



Defense Threat Reduction Agency

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MEMORANDUM FOR DISTRIBUTION C

SUBJECT: Defense Threat Reduction Agency (DTRA) Unsolicited Proposal Guidelines

Reference: Federal Acquisition Regulation (FAR) Subpart 15.6 – Unsolicited Proposals

The attached Unsolicited Proposal Guidelines provide direction to potential offerors on procedures for submission and evaluation of unsolicited proposals. It provides 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.

Broad Agency Announcement (BAA) and Small Business Innovative Research (SBIR) solicitations are included in DTRA's procurement budget and are the preferred methods for receiving ideas and concepts. DTRA does *not* separately budget for unsolicited proposals. Potential offerors are encouraged to first consider the opportunities provided under DTRA's various BAA's and SBIR topics before submitting an unsolicited proposal to our Agency. Hyperlinks to our BAA's and SBIR topics can be found on DTRA's public Web site, <http://www.dtra.mil>, under "Doing Business with Us".

The attached Unsolicited Proposal Guidelines supersede the "DTRA Policy and Procedures for Processing Unsolicited Proposals," November 14, 2001 and the "DTRA Unsolicited Proposal Guide," undated.

Send recommended changes to the Guidelines to businessrelations@dtra.mil.

Nothing in the Unsolicited Proposal Guidelines is intended to conflict with coverage pertaining to unsolicited proposals in the FAR.

The Unsolicited Proposal Guidelines are available at <http://www.dtra.mil> under "Doing Business with Us".

A handwritten signature in dark ink, reading "Shari Durand", is positioned above the printed name and title.

Shari Durand
Component Acquisition Executive

Attachment:
DTRA Unsolicited Proposal Guidelines

DEFENSE THREAT REDUCTION AGENCY (DTRA) UNSOLICITED PROPOSAL GUIDELINES

General Information

1. Purpose

a. The Guidelines provide assistance to parties interested in preparing and submitting unsolicited proposals to DTRA. DTRA safeguards America and its allies from Weapons of Mass Destruction (chemical, biological, radiological, nuclear) and high explosives by providing the capabilities to reduce, eliminate, and counter the threat and mitigate its effects.

b. One means by which DTRA obtains innovative ideas from the private sector to meet DTRA's mission is through the unsolicited proposal process. Unsolicited proposals provide a means for accomplishing functions not always well served by solicited proposals. The Guidelines outline the requirements and procedures for submitting unsolicited proposals to DTRA.

c. Broad Agency Announcement (BAA) and Small Business Innovative Research (SBIR) solicitations are the preferred methods for receiving ideas and concepts. DTRA does *not* separately budget for unsolicited proposals; hence, any funding related to the acceptance of an unsolicited proposal would be obtained from within existing budgets. Offerors are encouraged to first consider the opportunities provided under DTRA's various BAA's and SBIR topics before submitting an unsolicited proposal. Hyperlinks to our BAA's and SBIR topics can be found on DTRA's public Web site, <http://www.dtra.mil>, under "Doing Business with Us".

2. Policy

a. 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 related to its mission. 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) to accomplish its mission.

b. Unsolicited proposals to perform research and development, or other efforts supporting the DTRA mission, are distinguished from proposals that are requested by DTRA from qualified sources. In order to be considered for contract award, an offeror's unsolicited proposal must demonstrate significant technological promise or merit and should represent a product of original thinking. Favorably evaluated unsolicited research proposals may qualify under FAR Subpart 6.302-1(a)(2)(i) for other than full and open competition. FAR Subpart 15.607(b)(2) makes it clear that non-research 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.

c. 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 that may support DTRA's mission.

d. When to Submit. Unsolicited proposals for research and development projects, which are original in nature and concept and fall within DTRA's mission, may be submitted at any time.

e. Where to Submit. To expedite evaluation, unclassified proposals should be clearly marked as unsolicited and emailed to businessrelations@dtra.mil. Please clearly indicate the DTRA Enterprise(s) and Staff Office(s) to which you believe your proposal may apply.

f. 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. DTRA will make available on our public Web site the information listed in FAR Subpart 15.604, as applicable, to include:

- General rules for content and definitions of an unsolicited proposal.
- Requirements concerning responsible prospective contractors (FAR Subpart 9.1) and organizational conflicts of interest (FAR Subpart 9.5).
- Guidance on preferred methods for submitting ideas and concepts to DTRA (see paragraph 1.c).
- Public information on DTRA such as upcoming solicitations, BAAs, and SBIR programs.
- Sources of information on DTRA objectives and areas of potential interest.
- Initial contact should be made through the Director, Office of Small Business Programs, to provide this information to the appropriate source. The corresponding email address is businessrelations@dtra.mil.

3. Authorities

a. Authority to Contract. Submitters of unsolicited proposals are advised that only warranted DTRA Contracting Officers have authority to contractually bind the Agency.

b. The Director, Office of Small Business Programs, is the DTRA central coordinator to receive, initially review, establish internal controls, process for evaluation, and execute timely disposition of all unsolicited proposals directed to DTRA. Questions regarding unsolicited proposals should be directed to DTRA at businessrelations@dtra.mil.

c. Classified Information. Classified proposals shall be marked and submitted in accordance with the provisions of DoD 5220.22-M, "National Industrial Security Program Operating Manual." *Do not email classified information to businessrelations@dtra.mil.*

Unsolicited Proposal Content and Format

4. Procedures

a. Unsolicited proposals submitted to DTRA via email should include an attached proposal in Microsoft Word or Portable Document Format (often known as Adobe Acrobat, or “.pdf”) format, organized in two parts: (1) cover letter and (2) technical summary.

b. The cover letter should contain the following information:

- Offeror’s name and address.
- Type of organization (profit, nonprofit, educational, small business, foreign government, etc.).
- Names and telephone numbers of technical and business personnel to be contacted for evaluation or negotiation purposes.
- Names of other Federal, State, local agencies, or parties receiving the proposal or funding the proposed effort.
- Date of submission.
- Signature of person authorized to represent and contractually obligate the offeror.

c. The technical summary should include the following information:

- 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.
- Summary of Benefits. Anticipated benefits and commercial applications of the proposed research or research and development should also be summarized.
- Identification and Significance of the Problem or Opportunity. Define the specific technical problem or opportunity addressed and its importance.
- Technical Objectives. Enumerate the specific objectives of the work including questions it will try to answer to determine the feasibility of proposed approach.
- 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.

- **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.
- **Relationship to Future Research or Research and Development**
 - State the anticipated results of the proposed approach if the project is successful.
 - Discuss the significance of the effort in providing a foundation for research and/or development effort.
- **Potential Applications**
 - 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.
 - Discuss whether and by what means the proposed project appears to have potential commercial applications.
- **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 any list(s) of relevant publications.
- **Facilities and 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.
- **Cost.** Provide proposed total estimated cost for the effort in sufficient detail for meaningful evaluation.
- **Time.** Period of time for which the proposal is valid (a minimum of 6 months is recommended).
- **Type of Contract Preferred.** For example: cost plus fixed fee, cost reimbursement, firm fixed price, grant, or other transaction agreement.
- **Proposed duration of effort.**
- **Brief description of organization and previous relevant experience, relevant past performance information, and references.**

- Other statements, if applicable, about organizational conflicts of interest, security clearance, and environmental impact.

5. Marking to restrict or limit use of data

a. 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.

b. If the offeror wishes to restrict the data contained in an unsolicited proposal, the title page must be marked with the legend from FAR Subpart 15.609 that 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*].

c. The offeror shall also mark each sheet of data it wishes to restrict with the following legend:

Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.

d. 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. 552, 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.

6. Additional Information

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

b. The Government is not obligated in any way to reimburse the offeror for any costs incurred in preparing and submitting the unsolicited proposal, regardless of its final disposition.

Evaluation Information

7. Evaluation Criteria. Unsolicited proposals that satisfy the criteria outlined herein will receive a comprehensive evaluation by appropriate personnel engaged in the technical areas related to the unsolicited proposal. 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):

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

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

c. Potential contribution of the effort to the Agency's specific mission.

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

e. The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel critical to achieving the proposal objectives.

f. Whether this proposal closely resembles any pending acquisition or requirement.

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

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

i. The realism of the proposed cost.

j. Other factors not specified. Recommendations or questions the evaluators may wish to address to the submitter.

8. Evaluation Results. The individual identified as the point of contact for the organization or entity submitting the proposal will be notified by the Director, Office of Small Business Programs, as to the results of the evaluation and any intent to pursue negotiation of a contract, grant or other transaction agreement. The Director, Office of Small Business Programs, is *not* a

DTRA Contracting Officer. Only the cognizant DTRA Contracting Officer has the authority to bind the Government (FAR Subpart 15.604(b)).

GLOSSARY

advertising material. Material designed to acquaint DTRA with a prospective contractor's present products, services, or potential capabilities, or designed to stimulate DTRA's interest in buying such products or services.

commercial item offer. An offer of a commercial item that the vendor wishes to see introduced into the DTRA supply system as an alternative or replacement for an existing supply item. This term does not include innovative or unique configurations or uses of commercial items that are being offered for further development and that may be submitted as an unsolicited proposal.

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

unique and innovative concept. When used relative to an unsolicited research proposal, means that--

a. In the opinion and to the knowledge of the Government evaluator, the meritorious proposal--

- (1) Is the product of original thinking submitted confidentially by one source;
- (2) Contains new, novel, or changed concepts, approaches, or methods;
- (3) Was not submitted previously by another; and
- (4) Is not otherwise available within the Federal Government.

b. In this context, the term does not mean that the source has the sole capability of performing the research.

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 contract, grant, or other transaction agreement with DTRA and that is not in response to a Request For Proposals (RFP), Broad Agency Announcement (BAA), Small Business Innovation Research (SBIR) topic, Small Business Technology Transfer Research topic, or any other Government-initiated solicitation or program. To be considered for acceptance, an unsolicited proposal to perform research and development must be an innovative, unique, meritorious method, approach, or concept. It must be submitted in sufficient detail to allow a determination that the concept 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 item offerings, contributions, or white papers *are not* unsolicited proposals.

white paper. A detailed or authoritative technical report without detailed delivery schedules or cost estimates.