

Issuance Date: February 6, 2020

Open Period: February 6, 2020 to February 5, 2022

BAA-OAA-E3-Pollution-2020

**United States Agency for International Development's (USAID)
Broad Agency Announcement (BAA) for
Pollution Prevention & Mitigation (PPM)**

I. Overview

This Broad Agency Announcement (BAA) seeks opportunities to co-create, co-design, co-invest, and collaborate in the research, development, piloting, and scaling of innovative interventions for **effectively mitigating air, water, and soil pollution, including ocean plastic pollution, electronic and other forms of solid waste in low and middle-income countries (LMICs)**. The United States Agency for International Development (USAID) invites organizations, companies, academic and research institutions, and investors to propose innovative approaches for preventing and mitigating pollution¹ in countries to promote healthier populations, cleaner environments, and inclusive, sustainable economic growth. USAID's Office of Energy and Infrastructure (E&I) within the Bureau for Economic Growth, Education and Environment (E3/DDI), in cooperation with regional and Global Health Bureaus and selected Missions, developed this BAA for Pollution Prevention & Mitigation to improve the Agency's ability to assist partner countries in solving complex pollution problems that threaten sustainable development. This BAA seeks to engage with a wide range of actors within the global pollution sector to provide innovative interventions and technologies that further the U.S. Government's commitment to improving human health and the environment. **Specific opportunities to do so will be provided through Addenda issued under this BAA.**

A. Federal Agency Name:

The United States Agency for International Development (USAID)

B. Opportunity Title:

Broad Agency Announcement for Pollution Prevention & Mitigation

C. Opportunity Number:

BAA-OAA-E3-Pollution-2020

D. Announcement Type:

This BAA serves to inform the public of the opportunity for funding from USAID, in cooperation with its partners, to address pressing global pollution challenges. USAID will issue periodic Addenda to this BAA seeking basic research,² applied research,³ research and development,⁴ and/or pilot

¹ Individual Addendum may be issued addressing specific type(s) of pollution (e.g. air, water, and soil), type(s) of contaminants (e.g. chemicals/toxins, municipal wastes, etc.), pollution source(s), geographic region(s), and/or countries.

² In the context of this BAA, the Federal Acquisition Regulation (FAR) 2.101 defines "Basic research" as: research directed toward increasing knowledge in science. The primary aim of basic research is a fuller knowledge or understanding of the subject under study, rather than any practical application of that knowledge.

³ In the context of this BAA, the FAR 35.001 defines "Applied research" as: the effort that (a) normally follows basic research, but may not be severable from the related basic research; (b) attempts to determine and exploit the potential of scientific discoveries or improvements in technology, materials, processes, methods, devices, or techniques; and (c) attempts to advance the state of the art. When being used by contractors in cost principle applications, this term does not include efforts whose principal aim is the design, development, or testing of specific items or services to be considered for sale; these efforts are within the definition of "[research and] development," given below.

⁴ In the context of this BAA, the FAR 35.001 defines "[Research and] development" as: the systematic use of 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) to

initiatives for addressing specific pollution challenges identified by USAID as hindrances to inclusive, sustainable development. The terms of this BAA apply to each Addendum issued under it. Each Addendum may have specific instructions, requirements for evaluation criteria, and administrative information - such as requirements for eligibility, Expressions of Interest, Concept Papers, and response deadlines. This BAA is open through February 5, 2022, and any opportunities for funding and partnering will be issued separately as Addenda to this BAA.

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 and subsequent Addenda is to allow co-creation and co-design among/between USAID and those entities that submit Expressions of Interest (EOI) to create high quality, effective partnerships with great efficiency in time and resources. The types of collaboration that will be solicited under this BAA include:

- 1. Co-creation.** The co-creation process begins when the EOI is selected for further discussion by USAID, but before the concept is developed. The potential partner, the U.S. Government (USG), represented by the USAID Activity Manager, and potentially other stakeholders, work together to determine the best course forward. This may include USAID consideration of one or multiple potential partners, such as industry experts, other government agencies, non-governmental organizations (NGOs), etc. Together USAID and potential partners will write and/or revise the Concept Paper, and jointly present the Concept Paper to USAID's Peer Scientific Review Board (PSRB) for consideration and further development.
- 2. Co-design/development.** Co-design/development occurs after the PSRB recommends the project for further development, and the Contracting Officer/Agreement Officer (CO/AO) has determined the proposer to be an Apparently Successful Partner. At this point, the CO/AO 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 USAID Activity Manager will design the technical approach, general resource requirements, and management control of the project under the guidance of the CO/AO.
- 3. Co-invest.** Co-invest refers to the USG's strategic aim that the partnerships resulting from BAA Addendum awards represent opportunities to achieve mutual or complementary development goals of the Partner (i.e. Concept Paper Offeror), 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.

meet specific performance requirements or objectives. It includes the functions of design engineering, prototyping, and engineering testing; it excludes subcontracted technical effort that is for the sole purpose of developing an additional source for an existing product.

III. Specific Rights Reserved for the U.S. Government (USG) under this BAA

The United States Government (USG) reserves specific rights, in addition to the rights described elsewhere in this document and subsequent Addenda issued under this BAA, or by law or regulation, including:

1. The right to award multiple awards, a single award, or no awards under this BAA.
2. The right to make an award without discussions, or to conduct discussions and/or negotiations, whichever is determined to be in the USG's interest.
3. The right to accept proposals in their entirety or to select only portions of 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 concept selected for award. Instrument types include but are not limited to contracts, grants, cooperative agreements, Global Development Alliance agreements, Inter-Agency Agreements, Government to Government Agreements, Donor to Donor Agreements, and Memoranda of Understanding. In addition, the USG may craft a new instrument type to meet the needs of a specific relationship. Such instruments may or may not commit or exchange monetary resources.
5. The right to co-create projects with one or more proposers under the BAA, when it is in the best interest of the USG.
6. 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, and representations and certifications.
7. The right to fund or co-invest in recommended Concept Note projects in phases, with options for continued work at the end of one or more of the phases.
8. 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 provide requested additional information in a timely manner, or if USAID determines it is no longer in the best interest of the USG to proceed with the Offeror.

Problem and Challenge Statements

Pollution is the introduction of harmful materials into the environment, which can severely damage the health of the planet, human health, equity, and economies. Pollution is the largest environmental risk factor of disease and premature death in the world today. Diseases caused by pollution are responsible for an estimated 8.3 million premature deaths with nearly 92% of pollution-related deaths occurring in LMICs.⁵ Human welfare losses due to pollution are more than \$4.6 trillion USD per year, which is equivalent to 6.2% of global GDP.⁶ Pollution is also considered one of the top three drivers of ecological change in the world, which is undermining the production of ecosystem services.⁷ Globally, pollution associated with extreme poverty (e.g. household air and water pollution) remains problematic while pollution from industrialization and urbanization (manufacturing, ad-hoc waste disposal, mining, power generation, agriculture, and transportation) is growing exponentially. This has led to the rise of toxic contaminants and other forms of pollution across air, water, and soil media. Pollution from increased consumption coupled with lack of solid waste management are also rapidly increasing, as in the case of plastics and electronic waste.

Problem

USAID partner countries are facing tremendous pollution challenges, which undermine development outcomes. We now live in the most chemical-intensive era in human history with over 100,000 chemicals on the market, making chemical pollution a global threat.⁸ More than 80% of global wastewater is discharged into the environment without treatment while 300-400 million tons of heavy metals, solvents, and toxic sludge are dumped into waterways each year.⁹ Air pollution crises are becoming increasingly common in cities across the globe, such that only one in ten people breathe air meeting the World Health Organization's air quality guidelines. Pollution threatens food security by decreasing the production of staple crops.¹⁰ Plastic waste is on the rise, such that an estimated 8-12.7 million metric tons of plastic entered the world's oceans, which is expected to double by 2025.¹¹ Current estimates place the economic costs of ocean plastic pollution at \$13 billion USD per year.¹² Researchers are only starting to examine the potential health effects of ocean plastic pollution. Plastic waste can also manifest as air pollution and soil pollution. In LMICs, open burning of plastics is a major source of air pollution, which releases extremely harmful quantities of dioxins. Addressing one aspect of plastic waste (i.e. ocean pollution) may result in an increase in air pollution (or vice versa) unless carefully considered. Pollution is a known driver of social inequality, including gender inequality, since environmental burdens like toxic industries are often situated in socially disadvantaged communities. Pollution prevention and reduction are critical to sustainable development by reducing the burden of disease, enhancing ecosystem services, improving quality of lives (especially women and children), and avoiding income and productivity losses.

⁵ Global Burden of Disease (GBD) 2017 Causes of Death Collaborators. (2018). Global, regional, and national age-sex specific mortality for 282 causes of death in 195 countries and territories, 1980-2017: a systematic analysis for the Global Burden of Disease Study 2017. *Lancet*, 392, 1736-88. [https://doi.org/10.1016/S0140-6736\(17\)32152-9](https://doi.org/10.1016/S0140-6736(17)32152-9)

⁶ Landrigan, P.J. et al. (2018). The Lancet Commission on pollution and health. *Lancet*, 391, 462-512. [https://doi.org/10.1016/S0140-6736\(17\)32345-0](https://doi.org/10.1016/S0140-6736(17)32345-0)

⁷ Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES). (2019). *The global assessment report on biodiversity and ecosystem service*. Bonn, Germany.

⁸ United Nations Environment Programme (UNEP). (2019). *Global Environment Outlook – GEO-6: Healthy Planet, Healthy People*. Nairobi, Kenya.

⁹ IPBES. (2019). *The global assessment report on biodiversity and ecosystem services: Status and trends- drivers of change*. Bonn, Germany. Retrieved from: https://ipbes.net/system/tdf/ipbes_global_assessment_chapter_2_1_drivers_unedited_31may.pdf?file=1&type=node&id=35278

¹⁰ UNEP. (2019). *Global Environment Outlook – GEO-6: Healthy Planet, Healthy People*. Nairobi, Kenya.

¹¹ Jambeck, J.R. et al. (2015). Plastic waste inputs from land into ocean. *Science*, 347, 768-770.

¹² UNEP. (2014). *Valuing plastics: the business case for measuring, managing, and disclosing plastic use in the consumer goods industry*. Nairobi, Kenya.

Nevertheless, pollution is often overlooked in development agendas. LMICs are often influenced by the “grow now, clean up later” development argument, which postulates economic growth will eventually lead to environmental improvements.¹³ This argument is based upon the experience of high-income economies, and is considered conventional wisdom in global environmental policy.¹⁴ It argues pollution will increase in early stage economic development until a country obtains a sufficiently high-standard of living to invest in technology to reduce pollution. Pollution problems, however, are growing in scope and scale, given the ever-increasing number of toxins and hazards from agricultural, urban, and industrial activities (e.g. heavy metals, particulate matter, greenhouse gas emissions, plastics, and e-waste). Further, pollution is a cross-boundary issue since the waste and emissions generated in one nation often impact multiple nations and regions. For example, China’s recent import ban on foreign waste caused increases in the export of plastics and e-waste to other LMICs, who lack proper waste process facilities to manage our global waste streams.¹⁵ Countries are experiencing major shortcomings to this conventional development approach, and are realizing they can no longer afford to “clean up later.” The economic burden of pollution from mortality alone is between 5-14% of national GDP for individual countries.¹⁶ It is becoming increasingly clear that a healthy environment is essential for poverty reduction, healthy populations, and prosperity.

Challenge

This BAA addresses the challenge of how to most effectively mitigate air, water, and soil pollution, including ocean plastic pollution, electronic waste, and other forms of solid waste in LMICs. To significantly reduce the impact of pollution, collective action is critical as it is not enough to work with one sector or select partners alone. For example, to address water pollution, it is important to work with key water users and polluters collaboratively across a watershed. Systems-level approaches and forums for cooperation among the private sector, government, NGOs and civil society are essential for instituting comprehensive approaches to pollution. Through this BAA, USAID and its partners will co-develop new ways to harness the power of science, technology, innovation, and partnership to generate new knowledge, tools, and approaches for reducing pollution around the world.

This call spans multiple aspects of pollution mitigation, including, but not limited to the following areas: (i) Pollution data to improve management capacity and public advocacy; (ii) Governance reforms; (iii) Implementation of key technologies and actions to reduce both the amount and impact of pollution; (iv) Fostering public and private sector engagement; and (v) Enhancing USAID capacity and engagement.

USAID encourages respondents to Addenda published under this BAA to consider a number of relevant and timely areas and policies of interest, including:

- The [Journey to Self-Reliance](#), whereby partner countries are positioned to solve their own development challenges;
- [Self-Reliance Metrics and Country Roadmaps](#), which measure and depict a country’s

¹³ World Bank. (2012). *Inclusive Green Growth*. Washington, DC.

¹⁴ Landrigan, P.J. et al. (2018). The Lancet Commission on pollution and health. *Lancet*, 391, 462-512. [https://doi.org/10.1016/S0140-6736\(17\)32345-0](https://doi.org/10.1016/S0140-6736(17)32345-0)

¹⁵ Beech, H., & Jirenuwat, R. (December 8, 2019). The Price of Recycling Old Laptops: Toxic Fumes in Thailand’s Lungs. *The New York Times*. Retrieved from https://www.nytimes.com/2019/12/08/world/asia/e-waste-thailand-southeast-asia.html?nl=todaysheadlines&emc=edit_th_191208?campaign_id=2&instance_id=14317&segment_id=19407&user_id=ca17d42f67daa19157525a1f1afdc3b7®i_id=120780541208

¹⁶ World Bank. (2019). *Pollution*. Washington, DC. Retrieved from <https://www.worldbank.org/en/topic/pollution#2>

capacity to plan, finance, and implement solutions to local development changes - and a commitment to see these through effectively, inclusively, and with accountability;

- A commitment to helping build the [resilience](#) of vulnerable communities in areas subject to recurrent crisis, increasing their ability to manage through crises without compromising their future well-being;
- The [USAID Private Sector Engagement Policy](#), an intentional shift toward enterprise-driven development as a more sustainable way to empower people, communities, and countries on their journey to self-reliance;
- The [Acquisition and Assistance Strategy](#), which focuses on procurement innovation and addresses ways to expand and diversify the partner base, among other matters;
- The [New Partnership Initiative](#), which supports USAID Operating Units as they develop, plans for engaging new partners through new and existing procurement mechanisms.
- [Indo-Pacific Vision](#) focused in three areas: creating open and transparent markets to unlock private enterprise-led growth; advancing citizen-responsive governance that adheres to a rules-based order; and building a resilient network of security partners capable of addressing shared threats;
- [Environmental and Natural Resources Management Framework](#), which aims to coordinate, unify, and elevate environmental and natural resource management in Agency programming, with a focus on two priority areas: (i) improving natural resource management and (ii) improving urban systems for a cleaner environment;
- The [Sustainable Urban Services Policy](#) offers principles for improving the effectiveness and sustainability of service delivery to improve the lives of a rapidly growing number of urban dwellers;
- The [Gender Equality and Female Empowerment Policy](#), which aims to improve the lives of citizens around the world by advancing equality between genders, and empowering women and girls to participate fully in and benefit from the development of their societies.

IV. General Criteria for Consideration

This section provides general information on USAID's intended approach to considering EOIs submitted to individual Addenda under this BAA.

1. Submissions of EOIs and proposals received by USAID are not evaluated against other submissions, but solely against the evaluation criteria presented in the individual Addenda issued under this BAA.
2. 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 on any matter concerning pollution prevention, reduction, and mitigation.
3. The reputation 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.
4. Each BAA Addendum will further specify the criteria for selection.

V. Co-Creation Stages

This section outlines the process that will be followed under each Addendum issued under this BAA. The amount of resources made available under each Addendum will depend on the concepts received and the availability of funds. Some award types may not include any funding. The award process under each Addendum has the following steps:

Stage 1

Expression of Interest (EOI). Please submit an EOI in accordance with each Addendum issued under this BAA. ***No Expressions of Interest (EOI) are to be submitted against this BAA.***

The EOIs submitted must indicate the development idea that aims to work towards discovering potential solutions to the Problem and Challenge Statement(s) indicated in the Addenda. New ideas and innovation are highly encouraged, and USAID recognizes failure of an approach is a possibility. USAID wishes to explore a diverse range of innovative solutions to environmental pollution. The EOIs submitted will be relatively short (not more than two pages) and contain information as outlined within each Addendum to this BAA. USAID will perform an initial review of the basic/applied research and development components presented in the individual EOIs.

USAID will send a notification to those who submitted EOIs that are not selected to move forward. ***Due to the large number of EOIs generally received in response to BAA Addenda, USAID is unable to provide details on why individual EOIs are not selected.***

Stage 2

Development of the Concept Paper. For EOIs that are deemed to have merit by USAID and pass criteria/eligibility stated within the BAA, USAID will issue an invitation to collaborate to the potential partner.¹⁷

Working together, USAID, the potential partner, and potentially other technical experts will collaborate on a Concept Paper (or Concept Papers) for a new activity design. It is during this phase of co-creation and co-design that the parties will begin to determine additional partners and resources to complement the project. The Concept Paper (generally a five-page to ten-page document) will further detail and explain a refined project that builds upon the content provided in one or more of the EOIs received.

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

For those Stage 2 partners that are not selected to move forward to Stage 3, USAID will send a notification indicating such. ***Depending on the volume of Concept Papers developed, USAID may or may not provide detailed explanations to Offerors as to why their submission was not selected to move forward.***

Stage 3

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

Stage 4

¹⁷ An invitation is sent 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.

Contracting/Agreement Officer (CO/AO) Determination. The Contracting/Agreement Officer (CO/AO) will review the PSRB's recommendations and consider other information, such as resource availability, preliminary partner responsibility assessment, and Agency priorities, and will make a determination whether the respondent is an Apparently Successful Partner. The CO/AO may also make or narrow down the anticipated instrument type to facilitate project design.

Request for Additional Information. USAID will work with Apparently Successful Partners identified by the PSRB, and co-design the activity and assist them with compiling additional information with respect to the proposed technical approach, capacity, management and organization, past performance, and budget, as well as representations and certifications, as needed.

Final Review and Negotiation. The USAID CO/AO will engage in final review, negotiation, and determination 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 CO/AO will cancel the project at no cost to the USG.

Award. Where USAID determines that the award of an instrument is appropriate, the USAID CO/AO will award the instrument to authorize funding and implementation of the project.

VI. Award Information

Number of awards could vary and may not mirror the number of EOIs received or invitees to co-creation.

1. Awards under the BAA for Pollution Prevention & Mitigation will be made based on responses to the challenges set forth in each Addendum.
2. Only submissions that are responsive to the BAA Addenda will be considered. Any EOI or concept paper that is not in response to the BAA Addenda will not be considered.
3. USAID is seeking new applications of science, technology, innovation and partnerships that provide the best value to the USG and have the potential to substantially contribute to solving pollution challenges within LMICs.
4. Proposals identified for negotiation may result in a: contract, grant, cooperative agreement, Global Development Alliance (GDA) agreement, Inter-Agency Agreement (IAA), 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 USG involvement, and other factors. The USAID CO/AO will determine award instrument type and negotiate instrument terms and conditions with selectees. USAID may select the award instruments it deems appropriate.
5. Eligibility Information. USAID is looking to engage a wide-range of potential Offerors in this BAA process – including additional donors, resource partners, and funded partners. These different roles may be filled by any organization that brings something of value to bear on the process, including public, private, for-profit, and nonprofit organizations, as well as institutions of higher education, public international organizations, non-governmental organizations, multilateral, and international donor organizations. All organizations must be determined to be responsive to Addenda issued under this BAA and sufficiently responsible to perform or participate in the final award type.

6. 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 proposer when the award type is identified.
7. 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.

VII. 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 applicants' information, USAID will work with organizations to protect intellectual property.

EOIs should be free of any intellectual property that the submitter wishes to protect, as the EOIs will be shared with USAID partners as part of the selection process. However, once applicants have been invited to engage in further discussions, applicants 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 EOI 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 any Addendum are free of any third-party proprietary data rights that would impact the license granted to USAID herein.

--[End of BAA-OAA-E3-Pollution-2020]--