

**Defense Logistics Agency (DLA)**  
**23.3 Small Business Innovation Research (SBIR)**  
**Proposal Submission Instructions**

**INTRODUCTION**

The Defense Logistics Agency's (DLA) mission has three 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 & ASSURANCE** 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.

Proposers responding to a topic in this Broad Agency Announcement (BAA) must follow all general instructions provided in the Department of Defense (DoD) SBIR Program BAA. DLA requirements in addition to or deviating from the DoD Program BAA are provided in the instructions below.

**Proposers are encouraged to thoroughly review the DoD Program BAA and register for the DSIP Listserv to remain apprised of important programmatic and contractual changes.**

- The DoD Program BAA is located at: <https://www.defensesbirsttr.mil/SBIR-STTR/Opportunities/#announcements>. Be sure to select the tab for the appropriate BAA cycle.
- Register for the DSIP Listserv at: <https://www.dodsbirsttr.mil/submissions/login>.

Specific questions pertaining to the administration of the DLA Program and these proposal preparation instructions should be directed to:

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

This release contains an open topic. As outlined in section 7 of the SBIR and STTR Extension Act of 2022, innovation open topic activities—

- (A) Increase the transition of commercial technology to the Department of Defense;
- (B) Expand the small business nontraditional industrial base;
- (C) Increase commercialization derived from investments of the Department of Defense; and
- (D) Expand the ability for qualifying small business concerns to propose technology solutions to meet the needs of the Department of Defense.

Unlike conventional topics, which specify the desired technical objective and output, open topics can use generalized mission requirements or specific technology areas to adapt commercial products or solutions to close capability gaps, improve performance, or provide technological advancements in existing capabilities.

**A small business concern may only submit one (1) proposal to each open topic.** If more than one proposal from a small business concern is received for a single open topic, only the most recent proposal

to be certified and submitted prior to the submission deadline will receive an evaluation. All prior proposals submitted by the small business concern for the same open topic will be marked as nonresponsive and will not receive an evaluation.

## **PHASE I PROPOSAL GUIDELINES**

The Defense SBIR/STTR Innovation Portal (DSIP) is the official portal for DoD SBIR/STTR proposal submission. Proposers are required to submit proposals via DSIP; proposals submitted by any other means will be disregarded. Detailed instructions regarding registration and proposal submission via DSIP are provided in the DoD SBIR Program BAA. <https://www.dodsbirsttr.mil/submissions/login>

### **Technical Volume (Volume 2)**

DLA's objective for the Phase I effort is to determine the merit and technical feasibility of the concept. The technical volume is not to exceed 20 pages and must follow the formatting requirements provided in the DoD SBIR Program BAA. 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 Volume limit. Any technical data/information that should be in the Volume 2 but is contained in other Volumes will not be considered.

### **Content of the Technical Volume**

Refer to the instructions provided in the DoD Program BAA.

### **Cost Volume (Volume 3)**

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. Refer to the topic for cost and duration structure. Proposers must utilize the excel cost volume provided during proposal submission on DSIP.

Please review the updated Percentage of Work (POW) calculation details included in section 5.3 of the DoD Program BAA. DLA will occasionally accept deviations from the POW requirements with written approval from the Funding Agreement officer.

### **Company Commercialization Report (CCR) (Volume 4)**

Completion of the CCR as Volume 4 of the proposal submission in DSIP is required. Please refer to the DoD Program BAA for full details on this requirement. Information contained in the CCR will be considered by DLA during proposal evaluations.

### **Supporting Documents (Volume 5)**

Volume 5 is provided for proposers to submit additional documentation to support the Coversheet (Volume 1), Technical Volume (Volume 2), and the Cost Volume (Volume 3).

All proposing small business concerns are **REQUIRED** to submit the following documents to Volume 5:

1. Contractor Certification Regarding Provision of Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment
2. Disclosures of Foreign Affiliations or Relationships to Foreign Countries
3. Disclosure of Funding Sources

Please refer to the DoD Program BAA for more information.

Additional DLA-specific supporting documents:

- Optional, A qualified letter of support is from a relevant commercial or government agency procuring organization(s) working with DLA, articulating their support 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.

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 Post Award Conference (PAC).
- The Technical Point of Contact (TPOC) and the Program Manager (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).

## **PHASE II PROPOSAL GUIDELINES**

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 Program Management Office (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, the Scientific & Technical Merit, Feasibility, and Commercial Potential of the Phase II proposal; Phase I final reports may 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.

### **DISCRETIONARY TECHNICAL AND BUSINESS ASSISTANCE (TABA)**

DLA is not authorizing TABA at this time.

### **EVALUATION AND SELECTION**

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

Only government personnel with active non-disclosure agreements will officially 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 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.

All proposals will be evaluated in accordance with the evaluation criteria listed in the DoD SBIR Program BAA. 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.
- Only proposals considered to be “Highly Acceptable” as determined by DLA will be funded.

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 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 60 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.

- 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.

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.

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.

## **AWARD AND CONTRACT INFORMATION**

Typically, the contract period of performance for Phase I should be up to 12 months and the award should not exceed \$100,000. However, each topic may have a different threshold. The DLA Contracting Office utilizes a Firm Fixed Price (FFP) Contract for DLA Phase I Projects

The expected budget for Phase II should not exceed \$1,000,000 unless approved by the DLA Program Manager, and the duration should not exceed 24 Months. Proposals in excess of \$1,000,000 will not be considered without written PM approval. The DLA Contracting Office utilizes a Firm Fixed Price Level of Effort (FFP/LOE) Contract for DLA Phase II Projects.

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 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 (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.
- 5) DFARS Clause 252.223-7999 Ensuring Adequate COVID-19 Safety Protocols for Federal Contractors.

## **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.

## **ADDITIONAL INFORMATION**

### **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.

All attachments sent via email require encryption. The firm will have to purchase External Certificate Authority (ECA) certificates to send and receive encrypted email if they do not have a Common Access Card (CAC) or Personal Identity Verification (PIV) issued. The cost is approximately \$100 per year per user. This will be a Cybersecurity Maturity Model Certification CMMC requirement for all future contracts.

## **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.



- (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.

### **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.

## **DLA SBIR 23.3 Phase I Topic Index**

|             |   |
|-------------|---|
| DLA233-P001 | Phase I Open Call for SMALL BUSINESS CLOSING SUPPLY CHAIN GAPS FOR AGING WEAPON SYSTEMS                 |
| DLA233-002  | Engaging the Aerospace Bearing Manufacturing Industrial Base in Support of DLA's Critical Supply Chains |
| DLA233-003  | Production of Battery Grade Graphite Flakes   |

DLA233-P001 TITLE: Phase I Open Call for SMALL BUSINESS CLOSING SUPPLY CHAIN GAPS FOR AGING WEAPON SYSTEMS

OUSD (R&E) CRITICAL TECHNOLOGY AREA(S): Nuclear, Mission Readiness & Disaster Preparedness

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 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: To expand and develop new Small Business Manufacturer (SBM) industrial base partners to grow participation in support of manufacturing parts managed by DLA and the Services for Aging Weapon Systems in support of DLA's mission described in Ref. 1.

DESCRIPTION: DLA SBIR Program has a legacy of success in the advancement of critical manufacturing technologies that support our national security, along with a growing small business manufacturing network that fortify DLA supply chains. These efforts together with our Service partners are helping the DLA to build a resilient SBM base to reduce the acquisition and supportability costs of defense weapons systems, reduce manufacturing and repair cycle times across the life cycles of such systems, and transition manufacturing research and development processes into production. Competitive proposals should originate from small business manufacturing firms and include their process for manufacturing a National Stock Number (NSN) or component for specific weapon platform. Proposals with software or integrated manufacturing solutions will not be evaluated.

Projects of this open topic can develop in several ways:

- a) SBMs can identify NSNs on the DLA Internet Bid Board System (DIBBS). More details are available at Ref. 2. JCP Certification required as described in Ref. 3.
- b) SBMs can identify NSNs through partnerships with the Air Force, Navy, Army or Marine Corps or Original Equipment Manufacturer (OEM).
- c) SBMs can propose advanced manufacturing methods for existing NSNs to improve cost, reduce lead time and/or improve quality.

None of these projects can proceed without appropriate sponsorship from the DLA or one of the military Services. Identify specific partnerships and points of contact to strengthen your proposal. A specific NSN must be identified to participate in the open topic through independent SBM research. NSN's will not be provided. The Offeror must fully understand the path to becoming an approved source for the proposed NSN and describe it in their proposal.

PROJECT DURATION and COST:

PHASE I: Not to exceed a duration of 6 months and cost of \$50,000.

PHASE II: Not to exceed a duration of 24 Months and cost of \$1,000,000.

DLA intends to make 4 awards against this topic. **A small business concern may only submit one (1) proposal to this open topic.** If more than one proposal from a small business concern is received for this open topic, only the most recent proposal to be certified and submitted prior to the submission deadline

will receive an evaluation. All prior proposals submitted by the small business concern for this open topic will be marked as nonresponsive and will not receive an evaluation.

**PHASE I:** The project schedule should plan to perform all tasks necessary to become an approved source including but not limited to completing the TDP if applicable and/or Source Approval Request (SAR) within the period of performance.

The goal of phase I is for the SBM to develop the appropriate documentation to qualify as a source of supply for a DLA managed NSN which will demonstrate their capability to be added to a list of DLA SBIR SBM network. In this phase, manufacturers will submit a Technical Data Package and/or Source Approval Request via DLA to the applicable Engineering Support Activity (ESA), as required, for approval. The benefit to the SBM for qualifying for DLA's SBM network is eligibility for non-competitive SBIR Phase II awards and DLA NSN procurements.

All Phase I Proposals should demonstrate an understanding of the NSN and the general challenges involved in their manufacture. Proposals that fail to demonstrate knowledge of the NSN will be rejected. JCP Certification is required to access Government drawings and data. Please see reference 2. A review of references 4, 5, and 6 is highly recommended.

**PHASE II:** Typically, Phase II advances the project into production when representative articles are required to support validation and/or testing for source approval. Secondly, if a complete solution is not apparent by the end a Phase I, additional research may be required and funded in Phase II. Finally, in some cases the path to Low-Rate Initial Production may require funding for pre-production, test equipment and/or test services. The goal being to transition the NSN to a program or record as an approved manufacturing source.

**PHASE III DUAL USE APPLICATIONS:** A successful Phase III is an award(s) from DLA or the Services for the NSN proposed.

**PHASE III DUAL USE APPLICATIONS:** This NSN or related technology and manufacturing processes developed under this award could be used in a broad range of military and commercial applications.

**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 Strategic Plan 2021-2026: <https://www.dla.mil/Info/Strategic-Plan/>
1. Access the web address for DIBBS at <https://www.dibbs.bsm.dla.mil>, then select the "Tech Data" Tab and Log into c-Folders.
2. JCP Certification: <https://www.dla.mil/Logistics-Operations/Services/JCP/>
3. DLA Aviation SAR Package instructions. DLA Small Business Resources: <http://www.dla.mil/Aviation/Business/IndustryResources/SBO.aspx>
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:** Manufacturing, National Stock Number, Commercialization, Weapon System, Reverse Engineering, Technical Data Package

DLA233-002      TITLE: Engaging the Aerospace Bearing Manufacturing Industrial Base in Support of DLA's Critical Supply Chains

OUSD (R&E) CRITICAL TECHNOLOGY AREA(S): Nuclear, Mission Readiness & Disaster Preparedness

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 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 for aerospace bearing applications 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 must have the manufacturing capability to produce ball bearings and roller bearings for aerospace applications along with appropriate quality credentials (AS9100, Nadcap, ISO 9001). We are not looking for engineering firms, distributors, or system integrators. In addition, the manufacturer will have reviewed the parts list provided on DLA Small Business Innovation Program (SBIP) website, (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 DLA SBIP website, (Reference 4).

- 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) or Surplus 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 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 or Surplus available is when the NSN will be provided as Government Furnished Material (GFM) if available from the ESA or one of our Service customers

post award. In this case, contact the TPOC to discuss the availability of the NSN prior to starting the proposal.

Typically, a competitive SBM will have relevant experience in producing a similar item which will enable them to propose without a representative article. 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.

PHASE I: Not to exceed a duration of 12 Months and cost of \$100,000. The project schedule should plan to complete the TDP and SAR in the first six months.

The goal of phase I is for the Small Business Manufacturer 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), as required, for the NSN(s). At the Post Award Conference, the 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. JCP Certification is required to access Government Drawings and Data. Please see reference 2.

PHASE II: The Phase II proposal is optional for the Phase I awardee. Phase II selections are based on Phase I performance, Small Business Manufacturer innovation, engineering and manufacturing capability and the availability of appropriate requirements and funding. 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 II: Not to exceed a duration of 24 Months and cost of \$1,000,000.

The Phase II proposal is optional for the Phase I awardee. Phase II selections are based on Phase I performance, Small Business Manufacturer 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 "SBIR233C". If the data is incomplete, or not available, the effort will require reverse engineering.

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. 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://www.dla.mil/Logistics-Operations/Services/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 “SBIR233001”
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

DLA233-003      TITLE: Production of Battery Grade Graphite Flakes

OUSD (R&E) CRITICAL TECHNOLOGY AREA(S): Advanced Materials

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 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) seeks to provide responsive, best value supplies of related materials consistently to our Department of Defense (DoD) customers and other DoD stakeholders. DLA continually investigates diverse technologies for new or improved materials, more efficient means of their production, and more competitive domestic supply chains which would lead to higher levels of innovation in current and future systems combined with benefits to other commercial and government technology applications. In an effort to reduce costly foreign reliance and/or single points of failure, DLA is looking for domestic production of battery-grade graphite. The end goal of the project would be for the development of a domestic source that would produce industrial quantities of material with a fully domestic or friendly supply chain. New and novel ideas that would allow for competitive pricing with imported graphite and/or novel feedstocks will have preference. Ideally, the production process would be modular and scalable.

Advanced technology demonstrations for increasing production capacity, affordability and supply chain resiliency for critical materials and processing are of high interest to DoD. These areas of materials and manufacturing technology provide potential opportunities toward achieving breakthrough advances for national defense. Proposed efforts funded under this topic may encompass diverse feedstock and processing at any level that will result in increasing production capacity, affordability, and supply chain resiliency.

Research and Development (R&D) efforts selected under this topic shall demonstrate and involve a degree of risk where the technical feasibility of the proposed work has not been fully established. Further, proposed efforts must be judged to be at a Technology and/or Manufacturing Readiness Level (TRL/MRL) 6 or less, but greater than TRL/MRL 3 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:** The Department Of Defense (DoD) has a need for robust battery-grade graphite supply chain to support operational requirements. To this end DLA is looking for domestic capabilities and capacity to produce graphite with purity (>99.95%) and properties appropriate for advanced battery manufacturing. Novel techniques that increase the domestic availability of technology for supply chain resiliency of strategic materials will have preference. Both natural and synthetic processing methods are of interest. A desire for the process to use friendly sources of feed materials is preferred but not required. The ideal production process will be both modular and easily scalable.

**PROJECT DURATION and COST:**

PHASE I: Not to exceed a duration of 6 months and cost of \$100,000.

PHASE II: Not to exceed a duration of 18 months and cost of \$1,000,000.



PHASE I: Phase I will consist of a full process flow including energy usage and waste generation. Then a lab-scale process should be used to confirm the estimates and provide preliminary cost and pricing data. A preliminary economic review must be carried out evaluating the cost vs. currently available products as well as determining the cost of production when using North American precursors to the greatest extent practical. Collaboration with a relevant DoD Component organization (e.g., DoD lab and/or defense system program office) and one or more relevant DoD weapon system supply chain participants or other suitable organization is highly desirable.

PHASE II: Phase II will consist of making a pilot/ low-rate production plant. Material produced will be characterized for purity, density, shape, etc. Two (2) or more sources of raw materials will be identified and tested in this process. Pricing and cost information will be validated. A business case will be generated using both DoD and commercial markets. Collaboration with a relevant DoD Component organization (e.g., DoD lab and/or defense system program office) and one or more relevant DoD weapon system supply chain participants or other suitable organization is highly desirable.

Identify commercial benefit or application opportunities of the innovation. Innovative processes should be developed with the intent to readily transition to production in support of DoD and its supply chains.

PHASE III DUAL USE APPLICATIONS: At this point, no specific funding is associated with Phase III. Progress in Phase I and Phase II should result in the ability to produce to DoD orders and organic growth of business from there.

#### REFERENCES:

1. Olsen, D. (2022). Mineral Commodity Summaries 2022 - Graphite. United States Geological Survey
2. Zhang, J., Liang, C., Dunn, J. (2023) Graphite Flows in the U.S.: Insights into a Key Ingredient of Energy Transition. Environ. Sci. Technol. 2023, 57, 8, 3402-3414

KEYWORDS: battery-grade graphite, flake graphite, spherical graphite (SPG), natural graphite, synthetic graphite, advanced battery technology, Li-ion battery