

AFSC REGULATION
NO. 80-8

HEADQUARTERS, AIR FORCE SYSTEMS COMMAND
Andrews Air Force Base, Washington 25, D. C.
9 October 1962

Research and Development

UNSOLICITED PROPOSALS

THIS REGULATION PRESCRIBES PROCEDURES FOR THE RECEIPT, HANDLING, AND DISPOSITION OF ALL UNSOLICITED PROPOSALS WHICH ARE SUBMITTED TO AFSC BY ANY INDIVIDUAL, CORPORATION, OR INSTITUTION OUTSIDE THE GOVERNMENT FOR EVALUATION TO DETERMINE ACTUAL OR POTENTIAL AIR FORCE INTEREST. ITS PROVISIONS ARE APPLICABLE TO HEADQUARTERS AFSC AND ALL AFSC ORGANIZATIONS.

1. Importance of Careful and Prompt Evaluations. A source of new ideas and methods for attaining and maintaining superiority of weapons and equipment is the unsolicited proposals for advancement of the "state of the art" in areas pertinent to the objectives of the United States Air Force.

a. The policy of AFSC is to encourage individuals, research agencies, and industrial concerns to voluntarily submit proposals which, in their opinion, would assist the Air Force in more effectively fulfilling its mission requirements.

b. Submitters must be assured that their proposals will receive a thorough and completely objective evaluation from individuals and activities within the DOD. Effective technical evaluations, promptly made at AFSC division and center levels, will reduce the tendency on the part of persons or firms to resubmit their proposals for further evaluation to higher authorities after rejection by an AFSC division/center.

c. Delay in evaluation and reply is often interpreted by the submitter as an indication of interest by the Air Force when in reality it may be due to lack of interest in the proposal, excessive workload, low priority, or other, similar factor.

d. Prompt and tactful technical evaluations will improve scientific and industrial relations, reduce congressional inquiries, and encourage submitters to inform the Air Force of their efforts in technical fields of interest to the Air

Force in exchange for a comprehensive technical evaluation of their proposals.

2. Explanation of Terms. Certain terms used in this sphere of work are defined as follows:

a. "Unsolicited Proposal"--A voluntary offer, plan, or article based on a new or novel design concept, idea, suggestion, or improvement relating to a proposed project, study, or development and submitted for evaluation in such form as to constitute a proposal for a specific project or contractual undertaking. Inclusion of the subject matter in government publications such as AFSC Technical Objective Documents does not constitute an act of solicitation by the government and proposals submitted on the basis of these government publications are considered unsolicited.

b. "Proprietary Rights"--Exclusive rights of ownership in intellectual property arising by virtue of authorship, invention, or discovery, and including inventions, ideas, schemes, techniques, or methods (whether or not patentable). Proprietary rights may or may not be in the form of a proposal suitable for adoption as a part of the approved R&D program.

c. "Inventions"--See AFR 80-38. Inventions will be evaluated and processed in accordance with AFR 80-38, AFSC Supplement 1 to AFR 80-38, and AFSC PMI 6-12.

d. "Responsible Office"--The AFSC division/center technical staff element designated by the AFSC division/center commander as responsible for receiving, controlling, and monitoring all actions

This regulation supersedes AFSCRs 80-8, 29 March 1962, and 80-8A, 10 August 1962.
OPI: SCMK
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on unsolicited proposals, including timeliness and quality of technical evaluations and wording of replies sent to submitters.

3. Responsibilities. The Contractor Relation and Sources Branch (SCMKP-3), DCS/Procurement and Materiel, Headquarters AFSC, is assigned command responsibility for establishing policy concerning the handling and processing of unsolicited proposals; it is designated as the Headquarters AFSC responsible office for the receipt, control, and processing of all unsolicited proposals received at Headquarters AFSC from the scientific community, general public, and higher authority.

a. AFSC division/center commanders are responsible for the receipt, control, processing, evaluation, analysis, and acceptance or rejection or unsolicited proposals which pertain to their assigned areas of technical responsibility. Responsibility for staff surveillance over unsolicited proposals to insure an efficient system of control will only be delegated to a technical office of deputy chief of staff level, hereafter referred to as the AFSC division/center responsible office.

b. Responsibility for receipt, control, evaluation, acceptance, rejection, and direct reply to the submitter, or other actions as required, will only be delegated to the technical directorates or laboratories which have the responsibility for the particular technical area in which the evaluation is being made, hereafter referred to as the designated control office.

c. Proposals for reconnaissance/intelligence techniques and equipment should be processed through the AFSC division/center deputy for foreign technology.

4. Safeguarding the Proposals:

a. Unsolicited proposals, whether or not receive for evaluation on a "company confidential" or "proprietary" basis, will be accepted for evaluation by the AFSC division/center responsible office or designated control office. Each unsolicited proposal will have AFSC Form 15, "Unsolicited Article or Disclosure (Cover Sheet)," affixed (attachment 1). This cover sheet will be retained on all

copies of the proposal except when the provisions of AFR 205-1 apply. Unsolicited proposals which are not classified under provisions of AFR 205-1 will be stored in a locked container, not necessarily a safe. Reference is made to AFR 11-30 in regard to penalties for any disclosure, not authorized by law, of information received by a government department in confidence from a private individual, a firm, or an organization concerning the trade secrets, proposals, inventions, discoveries, and reports of a technical or scientific nature. Unsolicited proposals are not to be given a government security classification, regardless of whether or not they contain company confidential or proprietary information, unless they contain Department of Defense classified information.

b. Unsolicited proposals will not be reproduced, copies, photographed, reduced to drawings, lifted in context, etc., except for record purposes. The advice of the Patents Division (SCJP), Staff Judge Advocate, Headquarters AFSC, or the local staff judge advocate patent office should be sought on any questions arising hereunder.

5. Use of AFSC Form 91, "Policy Agreement for Evaluation by the AFSC of Unsolicited Articles, Disclosures, Inventions, and Voluntary Proposals for Contract" (Attachment 2):

a. Upon receipt by any group or individual of an unsolicited proposal or related communication, notice of receipt must be transmitted at once to the responsible office or designated control office, which will obtain two completed AFSC Forms 91 from the submitter if a current one is not included in the Consolidated Listing of AFSC Forms 91 as furnished to each responsible office by Headquarters AFSC.

b. A copy of the completed AFSC Form 91 received from the submitter and countersigned by the AFSC recipient will be forwarded to AFSC (SCMKP-3) for inclusion in the quarterly revised Consolidated Listing of AFSC Forms 91 on file at Headquarters AFSC. The remaining copy will be retained by the AFSC division/center.

6. Forwarding Proposals and Acknowledgments of Receipt:

a. When a valid AFSC Form 91 is on

file within the command, the unsolicited proposal will be forwarded to the appropriate technical laboratory or directorate for evaluation and preparation of a reply to the submitter. The reply will be made either direct or through the AFSC division/center responsible office. If the final evaluation cannot be completed within 30 days of receipt by the evaluating AFSC division/center, the evaluating directorate or laboratory will inform the submitter of when evaluation results will be furnished. Copies of the correspondence will be sent to AFSC (SCMKP-3) and to the AFSC division/center responsible office or designated control office.

b. The AFSC division/center responsible office or designated control office will forward unsolicited proposals comprising subject matter in the jurisdiction of another AFSC division/center or other government agency direct to that agency for action, with a copy of forwarding letter to AFSC (SCMKP-3).

c. The AFSC division/center responsible office will acknowledge receipt of the unsolicited proposal to the submitter within 5 workdays.

7. Evaluation:

a. Evaluations will be made by AFSC division or center personnel engaged in the technical area of effort similar to the unsolicited proposal under consideration. The evaluating directorate or laboratory will initially determine whether or not the unsolicited proposal appears to be of potential usefulness to the Air Force. If it does not, the proposal may be rejected without further detailed consideration and the submitter notified accordingly. Copies of the correspondence will be forwarded to AFSC (SCMKP-3) and to the AFSC division/center responsible office.

b. If, after initial examination, the unsolicited proposal appears to be of potential or actual usefulness to the Air Force, it will be technically evaluated. This evaluation should, where possible, include a discussion of the technical merits of the proposed effort vs. the "state of the art." The lack of requirement, lack of funds, or low priority are not normally considered to be sufficient reasons for rejection of an unsolicited proposal which has been evaluated as

offering a significant advancement to Air Force needs. The submitter will not be assured, in the letter of evaluation, that the firm will be solicited if a future procurement in the technical area is undertaken, unless some means of follow-on action at time of procurement can be guaranteed. However, submitters may be assured that their disclosures will not be copied or reproduced without their explicit permission.

c. Whenever an unsolicited proposal has significant merit and a requirement does exist, but no funds are available, correspondence will be prepared and sent through appropriate channels to the appropriate Headquarters AFSC deputy chief of staff or special staff office. Appropriate Headquarters AFSC staff elements will review these documents to determine whether programming or reprogramming action will be taken or if approval must be requested of higher authority. In addition to the required inter-AFSC division/center coordination action, the report should contain information about the unsolicited proposal, its merits, potential value to the USAF program, and the necessity for immediate programming vs. next quarterly reprogramming action so that Headquarters AFSC can objectively consider reprogramming action as requested. These proposals must meet the following criteria and be so documented:

(1) Proposal cannot be funded through normal reprogramming action at AFSC division or center level.

(2) Proposal would result in a possible major technological setback if not expeditiously funded.

(3) Proposal offers an outstanding major advancement applicable to the mission of the Air Force.

d. If a submission or proposal has been evaluated as offering a major benefit or "break through" and a requirement does not exist, the AFSC division/center will take action to propose that a requirement be established.

e. Information copies of all letters of acknowledgment and evaluations will be submitted to AFSC (SCMKP-3) and to the AFSC division or center responsible office. The copy of the evaluation forwarded to the AFSC division or center will include the name, telephone extension, and office

AFSC Forms 91 will be destroyed upon publication of a new listing. (Authority: paragraph 050201, AFM 181-5.)

d. Retained copies of quarterly reports will be destroyed after 6 months.

FOR THE COMMANDER:



JOHN F. RASH
Colonel, USAF
Director of Administrative Services

(Authority: paragraph 050301b, AFM 181-5.)

e. AFSC Form 20 will be destroyed when they have served their purpose. (Authority: paragraph 050201, AFM 181-5.)

4 Attachments:

1. AFSC Form 15
2. AFSC Form 91
3. Instructions for Completion of AFSC Form 20
4. AFSC Form 20

symbol of the evaluator. In addition, the evaluator will note in ink on the AFSC division/center responsible office copy the estimated number of manhours expended in making the evaluation. AFSC Form 20, "Unsolicited Proposal Record," will be prepared by the AFSC division or center responsible office and maintained for each unsolicited proposal. (See attachments 3 and 4 for preparation.

f. Whenever the AFSC division or center responsible cognizant technical directorate makes the determination that technical competence for proper evaluation is lacking in-house or where an additional technical evaluation or opinion is desired, the services of the AFSC technical management contractor under contract at that activity may be utilized. If such services are utilized, AFSC still retains responsibility for safeguarding proprietary information and permission must be obtained from the submitter on each unsolicited proposal before it may be released for evaluation.

g. AFSC divisions and centers having a supporting interest in the technical area of the unsolicited proposal will be coordinated with before the evaluation and reply to the submitter are completed. The receipt of coordination by the AFSC division/center responsible office or designated control office will be acknowledged in accordance with paragraph 6 above.

h. AFSC divisions and centers will prepare and submit a Report of Unsolicited Proposals, RCS: AFSC-N88 to AFSC (SCMKP-3) not later than the 10th day of the month following the end of each quarter. Negative reports are required. The following statistics will be compiled from information contained in AFSC Forms 20 and reported:

- (1) Total number of proposals received.
- (2) Total number of proposals accepted.
- (3) Total dollar value of proposals funded.
- (4) Total number of AFSC technical manhours expended in evaluation of these proposals.

8. Return to Submitter:

a. After consideration and evaluation, all but one copy (retained for record purposes by the responsible office or designated control office) of unacceptable unsolicited proposals will be returned to the submitter unless the submitter has authorized retention of additional copies. All copies of accepted unsolicited proposals will be held by the evaluation office until such time as an authorized R&D project is established, at which time one copy of the proposal and related correspondence will be placed in the project file folder. One copy of the proposal will be placed in the official contract file folder.

b. Instructions furnished by the submitter prior to completion of the evaluation and test concerning disposition will be followed, but at no unusual expense to the government. If, after evaluation, the subject matter of a particular unsolicited proposal is desired for any purpose other than record, action should be taken to obtain it by normal contracting procedures. The Patents Division, Staff Judge Advocate's Office, Headquarters AFSC, should be consulted before entry into negotiations for procurement of the subject matter.

9. Disposition of Records:

a. Record copies of unsolicited proposals will be disposed of as follows:

(1) Accepted proposals in the project and contract files will have the same disposal as the file of which they are a part. (Authority: paragraphs 240205a and 220202, respectively, of AFM 181-5.)

(2) For rejected proposals, see paragraph 240206b, AFM 181-5.

b. AFSC Form 91:

(1) Copies at Headquarters AFSC will be retained until disposition can be established. (Authority: paragraph 020401, AFM 181-5.)

(2) All other copies will be destroyed upon publication of the AFSC Consolidated Listing of AFSC Forms 91. (Authority: paragraph 050201, AFM 181-5.)

c. The AFSC Consolidated Listing of

UNSOLICITED ARTICLE OR DISCLOSURE

"FOR OFFICIAL USE ONLY"
(SEE AFR 11-30)

MAY CONTAIN PROPRIETARY INFORMATION

Do Not Detach From Correspondence

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Attachment 1

POLICY AGREEMENT FOR EVALUATION BY THE AFSC OF UNSOLICITED ARTICLES, DISCLOSURES, INVENTIONS AND VOLUNTARY PROPOSALS FOR CONTRACT

Prior to the acceptance of any article of equipment, material or disclosure of information for evaluation or testing by the Air Force Systems Command, the following policy must be understood and agreed to by the individual, firm or corporation submitting such article, invention or disclosure.

POLICY

1. The Air Force Systems Command has a continuing interest in receiving and evaluating voluntary submissions which contain new ideas, suggestions and inventive concepts which are germane to the potential needs of the Air Force. However, the military service has many of its personnel and contractors working on research and development; consequently the substance of your submission may already be known to government employees, government contractors or may already be in the public domain. Accordingly, it has been found desirable, in receiving voluntary submissions for evaluation, to exercise such precaution as will preclude misunderstanding by the submitter and will prevent such submissions from having any restrictive or limiting effect on the Air Force Systems Command research and development programs.

2. It should be understood that acceptance for test or evaluation for potential usefulness to the Air Force does not imply a promise to pay, a recognition of novelty, originality, uniqueness or a contractual relationship such as would render the Government liable to pay for any use of information to which it would otherwise be entitled. The Air Force has no intention of using any invention, article or disclosure in which the submitter has established property rights, without proper compensation.

3. Due care will be exercised in the handling and testing of voluntary submissions. The Government will, however, assume no responsibility or liability to submitters or others for:

a. Damages to, destruction of, or loss of voluntary submissions resulting from testing activities or otherwise.

b. Damages or injuries due to negligence or otherwise, which are incurred or suffered by submitters, submitters' employees or invitees during any test of such article or disclosure which is under the control of the submitter, his authorized agents or employees, whether or not Air Force personnel are participating in the test.

4. The manufacture, transportation and maintenance of articles submitted to the Government for evaluation or testing will be accomplished without cost to the Government.

5. Submitters may furnish instructions to the Government concerning the disposal of voluntary submissions, provided such instructions are furnished prior to completion of the tests or evaluation. Any disposal in accordance with such instructions shall be at the expense of the submitter. In the absence of such instructions prior to the completion of the tests or evaluation, the Government will dispose of such property in accordance with established procedures.

6. The evaluation or testing of voluntary submissions will in no way obligate the Government to procure experimental, production or other quantities of the article submitted or the item covered by the disclosure.

7. The voluntary submissions submitted will be handled in accordance with established governmental procedures for safeguarding such articles or information against unauthorized disclosure. The submitter agrees that any liability by reason of unauthorized disclosure by the Government will not extend beyond the actual damage to the submitter caused by acts of the Government.

8. Unsolicited articles or disclosures are submitted and received in accordance with this Policy Agreement notwithstanding any contrary or inconsistent conditions imprinted on or submitted together with such articles or disclosures, or orally expressed.

9. Information covering the results of evaluations or tests will be furnished to submitters upon request. Such information shall not be construed as an indorsement by the Government of articles or the subject matter of disclosures nor shall they be used in whole or in part for advertising purposes with industry or other Government agencies.

10. The terms of this Policy Agreement shall apply to all submitted articles and disclosures. The provisions of any contract for procurement resulting from these disclosures will supersede this understanding.

CERTIFICATION BY SUBMITTER

I certify that I have read the policy of the Air Force Systems Command set forth above and understand and agree to the terms and conditions thereof.

I further certify that I am (check appropriate box or boxes):

- Sole owner of all articles, disclosures and inventions submitted for evaluation or testing.
- A member of the partnership or association identified below and have full authority to bind said partnership or association.
- An authorized representative of the corporation identified below and have full authority to bind said corporation.

SUBMITTED BY (Include typed name and title, name of partnership, association, or corporation, if applicable; and address)		RECEIVED BY (Include typed name, grade, title and AFSC organization identification)	
SIGNATURE	DATE	SIGNATURE	DATE
		9	Attachment 2

INSTRUCTIONS FOR COMPLETION OF AFSC FORM 20

The indicated numbered items of the AFSC Form 20 will contain the following information:

1. Unsolicited Proposal Control Number. Upon receipt of an unsolicited proposal a control number will be assigned by the responsible office. These numbers will be numerical and issued consecutively by each division and center responsible office.
2. Date Received. The date of receipt by the responsible office of each unsolicited proposal will be indicated.
3. Number of Copies Received. The number of copies of each unsolicited proposal received will be indicated.
4. Security Classification. The classification assigned the unsolicited proposal by submitter will be indicated. Unsolicited proposals are not to be given a Government security classification merely because they contain proprietary rights. However, any unsolicited proposal containing DOD classified information must be given an Air Force security classification.
5. ASTIA Area of Interest. The technical area of interest used on the AFSC Form 220, "AFSC Source Information," will be used here. Use the division number only; i.e., Division 1, 2, 25, etc. Copies of AFSC Form 220 may be obtained from the local procurement office.
6. Title. Complete title of the unsolicited proposal will be indicated.
7. Submitted by (Firm and Name of Submitter). Complete name of company and individual submitting the unsolicited proposal.
8. AFSC Form 91:
 - a. Check box "On File" if AFSC Form 91 is on file.
 - b. If AFSC Form 91 is required, check box "Requested" and give date AFSC Form 91 was requested.
9. Date Initial Reply Forwarded to Submitter. The date of the letter of receipt of acknowledgement by the responsible office to the submitter should be indicated.
10. Date Forwarded to Laboratory for Evaluation. The date the unsolicited proposal is forwarded for evaluation should be indicated.
11. Name of Evaluator. Self explanatory.
12. Symbol and Telephone Number of Evaluator. Self explanatory.
13. Date Final Evaluation Completed, Reply Forwarded to Submitter, and Copy Forwarded to SCMKP-3. Date should be the date of the evaluation letter to the submitter with copy to SCMKP-3.
14. Disposition. Indicate the action taken after evaluation by checking the appropriate boxes.
15. Manhours Required to Complete Evaluation. Indicate the actual hours required to evaluate the unsolicited proposal.
16. Comments. Any pertinent remarks concerning the unsolicited proposals.

UNSOLICITED PROPOSAL RECORD (Ref: AFSCR 80-8)

1. UNSOL PROPOSAL CONTROL NO.		2. TITLE		3. AFSC FORM 91 <input type="checkbox"/> ON FILE <input type="checkbox"/> REQUESTED (Enter date)		DIVISION / CENTER RESPONSIBLE OFFICE		13. DATE FINAL EVAL COMPLETED, REPLY FORWARDED TO SUBMITTER AND COPY FORWARDED TO SCMKP-3		15. MANHOURS REQUIRED TO COMPLETE EVALUATION			
2. DATE RECEIVED		7. SUBMITTED BY (Firm and name of individual)		9. DATE INITIAL REPLY FORWARDED TO SUBMITTER		14. DISPOSITION <input type="checkbox"/> ACCEPTED - DOLLAR VALUE \$ _____ <input type="checkbox"/> REJECTED <input type="checkbox"/> FORWARDED FOR REPROGRAMMING TO (Enter symbol and date)		16. COMMENTS					
3. NUMBER OF COPIES RECEIVED				10. DATE FORWARDED TO LAB FOR EVALUATION		11. NAME OF EVALUATOR						<input type="checkbox"/> FORWARDED TO ANOTHER DIV/CENTER/DOD AGENCY FOR EVALUATION (Enter symbol and date)	
4. SECURITY CLASSIFICATION				12. SYMBOL AND TELEPHONE NUMBER OF EVALUATOR									
5. ASTIA AREA OF INTEREST													
1. UNSOL PROPOSAL CONTROL NO.		2. TITLE		8. AFSC FORM 91 <input type="checkbox"/> ON FILE <input type="checkbox"/> REQUESTED (Enter date)		13. DATE FINAL EVAL COMPLETED, REPLY FORWARDED TO SUBMITTER AND COPY FORWARDED TO SCMKP-3		15. MANHOURS REQUIRED TO COMPLETE EVALUATION					
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4. SECURITY CLASSIFICATION				12. SYMBOL AND TELEPHONE NUMBER OF EVALUATOR									
5. ASTIA AREA OF INTEREST													

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Attachment 4

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