

MWI 5115.1
REVISION K
EFFECTIVE DATE: June 24, 2020
EXPIRATION DATE: June 24, 2025

MARSHALL WORK INSTRUCTION

PS01

PROCESSING UNSOLICITED PROPOSALS

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DOCUMENT HISTORY LOG

| Status (Baseline/ Revision/ Change/ Revalidation/ Canceled) | Document Revision | Effective Date | Description |
|--|----------------------|-------------------|---|
| Baseline | | 5/14/99 | Document converted from MSFC-P06.1-C01 to a Directive. Previous history retained in system as part of canceled or superseded ISO Document files. |
| Revision | A | 8/16/99 | Changes made to reflect new MSFC reorganization. |
| Revision | B | 5/10/03 | Changed title of the document. Updated URL in footers. Renumbered document to comply with format required by MPG 1410.2. To comply with implementation of Integrated Financial Management Program (IFMP), at 3. Applicable Documents and C. (3), (new 6.3.4) changed title of MWI 5100.1, Procurement "Initiators" Guide" to Procurement "Requisitioners" Guide" and at 3.(3), (new 6.3.4) changed "Procurement" Request to "Purchase" Request. At 6.4.4, added requirement for MSFC Form 4440, MSFC Grants/Cooperative Agreements Congressional Notification. Paragraph 9. and 9.2 changed "quality records" to "records". |
| Revision | C | 6/28/2004 | Throughout the document, revised NPG to reflect NPR and made grammatical and renumbering revisions as needed. Paragraph 5.9, deleted references to C.A.S.E. Report. Paragraph 6.2.2, added references to Officer's representative. Paragraph 6.3.4 deleted C.A.S.E. Report (NASA Form 1356). Paragraph 6.3.4, revised statement to include "If for funding or technical reasons the technical evaluating office recommends not to process the proposal for award, the evaluator shall forward MSFC Form 4236 to PS10, stating the reason(s) the proposal is not recommended for award". Paragraph 6.3.5, replaced "Selection Official" with "the responsible contract special and technical officer". Throughout the document, revised the title of MSFC Form 4440 from MSFC Grants/Cooperative Agreements Congressional Notification Data Sheet to Congressional Notification of Research Selection. Paragraph 9.2.5 Records, Deleted reference to NASA Form 1356 and renumbered as needed. Renumbered Paragraph 12 Cancellation revised MWI 5115.1A dated August 16, 1999 to MWI 5115.1B dated May 10, 2003 and Directors name revised from A.G. Stephenson to David A. King. |
| Revision | D | 9/27/2004 | Throughout the document, denoted requirements with the verb "shall". Throughout the document, revised references of MWI 5100.1, "Procurement Requisitioners Guide" to "Initiating Procurement Requisitions" PRG to IPR. Throughout the document, revised NPG to reflect NPR, MPG to MPR and made grammatical and renumbering revisions as needed. Paragraph 12 Cancellation revised MWI 5115.1B dated May 10, 2003 to MWI 5115.1C dated June 28, 2004 and revised the Ombudsman from Alex Roth to Robin N. Henderson. Revised paragraph 5.6 Submitter, removed instructions to Appendix Z due to Headquarters Rule Review Initiative. Revised 5.9 Unsolicited Proposal Evaluation Request Package, to include definition. 5.9.1 Justification for Other Than Full and Open Competition (JOFOC) Guide for Unsolicited Proposals and 5.9.7 Recommendation and Determination to Solicit from One Source (RDSS), deleted reference to \$100k applicability. Revised definitions 5.3, 5.4 and 5.5 and deleted references to FAR 26.301. Revised 5.9.6 Notice and 6.1 Instructions, to delete |

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| | | | references to unsolicited proposal. Revised 6.2.5 to include references for a proposal from outside the US. Revised 6.2.6 to include references for a proposal received from Academia. Revised 6.3.4 to include a JAUP (for grants and cooperative agreements), JOFOC (for contracts over \$100k), or RDSS (for purchase orders under \$100k) and Proposal Budget Evaluation sheet (MSFC Form 4236-2) to the Procurement Office if the proposal has been evaluated and is to be funded for award. Throughout the document, revised "Procurement Manager" to "Procurement Office Department Manager". Paragraph 8 "SAFETY PRECAUTIONS AND WARNING NOTES" revised to include Restrictive Legend. Added Appendix Z "GUIDANCE". |
| Revision | E | 8/8/2005 | Changed Revision D to Revision E. Throughout the document, revised references from Procurement Office to Office of Procurement. Throughout the document, made formatting, grammatical and renumbering revisions as appropriate. Throughout the document, revised to reflect organizational changes. Section 12, revised Cancellation Revision number and date. |
| Revision | F | 8/14/2007 | Made editorial, grammatical, numerical and formatting corrections as needed. Revised Procurement Office to Office of Procurement and organization to department. Deleted references to HCBU, Academia, and MI. In 3. Applicable Documents, added references to 34 CFR Part 608.2 and NPR 1441.1. Added titles to identify directives, forms, and PS10. In 5 Definitions, revised definitions of Contract Specialist and defined JAUP, JOFOC, and RDSS. In 5.8, revised to address format of Unsolicited Proposal. In 6.2.5, revised requirement to forward a proposal copy from outside the United States to Technology Transfer Department for evaluation and funding. In 6.3.1, clarified the processing of unsolicited proposals without a control number. In 6.5.3 and 6.6, revised title to External Relations Office. In 9.1 Records, added Retention Records Schedule. In 9.2.1, revised title of MSFC Form Letter 129. In 9.2.4, revised title of MSFC Form 4236-2. In 11. Flow Diagram, revised from Appendix A to Appendix. In Appendix, revised from Appendix A to Appendix. |
| Revision | G | 04/01/2008 | Revised 2. Applicability statement to reflect transition of MAF from GOCO to GOGO. |
| Revision | H | 8/31/2010 | Made editorial, grammatical, numerical and formatting corrections as needed. Added NSSC as a recipient if a procurement package, and if funding is recommended for an Unsolicited Proposal. At P.2, revised Applicability Statement. At 3.9, added URL address to "Guidance for the Preparation and Submission of Unsolicited Proposals." At 4. References, moved to Appendix. At 6.2.12, 8, and 9.3.1, added "Use and Disclosure of Data" and hyperlinked where appropriate. At 5.10, moved contents of Unsolicited Proposal Package to 6.2.11. At 6.2, revised sequence of PS10 responsibilities. At 6.5.3 and 6.6, inserted OSAC before External Relations Office. At 9.2, added NASA Form 1098 and hyperlinked applicable Forms and Formats. At 12. Cancellation, revised revisions, date and name of MSFC Director. Revised flow diagram to include NSSC, NRA process, and updated reference numbers. At Appendix, moved from 4. References, and added "Use and Disclosure of Data." |
| Revision | I | 7/13/2011 | Revised Purpose statement to address Authority documents. Revised to update the dollar range values as a result of the revised definition of "simplified acquisition threshold" at FAR 2.101 as well as the revised justification approval levels at FAR 6.304 and 8.405-6, all of which were implemented as part of FAC 2005-45. Flow diagram corrected for grammatical and numeric corrections as |

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| | | | needed. Added NPR 1400.1 to the Authority/Applicable Documents and reference to PS-OWI-07 at 5.3. At 8. deleted Safety Warning reference that was not applicable to Safety. |
| Change | 1 | 3/18/2014 | On 3/18/14, at the request of the OPRD, an administrative change was made to delete reference to NPR 5800.1 which still remains as the Grants and Cooperative Agreement Handbook. Also, repaired url link to the JOFOC. |
| Revision | J | 11/30/2017 | Complete rewrite in accordance with the FAR, NFS and GCAM to reflect the new Unsolicited Proposal process utilizing the NSPIRES system. Deleted references to Stakeholder Relations (OSAC). |
| Revision | K | 6/24/2020 | Updated to remove references to outdate forms such as the JAUP and administrative changes made to clarify the process. |

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1. PURPOSE

This MWI provides Center-specific instructions for processing unsolicited proposals received at the MSFC in accordance with the FAR and NFS as permitted by NPR 1400.1.

2. APPLICABILITY

2.1 This MWI applies to Center personnel, programs, projects, and activities, including contractors and resident agencies to the extent specified in their respective contracts or agreements. (“Contractors,” for purposes of this paragraph, include contractors, grantees, Cooperative Agreement recipients, Space Act Agreement partners, or other agreement parties.)

2.2 This MWI applies to the Michoud Assembly Facility.

2.3 This MWI applies the following: all mandatory actions (i.e., requirements) are denoted by statements containing the term “shall.” The terms: “may” or “can” denote discretionary privilege or permission; “should” denotes a good practice and is recommended, but not required; “will” denotes expected outcome; and “are/is” denotes descriptive material.

2.4 This MWI applies the following: all document citations are assumed to be the latest version unless otherwise noted.

3. AUTHORITY

3.1 Federal Acquisition Regulation (FAR)

3.2 NASA Federal Acquisition Regulation Supplement (NFS)

3.3 NPR 1400.1, NASA Directives and Charters Procedural Requirements

4. APPLICABLE DOCUMENTS AND FORMS

4.1 FAR Subpart 4.8, Government Contract Files

4.2 FAR Subpart 6.3, Other Than Full and Open Competition

4.3 FAR Subpart 15.6, Unsolicited Proposals

4.4 FAR 15.606-1, Receipt and Initial Review

4.5 NFS Subpart 1804.8, Government Contract Files

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4.6 NFS Subpart 1815.6, Unsolicited Proposals

4.7 NRRS 1441.1, NASA Records Retention Schedules

4.8 MWI 5000.1, Processing NASA Research Announcements (NRAs) and Cooperative Agreement Notices (CANs)

4.9 MWI 5100.1, Initiating Procurement Requisitions

4.10 NASA Grant and Cooperative Agreement Manual (GCAM)

4.11 Guidance for the Preparation and Submission of Unsolicited Proposals

4.12 PS-OWI-07, Noncompetitive Procurement Documentation

The following blank forms listed below are not records. When completed, the documents are retained as part of the official contract file.

4.13 MSFC Form 4236-2, Proposal Budget Evaluation (Unsolicited Proposals)

4.14 MSFC Form 4440, Congressional Notification of Research Selection

4.15 NASA Shared Service Center (NSSC) Form 0025, Grant/Cooperative Agreement Technical Requirements Package Transmittal

5. INSTRUCTIONS

This section outlines the responsibilities of the Office of Procurement and other organizations related to the receipt, processing, evaluation/administration, and disposition of all unsolicited proposals received at MSFC.

5.1 Responsibilities of the Office of Procurement.

Unsolicited Proposal Coordinating Office (UPCO) shall:

5.1.1 Receive all unsolicited proposals submitted to MSFC through NASA Solicitation and Proposal Integrated Review and Evaluation System (NSPIRES). NSPIRES will serve as the official record for unsolicited proposals including the number of proposals received; funded or rejected by the Agency during the fiscal year; the Proposer's name; and the office(s) to which the proposal was referred.

5.1.2 Review the unsolicited proposal in accordance with FAR 15.606-1.

5.1.3 Acknowledge receipt of the unsolicited proposal by notifying the NSPIRES Help Desk via email if requirements in FAR 15.606-1(a) have not been met.

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5.1.4 Notify the Proposer, by letter if disapproved, explaining the reasons for disapproval.

5.1.5 Maintain a copy of UPCO's disposition.

5.1.6 Assign and notify peer reviewers in NSPIRES.

5.1.7 Forward the unsolicited proposal evaluation request package via email to the cognizant Directorate, Program, and/or Project or Office.

5.1.7.1 Forward a copy of the unsolicited proposal evaluation request package to the Technology Transfer Branch for evaluation and funding if the proposal is from outside the United States.

5.1.7.2 Forward a copy of the unsolicited proposal evaluation request package to the office administering the NASA Research Announcement (NRA) for evaluation if the unsolicited proposal is in response to an NRA. (See MWI 5000.1 for instruction.)

5.2 Responsibilities of Center-wide Organizations.

Center-wide organizations shall:

5.2.1 Provide the names of unsolicited proposal peer reviewers to UPCO upon request.

5.2.2 Complete peer review in NSPIRES.

5.2.3 Prepare an unsolicited proposal evaluation package based on the type of award document and:

5.2.3.1 Submit to UPCO an unsolicited proposal evaluation package if a grant or cooperative agreement is recommended. The proposal evaluation package should consist of a purchase requisition (See MWI 5100.1), technical evaluation, a Justification for a Single Source Grant or Cooperative Agreement (refer to NASA Grant and Cooperative Agreement Manual (GCAM), 5.3.1 and 5.3.2, which is located on the NASA Sponsored Research Business Activity (SBRA) website), MSFC Form 4236-2, Unsolicited Proposal Budget Evaluation, NSSC Form 0025 and MSFC Form 4440, Congressional Notification of Research Selection.

5.2.3.2 Submit to the cognizant Procurement support office a proposal evaluation package if a contract is recommended. The proposal evaluation package should consist of a purchase requisition (See MWI 5100.1), technical evaluation and a Justification for Other than Full and Open Competition (JOFOC) (for contracts over Simplified Acquisitions Threshold (SAT)).

5.2.3.3 Submit to the UPCO, when funding is not recommended, a notification letter addressed to the Proposer providing reasons for not funding the effort. An evaluation is not required if the effort will not be funded.

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6. CANCELLATION

MWI 5115.J, Processing Unsolicited Proposals, dated November 30, 2017.

Electronically approved by

Jody Singer
Director

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APPENDIX A

DEFINITIONS

Justification for a Single Source Grant or Cooperative Agreement. Written justification for accepting unsolicited proposals where a grant or a cooperative agreement is used as the procuring instrument. (GCAM 5.3.1)

Justification for Other Than Full and Open Competition (JOFOC). Written justification for noncompetitive procurements where a contract with a value in excess of SAT is used as the procuring instrument. (See FAR 6.3.)

NASA Solicitation and Proposal Integrated Review and Evaluation System (NSPIRES). A web-based system that supports the entire lifecycle of NASA research solicitation and awards. The system is intended to facilitate conducting of research business with NASA for the science and technology research community.

NASA Research Announcement (NRA). A solicitation used to announce research interests in support of NASA's programs, and select proposals for funding using peer or scientific review.

Peer Reviewer. A peer reviewer is an expert in a scientific discipline, and, as such, may be asked to review one or more proposals and submit an evaluation. The reviewer may additionally be asked to meet with other reviewers in a panel to discuss evaluations of each proposal and make recommendations to NASA as to which proposal(s) is selected for award.

Proposer. Individual or legal representative of an institution who submits the unsolicited proposal for consideration. (See Guidance for the Preparation and Submission of Unsolicited Proposals (which is located on the NASA SBRA website).

Unsolicited Proposal. A written proposal (electronic) submitted to NASA on the initiative of the submitter (independently originated) for the purpose of obtaining a contract (or other agreement) with the Government, 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 (other than a NASA request constituting a publicized general statement of needs). It has to demonstrate an innovative and unique concept or capability, contain sufficient technical and cost information to permit a meaningful evaluation, and present a product or service not otherwise available that contributes to NASA's mission. (See FAR 15.6, NFS 1815.6, and GCAM).

Unsolicited Proposal Coordinating Office (UPCO). A point of contact established within the MSFC Office of Procurement (PS) to coordinate the receipt, evaluation, and disposition of unsolicited proposals.

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Unsolicited Proposal Evaluation Request Package. Evaluation material sent by the UPCO to an MSFC technical organization to assist in the evaluation of the package.

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APPENDIX B

ACRONYMS

| | |
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| CAN | Cooperative Agreement Notice |
| FAR | Federal Acquisition Regulation |
| GCAM | Grant and Cooperative Agreement Manual |
| JOFOC | Justification for Other than Full and Open Competition |
| MSFC Form | Marshall Form |
| NFS | NASA Federal Acquisition Regulation Supplement |
| NRA | NASA Research Announcement |
| NRRS | NASA Records Retention Schedules |
| NSSC | NASA Shared Services Center |
| NSPIRES | NASA Solicitation and Proposal Integrated Review and Evaluation System |
| OHC | Office of Human Capital |
| OWI | Organizational Work Instruction |
| PS | Office of Procurement |
| SAT | Simplified Acquisitions Threshold |
| SATERN | System for Administration, Training, and Educational Resources for NASA |
| SBRA | Sponsored Research Business Activity |
| UPCO | Unsolicited Proposal Coordinating Office |

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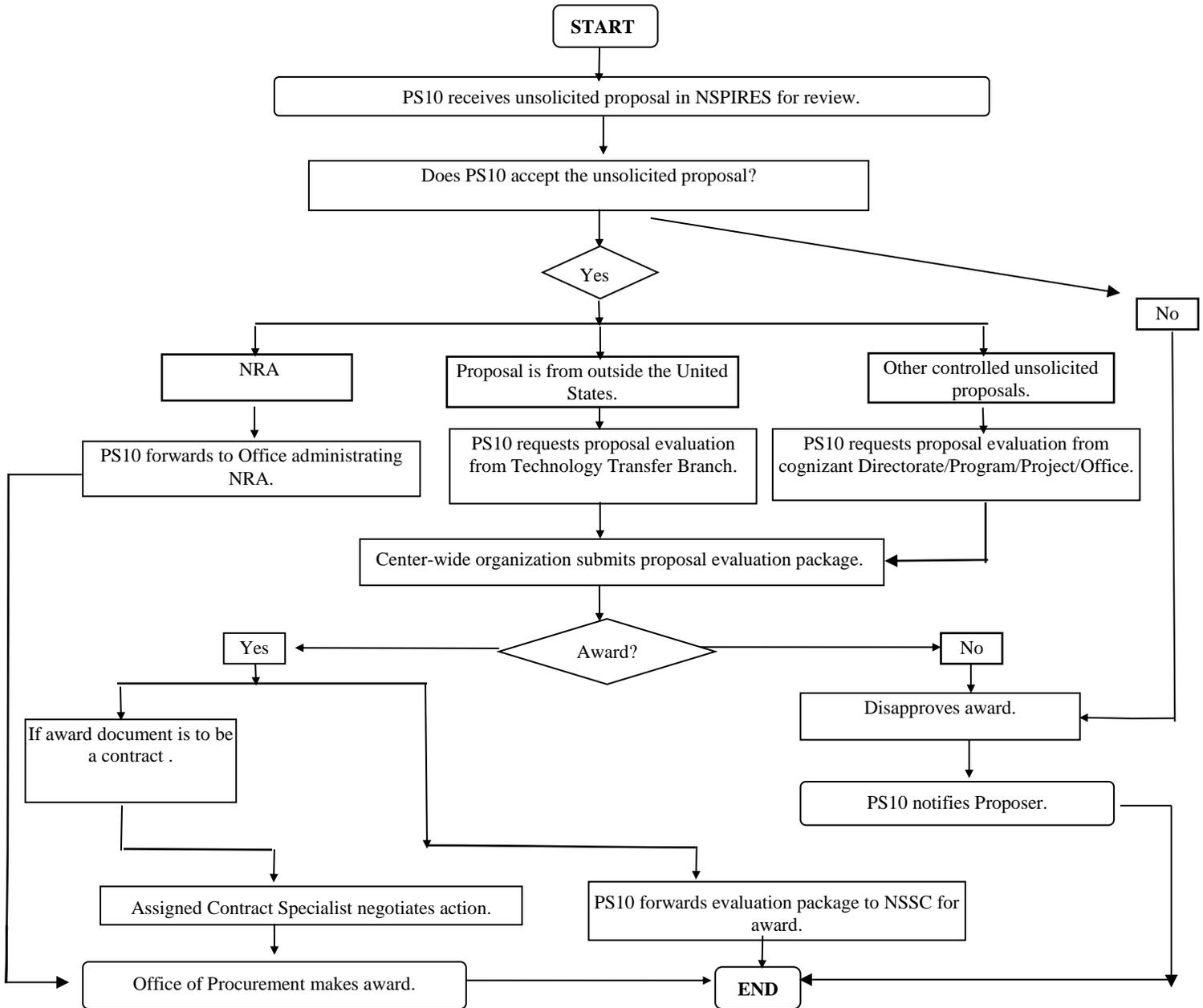
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APPENDIX C

VERIFICATION MATRIX

UNSOLICITED PROPOSAL FLOW DIAGRAM



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APPENDIX D

RECORDS

D.1 Retention Schedule.

D.1.1 Office of Procurement records retention requirements are set forth in accordance with FAR Subpart 4.8, Storage, handling, and disposal of contract files, NFS 1804.8, Government Contract Files, and NRRS 1441.1, Schedule 5.

D.1.1.1 The retention period for the disposal of contract files (including acquisitions below the SAT) is 6 years after final payment or cancellation, NRRS 5/1/A.

D.1.2 Grants and Cooperative Agreement records are retained in accordance with the NASA GCAM and NRRS 1441.1, Schedule 5.

D.1.2.1 The records retention for the disposal of Grants and Cooperative Agreement files is 10 years after final action is taken on file, NRRS 5/37/A/1.

Note 1:

Programs/Projects may have other retention requirements with respect to CANs or NRAs. (Reference NRRS 1441.1.).

Note 2:

Training records are maintained by the OHC in SATERN in accordance with NRRS 3.

Note 3:

See NRRS 5/1/E/2 if contract has been selected by the Associate Administrator for Procurement as precedent setting or unique.

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