject to change. However, it is anticipated that the co-creation workshop may take place towards the end of January 2019.

7. **How long does USAID consider the process will take until Stage 4 “Award Determination” is completed?**

It is difficult to state in absolute terms how long each of the phases of the BAA might take.

8. **Should the BAA move to Stage 4, what is the expected duration of the project (in years)?**

Subject to availability of funds it is envisioned that the estimated timeframe could range between 1 - 5 years, but that is not a firm range. The final timeframe is dependent upon the solution proposed. Long-term demonstration/pilots projects might be of interest to the mission.

9. **How will USAID perceive the inclusion of partners not currently operating in the DRC?**

An Expression of Interest may be submitted by organizations that are not currently operating in the DRC. Expressions of Interest will indicate the research or development idea that will work towards discovering potential solutions to the Problem and Challenge Statement(s). The research or ideas may: increase knowledge and understanding of potential solutions; exploit scientific discoveries or improvements in technology, materials, processes, methods, devices, or techniques; advance the state of the art; use scientific and technical knowledge in the design, development, testing or evaluate a potential new product or service (or of an improvement in an existing product or service). See the Answer to question 4 above for further details.

10. **Does USAID expect consortia of 2 or more organizations to present together or is each organization supposed to present separately?**

Expressions of Interest may be submitted by either individual organizations or by a consortium.

- 11. Will USAID accept Expressions of Interest prepared by a consortium or are organizations required to submit independently?**

See the Answer to question 10 above for further details.

- 12. On page 5 under “Area of Interest 1. Locally Compatible Sanitation Technologies”, USAID specifically refers to “improved, non-shared sanitation facilities”. Can USAID please clarify that pilots will be required to focus only on household toilets? Would USAID consider hybrid models, such as household as well as public toilets?**

USAID/DRC is very interested in the development of highly scalable models in all the three BAA areas of interest which could be adapted for larger or smaller urban areas. A successful pilot project may have potential for expansion depending on the availability of funding, consistency with mission priorities, and other factors. However, it is not guaranteed that a successful pilot project will be expanded.

- 13. Page 7, part “III. The BAA Process” states that more than one expression of interest can be submitted. Are organizations authorized to submit more than one expression of interest as part of competing consortia, or does USAID require exclusivity?**

USAID confirms that organizations are authorized to submit more than one expression of interest as part of competing consortia.

USAID does not require exclusivity.

- 14. Could USAID please provide further guidance on the definition of peri-urban in the context of the DRC?**

USAID has an Urban Policy which states that urban is defined according to each country. DRC is 44.5% urban according to the World Fact book, with an annual rate of urbanization of 4.53%. As for peri-urban, the definition describes the land where rural and suburban, or at times urban are adjacent. This is thought of as the transition zone between developed and undeveloped areas, known as peri-urban. This definition is somewhat standard across countries.

- 15. Given the importance of stakeholder buy-in to ensure the success and sustainability of activities under this BAA, would USAID please confirm what level of buy-in and commitment it has secured from the DRC government for this initiative? What public resources for Entités Territoriales Décentralisées development and public-private partnerships might be expected?**

USAID's overall goal in the DRC, as outlined in its Country Development Cooperation Strategy for 2015–2020, is to support the country's long-term transition to more effective and empowering development. To maximize impact, USAID programming targets specific institutions, geographic regions, and technical sectors. USAID is looking to engage all stakeholders to find more robust ways to leverage current public-private partnerships, resulting in stronger program innovation, better sustainability and more impact. USAID does not have any information to anticipate what public resources for ETD might be expected.

- 16. We note that approaches should encompass provinces of North and South Kivu, parts of Kasai Orientale, Kasai Central and Lomani. Is USAID open to considering other provinces where there are potential synergies with other USAID activities?**

USAID/DRC will focus implementation in the geographic areas mentioned in the BAA. With this said, USAID/DRC is very interested in the development of highly scalable models in all of the three BAA areas of interest which could be adapted, not only for further expansion within the target area, but also could conceivably be adapted in other geographic locations.

- 17. We note that more than one expression of interest can be submitted; is it possible for one organization to submit an expression of interest on behalf of a consortium?**

Yes. Also see the Answer to question 10 above for further details.

- 18. Does USAID intend to allocate a budget for small investment/infrastructure activities?**

At this stage, USAID has not determined specific activities or a budget size. Page 7, Section III of the BAA states the amount of resources made available under the BAA will depend on the concepts received and the availability of funds. Investment/infrastructure activities are not excluded and may be an appropriate use of funding in so long as they are part of a broader program that implements solutions to providing sustainable and resilient WASH service delivery in peri-urban areas.

- 19. If we submit an EOI with a partner company and we're invited to the co-creation workshop, can representatives of both companies participate?**

As the bulk of the conversation will be technical, we suggest that organizations send the appropriate staff. Each organization invited will be able to send no more than 2 staffs.

- 20. How does USAID define “peri-urban” in the DRC context?**

See response to question 14

21. Does the concept have to cover all of the geographies listed on page 5 of the BAA?

Combined concepts are highly recommended as the topics are interconnected. Proposed approach should address main bottleneck to sustainability of peri-urban areas, consider separately idiosyncratic patterns of peri-urban areas. It is at the discretion of the applicant /offeror to determine whether they will submit one Expressions of Interest per area of interest/geographic focus or multiple as long as they follow the guidelines as stated in the BAA.

22. How will USAID evaluate the “reputation of an organization”, criterion 5 on page 8?

In this context, “reputation “is understood as an organization’s “satisfactory record of integrity and business ethics” – see FAR 9.104-1(d)”. USAID will use CPARS and reference checks to evaluate the reputation of organizations and companies interested in this BAA.

23. If an organization intends to sub on this opportunity, would you recommend that the organization submit its contribution as part of the potential prime submission or separately and independently from the potential prime submission?

Each interested organization can present its concept in the form that it deems most appropriate and likely to achieve the objectives sought with this BAA.

24. If an organization does not submit an EOI and therefore is not invited to the Co-Creation workshop, will they still be eligible to join a consortium during stage 2 (Co-Development of Concept Papers)?

An organization that does not submit an EOI can still join a consortium as a sub.

The announcement states that USAID will invite selected non-governmental organizations (and others) to contribute. Are we, as an international NGO, eligible under this category or does it only applies to NGOs established in the DRC? We are officially registered in the DRC and have offices there.

USAID considers such NGO to be eligible.

25. Given the mobile phone penetration rates of 39% in DRC (DHS 2016) does USAID see mobile phones as an effective and complementary behavior change communication Channel through which to engage the key populations as per this notice?

Behavior change communication is not an area of interest considered under this BAA, however USAID is interested in exploring how to incorporate behavior change communication and mobile phone technology under the three BAA areas of interest.

- 26. Will USAID consider the use of digital and mobile technology for data collection related to monitoring and evaluation and quality assurance activities for this opportunity?**

USAID is interested in exploring how to incorporate and leverage mobile technology under the three BAA areas of interest.

- 27. Will USAID look favorably upon an articulated mobile & digital technology strategy in Proposals that respond to this solicitation?**

See answer to question 26 above.

- 28. The BAA does not include components such as gender and emergency that had been included in the initial RFI released prior to this BAA. Do we assume these components are not priorities in this BAA?**

Gender, alongside other cross-cutting themes, is a key component of USAID's business model in the DRC. It is the offeror/applicant's responsibility to demonstrate how it can mesh these important considerations into its programming.

- 29. Would USAID clarify the anticipated duration of the project? Would this include all Phases of design, develop, test, implement and evaluate?**

Subject to availability of funds it is envisioned that the estimated period of performance could range between 1 - 5 years, but that is not a firm range. The final period of performance is dependent upon the solutions proposed. Long-term demonstration/pilots projects might be of interest to the mission.

The dates of the BAA have not yet been finalized and are subject to change, however it is anticipated that all phases of the BAA process will be completed in 2019.

- 30. Is there an anticipated timeline for the co-creation workshop and the co-development of concept papers?**

See response to question 6.

- 31. To what extent will the USAID Co-Creation workshop be held in Washington D.C?**

The Co-Creation will be held in Kinshasa.

- 32. In Section I, last para (page 2), it is stated that 1:1 co-investment is not required but in II (page 4) it is stated that the applicant consider incorporating/leveraging the GDA and DCA tools. Given the GDA is a 1:1 leverage, can USAID provide more clarification on this? Is there a recommended percentage that USAID may consider?**

The section referred to in this question actually states "co-investing does not require equal shared resources (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". This statement is correct.

Co-investment is a requirement, but at this stage the recommended percentage that USAID may consider is not defined.

- 33. In the BAA, the target geographic zones include North and South Kivu, parts of Kasai Orientale, Kasais Central and Lomami. Is it required to implement the intervention in all of the before mentioned geographic zones or can partners select specific zones?**

Partners can select specific zones within these bigger geographic areas.

- 34. Is there an expectation of the number of peri-urban centers to be targeted in each province? If so, how many in each province?**

The number of targeted peri-urban centers is dependent upon the solution proposed.

- 35. Does the Kasais geography include all of the provinces from the Former Kasais or only the new Kasais?**

USAID's Kasai geography includes; Kasai central, Kasai oriental Lomami and Sankuru.

- 36. Should applicants submit a separate EoI for each area of interest they are interested in addressing, or can they be combined into a single EOI?**

See the Answer to question 5.

- 37. Should applicants submit a separate EOI for interventions on research and on development, or can one EOI be submitted that combines interventions proposing both research and development?**

See the Answer to question 5. The applicant/offeror is free to propose what it deems to make more sense given its strategy and approach.

- 38. The previous RFI mentioned 50-100 M USD would be available for the BAA opportunity. Is this still the budget envelope envisioned for this opportunity?**

Section III of the BAA states the amount of resources made available under the BAA will depend on the concepts received and the availability of funds.

- 39. At the end of the co-design process, does USAID intend to finance one single intervention or could multiple interventions be funded? In the case of the later, what is the average amount of funding available for each intervention?**

USAID does not have an answer to these two questions at the moment. Most of these decisions will depend on the co-design phases of the BAA process.

40. What are the specific selection criteria that will be used to determine which partners are invited to submit a Concept paper (Stage 2), the review criteria for the peer and scientific review board (Stage 3), and the final selection criteria for award determination (Stage 4)?

All participants to co-creation and co-design will be able to submit a concept paper. Concept papers will be evaluated based on criteria developed throughout the co-creation phase.

41. What is the estimated timeline for the various stages of the BAA process and when is the anticipated start-date for intervention(s) once the award determination is complete?

USAID anticipates holding the co-creation workshop towards the end of January 2019 and making an award or awards by end of 2019.

42. How does USAID define ‘advance the state of the art’ when referring to applied research?

FAR 35.001: “Applied research” means that effort which (1) normally follows basic research, but may not be severable from the related basic research, (2) attempts to determine and exploit the potential of scientific discoveries or improvements in technology, materials, processes, methods, devices, or techniques, and (3) attempts to advance the state of the art. Applied research does not include efforts whose principal aim is design, development, or test of specific items or services to be considered for sale; these efforts are within the definition of the term “development,” defined in this subsection. As far as the WASH sector is concerned, much of the technology already exists. Therefore ‘advancing the state of the art’ in the sector can be defined as focusing on how to improve critical aspects of the system to achieve sustainable quality service delivery rather than creating new technologies .

43. For this BAA, does USAID intend to invest in interventions that are phased (with options for continued work at the end of one or more of the phases)?

Phasing of interventions under this BAA is something that may come out of the BAA design process.

44. Other than the guidance relating to EoI content on pp7-8 and pg 12, can USAID elaborate on any additional/required headings that responders should include in the EoI.

USAID does not have/require additional headings that responders should include in the EoI.

- 45. Pg 5 of the call includes a listing of geographies where proposed activities ‘should’ be included. Can USAID confirm that activities in other geographies can also be proposed, if appropriately justified?**

See the Answer to question 16 above for further details.

- 46. Pg 8 states that “EoI must indicate what co-investment resources are available...” Can USAID elaborate on expectations regarding % of co-investment of resources relative to overall budget size?**

At this stage, the percentage for the co-investment cannot be defined.

- 47. Pg 5 of the call states that “the EoI must include a proposed R&D intervention to address one, two or all three areas listed below...” Can USAID confirm that there is no preference for EoI that address multiple areas of interest?**

Combined concepts are highly recommended as the topics are interconnected. It is at the discretion of the applicant /offeror to determine whether they should submit one or multiple Expressions of Interest per area of interest/geographic focus.