



BAA Number: BAA-Guatemala-2015

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The USAID/Guatemala Broad Agency Announcement (BAA) for Guatemala's Development Challenges

I. Overview

A. Opportunity Description

This Broad Agency Announcement (BAA) seeks opportunities to co-create, co-design, co-invest, and collaborate in the research, development, piloting, testing, and scaling of innovative, practical and cost-effective interventions to address Guatemala's Development Challenges. Those Development Challenges may include opportunities to address the Regional HIV/AIDS Program managed in Guatemala. The United States Agency for International Development (USAID) invites individuals, organizations, and companies to participate with USAID to create more strategic, focused and results-oriented solutions to respond to the development challenges in Guatemala and Central America in the case of HIV/AIDS activities.

B. Federal Agency Name

The United States Agency for International Development (USAID)/Guatemala.

C. Opportunity Title

The USAID/Guatemala Broad Agency Announcement (BAA).

D. Announcement Type

This Broad Agency Announcement (BAA) serves to inform the public of the opportunity for possible funding for innovations and approaches to address Guatemala's Development Challenges. **Actual opportunities for funding and partnering to address specific research areas of interest will be issued as Addenda to this BAA.** The terms of the BAA apply to each Addendum. Individual addenda may have specific requirements for evaluation criteria and administrative information, such as the requirements for expressions of interest, concept papers, and response deadlines.

E. Opportunity Number

BAA-Guatemala-2015

F. Authority

This BAA is issued in accordance with the Federal Grant and Cooperative Agreement Act of 1977 for potential assistance awards and the Federal Acquisition Regulation (FAR) Part 35.016 for potential acquisition awards. This is not a FAR Part 15 procurement.

G. Catalog of Federal Domestic Assistance (CFDA) Numbers

98.001 – USAID Foreign Assistance for Programs Overseas

H. Response Date

The response dates and instructions to responders are established by individual Addenda to the BAA.

I. Open Period

The open period for this BAA is two years from the date of issuance. Please note, as described above, responses to this BAA will be requested by individual Addenda. Issuance of this BAA is not a request to receive information from interested parties.

II. Overall Purpose and Specific Rights Reserved for the U.S. Government

A. This BAA is a competitive approach to collaborate on activities that harness science, innovation, technologies and partnerships to solve Development Challenges in Guatemala and Central America in the case of HIV/AIDS activities, allowing USAID to:

1. Reach out to potential partners with recognized expertise in relevant areas;
2. Co-create, co-design, co-invest, and collaborate with partners; and
3. Discover, test, and scale breakthrough innovations to solve Development Challenges more quickly and cost-effectively.

B. Multiple awards, or no awards, may or may not be made under this BAA. The amount of resources made available under the BAA, if any, will depend on the activities designed and the availability of funds. Some award types may not include any funding.

C. This BAA reserves specific rights for the U.S. Government, in addition to rights described elsewhere in this document or by law or regulation, including:

1. The right to select for collaboration and award all, some, one, or none of the activities produced in response to this BAA and its associated Addenda.

2. The right to determine whether discussions and/or negotiations are necessary or advantageous for the U.S. Government's interest before making an award.
3. The right to accept proposals or co-designed activities in their entirety or to select only portions of proposals or co-designed activities 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. 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 memoranda of understanding. In addition, the U.S. Government may craft new instrument types to meet the needs of specific relationships.
5. The right to co-create projects with one or more participants under this BAA, when it is in the best interest of the U.S. Government.
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 or application, budget, and representations and certifications.
7. The right to fund or co-invest in activities 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 a proposal, application or activity generated under this BAA or associated Addenda.
9. The right to award instruments under this BAA or associated Addenda that do not commit or exchange monetary resources.
10. The right to remove collaboration participants from award consideration should the parties fail to reach agreement on activity concept, design, award terms, conditions, or cost/price within a reasonable time, the participant fails to timely provide requested additional information, or the U.S. Government believes it is in its best interest.

III. Opportunity Information

A. Country Development Cooperation Strategy (CDCS) Overview

USAID/Guatemala works as part of the U.S. Government to advance development priorities of mutual concern to Guatemala and the United States. The Country

Development Cooperation Strategy (CDCS) is a five-year plan (2012-2016)¹ based on a strategically-targeted approach to address the complex and interrelated development challenges facing Guatemalan society. The CDCS is characterized by a highly integrated, multi-sector portfolio that aims to achieve one Goal and three Development Objectives (DO) as follows.

Goal: A More Secure Guatemala that Fosters Greater Socio-economic Development in the Western Highlands and Sustainably Manages its Natural Resources

Development Objective One: Greater Security and Justice for Citizens. In order to create a more democratic, secure and prosperous Guatemala, Government of Guatemala (GOG) state institutions must have technical proficiency, political will, long-term strategies and an adequate budget to deliver security and justice to its citizens. Security is a basic human need which, when lacking, inhibits development in other sectors. DO 1 hypothesizes that increasing the demand for police and justice reform, strengthening national level government capacities to include administrative, financial and strategic planning, institutionalizing crime prevention strategies, targeting pilot projects in key areas with high homicide rates, strengthening local governments, and improving transparency and accountability of key institutions will lead to a reduction in crime and an increase in the number of prosecutions with final verdicts, thus breaking the vicious cycle of impunity. This DO complements work carried out by other USG agencies, some of which is funded by CARSI. The approach is also aligned with the USG Central America Strategy and the Counter Illicit Trafficking Strategy.

Development Objective Two: Improved Levels of Economic Growth and Social Development in the Western Highlands. Improved economic growth and social development are essential to a stable democracy and are the basis of a secure and prosperous society. DO 2 hypothesizes that parallel improvements in the income, health and nutrition, and education of Guatemala's rural poor will foster the sustainable rural development necessary for social and economic equity. Improved income alone is insufficient to reduce poverty, illness and malnutrition in Guatemala's rural poor communities; therefore, USAID will work with the GOG in the Western Highlands to improve economic opportunities and the access and utilization of quality health, nutrition, and education services. DO 2 integrates Feed the Future and the Global Health Initiative Plus to achieve a high-order objective.

Development Objective 3: Improved Management of Natural Resources to Mitigate Impacts of Global Climate Change. Guatemala possesses a wealth of natural resources that, if managed responsibly, can bring economic benefits to local communities and to the country as a whole. At the same time, however, Guatemala is highly vulnerable to natural disasters and USAID Guatemala assumes that at least one natural disaster may interrupt the country's development trajectory during the CDCS period. DO 3 hypothesizes that community-based economic incentives for conservation and protection of biodiversity, coupled with improved enforcement of existing environmental regulations and improved national policies, will safeguard the resource base necessary for sustainable rural development and thus contribute to Guatemala's increased prosperity. Concurrent reduction of vulnerability to natural disasters will help

¹ Guatemala CDCS: <http://www.usaid.gov/sites/default/files/documents/1862/GuatemalaCDCS.pdf>

mitigate loss of life and livelihoods due to climate change related events. Operating within the framework of the Global Climate Change Initiative, USAID will work with local communities and institutions to implement market-based strategies for the sustainable use of forest products and support local level risk mitigation. Concurrently, USAID will work with the GOG to promote and implement sustainable land use strategies, environmental management policies, and enforcement of regulations to improve environmental governance.

In addition, USAID/Guatemala administers the Regional HIV/AIDS Program. The purpose of this program is to contain HIV prevalence in Central America. To achieve this purpose, USAID will join resources and coordinate initiatives with other United States Government agencies and other donors, resulting in a robust and more effective response to the region's epidemic. Activities under this program will be implemented in partnership with bilateral government agencies of six Central American countries as well as regional governance bodies and civil society organizations (CSOs). Joining efforts in this way can effectively contain the epidemic, thus avoiding infection transmission to the general population, while simultaneously supporting infected people to live longer with a better quality of life. Activities will benefit the region and specific departments (Sub-National Units (SNUs)) of Belize, Guatemala, El Salvador, Honduras, Nicaragua, and Panama.

B. BAA Addenda

USAID/Guatemala will issue periodic Addenda to this BAA that will present specific Development Challenges. These Development Challenge Addenda will address identified problems, solutions, scalability opportunities, feasibility studies, and other research and development initiatives addressing one or more of USAID/Guatemala's focus areas identified above. As stated above, potential partners will respond to the specific requirements of the individual Development Challenges Addendum, not this BAA.

C. Collaboration

This intent of the BAA is to allow co-creation, co-design and co-investment to the maximum extent to create high-quality, effective partnerships with great efficiency in time and resources. Collaboration includes:

1. **Co-creation:** Co-creation occurs before the concept is developed. Together, the participant (s) and the U.S. Government, represented by the Activity Manager, work together as a Co-Creation Team to write and/or revise the Concept Paper, and jointly present the Concept Paper to the Science/Peer Review Board. A Co- Creation Team may generate one or more Concept Papers depending on the nature of the Research Area of Interest and proposed activities.

The Science/Peer Review Board reviews the Concept Paper and recommends the concept for further co-development. The Review Board will use the criteria in Section IV, below, and/or the criteria specified in the relevant Addendum, to make its recommendation to the Contracting/Agreement Officer.

2. **Co-design:** Co-design occurs after the Review Board recommends the project for further development. Once the Contracting/Agreement Officer has accepted the Review Board's recommendation, the Co-Creation Team becomes the Co-Design Team. At this point, the Contracting/Agreement Officer may determine the general nature of the award type or the specific award type, if any, depending on the nature of the project, to facilitate project design. Alternatively, depending on the nature of the activity, the Contracting/Agreement Officer may make this determination later in the process to allow the Co-Design Team wide latitude to explore different ways to construct the appropriate relationship. During co-design, the Co-Design Team will design the technical approach, partner relationships, general resource requirements, and management control of the project under the guidance of the Contracting/Agreement Officer.
3. **Co-investment:** Co-investment refers to the U.S. Government's strategic aim to align partnerships along mutual or complimentary development goals and therefore embrace shared responsibility, shared risk, and shared resourcing. Shared resourcing may be accomplished through funding by both or multiple parties, either through cash resources or the exchange of other resources. Other resources can be 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-investment does not require equally shared resourcing (such as 1:1 leverage), but rather resource contributions that are appropriate to the objectives of the specific activity, considering the comparative advantages brought by the participation of each party and the award type.

IV. General Criteria for Consideration

A. This section provides general criteria for USAID/Guatemala's priorities for concept consideration. Each individual BAA Addendum will specify the criteria for selection of submissions under that Addendum. The Science/Peer Review Board will use these criteria, general and specific, to establish the merit of a concept. Concepts are not evaluated against other concepts, nor are potential partners evaluated against other potential partners. Concepts are evaluated solely against the evaluation criteria from the BAA and the applicable BAA Addendum.

B. The following general criteria apply to all concepts:

1. Concepts developed under this BAA or its associated Addenda must be within USAID's strategic interest to pursue. Generally, strategic interest is defined as being within the scope of USAID/Guatemala's CDCS, though the Mission Director may determine that an activity that is not within the CDCS is within USAID's strategic interest on an exceptional basis.
2. Concepts developed under this BAA or its related Addenda must appear to be achievable, allowing for a high degree of risk appropriate for new and innovative technologies and approaches.

3. Concepts developed under this BAA or its related Addenda must be structured to produce useful data and measurable results.
4. Decisions regarding USAID's pursuit of a particular project, technology or relationship are based on available evidence, data, and resulting analysis. USAID/Guatemala seeks solutions using scientific research, innovations and technologies that can have a significant impact in Guatemala's development and can achieve that impact at scale (i.e., an impact on the lives of millions of people). At different stages, USAID will consider different levels of risk, evidence, and data on the potential for impact and scale.
5. At the initial stage of sourcing, prototype or proof of concept, the design of the scientific research, innovation or technology should be a new or a dramatically- improved approach with the potential for significant impact and/or a significantly lower cost.

C. The reputation of organizations, their past performance, and the managerial and technical ability of the person or team of people engaged in the endeavor are significant considerations in assessing the potential and the risks associated with potential partnerships and awards.

V. Award Process

The award process under this BAA generally has the following steps:

A. Expression of Interest: Potential partners will submit an Expression of Interest in response to a BAA Addendum. Expressions of Interest are generally short (2-5 pages) and contain information as outlined in the BAA Addendum, such as the talent team offered for collaboration; the capacity, capability, and experience of the proposed partner organization; any partner/resource relationships; and proposed resource contributions. USAID will assess each Expression of Interest against the specific partner goals and criteria listed in the relevant Addendum and select the partner(s) best suited for collaboration. Note that the U.S. Government may reach out to potential partners requesting an Expression of Interest.

B. Development of the Concept Paper: For Expressions of Interest that USAID deems to have merit, USAID will invite the potential partner(s) to collaborate. Working together, USAID and the potential partner(s) will produce a Concept Paper. During this phase of co-creation the parties will establish the problem statement based on the Research Area of Interest, a viable solution, general resource requirements, and partnership contributions (resources and comparative advantages) to the solution. The Concept Paper, generally no more than 10 pages, will explain the project as envisioned by the Co-Creation Team.

C. Review by the Peer Review Board: All Concept Papers will be reviewed by the Science/Peer Review Board, comprised of development experts convened by USAID/Guatemala, in accordance with USAID policy and U.S. Government regulations, including FAR Part 6.102(d)(2). The Science/Peer Review Board will

recommend whether a Concept Paper should be graduated to co-development. Using its technical expertise, the Peer Review Board may suggest revisions/additions to the project as well as potential partners and resources.

D. Contracting/Agreement Officer's Determination: The Contracting/Agreement Officer will review the Science/Peer Review Board's recommendations and consider other information, such as resource availability, preliminary partner responsibility assessment, and USAID priorities. The Contracting/Agreement Officer will determine whether the concept will be moved forward to co-development. The Contracting/Agreement Officer may determine the anticipated instrument type to facilitate project design, or may advise the Co-Design Team on possible instruments and relationship types and determine the instrument at a later time in the co-development process.

E. Mission Management Consent: The Mission Management will review the concept and determine what programmatic pre-award activities may be necessary, such as a Project Appraisal Document amendment, completion of pre-obligation checklists, etc. Mission Management may task the Co-Design Team to draft programmatic documentation concurrently with their program design. At this point, Mission Management consent does not approve the activity or authorize commitment of funding. Consent only allows the Co-Design Team to proceed with the collaboration.

F. Proposals/Applications: USAID will work with partners to co-design the activity and, when applicable, collaborate with the partners to prepare a proposal or application. Full proposals/applications are generally 30- 60 pages in length and describe in more detail the potential partner's implementation, resource partners, capacity, management and organizational structure, past performance and budget, as well as representations and certifications. However, the length and content of the proposal/application depends greatly on the nature of the partnership and the type of mechanism.

G. Additional Partners/Resources: During co-creation and co-design, the Co-Creation/Co-Design Team may identify additional partners and resources, as well as determine whether additional mechanisms are necessary to implement the project. Any addition of a new partner to the Co-Creation or Co-Design Team requires the approval of the Contracting/Agreement Officer.

H. Final Review and Negotiation: Following any necessary internal USAID/Guatemala reviews of the activity design, the USAID/Guatemala Contracting/Agreement Officer will conduct the final review and negotiation, choose the instrument type, analyze cost reasonableness, and determine the responsibility of any potential partner receiving U.S. Government funding as a result of this collaboration. Based on this and other information, the Contracting/Agreement Officer will make the final determination of whether the potential partner is an Apparently Successful Partner and collaboratively 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 U.S. Government.

I. Award: The USAID/Guatemala Contracting/Agreement Officer will award the instrument. Where a specific instrument type is contemplated that is not within the

Contracting/Agreement Officer's authority, the appropriate authority will award the instrument in accordance with USAID/Guatemala Mission Orders and standing agreements.

VI. Award Information

A. Awards under this BAA will be based on responses to individual Addenda, which set out the Development Challenge(s).

B. No responses will be considered under this BAA until an Addendum has been issued; only submissions that are responsive to a specific Development Challenge Addendum will be considered. Any proposal, Expression of Interest or Concept Paper received that is not in response to a Development Challenge Addendum will not be considered. However, USAID encourages interested parties to submit suggestions for Development Challenge Addenda.

C. Awards under this BAA will be made to Apparently Successful Partners on the basis of the ability to dramatically further USAID/Guatemala's Development Objectives. USAID is seeking 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. Proposals identified for negotiation may result in contracts, grants, cooperative agreements, Global Development Alliance agreements, Development Innovation Agreements, inter-agency agreements, government-to-government agreements, donor-to-donor agreements, memoranda of understanding, or alternative agreement types, depending upon the nature of the work proposed, the required degree of U.S. Government involvement, and other factors. The USAID Contracting/Agreement Officer will determine the award instrument type and negotiate terms and conditions with awardees. USAID may select the award instrument it deems appropriate.

E. Public, private, for-profit, and non-profit organizations, as well as institutions of higher education, public international organizations, non-governmental organizations, U.S. and non-U.S. governmental organizations, and international donor organizations are eligible under this BAA, unless otherwise stated in the individual Addendum. All organizations must be determined to be responsive to the BAA and sufficiently responsible to perform or participate in the final award type.

F. Whether cost share, match, and/or leverage are required will be determined by the individual BAA Addendum, final award type, and/or the mutual agreement of the parties. Nothing in the BAA precludes reasonable cost sharing, matching, leveraging or their exchange or resources arrangements, and proposers are encouraged to suggest creative approaches to resourcing projects.

VII. Intellectual Property

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 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, organizations making submissions under a BAA Addendum 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 Addendum. 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 submission under any BAA 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 considerable by award type. Information regarding clauses and provisions will be offered to the Apparently Successful Partner when the award type is identified.

IX. Obtaining the BAA and Addenda

This BAA and any future Addenda can be downloaded from <http://www.grants.gov> and <http://www.fbo.gov>. Issuance of this BAA does not constitute an award or 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 proposals. Further, USAID reserves the right to reject any or all proposals received.