

**Issuance Date:** FEBRUARY 06, 2020

**Open Period:** FEBRUARY 06, 2020 to FEBRUARY 05, 2022

**BAA-OAA-E3-ENERGY-2020**

**United States Agency for International Development's (USAID)  
Broad Agency Announcement (BAA) for  
Energy Sector Self-Reliance (ESSR)**

**I. Overview**

This Broad Agency Announcement (BAA) seeks opportunities to co-create, co-design, and co-invest in the research, development, piloting, and scaling of innovative and cost-effective interventions to support the advancement of self-reliant energy sectors in developing countries. The United States Agency for International Development (USAID) invites organizations, companies, government agencies, academic and research institutions, and investors<sup>1</sup> to propose innovative approaches to address the diverse set of challenges faced by countries that are striving to achieve universal access to reliable, affordable, and sustainable energy services. USAID's Office of Energy and Infrastructure (E+I) within the Bureau for Economic Growth, Education and Environment (E3), developed this BAA for Energy Sector Self-Reliance to expand the Agency's ability to engage with a wide range of implementing partners and service providers within the global energy sector, and develop new means to rapidly deliver tailored, best-in-class assistance and technologies to help strengthen national and regional energy systems. The opportunity to do so will be provided through subsequent Addenda issued under this BAA.

**1. Federal Agency Name:**

The United States Agency for International Development (USAID)

**2. Opportunity Title:**

Broad Agency Announcement (BAA) for Energy Sector Self-Reliance

**3. Opportunity Number:**

BAA-OAA-E3- ENERGY-2020

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<sup>1</sup> Individual Amendments issued under this Broad Agency Announcement (BAA) may vary in their eligibility requirements as to the specific types of entities (i.e. organizations, companies, government agencies, academic and research institutions, and investors etc.) that are invited to submit Expressions of Interest (EOI).

**4. Announcement Type:**

USAID will issue periodic Addenda to this BAA seeking basic research,<sup>2</sup> applied research,<sup>3</sup> research and development,<sup>4</sup> and/or pilot initiatives of new approaches to address specific energy sector challenges that have been identified by the Agency as hindrances to sustained and equitable socio-economic development among partner countries. The terms of this BAA apply to each Addendum issued under it. Each individual Addendum may have specific instructions, requirements for evaluation criteria, and administrative information - such as requirements for eligibility of Offerors, Expressions of Interest, Concept Papers, and response deadlines. This BAA is open through February 05, 2022, and any opportunities for funding and partnering will be issued separately as Addenda to this BAA.<sup>5</sup>

**5. Authority:**

This BAA is issued under Federal Acquisition Regulations (FAR) Part 35.016 (c). This is **not** a FAR Part 15 Procurement.

**6. Catalog of Federal Domestic Assistance (CFDA) Number:**

98.001 AID 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 (EOIs) 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.** Occurs after EOIs have been submitted by Offerors in response to a specific Addendum to this BAA and have been selected by USAID for further discussion - but before a

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<sup>2</sup> In the context of Broad Agency Announcements (BAA) issued by USAID, the term “basic research” means: that 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.

<sup>3</sup> In the context of Broad Agency Announcements (BAA) issued by USAID, the term “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.

<sup>4</sup> In the context of this Broad Agency Announcements (BAA) issued by USAID, the term “[research and] development” means: the systematic use, under whatever name, of scientific and technical knowledge in the design, development, test, or evaluation of a potential new product or service (or of an improvement in an existing product or service) for the purpose of meeting specific performance requirements or objectives. Development includes the functions of design engineering, prototyping, and engineering testing.

<sup>5</sup> Further information about USAID’s use of the Broad Agency Announcement (BAA) and co-creation process, can be found at: <https://www.usaid.gov/partnership-opportunities/respond-solicitation/broad-agency-announcements>

thorough concept is developed. The EOI Offeror(s), the U.S. Government (USG), represented by the USAID Activity Manager for this BAA, and potentially other stakeholders, work together to determine the best course forward. This co-creation engagement may include consideration of one or multiple EOI Offerors, potential partners, industry experts, energy sector associations, other government agencies, and non-governmental organizations (NGOs). As part of the co-creation process, EOI Offeror(s) will collaboratively develop individual Concept Papers for potential new USAID-funded projects, and jointly present the Concept Paper(s) to the USAID Peer Scientific Review Board (PSRB)<sup>6</sup> for consideration and further development.

2. **Co-design/development.** Occurs after the USAID PSRB recommends a Concept Paper for further development, and the USAID Contracting Officer/Agreement Officer (CO/AO) has determined a Concept Paper Offeror 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/instrument type, depending on the nature of the project, to facilitate project design. During co-design/development, 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.** Supports the USG's strategic aim that the partnerships resulting from BAA Addendum awards represent opportunities to achieve mutual or complementary development goals of the Concept Paper Offeror, USAID, and potentially other resource partners - and therefore, embrace shared responsibility, shared risk, and shared resourcing. Co-investing may be accomplished through funding by both/multiple 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 U.S. Government (USG) under this BAA

The 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 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 content of EOIs/Concept Papers in their entirety or to select only portions of EOIs/Concept Papers for award or co-investment.

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<sup>6</sup> The composition of the USAID Peer Scientific Review Board (PSRB) members that review Concept Papers will vary among the individual Addenda issued under this Broad Agency Announcement (BAA).

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 (GDA) agreements, Inter-Agency Agreements (IAA), 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 EOI Offerors/Concept Note Offerors 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 Offerors 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 the USG believes it is in its best interest.

#### **IV. Problem and Challenge Statements**

The lack of sufficient, accessible, affordable, and reliable energy is a primary impediment to USAID's core objective of poverty reduction. A modern energy sector underpins not only economic growth but also the expansion and improvement of services in all sectors of development, from food security and health to education. However, in parts of the developing world, nearly two-thirds of the population does not have access to modern energy services. Many of the countries where USAID works are facing tremendous challenges associated with meeting growing demand for electricity and household fuel, making the most efficient use of their energy resources, and securing investments for maintenance and modernization of their energy systems and distribution networks. USAID partners with countries to address these challenges and develop strategic pathways to achieving self-reliant energy sectors.

USAID defines self-reliance as a country's capacity to plan, finance, and implement solutions to local development challenges, and a commitment to see these through effectively, inclusively, and with accountability. Within the context of the energy sector, a self-reliant path is marked by countries striving to achieve a secure future, in which uninterrupted electricity and fuel is accessible to all and available at affordable prices from reliable sources. To support this effort, USAID designs and implements programs to promote environmentally sound economic growth, rehabilitate energy sectors in post-conflict and post-disaster contexts, improve the resilience of energy systems, support the achievement of universal energy access, and enhance energy security. Underlying these interventions is the aim of addressing the policy, institutional, technological, financial, and commercial issues that developing countries face in strengthening their energy sector and attracting the private sector investment needed to increase access to modern, financially and environmentally sustainable energy services.

USAID's Office of Energy and Infrastructure (E+I) in the Bureau for Economic Growth, Education and Environment (E3) based in Washington DC is the Agency's lead in promoting self-reliant energy sectors worldwide. E3/E+I provides technical assistance to USAID's Washington DC-based Operating Units, and USAID Missions abroad and their counterparts in identifying and adopting international leading-practices to address regional and national energy sector challenges.

## **Problem**

Establishing modern and sustainable generation, transmission, distribution systems, and off-grid energy solutions (including household and community-scale, as well as clean cooking technology and fuel), and securing reliable access to energy services is vital for countries in order to meet their diverse, multi-sector development objectives and sustain economic growth. The supply of energy services in many countries is of poor quality due to operational inefficiencies, difficulties in reaching dispersed populations, and unsustainable pricing and tariff structures. These issues are often compounded by the use of outdated energy system technologies/practices, persistent application of ineffective energy sector policies, and limited technical capacity of sector personnel in both utility management and regulatory reform and enforcement. Many of USAID's partner governments subsidize electricity prices as a means to spur commercial and industrial growth and address issues of social equity. However, such subsidy practices have proven unsustainable, as many utilities are unable to collect sufficient revenue to expand energy systems to meet increasing demand - or to even properly maintain and repair existing facilities. With unreliable energy systems, countries are hindered in their ability to attract needed cross-sector private investment and are unable to sufficiently support social service facilities.

Globally, the energy sector is undergoing a transformation that will result in a landscape that will look very different in twenty years, both technologically and operationally. Rapid advancements in technology development, declining costs of renewable power generation and storage, acknowledged economic and system stability benefits for cross-border energy trade, and national/regional pursuits of cleaner power systems are all creating new challenges and opportunities within the sector. Further, off-grid energy solutions such as household solar and mini-/micro-grids are increasingly providing sustainable and affordable electricity to urban, peri-urban, and remote communities, often without direct government regulation nor supportive policy frameworks. No one country has all the solutions for energy sector self-reliance pre-determined. This provides a unique opportunity to incorporate a modernized approach to achieving universal energy access, utilizing sustainable business models with profitable trajectories requiring minimal donor assistance in the future.

In supporting developing countries in their energy sector reform efforts, USAID strives to stay at the forefront of new technologies and approaches. Given the dynamic nature of the energy sector and the disparate range of entities that are developing new energy technologies and services, USAID acknowledges that it must forge diverse partnerships to collectively identify new, innovative, and cost-effective solutions to both long-standing and emerging energy sector challenges.

## **Challenge**

This BAA intends to address the challenge of how to most effectively assess and identify the specific technical and operational assistance needs of partner countries, and to subsequently source and deliver interventions that significantly advance access to affordable, reliable energy services and promote the overall sustainability and financial viability of the sector. Through this BAA, USAID and its competitively-selected partners will co-design new ways to harness the power of science, technology, and innovation to generate, adapt and apply energy sector solutions, in areas including, but not limited to: Utility scale electricity (grid connected, public or private owned, smart grids); Off-grid energy services

(microgrids/minigrid, household-scale/community-scale distribution, clean cooking and associated fuels); Transportation (electric vehicles, electric trains and fleets); Diversification of energy resources; Energy efficiency (building codes, efficient appliances & equipment); Distributed generation (captive power for commercial and industrial); Policy and regulatory reform (competitive energy procurement, grid interconnection of renewables, cross-border trade); and energy sector financial services (innovative energy financing for projects and consumers). This solicitation is by no means limited to technologies and physical assets, but also encompasses approaches to capacity building, institutional and regulatory reform, and deepened private sector engagement. Additionally, through this BAA, USAID and its partners can collaboratively innovate on the process of development assistance itself. This may range from the development of new approaches to standard program elements such as monitoring and evaluation and the integration of gender issues to the exploration of new models for transparently procuring, specialized technical experts, and facilitating their direct engagement with host country governments, utilities, regulators, and/or national/regional energy associations.

USAID encourages respondents to Addenda published under this BAA to consider a number of relevant and timely USG policies of interest and energy sector support priorities, including:

1. The [Journey to Self-Reliance](#), whereby partner countries are positioned to solve their own development challenges;
2. [Self-Reliance Metrics and Country Roadmaps](#), which measure and depict a country's capacity to plan, finance, and implement solutions to local development changes - and a commitment to see these through effectively, inclusively, and with accountability;
3. 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;
4. 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;
5. The [Acquisition and Assistance Strategy](#), which focuses on procurement innovation and addresses ways to expand and diversify the partner base, among other matters;
6. The [New Partnership Initiative](#), which supports USAID Operating Units as they develop, plans for engaging new partners through new and existing procurement mechanisms.
7. [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.

## V. 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 support for self-reliant energy sectors.
3. The past performance of the Offerors, and the managerial and technical ability of the team engaged in the endeavor are always significant considerations in assessing the potential and the risks associated with each award.
4. Each individual BAA Addendum will further specify technical and/or geographic focus areas to which the EOI Offerors are requested to address.

## VI. Co-Creation Stages

This section outlines the general 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 nature of the Concept Papers developed and the availability of funds. It is expected that the award process under each BAA Addendum will occur in the following stages.

### Stage 1

- **Expression of Interest (EOI).** Once an Addendum is released under this BAA, Offerors are invited to submit an EOI in accordance with specific guidelines in that individual Addendum. *No Expressions of Interest (EOI) are to be submitted against this BAA.*

EOIs submitted by Offerors must clearly indicate the development idea and approach which will work toward identifying potential solutions that address challenges presented in the Addendum. The individual Addenda will specify the type of solutions that are being sought and evaluation criteria, and Offerors will be asked to explain in their EOI the manner in which their proposed approach is new and different to USAID's traditional practices.

The EOIs submitted will be relatively short (not more than five 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 EOI Offerors 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 this BAA and associated Addenda, USAID will issue to the EOI Offeror an invitation to collaborate.<sup>7</sup>

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<sup>7</sup> An invitation is sent to an EOI Offeror to participate in a co-creation workshop, conference, meeting, or the method designated by USAID to work together with all/select invitees to further develop the idea presented in the Expressions of Interest (EOI).

Working together, USAID, the EOI Offeror(s), and potentially other technical experts will collaborate on developing 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 activity. The Concept Paper (generally a five-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 Concept Paper co-creation and co-design, both the EOI Offeror(s) and USAID will identify additional potential partners and resources, and whether additional instruments are necessary to successfully implement the project.

For those Offerors that develop Concept Papers in Stage 2 which 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 USAID Peer Scientific Review Board (PSRB), comprised of experts from USAID, partners, and, potentially, outside parties. The PSRB will assess Concept Papers and recommend which Offerors should be considered as Apparently Successful Partners. Using its technical expertise, the PSRB will recommend whether to move forward with the activity including revisions/additions to the activity, and potential partners and resources.

Not all Offerors that have Concept Papers reviewed by the PSRB will necessarily move forward to Stage 4, and they will be notified by USAID accordingly. *USAID may or may not provide detailed explanation to Offerors as to why their submission was not selected to move forward.*

### Stage 4

- **Contracting/Agreement Officer (CO/AO) Determination.** The USAID CO/AO will review the IRB's recommendations and consider other information, such as resource availability, preliminary partner responsibility assessment, and Agency priorities, and will make a determination that the Offeror 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.

## **VII. Award Information**

The 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 Energy Sector Self-Reliance 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 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 challenges associated with achieving energy sector self-reliance within developing countries.
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. *Individual Amendments issued under this BAA may vary in their eligibility requirements as to the specific types of entities that are invited to collaborate.*
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.

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

EOIs should be free of any intellectual property that 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-ENERGY-2020]--**