

THE OFFICE OF NATIONAL DRUG
CONTROL POLICY

GUIDE TO UNSOLICITED PROPOSALS

PREFACE

The federal government provides a formalized method for receiving, evaluating, and funding those unsolicited proposals that offer to the government a new and innovative idea developed outside the normal federal research and development processes.

This three-part Guide establishes ONDCP procedures for the control, receipt, evaluation, and disposition of unsolicited proposals. Part 1 promotes preliminary discussions. Part 2 instructs the offeror how to prepare an unsolicited proposal. And, Part 3 describes the ONDCP evaluation process.

SECTION 1

The Preliminary Process

The Preliminary Process

ONDCP strongly encourages potential offerors to participate in the preliminary process before expending time or money preparing an Unsolicited Proposal. The preliminary process has many benefits. Potential offerors may gain insight into the type of work already being performed, it helps determine whether the proposed work is unique and innovative, provides an initial assessment of whether the proposal is related to ONDCP goals, informs about the level of funding support available for a particular field, and reflects whether ONDCP has any interest in the type of work being proposed.

A. Preliminary Oral Process

Potential offerors should use the preliminary oral process to discuss with ONDCP the basis of the proposal. Call the ONDCP Associate Director Terry Zobeck, Office of Research and Data Analysis at the ONDCP main telephone number (202) 395-6700 for help preparing the Unsolicited Proposal and to determine the degree of interest ONDCP may have in a project.

Participation in the preliminary oral process not only facilitates the convenient exchange of ideas, it may also help the potential offeror determine whether ONDCP is the best venue for the Unsolicited Proposal. ONDCP has responsibility for various federal programs. To help manage these programs, ONDCP uses the services of contracting activities of other federal agencies. Consequently, a federal agency other than ONDCP may present a better venue to pursue funding.

As a general rule, ONDCP is a proper venue for the submission of Unsolicited Proposals concerning appropriated funds for the general research branch of the ONDCP. Other ONDCP programs include the High Intensity Drug Trafficking Areas program and the Drug Free Communities program.

B. Preliminary Written Proposal

During the initial telephone contact, ONDCP may advise the potential offeror to submit a written preliminary proposal. ONDCP will require a written preliminary proposal only where ONDCP cannot reasonably determine from telephone contact whether ONDCP has interest in the proposal. Written proposals will not be considered unless ONDCP specifically requests that the potential offeror make such a submission.

Preliminary proposals should contain the following information, and be no more than four pages. Program personnel may require additional information concerning specific issues.

1. **Type of Work Proposed.** Provide a short synopsis of the project.
2. **Technical Approach.** Describe the scope of the work including methodology as well as personnel requirements so that ONDCP may reasonably determine whether it has interest in the proposal.
3. **Unique and innovative nature of the work.** Explain the uniqueness of the project or the innovative approach to be undertaken such that ONDCP can reasonably determine the competitive nature of the project.
4. **Relation to ONDCP goals.** Identify which ONDCP goals the proposal supports and the proposal's relation to these goals.
5. **Budget.** Submit the budget amount proposed and relate the amount to the Technical Approach described in number 2 above.
6. **Performance.** State the period of performance and expected outcomes. \

Send completed preliminary proposals to ONDCP Associate Director Terry Zobeck, Office of Research and Data Analysis, 725 17th Street NW, Washington, D.C. 20503. Program personnel may elect to accept the written proposal by facsimile transmission.

C. Preliminary Analysis

The sole purpose of the preliminary analysis is to assist potential offerors determine whether to expend time or money in the development of an Unsolicited Proposal. ONDCP will evaluate the preliminary proposal (oral or written) based on the information provided and ONDCP's opinion of agency needs.

ONDCP will inform the potential offeror whether ONDCP has an interest in funding an Unsolicited Proposal. However, this preliminary analysis is not a guarantee of a subsequent award, and potential offeror shall not rely on any information, advice, or promise made during these proceedings. ONDCP does not pay for proposal costs, and the decision to spend time or money, or incur costs in the submission of an Unsolicited Proposal rests solely with the potential offeror.

The only reasonable indicator that ONDCP may fund a project is by official written notice originated and signed by the appropriate official (a warranted contracting officer or head of the ONDCP contracting activity) *after* ONDCP accepts the Unsolicited Proposal.

SECTION 2

Preparing the Unsolicited Proposal

Preparing the Unsolicited Proposal

Proposals must be typed using no less than 12 point font on 8 ½ by 11 inches sized paper printed on one side with at least one inch margins. Use the attached forms or complete the forms on <http://www.ondcp.gov/unsolicited> . Questions should be directed to the ONDCP Associate Director Terry Zobeck, Office of Research and Data Analysis at the ONDCP main telephone number (202) 395-6700.

A. Title Page

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 title page must be marked with the following 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 day 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].

The agency point of contact will return to the offeror any unsolicited proposal marked with a legend different from that provided above. The return will state that the proposal cannot be considered because it is impractical for the Government to comply with the legend and that the agency will consider the proposal if it is resubmitted with the proper legend.

B. Basic Information

1. Offeror's name, address, telephone number, and type of organization
2. Name, address, and telephone number of principal investigator
3. Name, address, and telephone number of technical personnel
4. Name, address, and telephone number of negotiator

5. Name, address, and telephone number of individual authorized to bind the offeror
6. Name, address, and telephone number of accounting contact
7. Name, address, and telephone number of administrative contact
8. Names of other Federal, State, or local agencies or parties receiving the proposal or funding the proposed effort.
9. Names and telephone numbers of ONDCP personnel previously contacted concerning the proposed project

C. Technical Information

1. Concise title and abstract (approximately 200 words)
2. Reasonably complete discussion stating the objectives of the effort
3. The nature and extent of the anticipated results
4. The manner in which the work will help support the agency's mission.
5. Type of non-monetary support needed from ONDCP
 - a. facilities
 - b. equipment
 - c. material
 - d. personnel
6. Methods
7. Analytical Approach
8. Tasks
9. Deliverables
10. Timetables
11. Personnel Loading Chart

D. Organization Information

1. Brief description of the organization
2. Type of organization
3. Attach an organization chart
4. Past Performance
5. Facilities to be used
6. Number of full-time employees
7. Number of part-time employees
8. Names and biographical information for all key personnel and alternates who will be involved in the proposed project
9. Does your organization have a written policy and procedure for
 - a. personnel
 - b. procurement
 - c. property control
 - d. travel
10. Are records maintained daily for each employee's time and activity distribution?

E. Accounting System

1. Does your accounting system account for cost by project?
2. Is your accounting system automated?
3. Does your accounting system track receipt and disbursement of funds by funding source?
4. Are the following books of account maintained?
 - a. General Ledger
 - b. Cash Receipts Journal
 - c. Payroll Journal
 - d. Income Journal
 - e. Purchase Journal
 - f. General Journal
5. How frequently do you post to your general ledger?
6. Does your accounting system provide for the recording of actual expenditures for each award by project and budget cost categories reflected in an approved budget?

F. Budget Information

1. Labor and Benefits
 - a. Key personnel
 - b. Other personnel
2. Total Direct Costs
 - a. Special equipment
 - b. Rented equipment
 - c. Material and supplies
 - d. Subcontracts
 - e. Other direct costs
3. Indirect costs
4. Fees
5. Surveys
6. Other Costs

G. Identity proprietary data to be used only for evaluation purposes

The offeror shall 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.

H. Contract Information

1. Type of contract preferred
2. Proposed duration of effort
3. Time the proposal is valid (6 months is suggested)

I. Other Information

1. Organizational conflicts of interest
2. Security clearances
3. Environmental impacts

SECTION 3

Processing the Unsolicited Proposal

Processing the Unsolicited Proposal

A. Point of Contact

Before submitting an Unsolicited Proposal, please call Associate Director Terry Zobeck, Office of Research and Data Analysis at (202) 395-6700.

B. Initial Review

Before initiating a comprehensive evaluation, the Associate Director will determine if the proposal:

1. Meets the requirements of FAR 15.603
2. Is suitable for submission in response to an existing agency requirement
3. Is related to ODNCP's mission
4. Contains sufficient technical information and cost-related or price-related information for evaluation
5. Has overall scientific, technical, or socioeconomic merit
6. Has been approved by a responsible official or other representative authorized to bind the offeror to a contract
7. Complies with all the restrictive legend requirements of FAR 15.609

C. Initial Reply

If the proposal meets the requirements of the initial review, the point of contact will promptly acknowledge receipt and begin the comprehensive evaluation process.

A proposal which does not meet the initial review requirements will be rejected. The point of contact will promptly send written notice to the offeror informing the reasons for rejection and of the proposed disposition of the Unsolicited Proposal. If the reason for the rejection is number 1, 4, 6, or 7, the offeror may resubmit for reevaluation a proposal that addresses those criteria.

The point of contact may inform the offeror orally or by other convenient means of the reasons for rejection or to correct administrative deficiencies. Contact by telephone does not replace the need for a subsequent writing.

D. Comprehensive Evaluation Process

1. The point of contact will coordinate the comprehensive evaluation by
 - a. Attaching to each Unsolicited Proposal the legend required by FAR 15.609
 - b. Assemble the appropriate team of evaluators
2. Evaluators will consider the following
 - a. Unique an innovative and meritorious methods, approaches, or concepts demonstrated by the proposal
 - b. Overall scientific, technical, or socioeconomic merits of the proposal
 - c. Potential contribution of the efforts to the agency's specific mission
 - d. Offeror's capabilities related experience, facilities, techniques or unique combination of these that are integral factors for achieving the proposal objectives
 - e. Qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel critical to achieving the proposal objectives
 - f. Realism of the proposed cost
3. Evaluator will notify the agency point of contact of their recommendation when the evaluation is complete.

E. Criteria for Acceptance and Negotiation

A favorable comprehensive evaluation of an unsolicited proposal does not justify awarding a contract without first providing for full and open competition. The agency point of contact shall return an unsolicited proposal to the offeror citing reasons when the substance of the proposal

1. Is available to the Government without restriction from another source
2. Closely resembles a pending competitive acquisition requirement
3. Does not relate to the activity's mission
4. Does not demonstrate an innovative and unique method, approach, or concept, or is otherwise not deemed a meritorious proposal.
5. The contracting officer may commence negotiations on a sole source basis only when
 - a. An unsolicited proposal has received a favorable comprehensive review
 - b. A proper justification and approval has been obtained
 - c. The agency technical office sponsoring the contract furnishes the necessary funds
 - d. The contracting officer has complied with the appropriate synopsis requirements

F. Prohibitions

Government personnel and non-government evaluators 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 negotiation with any other firm unless the offeror is notified of and agrees to the intended use. 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 and non-government evaluators shall not disclose restrictively marked information 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 the Trade Secrets Act, 18 U.S.C. 1905.