

# VERSION 2

## Defense Logistics Agency (DLA) 21.3 Small Business Innovation Research (SBIR) Proposal Submission Instructions

### INTRODUCTION

The Defense Logistics Agency's (DLA) mission has four lines of effort the DLA Small Business Innovation Program (SBIP) supports. They include supporting the **NUCLEAR ENTERPRISE** by maintaining nuclear systems readiness, qualifying alternate sources of supply, improving the quality of consumable parts, and increasing materiel availability. **FORCE READINESS & LETHALITY** through Improvements to life cycle performance through technological advancement, innovation, and reengineering, Mitigate single points-of-failure that threaten the readiness of weapons systems used by our Warfighters. **SUPPLY CHAIN INNOVATION** through improved lead times, reduced lifecycle costs, maintaining a secure and resilient supply chain, providing opportunities for the small business industrial base to enhance supply chain operations with technological innovations. Lastly **SUPPLY CHAIN ASSURANCE** securing the microelectronics supply chain, development of a domestic supply chain for rare earth elements, the adoptions of industrial base best practices associated with counterfeit risk reduction.

The DLA Small Business Innovation Research (SBIR) and Small Business Technology Transfer Programs are implemented, administered, and managed by the DLA Small Business Innovation Program (SBIP) Management Office located within the DLA J68 Research and Development Division. Specific questions pertaining to the administration of the DLA SBIR Program and these proposal preparation instructions should be submitted to:

**Defense Logistics Agency**  
**Small Business Innovation Program (SBIP) Office**  
**DLA/J68**  
**Email: [DLASBIR2@DLA.mil](mailto:DLASBIR2@DLA.mil)**

Proposals not conforming to the terms of this Announcement will not be considered. DLA reserves the right to limit awards under any topic, and only those proposals of superior scientific and technical quality as determined by DLA will be funded.

DLA reserves the right to withdraw from negotiations at any time prior to contract award.

**Post Award**, DLA may terminate any award at any time for any reason to include matters of national security (foreign persons, foreign influence or ownership, inability to clear the firm or personnel for security clearances, or other related issues).

Please read the entire DoD Announcement and DLA instructions carefully prior to submitting your proposal. Please go to <https://www.sbir.gov/about/about-sbir#sbir-policy-directive> to read the SBIR/STTR Policy Directive issued by the Small Business Administration.

### **Use of Support Contractors in the Evaluation Process**

Only Government personnel with active non-disclosure agreements will evaluate proposals.

Non-Government technical consultants (consultants) to the Government may review and provide support in proposal evaluations during source selection.

Consultants may have access to the offeror's proposals, may be utilized to review proposals, and may provide comments and recommendations to the Government's decision makers. Consultants will not

## VERSION 2

establish final assessments of risk and will not rate or rank offerors' proposals. They are also expressly prohibited from competing for DLA SBIR awards in the SBIR topics they review and/or on which they provide comments to the Government.

All consultants are required to comply with procurement integrity laws. Consultants will not have access to proposals or pages of proposals that are properly labeled by the offerors as "FEDONLY." Pursuant to [FAR 9.505-4](#), DLA contracts with these organizations include a clause which requires them to

- (1) Protect the offerors' information from unauthorized use or disclosure for as long as it remains proprietary and
- (2) Refrain from using the information for any purpose other than that for which it was furnished. In addition, DLA requires the employees of those support contractors that provide technical analysis to the SBIR/STTR Program to execute non-disclosure agreements. These agreements will remain on file with the DLA SBIP PMO.

Non-Government consultants will be authorized access to only those portions of the proposal data and discussions that are necessary to enable them to perform their respective duties. In accomplishing their duties related to the source selection process, employees of the organizations may require access to proprietary information contained in the offerors' proposals.

### **OFFEROR SMALL BUSINESS ELIGIBILITY REQUIREMENTS**

Each offeror must qualify as a small business at time of award per the Small Business Administration's (SBA) regulations at [13 CFR 121.701-121.705](#) and certify to this in the Cover Sheet section of the proposal. Small businesses that are selected for award will also be required to submit a Funding Agreement Certification document and be registered with Supplier Performance Risk System <https://www.sprs.csd.disa.mil/> prior to award.

### **SBA Company Registry**

Per the SBIR/STTR Policy Directive, all applicants are required to register their firm at SBA's Company Registry prior to submitting a proposal. Upon registering, each firm will receive a unique control ID to be used for submissions at any of the eleven (11) participating agencies in the SBIR or STTR program. For more information, please visit the SBA's Firm Registration Page: <http://www.sbir.gov/registration>.

### **Performance Benchmark Requirements for Phase I Eligibility**

DLA does not accept proposals from firms that are currently ineligible for Phase I awards caused by failing to meet the SBA benchmark rates at the last assessment. Additional information on Benchmark Requirements can be found in the DoD Instructions of this Announcement.

### **ORGANIZATIONAL CONFLICTS OF INTEREST (OCI)**

The basic OCI rules for Contractors which support development and oversight of SBIR topics are covered in FAR 9.5 as follows (the Offeror is responsible for compliance):

- (1) the Contractor's objectivity and judgment are not biased because of its present or planned interests which relate to work under this contract.
- (2) the Contractor does not obtain unfair competitive advantage by virtue of its access to non-public information regarding the Government's program plans and actual or anticipated resources; and

## VERSION 2

- (3) the Contractor does not obtain unfair competitive advantage by virtue of its access to proprietary information belonging to others.

All applicable rules under the FAR Section 9.5 apply.

If you, or another employee in your company, developed or assisted in the development of any SBIR requirement or topic, please be advised that your company may have an OCI. Your company could be precluded from an award under this BAA if your proposal contains anything directly relating to the development of the requirement or topic. Before submitting your proposal, please examine any potential OCI issues that may exist with your company to include subcontractors and understand that if any exist, your company may be required to submit an acceptable OCI mitigation plan prior to award.

### **USE OF FOREIGN NATIONALS (also known as Foreign Persons), GREEN CARD HOLDERS AND DUAL CITIZENS**

If proposing to use foreign nationals (also known as foreign persons), they must be green card holders, and/or dual citizens. (No Student or Temporary Visa holders will be approved). The offeror must identify the personnel they expect to be involved on this project, the type of visa or work permit under which they are performing, country of origin and level of involvement.

You will be asked to provide additional information during negotiations to verify the foreign citizen's eligibility to participate on a SBIR contract. Supplemental information provided in response to this paragraph will be protected in accordance with the Privacy Act (5 U.S.C. 552a), if applicable, and the Freedom of Information Act (5 U.S.C. 552(b)(6)).

Proposals submitted to export control-restricted topics and/or those with foreign nationals, dual citizens, or green card holders listed will be subject to security review during the contract negotiation process (if selected for award).

DLA reserves the right to vet all uncleared individuals involved in the project, regardless of citizenship, who will have access to Controlled Unclassified Information (CUI) such as export controlled information. If the security review disqualifies a person from participating in the proposed work, the contractor may propose a suitable replacement.

In the event a proposed person and/or firm is found ineligible by the government to perform proposed work, the contracting officer will advise the offeror of any disqualifications but is not required to disclose the underlying rationale.

### **V. EXPORT CONTROL RESTRICTIONS**

The technology within most DLA topics is restricted under export control regulations including the International Traffic in Arms Regulations (ITAR) and the Export Administration Regulations (EAR). ITAR controls the export and import of listed defense-related material, technical data and services that provide the United States with a critical military advantage. EAR controls military, dual-use and commercial items not listed on the United States Munitions List or any other export control lists. EAR regulates export-controlled items based on user, country, and purpose. The offeror must ensure that their firm complies with all applicable export control regulations. Please refer to the following URLs for additional information: <https://www.pmddtc.state.gov/> and <https://www.bis.doc.gov/index.php/regulations/export-administration-regulations-ear>.

Most DLA SBIR topics are subject to ITAR and/or EAR. If the topic write-up indicates that the topic is subject to International Traffic in Arms Regulation (ITAR) and/or Export Administration Regulation

## VERSION 2

(EAR), your company may be required to submit a Technology Control Plan (TCP) during the contracting negotiation process.

### **CLAUSE H-08 PUBLIC RELEASE OF INFORMATION (Publication Approval)**

Clause H-08 pertaining to the public release of information is incorporated into all DLA SBIR contracts and subcontracts without exception. Any information relative to the work performed by the contractor under DLA SBIR contracts must be submitted to DLA for review and approval prior to its release to the public. This mandatory clause also includes the subcontractor who shall provide their submission through the prime contractor for DLA's review for approval.

### **FLOW-DOWN OF CLAUSES TO SUBCONTRACTORS**

The clauses to which the prime contractor and subcontractors are required to comply include but are not limited to the following clauses:

- 1) DLA clause H-08 (Public Release of Information),
- 2) [DFARS 252.204-7000](#) (Disclosure of Information),
- 3) [DFARS clause 252.204-7012](#) (Safeguarding Covered Defense Information and Cyber Incident Reporting), and
- 4) [DFARS clause 252.204-7020](#) (NIST SP 800-171 DoD Assessment Requirements). Your proposal submission confirms that any proposed subcontract is in accordance with the clauses cited above and any other clauses identified by DLA in any resulting contract.

### **OWNERSHIP ELIGIBILITY**

Prior to award, DLA may request business/corporate documentation to assess ownership eligibility as related to the requirements of SBIR Program Eligibility. These documents include, but may not be limited to, the Business License; Articles of Incorporation or Organization; By-Laws/Operating Agreement; Stock Certificates (Voting Stock); Board Meeting Minutes for the previous year; and a list of all board members and officers.

If requested by DLA, the contractor shall provide all necessary documentation for evaluation prior to SBIR award. Failure to submit the requested documentation in a timely manner as indicated by DLA may result in the offeror's ineligibility for further consideration for award.

### **FRAUD, WASTE, AND ABUSE**

All offerors must complete the fraud, waste, and abuse training (Volume 6) that is located on the Defense SBIR/STTR Innovation Portal (DSIP) (<https://www.dodsbirsttr.mil>). Please follow guidance provided on DSIP to complete the required training.

To Report Fraud, Waste, or Abuse, Please Contact:

DoD Inspector General (IG) Fraud, Waste & Abuse  
Hotline: (800) 424-9098  
[hotline@dodig.mil](mailto:hotline@dodig.mil)

Additional information on Fraud, Waste and Abuse may be found in the DoD Instructions of this Announcement.

### **PROPOSAL FUNDAMENTALS**

#### **Proposal Submission**

## VERSION 2

All proposals MUST be submitted online using DSIP <https://www.dodsbirsttr.mil/submissions/login>. Any questions pertaining to the DoD SBIR/STTR submission system should be directed to the DoD SBIR/STTR Help Desk at [DoDSBIRSupport@reissystems.com](mailto:DoDSBIRSupport@reissystems.com). It is recommended that potential offerors email topic authors to schedule a time for topic discussion during the pre-release period list in the DoD SBIR Program BAA.

### **Classified Proposals**

Classified proposals **ARE NOT** accepted under the DLA SBIR Program. The inclusion of classified data in an unclassified proposal is grounds for the Agency to determine the proposal as non-responsive and the proposal not to be evaluated.

Contractors currently working under a classified contract must use the security classification guidance provided under that contract to verify new SBIR proposals are unclassified prior to submission.

Phase I contracts are not typically awarded for classified work. However, in some instances, work being performed on DLA SBIR/STTR contracts will require security clearances. If a DLA SBIR/STTR contract develops into or identifies classified work, the offeror must have a facility clearance, appropriate personnel clearances to perform the classified work and coordinate the DD254 with the Contract Officer and the service owning the classified data.

For more information on facility and personnel clearance procedures and requirements, please visit the Defense Counterintelligence and Security Agency Web site at: <https://www.dcsa.mil>.

### **Use of Acronyms**

Acronyms should be spelled out the first time they are used within the technical volume (Volume 2), the technical abstract, and the anticipated benefits/potential commercial applications of the research or development sections. This will help avoid confusion when proposals are evaluated by technical reviewers.

### **Communication**

All communication from the DLA SBIR/STTR PMO will originate from the [DLASBIR2@DLA.mil](mailto:DLASBIR2@DLA.mil) email address. Please white list this address in your company's spam filters to ensure timely receipt of communications from our office.

### **Proposal Status**

The SBIP PMO will distribute selection and non-selection email notices to all firms who submit a SBIR/STTR proposal to DLA. The email will be distributed to the "Corporate Official" and "Principal Investigator" listed on the proposal coversheet. DLA cannot be responsible for notification to a company that provides incorrect information or changes such information after proposal submission. DLA will distribute the selection and non-selection notifications to all offerors within 90 days of the BAA close date.

### **Proposal Feedback**

DLA will provide written feedback to unsuccessful offerors regarding their proposals on the non-selection notification. Only firms that receive a non-selection notification are eligible for written feedback.

### **Technical and Business Assistance (TABAs)**

DLA does not utilize the TABA program.

### **Protests Procedures**

Refer to the DoD Program Announcement for procedures to protest the Announcement.

# VERSION 2

As further prescribed in FAR 33.106(b), FAR 52.233-3, Protests after Award should be submitted to: DCSO Small Business Innovation Program [SBIP.DCSO@dla.mil](mailto:SBIP.DCSO@dla.mil). This is the DLA Contracting Team workflow email address.

## PHASE I PROPOSAL GUIDELINES

Any pages submitted beyond the 20-page limit within the Technical Volume (Volume 2) will not be evaluated. If including a letter(s) of support, they should be included in Volume 5, and they will not count towards the 20-page Technical Volume (Volume 2) limit. Any technical data/information that should be in the Technical Volume (Volume 2) but is contained in other Volumes will not be considered.

DLA's objective for the Phase I effort is to determine the merit and technical feasibility of the concept. Typically, the contract period of performance for Phase I should be up to nine (9) months and the base award should not exceed \$100,000. However, each topic may have a different threshold. A list of topics currently eligible for proposal submission is included in these instructions, followed by full topic descriptions. These are the only topics for which proposals will be accepted at this time.

### Phase I Proposal

**A complete Phase I proposal consists of six volumes:**

- Volume 1 (required): Proposal Cover Sheet (*does not count towards 15-page limit*)
- Volume 2 (required): Technical Volume (maximum of 15 pages)
- Volume 3 (required): Cost Volume (*does not count towards 15-page limit*)
- Volume 4 (required): Company Commercialization Report (*does not count towards 15-page limit*)
- Volume 5:
  - Contractor Certification Regarding Provision of Prohibited Video Surveillance and Telecommunications Services and Equipment (required),
  - Foreign Ownership or Control Disclosure (Proposers must review Attachment 2 in the DoD SBIR BAA: Foreign Ownership or Control Disclosure to determine applicability),
  - Additional Cost information (optional),
  - Letters of Support (optional),
  - Any other supporting documents (optional),
  - No more than 15 Page Power Point Presentation (If Applicable)
  - A qualified letter of support is from a relevant commercial or Government Agency procuring organization(s) working with DLA, articulating their pull for the technology (i.e., what DLA need(s) the technology supports and why it is important to fund it), and possible commitment to provide additional funding and/or insert the technology in their acquisition/sustainment program.
  - Letters of support shall not be contingent upon award of a subcontract.
- Volume 6 (required): Fraud, Waste, and Abuse Training Certification

### References to Hardware, Computer Software, or Technical Data

In accordance with the SBIR/STTR Policy Directive, SBIR/STTR contracts are to conduct feasibility-related experimental or theoretical R/R&D related to described agency requirements. The purpose for Phase I is to determine the scientific and technical merit and feasibility of the proposed effort. It is not intended for any formal end-item contract delivery and ownership by the Government of your hardware, computer software, or technical data. As a result, your technical proposal should not contain any reference to the term "Deliverables" when referring to your hardware, computer software, or technical

## VERSION 2

data. Instead use the term: “Products for Government Testing, Evaluation, Demonstration, and/or possible destructive testing”.

The standard formal deliverables for a Phase I are the:

- Plan of Action and Milestones (POAM) with sufficient detail for monthly project tracking.
- Initial Project Summary: one-page, unclassified, non-sensitive, and non-proprietary summation of the project problem statement and intended benefits (must be suitable for public viewing).
- Monthly Status Report. A format will be provided at the PAC.
- The TPOC and PM will determine a meeting schedule at the PAC. Phase I awardees can expect Monthly (or more frequent) Project Reviews.
- Draft Final Report including major accomplishments, business case analysis, commercialization strategy, transition plan with timeline, and proposed path forward for Phase II.
- Final Report including major accomplishments, business case analysis, commercialization strategy and transition plan with timeline, and proposed path forward for Phase II.
- Final Project Summary (one-page, unclassified, non-sensitive and non-proprietary summation of project results, high resolution photos or graphics intended for public viewing)
- Applicable Patent documentation
- Other Deliverables as defined in the Phase I Proposal
- Phase II Proposal is optional at the Phase I Awardee’s discretion (as Applicable)

### **FAR 52.203-5 Covenant Against Contingent Fees**

As prescribed in [FAR 3.404](#), the following [FAR 52.203-5](#) clause shall be included in all contracts awarded under this Broad Agency Announcement (BAA):

(a) The Contractor warrants that no person or agency has been employed or retained to solicit or obtain this contract upon an agreement or understanding for a contingent fee, except a bona fide employee or agency. For breach or violation of this warranty, the Government shall have the right to annul this contract without liability or to deduct from the contract price or consideration, or otherwise recover, the full amount of the contingent fee.

(b) Bona fide agency, as used in this clause, means an established commercial or selling agency, maintained by a contractor for the purpose of securing business, that neither exerts nor proposes to exert improper influence to solicit or obtain Government contracts nor holds itself out as being able to obtain any Government contract or contracts through improper influence.

"Bona fide employee," as used in this clause, means a person, employed by a contractor and subject to the contractor's supervision and control as to time, place, and manner of performance, who neither exerts nor proposes to exert improper influence to solicit or obtain Government contracts nor holds out as being able to obtain any Government contract or contracts through improper influence.

"Contingent fee," as used in this clause, means any commission, percentage, brokerage, or other fee that is contingent upon the success that a person or concern has in securing a Government contract.

"Improper influence," as used in this clause, means any influence that induces or tends to induce a Government employee or officer to give consideration or to act regarding a Government contract on any basis other than the merits of the matter.

## **XII. PHASE I PROPOSAL SUBMISSION CHECKLIST**

## VERSION 2

\_\_\_1. The following have been submitted electronically through DSIP by the date and time listed on the first page of the DoD Program BAA.

### Volume 1: DoD Proposal Cover Sheet

If proposing to use foreign nationals (also known as foreign persons), they must be green card holders, and/or dual citizens. No Student or Temporary Visa holders will be approved. The offeror must identify the personnel they expect to be involved on this project, the type of visa or work permit under which they are performing, country of origin and level of involvement.

Volume 2: Technical Volume (DOES NOT EXCEED 20 PAGES): Any pages submitted beyond this will not be evaluated. Your Proposal Cover Sheet, Cost Volume, and Company Commercialization Report DO NOT count toward your maximum page limit.

Volume 3: Cost Volume. (Online Cost Volume form is REQUIRED by DLA)

Volume 4: Company Commercialization Report. The Company Commercialization Report (CCR) must be uploaded in accordance with the instructions provided in the DoD Program BAA. Information contained in the CCR will be considered as part of the proposal evaluations.

Volume 5: Contractor Certification Regarding Provision of Prohibited Video Surveillance and Telecommunications Services and Equipment (required), Foreign Ownership or Control Disclosure, Letters of Supports (optional), and/or TABA (optional).

Volume 6 (required): Fraud, Waste, and Abuse Training Certification.

\_\_\_2. Phase I proposal is not to exceed topic limits.

\_\_\_3. The proposal must be formally submitted on DSIP. Proposals that are not submitted will not be evaluated.

### **XIII. DLA PHASE I PROPOSAL EVALUATIONS**

DLA will evaluate and select Phase I and Phase II proposals using scientific review criteria based upon technical merit and other criteria as discussed in this Announcement document. DLA reserves the right to award none, one, or more than one contract under any topic. DLA is not responsible for any money expended by the offeror before award of any contract. Due to limited funding, DLA reserves the right to limit awards under any topic and only proposals considered to be of superior quality as determined by DLA will be funded.

Phase I proposals will be evaluated based on the criteria outlined below, including potential benefit to the DLA. Selections will be based on best value to the Government considering the following factors which are listed in descending order of importance:

- a) The soundness, technical merit, and innovation of the proposed approach and its incremental progress toward topic or subtopic solution.
- b) The qualifications of the proposed principal/key investigators, supporting staff, and consultants. Qualifications include not only the ability to perform the research and development but also the ability to commercialize the results.



## VERSION 2

c) The potential for commercial (Government or private sector) application and the benefits expected to accrue from its commercialization.

Please note that potential benefit to the DLA will be considered throughout all the evaluation criteria and in the best value trade-off analysis. When combined, the stated evaluation criteria are significantly more important than cost or price.

It cannot be assumed that reviewers are acquainted with the firm or key individuals or any referenced experiments. Technical reviewers will base their conclusions only on information contained in the proposal. Relevant supporting data such as journal articles, literature, including Government publications, etc., should be listed in the proposal and will count toward the applicable page limit.

Final Selection may require an oral presentation. This may include an in-person meeting or a Zoom.gov meeting.

The two-part evaluation process is explained below:

Part I: The evaluation of the Technical Volume will utilize the Evaluation Criteria provided in Section 6.0 of the DoD SBIR BAA. Once the initial evaluations are complete, all Offerors will be notified as to whether they were selected to present the slide deck portion of their proposal within 45 days of the BAA close date. Only proposals receiving a “Highly Acceptable” rating will receive an invitation to present orally.

Part II: If selected for an oral presentation, Offerors shall submit a slide deck not to exceed 15 PowerPoint slides to [DLASBIR@dla.mil](mailto:DLASBIR@dla.mil).

- There are no set format requirements other than the 15-page maximum page length.
- It is recommended (but not required) that more detailed information is included in the technical volume and higher-level information is included in the slide deck.

Selected Offerors will receive an invitation to present a slide deck (15-minute presentation time / 15-minute question and answer) in a technical question and answer forum to the DLA evaluation team via electronic media. This presentation will be evaluated by a panel against the criteria listed above and your overall presentation. DLA will evaluate the presentation for Business Acumen, and Core Business Capabilities (Customer Engagement / Presentation Skills). The rating of the presentation will be a Go/No-Go rating

Notification of the Go/No-Go rating decision will occur within 5 days of the presentation. Input on technical aspects of the proposals may be solicited by DLA from non-Government consultants and advisors who are bound by appropriate non-disclosure requirements.

Non-Government personnel will not establish final assessments of risk, rate, or rank Offeror’s proposals. Further, these advisors are expressly prohibited from competing for DLA SBIR awards.

All administrative support contractors, consultants, and advisors having access to any proprietary data will certify that they will not disclose any information pertaining to this announcement, including any submission, the identity of any submitters, or any other information relative to this announcement; and shall certify that they have no financial interest in any submission. Submissions and information received in response to this announcement constitutes the Offeror’s permission to disclose that information to administrative support contractors and non-Government consultants and advisors.

## VERSION 2

### **XIV. Phase II Proposal Submission**

Per SBA SBIR Phase II Proposal guidance, **all** Phase I awardees are permitted to submit a Phase II proposal for evaluation and potential award selection, without formal invitation. Details on the due date, format, content, and submission requirements of the Phase II proposal will be provided by the DLA SBIP PMO on/around the midway point of the Phase I period of performance. Only firms who receive a Phase I award may submit a Phase II proposal.

DLA will evaluate and select Phase II proposals using the same criteria as Phase I evaluation. Funding decisions are based upon the results of work performed under a Phase I award and the scientific and technical merit, feasibility, and commercial potential of the Phase II proposal; Phase I final reports will not be reviewed as part of the Phase II evaluation process. The Phase II proposal should include a concise summary of the Phase I effort including the specific technical problem or opportunity addressed and its importance, the objective of the Phase I effort, the type of research conducted, findings or results of this research, and technical feasibility of the proposed technology.

Due to limited funding, DLA reserves the right to limit awards under any topic and only proposals considered to be of superior quality will be funded.

Phase II Proposals should anticipate a combination of any or all the following deliverables:

- Plan of Action and Milestones (POAM) with sufficient detail for monthly project tracking
- Initial Project Summary: one-page, unclassified, non-sensitive, and non-proprietary summation of the project problem statement and intended benefits (must be suitable for public viewing)
- Monthly Status Report. A format will be provided at the PAC.
- Meeting schedule to be determined by the Technical Point of Contact (TPOC) and PM at the PAC
- Phase II awardees expect Monthly (minimum) Project Reviews (format provided at the PAC)
- Draft Final Report including major accomplishments, commercialization strategy and transition plan and timeline.
- Final Report including major accomplishments, commercialization strategy, transition plan, and timeline.
- Final Project Summary (one-page, unclassified, non-sensitive and non-proprietary summation of project results, non-proprietary high-resolution photos, or graphics intended for public viewing)
- Applicable Patent documentation.
- Other Deliverables as defined in the Phase II Proposal.

### **XV. PHASE III GUIDELINES & INSTRUCTIONS**

Phase III is any proposal that “Derives From”, “Extends” or Completes a transition from a Phase I or II project. Phase III proposals will be accepted after the completion of Phase I and or Phase II projects.

There is no specific funding associated with Phase III, except Phase III is not allowed to use SBIR/STTR coded funding. Any other type of funding is allowed.

Phase III proposal Submission. Phase III proposals are emailed directly to DLASBIR2@dla.mil. The PMO team will set up evaluations and coordinate the funding and contracting actions depending on the outcome of the evaluations. A Phase III proposal should follow the same format as Phase II for the content, and format. There are, however, no limitations to the amount of funding requested, or the period of performance. All other guidelines apply. More specific Instructions may be available when a firm submits a Phase III proposal.

# VERSION 2

## DLA 21.3 SBIR Phase I Topic Index

DLA213-001	Engaging the Manufacturing Industrial Base in Support of DLA's Critical Supply Chains
DLA213-002	Development and Qualification of Domestically Sintered Neodymium Iron Boron (NdFeb) Magnets for Weapons Platforms
DLA213-003	Tungsten 3% Rhenium wire manufacturing

## VERSION 2

DLA213-001 TITLE: Engaging the Manufacturing Industrial Base in Support of DLA's Critical Supply Chains

RT&L FOCUS AREA(S): Nuclear; General Warfighting Requirements (GWR)

TECHNOLOGY AREA(S): Ground Sea; Nuclear; Weapons; Materials; Air Platform

The technology within this topic is restricted under the International Traffic in Arms Regulation (ITAR), 22 CFR Parts 120-130, which controls the export and import of defense-related material and services, including export of sensitive technical data, or the Export Administration Regulation (EAR), 15 CFR Parts 730-774, which controls dual use items. Offerors must disclose any proposed use of foreign nationals (FNs), their country of origin, the type of visa or work permit possessed, and the statement of work (SOW) tasks intended for accomplishment by the FN(s) in accordance with section 3.5 of the Announcement. Offerors are advised foreign nationals proposed to perform on this topic may be restricted due to the technical data under US Export Control Laws.

**OBJECTIVE:** Expand the Small Business Manufacturer (SBM) base to address the Agency's need to develop qualified sources of supply to improve DLA product availability, provide competition for reduced lead time and cost, as well as address lifecycle performance issues. Through participation in DLA SBIR, SBMs will have an opportunity to collaborate with DLA Weapons System Program Managers (WSPMs) and our customer Engineering Support Activities (ESAs) to develop innovative solutions to DLA's most critical supply chain requirements. In the end, the SBM benefits from the experience by qualifying as a source of supply as well as from the business relationships and experience to further expand their product lines and readiness to fulfill DLA procurement requirements.

**DESCRIPTION:** Competitive applicants will have reviewed the parts list provided on DLA Small Business Innovation Program (SBIP) site, (Reference 4) as well as the technical data in the cFolders of DLA DiBBs, (Reference 3). Proposals can evolve in one of four ways depending on the availability of technical data and NSNs for reverse engineering as follows. Information on competitive status, RPPOB, and tech data availability will be provided on the website, Reference

- a. Fully Competitive (AMC/AMSC-1G) NSNs where a full technical data package is available in cFolders. The SBM proposal should reflect timeline, statement of work and costs associated with the manufacturing and qualification of a representative article.
- b. Other than (AMC/AMSC-1G) NSNs where a full Technical Data Package (TDP) is available in cFolders. These items may also require a qualification of a Representative Article. The SBM proposal should reflect timeline, statement of work, and costs associated with producing a Source Approval Request (SAR) and (if applicable) qualification of a Representative Article. Contact the TPOC if necessary. The scope and procedures associated with development of a SAR package are provided in Reference 1.
- c. Repair Parts Purchase or Borrow (RPPOB) may be an option for other than 1G NSNs where partial or no technical data is available in cFolders. NSNs, if available, may be procured or borrowed through this program for the purposes of reverse engineering. The instructions for RPPOB can be found on the websites, Reference 5. The SBM proposal should reflect timeline, statement of work and costs associated

## VERSION 2

with the procuring the part and reverse engineering of the NSN. Depending on complexity, producing both the TDP and SAR package may be included in Phase I.

d. Reverse Engineering (RE) without RPPOB is when the NSN will be provided as Government Furnished Material (GFM) if available from the ESA or one of our Service customers. In this case, contact the TPOC to discuss the availability of the NSN prior to starting the proposal. The SBM proposal should reflect timeline, statement of work and costs associated with the reverse engineering of the NSN and depending on complexity producing a TDP and SAR package in Phase I.

Specific parts may require minor deviations in the process dependent on the Engineering Support Activity (ESA) preferences and requirements. Those deviations will be addressed post award.

### PROJECT DURATION and COST:

PHASE I: NTE 12 Months \$150K- Base NTE \$100K base 6 Months, Option 1 NTE \$50K base 6 Months. All work should be planned to be completed during the base period. The phase one period of performance should not to exceed 12 months total.

- The project schedule should plan to complete the TDP and SAR in the first six months.
- The use of options needs to be reserved for lead time for TDP and SAR approval and or representative article manufacturing and qualification only.

**Inclusion/approval of Options is not automatic.** Approval is solely at the discretion of the DLA SBIP Program Manager. The decision is based on Project Performance, Priorities of the Agency, and/or the availability of funding. **Our intent regarding options is to cover unforeseen testing requirements or circumstances that arise during the course of base execution.**

PHASE II: NTE 24 Months \$1.6M - 24 months,

The Phase II proposal is optional for the Phase I awardee. Phase II selections are based on Phase I performance, SBM innovation and engineering capability and the availability of appropriate requirements. Typically the goal of Phase II is to expand the number of NSNs and/or to build capability to expand capacity to better fulfill DLA requirements.

Participating small businesses must have an organic manufacturing capability and a Commercial and Government Entity (CAGE) code and be Joint Certification Program (JCP) certified in order to access technical data if available.

Refer to “link 2” below for further information on JCP certification. Additionally, small businesses will need to create a DLA’s Internet Bid Board System (DIBBS) account to view all data and requirements in C Folders.

Refer to “links 3 and 4” below for further information on DIBBS and C Folders. All available documents and drawings are located in the C Folder location “SBIR213C”. If the data is incomplete, or not available, the effort will require reverse engineering.

PHASE I: The goal of phase I is for the SBM to qualify as a source of supply for the DLA NSN(s) to improve DLA NSN availability, provide competition for reduced lead time and cost, and address lifecycle performance issues. In this phase, manufacturers will request TDP/SAR approval from the applicable Engineering Support Activity (ESA), if required, for the NSN(s). At the Post Award Conference, the

## VERSION 2

awardee will have the opportunity to collaborate with program, weapon system, and/or engineering experts on the technical execution and statement of work provided in their proposal. All Phase I Proposals should demonstrate an understanding of the NSN(s) and the general challenges involved in their manufacture. Proposals that fail to demonstrate knowledge of the part will be rejected.

PHASE II: The Phase II proposal is optional for the Phase I awardee. Phase II selections are based on Phase I performance, SBM innovation and engineering capability and the availability of appropriate requirements. Typically the goal of Phase II is to expand the number of NSNs and/or to build capability to expand capacity to better fulfill DLA requirements.

PHASE III DUAL USE APPLICATIONS: Phase III is any proposal that “Derives From”, “Extends” or Completes a transition from a Phase I or II project. Phase III proposals will be accepted after the completion of Phase I and or Phase II projects.

There is no specific funding associated with Phase III, except Phase III is not allowed to use SBIR/STTR coded funding. Any other type of funding is allowed.

Phase III proposal Submission. Phase III proposals are emailed directly to DLA [SBIR2@dla.mil](mailto:SBIR2@dla.mil). The PMO team will set up evaluations and coordinate the funding and contracting actions depending on the outcome of the evaluations. A Phase III proposal should follow the same format as Phase II for the content, and format. There are, however, no limitations to the amount of funding requested, or the period of performance. All other guidelines apply.

COMMERCIALIZATION: The SBM will pursue commercialization of the various technologies and processes developed in prior phases through participation in future DLA procurement actions on items identified but not limited to this BAA.

### REFERENCES:

1. DLA Aviation SAR Package instructions. DLA Small Business Resources: <http://www.dla.mil/Aviation/Business/IndustryResources/SBO.aspx>
2. JCP Certification: <https://public.logisticsinformationservice.dla.mil/PublicHome/jcp>
3. Access the web address for DIBBS at <https://www.dibbs.bsm.dla.mil>, then select the “Tech Data” Tab and Log into c-Folders. This requires an additional password. Filter for solicitation “SBIR213C”
4. DLA Small Business Innovation Programs web site: <http://www.dla.mil/SmallBusiness/SmallBusinessInnovationPrograms>
5. DLA Aviation Repair Parts Purchase or Borrow (RPPOB) Program: <https://www.dla.mil/Aviation/Offers/Services/AviationEngineering/Engineering/ValueEng.aspx>

KEYWORDS: Nuclear Enterprise Support (NESO), Source Approval, Reverse Engineering

## VERSION 2

DLA213-002 TITLE: Development and Qualification of Domestically Sintered Neodymium Iron Boron (NdFeB) Magnets for Weapons Platforms

RT&L FOCUS AREA(S): General Warfighting Requirements (GWR)

TECHNOLOGY AREA(S): Materials, Air Platform, Ground/Sea Vehicles, Materials/Processes, Weapons

The technology within this topic is restricted under the International Traffic in Arms Regulation (ITAR), 22 CFR Parts 120-130, which controls the export and import of defense-related material and services, including export of sensitive technical data, or the Export Administration Regulation (EAR), 15 CFR Parts 730-774, which controls dual use items. Offerors must disclose any proposed use of foreign nationals (FNs), their country(ies) of origin, the type of visa or work permit possessed, and the statement of work (SOW) tasks intended for accomplishment by the FN(s) in accordance with section 3.5 of the Announcement. Offerors are advised foreign nationals proposed to perform on this topic may be restricted due to the technical data under US Export Control Laws.

OBJECTIVE: The Defense Logistics Agency (DLA) strives to develop domestic sources for rare earth permanent magnets – a defense-essential technology that supports fielded weapon systems and system component assemblies – to reinforce domestic manufacturing capability and to mitigate risks associated with single, foreign sources. Advanced technology demonstrations for affordability and advanced industrial practices must demonstrate the combination of improved discrete-magnet manufacturing of various grades. Proposed efforts funded under this topic must result in unit cost reduction, improved lifecycle and performance and qualification. Further, proposed efforts must be judged to be at a Technology Readiness Level 6 or higher -- system/subsystem model or prototype demonstration in a relevant environment to receive funding consideration.

TRL 3. (Analytical and Experimental Critical Function and/or Characteristic Proof of Concept)

TRL 6. (System/Subsystem Model or Prototype Demonstration in a Relevant Environment)

DESCRIPTION: Many defense technologies contain rare earth permanent magnets including motors, missiles, and other weapons systems platforms; but domestic sources remain scarce, leaving the Defense supply chain vulnerable to foreign sourcing. Developing and qualifying economically viable domestic sources for rare earth magnets could help create a competitive and secure domestic supply chain with improved costs and performance. DLA R&D is looking for domestic production processes that can produce a qualified source of NdFeB magnets for use in defense platforms. The production process should be able to use domestically produced virgin or recycled Neodymium-Praseodymium (NdPr) powder as feedstock that can be sintered to meet Department of Defense magnet specifications for several different grades. DLA R&D tasks include demonstrating the production process, fabricating samples, and qualifying through an identified DoD Program of Record.

PROJECT DURATION and COST:

PHASE I: NTE 12 Months \$250K

PHASE II: NTE 24 Months \$1.6M

PHASE I: Phase I

## VERSION 2

The objective is to generate a US manufactured source of NdFeB magnets that meets or exceeds the current military specifications using all available historical and updated research and technologies; and design a cost effective manufacturing and qualification process adhering to all regulatory and manufacturing standards which can use domestic NdPr powder as a feedstock to meet the current supply demands to the military.

PHASE II: The Phase II proposal is optional for the Phase I awardee. DLA's expectation in Phase II is to complete the qualification process. Phase II selections are based on Phase I performance, Small Business innovation and engineering capability and the availability of appropriate requirements.

PHASE III DUAL USE APPLICATIONS: Phase III is any proposal that "Derives From", "Extends" or Completes a transition from a Phase I or II project. Phase III proposals will be accepted after the completion of Phase I and or Phase II projects.

There is no specific funding associated with Phase III, except Phase III is not allowed to use SBIR/STTR coded funding. Any other type of funding is allowed.

Phase III proposal Submission. Phase III proposals are emailed directly to DLA [SBIR2@dla.mil](mailto:SBIR2@dla.mil). The PMO team will set up evaluations and coordinate the funding and contracting actions depending on the outcome of the evaluations. A Phase III proposal should follow the same format as Phase II for the content, and format. There are, however, no limitations to the amount of funding requested, or the period of performance. All other guidelines apply.

COMMERCIALIZATION: The SBM will pursue commercialization of the various technologies and processes developed in prior phases through participation in future DLA procurement actions on items identified but not limited to this BAA.

### REFERENCES:

1. <https://www.dodmantech.com/>
2. 2015 Strategic and Critical Materials Report on Stockpile Requirements
3. National Defense Authorization Act For Fiscal Year 2014

KEYWORDS: NdFeB Magnets



## VERSION 2

DLA213-003 TITLE: Tungsten 3% Rhenium wire manufacturing

RT&L FOCUS AREA(S): General Warfighting Requirements (GWR)

TECHNOLOGY AREA(S): Materials/Processes

The technology within this topic is restricted under the International Traffic in Arms Regulation (ITAR), 22 CFR Parts 120-130, which controls the export and import of defense-related material and services, including export of sensitive technical data, or the Export Administration Regulation (EAR), 15 CFR Parts 730-774, which controls dual use items. Offerors must disclose any proposed use of foreign nationals (FNs), their country(ies) of origin, the type of visa or work permit possessed, and the statement of work (SOW) tasks intended for accomplishment by the FN(s) in accordance with section 3.5 of the Announcement. Offerors are advised foreign nationals proposed to perform on this topic may be restricted due to the technical data under US Export Control Laws.

OBJECTIVE: Develop tungsten 3% rhenium wire manufacturing capability using existing feedstock owned by DLA.

DESCRIPTION: The Defense Logistics Agency (DLA) is looking for a domestic capability to manufacture tungsten 3% rhenium wire. Global Tungsten and Powders (GTP), a subsidiary of the Plansee Group, discontinued the manufacture of its tungsten and rhenium wire products in February 2013. Specifically, tungsten 3% rhenium wire is used in multiple vacuum electronic devices (VEDs) that support Department of Defense requirements. Traveling wave tubes (TWTs) make up the largest population of VEDs that use tungsten 3% rhenium wire. TWTs are used as RF amplifiers in radar, electronic warfare, communications, and other military systems. A Title III program was initiated in late 2013 with the goal of establishing a new US source to replace GTP as a tungsten 3% rhenium wire supplier. As of the end of fiscal year 2021, this program has been unsuccessful achieving the end goal of creating split free tungsten rhenium wire in the sizes required to meet all DoD applications. During the time the program was in operation GTP manufactured tungsten rhenium wire ingots to be used as feedstock for the tungsten rhenium wire manufacturing process. The Defense Logistics Agency owns a significant amount of this feedstock. DLA is looking to execute an SBIR program to attempt to analyze a way forward in supporting the manufacturing of tungsten 3% rhenium wire in the United States.

PROJECT DURATION and COST:

PHASE I: NTE 6 Months \$100K

PHASE II: NTE 24 Months \$1.6M

PHASE I: The research and development goals of Phase I are to provide eligible Small Business firms the opportunity to successfully demonstrate the viability of manufacturing tungsten 3% rhenium wire from feedstock ingots manufactured by GTP and provided as government furnished material (GFM) once the project is awarded. The vendor will analyze the provided ingot and develop plans and processes to use this ingot as starting material for manufacturing process. The main effort will be to conduct preliminary studies to propose details of manufacture of tungsten 3% wire, showing feasibility and benefit to the Department of Defense. A plan to demonstrate the manufacture of tungsten 3% rhenium wire and address implementation approaches for near term insertion into Department of Defense (DoD) systems, subsystems, components, or parts will be included in the Phase I effort. Relationships with potential

## VERSION 2

customers and systems integrators will be established to aid in component identification, guide design efforts, and support the impact and insertion analyses. The deliverables for this project will include a final report describing the results from these analyses.

PHASE II: Based on the results of PHASE I, the research and development goals of PHASE II will demonstrate commercial viability by successfully producing multiple diameters of tungsten 3% rhenium wire. Tasks to be accomplished include process design, development of wire drawing schedules to manage the manufacturing process and meet the wire specifications provided by the VED industrial base. These processes will be used to produce the target wire sizes. Sufficient validation trials will be conducted to support analyses of manufacturing at commercial scale, including cost, cycle time and commercial benefit of the innovation. Remaining technical gaps will be identified. Manufactured wire shall be used for eddy current testing. Innovative processes should be developed with the intent to readily transition to production in support of DoD needs. A partnership with a current or potential DoD supplier, OEM, or another suitable partner is highly desirable.

Phase III: Phase III is any proposal that “Derives From”, “Extends” or Completes a transition from a Phase I or II project. Phase III proposals will be accepted after the completion of Phase I and or Phase II projects. There is no specific funding associated with Phase III, except Phase III is not allowed to use SBIR/STTR coded funding. Any other type of funding is allowed.

Dual Use Applications: Progress documented from PHASE I and PHASE II should result in a vendor’s qualification as an approved source for tungsten 3% rhenium wire manufacturing for civil or commercial applications, enabling participation in future procurements.

Phase III proposal Submission. Phase III proposals are emailed directly to DLA SBIR2@dla.mil. The PMO team will set up evaluations and coordinate the funding and contracting actions depending on the outcome of the evaluations. A Phase III proposal should follow the same format as Phase II for the content, and format. There are, however, no limitations to the amount of funding requested, or the period of performance. All other guidelines apply.

COMMERCIALIZATION: The vendor will pursue commercialization of the tungsten 3% rhenium wire developed in prior phases, as well as potential commercial sales of any parts or other items.

### REFERENCES:

1. <https://www.dodmantech.com/>
2. 2015 Strategic and Critical Materials Report on Stockpile Requirements
3. National Defense Authorization Act For Fiscal Year 2014