



DEFENSE

THREAT

REDUCTION

AGENCY

UNSOLICITED PROPOSAL GUIDE

OFFICE OF PRIMARY RESPONSIBILITY: ACQUISITION & LOGISTICS (AL)
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FOREWORD

This Guide is issued under the authority of the Federal Acquisition Regulation (FAR) Subpart 15.6--Unsolicited Proposals. It provides guidance to individuals assigned to the Defense Threat Reduction Agency (DTRA) and potential offerors on procedures for submission and evaluation of unsolicited proposals. It also gives potential offerors instructions for identifying and marking proprietary information in their unsolicited proposals so that information is protected and restrictive legends conform to FAR requirements.

This Guide applies to all Offices and Directorates in DTRA and to private (public) sector individuals and business concerns submitting unsolicited proposals to DTRA. It also applies to unsolicited proposals submitted by Defense Allies.

This Guide is effective immediately.

Send recommended changes to:

Defense Threat Reduction Agency
Acquisition and Logistics (DTRA/AL)
Attn: Director, Small and Disadvantaged
Business Utilization (SADBU)
8725 John J. Kingman Rd. MS 6201
Ft. Belvoir, VA 22060-6201

Nothing in this Guide is intended to conflict with coverage pertaining to unsolicited proposals in the Federal Acquisition Regulation.

This Guide will be available on the DTRA website under Acquisition. Interested public users may obtain copies by contacting the SADBU, Contract Policy and Oversight office (ALM) at the above address.

REFERENCES

- (a) Part 15.6 of the Federal Acquisition Regulation (FAR)
- (b) DTRA Policy and Procedures, Unsolicited Proposal Process, October 2001

DEFINITIONS

The following definitions are provided in order to assist offerors who may not be familiar with the unsolicited proposal process.

1. Unsolicited Proposal - a written proposal for a new or innovative idea that is submitted to DTRA on the initiative of the offeror for the purpose of obtaining a DTRA contract, and that is not in response to a request for proposals, Broad Agency Announcement, Small Business Innovation Research topic, Small Business Technology Transfer Research topic, Program Research and Development Announcement, or any other Government-initiated solicitation or program. To be considered for acceptance, an unsolicited proposal to perform research and development must be a innovative, unique, or meritorious method, approach or concept. It must be submitted in sufficient detail to allow a determination that it would benefit DTRA's mission responsibilities, and it must not be a response to a DTRA request or an advance proposal for a DTRA requirement that could be met by competitive means. Advertising material, commercial product offerings, contributions, or white papers, as defined below, are "not" unsolicited proposals.

2. Advertising material - material designed to acquaint the DTRA with a prospective contractor's present products or potential capabilities, or designed to stimulate interest in DTRA to buy these products.

3. Commercial item offer - an offer of a commercial item that is usually sold to the general public and that the vendor wishes to see introduced into the DTRA supply system as an alternate or replacement for an existing supply item.

4. Contribution - concept, suggestion, or idea presented to the DTRA for its use with no indication that the source intends to devote any further effort to it on DTRA's behalf.

5. White Paper - a detailed or authoritative technical report without detailed delivery schedules or cost estimates.

CHAPTER 1

GENERAL INFORMATION

1.1. PURPOSE

This Guide provides guidance to assist parties interested in preparing and submitting unsolicited proposals to the Defense Threat Reduction Agency (DTRA). Within the Department of Defense, DTRA is responsible for managing, directing, and executing the Threat Reduction Program. The Threat Reduction program's objective is to:

1.1.1 Reduce the physical and psychological terror of weapons of mass destruction, thereby enhancing the security of the world's citizens.

One means by which DTRA obtains innovative ideas from the private sector to meet the DTRA mission is through the unsolicited proposal process. Unsolicited proposals provide a means for accomplishing functions not always well served by solicited proposals. DTRA welcomes unsolicited proposals and appreciates the contributions made by private individuals and organizations toward maintaining the technological leadership of the United States. This Guide outlines the requirements and procedures for submitting unsolicited proposals to DTRA.

1.2. POLICY

1.2.1. DTRA has a continuing interest in receiving and evaluating proposals containing new ideas, suggestions, and inventive concepts for weapons, supplies, facilities, devices, systems and equipment. The unsolicited proposal process provides a vehicle for DTRA to obtain innovative, unique, or meritorious methods, concepts, or approaches from the private sector (i.e., business/industry or academia) and selected Allies, to accomplish the basic and applied research required for support of Threat Reduction programs.

1.2.2. Unsolicited proposals to perform research and development are distinguished from proposals that are requested by DTRA from qualified sources. Since unsolicited proposals are not included in the procurement budget, they must be specially funded if accepted. Therefore, in order to be considered for contract award, an offeror's unsolicited proposal must demonstrate significant technological promise or merit and should represent the product of original thinking. Additionally, to

qualify for evaluation, the proposal must be submitted in confidence from one source. Favorably evaluated unsolicited research proposals that attempt to: determine and exploit the potential of scientific discoveries or improvements in technology, materials, processes, methods, devices, or techniques; advance the state of the art; and/or increase scientific knowledge, (i.e., it is directed toward a fuller knowledge or understanding of the subject under study rather than any practical application of that knowledge) may qualify under FAR 6.302-1(a)(2)(i) for other than full and open competition. FAR 15.607(b)(2) makes it clear that nonresearch unsolicited proposals will not automatically qualify for other than full and open competition and may have to be returned, unless they can be determined to meet other provisions under FAR Subpart 6.3.

1.2.3. Who May Submit

In order to gain the greatest benefit from a wide range of intellectual and technological resources, DTRA encourages any organization or individual to suggest a research and development effort which may support Threat Reduction programs. In the case of unsolicited proposals submitted by foreign governments, acceptance and evaluation will be in accordance with the provisions of existing Memoranda of Understanding executed with the particular government.

1.2.4. When to Submit

Unsolicited proposals for research and development projects which are original in nature and concept and fall within DTRA areas of interest may be submitted at any time.

1.2.5. Where to Submit

To expedite evaluation, all copies of proposals should be clearly marked as unsolicited and forwarded to: Defense Threat Reduction Agency, ATTN: Director, Small and Disadvantaged Business Utilization (SADBU), Acquisition and Logistics, 8725 John J. Kingman Road MS 6201 Ft. Belvoir, VA 22060-6201. Please indicate clearly the Offices and Directorate(s) to which you believe your proposal may apply, provide a copy of the proposal for each DTRA organization involved and include a copy for the SADBU, ALM. To assist prospective offerors in identifying potential contracting opportunities using the unsolicited proposal approach, a listing of DTRA Directorates, with summaries of their respective functions, is provided at the DTRA website .

1.2.6. Pre-Proposal Activities

Unsolicited proposals are to be independently originated and developed by the offeror and must be developed without Government supervision, endorsement, direction, or direct Government involvement. However, preliminary contact with DTRA agency technical or other appropriate personnel before preparing a detailed unsolicited proposal or submitting proprietary information to the Government may save considerable time and effort for both parties. DTRA will make available the information listed in FAR 15.604, as applicable, to include:

1.2.6.1. General rules for content and definitions of an unsolicited proposal.

1.2.6.2. Requirements concerning responsible prospective contractors (FAR 9.1) and organizational conflicts of interest.

1.2.6.3. Public information on DTRA such as: upcoming solicitations, Broad Agency Announcement, research and/or grant programs.

1.2.6.4. Information regarding other types of transactions similar to unsolicited proposals.

1.2.6.5. Sources of information on agency objectives and areas of potential interest.

1.2.6.6. General answers to questions on procedures for submission and evaluation of unsolicited proposals.

1.2.6.7. General answers to questions on procedures for marking restrictive legends and identifying proprietary information.

Initial contact should be made through the SADBU, to provide this information or to direct the offeror to an appropriate source in a technical activity.

1.3. RESPONSIBILITIES

1.3.1. Authority to Contract

Submitters of unsolicited proposals are advised that **only duly warranted DTRA Contracting Officers have authority to contractually bind the Government for DTRA.** Personnel who

receive, handle, or evaluate unsolicited proposals are not authorized to commit the Government.

1.3.2. The SADBUs are the DTRA central coordinators to receive, initially review, establish internal controls, process for evaluation, and execute timely disposition of all DTRA unsolicited proposals. Questions regarding unsolicited proposals should be directed to DTRA at: Defense Threat Reduction Agency, ATTN: Director, Small and Disadvantaged Business Utilization, Acquisition and Logistics, 8725 John J. Kingman Road MS 6201, Ft. Belvoir, VA 22060-6201 or by telephone: (703) 767-4603, or telefax: (703) 767-4441.

1.4. CLASSIFIED INFORMATION

Classified proposals will be handled in accordance with directions provided by the SADBUs.

CHAPTER 2

UNSOLICITED PROPOSAL CONTENT AND FORMAT

2.1. PROCEDURES

Unsolicited proposals submitted to DTRA will use the following format. The proposal should consist of two parts: (1) a cover letter, and (2) a technical summary.

2.1.1. Cover letter. The cover should contain the following information:

2.1.1.1. Offeror's name and address.

2.1.1.2. Type of organization (Profit; Nonprofit; Educational; Small Business; Ministry/Agency).

2.1.1.3. Names and telephone numbers of technical and business personnel to be contacted for evaluation or negotiation purposes.

2.1.1.4. Identification of proprietary data to be used only for evaluation purposes.

2.1.1.5. Names of other Federal, State, local agencies, or parties receiving the proposal or funding the proposed effort.

2.1.1.6. Date of submission.

2.1.1.7. Signature of a person authorized to represent and contractually obligate the offeror.

2.1.2. Technical Summary. The technical summary should include the following information:

2.1.2.1. PROJECT SUMMARY: Concise title and technical abstract (approximately 200 words). This should include a brief description of the project objective, and description of the effort.

2.1.2.2. SUMMARY OF BENEFITS: Anticipated benefits and commercial applications of the proposed research or research and development should also be summarized.

2.1.2.3. IDENTIFICATION AND SIGNIFICANCE OF THE PROBLEM OR OPPORTUNITY: Define the specific technical problem or opportunity addressed and its importance.

2.1.2.4. TECHNICAL OBJECTIVES: Enumerate the specific objectives of the work, including questions it will try to answer to determine the feasibility of proposed approach.

2.1.2.5. WORK PLAN: Provide an explicit, detailed description of the approach. The plan should indicate not only what is planned but how and where the work will be carried out. The effort should attempt to determine the technical feasibility of the proposed concept. The methods planned to achieve each objective or task should be discussed explicitly and in detail. This section should be a substantial portion of the total proposal. It will also identify names of subcontractors or affiliates anticipated and roles they would play in the work.

2.1.2.6. RELATED WORK: Describe significant activities directly related to the proposed effort, including activities conducted by the principal investigator or by the proposing firm, consultants, or others. Show how these activities interface with the proposed project. Show how coordination with outside sources will be conducted, if required. The proposal must persuade reviewers of the proposer's awareness of the state-of-the-art in the specific topic.

2.1.2.7. RELATIONSHIP TO FUTURE RESEARCH OR RESEARCH AND DEVELOPMENT:

2.1.2.7.1. State the anticipated results of the proposed approach if the project is successful.

2.1.2.7.2. Discuss the significance of the effort in providing a foundation for research and/or development effort.

2.1.2.8. POTENTIAL APPLICATIONS:

2.1.2.8.1. Discuss whether and by what means the proposed project appears to have potential use by the Federal Government and how that potential relates to the DTRA mission.

2.1.2.8.2. Discuss whether and by what means the proposed project appears to have potential commercial applications.

2.1.2.9. KEY PERSONNEL: Identify key personnel who will be involved in the effort. Provide information on qualifications, capabilities, directly related education and experience. Provide concise resume(s) of the principal

investigator, team leader, or key personnel critical to achieving the proposed objectives. Include a list of relevant publications (if any).

2.1.2.10. FACILITIES/EQUIPMENT: Describe available instrumentation and physical facilities necessary to carry out the effort. Items of equipment to be purchased shall be justified under this section. Identify support needed from DTRA.

2.1.2.11. COST: Provide proposed price or total estimated cost for the effort in sufficient detail for meaningful evaluation.

2.1.2.12. TIME: Period of time for which the proposal is valid (a minimum of six months is recommended.).

2.1.2.13. TYPE OF CONTRACT PREFERRED: (For example: Cost Plus Fixed Fee; Cost Reimbursement; Firm Fixed Price).

2.1.2.14. PROPOSED DURATION OF EFFORT.

2.1.2.15. BRIEF DESCRIPTION OF ORGANIZATION & PREVIOUS RELEVANT EXPERIENCE, RELEVANT PAST PERFORMANCE INFORMATION AND REFERENCES.

2.1.2.16. REQUIRED STATEMENTS, IF APPLICABLE, ABOUT ORGANIZATIONAL CONFLICTS OF INTEREST, SECURITY CLEARANCE AND ENVIRONMENTAL IMPACT.

2.2. MARKING TO RESTRICT OR LIMIT USE OF DATA:

2.2.1. An unsolicited proposal may include data that the offeror does not want disclosed for any purpose other than evaluation. Accordingly, prospective offerors should identify to the Government, all trade secrets, commercial or financial information, and privileged or confidential information included in an unsolicited proposal that is not to be disclosed.

2.2.2. If the offeror wishes to restrict the data contained in an unsolicited proposal, the title page must be marked with the legend from the Federal Acquisition Regulations (FAR), Section 15.609 which is reproduced below. DTRA will return to the offeror any unsolicited proposal marked with a different legend.

"Use and Disclosure of Data"

This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed -- in whole or in part -- for any purpose other than to evaluate this proposal. However, if a contract is awarded to this offeror as a result of -- or in connection with -- the submission of these data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in these data if they are obtained from another source without restriction. The data subject to this restriction are contained in Sheets [insert numbers or other identification of sheets].

2.2.3. The offeror shall also mark each restricted sheet with the following legend: **"Use or disclosure of proposal data is subject to the restriction of the title page of this proposal."**

2.2.4. The offeror's restriction on disclosure of data may not be sufficient to justify withholding of a record nor to improperly deny the public access to a record where an obligation is imposed on DTRA by the Freedom of Information Act, 5 U.S.C. 522, as amended. Further, the restriction would not limit the Government's right to use information contained in the proposal if it is obtainable from another source without restriction.

2.3. ADDITIONAL INFORMATION

2.3.1. Response to requests by the evaluators for further information, or revision and resubmission of a proposal shall be at the expense and risk of the submitter and shall create no obligation on the Government.

2.3.2. Only those unsolicited proposals evaluated as offering significant advancement in the state-of-the-art will be considered for funding. If an unsolicited proposal is accepted, a contract may be negotiated between the offeror and DTRA. A favorable evaluation does not, in itself, necessarily justify negotiating on a noncompetitive basis. Contract performance details will be discussed and worked out between the offeror, the technical office involved and the Contracting Officer. In the event a proposal is not accepted, the Government is not obligated in any way to reimburse the offeror for any costs incurred in preparing and submitting the unsolicited proposal.

CHAPTER 3

EVALUATION INFORMATION

3.1. EVALUATION CRITERIA

Unsolicited proposals that satisfy the criteria outlined below will receive a comprehensive evaluation by appropriate personnel engaged in the technical areas related to the unsolicited proposal under consideration. In addition to other appropriate factors, the following will be considered by technical personnel as basic criteria when evaluating unsolicited proposals (in accordance with FAR Subpart 15.606-2):

3.1.1. Unique, innovative, and meritorious methods, approaches or concepts demonstrated by the proposal that relate to DTRA's mission.

3.1.2. Overall scientific, technical or socioeconomic merits of the proposal.

3.1.3. Potential contribution of the effort to the agency's specific mission.

3.1.4. The offeror's capabilities, related experience, facilities, techniques, or unique combinations of these which are integral factors for achieving the proposal objectives.

3.1.5. The qualifications, capabilities, and experience of the proposed principal, team leader, or key personnel who are critical in achieving the proposed objectives.

3.1.6. Whether this proposal closely resembles any pending acquisition requirement.

3.1.7. Whether this capability is available to the Government without restriction from another source.

3.1.8. Whether funds are available in the current fiscal year.

3.1.9. The realism of the proposed cost.

3.1.10. Other factors not specified above. Recommendation or questions the evaluators may wish to address to the submitter.

3.2. EVALUATION RESULTS

The individual identified as the point of contact for the organization or entity submitting the proposal will be notified by the SADBUs, Acquisition and Logistics, or an authorized contracting officer as to the results of the evaluation and any intent to pursue negotiation of a contract. Individuals outside Acquisition and Logistics are not authorized to accept or reject the proposal and bind DTRA to a contractual obligation.