

## **Unsolicited Proposals:**

The following are included in DFAS's procurement budget and are the preferred methods for receiving ideas and concepts

- Broad Agency Announcements (BAA);
- Small Business Innovation Research (SBIR) programs;
- Small Business Technology Transfer Research programs;
- Program Research and Development Announcements;
- or grant programs

DFAS does *not* separately budget for unsolicited proposals.

You are encouraged to first consider the opportunities provided under DFAS's various BAA's, SBIRs or other topics before submitting an unsolicited proposal. You can find on these items as well as agency objectives and areas of potential interest on the DFAS public Website at: <http://www.dfas.mil/contractorsvendors/bizopps.html>.

DFAS relies upon the private sector for many supplies and services. It is the policy of DFAS to encourage the submission of unique and innovative unsolicited proposals which will further the Agency's mission.

This document provides guidelines on the preparation of all unsolicited proposals to those who believe they can provide new and innovated approaches to support the DFAS mission. All unsolicited proposals will receive equal handling and review.

Contact between the Proposer and a DFAS Contracting Officer is encouraged before effort is expended in preparing a detailed proposal. This preliminary contact allows the Proposer to find out:

- What kind of work is currently being done in a particular field,
- If the work proposed is sufficiently related to the current DFAS mission to warrant a formal submission,
- The level of funding support currently being expended in that field,
- and whether DFAS has any interest in the type of work being proposed

These discussions provide the potential Proposer with an understanding of the Agency mission and needs relative to the type of proposal contemplated. They do not jeopardize the unsolicited status of any subsequently submitted proposal. Correspondence is handled directly between the interested individual or organization and the appropriate DFAS office. This approach is to the Proposer's advantage, as experience has demonstrated that abbreviated submissions rarely contain sufficient information to communicate the merits of a contemplated project.

## **What is an Unsolicited Proposal & Definitions?**

A valid unsolicited proposal must comply with FAR 15.603(c), in that it:

- Is innovative and unique;
- Is independently originated and developed by the offerer;

- Is prepared without Government supervision, endorsement, direction or direct Government involvement;
- Includes sufficient detail to permit a determination that Government support could be worthwhile and the proposed work could benefit the agency's research and development or other mission responsibilities; and
- Is not an advance proposal for a known agency requirement that can be acquired by competitive methods
- Does not address a previously published agency requirement

"Unsolicited proposal," as defined in FAR 2.101, means a written proposal for a new or innovative idea that is submitted to an agency on the initiative of the offerer for the purpose of obtaining a contract with the Government. It 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.

"Advertising material," means material designed to acquaint the Government with a prospective contractor's present products, services, or potential capabilities or designed to stimulate the Government's interest in buying such products or services.

"Commercial item offer," means an offer of a commercial item that the vendor wishes to see introduced in the Government's supply system as an alternate or a 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," means a concept, suggestion, or idea presented to the Government for its use with no indication that the source intends to devote any further effort to it on the Government's behalf.

In order to allow sufficient time for proposal evaluation and contract negotiation, unsolicited proposals should be submitted well in advance of the offerer's desired beginning of the effort or activity, in order to allow sufficient time for evaluation of the proposal and negotiation of any resultant contract.

### **Unsolicited Proposal Content, Submission and Evaluation**

All Unsolicited proposals as defined herein, should be clearly marked as unsolicited and emailed to [dfas.Indianapolis-in.zec.mbx.contractproposals@mail.mil](mailto:dfas.Indianapolis-in.zec.mbx.contractproposals@mail.mil) .Please clearly indicate the DFAS Staff Office(s) to which you believe your proposal may apply.

***BASIC*** information including:

- Offerer's name and address, type of organization (profit, nonprofit, educational, small business, etc.);
- Contact information for evaluation/negotiation purposes; including names and telephone numbers;

- Identification of proprietary data to be used only for evaluation purposes;
- Names of other Federal, State, or local agencies or parties receiving the proposal or funding the proposed effort;
- Date of submission; **and**
- Signature of person authorized to represent and contractually obligate the offeror.

**TECHNICAL** information including:

- Concise title and abstract (approximately 200 words) of the proposed effort;
- A reasonably complete discussion stating objectives of the effort or activity, method of approach and extent of effort to be employed, nature and extent of anticipated results, and manner in which the work will help to support accomplishment of agency's mission;
- Names and biographical info for offeror's key personnel who would be involved, including alternates; **and**
- Type of support needed from the agency (e.g., facilities, equipment, materials, or personnel resources).

**SUPPORTING** information including:

- Proposed price or total estimated cost for the effort in sufficient detail for meaningful evaluation;
- Period of time for which the proposal is valid (a six month minimum is suggested);
- Type of contract preferred;
- Proposed duration of effort;
- Brief description of the offeror, previous experience, relevant past performance, and facilities to be used;
- Other statements, if applicable, about organizational conflicts of interest, security clearances, and environmental impacts; **and**
- Names and telephone numbers of any agency technical or other agency points of contact already contacted regarding the proposal.

**Evaluation Information:**

Evaluation Criteria. Unsolicited proposals that satisfy the outlined criteria will receive a comprehensive evaluation by appropriate technical area personnel. 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):

- Unique, innovative, and meritorious methods, approaches, or concepts demonstrated by the proposal that relate to DFAS's mission.
- Overall scientific, technical, or socioeconomic merits of the proposal.
- Potential contribution of the effort to the Agency's specific mission.
- The offeror's capabilities, related experience, facilities, techniques, or unique combinations of these that are integral factors for achieving the proposal objectives.
- The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel critical to achieving the proposal objectives.

- Whether this proposal closely resembles any pending acquisition or requirement.
- Whether this capability is available to the Government without restriction from another source.
- Whether funds are available in the current fiscal year.
- The realism of the proposed cost.
- Other factors not specified. Recommendations or questions the evaluators may wish to address to the submitter.

Evaluation Results. The individual identified as the point of contact for the organization or entity submitting the proposal will be notified by the Associate Director, Small Business Programs, about results of the evaluation and any intent to pursue negotiation of a contract, grant or other transaction agreement. The Associate Director, Small Business Programs, is *not* a DFAS Contracting Officer. Only the cognizant **DFAS** Contracting Officer has the authority to bind the Government (FAR Subpart 15.604(b)).

**Other Items to Consider before submitting an Unsolicited Proposal:**

1. Only warranted Contracting Officers have authority to contractually bind the Government. Technical personnel who may receive, handle, or evaluate unsolicited proposals are not authorized to commit the Government.
2. Offerors submitting unsolicited proposals that meet the regulatory requirements and receive a favorable comprehensive evaluation may only receive award after the contracting officer:
  - a. Makes an affirmative determination of an offeror's responsibility (FAR Subpart 9.1);
  - b. Considers Organizational Conflicts of Interest issues ([FAR Subpart 9.5](#));
  - c. Ensures sufficient funds are available for award;
  - d. Complies with synopsis requirements of [FAR Subpart 5.2](#); **and**
  - e. Executes any determination and finding or justification and obtained any approval(s) required by [FAR Subpart 6.3](#).
3. If a proposal is rejected because the proposal does not meet the requirements of paragraph FAR 15.606-1(a), DFAS will promptly inform the offeror in writing of the reasons for rejection and of the proposed disposition of the unsolicited proposal. In the event the proposal is not accepted, the Government is not obligated to reimburse the offeror for any cost incurred in preparing and submitting the unsolicited proposal.
4. Proprietary Information. An unsolicited proposal may include data that the offeror does not want disclosed to the public for any purpose or used by the Government except for evaluation purposes. If the offeror wishes to restrict the data, the proposal must be marked with the following as required by [FAR 15.609](#);

- Title Page:

“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*].”

- Each sheet of data the offeror wishes to restrict:  
“Use or disclosure of data contained on this sheet is subject to restriction on the title page of this proposal.”

#### 5. Government Rights

Government personnel shall not use any data, concept, idea or other part of an unsolicited proposal as the basis, or part of the basis, for a solicitation or in negotiations with any firm unless the offeror is notified of and agrees to the intended use. However, this prohibition does not preclude using any data, concept, or idea in the proposal that also is available from another source without restriction. Government personnel shall not disclose restrictively marked information (see [FAR 3.104](#) and [FAR 15.609](#)) included in an unsolicited proposal. The disclosure of such information concerning trade secrets, processes, operations, style of work, apparatus, and other matters, except as authorized by law, may result in criminal penalties under 18 U.S.C. 1905.

If you wish to submit any information such as advertising, contributions, and other types of transactions similar to unsolicited proposals, please contact our Contract Services Office at: [dfas.Indianapolis-in.zec.mbx.contractproposals@mail.mil](mailto:dfas.Indianapolis-in.zec.mbx.contractproposals@mail.mil)