MARSHALL WORK INSTRUCTION

PS01

PROCESSING UNSOLICITED PROPOSALS
# DOCUMENT HISTORY LOG

<table>
<thead>
<tr>
<th>Status (Baseline/ Revision/ Change/ Revalidation/ Canceled)</th>
<th>Document Revision</th>
<th>Effective Date</th>
<th>Description</th>
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<tr>
<td>Baseline</td>
<td></td>
<td>5/14/99</td>
<td>Document converted from MSFC-P06.1-C01 to a Directive. Previous history retained in system as part of canceled or superseded ISO Document files.</td>
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<tr>
<td>Revision</td>
<td>A</td>
<td>8/16/99</td>
<td>Changes made to reflect new MSFC reorganization.</td>
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<tr>
<td>Revision</td>
<td>B</td>
<td>5/10/03</td>
<td>Throughout the document, revised NPR 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.</td>
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<tr>
<td>Revision</td>
<td>C</td>
<td>6/28/2004</td>
<td>Throughout the document, revised requirements with the verb ‘shall’. Throughout the document, revised references of MWI 5100.1, &quot;Procurement Requisitioners Guide” to &quot;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</td>
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<tr>
<td>Revision</td>
<td>D</td>
<td>9/27/2004</td>
<td>Throughout the document, denoted requirements with the verb 'shall'. Throughout the document, revised references of MWI 5100.1, &quot;Procurement Requisitioners Guide” to &quot;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</td>
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<td>Compliance is mandatory. Directives is uncontrolled when printed. Verify current version before use at <a href="https://dml.msfc.nasa.gov/directives">https://dml.msfc.nasa.gov/directives</a></td>
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<td><strong>Processing Unsolicited Proposals</strong></td>
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<td>MWI 5115.1</td>
<td><strong>Revision: K</strong></td>
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<td>1</td>
<td>J</td>
<td>3/18/2014</td>
<td>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.</td>
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<td>J</td>
<td>K</td>
<td>11/30/2017</td>
<td>Compete 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).</td>
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<tr>
<td>K</td>
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<td>6/24/2020</td>
<td>Updated to remove references to outdate forms such as the JAUP and administrative changes made to clarify the process.</td>
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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
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.
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.
6. CANCELLATION


*Electronically approved by*

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

ACRONYMS

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
APPENDIX C

VERIFICATION MATRIX

UNSOLICITED PROPOSAL FLOW DIAGRAM

START

PS10 receives unsolicited proposal in NSPIRES for review.

Does PS10 accept the unsolicited proposal?

Yes

NRA

Proposal is from outside the United States.

Other controlled unsolicited proposals.

PS10 forwards evaluation package to NSSC for award.

Center-wide organization submits proposal evaluation package.

END

No

PS10 forwards evaluation package to Office administrating NRA.

PS10 requests proposal evaluation from Technology Transfer Branch.

PS10 requests proposal evaluation from cognizant Directorate/Program/Project/Office.

Award?

Yes

If award document is to be a contract.

Assigned Contract Specialist negotiates action.

Office of Procurement makes award.

No

Disapproves award.

PS10 notifies Proposer.

Office of Procurement makes award.

VERIFICATION MATRIX

UNSOLICITED PROPOSAL FLOW DIAGRAM

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Yes

If award document is to be a contract.

Assigned Contract Specialist negotiates action.

Office of Procurement makes award.

No

Disapproves award.

PS10 notifies Proposer.
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.