U.S. Department of Health and Human Services
National Institutes of Health

National Institute of Allergy and Infectious Diseases (NIAID)

RFP-NIH-NIAID-DMID-07-17
Tuberculosis Research Unit (TBRU)

OMB Control Number 0990-0115

1. **OFFERORS ARE RESPONSIBLE FOR ROUTINELY CHECKING THE FOLLOWING WEBSITE FOR ANY SOLICITATION AMENDMENTS. NO ADDITIONAL NOTIFICATION OF ANY AMENDMENTS WILL BE PROVIDED BY THIS OFFICE.** http://www.fedbizopps.gov/

2. **SECTION A – SOLICITATION/CONTRACT FORM -- PURCHASE AUTHORITY: FAR 1.602-1**
NOTE: The issuance of this solicitation does not commit the government to an award.

3. **Issue Date:**	4. **Due Date:** May 5, 2006 **Time:** 4:00 PM, EST	5. **Small Bus. Set-Aside:** [ ]Yes [x] No **8(a) Set-Aside:** [ ]Yes [x] No **NAICS: 541710** (See Part IV, Section L.)
January 6, 2006		

6. **Just In Time:** [x] No [ ] Yes (See Part IV, Section L.)	7. **Number of Awards:** [x] Only 1 Award [ ] Multiple Awards	8. **Technical Proposal Page Limits:** [ ] No [x] Yes **See Attachment 1, Packaging and Delivery of Proposal**

9. **Issued By:** Barbara A. Shadrick Contracting Officer Office of Acquisitions, DEA, NIH, NIAID 6700-B Rockledge Drive Room 3214, MSC 7612 Bethesda, MD 20892-7612	10. [x] **NIAID reserves the right to make awards without discussion.** 11. **Options:** **[x] No** **[ ] Yes** (See Part IV, Section L.)	12. **Period of Performance:** **March 1, 2007 through February 28, 2014**

13. **Primary Point of Contact:** **Name :** Kala Shankar **Phone:** 301- 402-6289 **Fax:** 301-480-4675 **E-Mail:** shankak@niaid.nih.gov	14. **Secondary Point of Contact:** **Name:** Barbara A. Shadrick **Phone:** 301-496-7288 **Fax:** 301-402-0972 **E-Mail:** bs92y@nih.gov	15. **Protest Officer:** Director, OA Address (see Block 9.)

16. **COLLECT CALLS WILL NOT BE ACCEPTED. FACSIMILE SUBMISSIONS ARE NOT ACCEPTABLE.**

17. Offers will be valid for 120 days unless a different period is specified by the Offeror on the form entitled "Proposal Summary and Data Record, NIH-2043" (See Part III, SECTION J – Attachments)

18. **DELIVERY ADDRESS INFORMATION**

19. **Hand Delivery or Overnight Service:** Kala Shankar Office of Acquisitions DEA, NIH, NIAID 6700-B Rockledge Drive, Room 3214 Bethesda, MD 20817	20. **U.S. Postal Service or an Express Delivery Service** Kala Shankar Office of Acquisitions DEA, NIH, NIAID 6700-B Rockledge Drive, Room 3214, MSC 7612 Bethesda, MD 20892-7612

21. The **Official Point of Receipt** for the purpose of determining timely delivery is the address provided in Block 19, above. The original paper copy with original signatures is the official copy for recording timely receipt. If the original paper copy of your proposal is not received by the Contracting Officer or Designee at the place and time specified, then it will be considered late and handled in accordance with FAR 15.208 entitled " Submission, Modification, Revision, and Withdrawal of Proposals." FACSIMILE and E-MAIL SUBMISSION OF PROPOSALS IS NOT ACCEPTABLE.

DETAILED TABLE OF RFP CONTENTS

PART I - THE SCHEDULE

THE CONTRACT SCHEDULE SET FORTH IN SECTIONS B THROUGH H, HEREIN, CONTAINS CONTRACTUAL INFORMATION PERTINENT TO THIS SOLICITATION. IT IS **NOT** AN EXACT REPRESENTATION OF THE PROPOSED CONTRACT DOCUMENT. CONTRACTUAL PROVISIONS PERTINENT TO THE OFFEROR (I.E., THOSE RELATING TO THE ORGANIZATIONAL STRUCTURE [E.G., NON-PROFIT, COMMERCIAL] AND SPECIFIC COST AUTHORIZATIONS UNIQUE TO THE OFFEROR'S PROPOSAL AND REQUIRING CONTRACTING OFFICER PRIOR APPROVAL) WILL BE DISCUSSED IN THE NEGOTIATION PROCESS AND WILL BE INCLUDED IN THE RESULTANT CONTRACT. HOWEVER, THE ENCLOSED CONTRACT SCHEDULE PROVIDES ALL THE NECESSARY INFORMATION FOR THE OFFEROR TO UNDERSTAND THE TERMS AND CONDITIONS OF THE RESULTANT CONTRACT.

SECTION B - SUPPLIES OR SERVICES AND PRICES/COSTS

ARTICLE B.1. BRIEF DESCRIPTION OF SUPPLIES OR SERVICES

This contract will support the Tuberculosis Research Unit (TBRU), a multi-disciplinary, multi-national consortium of investigators and institutions with expertise in the areas of epidemiology, microbiology, and immunity, to conduct clinical studies on host-pathogen interactions in tuberculosis (TB). The overall goal of the clinical studies to be carried out by the TBRU is to fill critical gaps in translational TB research and to provide tools needed to advance new health care interventions in TB endemic countries.

ARTICLE B.2. PRICES/COSTS

The final contract will contain the price/cost provisions agreed upon by the Government and the Offeror.

ARTICLE B.3. PROVISIONS APPLICABLE TO DIRECT COSTS

This article will prohibit or restrict the use of contract funds, unless otherwise approved by the Contracting Officer. The following is a list of items that may be included in the resultant contract as applicable. 1) Acquisition, by purchase or lease, of any interest in real property; 2) Special rearrangement or alteration of facilities; 3) Purchase or lease of any item of general purpose office furniture or office equipment regardless of dollar value; 4) Travel Costs; 5) Consultant Costs; 6) Subcontract Costs; 7) Patient Care Costs; 8) Accountable Government Property; and 9) Research Funding.

ARTICLE B.4. ADVANCE UNDERSTANDINGS

Specific elements of cost, which normally require prior written approval of the Contracting Officer before incurrence of the cost (e.g., foreign travel, consultant fees, subcontracts) will be included in this Article if the Contracting Officer has granted his/her approval prior to contract award.

SECTION C - DESCRIPTION/SPECIFICATIONS/WORK STATEMENT

ARTICLE C.1. STATEMENT OF WORK

a. Independently and not as an agent of the Government, the Contractor shall be required to furnish all the necessary services, qualified personnel, material, equipment, and facilities, not otherwise provided by the Government, as needed to perform the Statement of Work, dated January 6, 2006, attached hereto and made a part of this Solicitation. **(See Section J - List of Attachments, Attachment 4)**

ARTICLE C.2. REPORTING REQUIREMENTS

a. Reporting Requirements and Deliverables

In addition to the required reports set forth elsewhere in this Schedule, the preparation and submission of regularly recurring Technical Progress Reports will be required in any contract resulting from this solicitation. These reports will require descriptive information about the activities undertaken during the reporting period and will require information about planned activities for future reporting periods. **Please refer to Attachment 6, "Reporting Requirements and Deliverables" under this solicitation.**

SECTION D - PACKAGING, MARKING AND SHIPPING

All deliverables required under this contract shall be packaged, marked and shipped in accordance with Government specifications. At a minimum, all deliverables shall be marked with the contract number and contractor name. The Contractor shall guarantee that all required materials shall be delivered in immediate usable and acceptable condition.

SECTION E - INSPECTION AND ACCEPTANCE

a. The Contracting Officer or the duly authorized representative will perform inspection and acceptance of materials and services to be provided.

b. For the purpose of this SECTION, the Project Officer identified in Article G.1., is the authorized representative of the Contracting Officer.

c. Inspection and acceptance will be performed at, 6610 Rockledge Drive, MSC 7630, Bethesda, MD 20892-7630.

Acceptance may be presumed unless otherwise indicated in writing by the Contracting Officer or the duly authorized representative within 30 days of receipt.

d. This contract incorporates the following clause by reference, with the same force and effect as if it were given in full text. Upon request, the Contracting Officer will make its full text available.

FAR Clause **52.246-9, Inspection of Research and Development (Short Form)** (April 1984).

SECTION F - DELIVERIES OR PERFORMANCE

ARTICLE F.1. DELIVERIES

Satisfactory performance of the final contract shall be deemed to occur upon performance of the work described in Article C.1. and upon delivery and acceptance by the Contracting Officer, or the duly authorized representative, of the items in SECTION C, ARTICLE C.2. in accordance with the stated delivery schedule.

a. The items described in SECTION C, ARTICLE C.2. will be required to be delivered F.O.B. Destination as set forth in FAR Clause 52.247-35, F.O.B. Destination, Within Consignees Premises (April 1984), and in accordance with and by the dates specified in SECTION C, ARTICLE C.2. and any specification stated in SECTION D, PACKAGING, MARKING AND SHIPPING, of the contract.

ARTICLE F.2. CLAUSES INCORPORATED BY REFERENCE, FAR 52.252-2 (FEBRUARY 1998)

This contract incorporates the following clause by reference, with the same force and effect as if it were given in full text. Upon request, the Contracting Officer will make its full text available. Also, the full text of a clause may be accessed electronically at this address: http://www.arnet.gov/far/.

FEDERAL ACQUISITION REGULATION (48 CFR CHAPTER 1) CLAUSE:

52.242-15, Stop Work Order (August 1989) with **Alternate I** (April 1984).

SECTION G - CONTRACT ADMINISTRATION DATA

Any contract awarded from this RFP will contain the following:

ARTICLE G.1. PROJECT OFFICER

The following Project Officer(s) will represent the Government for the purpose of this contract:

[To be specified prior to award]

The Project Officer is responsible for: (1) monitoring the Contractor's technical progress, including the surveillance and assessment of performance and recommending to the Contracting Officer changes in requirements; (2) interpreting the statement of work and any other technical performance requirements; (3) performing technical evaluation as required; (4) performing technical inspections and acceptances required by this contract; and (5) assisting in the resolution of technical problems encountered during performance.

The Contracting Officer is the only person with authority to act as agent of the Government under this contract. Only the Contracting Officer has authority to: (1) direct or negotiate any changes in the statement of work; (2) modify or extend the period of performance; (3) change the delivery schedule; (4) authorize reimbursement to the Contractor any costs incurred during the performance of this contract; or (5) otherwise change any terms and conditions of this contract.

The Government may unilaterally change its Project Officer designation.

ARTICLE G.2. KEY PERSONNEL

The personnel specified in this contract are considered to be essential to the work to be performed hereunder. Prior to diverting any of the specified individuals to other programs, the Contractor shall notify the Contracting Officer reasonably in advance and shall submit justification (including proposed substitutions) in sufficient detail to permit evaluation of the impact on the program. No diversion shall be made by the Contractor without the written consent of the Contracting Officer; provided, that the Contracting Officer may ratify in writing such diversion and such ratification shall constitute the consent of the Contracting Officer required by this article. The contract may be amended from time to time during the course of the contract to either add or delete personnel, as appropriate.

The following individuals are considered to be essential to the work being performed hereunder:

NAME TITLE

[To be specified prior to award]

[NOTE: Below are Articles for invoice submission and financial reporting. The appropriate Articles will be selected and placed in any resultant contract based upon the type of organization that receives an award.]

ARTICLE G.3. INVOICE SUBMISSION/CONTRACT FINANCING REQUEST

a. Invoice/Financing Request Instructions for NIH Cost-Reimbursement Type Contracts NIH(RC)-1 are attached and made part of this contract. The instructions and the following directions for the submission of invoices/financing request must be followed to meet the requirements of a "proper" payment request pursuant to FAR 32.9.

(1) Invoices/financing requests shall be submitted as follows:

(a) To be considered a "proper" invoice in accordance with FAR 32.9, Prompt Payment, each invoice shall clearly identify the two contract numbers that appear on the face page of the contract as follows:

Contract No. (This is the 17 digit number that appears in Block 2 of the SF-26, i.e. HHSN266200611000C.)

ADB Contract No. (This is the 10 digit number that appears in the upper left hand corner of the SF-26, i.e. N01-AI-41234.)

(b) An original and two copies to the following designated billing office:

Contracting Officer
National Institutes of Health, NIAID
DEA, Office of Acquisitions
6700-B Rockledge Drive, Room 3214, MSC 7612
BETHESDA, MD 20892-7612

(2) Inquiries regarding payment of invoices should be directed to the designated billing office, (301) 496-0612.

b. The Contractor shall include the following certification on every invoice for reimbursable costs incurred with Fiscal Year funds subject to the salary rate limitation provisions as specified in SECTION H of this contract. For billing purposes, certified invoices are required for the billing period during which the applicable Fiscal Year funds were initially charged through the final billing period utilizing the applicable Fiscal Year funds:

"I hereby certify that the salaries charged in this invoice are in compliance with the applicable Public Law Number for the applicable Fiscal Year as stated in SECTION H. of the above referenced contract."

- OR -

ARTICLE G.3. INVOICE SUBMISSION/CONTRACT FINANCING REQUEST AND CONTRACT FINANCIAL REPORT

a. Invoice/Financing Request Instructions and Contract Financial Reporting for NIH Cost-Reimbursement Type Contracts NIH(RC)-4 are attached and made part of this contract. The instructions and the following directions for the submission of invoices/financing request must be followed to meet the requirements of a "proper" payment request pursuant to FAR 32.9.

These instructions also provide for the submission of financial and personnel reporting required by HHSAR 342.7002.

(1) Invoices/financing requests shall be submitted as follows:

(a) To be considered a "proper" invoice in accordance with FAR 32.9, Prompt Payment, each invoice shall clearly identify the two contract numbers that appear on the face page of the contract as follows:

Contract No. (This is the 17 digit number that appears in Block 2 of the SF-26, i.e. HHSN266200611000C.)

ADB Contract No. (This is the 10 digit number that appears in the upper left hand corner of the SF-26, i.e. N01-AI-41234.)

(b) An original and two copies to the following designated billing office:

Contracting Officer
National Institutes of Health, NIAID
DEA, Office of Acquisitions
6700-B Rockledge Drive, Room 3214, MSC 7612
BETHESDA, MD 20892-7612

(2) Inquiries regarding payment of invoices should be directed to the designated billing office, (301) 496-0612.

b. The Contractor shall include the following certification on every invoice for reimbursable costs incurred with Fiscal Year funds subject to the salary rate limitation provisions as specified in SECTION H of this contract. For billing purposes, certified invoices are required for the billing period during which the applicable Fiscal Year funds were initially charged through the final billing period utilizing the applicable Fiscal Year funds:

"I hereby certify that the salaries charged in this invoice are in compliance with the applicable Public Law Number for the applicable Fiscal Year as stated in SECTION H. of the above referenced contract."

- OR -

ARTICLE G.3. LETTER OF CREDIT PAYMENT INFORMATION

a. Advance payments will be provided under Letter of Credit Number _____ in accordance with Alternate V, Advance Payments Without Special Bank Account, of FAR Clause 52.232-12, Advance Payments. This clause is provided in full text in Article I.4. of this contract.

The contractor shall withdraw funds pursuant to Department of Treasury Circular 1075 (31 CFR Part 205, http://www.access.gpo.gov/nara/cfr/waisidx_00/31cfr205_00.html).

(1) Invoice/Financing Request Instructions for NIH Cost-Reimbursement Type Contracts, NIH(RC)-1, are attached and made a part of this contract for the submission of completion and/or final invoices. The invoice instructions and the following directions for the submission of invoices/financing requests must be followed to meet the requirements of a "proper" invoice, pursuant to FAR 32.9. The completion and/or final invoice shall be submitted as follows:

An original and two copies to the following office:

Contracting Officer
National Institutes of Health, NIAID
DEA, Office of Acquisitions
6700-B Rockledge Drive, Room 3214, MSC 7612
BETHESDA, MD 20892-7612

(2) Inquiries regarding payments should be directed to the following office administering advance payments:

Division of Payment Management
11400 Rockville Pike
Rockwall Building #1, Suite 700
Rockville, MD 20852
(http://www.dpm.psc.gov/ under Contacts)

b. The Contractor shall include the following certification on every invoice for reimbursable costs incurred with Fiscal Year funds subject to the salary rate limitation provisions as specified in SECTION H of this contract. For billing purposes, certified invoices are required for the billing period during which the applicable Fiscal Year funds were initially charged through the final billing period utilizing the applicable Fiscal Year funds:

> "I hereby certify that the salaries charged in this invoice are in compliance with the applicable Public Law Number for the applicable Fiscal Year as stated in SECTION H. of the above referenced contract."

ARTICLE G.4. CONTRACT FINANCIAL REPORT

a. Financial reports on the attached Form NIH 2706, Financial Report of Individual Project/Contract, shall be submitted by the Contractor in accordance with the Instructions for Completing Form NIH 2706, which accompany the form, in an original and two copies, not later than the 30th working day after the close of the reporting period. The line entries for subdivisions of work and elements of cost (expenditure categories) which shall be reported within the total contract are listed in paragraph e., below. Subsequent changes and/or additions in the line entries shall be made in writing.

b. Unless otherwise stated in that part of the Instructions for Completing Form NIH 2706, entitled "**PREPARATION INSTRUCTIONS**," all columns A through J, shall be completed for each report submitted.

c. The first financial report shall cover the period consisting of the FIRST FULL THREE CALENDAR MONTHS following the effective date of the contract, in addition to any fractional part of the initial month. Thereafter, reports will be on a quarterly basis.

d. The Contracting Officer may require the Contractor to submit detailed support for costs contained in one or more interim financial reports. This clause does not supersede the record retention requirements in FAR Part 4.7.

e. The following is a listing of expenditure categories to be reported:

Expenditure Category A	**Percentage of Effort/Hours**
(1) Direct Labor	
(a) Principal Investigator	
(b) Co-Principal Investigator	
(c) Key Personnel	
(i)	
(ii)	
(iii)	
(2) Other Professional Personnel	
(3) Personnel - Other	
(4) Fringe Benefits	
(5) Accountable Personal Property	
(6) Materials/Supplies	

(7) Patient Care Costs

(8) Travel

(9) Consultant Costs

(10) Premium Pay

(11) Computer Costs

(12) Subcontract Costs

(13) Other Direct Costs

(14) Indirect Costs

(15) G&A Expense

(16) Total Cost

(17) Fee

(18) Total Cost Plus Fixed Fee

f. The Government may unilaterally revise the NIH 2706 to reflect the allotment of additional funds.

ARTICLE G.5. INDIRECT COST RATES

In accordance with Federal Acquisition Regulation (FAR) (48 CFR Chapter 1) Clause 52.216-7(d)(2), "Allowable Cost and Payment" incorporated by reference in this contract in Part II, Section I, the cognizant Contracting Officer representative responsible for negotiating provisional and/or final indirect cost rates is identified as follows:

Director, Division of Financial Advisory Services
Office of Contracts Management
National Institutes of Health
6100 Building, Room 6B05
6100 EXECUTIVE BLVD, MSC 7540
BETHESDA, MD 20892-7540

These rates are hereby incorporated without further action of the Contracting Officer.

ARTICLE G.6. GOVERNMENT PROPERTY

If this RFP will result in the acquisition or use of Government Property provided by the contracting agency or if the Contracting Officer authorizes in the preaward negotiation process, the acquisition of property (other than real property), this ARTICLE will include applicable provisions and incorporate the DHHS Publication (OS) 686, entitled, **Contractor's Guide for Control of Government Property**, (1990) which can be found at:
http://knownet.hhs.gov/log/AgencyPolicy/HHSLogPolicy/contractorsguide.htm

ARTICLE G.7. POST AWARD EVALUATION OF CONTRACTOR PERFORMANCE

a. Contractor Performance Evaluations

Interim and final evaluations of contractor performance will be prepared on this contract in accordance with FAR 42.15. The final performance evaluation will be prepared at the time of completion of work. In addition to the final evaluation, interim evaluations will be prepared following Year 1 and every other year thereafter (or more frequently as determined by the Contracting Officer) to coincide with the anniversary date of the contract.

Interim and final evaluations will be provided to the Contractor as soon as practicable after completion of the evaluation. The Contractor will be permitted thirty days to review the document and to submit additional information or a rebutting statement. If agreement cannot be reached between the parties, the matter will be referred to an individual one level above the Contracting Officer, whose decision will be final.

Copies of the evaluations, contractor responses, and review comments, if any, will be retained as part of the contract file, and may be used to support future award decisions.

b. Electronic Access to Contractor Performance Evaluations

Contractors that have Internet capability may access evaluations through a secure Web site for review and comment by completing the registration form that can be obtained at the following address:

http://oamp.od.nih.gov/OD/CPS/cps.asp

The registration process requires the contractor to identify an individual that will serve as a primary contact and who will be authorized access to the evaluation for review and comment. In addition, the contractor will be required to identify an alternate contact who will be responsible for notifying the cognizant contracting official in the event the primary contact is unavailable to process the evaluation within the required 30-day time frame.

SECTION H - SPECIAL CONTRACT REQUIREMENTS

ARTICLE H.1. HUMAN SUBJECTS

Research involving human subjects shall not be conducted under this contract until the protocol developed in Phase I has been approved by the Project Officer. Written notice of such approval shall be provided by the Contracting Officer, after the Contractor has provided to the Contracting Officer a properly completed "Protection of Human Subjects Assurance Identification/IRB Certification/Declaration of Exemption", Form OMB No. 0990-0263(formerly Optional Form 310), certifying IRB review and approval of the protocol. The human subject certification can be met by submission of the Contractor's self designated form, provided that it contains the information required by the "Protection of Human Subjects Assurance Identification/IRB Certification/Declaration of Exemption", Form OMB No. 0990-0263(formerly Optional Form 310).

ARTICLE H.2. REQUIRED EDUCATION IN THE PROTECTION OF HUMAN RESEARCH PARTICIPANTS

NIH policy requires education on the protection of human subject participants for all investigators receiving NIH contract awards for research involving human subjects. For a complete description of the NIH Policy announcement on required education in the protection of human subject participants, the contractor should access the NIH Guide for Grants and Contracts Announcement dated June 5, 2000 at the following website: http://grants.nih.gov/grants/guide/notice-files/NOT-OD-00-039.html. The information below is a summary of the NIH Policy Announcement:

The contractor shall maintain the following information: (1) a list of the names and titles of the principal investigator and any other individuals working under the contract who are responsible for the design and/or conduct of the research; (2) the title of the education program(s) in the protection of human subjects that has been coompleted for each named personnel and; (3) a one sentence description of the educational program(s) listed in (2) above. This requirement extends to investigators and all individuals responsible for the design and/or conduct of the research who are working as subcontractors or consultants under the contract.

Prior to any substitution of the Principal Investigator or any other individuals responsible for the design and/or conduct of the research under the contract, the contractor shall provide the following written information to the Contracting Officer: the title of the education program and a one sentence description of the program that has been completed by the replacement.

ARTICLE H.3. DATA AND SAFETY MONITORING IN CLINICAL TRIALS

The contractor is directed to the full text of the NIH Policy regarding Data and Safety Monitoring and Reporting of Adverse Events, which may be found at the following web sites:

http://grants.nih.gov/grants/guide/notice-files/not98-084.html
http://grants.nih.gov/grants/guide/notice-files/not99-107.html
http://grants.nih.gov/grants/guide/notice-files/NOT-OD-00-038.html

The contractor must comply with the NIH Policy cited in these NIH Announcements and any other data and safety monitoring requirements found elsewhere in this contract.

Data and Safety Monitoring shall be performed in accordance with the approved Data and Safety Monitoring Plan.

The Data and Safety Monitoring BOARD and PLAN shall be established and approved prior to beginning the conduct of the clinical trial.

ARTICLE H.4. HUMAN MATERIALS

The acquisition and supply of all human specimen material (including fetal material) used under this contract shall be obtained by the Contractor in full compliance with applicable State and Local laws and the provisions of the Uniform Anatomical Gift Act in the United States, and no undue inducements, monetary or otherwise, will be offered to any person to influence their donation of human material.

ARTICLE H.5. RESEARCH INVOLVING RECOMBINANT DNA MOLECULES (Including Human Gene Transfer Research)

All research involving Recombinant DNA Molecules shall be conducted in accordance with the NIH Guidelines for Research Involving Recombinant DNA Molecules (http://www4.od.nih.gov/oba/rac/guidelines/guidelines.html) and the May 28, 2002 Notice, Compliance with the NIH Guidelines for Research Involving Recombinant DNA Molecules (http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-02-052.html) (and any subsequent revisions to the Guide Notice) which stipulates biosafety and containment measures for recombinant DNA research and delineates critical, ethical principles and key safety reporting requirements for human gene transfer research (See Appendix M of the Guidelines). These guidelines apply to both basic and clinical research studies.

The Recombinant DNA Advisory Committee (RAC) is charged with the safety of manipulation of genetic material through the use of recombinant DNA techniques. Prior to beginning any clinical trials involving the transfer of recombinant DNA to humans, the trial must be registered with the RAC. If this contract involves new protocols that contain unique and/or novel issues, the RAC must discuss them in a public forum and then the Institutional Biosafety Committee (IBC), the Institutional Review Board (IRB), and the project officer and contracting officer must approve the protocol prior to the start of the research.

Failure to comply with these requirements may result in suspension, limitation, or termination of the contract for any work related to Recombinant DNA Research or a requirement for contracting officer prior approval of any or all Recombinant DNA projects under this contract. This includes the requirements of the Standing Institutional Biosafety Committee (IBC) (See http://www4.od.nih.gov/oba/IBC/IBCindexpg.htm).

As specified in Appendix M-1-C-4 of the NIH Guidelines, any serious adverse event must be reported immediately to the IRB, the IBC, the Office for Human Research Protections (if applicable), and the NIH Office for Biotechnology Activities (OBA), followed by the filing of a written report with each office/group and copies to the project officer and contracting officer.
(http://www4.od.nih.gov/oba/rac/guidelines_02/Appendix_M.htm#_Toc7255836).

ARTICLE H.6. CONTINUED BAN ON FUNDING OF HUMAN EMBRYO RESEARCH

a. Pursuant to Public Law(s) cited in paragraph b., below, NIH is prohibited from using appropriated funds to support human embryo research. Contract funds may not be used for (1) the creation of a human embryo or embryos for research purposes; or (2) research in which a human embryo or embryos are destroyed, discarded, or knowingly subjected to risk of injury or death greater than that allowed for research on fetuses in utero under 45 CFR 46.208(a)(2) and Section 498(b) of the Public Health Service Act (42 U.S.C. 289g(b)). The term "human embryo or embryos" includes any organism, not protected as a human subject under 45 CFR 46 as of the date of the enactment of this Act, that is derived by fertilization, parthenogenesis, cloning, or any other means from one or more human gametes or human diploid cells.

   Additionally, in accordance with a March 4, 1997 Presidential Memorandum, Federal funds may not be used for cloning of human beings.

b. **Public Law and Section No.** **Fiscal Year** **Period Covered**

[Applicable information to be included at award]

ARTICLE H.7. NEEDLE EXCHANGE

a. Pursuant to Public Law(s) cited in paragraph b., below, contract funds shall not be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

b. **Public Law and Section No.** **Fiscal Year** **Period Covered**

[Applicable information to be included at award]

ARTICLE H.8. PRIVACY ACT

This procurement action requires the Contractor to do one or more of the following: design, develop, or operate a system of records on individuals to accomplish an agency function in accordance with the Privacy Act of 1974, Public Law 93-579, December 31, 1974 (5 USC 552a) and applicable agency regulations. Violation of the Act may involve the imposition of criminal penalties.

The Privacy Act System of Records applicable to this project is Number 09-25-0200
(see http://oma.od.nih.gov/ms/privacy/pa-files/0200.htm).

ARTICLE H.9. ANIMAL WELFARE

All research involving live, vertebrate animals shall be conducted in accordance with the Public Health Service Policy on Humane Care and Use of Laboratory Animals. This policy may be accessed at:
http://grants1.nih.gov/grants/olaw/references/phspol.htm

ARTICLE H.10. INTRODUCTION OF RODENTS AND RODENT PRODUCTS

No rodent or rodent product shall be delivered into the NIH, NIAID environment (NIH) directly, or through collaborative research or holding facilities under contract to NIAID except by permit. Direct shipments to NIH from a Division of Veterinary Resources (DVR), Office of Research Services (ORS) approved source will be considered exempt. Non-exempt sources must be approved by permit issued through the DVR, ORS. The permit must be obtained by the Contractor prior to the shipment to NIH of the rodents and/or rodent products. The Contractor must be sure that this permit exists and is current before transferring rodents or rodent products into the NIH, NIAID environment. Refusal or negligence to do so will be considered a material breach of contract and may be treated as any other such material breach. Applications for permits should be submitted by facsimile not less than 30 days prior (60 days in situations where quarantine is likely) to shipping date to: NIH Division of Veterinary Resources (DVR), Office of Research Services (ORS), Building 14G, Service Rd. South, Room 102, BETHESDA MD 20892-5210, (301)496-2527, FAX: (301) 402-0352.

ARTICLE H.11. OMB CLEARANCE or CLINICAL EXEMPTION

In accordance with HHSAR 352.270-7, Paperwork Reduction Act, the Contractor shall not proceed with surveys or interviews until such time as Office of Management and Budget (OMB) Clearance or for conducting interviews has been obtained by the Project Officer and the Contracting Officer has issued written approval to proceed. In addition, in accordance with 5 CFR 1320.3(h)(5), this requirement may be eligible for a Clinical Exemption to OMB Clearance requirements subject to the approval of the NIH Clinical Exemption Review Committee (CERC). The clinical exemption must be obtained and written approval to proceed received from the Project Officer and Contracting Officer before data is collected under this contract or any subcontract.

ARTICLE H.12. SUBCONTRACTING PROVISIONS

a. Small Business Subcontracting Plan

(1) The Small Business Subcontracting Plan, **dated** _____ **is** attached hereto and made a part of this contract.

(2) The failure of any Contractor or subcontractor to comply in good faith with FAR Clause 52.219-8, entitled "Utilization of Small Business Concerns" incorporated in this contract and the attached Subcontracting Plan, will be a material breach of such contract or subcontract and subject to the remedies reserved to the Government under FAR Clause 52.219-16 entitled, "Liquidated Damages-Subcontracting Plan."

b. Subcontracting Reports

(1) **Subcontracting Report for Individual Contracts, SF-294**

The Contractor shall submit the original and one (1) copy of Subcontracting Report for Individual Contracts, SF-294 in accordance with the instructions on the report as referenced in Public Law 95-507, Section 211. In addition to the information contained in the General Instructions on the back of this form for Block 17, "Remarks," the Contractor shall provide an explanation **for any category** of small business subcontracting for which there were no dollars reported since the last reporting period.

Regardless of the effective date of this contract, the Report shall be submitted on the following dates for the entire life of this contract:

April 30th
October 30th

The Report shall be sent to the Contracting Officer at following address:

Contracting Officer
DHHS, NIH, NIAID
DEA, Office of Acquisitions
6700-B Rockledge Drive, Room 3214, MSC 7612
Bethesda, MD 20892-7612

(2) **Summary Subcontract Report, SF-295**

The Contractor shall submit two (2) copies of Summary Subcontract Report, SF-295 in accordance with the instructions on the report as referenced in Public Law 95-507, Section 211. Regardless of the effective date of this contract, the Summary Subcontract Report shall be submitted annually on the following date for the entire life of this contract:

October 30th

One copy of this report shall be sent to the Contracting Officer at the address above. One copy of this Report shall be mailed to the Office of Small and Disadvantaged Business Utilization, DHHS at the following addresses:

Office of Small and Disadvantaged Business Utilization
Department of Health and Human Services
Hubert H. Humphrey Bldg., Room 360G
200 Independence Avenue, S.W.
Washington, D.C. 20201

(3) The contractor shall also send an "Information Copy" of the SF-295 to the Cognizant Commercial Representative (CMR) at the address provided by the SBA. The Contractor should call SBA Headquarters in Washington, DC at (202) 690-7235, for the correct address if unknown.

ARTICLE H.13. SALARY RATE LIMITATION LEGISLATION PROVISIONS

[NOTE: This requirement will be revised in the resultant contract subject to the implementation of the FY06 Public Law covering the period of 10/01/2005 through 09/30/2006.]

a. Pursuant to the P.L.(s) cited in paragraph b., below, no NIH Fiscal Year funds may be used to pay the direct salary of an individual through this contract at a rate in excess of the applicable amount shown or the applicable Executive Level for the fiscal year covered. Direct salary is exclusive of fringe benefits, overhead and general and administrative expenses (also referred to as “indirect costs” or “facilities and administrative (F&A) costs”). Direct salary has the same meaning as the term “institutional base salary.” An individual's direct salary (or institutional base salary) is the annual compensation that the contractor pays for an individual's appointment whether that individual's time is spent on research, teaching, patient care or other activities. Direct salary (or institutional base salary) excludes any income that an individual may be permitted to earn outside of duties to the contractor. The per year salary rate limitation also applies to individuals proposed under subcontracts. It does not apply to fees paid to consultants. If this is a multiple year contract, it may be subject to unilateral modifications by the Government if an individual's salary rate used to establish contract funding exceeds any salary rate limitation subsequently established in future HHS appropriation acts.

b.	**Public Law No.**	**Fiscal Year**	**Dollar Amount of Salary Limitation***

[Applicable information to be included at award]

c. Payment of direct salaries is limited to the Executive Level I rate which was in effect on the date(s) the expense was incurred.

* For the period 10/1/04 - 12/30/04, the Executive Level I rate is $175,700. Effective January 1, 2005, the Executive Level I rate increased to $180,100 and will remain at that rate until it is revised. See the web site listed below for the Executive Schedule rates of pay:

FOR FY05 EXECUTIVE LEVEL SALARIES EFFECTIVE JANUARY 1, 2005:
http://www.opm.gov/oca/05tables/html/ex.asp
(NOTE: This site shows the CY 05 rates. For previous years, click on "salaries and wages" and then scroll down to the bottom of the page and click on the year to locate the desired Executive Level salary rates).

ARTICLE H.14. INFORMATION SECURITY

The Statement of Work (SOW) requires the contractor to develop or access Federal automated information systems; therefore, the contractor shall comply with the "DHHS Information Security Program Policy" (http://www.hhs.gov/read/irmpolicy/FINALHHSInformationSecurityProgramP.doc) as set forth below. The contractor shall include this provision in any subcontract awarded under this contract.

a. Information Type

**** ***(NOTE: The resultant contract will include the Information Type, however for the purposes of this RFP, the Information Type is specified in SECTION L.2.b. Technical Proposal Instructions of this RFP.)*** ****

[X] Administrative, Management and Support Information:

[ ] Mission Based Information:

b. Security Categories and Levels

Confidentiality	Level:	**[x]** Low	**[ ]** Moderate	**[ ]** High
Integrity	Level:	**[x]** Low	**[ ]** Moderate	**[ ]** High
Availability	Level:	**[x]** Low	**[ ]** Moderate	**[ ]** High
Overall	**Level:**	**[x] Low**	**[ ] Moderate**	**[ ] High**

c. Position Sensitivity Designations

(1) The following position sensitivity designations and associated clearance and investigation requirements apply under this contract:

[ ] Level 6: Public Trust - High Risk (Requires Suitability Determination with a BI). Contractor employees assigned to a Level 6 position are subject to a Background Investigation (BI).

[ ] Level 5: Public Trust - Moderate Risk (Requires Suitability Determination with NACIC, MBI or LBI). Contractor employees assigned to a Level 5 position with no previous investigation and approval shall undergo a National Agency Check and Inquiry Investigation plus a Credit Check (NACIC), a Minimum Background Investigation (MBI), or a Limited Background Investigation (LBI).

[x] Level 1: Non Sensitive (Requires Suitability Determination with an NACI). Contractor employees assigned to a Level 1 position are subject to a National Agency Check and Inquiry Investigation (NACI).

(2) The contractor shall submit a roster, by name, position and responsibility, of all IT staff working under the contract. The roster shall be submitted to the Project Officer, with a copy to the Contracting Officer, within 14 days of the effective date of the contract. Any revisions to the Roster as a result of staffing changes shall be submitted within fifteen (15) calendar days of the change. The Contracting Officer shall notify the contractor of the appropriate level of suitability investigations to be performed. An electronic template, "Roster of Employees Requiring Suitability Investigations," is available for contractor use at:

http://ais.nci.nih.gov/forms/Suitability-roster.xls

Upon receipt of the Government's notification of applicable Suitability Investigation required, the contractor shall complete and submit the required forms within 30 days of the notification. Additional submission instructions can be found at the "NCI Information Technology Security Policies, Background Investigation Process" website: http://ais.nci.nih.gov.

Contractor employees who have had a background investigation conducted by the U.S. Office of Personnel Management (OPM) within the last five years may only require an updated or upgraded investigation.

(3) Contractor employees shall comply with the DHHS criteria for the assigned position sensitivity designations prior to performing any work under this contract. The following exceptions apply:

Levels 5 and 1: Contractor employees may begin work under the contract after the contractor has submitted the name, position and responsibility of the employee to the Project Officer, as described in paragraph c.(2) above.

Level 6: In special circumstances the Project Officer may request a waiver of the preappointment investigation. If the waiver is granted, the Project Officer will provide written authorization for the contractor employee to work under the contract.

d. Systems Security Plan

The contractor shall protect Federal automated information systems that are developed or accessed by the contractor. System security shall be accomplished in accordance with the contractor's System Security Plan dated _____. The plan must:

(1) Include a detailed plan of present and proposed systems security programs commensurate with the size and complexity of the requirements of the Statement of Work. The contractor shall use the **NIH Systems Security Plan Template** (detailed) at http://irm.cit.nih.gov/security/secplantemp.doc or **NIH Systems Security Plan Outline** (outline only) at http://irm.cit.nih.gov/nihsecurity/Security_Plan_Outline.doc.

[OR** (To be determined during negotiations)**]

(1) Include a plan of present and proposed systems security programs commensurate with the size and complexity of the requirements of the Statement of Work. The minimum areas to be addressed include, but are not limited to administrative, technical, and physical security as follows:

(i) Security Awareness Training
(ii) Logical Access Control
-Network (ex: firewall)
-System (ex: network OS, tcp wrappers, SSH)
-Application (ex: S-LDAP, SSL)
-Remote Access (ex: VPN)
-Monitoring and support (ex: IDS, pager, NOC)

(iii) Protection against data loss
-OS security (ex: patch management, configuration)
-Application security (ex: patch management)
-Database security
-Back-up and recovery
-Fault tolerance, high availability
(iv) Malicious Code Protection (ex: Antivirus, filtering of e-mail attachments, etc)
(v) Physical Security
-Access control (ex: locks, guards)
-Power conditioning and/or UPS
-Air conditioning
-Fire protection

Include an acknowledgment of its understanding of the security requirements.

Provide similar information for any proposed subcontractor developing or accessing an AIS.

e. Rules of Behavior

The contractor shall comply with the DHHS Rules of Behavior set forth in **DHHS Information Security Program Policy Handbook, Appendix G** at:
http://intranet.hhs.gov/infosec/docs/policies_guides/ISPPH/PG_ISHbkv2_11_12_2004.pdf; and
the **NIH Information Technology General Rules of Behavior** at:
http://irm.cit.nih.gov/security/nihitrob.html.

f. Information Security Training

Each contractor employee shall complete the NIH Computer Security Awareness Training (http://irtsectraining.nih.gov/) prior to performing any contract work, and on an annual basis thereafter, during the period of performance of this contract.

The contractor shall maintain a listing by name and title of each individual working under this contract that has completed the NIH required training. Any additional security training completed by contractor staff shall be included on this listing.

Contractor staff shall complete the following additional training prior to performing any work under this contract:
******* [Additional courses will be listed here in the resultant contract, if applicable.] *******

g. Personnel Security Responsibilities

The contractor shall perform and document the actions identified in the "Employee Separation Checklist", attached and made a part of this contract, when a contractor employee terminates work under this contract. All documentation shall be made available to the Project Officer and/or Contracting Officer upon request

h. Commitment to Protect Departmental Information Systems and Data

(1) Contractor Agreement

The Contractor shall not release, publish, or disclose sensitive Department information to unauthorized personnel, and shall protect such information in accordance with provisions of the following laws and any other pertinent laws and regulations governing the confidentiality of sensitive information:

-18 U.S.C. 641 (Criminal Code: Public Money, Property or Records)
-18 U.S.C. 1905 (Criminal Code: Disclosure of Confidential Information)
-Public Law 96-511 (Paperwork Reduction Act)

(2) Contractor-Employee Non-Disclosure Agreements

Each contractor employee who may have access to sensitive Department information under this contract shall complete Commitment To Protect Non-Public Information - Contractor Agreement. A copy of each signed and witnessed Non-Disclosure agreement shall be submitted to the Project Officer prior to performing any work under the contract.

i. References

1. DHHS Information Security Program Policy: http://www.hhs.gov/ohr/manual/pssh.pdf
2. DHHS Personnel Security/Suitability Handbook: http://www.hhs.gov/ohr/manual/pssh.pdf
3. NIST Special Publication 800-16, Information Technology Security Training Requirements: http://csrc.nist.gov/publications/nistpubs/800-16/800-16.pdf
   Appendix A-D: http://csrc.nist.gov/publications/nistpubs/800-16/AppendixA-D.pdf
4. NIST SP 800-18, Guide for Developing Security Plans for Information Technology Systems: http://csrc.nist.gov/publications/nistpubs/index.html
5. NIST SP 800-60, Guide for Mapping Types of Information and Information Systems to Security Categories, Volume I: http://csrc.nist.gov/publications/nistpubs/800-60/SP800-60V1-final.pdf
6. NIST SP 800-60, Guide for Mapping Types of Information and Information Systems to Security Categories, Volume II: http://csrc.nist.gov/publications/nistpubs/800-60/SP800-60V2-final.pdf
7. NIST SP 800-64, Security Considerations in the Information System Development Life Cycle: http://csrc.nist.gov/publications/nistpubs/800-64/NIST-SP800-64.pdf
8. NIH Computer Security Awareness Training Course: http://irtsectraining.nih.gov/
9. Roster of Employees Requiring Suitability Investigations: http://ais.nci.nih.gov/forms/Suitability-roster.xls
10. NCI Information Technology Security Policies, Background Investigation Process: http://ais.nci.nih.gov/
11. NIH Systems Security Plan Template (detailed): http://irm.cit.nih.gov/security/secplantemp.doc
12. NIH Systems Security Plan Outline (outline only): http://irm.cit.nih.gov/nihsecurity/Security_Plan_Outline.doc
13. NIH Information Technology General Rules of Behavior: http://irm.cit.nih.gov/security/nihitrob.html
14. Commitment To Protect Non-Public Information - Contractor Agreement: http://irm.cit.nih.gov/security/Nondisclosure.pdf

ARTICLE H.15. ELECTRONIC AND INFORMATION TECHNOLOGY STANDARDS

Pursuant to Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d) as amended by P.L.105-220 under Title IV (Rehabilitation Act Amendments of 1998) all Electronic and Information Technology (EIT) developed, procured, maintained and/or used under this contract shall be in compliance with the “Electronic and Information Technology Accessibility Standards” set forth by the Architectural and Transportation Barriers Compliance Board (also referred to as the “Access Board”) in 36 CFR Part 1194. The complete text of Section 508 Final Standards can be accessed at http://www.access-board.gov/.

ARTICLE H.16. PUBLICATION AND PUBLICITY

The contractor shall acknowledge the support of the National Institutes of Health whenever publicizing the work under this contract in any media by including an acknowledgment substantially as follows:

"This project has been funded in whole or in part with Federal funds from the National Institute of Allergy and Infectious Diseases, National Institutes of Health, Department of Health and Human Services, under Contract No. HHSN2662006xxxxxxC.

ARTICLE H.17. PRESS RELEASES

a. Pursuant to Public Law(s) cited in paragraph b., below, the contractor shall clearly state, when issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money: (1) the percentage of the total costs of the program or project which will be financed with Federal money; (2) the dollar amount of Federal funds for the project or program; and (3) the percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.

b. **Public Law and Section No.** **Fiscal Year** **Period Covered**

[Applicable information to be included at award]

ARTICLE H.18. REPORTING MATTERS INVOLVING FRAUD, WASTE AND ABUSE

Anyone who becomes aware of the existence or apparent existence of fraud, waste and abuse in NIH funded programs is encouraged to report such matters to the HHS Inspector General's Office in writing or on the Inspector General's Hotline. The toll free number is **1-800-HHS-TIPS** (**1-800-447-8477).** All telephone calls will be handled confidentially. The e-mail address is **Htips@os.dhhs.gov** and the mailing address is:

Office of Inspector General
Department of Health and Human Services
TIPS HOTLINE
P.O. Box 23489
Washington, D.C. 20026

ARTICLE H.19. ANTI-LOBBYING

a. Pursuant to Public Law(s) cited in paragraph c., below, contract funds shall only be used for normal and recognized executive-legislative relationships. Contract funds shall not be used, for publicity or propaganda purposes; or for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, radio, television, or video presentation designed to support or defeat legislation pending before the Congress or any State legislature, except in presentation to the Congress or any State legislature itself.

b. Contract funds shall not be used to pay salary or expenses of the contractor or any agent acting for the contractor, related to any activity designed to influence legislation or appropriations pending before the Congress or any State legislature.

c. **Public Law and Section No.** **Fiscal Year** **Period Covered**

[Applicable information to be included at award]

ARTICLE H.20. OBTAINING AND DISSEMINATING BIOMEDICAL RESEARCH RESOURCES

Unique research resources arising from NIH-funded research are to be shared with the scientific research community. NIH provides guidance, entitled, "Sharing Biomedical Research Resources: Principles and Guidelines for Recipients of NIH Research Grants and Contracts," (Federal Register Notice, December 23, 1999 [64 FR 72090]), concerning the appropriate terms for disseminating and acquiring these research resources. This guidance, found at : http://ott.od.nih.gov/NewPages/64FR72090.pdf. is intended to help contractors ensure that the conditions they impose and accept on the transfer of research tools will facilitate further biomedical research, consistent with the requirements of the Bayh-Dole Act and NIH funding policy.

Note: For the purposes of this Article, the terms, "research tools," "research materials," and "research resources" are used interchangeably and have the same meaning.

ARTICLE H.21. SHARING RESEARCH DATA

[The data sharing plan submitted by the contractor is acceptable/The contractor's data sharing plan, dated _____ _____ is hereby incorporated by reference.] The contractor agrees to adhere to its plan and shall request prior approval of the Contracting Officer for any changes in its plan.

The NIH endorses the sharing of final research data to expedite the translation of research results into knowledge, products, and procedures to improve human health. This contract is expected to generate research data that must be shared with the public and other researchers. NIH's data sharing policy may be found at the following Web site:

http://grants.nih.gov/grants/guide/notice-files/NOT-OD-03-032.html

NIH recognizes that data sharing may be complicated or limited, in some cases, by institutional policies, local IRB rules, as well as local, state and Federal laws and regulations, including the Privacy Rule (see HHS-published documentation on the Privacy Rule at http://www.hhs.gov/ocr/). The rights and privacy of people who participate in NIH-funded research must be protected at all times; thus, data intended for broader use should be free of identifiers that would permit linkages to individual research participants and variables that could lead to deductive disclosure of the identity of individual subjects.

ARTICLE H.22. NIH POLICY ON ENHANCING PUBLIC ACCESS TO ARCHIVED PUBLICATIONS RESULTING FROM NIH-FUNDED RESEARCH

The Policy requests that beginning May 2, 2005, NIH-funded investigators submit to the NIH National Library of Medicine's (NLM) PubMed Central (PMC) an electronic version of the author's final manuscript, upon acceptance for publication, resulting from research supported in whole or in part with direct costs from NIH. NIH defines the author's final manuscript as the final version accepted for journal publication, and includes all modifications from the publishing peer review process. The PMC archive will preserve permanently these manuscripts for use by the public, health care providers, educators, scientists, and NIH. The Policy directs electronic submissions to the NIH/NLM/PMC: http://www.pubmedcentral.nih.gov.

Additional information is available at http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-022.html.

ARTICLE H.23. CONSTITUTION DAY

Each educational institution that receives Federal funds for a fiscal year shall hold an educational program on the United States Constitution on September 17 of such year for the students serviced by the educational institution in accordance with Public Law 108-447.

PART II - CONTRACT CLAUSES

SECTION I - CONTRACT CLAUSES

THE FOLLOWING **ARTICLE I.1 GENERAL CLAUSE LISTING(S)** WILL BE APPLICABLE TO MOST CONTRACTS RESULTING FROM THIS RFP. HOWEVER, THE ORGANIZATIONAL STRUCTURE OF THE SUCCESSFUL OFFEROR(S) WILL DETERMINE THE SPECIFIC GENERAL CLAUSE LISTING TO BE CONTAINED IN THE CONTRACT(S) AWARDED FROM THIS RFP:

General Clauses for a Cost-Reimbursement Research and Development Contract

General Clauses for a Cost-Reimbursement Contract with Educational Institutions

General Clauses for a Cost-Reimbursement Contract with Non-Profit Organizations Other Than Educational Institutions

The complete listing of these clauses may be accessed at:
http://rcb.cancer.gov/rcb-internet/appl/general-clauses/clauses.jsp

ARTICLE I.2. AUTHORIZED SUBSTITUTIONS OF CLAUSES

Any authorized substitutions and/or modifications other than the General Clauses which will be based on the type of contract/Contractor will be determined during negotiations.

It is expected that the following clause(s) will be made part of the resultant contract:

FAR Clauses **52.215-15, Pension Adjustments And Asset Reversions** (October 2004); **52.215-18, Reversion Or Adjustment Of Plans For Post Retirement Benefits (PRB) Other Than Pensions** (July 2005); and, **52.215-19, Notification Of Ownership Changes** (October 1997), are deleted in their entirety.

Alternate IV (October 1997) of FAR Clause **52.215-21, Requirements For Cost Or Pricing Data Or Information Other Than Cost Or Pricing Data--Modifications** (October 1997) is added.

FAR Clause **52.216-7, Allowable Cost And Payment** (December 2002), is modified in paragraph (a) to delete the words "subpart 31.2 of the Federal Acquisition Regulation (FAR)" and substitute the words "45 CFR part 74, appendix E".

Alternate I of FAR Clause **52.216-11, Cost Contract--No Fee** (April 1984), is added.

FAR Clause **52.232-20, Limitation Of Cost** (April 1984), is deleted in its entirety and FAR Clause **52.232-22, Limitation Of Funds** (April 1984) is substituted therefor. ***[NOTE: When this contract is fully funded, FAR Clause 52.232-22, LIMITATION OF FUNDS will no longer apply and FAR Clause 52.232-20, LIMITATION OF COST will become applicable.]***

ARTICLE I.3. ADDITIONAL CONTRACT CLAUSES

Additional clauses other than those listed below which are based on the type of contract/Contractor shall be determined during negotiations. Any contract awarded from this solicitation will contain the following:

This contract incorporates the following clauses by reference, (unless otherwise noted), with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available.

a. FEDERAL ACQUISITION REGULATION (FAR) (48 CFR CHAPTER 1) CLAUSES

(1) FAR Clause **52.216-15, Predetermined Indirect Cost Rates** (April 1998).

(2) FAR Clause **52.219-4, Notice of Price Evaluation Preference for HUBZone Small Business Concerns** (July 2005).

"(c) Waiver of evaluation preference.....

[ ] Offeror elects to waive the evaluation preference."

(3) FAR Clause **52.224-1, Privacy Act Notification** (April 1984).

(4) FAR Clause **52.224-2, Privacy Act** (April 1984).

(5) FAR Clause **52.227-2**, **Notice and Assistance Regarding Patent and Copyright Infringement** (August 1996)

(6) FAR Clause **52.227-14, Rights in Data - General** (June 1987) with Alternates III and V.

(7) FAR Clause **52-227-15, Representation of Limited Rights Data and Restricted Software** (May 1999).

(8) FAR Clause **52.227-16, Additional Data Requirements** (June 1987).

(9) FAR Clause **52.227-23, Rights to Proposal Data (Technical)** (June 1987)

(10) FAR Clause **52.229-8, Taxes-Foreign Cost-Reimbursement Contracts** (March 1990).

(11) FAR Clause **52.230-2, Cost Accounting Standards** (April 1998).

(12) FAR Clause **52.230-3, Disclosure and Consistency of Cost Accounting Practices** (April 1998).

(13) FAR Clause **52.230-4, Consistency in Cost Accounting Practices (August 1992)**.

(14) FAR Clause **52.230-5, Cost Accounting Standards - Educational Institution** (April 1998).

(15) FAR Clause **52.230-6, Administration of Cost Accounting Standards** (April 2005).

(16) FAR Clause **52.239-1, Privacy or Security Safeguards** (August 1996).

(17) FAR Clause **52.242-3, Penalties for Unallowable Costs** (May 2001).

(18) FAR Clause **52.243-2, Changes--Cost Reimbursement** (August 1987), **Alternate V** (April 1984).

(19) FAR Clause **52.246-23, Limitation of Liability** (February 1997).
AND/OR
(20) FAR Clause **52.246-24, Limitation of Liability - High-Value Items** (February 1997).

b. DEPARTMENT OF HEALTH AND HUMAN SERVICES ACQUISITION REGULATION (HHSAR) (48 CHAPTER 3) CLAUSES:

(1) HHSAR Clause **352.223-70**, **Safety and Health** (January 2001).

(2) HHSAR Clause **352.224-70, Confidentiality of Information** (April 1984 - including revisions mandated by the 1/3/2005 Federal Register notice which was effective March 2005).

(3) HHSAR Clause **352.270-8, Protection of Human Subjects** (March 2005).

(4) HHSAR Clause **352.270-9, Care of Live Vertebrate Animals** (March 2005).

(5) HHSAR Clause **352.333-7001, Choice of Law (Overseas)** (March 2005).

c. NATIONAL INSTITUTES OF HEALTH (NIH) RESEARCH CONTRACTING (RC) CLAUSES:

The following clauses are attached and made a part of this contract:

(1) **NIH (RC)-7, Procurement of Certain Equipment** (April 1984) (OMB Bulletin 81-16)

(2) **NIH(RC)-11, Research Patient Care Costs** (4/1/84).

ARTICLE I.4. ADDITIONAL FAR CONTRACT CLAUSES INCLUDED IN FULL TEXT

Additional clauses other than those listed below which are based on the type of contract/Contractor shall be determined during negotiations. Any contract awarded from this solicitation will contain the following:

This contract incorporates the following clauses in full text.

FEDERAL ACQUISITION REGULATION (FAR)(48 CFR CHAPTER 1) CLAUSES:

a. FAR Clause **52.222-39, Notification Of Employee Rights Concerning Payment Of Union Dues Or Fees** (December 2004)

(a) Definition. As used in this clause--

United States means the 50 States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, American Samoa, Guam, the U.S. Virgin Islands, and Wake Island.

(b) Except as provided in paragraph (e) of this clause, during the term of this contract, the Contractor shall post a notice, in the form of a poster, informing employees of their rights concerning union membership and payment of union dues and fees, in conspicuous places in and about all its plants and offices, including all places where notices to employees are customarily posted. The notice shall include the following information (except that the information pertaining to National Labor Relations Board shall not be included in notices posted in the plants or offices of carriers subject to the Railway Labor Act, as amended (45 U.S.C. 151-188)).

Notice to Employees

Under Federal law, employees cannot be required to join a union or maintain membership in a union in order to retain their jobs. Under certain conditions, the law permits a union and an employer to enter into a union-security agreement requiring employees to pay uniform periodic dues and initiation fees. However, employees who are not union members can object to the use of their payments for certain purposes and can only be required to pay their share of union costs relating to collective bargaining, contract administration, and grievance adjustment.

If you do not want to pay that portion of dues or fees used to support activities not related to collective bargaining, contract administration, or grievance adjustment, you are entitled to an appropriate reduction in your payment. If you believe that you have been required to pay dues or fees used in part to support activities not related to collective bargaining, contract administration, or grievance adjustment, you may be entitled to a refund and to an appropriate reduction in future payments.

For further information concerning your rights, you may wish to contact the National Labor Relations Board (NLRB) either at one of its Regional offices or at the following address or toll free number:

National Labor Relations Board
Division of Information
1099 14th Street, N.W.
Washington, DC 20570
1-866-667-6572
1-866-316-6572 (TTY)

To locate the nearest NLRB office, see NLRB's website at http://www.nlrb.gov.

(c) The Contractor shall comply with all provisions of Executive Order 13201 of February 17, 2001, and related implementing regulations at 29 CFR part 470, and orders of the Secretary of Labor.

(d) In the event that the Contractor does not comply with any of the requirements set forth in paragraphs (b), (c), or (g), the Secretary may direct that this contract be cancelled, terminated, or suspended in whole or in part, and declare the Contractor ineligible for further Government contracts in accordance with procedures at 29 CFR part 470, Subpart B--Compliance Evaluations, Complaint Investigations and Enforcement Procedures. Such other sanctions or remedies may be imposed as are provided by 29 CFR part 470, which implements Executive Order 13201, or as are otherwise provided by law.

(e) The requirement to post the employee notice in paragraph (b) does not apply to--

(1) Contractors and subcontractors that employ fewer than 15 persons;

(2) Contractor establishments or construction work sites where no union has been formally recognized by the Contractor or certified as the exclusive bargaining representative of the Contractor's employees;

(3) Contractor establishments or construction work sites located in a jurisdiction named in the definition of the United States in which the law of that jurisdiction forbids enforcement of union-security agreements;

(4) Contractor facilities where upon the written request of the Contractor, the Department of Labor Deputy Assistant Secretary for Labor-Management Programs has waived the posting requirements with respect to any of the Contractor's facilities if the Deputy Assistant Secretary finds that the Contractor has demonstrated that--

(i) The facility is in all respects separate and distinct from activities of the Contractor related to the performance of a contract; and
(ii) Such a waiver will not interfere with or impede the effectuation of the Executive order; or

(5) Work outside the United States that does not involve the recruitment or employment of workers within the United States.

(f) The Department of Labor publishes the official employee notice in two variations; one for contractors covered by the Railway Labor Act and a second for all other contractors. The Contractor shall--

(1) Obtain the required employee notice poster from the Division of Interpretations and Standards, Office of Labor-Management Standards, U.S. Department of Labor, 200 Constitution Avenue, NW, Room N-5605, Washington, DC 20210, or from any field office of the Department's Office of Labor-Management Standards or Office of Federal Contract Compliance Programs;

(2) Download a copy of the poster from the Office of Labor-Management Standards website at http://www.olms.dol.gov; or

(3) Reproduce and use exact duplicate copies of the Department of Labor's official poster.

(g) The Contractor shall include the substance of this clause in every subcontract or purchase order that exceeds the simplified acquisition threshold, entered into in connection with this contract, unless exempted by the Department of Labor Deputy Assistant Secretary for Labor-Management Programs on account of special circumstances in the national interest under authority of 29 CFR 470.3(c). For indefinite quantity subcontracts, the Contractor shall include the substance of this clause if the value of orders in any calendar year of the subcontract is expected to exceed the simplified acquisition threshold. Pursuant to 29 CFR part 470, Subpart B--Compliance Evaluations, Complaint Investigations and Enforcement Procedures, the Secretary of Labor may direct the Contractor to take such action in the enforcement of these regulations, including the imposition of sanctions for noncompliance with respect to any such subcontract or purchase order. If the Contractor becomes involved in litigation with a subcontractor or vendor, or is threatened with such involvement, as a result of such direction, the Contractor may request the United States, through the Secretary of Labor, to enter into such litigation to protect the interests of the United States.

b. **Alternate V, Advance Payment Without Special Account** (May 2001), **Alternate II** (May 2001), and **Alternate IV** (April 1984), of FAR Clause **52.232-12, Advance Payments** (May 2001).

(a) *Requirements for payment.* Advance payments will be made under this contract (1) upon submission of properly certified invoices or vouchers by the contractor, and approval by the administering office, [*insert the name of the office designated under agency procedures*] , or (2) under a letter of credit. The amount of the invoice or voucher submitted plus all advance payments previously approved shall not exceed $ _____. If a letter of credit is used, the Contractor shall withdraw cash only when needed for disbursements acceptable under this contract and report cash disbursements and balances as required by the

administering office. The Contractor shall apply terms similar to this clause to any advance payments to subcontractors.

(b) *Use of funds*. The Contractor may use advance payment funds only to pay for properly allocable, allowable, and reasonable costs for direct materials, direct labor, and indirect costs. Determinations of whether costs are properly allocable, allowable, and reasonable shall be in accordance with generally accepted accounting principles, subject to any applicable subparts of Part 31 of the Federal Acquisition Regulation.

(c) *Repayment to the Government*. At any time, the Contractor may repay all or any part of the funds advanced by the Government. Whenever requested in writing to do so by the administering office, the Contractor shall repay to the Government any part of unliquidated advance payments considered by the administering office to exceed the Contractor's current requirements or the amount specified in paragraph (a) of this clause.

[(d) *Maximum payment*. When the sum of all unliquidated advance payments, unpaid interest charges, and other payments equal the total estimated cost of $ _____ (not including fixed-fee, if any) for the work under this contract, the Government shall withhold further payments to the Contractor. Upon completion or termination of the contract, the Government shall deduct from the amount due to the Contractor all unliquidated advance payments and interest charges payable. The Contractor shall pay any deficiency to the Government upon demand. For purposes of this paragraph, the estimated cost shall be considered to be the stated estimated cost, less any subsequent reductions of the estimated cost, plus any increases in the estimated costs that do not, in the aggregate, exceed $ _____ [*Insert an amount not higher than 10 percent of the stated estimated cost inserted in this paragraph*]. The estimated cost shall include, without limitation, any reimbursable cost (as estimated by the Contracting Officer) incident to a termination for the convenience of the Government. Any payments withheld under this paragraph shall be applied to reduce the unliquidated advance payments. If full liquidation has been made, payments under the contract shall resume.]

[(d) *Maximum payment.* When the sum of all unliquidated advance payments, unpaid interest charges, and other payments exceed ___ percent of the contract price, the Government shall withhold further payments to the Contractor. On completion or termination of the contract, the Government shall deduct from the amount due to the Contractor all unliquidated advance payments and all interest charges payable. If previous payments to the Contractor exceed the amount due, the excess amount shall be paid to the Government on demand. For purposes of this paragraph, the contract price shall be considered to be the stated contract price of $ ___, less any subsequent price reductions under the contract, plus (1) any price increases resulting from any terms of this contract for price redetermination or escalation, and (2) any other price increases that do not, in the aggregate, exceed $ ____ [*insert an amount not higher than 10 percent of the stated contract amount inserted in this paragraph*]. Any payments withheld under this paragraph shall be applied to reduce the unliquidated advance payments. If full liquidation has been made, payments under the contract shall resume.]

OR

[(e) *Interest*. No interest shall be charged to the prime Contractor for advance payments except for interest charged during a period of default. The terms of this paragraph concerning interest charges for advance payments shall not apply to the prime Contractor.

(1) The Contractor shall pay interest to the Government on the daily unliquidated advance payments at the daily rate specified in subparagraph (e)(3) below. Interest shall be computed at the end of each calendar month for the actual number of days involved. For the purpose of computing the interest charge, the following shall be observed:

(i) Advance payments shall be considered as increasing the unliquidated balance as of the date of the advance payment check.
(ii) Repayments by Contractor check shall be considered as decreasing the unliquidated balance as of the date on which the check is received by the Government authority designated by the Contracting Officer.

(iii) Liquidations by deductions from payments to the Contractor shall be considered as decreasing the unliquidated balance as of the dates on which the Contractor presents to the Contracting

Officer full and accurate data for the preparation of each voucher. Credits resulting from these deductions shall be made upon the approval of the reimbursement vouchers by the Disbursing Officer, based upon the Contracting Officer's certification of the applicable dates.

(2) Interest charges resulting from the monthly computation shall be deducted from any payments on account of the fixed-fee due to the Contractor. If the accrued interest exceeds the payment due, any excess interest shall be carried forward and deducted from subsequent payments of the contract price or fixed-fee. Interest carried forward shall not be compounded. Interest on advance payments shall cease to accrue upon (i) satisfactory completion or (ii) termination of the contract for the convenience of the Government. The Contractor shall charge interest on advance payments to subcontractors in the manner described above and credit the interest to the Government. Interest need not be charged on advance payments to nonprofit educational or research subcontractors for experimental, developmental, or research work.

(3) If interest is required under the contract, the Contracting Officer shall determine a daily interest rate based on the rate established by the Secretary of the Treasury under Pub. L. 92-41 (50 U.S.C. App., 1215(b)(2)). The Contracting Officer shall revise the daily interest rate during the contract period in keeping with any changes in the cited interest rate.

(4) If the full amount of interest charged under this paragraph has not been paid by deduction or otherwise upon completion or termination of this contract, the Contractor shall pay the remaining interest to the Government on demand.]

OR

[(e) *Interest*. No interest shall be charged to the prime Contractor for advance payments except for interest charged during a period of default. The terms of this paragraph concerning interest charges for advance payments shall not apply to the prime Contractor.

(1) The Contractor shall pay interest to the Government on the daily unliquidated advance payments at the daily rate in subparagraph (e)(3) of this clause. Interest shall be computed at the end of each calendar month for the actual number of days involved. For the purpose of computing the interest charge--

(i) Advance payments shall be considered as increasing the unliquidated balance as of the date of the advance payment check;
(ii) Repayments by Contractor check shall be considered as decreasing the unliquidated balance as of the date on which the check is received by the Government authority designated by the Contracting Officer; and
(iii) Liquidations by deductions from Government payments to the Contractor shall be considered as decreasing the unliquidated balance as of the date of the check for the reduced payment.

(2) Interest charges resulting from the monthly computation shall be deducted from payments, other than advance payments, due the Contractor. If the accrued interest exceeds the payment due, any excess interest shall be carried forward and deducted from subsequent payments. Interest carried forward shall not be compounded. Interest on advance payments shall cease to accrue upon satisfactory completion or termination of the contract for the convenience of the Government. The Contractor shall charge interest on advance payments to subcontractors in the manner described above and credit the interest to the Government. Interest need not be charged on advance payments to nonprofit educational or research subcontractors, for experimental, developmental, or research work.

(3) If interest is required under the contract, the Contracting Officer shall determine a daily interest rate based on the rate established by the Secretary of the Treasury under Pub. L. 92-41 (50 U.S.C. App., 1215(b)(2)). The Contracting Officer shall revise the daily interest rate during the contract period in keeping with any changes in the cited interest rate.

(4) If the full amount of interest charged under this paragraph has not been paid by deduction or otherwise upon completion or termination of this contract, the Contractor shall pay the remaining interest to the Government on demand.]

(f) *Lien on property under contract*. (1) All advance payments under this contract, together with interest charges, shall be secured, when made, by a lien in favor of the Government, paramount to all other liens, on the supplies or other things covered by this contract and on all material and other property acquired for or allocated to the performance of this contract, except to the extent that the Government by virtue of any other terms of this contract, or otherwise, shall have valid title to the supplies, materials, or other property as against other creditors of the Contractor.

(2) The Contractor shall identify, by marking or segregation, all property that is subject to a lien in favor of the Government by virtue of any terms of this contract in such a way as to indicate that it is subject to a lien and that it has been acquired for or allocated to performing this contract. If, for any reason, the supplies, materials, or other property are not identified by marking or segregation, the Government shall be considered to have a lien to the extent of the Government's interest under this contract on any mass of property with which the supplies, materials, or other property are commingled. The Contractor shall maintain adequate accounting control over the property on its books and records.

(3) If, at any time during the progress of the work on the contract, it becomes necessary to deliver to a third person any items or materials on which the Government has a lien, the Contractor shall notify the third person of the lien and shall obtain from the third person a receipt in duplicate acknowledging the existence of the lien. The Contractor shall provide a copy of each receipt to the Contracting Officer.

(4) If, under the termination clause, the Contracting Officer authorizes the contractor to sell or retain termination inventory, the approval shall constitute a release of the Government's lien to the extent that--

(i) The termination inventory is sold or retained; and
(ii) The sale proceeds or retention credits are applied to reduce any outstanding advance payments.

(g) *Insurance*. (1) The Contractor shall maintain with responsible insurance carriers--

(i) Insurance on plant and equipment against fire and other hazards, to the extent that similar properties are usually insured by others operating plants and properties of similar character in the same general locality;
(ii) Adequate insurance against liability on account of damage to persons or property; and
(iii) Adequate insurance under all applicable workers' compensation laws.

(2) Until work under this contract has been completed and all advance payments made under the contract have been liquidated, the Contractor shall--

(i) Maintain this insurance;
(ii) Maintain adequate insurance on any materials, parts, assemblies, subassemblies, supplies, equipment, and other property acquired for or allocable to this contract and subject to the Government lien under paragraph (f) of this clause; and
(iii) Furnish any evidence with respect to its insurance that the administering office may require.

(h) *Default*. (1) If any of the following events occur, the Government may, by written notice to the Contractor, withhold further payments on this contract:

(i) Termination of this contract for a fault of the Contractor.
(ii) A finding by the administering office that the Contractor has failed to--
(A) Observe any of the conditions of the advance payment terms;
(B) Comply with any material term of this contract;
(C) Make progress or maintain a financial condition adequate for performance of this contract;
(D) Limit inventory allocated to this contract to reasonable requirements; or
(E) Avoid delinquency in payment of taxes or of the costs of performing this contract in the ordinary course of business.

(iii) The appointment of a trustee, receiver, or liquidator for all or a substantial part of the Contractor's property, or the institution of proceedings by or against the Contractor for bankruptcy, reorganization, arrangement, or liquidation.
(iv) The commission of an act of bankruptcy.

(2) If any of the events described in subparagraph (h)(1) of this clause continue for 30 days after the written notice to the Contractor, the Government may take any of the following additional actions:

(i) Charge interest, in the manner prescribed in paragraph (e) of this clause, on outstanding advance payments during the period of any event described in subparagraph (h)(1) of this clause.
(ii) Demand immediate repayment by the Contractor of the unliquidated balance of advance payments.
(iii) Take possession of and, with or without advertisement, sell at public or private sale all or any part of the property on which the Government has a lien under this contract and, after deducting any expenses incident to the sale, apply the net proceeds of the sale to reduce the unliquidated balance of advance payments or other Government claims against the Contractor.

(3) The Government may take any of the actions described in subparagraphs (h)(1) and (h)(2) of this clause it considers appropriate at its discretion and without limiting any other rights of the Government.

(i) *Prohibition against assignment*. Notwithstanding any other terms of this contract, the Contractor shall not assign this contract, any interest therein, or any claim under the contract to any party.

(j) *Information and access to records*. The Contractor shall furnish to the administering office (1) monthly or at other intervals as required, signed or certified balance sheets and profit and loss statements, and, (2) if requested, other information concerning the operation of the contractor's business. The Contractor shall provide the authorized Government representatives proper facilities for inspection of the Contractor's books, records, and accounts.

(k) *Other security*. The terms of this contract are considered to provide adequate security to the Government for advance payments; however, if the administering office considers the security inadequate, the Contractor shall furnish additional security satisfactory to the administering office, to the extent that the security is available.

(l) *Representations*. The Contractor represents the following:

(1) The balance sheet, the profit and loss statement, and any other supporting financial statements furnished to the administering office fairly reflect the financial condition of the Contractor at the date shown or the period covered, and there has been no subsequent materially adverse change in the financial condition of the Contractor.

(2) No litigation or proceedings are presently pending or threatened against the Contractor, except as shown in the financial statements.

(3) The Contractor has disclosed all contingent liabilities, except for liability resulting from the renegotiation of defense production contracts, in the financial statements furnished to the administering office.

(4) None of the terms in this clause conflict with the authority under which the Contractor is doing business or with the provision of any existing indenture or agreement of the Contractor.

(5) The Contractor has the power to enter into this contract and accept advance payments, and has taken all necessary action to authorize the acceptance under the terms of this contract.

(6) The assets of the Contractor are not subject to any lien or encumbrance of any character except for current taxes not delinquent, and except as shown in the financial statements furnished by the Contractor. There is no current assignment of claims under any contract affected by these advance payment provisions.

(7) All information furnished by the Contractor to the administering office in connection with each request for advance payments is true and correct.

(8) These representations shall be continuing and shall be considered to have been repeated by the submission of each invoice for advance payments.

(m) *Covenants*. To the extent the Government considers it necessary while any advance payments made under this contract remain outstanding, the Contractor, without the prior written consent of the administering office, shall not--

(1) Mortgage, pledge, or otherwise encumber or allow to be encumbered, any of the assets of the Contractor now owned or subsequently acquired, or permit any preexisting mortgages, liens, or other encumbrances to remain on or attach to any assets of the Contractor which are allocated to performing this contract and with respect to which the Government has a lien under this contract;

(2) Sell, assign, transfer, or otherwise dispose of accounts receivable, notes, or claims for money due or to become due;

(3) Declare or pay any dividends, except dividends payable in stock of the corporation, or make any other distribution on account of any shares of its capital stock, or purchase, redeem, or otherwise acquire for value any of its stock, except as required by sinking fund or redemption arrangements reported to the administering office incident to the establishment of these advance payment provisions;

(4) Sell, convey, or lease all or a substantial part of its assets;

(5) Acquire for value the stock or other securities of any corporation, municipality, or Governmental authority, except direct obligations of the United States;

(6) Make any advance or loan or incur any liability as guarantor, surety, or accommodation endorser for any party;

(7) Permit a writ of attachment or any similar process to be issued against its property without getting a release or bonding the property within 30 days after the entry of the writ of attachment or other process;

(8) Pay any remuneration in any form to its directors, officers, or key employees higher than rates provided in existing agreements of which notice has been given to the administering office, accrue excess remuneration without first obtaining an agreement subordinating it to all claims of the Government, or employ any person at a rate of compensation over $_____ a year;

(9) Change substantially the management, ownership, or control of the corporation;

(10) Merge or consolidate with any other firm or corporation, change the type of business, or engage in any transaction outside the ordinary course of the Contractor's business as presently conducted;

(11) Deposit any of its funds except in a bank or trust company insured by the Federal Deposit Insurance Corporation or a credit union insured by the National Credit Union Administration;

(12) Create or incur indebtedness for advances, other than advances to be made under the terms of this contract, or for borrowings;

(13) Make or covenant for capital expenditures exceeding $_____ in total;

(14) Permit its net current assets, computed in accordance with generally accepted accounting principles, to become less than $_____; or

(15) Make any payments on account of the obligations listed below, except in the manner and to the extent provided in this contract:

[*List the pertinent obligations*]

PART III - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

SECTION J - LIST OF ATTACHMENTS

The following documents are incorporated into this RFP:

SOLICITATION ATTACHMENTS:

Attachment No.	Title	Location
Attachment 1:	Packaging and Delivery of Proposal	Linked to the Attachment Title
Attachment 2:	Proposal Intent Response Sheet	Linked to the Attachment Title
Attachment 3:	Background	Linked to the Attachment Title
Attachment 4:	Statement of Work	Linked to the Attachment Title
Attachment 5:	Information Technology Systems Security - Prospective Offeror Non-Disclosure Agreement	http://rcb.cancer.gov/rcb-internet/forms/IT-security-nondisclosure.pdf
Attachment 6:	Reporting Requirements and Deliverables	Linked to the Attachment Title
Attachment 7:	Appendix A - Additional Technical Proposal Instructions and Format for Technical Proposal - Table of Contents	Linked to Attachment Title
Attachment 8:	Appendix B - Additional Business Proposal Instructions and Uniform Cost Assumptions	Linked to Attachment Title
Attachment 9:	Appendix C - Current NIAID-funded Animal Model Contracts	Linked to Attachment Title

TECHNICAL PROPOSAL ATTACHMENTS: (The following attachments must be completed, where applicable, and submitted with the Technical Proposal.)

Title	Location
Targeted/Planned Enrollment Table	http://rcb.cancer.gov/rcb-internet/forms/enroll-table.pdf
Annual Technical Progress Report Format for Each Study	http://rcb.cancer.gov/rcb-internet/forms/atpr.pdf
Technical Proposal Cost Information/ Summary of Labor and Direct Cost	http://www.niaid.nih.gov/contract/forms.htm
Summary of Related Activities	http://www.niaid.nih.gov/contract/forms.htm
Government Notice for Handling Proposals	http://www.niaid.nih.gov/contract/forms/form7.pdf
Protection of Human Subjects Assurance Identification/IRB Certification/Declaration of Exemption, OMB Form No. 0990-0263 (formerly Optional Form 310	http://rcb.cancer.gov/rcb-internet/forms/of310.pdf
Project Objectives, NIH 1688-1	http://rcb.cancer.gov/rcb-internet/forms/nih1688-1.pdf

BUSINESS PROPOSAL ATTACHMENTS: (The following attachments must be completed, where applicable, and submitted with the Business Proposal.)

Title	Location
Proposal Summary and Data Record, NIH-2043	http://www.niaid.nih.gov/contract/forms.htm
Small Business Subcontracting Plan	http://rcb.cancer.gov/rcb-internet/forms/sb-subplan-nci.pdf
Breakdown of Proposed Estimated Costs (plus Fee) with Excel Spreadsheet	http://www.niaid.nih.gov/contract/forms.htm http://ocm.od.nih.gov/contracts/spsh/spshexcl.xls
Offeror's Points of Contact	http://www.niaid.nih.gov/contract/forms.htm
Certificate of Current Cost or Pricing Data	http://rcb.cancer.gov/rcb-internet/forms/cert-current-cost.pdf
Disclosure of Lobbying Activities, OMB Form SF-LLL	http://rcb.cancer.gov/rcb-internet/forms/sflllin.pdf

INFORMATIONAL ATTACHMENTS: (The following Attachments and Reports will become part of any contract resulting from this RFP and will be required during contract performance.)

Title	Location
Invoice/Financing Request Instructions--Cost-Reimbursement, NIH(RC)-1	http://rcb.cancer.gov/rcb-internet/forms/rc1.pdf
Invoice/Financing Request and Contract Financial Reporting Instructions--Cost Reimbursement, NIH(RC)-4	http://rcb.cancer.gov/rcb-internet/forms/rc4.pdf
Financial Report of Individual Project/Contract, NIH 2706	http://www.niaid.nih.gov/contract/forms/nih-2706.pdf
Instructions for Completing Form NIH 2706	http://www.niaid.nih.gov/contract/forms/instructions2706.pdf
Privacy Act System of Records *System of Records No. 09-25-0200 is applicable to this RFP.*	http://oma.od.nih.gov/ms/privacy/pa-files/read02systems.htm
Safety and Health, HHSAR 352.223-70	http://www.niaid.nih.gov/contract/forms/form10.pdf
Procurement of Certain Equipment, NIH(RC)-7	http://www.niaid.nih.gov/contract/forms/NIH-RC-7.pdf
Research Patient Care Costs, NIH(RC)-11	http://www.niaid.nih.gov/contract/forms/nih-rc-11.pdf
Inclusion Enrollment Report	http://rcb.cancer.gov/rcb-internet/forms/inclusion-enrollment.pdf
Commitment To Protect Non-Public Information Contractor Agreement	http://irm.cit.nih.gov/security/Nondisclosure.pdf
Roster of Employees Requiring Suitability Investigations	http://ais.nci.nih.gov/forms/Suitability-roster.xls
Employee Separation Checklist	http://rcb.cancer.gov/rcb-internet/forms/Emp-sep-checklist.pdf

PART IV - REPRESENTATIONS AND INSTRUCTIONS

SECTION K - REPRESENTATIONS, CERTIFICATIONS AND OTHER STATEMENTS OF OFFERORS

SECTION K can be accessed electronically from the INTERNET at the following address:

http://rcb.cancer.gov/rcb-internet/wkf/sectionk.pdf

If you are unable to access this document electronically, you may request a copy from the Contracting Officer identified on the cover page of this solicitation.

IF YOU INTEND TO SUBMIT A PROPOSAL, YOU MUST COMPLETE SECTION K AND SUBMIT IT AS PART OF YOUR BUSINESS PROPOSAL.

SECTION L - INSTRUCTIONS, CONDITIONS AND NOTICES TO OFFERORS

1. GENERAL INFORMATION

a. **INSTRUCTIONS TO OFFERORS--COMPETITIVE ACQUISITION** [FAR Provision 52.215-1 (January 2004)]

(a) *Definitions*. As used in this provision--

Discussions are negotiations that occur after establishment of the competitive range that may, at the Contracting Officer's discretion, result in the offeror being allowed to revise its proposal.

"In writing", *"writing"*, or *"written"* means any worded or numbered expression that can be read, reproduced, and later communicated, and includes electronically transmitted and stored information.

"*Proposal modification*" is a change made to a proposal before the solicitation's closing date and time, or made in response to an amendment, or made to correct a mistake at any time before award.

"*Proposal revision*" is a change to a proposal made after the solicitation closing date, at the request of or as allowed by a Contracting Officer as the result of negotiations.

"*Time,*" if stated as a number of days, is calculated using calendar days, unless otherwise specified, and will include Saturdays, Sundays, and legal holidays. However, if the last day falls on a Saturday, Sunday, or legal holiday, then the period shall include the next working day.

(b) *Amendments to solicitations*. If this solicitation is amended, all terms and conditions that are not amended remain unchanged. Offerors shall acknowledge receipt of any amendment to this solicitation by the date and time specified in the amendment(s).

(c) *Submission, modification, revision, and withdrawal of proposals*. (1) Unless other methods (*e.g.*, electronic commerce or facsimile) are permitted in the solicitation, proposals and modifications to proposals shall be submitted in paper media in sealed envelopes or packages (i) addressed to the office specified in the solicitation, and (ii) showing the time and date specified for receipt, the solicitation number, and the name and address of the offeror. Offerors using commercial carriers should ensure that the proposal is marked on the outermost wrapper with the information in paragraphs (c)(1)(i) and (c)(1)(ii) of this provision.

(2) The first page of the proposal must show--
- (i) The solicitation number;
- (ii) The name, address, and telephone and facsimile numbers of the offeror (and electronic address if available);
- (iii) A statement specifying the extent of agreement with all terms, conditions, and provisions included in the solicitation and agreement to furnish any or all items upon which prices are offered at the price set opposite each item;
- (iv) Names, titles, and telephone and facsimile numbers (and electronic addresses if available) of persons authorized to negotiate on the offeror's behalf with the Government in connection with this solicitation; and
- (v) Name, title, and signature of person authorized to sign the proposal. Proposals signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

(3) *Submission, modification, revision, and withdrawal of proposals*. (i) Offerors are responsible for submitting proposals, and any modifications or revisions, so as to reach the Government office designated in the solicitation by the time specified in the solicitation. If no time is specified in the solicitation, the time for receipt is 4:30 p.m., local time, for the designated Government office on the date that proposal or revision is due.

(ii) (A) Any proposal, modification, or revision received at the Government office designated in the solicitation after the exact time specified for receipt of offers is "late" and will not be considered unless it is received before award is made, the Contracting Officer determines that accepting the late offer would not unduly delay the acquisition; and--

(*1*) If it was transmitted through an electronic commerce method authorized by the solicitation, it was received at the initial point of entry to the Government infrastructure not later than 5:00 p.m. one working day prior to the date specified for receipt of proposals; or

(*2*) There is acceptable evidence to establish that it was received at the Government installation designated for receipt of offers and was under the Government's control prior to the time set for receipt of offers; or

(*3*) It is the only proposal received.

(B) However, a late modification of an otherwise successful proposal that makes its terms more favorable to the Government, will be considered at any time it is received and may be accepted.

(iii) Acceptable evidence to establish the time of receipt at the Government installation includes the time/date stamp of that installation on the proposal wrapper, other documentary evidence of receipt maintained by the installation, or oral testimony or statements of Government personnel.

(iv) If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the office designated for receipt of proposals by the exact time specified in the solicitation, and urgent Government requirements preclude amendment of the solicitation, the time specified for receipt of proposals will be deemed to be extended to the same time of day specified in the solicitation on the first work day on which normal Government processes resume.

(v) Proposals may be withdrawn by written notice received at any time before award. Oral proposals in response to oral solicitations may be withdrawn orally. If the solicitation authorizes facsimile proposals, proposals may be withdrawn via facsimile received at any time before award, subject to the conditions specified in the provision at 52.215-5, Facsimile Proposals. Proposals may be withdrawn in person by an offeror or an authorized representative, if the identity of the person requesting withdrawal is established and the person signs a receipt for the proposal before award.

(4) Unless otherwise specified in the solicitation, the offeror may propose to provide any item or combination of items.

(5) Offerors shall submit proposals in response to this solicitation in English, unless otherwise permitted by the solicitation, and in U.S. dollars, unless the provision at FAR 52.225-17, Evaluation of Foreign Currency Offers, is included in the solicitation.

(6) Offerors may submit modifications to their proposals at any time before the solicitation closing date and time, and may submit modifications in response to an amendment, or to correct a mistake at any time before award.

(7) Offerors may submit revised proposals only if requested or allowed by the Contracting Officer.

(8) Proposals may be withdrawn at any time before award. Withdrawals are effective upon receipt of notice by the Contracting Officer.

(d) *Offer expiration date*. Proposals in response to this solicitation will be valid for the number of days specified on the solicitation cover sheet (unless a different period is proposed by the offeror).

(e) *Restriction on disclosure and use of data.* (1) The proposal submitted in response to this request may contain data (trade secrets; business data, e.g., commercial information, financial information, and cost and pricing data; and technical data) which the offeror, including its prospective subcontractor(s), does not want used or disclosed for any purpose other than for evaluation of the proposal. The use and disclosure of any data may be so restricted; provided, that the Government determines that the data is not required to be disclosed under the Freedom of Information Act, 5 U.S.C. 552, as amended, and the offeror marks the cover sheet of the proposal with the following legend, specifying the particular portions of the proposal which are to be restricted in accordance with the conditions of the legend. The Government's determination to withhold or disclose a record will be based upon the particular circumstances involving the record in question and whether the record may be exempted from disclosure under the Freedom of Information Act. The legend reads:

> Unless disclosure is required by the Freedom of Information Act, 5 U.S.C. 552, as amended, (the Act) as determined by Freedom of Information (FOI) officials of the Department of Health and Human Services, data contained in the portions of this proposal which have been specifically identified by page number, paragraph, etc. by the offeror as containing restricted information shall not be used or disclosed except for evaluation purposes.
>
> The offeror acknowledges that the Department may not be able to withhold a record (data, document, etc.) nor deny access to a record requested pursuant to the Act and that the Department's FOI officials must make that determination. The offeror hereby agrees that the Government is not liable for disclosure if the Department has determined that disclosure is required by the Act.
>
> If a contract is awarded to the offeror as a result of, or in connection with, the submission of this proposal, the Government shall have right to use or disclose the data to the extent provided in the contract. Proposals not resulting in a contract remain subject to the Act.
>
> The offeror also agrees that the Government is not liable for disclosure or use of unmarked data and may use or disclose the data for any purpose, including the release of the information pursuant to requests under the Act. The data subject to this restriction are contained in pages (insert page numbers, paragraph designations, etc. or other identification).

(2) In addition, the offeror should mark each page of data it wishes to restrict with the following statement:

> "Use or disclosure of data contained on this page is subject to the restriction on the cover sheet of this proposal or quotation."

(3) Offerors are cautioned that proposals submitted with restrictive legends or statements differing in substance from the above legend may not be considered for award. The Government reserves the right to reject any proposal submitted with a nonconforming legend.

(f) *Contract award*. (1) The Government intends to award a contract or contracts resulting from this solicitation to the responsible offeror(s) whose proposal(s) represents the best value after evaluation in accordance with the factors and subfactors in the solicitation.

(2) The Government may reject any or all proposals if such action is in the Government's interest.

(3) The Government may waive informalities and minor irregularities in proposals received.

(4) The Government intends to evaluate proposals and award a contract without discussions with offerors (except clarifications as described in FAR 15.306(a)). Therefore, the offeror's initial proposal should contain the offeror's best terms from a cost or price and technical standpoint. The Government

reserves the right to conduct discussions if the Contracting Officer later determines them to be necessary. If the Contracting Officer determines that the number of proposals that would otherwise be in the competitive range exceeds the number at which an efficient competition can be conducted, the Contracting Officer may limit the number of proposals in the competitive range to the greatest number that will permit an efficient competition among the most highly rated proposals.

(5) The Government reserves the right to make an award on any item for a quantity less than the quantity offered, at the unit cost or prices offered, unless the offeror specifies otherwise in the proposal.

(6) The Government reserves the right to make multiple awards if, after considering the additional administrative costs, it is in the Government's best interest to do so.

(7) Exchanges with offerors after receipt of a proposal do not constitute a rejection or counteroffer by the Government.

(8) The Government may determine that a proposal is unacceptable if the prices proposed are materially unbalanced between line items or subline items. Unbalanced pricing exists when, despite an acceptable total evaluated price, the price of one or more contract line items is significantly overstated or understated as indicated by the application of cost or price analysis techniques. A proposal may be rejected if the Contracting Officer determines that the lack of balance poses an unacceptable risk to the Government.

(9) If a cost realism analysis is performed, cost realism may be considered by the source selection authority in evaluating performance or schedule risk.

(10) A written award or acceptance of proposal mailed or otherwise furnished to the successful offeror within the time specified in the proposal shall result in a binding contract without further action by either party.

(11) If a post-award debriefing is given to requesting offerors, the Government shall disclose the following information, if applicable:

(i) The agency's evaluation of the significant weak or deficient factors in the debriefed offeror's offer.
(ii) The overall evaluated cost or price and technical rating of the successful and debriefed offeror and past performance information on the debriefed offeror.
(iii) The overall ranking of all offerors, when any ranking was developed by the agency during source selection;
(iv) A summary of the rationale for award.
(v) For acquisitions of commercial items, the make and model of the item to be delivered by the successful offeror.
(vi) Reasonable responses to relevant questions posed by the debriefed offeror as to whether source-selection procedures set forth in the solicitation, applicable regulations, and other applicable authorities were followed by the agency.

(End of Provision)

Alternate I (October 1997). As prescribed in 15.209(a)(1), substitute the following paragraph (f)(4) for paragraph (f)(4) of the basic provision:

(f) (4) The Government intends to evaluate proposals and award a contract after conducting discussions with offerors whose proposals have been determined to be within the competitive range. If the Contracting Officer determines that the number of proposals that would otherwise be in the competitive range exceeds the number at which an efficient competition can be conducted, the Contracting Officer may limit the number of proposals in the competitive range to the greatest number that will permit an efficient competition among the most highly rated proposals. Therefore, the offeror's initial proposal should contain the offeror's best terms from a price and technical standpoint.

b. **NAICS CODE AND SIZE STANDARD**

Note: The following information is to be used by the offeror in preparing its Representations and Certifications (See Section K of this RFP), specifically in completing the provision entitled, SMALL BUSINESS PROGRAM REPRESENTATION, FAR Clause 52.219-1.

(1) The North American Industry Classification System (NAICS) code for this acquisition is 541710.
(2) The small business size standard is 500 employees.

THIS REQUIREMENT IS NOT SET-ASIDE FOR SMALL BUSINESS. However, the Federal Acquisition Regulation (FAR) requires in EVERY solicitation, (except for foreign acquisitions) the inclusion of the North American Industry Classification (NAICS) Code and corresponding size standard which best describes the nature of the requirement in the solicitation.

c. **TYPE OF CONTRACT AND NUMBER OF AWARD(S)**

It is anticipated that One Award will be made from this solicitation and that the award will be made on/about March 1, 2007.

It is anticipated that the award(s) from this solicitation will be a multiple-year, cost reimbursement, completion type contract with a period of performance of seven (7) years, and that incremental funding will be used [see Section L.2.c. Business Proposal Instructions].

d. **ESTIMATE OF EFFORT**

It is expected that a completion type contract will be awarded as a result of this RFP. To assist you in the preparation of your proposal, the Government considers the effort to be approximately 29 FTEs for each year of performance. This information is furnished for the offeror's information only and is not to be considered restrictive for proposal purposes. Offerors should state the standard number of hours that are equivalent to one full-time person year of effort as used in their business proposal.

e. **COMMITMENT OF PUBLIC FUNDS**

The Contracting Officer is the only individual who can legally commit the Government to the expenditure of public funds in connection with the proposed procurement. Any other commitment, either explicit or implied, is invalid.

f. **COMMUNICATIONS PRIOR TO CONTRACT AWARD**

Offerors shall direct all communications to the attention of the Contract Specialist or Contracting Officer cited on the face page of this RFP. Communications with other officials may compromise the competitiveness of this acquisition and result in cancellation of the requirement.

g. **RELEASE OF INFORMATION**

Contract selection and award information will be disclosed to offerors in accordance with regulations applicable to negotiated acquisition. Prompt written notice will be given to unsuccessful offerors as they are eliminated from the competition, and to all offerors following award.

h. **COMPARATIVE IMPORTANCE OF PROPOSALS**

You are advised that paramount consideration shall be given to the evaluation of technical proposals. All evaluation factors other than cost or price, when combined, are significantly more important than cost or price. The relative importance of the evaluation factors are specified in SECTION M of this solicitation. However, the Government reserves the right to make an award to the best advantage of the Government, cost and other factors considered.

i. **PREPARATION COSTS**

This RFP does not commit the Government to pay for the preparation and submission of a proposal.

j. **SERVICE OF PROTEST** (AUGUST 1996) - FAR 52.233-2

(a) Protests, as defined in section 33.101 of the Federal Acquisition Regulation, that are filed directly with an agency, and copies of any protests that are filed with the Government Accountability Office (GAO), shall be served on the Contracting Officer (addressed as follows) by obtaining written and dated acknowledgment of receipt from:

Contracting Officer
Office of Acquisitions, DEA
NIAID, NIH, DHHS
6700-B Rockledge Drive, Room 3214, MSC 7612
Bethesda, MD 20892-7612

(b) The copy of any protest shall be received in the office designated above within one day of filing a protest with the GAO.

(End of Provision)

k. **LATE PROPOSALS AND REVISIONS**, HHSAR 352.215-70

Notwithstanding the procedures contained in FAR 52.215-1(c)(3) of the provision of this solicitation entitled Instructions to Offerors-Competitive Acquisition, a proposal received after the date specified for receipt may be considered if it offers significant cost or technical advantages to the Government; and it was received before proposals were distributed for evaluation, or within five calendar days after the exact time specified for receipt, whichever is earlier.

(End of provision)

2. INSTRUCTIONS TO OFFERORS

a. GENERAL INSTRUCTIONS

INTRODUCTION

The following instructions will establish the acceptable minimum requirements for the format and contents of proposals. Special attention is directed to the requirements for technical and business proposals to be submitted in accordance with these instructions.

(1) **Contract Type and General Clauses**

It is contemplated that a cost-reimbursement, completion type contract will be awarded. (See General Information) Any resultant contract shall include the clauses applicable to the selected offeror's organization and type of contract awarded as required by Public Law, Executive Order, or acquisition regulations in effect at the time of execution of the proposed contract.

(2) **Authorized Official and Submission of Proposal**

The proposal must be signed by an official authorized to bind your organization and must stipulate that it is predicated upon all the terms and conditions of this RFP. Your proposal shall be submitted in the number of copies, to the addresses, and marked as indicated in the Attachment entitled, PACKAGING AND DELIVERY OF PROPOSAL, Part III, Section J hereof. Proposals will be typewritten, paginated, reproduced on letter size paper and will be legible in all required copies. To expedite the proposal evaluation, all documents required for responding to the RFP should be placed in the following order:

I. COVER PAGE

Include RFP title, number, name of organization, DUNS No., identification of the proposal part, and indicate whether the proposal is an original or a copy.

II. TECHNICAL PROPOSAL

It is recommended that the technical proposal consist of a cover page, a table of contents, and the information requested in the Technical Proposal Instructions and as specified in SECTION J, List of Attachments **(See Appendix A - Attachment 7).**

III. BUSINESS PROPOSAL

It is recommended that the business proposal consist of a cover page, a table of contents, and the information **requested in the Business Proposal Instructions and as specified in SECTION J, List of Attachments (See Appendix B - Attachment 8).**

(3) **Proposal Summary and Data Record (NIH-2043)**

The Offeror must complete the Form NIH-2043, attached, with particular attention to the length of time the proposal is firm and the designation of those personnel authorized to conduct negotiations. (See Section J, Attachment entitled, PROPOSAL SUMMARY AND DATA RECORD.)

(4) **Separation of Technical and Business Proposals**

The proposal must be prepared in two parts: a "Technical Proposal" and a "Business Proposal." Each of the parts shall be separate and complete in itself so that evaluation of one may be accomplished independently of, and concurrently with, evaluation of the other. The technical proposal must include direct cost and resources information, such as labor-hours and categories and applicable rates, materials, subcontracts, travel, etc., and associated costs so that the offeror's understanding of the project may be evaluated (See Attachment entitled, TECHNICAL PROPOSAL COST INFORMATION/SUMMARY OF LABOR AND DIRECT COSTS). However, the technical proposal should **not** include pricing data relating to individual salary information, indirect cost rates or amounts, fee amounts (if any), and total costs. The

technical proposal should disclose your technical approach in as much detail as possible, including, but not limited to, the requirements of the technical proposal instructions.

(5) **Alternate Proposals**

You may, at your discretion, submit alternate proposals, or proposals which deviate from the requirements; provided, that you also submit a proposal for performance of the work as specified in the statement of work. Such proposals may be considered if overall performance would be improved or not compromised and if they are in the best interests of the Government. Alternative proposals, or deviations from any requirements of this RFP, shall be clearly identified.

(6) **Evaluation of Proposals**

The Government will evaluate technical proposals in accordance with the criteria set forth in Part IV, Section M of this RFP.

(7) **Potential Award Without Discussions**

The Government reserves the right to award a contract without discussions if the Contracting Officer determines that the initial prices are fair and reasonable and that discussions are not necessary.

(8) **Use of the Metric System of Measurement**

It is the policy of the Department of Health and Human Services to support the Federal transition to the metric system and to use the metric system of measurement in all procurement, grants, and other business related activities unless such use is impracticable or is likely to cause significant inefficiencies.

The offeror is encouraged to prepare their proposal using either "Hard Metric," "Soft Metric," or "Dual Systems" of measurement. The following definitions are provided for your information:

Hard Metric - The replacement of a standard inch-pound size with an accepted metric size for a particular purpose. An example of size substitution might be: selling or packaging liquids by the liter instead of by the pint or quart (as for soft drinks), or instead of by the gallon (as for gasoline).

Soft Metric - The result of a mathematical conversion of inch-pound measurements to metric equivalents for a particular purpose. The physical characteristics are not changed.

Dual Systems - The use of both inch-pound and metric systems. For example, an item is designed, produced, and described in inch-pound values with soft metric values also shown for information or comparison purposes.

(9) **Standards for Privacy of Individually Identifiable Health Information**

The Department of Health and Human Services (DHHS) issued final modifications to the “Standards for Privacy of Individually Identifiable Health Information,” the “Privacy Rule,” on August 14, 2002. The Privacy Rule is a federal regulation under the Health Insurance Portability and Accountability Act (HIPAA) of 1996 that governs the protection of individually identifiable health information and is administered and enforced by the DHHS Office for Civil Rights (OCR). Those who must comply with the Privacy Rule (classified under the Rule as “covered entities” must do so by April 14, 2003 (with the exception of small health plans which have an extra year to comply.

Decisions about the applicability and implementation of the Privacy Rule reside with the contractor and his/her institution. The OCR Web site (http://www.hhs.gov/ocr/) provides information of the Privacy Rule, including a complete Regulation Text and a set of decision tools on “Am I a covered entity?” Information on the impact of the HIPAA Privacy Rule on NIH processes involving the review, award, and administration of grants, cooperative agreements and contracts can be found at: http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-03-025.html.

(10) **Care of Live Vertebrate Animals**

a. The following notice is applicable when contract performance is expected to involve care of live vertebrate animals:

Notice to Offerors of Requirement for Compliance with the Public Health Service Policy on Humane Care and Use of Laboratory Animals (Revised 1986, Reprinted 2000)

The Public Health Service (PHS) Policy on Human Care and Use of Laboratory Animals establishes a number of requirements for research activities involving animals. Before a PHS award may be made to an applicant organization, the organization shall file, with the Office of Extramural Research (OER), Office of Laboratory Animal Welfare (OLAW), National Institutes of Health (NIH), PHS, a written Animal Welfare Assurance which commits the organization to comply with the provisions of the PHS Policy on Humane Care and Use of Laboratory Animals by Awardee Institutions, the Animal Welfare Act, and the Guide for the Care and Use of Laboratory Animals prepared by the Institute of Laboratory Animal Resources. In accordance with the PHS Policy on Humane Care and Use of Laboratory Animals by Awardee Institutions, applicant organizations must establish a committee, qualified through the experience and expertise of its members, to oversee the institution's animal program, facilities and procedures. No PHS award involving the use of animals shall be made unless the Animal Welfare Assurance has been approved by OER, OLAW. Prior to award, the Contracting Officer will notify Contractor(s) selected for projects that involve live vertebrate animals that an Animal Welfare Assurance is required. The Contracting Officer will request that OER, OLAW negotiate an acceptable Animal Welfare Assurance with those Contractor(s). For further information, OER, OLAW, may be contacted at Rockledge Center I - Suite 1050, 6705 Rockledge Drive, Bethesda, MD 20817, (301) 496-7163, ext 234. FAX copies are of the PHS Policy are available at (301) 402-2803. This policy is also available on the internet at http://www.grants.nih.gov/grants/olaw/olaw.htm.

b. The following information must be included in the offerors technical proposal:

- identification of the species and approximate number of animals to be used;
- rationale for involving animals, and for the appropriateness of the species and numbers used;
- a complete description of the proposed use of the animals;
- a description ofprocedures designed to assure that discomfort and injury to animals will be limited to that which is unavoidable in the conduct of scientifically valuable research, and that analgesic, anesthetic, and tranquilizing drugs will be used where indicated and appropriate to minimize discomfort and pain to animals; and
- a description of any euthanasia method to be used.

c. If an Animal Assurance is already in place, the offeror's proposal shall include:

-The Animal Welfare Assurance number.
-The date last certified by OLAW. (i.e. assurance letter from OLAW)
-Evidence of recent AAALAC Accreditation.

(11) **Obtaining and Disseminating Biomedical Research Resources**

As a public sponsor of biomedical research, the National Institutes of Health (NIH) has a dual interest in accelerating scientific discovery and facilitating product development. Intellectual property restrictions can stifle the broad dissemination of new discoveries and limit future avenues of research and product development. At the same time, reasonable restrictions on the dissemination of research tools are sometimes necessary to protect legitimate proprietary interests and to preserve incentives for commercial development. To assist NIH contractors achieve an appropriate balance, the NIH has provided guidance in the form of a two-part document, consisting of Principles setting forth the fundamental concepts and Guidelines that provide specific information to patent and license professionals and sponsored research administrators for implementation.

The purpose of these Principles and Guidelines is to assist NIH funding recipients in determining: 1) Reasonable terms and conditions for making NIH-funded research resources available to scientists in other institutions in the public and private sectors (disseminating research tools); and 2) Restrictions to accept as a condition of receiving access to research tools for use in NIH-funded research (acquiring research tools). The intent is to help recipients ensure that the conditions they impose and accept on the transfer of research tools will facilitate further biomedical research, consistent with the requirements of the Bayh-Dole Act and NIH funding policy.

This policy, entitled, "Sharing Biomedical Research Resources: Principles and Guidelines for Recipients of NIH Research Grants and Contracts," (Federal Register Notice, December 23, 1999 [64 FR 72090] will be included in any contract awarded from this solicitation. It can be found at the following website: http://ott.od.nih.gov/NewPages/64FR72090.pdf.

(a) **Sharing Research Data**

[Note: The NIH Guide announcement referenced below states that this policy is applicable to "all investigator-initiated applications with direct costs greater than $500,000 in any single year." This is an overall grant policy which requires that an applicant must seek agreement by NIH to accept assignment of their application in advance of the submission date. As such, this policy has no correlation to the contract process, therefore, the threshold is not applicable to contracts. Thus, this article applies to ***any*** *contract that may generate research data.]*

The NIH endorses the sharing of final research data to expedite the translation of research results into knowledge, products, and procedures to improve human health. This contract is expected to generate research data. Therefore, the offeror must submit a plan for data sharing or state why data sharing is not possible. If data sharing is limited, the offeror should explain such limitations in its data sharing plan. NIH's data sharing policy may be found at the following Web site:

http://grants.nih.gov/grants/guide/notice-files/NOT-OD-03-032.html

[If the resultant contract is part of a collaborative program involving multiple sites, the data sharing **will be governed by a dissemination plan to be developed jointly following award. Offerors must include in their proposals a statement of willingness to work collaboratively after award with the other funded sites to prepare a joint dissemination plan. Coordinating Center proposals should describe methods to coordinate the dissemination planning and implementation. The Coordinating Center must include a budget and justification for any additional costs of this collaborative effort.]**

(12) **Privacy Act - Treatment of Proposal Information**

The Privacy Act of 1974 (P.L. 93-579) requires that a Federal agency advise each individual whom it asks to supply information, the authority which authorizes the solicitation, whether disclosure is voluntary or mandatory, the principal purpose or purposes for which the information is intended to be used, the uses outside the agency which may be made of the information, and the effects on the individual, if any, of not providing all or any part of the requested information.

The NIH is requesting the information called for in this RFP pursuant to the authority provided by Sec. 301(a)(7) of the Public Health Service Act, as amended, and P.L. 92-218, as amended.

Providing the information requested is entirely voluntary. The collection of this information is for the purpose of conducting an accurate, fair, and adequate review prior to a discussion as to whether to award a contract.

Failure to provide any or all of the requested information may result in a less than adequate review.

In addition, the Privacy Act of 1974 (P.L. 93-579, Section 7) requires that the following information be provided when individuals are requested to disclose their social security number.

Provision of the social security number is voluntary. Social security numbers are requested for the purpose of accurate and efficient identification, referral, review and management of NIH contracting programs. Authority for requesting this information is provided by Section 301 and Title IV of the PHS Act, as amended.

The information provided by you may be routinely disclosed for the following purposes:

- to the cognizant audit agency and the General Accounting Office for auditing.
- to the Department of Justice as required for litigation.
- to respond to congressional inquiries.
- to qualified experts, not within the definition of Department employees, for opinions as a part of the review process.

(13) **Selection of Offerors**

a) The acceptability of the scientific and technical portion of each research contract proposal will be evaluated by a technical review committee. The committee will evaluate each proposal in strict conformity with the evaluation criteria of the RFP, utilizing point scores and written critiques. The committee may suggest that the Contracting Officer request clarifying information from an offeror.

b) The business portion of each contract proposal will be subjected to a cost and price analysis, management analysis, etc.

c) If award will be made without conducting discussions, offerors may be given the opportunity to clarify certain aspects of their proposal (e.g., the relevance of an offeror's past performance information and adverse past performance information to which the offeror has not previously had an opportunity to respond) or to resolve minor or clerical errors.

d) If the Government intends to conduct discussions prior to awarding a contract-

(1) Communications will be held with offerors whose past performance information is the determining factor preventing them from being placed within the competitive range. Such communications shall address adverse past performance information to which an offeror has not had a prior opportunity to respond. Also, communications may be held with any other offerors whose exclusion from, or inclusion in, the competitive range is uncertain.

Such communications shall not be used to cure proposal deficiencies or omissions that alter the technical or cost elements of the proposal, and/or otherwise revise the proposal, but may be considered in rating proposals for the purpose of establishing the competitive range.

(2) The Contracting Officer will, in concert with program staff, decide which proposals are in the competitive range. The competitive range will be comprised of all of the most highly rated proposals. Oral or written discussions will be conducted with all offerors in the competitive range.

While it is NIAID's policy to conduct discussions with all offerors in the competitive range, NIAID reserves the right, in special circumstances, to limit the number of proposals included in the competitive range to the greatest number that will permit an efficient competition. All aspects of the proposals are subject to discussions, including cost, technical approach, past performance, and contractual terms and conditions. At the conclusion of discussions, each offeror still in the competitive range shall be given an opportunity to submit a written Final Proposal Revision (FPR) with the reservation of the right to conduct finalization of details with the selected source in accordance with HHSAR 315.370.

e) The process described in FAR 15.101-1 will be employed, which permits the Government to make tradeoffs among cost or price and non-cost factors and to consider award to other than the lowest price offeror or other than the highest technically rated offeror. This process will take into consideration the results of the technical evaluation, the past performance evaluation (if applicable) and the cost analysis.

f) The NIAID reserves the right to make a single award, multiple awards, or no award at all to the RFP. In addition, the RFP may be amended or canceled as necessary to meet NIAID requirements. Synopses of awards exceeding $25,000 will be published in FedBizOpps.

(14) **Small Business Subcontracting Plan**

If the proposed contract exceeds a total estimated cost of $500,000 for the entire period of performance, the apparent successful offeror shall be required to submit an acceptable subcontracting plan in accordance with the terms of the clause entitled "Small Business Subcontracting Plan," FAR Clause No. 52.219-9, incorporated herein by reference in the Solicitation. See SECTION J, List of Attachments to this RFP for an example of such a plan.

a) THIS PROVISION DOES NOT APPLY TO SMALL BUSINESS CONCERNS.

b) The term "subcontract" means any agreement (other than one involving an employer-employee relationship) entered into by a Federal Government prime contractor or subcontractor calling for supplies or services required for the performance of the original contract or subcontract. This includes, but is not limited to, agreements/purchase orders for supplies and services such as equipment purchase, copying services, and travel services.

c) The offeror understands that:

(1) No contract will be awarded unless and until an acceptable plan is negotiated with the Contracting Officer which plan will be incorporated into the contract, as a material part thereof.

(2) An acceptable plan must, in the determination of the Contracting Officer, provide the maximum practicable opportunity for Small Businesses, Small Disadvantaged Businesses, Women-Owned Small businesses, HubZone Small Businesses, Veteran-Owned Small Businesses, and Service Disabled Veteran-Owned Small Businesses to participate in the performance of the contract.

(3) If a subcontracting plan acceptable to the Contracting Officer is not negotiated within the time limits prescribed by the contracting activity and such failure arises out of causes within the control and with the fault or negligence of the offeror, the offeror shall be ineligible for an award. The Contracting Officer shall notify the Contractor in writing of the reasons for determining a subcontracting plan unacceptable early enough in the negotiation process to allow the Contractor to modify the plan within the time limits prescribed.

(4) Prior compliance of the offeror with other such subcontracting plans under previous contracts will be considered by the Contracting Officer in determining the responsibility of the offeror for award of the contract.

(5) It is the offeror's responsibility to develop a satisfactory subcontracting plan with respect to Small Business Concerns, Small Disadvantaged Business Concerns, Women-Owned Small Business Concerns, HubZone Small Business Concerns, Veteran-Owned Small Business Concerns, and Service Disabled Veteran-Owned Small Business Concerns that each such aspect of the offeror's plan will be judged independent of the other.

(6) The offeror will submit, as required by the Contracting Officer, subcontracting reports in accordance with the instructions thereon, and as further directed by the Contracting Officer. Subcontractors will also submit these reports to the Government's Contracting Officer or as otherwise directed, with a copy to the prime Contractor's designated small and disadvantaged business liaison.

d) Each plan must contain the following:

(1) Goals, expressed in terms of percentages of total planned subcontracting dollars, for the use of Small, Small Disadvantaged, Women-Owned, HUBZone, Veteran-Owned, and Service Disabled Veteran-Owned Small Business Concerns as subcontractors.

(2) A statement of total dollars planned to be subcontracted. A statement of total dollars to be subcontracted to each of the following type of small business concerns: Small, Small Disadvantaged, Women-Owned, HUBZone, Veteran-Owned, and Service Disabled Veteran-Owned Small Businesses.

(3) A description of the principal types of supplies and services to be subcontracted with an identification of which supplies and services are expected to be subcontracted to Small, Small Disadvantaged, Women-Owned, HUBZone, Veteran-Owned, and/or Service Disabled Veteran-Owned Small Business Concerns.

(4) A description of the method used to develop the subcontracting goals.

(5) A description of the method used to identify potential sources for solicitation purposes.

(6) A statement as to whether or not indirect costs were included in establishing subcontracting goals. If they were, a description of the method used to determine the proportionate share of indirect costs to be incurred with Small, Small Disadvantaged, Women-Owned, HUBZone, Veteran-Owned, and Service Disabled Veteran-Owned Small Businesses.

(7) The name of the individual employed by the offeror who will administer the offeror's subcontracting program and a description of his/her duties.

(8) A description of the efforts the offeror will make to assure that Small, Small Disadvantaged, Women-Owned, HUBZone, Veteran-Owned, and Service Disabled Veteran-Owned Small Businesses have an equitable chance to compete for subcontracts.

(9) Assurances that the offeror will include in all subcontracts the contract clause "Utilization of Small Business Concerns." Assure that all subcontractors, other than small businesses, in excess of $500,000 adopt a plan similar to the plan agreed upon by the offeror.

(10) Assurances that the offeror (and any required subcontractors) will cooperate in studies or surveys as required and submit required reports (SF 294 and SF 295) to the Government.

(11) List the types of records the offeror will maintain to demonstrate procedures that have been adopted to comply with the requirement and goals in the plan, including establishing source lists. Also, the offeror shall describe its efforts to locate Small, Small Disadvantaged, Women-Owned, HUBZone, Veteran-Owned, and Service Disabled Veteran-Owned Small Businesses and award subcontracts to them.

For additional information about each of the above elements required to be contained the subcontracting plan, see FAR Clause 52.219-9, Small Business Subcontracting Plan, and the Sample Subcontracting Plan which is provided as an attachment to this RFP in SECTION J.

HHS expects each procuring activity to establish minimum subcontracting goals for all procurements. The anticipated minimum goals for this RFP are as follows:

23% for Small Business
5% for Small Disadvantaged Business
5% for Women-Owned Small Business
3% for HUBZone Small Business
3% for Veteran-Owned Small Business and Service-Disabled Veteran-Owned Small Business.

(15) **HUBZone Small Business Concerns**

Small Business offerors located in underutilized business zones, called "HUBZones," will be evaluated in accordance with FAR Clause 52.219-4, NOTICE OF PRICE EVALUATION PREFERENCE FOR HUBZONE SMALL BUSINESS CONCERNS, which is incorporated by reference in ARTICLE I.3. of this solicitation. Qualified HUBZone firms are identified in the Small Business Administration website at http://www.sba.gov/hubzone.

(16) **Extent of Small Disadvantaged Business Participation**

In accordance with FAR Subpart 15.304(c)(4), the extent of participation of Small Disadvantaged Business (SDB) concerns in performance of the contract in the authorized NAICS Subsectors shall be evaluated in unrestricted competitive acquisitions expected to exceed $500,000 ($1,000,000 for construction) subject to certain limitations (see FAR 19.1202-1 and 19.1202-2(b). The dollar amounts cited above include any option years/option quantities that may be included in this solicitation. The definition of a "small disadvantaged business" is cited in FAR 19.001.

The factor entitled “Extent of Small Disadvantaged Business Participation” as set forth under the Evaluation Criteria in Section M shall be used for evaluation purposes.

The Department of Commerce determines, on an annual basis, by Subsectors, as contained in the North American Industry Classification System (NAICS) code, and region, if any, the authorized SDB procurement mechanisms and applicable factors (percentages). TheNAICS codes can be found at:
http://www.sba.gov/size

The Department of Commerce website for the annual determination for NAICS codes* is:
http://www.arnet.gov/References/sdbadjustments.htm.

**Note: Public Law 103-355 which authorized the SDB Price Evaluation Adjustment (PEA) and associated percentages/factors expired on December 9, 2004, therefore, the percentages shown at this website are no longer applicable.*

Offerors shall include with their offers, SDB targets, expressed as dollars and percentages of total contract value, in each of the applicable, authorized NAICS Subsector(s). The applicable authorized NAICS Subsector(s) for this project is (are) identified elsewhere in this RFP. A total target for SDB participation by the prime contractor, that includes any joint ventures and team members, shall be provided as well as a total target for SDB participation by subcontractors. In addition, offerors must provide information that describes their plans for meeting the targets set forth in their proposal. **This information shall be provided in one clearly marked section of the Business Proposal, which shall describe the extent of participation of SDB concerns in the performance of the contract.**

If the evaluation factor in this solicitation includes an SDB evaluation factor or subfactor that considers the extent to which SDB concerns are specifically identified, the SDB concerns considered in the evaluation shall be listed in any resultant contract. Offerors should note that addressing the extent of small disadvantaged business participation **is not in any way intended to be a substitute** for submission of the subcontracting plan, if it is required by this solicitation. An example of the type of information that might be given (in addition to the narrative describing the plan for meeting the targets) follows:

EXAMPLE

Targets for SDB Participation - NAICS Subsector 223

	SDB Percentage of Total Contract Value	SDB Dollars
Total Contract Value- $1,000,000	25%	$250,000
SDB Participation by Prime	10%	$100,000
(Includes joint venture partners and team arrangements)*		
SDB Participation by subcontractors	15%	$150,000

*Note: FAR Subpart 9.6 defines “Contractor team arrangements” to include two or more companies forming a partnership or joint venture to act as a potential prime contractor, or a potential prime contractor who agrees with one or more companies to have them act as its subcontractors on a specific contract or acquisition program. For purposes of evaluation of the SDB participation factor, FAR 19.1202-4 requires that SDB joint ventures and teaming arrangements at the prime level be presented separately from SDB participation by subcontractors.

(17) **Salary Rate Limitation in Fiscal Year 2006**

[NOTE: This requirement will be revised in the resultant contract subject to the implementation of the FY06 Public Law covering the period of 10/01/2005 through 09/30/2006.]

Offerors are advised that pursuant to P.L. 108-447, no NIH Fiscal Year 2005 (October 1, 2004 - September 30, 2005) funds may be used to pay the direct annual salary of an individual through any contract awarded as a result of this solicitation at a rate in excess of the Executive Schedule, Level I* (direct salary is exclusive of Overhead, Fringe Benefits and General and Administrative expenses, also referred to as "indirect cost" or "facilities and administrative (F&A) costs"). Direct salary has the same meaning as the term "institutional base salary." An individual's direct salary (or institutional base salary) is the annual compensation that the contractor pays for an individual's appointment whether that individual's time is spent on research, teaching, patient care or other activities. Direct salary (or institutional base salary) excludes any income that an individual may be permitted to earn outside of duties to the contractor.

This does not preclude the offeror from absorbing that portion of an employee's annual salary (plus the dollar amount for fringe benefits and associated indirect costs) that exceeds a rate of the Executive Schedule, Level I*. The salary rate limitation set by P.L. 108-447 applies only to Fiscal Year 2005 funds, however, salary rate ceilings for subsequent years may be included in future DHHS appropriation acts. Multi-year contracts awarded pursuant to this solicitation may be subject to unilateral modifications by the Government if an individual's annual salary exceeds any salary rate ceiling established in future appropriations acts. The Executive Schedule, Level I* annual salary rate limit also applies to individuals proposed under subcontracts, however it does not apply to consultants. P.L. 108-447 states in pertinent part:

> "None of the funds appropriated in this Act for the National Institutes of Health, the Agency for Healthcare Research and Quality, and the Substance Abuse, and Mental Health Services Administration shall be used to pay the salary of an individual through a grant or extramural mechanism at a rate in excess of Executive Level I*."

LINK TO EXECUTIVE SCHEDULE SALARIES: http://www.opm.gov/oca/05tables/html/ex.asp

***Note to Offerors:** The current Fiscal Year Executive Level I Salary Rate should be adhered to in the preparation of your proposal. All costs associated with any resultant contract award will be required to be in compliance with the current Fiscal Year 2005 Executive Level I Salary rates.*

(18) **Institutional Responsibility Regarding Conflicting Interests of Investigators**

EACH INSTITUTION MUST:

(a) Maintain an appropriate written, enforced policy on conflict of interest that complies with 42 CFR Part 50 Subpart F and/or 45 CFR Part 94 as appropriate and inform each investigator of the Institution's policy, the Investigator's reporting responsibilities, and the applicable regulations. If the Institution carries out the NIH funded research through subgrantees, contractors or collaborators, the Institution must take reasonable steps to ensure that Investigators working for such entities comply with the regulations, either by requiring those investigators to comply with the Institution's policy or by requiring the entities to provide assurances to the Institution that will enable the Institution to comply with the regulations.

(b) Designate an Institutional official(s) to solicit and review financial disclosure statements from each Investigator who is planning to participate in NIH-funded research.

(c) Require that by the time an application/proposal is submitted to the NIH each investigator who is planning to participate in the NIH-funded research has submitted to the designated official(s) a listing of his/her known Significant Financial Interests (and those of his/her spouse and dependent children): (i) that would reasonably appear to be affected by the research for which the NIH funding is sought; and (ii) in entities whose financial interests would reasonably appear to be affected by the research. All financial disclosures must be updated during the period of the award, either on an annual basis or as new reportable Significant Financial Interests are obtained.

(d) Provide guidelines consistent with the regulations for the designated official(s) to identify conflicting interests and take such actions as necessary to ensure that such conflicting interests will be managed, reduced, or eliminated.

(e) Maintain records, identifiable to each award, of all financial disclosures and all actions taken by the institution with respect to each conflicting interest for: (1) in the case of grants, at least three years from the date of submission of the final expenditures report or, where applicable, from other dates specified in 45 CFR Part 74.53(b) and (2) in the case of contracts, 3 years after final payment or, where applicable, for the other time period specified in 48 CFR Part 4 Subpart 4.7, Contract Records Retention.

(f) Establish adequate enforcement mechanisms and provide for sanctions where appropriate.

(g) Certify, in each application/proposal for funding to which the regulations applies, that:

1) there is in effect at the Institution a written and enforced administrative process to identify and manage, reduce or eliminate conflicting interests with respect to all research projects for which funding is sought from the NIH;

2) prior to the Institution's expenditure of any funds under the award, the Institution will report to the awarding component the existence of a conflicting interest (but not the nature of the interest or other details) found by the Institution and assure that the interest has been managed, reduced or eliminated in accord with the regulations; and for any interest that the Institution identifies as conflicting subsequent to the expenditure of funds after award, the report will be made and the conflicting interest managed, reduced, or eliminated, at least on a temporary basis within sixty days of that identification;

3) the Institution agrees to make information available, upon request, to the awarding component regarding all conflicting interests identified by the Institution and how those interested have been managed, reduced, or eliminated to protect the research from bias; and

4) the Institution will otherwise comply with the regulations.

Institutional Management of Conflicting Interests

(a) The designated official(s) must: (1) review all financial disclosures; and (2) determine whether conflict of interest exists, and if so, determine what actions should be taken by the Institution to manage, reduce or eliminate such conflict of interest. **A conflict of interest exists when the designated official(s) reasonably determines that a Significant Financial Interest could directly and significantly affect the design, conduct, or reporting of the NIH-funded research**.

Examples of conditions or restrictions that might be imposed to manage actual or potential conflicts of interests include, but are not limited to:

(i) public disclosure of significant financial interests;
(ii) monitoring of research by independent reviewers;
(iii) modification of the research plan;
(iv) disqualification of the Investigator(s) from participation in all or a portion of the research funded by the awarding component;
(v) divestiture of significant financial interests; or
(vi) severance of relationships that create actual or potential conflicts of interests.

(b) An Institution may require the management of other conflicting financial interests in addition to those described in paragraph (a) of this section, as the Institution deems appropriate.

(19) **ROTC Access and Federal Military Recruiting on Campus**

Section 514 of the FY 1997 Appropriations Act prohibits NIH from providing contract funds to educational institutions that the Secretary of Defense determines have a policy or practice (regardless of when implemented) that either prohibits, or in effect prevents (1) the maintaining, establishing, or operation of a unit of the Senior Reserve Officer Training Corps at the covered education entity; or (2) a student at the covered educational entity from enrolling in a unit of the Senior Reserve Officer Training Corps at another institution of higher education.

Further, contract funds may not be provided to educational institutions that have a policy or practice that prohibits or prevents (1) entry to campuses, or access to students (who are 17 years of age or older) on campuses, for purposes of Federal military recruiting; or (2) access by military recruiters for purposes of Federal military recruiting to information pertaining to students (who are 17 years of age or older) enrolled at the covered educational entity.

(20) **Past Performance Information**

a) Offerors shall submit the following information as part of their **business** proposal.

A list of the **last 5 contracts completed during the past 3 years and the last 3 contracts awarded** currently in process that are similar in nature to the solicitation workscope. Contracts listed may include those entered into by the Federal Government, agencies of state and local governments and commercial concerns. Offerors that are newly formed entities without prior contracts should list contracts and subcontracts as required above for all key personnel.

Include the following information for each contract or subcontract:

1. Name of Contracting Organization
2. Contract Number (for subcontracts, provide the prime contract number and the subcontract number)
3. Contract Type
4. Total Contract Value
5. Description of Requirement
6. Contracting Officer's Name and Telephone Number
7. Program Manager's Name and Telephone Number
8. Standard Industrial Code

The offeror shall submit comparable information on all subcontractors that the offeror proposes to perform a major subcontract under this effort. For the purpose of this solicitation, a "major subcontract" is defined as any subcontract over $550,000.

The offeror may provide information on problems encountered on the identified contracts and the offeror's corrective actions.

b) Each offeror will be evaluated on its performance under existing and prior contracts for similar products or services. The Government is not required to contact all references provided by the offeror. Also, references other than those identified by the offeror may be contacted by the Government to obtain additional information that will be used in the evaluation of the offeror's past performance.

(21) **Electronic and Information Technology Accessibility**

Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d), as amended by P.L.105-220 under Title IV (Rehabilitation Act Amendments of 1998) and the Architectural and Transportation Barriers Compliance Board Electronic and Information Technology (EIT) Accessibility Standards (36 CFR part 1194) require that all EIT acquired must ensure that:

a. Federal employees with disabilities have access to and use of information and data that is comparable to the access and use by Federal employees who are not individuals with disabilities; and

b. Members of the public with disabilities seeking information or services from an agency have access to and use of information and data that is comparable to the access to and use of information and data by members of the public who are not individuals with disabilities.

This requirement includes the development, maintenance, and/or use of EIT products/services, therefore, any proposal submitted in response to this solicitation must demonstrate compliance with the established EIT Accessibility Standards.

Further information about Section 508 is available via the Internet at http://www.section508.gov .

(22) **Solicitation Provisions Incorporated by Reference, FAR 52.252-1 (February 1998)**

This Solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The offeror is cautioned that the listed provisions may include blocks that must be completed by the offeror and submitted with its quotation or offer. In lieu of submitting the full text provisions, the offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this address: http://www.arnet.gov/far/.

FEDERAL ACQUISITION REGULATION (48 CFR CHAPTER 1):

a) Data Universal Numbering System (DUNS) Number, FAR Clause 52.204-6 (October 2003).

b) Submission of Offers in the English Language, FAR Clause 52.214-34, (April 1991).

c) Submission of Offers in U.S. Currency, FAR Clause 52.214-35, (April 1991).

d) Facilities Capital Cost of Money, FAR Clause 52.215-16, (October 1997).

e) Order of Precedence-Uniform Contract Format, FAR Clause 52.215-8, (October 1997).

f) Preaward On-Site Equal Opportunity Compliance Evaluation, (Over $10,000,000), FAR Clause 52.222-24, (February 1999).

b. TECHNICAL PROPOSAL INSTRUCTIONS

A detailed work plan must be submitted indicating how each aspect of the statement of work is to be accomplished. Your technical approach should be in as much detail as you consider necessary to fully explain your proposed technical approach or method. The technical proposal should reflect a clear understanding of the nature of the work being undertaken. The technical proposal must include information on how the project is to be organized, staffed, and managed. Information should be provided which will demonstrate your understanding and management of important events or tasks.

(1) **Technical Discussions**

The technical discussion included in the technical proposal should respond to the items set forth below:

a) **Project Objectives, NIH-1688-1**

The offeror shall insert a completed NIH Form 1688-1, Project Objective, as provided in Section J, Attachments, behind the Title Page of each copy of the proposal, along with the "Government Notice for Handling Proposals." The NIH Form 1688-1 is to be completed as follows:

- For an **Institution of Higher Education:** The form MUST be completed in its entirety.
- For **OTHER** than an Institution of Higher Education: The starred items (Department, Service, Laboratory or Equivalent, and Major Subdivision) should be left blank.

The information required under the "Summary of Objectives" portion of the form MUST meet the requirements set forth in the section of the form entitled, **"INSTRUCTIONS:"**

b) **Statement of Work**

(1) Objectives

State the overall objectives and the specific accomplishments you hope to achieve. Indicate the rationale for your plan, and relation to comparable work in progress elsewhere. Review pertinent work already published which is relevant to this project and your proposed approach. This should support the scope of the project as you perceive it.

(2) Approach

Use as many subparagraphs, appropriately titled, as needed to clearly outline the general plan of work. Discuss phasing of research and, if appropriate, include experimental design and possible or probable outcome of approaches proposed.

(3) Methods

Describe in detail the methodologies you will use for the project, indicating your level of experience with each, areas of anticipated difficulties, and any unusual expenses you anticipate.

(4) Schedule

Provide a schedule for completion of the work and delivery of items specified in the statement of work. Performance or delivery schedules shall be indicated for phases or segments, as applicable, as well as for the overall program. Schedules shall be shown in terms of calendar months from the date of authorization to proceed or, where applicable, from the date of a stated event, as for example, receipt of a required approval by the Contracting Officer. Unless the request for proposal indicates that the stipulated schedules are mandatory, they shall be treated as desired or recommended schedules. In this event, proposals based upon the offeror's best alternative schedule, involving no overtime, extra shift or other premium, will be accepted for consideration.

c) **Personnel**

Describe the experience and qualifications of personnel who will be assigned for direct work on this program. Information is required which will show the composition of the task or work group, its general qualifications, and recent experience with similar equipment or programs. Special mention shall be made of direct technical supervisors and key technical personnel, and the approximate percentage of the total time each will be available for this program.

OFFERORS SHOULD ASSURE THAT THE PRINCIPAL INVESTIGATOR, AND ALL OTHER PERSONNEL PROPOSED, SHALL NOT BE COMMITTED ON FEDERAL GRANTS AND CONTRACTS FOR MORE THAN A TOTAL OF 100% OF THEIR TIME. IF THE SITUATION ARISES WHERE IT IS DETERMINED THAT A PROPOSED EMPLOYEE IS COMMITTED FOR MORE THAN 100% OF HIS OR HER TIME, THE GOVERNMENT WILL REQUIRE ACTION ON THE PART OF THE OFFEROR TO CORRECT THE TIME COMMITMENT.

(1) Principal Investigator/Project Director

List the name of the Principal Investigator/Project Director responsible for overall implementation of the contract and key contact for technical aspects of the project. Even though there may be co-investigators, identify the Principal Investigator/Project Director who will be responsible for the overall implementation of any awarded contract. Discuss the qualifications, experience, and accomplishments of the Principal Investigator/Project Director. State the estimated time to be spent on the project, his/her proposed duties, and the areas or phases for which he/she will be responsible.

(2) Other Investigators

List all other investigators/professional personnel who will be participating in the project. Discuss the qualifications, experience, and accomplishments. State the estimated time each will spend on the project, proposed duties on the project, and the areas or phases for which each will be responsible.

(3) Additional Personnel

List names, titles, and proposed duties of additional personnel, if any, who will be required for full-time employment, or on a subcontract or consultant basis. The technical areas, character, and extent of subcontract or consultant activity will be indicated and the anticipated sources will be specified and qualified. For all proposed personnel who are not currently members of the offeror's staff, a letter of commitment or other evidence of availability is required. A resume does not meet this requirement. Commitment letters for use of consultants and other personnel to be hired must include:

-The specific items or expertise they will provide.

-Their availability to the project and the amount of time anticipated.

-Willingness to act as a consultant.

-How rights to publications and patents will be handled.

(4) Resumes

Resumes of all key personnel are required. Each must indicate educational background, recent experience, specific or technical accomplishments, and a listing of relevant publications.

(2) **Technical Evaluation**

Proposals will be technically evaluated in accordance with the factors, weights, and order of relative importance as described in the Technical Evaluation Criteria, Section M., below).

(3) **Additional Technical Proposal Information**

a) Proposals which merely offer to conduct a program in accordance with the requirements of the Government's scope of work will not be eligible for award. The offeror must submit an explanation of the proposed technical approach in conjunction with the tasks to be performed in achieving the project objectives.

b) The technical evaluation is conducted in accordance with the weighted technical evaluation criteria by an initial review panel. This evaluation produces a numerical score (points) which is based upon the information contained in the offeror's proposal only.

(4) **Other Considerations**

Record and discuss specific factors not included elsewhere which support your proposal. Using specifically titled subparagraphs, items may include:

a) Any agreements and/or arrangements with subcontractor(s). Provide as much detail as necessary to explain how the statement of work will be accomplished within this working relationship.

b) Unique arrangements, equipment, etc., which none or very few organizations are likely to have which is advantageous for effective implementation of this project.

c) Equipment and unusual operating procedures established to protect personnel from hazards associated with this project.

d) Other factors you feel are important and support your proposed research.

e) Recommendations for changing reporting requirements if such changes would be more compatible with the offeror's proposed schedules.

IMPORTANT NOTE TO OFFERORS: The following 12 paragraphs [(5) through (16)] shall be addressed in a SEPARATE SECTION of the Technical Proposal entitled, "HUMAN SUBJECTS."

(5) **Human Subjects**

The following notice is applicable when contract performance is expected to involve risk to human subjects:

Notice to Offerors of Requirements of 45 CFR Part 46, Protection of Human Subjects (MARCH 2005)

(a) Copies of the Department of Health and Human Services (Department) regulations for the protection of human subjects, 45 CFR Part 46, are available from the Office for Human Research Protections (OHRP), Bethesda, Maryland 20892. The regulations provide a systematic means, based on established ethical principles, to safeguard the rights and welfare of individuals who participate as subjects in research activities supported or conducted by the Department.

(b) The regulations define a human subject as a living individual about whom an investigator (whether professional or student) conducting research obtains data through intervention or interaction with the individual, or identifiable private information. The regulations extend to the use of human organs, tissue, and body fluids from individually identifiable human subjects as well as to graphic, written, or recorded information derived from individually identifiable human subjects. The use of autopsy materials is governed by applicable State and local law and is not directly regulated by 45 CFR Part 46.

(c) Activities in which the only involvement of human subjects will be in one or more of the categories set forth in 45 CFR 46.101(b)(1-6) are exempt from coverage.

(d) Inappropriate designations of the noninvolvement of human subjects or of exempt categories of research in a project may result in delays in the review of a proposal. The OpDiv will make a final determination of whether the proposed activities are covered by the regulations or are in an exempt category, based on the information provided in the proposal. In doubtful cases, prior consultation with OHRP, (telephone: 301-496-7005), is recommended.

(e) In accordance with 45 CFR Part 46, prospective Contractors being considered for award shall be required to file with OHRP an acceptable Assurance of Compliance with the regulations, specifying review procedures and assigning responsibilities for the protection of human subjects. The initial and continuing review of a research project by an institutional review board shall assure that the rights and welfare of the human subjects involved are adequately protected, that the risks to the subjects are reasonable in relation to the potential benefits, if any, to the subjects and the importance of the knowledge to be gained, and that informed consent will be obtained by methods that are adequate and appropriate. The contracting officer will direct the offeror/contractor to the OHRP IRB Registration and Assurance Filing website, found at http://www.hhs.gov/ohrp/ or to the physical address if the offeror/contractor cannot access the Internet. HHS regulations for the protection of human subjects may be found at:

http://www.access.gpo.gov/nara/cfr/waisidx_01/45cfr46_01.html

(f) It is recommended that OHRP be consulted for advice or guidance concerning either regulatory requirements or ethical issues pertaining to research involving human subjects.

(End of provision)

(6) **Instructions to Offerors Regarding Protection of Human Subjects**

Offerors must address the following human subjects protections issues if this contract will be for research involving human subjects (note: under each of the following points below, the offeror should indicate whether the information provided relates to the primary research site, or to a collaborating performance site(s), or to all sites:

(a) Risks to the subjects

Human Subjects Involvement and Characteristics:

- Describe the proposed involvement of human subjects in response to the solicitation.
- Describe the characteristics of the subject population, including their anticipated number, age range, and health status.
- Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as fetuses, pregnant women, children, prisoners, institutionalized individuals, or others who are likely to be vulnerable populations.

Sources of Materials:

- Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

Potential Risks:

- Describe the potential risks to subjects (physical, psychological, social, legal, or other) and assess their likelihood and seriousness to the subjects.

- Describe alternative treatments and procedures, including the risks and benefits of the alternative treatments and procedures, to participants in the proposed research, where appropriate.

(b) Adequacy of Protection Against Risks

Recruitment and Informed Consent:

- Describe plans for the recruitment of subjects and the procedures for obtaining informed consent. Include a description of the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. The informed consent document for the contractor and any collaborating sites should be submitted only if requested elsewhere in the solicitation. Be aware that an IRB-approved informed consent document for the contractor and any participating collaborative sites must be provided to the Government prior to patient accrual or participant enrollment.

Protection Against Risk:

- Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness.

- Discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects where appropriate.

- In studies that involve interventions, describe the provisions for data and safety monitoring of the research to ensure the safety of subjects.

(c) Potential Benefits of the Proposed Research to the Subjects and Others

- Discuss the potential benefits of the research to the subjects and others.

- Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and others.

- Describe treatments and procedures that are alternatives to those provided to the participants by the proposed research, where appropriate.

(d) Importance of the Knowledge to be Gained

- Discuss the importance of the knowledge gained or to be gained as a result of the proposed research.

- Discuss why the risks to subjects are reasonable in relation to the importance of the knowledge that may reasonably be expected to result.

Note: If a test article (investigational new drug, device, or biologic) is involved, name the test article and state whether the 30-day interval between submission of offeror's certification to the Food and Drug Administration (FDA) and its response has elapsed or has been waived and/or whether the FDA has withheld or restricted use of the test article.

Collaborating Site(s)

When research involving human subjects will take place at collaborating site(s) or other performance site(s), the offeror must provide in this section of its proposal a list of the collaborating sites and their assurance numbers. Further, if you are awarded a contract, you must obtain in writing, and keep on file, an assurance from each site that the previous points have been adequately addressed at a level of attention that is at least as high as that documented at your organization. Site(s) added after an award is made must also adhere to the above requirements.

(7) **Required Education in the Protection of Human Research Participants**

NIH policy requires education on the protection of human subject participants for all investigators submitting NIH proposals for contracts for research involving human subjects. This policy announcement is found in the NIH Guide for Grants and Contracts Announcement dated June 5, 2000 at the following website: http://grants.nih.gov/grants/guide/notice-files/NOT-OD-00-039.html. Offerors should review the policy announcement prior to submission of their offers. The following is a summary of the Policy Announcement:

For any solicitation for research involving human subjects, the offeror shall provide in its technical proposal the following information: (1) a list of the names of the principal investigator and any other individuals proposed under the contract who are responsible for the design and/or conduct of the research; (2) the title of the education program completed (or to be completed prior to the award of the contract) for each named personnel; (3) a one sentence description of the program(s) listed in (2) above. This requirement extends to investigators and all individuals responsible for the design and/or conduct of the research who are working as subcontractors or consultants under the contract.

Curricula that are readily available and meet the educational requirement include the NIH on-line tutorial, titled "Protection of Human Research Subjects: Computer-Based Training for Researchers," available at http://ohsr.od.nih.gov/cbt/. You may download the information at this site at no cost and modify it, if desired. The University of Rochester has made its training program available for individual investigators. Completion of this program will also satisfy the educational requirement. The University of Rochester manual can be obtained through Centerwatch, Inc. at
http://www.centerwatch.com/order/pubs_profs_protect.html.
In addition, the NIAID sponsors an online training course at:
http://cme.cancer.gov/clinicaltrials/learning/humanparticipant-protections.asp.
If an institution already has developed educational programs on the protection of research participants, completion of these programs also will satisfy the educational requirement.

In addition, prior to the substitution of the principal investigator or any other individuals responsible for the design and/or conduct of the research under the contract, the contractor shall provide the contracting officer with the title of the education program and a one sentence description of the program that the replacement has completed.

(8) **Inclusion of Women and Minorities in Research Involving Human Subjects**

It is NIH policy that women and members of minority groups and their sub-populations must be included in all NIH-supported clinical research projects involving human subjects, unless a clear and compelling rationale and justification establishes to the satisfaction of the relevant Institute/Center Director that inclusion is inappropriate with respect to the health of the subjects or the purpose of the research. The Director, NIH, may determine that exclusion under other circumstances is acceptable, upon the recommendation of an Institute/Center Director, based on a compelling rationale and justification. Cost is not an acceptable reason for exclusion except when the study would duplicate data from other sources. Women of childbearing potential should not be routinely excluded from participation in clinical research. This policy results from the NIH Revitalization Act of 1993 (Section 492B of Public Law 103-43), ***and applies to research subjects of all ages***.

All investigators proposing research involving human subjects should read the UPDATED "NIH Policy and Guidelines on the Inclusion of Women and Minorities as Subjects in Clinical Research, Amended October 2001," published in the NIH Guide for Grants and Contracts on October 9, 2001 at the following web site:

http://grants.nih.gov/grants/funding/women_min/guidelines_amended_10_2001.htm

These guidelines contain a definition of **clinical research** adopted in June 2001, as: "(1) Patient-oriented research. Research conducted with human subjects (or on material of human origin such as tissues, specimens and cognitive phenomena) for which an investigator (or colleague) directly interacts with human subjects. Excluded from this definition are in vitro studies that utilize human tissues that cannot be linked to a living individual. Patient-oriented research includes (a) mechanisms of human disease, (b) therapeutic interventions, (c) clinical trials, and (d) development of new technologies; (2) Epidemiologic and behavioral studies; and (3) Outcomes research and health services research," at:

(http://www.nih.gov/news/crp/97report/execsum.htm).

Information Required for ALL Clinical Research Proposals

This solicitation contains a review criterion addressing the adequacy of: (1) the offeror's plans for inclusion of women and minorities in the research proposed; or (2) the offeror's justification(s) for exclusion of one or both groups from the research proposed.

Provide information on the composition of the proposed study population in terms of sex/gender and racial/ethnic groups and provide a rationale for selection of such subjects in response to the requirements of the solicitation. The description may include (but is not limited to) information on the population characteristics of the disease or condition being studied in the planned research, and/or described in the statement of work, national and local demography, knowledge of the racial/ethnic/cultural characteristics of the population, prior experience and collaborations in recruitment and retention of the populations and subpopulations to be studied, and the plans, arrangements and letters of commitment from relevant community groups and organizations for the planned research.

The proposal must include the following information:

- A description of the subject selection criteria
- The proposed dates of enrollment (beginning and end)
- A description of the proposed outreach programs for recruiting women and minorities as subjects
- A compelling rationale for proposed exclusion of any sex/gender or racial/ethnic group
- The proposed sample composition using the "Targeted/Planned Enrollment Table"(see Section J, Attachments)

NOTE 1: *For all proposals, use the ethnic and racial categories and complete the "Targeted/Planned Enrollment Table in accordance with the Office of Management and Budget (OMB) Directive No. 15, which may be found at: http://www.whitehouse.gov/OMB/fedreg/ombdir15.html.*

NOTE 2: *If this is an Indefinite Delivery, Indefinite Quantity (IDIQ) or Requirements contract as defined in FAR 16.5, the proposal should describe in general terms how it will comply with each bulleted item above for each task order. When the Government issues a task order request for proposal, each of the bulleted information items must be fully and specifically addressed in the proposal.*

Standards for Collecting Data. When you, as a contractor, are planning data collection items on race and ethnicity, you shall use, at a minimum, the categories identified in OMB Directive No. 15. The collection of greater detail is encouraged. However, you should design any additional, more detailed items so that they can be aggregated into these required categories. Self-reporting or self-identification using two separate questions is the preferred method for collecting data on race and ethnicity. When you collect race and ethnicity separately, you must collect ethnicity first. You shall offer respondents the option of selecting one or more racial designations. When you collect data on race and ethnicity separately, you shall also make provisions to report the number of respondents in each racial category who are Hispanic or Latino. When you present aggregate data, you shall provide the number of respondents who selected only one category, for each of the five racial categories. If you collapse data on multiple responses, you shall make available,

at a minimum, the total number of respondents reporting "more than one race." Federal agencies shall not present data on detailed categories if doing so would compromise data quality or confidentiality standards.

In addition to the above requirements, solicitations for **NIH defined Phase III clinical trials**[1] require that*:* a) all proposals and/or protocols provide a description of plans to conduct analyses, as appropriate, to detect significant differences in intervention effect (see NIH Guide:
http://grants.nih.gov/grants/funding/women_min/guidelines_amended_10_2001.htm,
Definitions - Significant Difference), by sex/gender, racial/ethnic groups, and relevant subpopulations, if applicable; and b) all contractors to report annually cumulative subject accrual, and progress in conducting analyses for sex/gender and race/ethnicity differences.

Offerors may obtain copies of the Updated Guidelines from the sources above or from the contact person listed in the solicitation.

Also, the proposal must include one of the following plans:

- Plans to conduct valid analysis to detect significant differences in intervention effect among sex/gender and/or racial/ethnic subgroups when prior studies strongly support these significant differences among subgroups, OR

- Plans to include and analyze sex/gender and/or racial/ethnic subgroups when prior studies strongly support no significant differences in intervention effect between subgroups, OR

- Plans to conduct valid analyses of the intervention effect in sex/gender and/or racial/ethnic subgroups (without requiring high statistical power for each subgroup) when the prior studies neither support nor negate significant differences in intervention effect between subgroups.

Use the form entitled, "Targeted/Planned Enrollment Table," when preparing your response to the solicitation requirements for inclusion of women and minorities. (See Section J-List of Documents, Exhibits and Other Attachments of the RFP)

Unless otherwise specified in this solicitation, the Government has determined that the work required by this solicitation does not involve a sex/gender specific study or a single or limited number of minority population groups. Therefore, the NIH believes that the inclusion of women and minority populations is appropriate for this project. (See Section M of this RFP for more information about evaluation factors for award.)

Use the form entitled, "Inclusion Enrollment Report," for reporting in the resultant contract.

(9) **Inclusion of Children in Research Involving Human Subjects**

It is NIH policy that children (defined below) must be included in all human subjects research, including, but not limited to, clinical trials, conducted under a contract funded by the NIH, unless there are *clear and compelling* reasons not to include them. (See examples of Justifications for Exclusion of Children below). For the purposes of this policy, contracts involving human subjects include categories that would otherwise be exempt from the DHHS Policy for Protection of Human Research Subjects (sections 101(b) and 401(b) of 45 CFR 46), such as surveys, evaluation of educational interventions, and studies of existing data or specimens that should include children as participants. This policy applies to both domestic and foreign research contracts.

For purposes of this policy, a child is defined as an individual under the age of 21 years.

---

1 See NIH Guide http://grants.nih.gov/grants/funding/women_min/guidelines_amended_10_2001.htm, for the Definition of an "NIH-Defined Phase III clinical trial.

All offerors proposing research involving human subjects should read the "NIH Policy and Guidelines on the Inclusion of Children as Participants in Research Involving Human Subjects" which was published in the NIH Guide for Grants and Contracts on March 6, 1998 and is available at the following URL address:

http://www.nih.gov/grants/guide/notice-files/not98-024.html

Offerors also may obtain copies from the contact person listed in the RFP.

Inclusion of children as participants in research must be in compliance with all applicable subparts of 45 CFR 46 as well as other pertinent laws and regulations whether or not such research is otherwise exempted from 45 CFR 46. Therefore, any proposals must include a description of plans for including children, unless the offeror presents clear and convincing justification for an exclusion. The "Human Subjects" section of your technical proposal should provide either a description of the plans to include children and a rationale for selecting or excluding a specific age range of child, or an explanation of the reason(s) for excluding children as participants in the research. This solicitation contains a review criterion addressing the adequacy of: (1) the plans for including children as appropriate for the scientific goals of the research; and/or (2) the justification of exclusion of children or exclusion of a specific age range of children.

When children are included, the plan also must include a description of: (1) the expertise of the investigative team for dealing with children at the ages included; (2) the appropriateness of the available facilities to accommodate the children; and, (3) the inclusion of a sufficient number of children to contribute to a meaningful analysis relative to the purpose/objective of the solicitation.

Justifications for Exclusion of Children

It is expected that children will be included in all research involving human subjects unless one or more of the following exclusionary circumstances can be fully justified:

- The objective of the solicitation is not relevant to children.

- There are laws or regulations barring the inclusion of children in the research to be conducted under the solicitation.

- The knowledge being sought in the research is already available for children or will be obtained from another ongoing study, and an additional study will be redundant. You should provide documentation of other studies justifying the exclusion.

    - A separate, age-specific study in children is warranted and preferable. Examples include:
    - The relative rarity of the condition in children, as compared with adults (in that extraordinary effort would be needed to include children); or
    - The number of children is limited because the majority are already accessed by a nationwide pediatric disease research network; or
    - Issues of study design preclude direct applicability of hypotheses and/or interventions to both adults and children (including different cognitive, developmental, or disease stages of different age-related metabolic processes); or
    - Insufficient data are available in adults to judge potential risk in children (in which case one of the research objectives could be to obtain sufficient adult data to make this judgment). While children usually should not be the initial group to be involved in research studies, in some instances, the nature and seriousness of the illness may warrant their participation earlier based on careful risk and benefit analysis; or
    - Study designs aimed at collecting additional data on pre-enrolled adult study subjects (e.g., longitudinal follow-up studies that did not include data on children);
    - Other special cases justified by the offeror and found acceptable to the review group and the Institute Director

Definition of a Child

For the purpose of this solicitation, a child is defined as an individual under the age of 21 years. The definition of child described above will pertain to this solicitation (notwithstanding the FDA definition of a child as an individual from infancy to 16 years of age, and varying definitions employed by some states). Generally, State laws define what constitutes a "child," and such definitions dictate whether or not a person can legally consent to participate in a research study. However, State laws vary, and many do not address when a child can consent to participate in research. Federal Regulations (45 CFR 46, subpart D, Sec.401-409) address DHHS protections for children who participate in research, and rely on State definitions of "child" for consent purposes. Consequently, the children included in this policy (persons under the age of 21) may differ in the age at which their own consent is required and sufficient to participate in research under State law. For example, some states consider a person age 18 to be an adult and therefore one who can provide consent without parental permission.

(10) **Data and Safety Monitoring in Clinical Trials**

All offerors are directed to the full text of the NIH Policies regarding Data and Safety Monitoring and Reporting of Adverse Events that are found in the NIH Guide for Grants and Contracts Announcements at the following web sites:

http://grants.nih.gov/grants/guide/notice-files/not98-084.html
http://grants.nih.gov/grants/guide/notice-files/not99-107.html
http://grants.nih.gov/grants/guide/notice-files/NOT-OD-00-038.html

All offerors receiving an award under this solicitation must comply with the NIH Policy cited in these NIH Announcements and any other data and safety monitoring requirements found elsewhere in this solicitation.

The following is a brief summary of the Data and Safety Monitoring and Adverse Event Reporting Requirements:

Data and Safety Monitoring is required for every clinical trial. Monitoring must be performed on a regular basis and the conclusions of the monitoring reported to the Project Officer.

The type of data and safety monitoring required will vary based on the type of clinical trial and the potential risks, complexity and nature of the trial. A plan for data and safety monitoring is required for all clinical trials. A general description of a monitoring plan establishes the overall framework for data and safety monitoring. It should describe the entity that will be responsible for the monitoring, and the policies and procedures for adverse event reporting. Phase III clinical trials generally require the establishment of a Data Safety Monitoring Board (DSMB). The establishment of a DSMB is optional for Phase I and Phase II clinical trials.

The DSMB/Plan is established at the time the protocol is developed and must be approved by both the Institutional Review Board (IRB) and the Government and in place before the trial begins. If the protocol will be developed under the contract awarded from this solicitation, a general description of the data and safety monitoring plan must be submitted as part of the proposal and will be reviewed by the scientific review group (Technical Evaluation Panel, (TEP)) convened to evaluate the proposal. If the protocol is developed and is included as part of the submitted proposal, a complete and specific data and safety monitoring plan must be submitted as part of the proposal.

Monitoring Plans, at a minimum, must include the prompt reporting of adverse events to the IRB, the NIH Office of Biotechnology Activities (OBA), and the Food and Drug Administration (FDA). Also, in the plan you should describe the frequency of reporting of the conclusions of the monitoring activities. The overall elements of each plan may vary depending on the size and complexity of the trial. The NIH Policy for Data and Safety Monitoring at http://grants.nih.gov/grants/guide/notice-files/not98-084.html describes examples of monitoring activities to be considered.

The frequency of monitoring will depend upon potential risks, complexity, and the nature of the trial; therefore a number of options for monitoring trials are available. These can include, but are not limited to, monitoring by a:

- Principal Investigator (required)
- Independent individual /Safety Officer
- Designated medical monitor
- Internal Committee or Board with explicit guidelines
- Data and Safety Monitoring Board (DSMB - required for multisite trials)
- Institutional Review Board (IRB - required)

For multi-site Phase I and Phase II trials, a central reporting entity that will be responsible for preparing timely summary reports of adverse events for distribution among sites and IRBs should be considered.

Organizations with a large number of clinical trials may develop standard monitoring plans for Phase I and Phase II trials. In this case, such organizations may include the IRB-approved monitoring plan as part of the proposal submission.

(11) **Research Involving Human Fetal Tissue**

Human Fetal Tissue means tissue or cells obtained from a dead human fetus, including human embryonic stem cells, human pluripotent stem cells and human embryonic germ cells.

The governing federal statute is the Public Health Service Act, 42 U.S.C. 289g-1 and 289g-2. Implementing regulations and guidance for conducting research on human fetal tissue may be found at 45 CFR 46, Subpart B and http://grants1.nih.gov/grants/guide/notice-files/not93-235.html and any subsequent revisions to this NIH Guide to Grants and Contracts ("Guide") Notice.

By signing the face page of the proposal, the offeror (authorized institutional official) certifies that researchers using human fetal tissue are in compliance with 42 USC 289g-2. This statute specifically prohibits any person from knowingly acquiring, receiving, or transferring any human fetal tissue for valuable consideration. "Valuable consideration" is a concept similar to profit, and does not include reasonable payment for costs associated with the collection processing, preservation, storage, quality control or transportation of these tissues.

Research involving the transplantation of human fetal tissue must be conducted in accordance with applicable Federal, State and local law.

(12) **Research Involving Prisoners as Subjects**

a. HHS Regulations at 45 CFR Part 46, Subpart C provide additional protections pertaining to biomedical and behavioral research involving prisoners or those individuals who, during the period of the contract become prisoners, as subjects. These regulations also set forth the duties of the Institutional Review Board (IRB) where prisoners are involved in the research. HHS-funded research involving prisoners as subjects may not proceed until the Office for Human Research Protections (OHRP) issues approval, in writing, as required by 45 CFR 46.306(a)(2). In addition, OHRP Guidance on the Involvement of Prisoners in Research may be found at:
http://ohrp.osophs.dhhs.gov/humansubjects/guidance/prisoner.htm

b. HHS Waiver for Epidemiological Research Involving Prisoners as Subjects

On June 20, 2003 the Secretary of HHS waived the applicability of certain provisions of Subpart C of 45 CFR Part 46, (Additional DHHS Protections Pertaining to Biomedical and Behavioral Research Involving Prisoners as Subjects) to specific types of epidemiological research involving prisoners as subjects.

The applicability of 45 CFR 46.305(a)(1) and 46.306(a)(2) for certain epidemiological research conducted or funded by DHHS is waived when:

1. The sole purposes are:

a) to describe the prevalence or incidence of a disease by identifying all cases, or
b) to study potential risk factor associations for a disease, and

2. The Institution responsible for the conduct of the research certifies to the OHRP that the Institutional Review Board (IRB) approved the research and fulfilled its duties under 45 CFR 46.305(a)(2-7) and determined and documented that:

   a) the research presents no more than minimal risk, and
   b) no more than inconvenience to the prisoner-subjects, and
   c) prisoners are not a particular focus of the research.

For more information about this Waiver see http://www.hhs.gov/ohrp/special/prisoners/Prisoner waiver 6-20-03.pdf

(13) **Research Involving Recombinant DNA Molecules (including Human Gene Transfer Research)**

Recombinant DNA Molecules are either 1) molecules that are constructed outside of living cells by joining natural or synthetic DNA segments to DNA molecules that can replicate in a living cell, or 2) DNA molecules that result from the replication of those described in 1).

The NIH Guidelines for Research Involving Recombinant DNA Molecules (http://www4.od.nih.gov/oba/rac/guidelines/guidelines.html and the May 28, 2002 Notice, Compliance with the NIH Guidelines for Research Involving Recombinant DNA Molecules, at:
(http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-02-052.html)
and any subsequent revisions to the Guide Notice) stipulates biosafety and containment measures for recombinant DNA research and delineates critical, ethical principles and key safety reporting requirements for human gene transfer research (See Appendix M of the NIH Guidelines). These guidelines apply to both basic and clinical research studies.

The Recombinant DNA Advisory Committee (RAC) is charged with the safety of manipulation of genetic material through the use of recombinant DNA techniques. Prior to beginning any clinical trials involving the transfer of recombinant DNA to humans, the trial must be registered with the RAC. If this contract involves new protocols that contain unique and//or novel issues, the RAC must discuss them in a public forum and then the Institutional Biosafety Committee (IBC), the Institutional Review Board (IRB), and the project officer and contracting officer must approve the protocol prior to the start of the research.

Failure to comply with these requirements may result in suspension, limitation, or termination of NIH funding for any work related to Recombinant DNA Research or a requirement for the contracting officer's prior approval of any or all Recombinant DNA projects under any contract awarded from this solicitation. This includes the requirements of the Standing Institutional Biosafety Committee (IBC) (See http://www4.od.nih.gov/oba/IBC/IBCindexpg.htm).

As specified in Appendix M-1-C-4 of the NIH Guidelines, any serious adverse event must be reported immediately to the IRB, the IBC, the Office for Human Research Protections (if applicable), and the NIH Office for Biotechnology Activities (OBA), followed by the filing of a written report with each office/group and copies to the project officer and contracting officer.
(http://www4.od.nih.gov/oba/rac/guidelines_02/Appendix_M.htm#_Toc7255836)

(14) **Human Embryonic Germ Cell (HEGC) Research**

1. Guidelines.

   Research use of human embryonic germ cells derived from fetal tissue with Federal funds requires review of compliance with the NIH Guidelines for Research Using Human Pluripotent Stem Cells (http://stemcells.nih.gov/policy/guidelines.asp) (only the information regarding human embryonic germ cells is relevant). Embryonic germ cells are pluripotent stem cells derived from human embryos. See NIH Guide for Grants and Contracts Notice NOT-OD-02-049, requiring that offerors/contractors submit certain documents to the Human Pluripotent Stem Cell Review Group (HPSCRG), which will be reviewed in a public meeting. Research using human embryonic germ cells may not be performed prior to approval by the HPSCRG.

All offerors should read the "NIH Guidelines" (http://stemcells.nih.gov/policy/guidelines.asp) if they either: (1) propose to respond to the Statement of Work requirements by conducting research that uses human embryonic germ cells or, (2) are responding to a Statement of Work that requires the use of human embryonic germ cells.

Offerors may obtain copies of these Guidelines from the website above or from the contact person listed in this solicitation.

2. Procedure for Required Review by Human Pluripotent Stem Cell Review Group (HPSCRG)

If the offeror intends to fulfill the requirements of the Statement of Work by performing research using human embryonic germ cells, it must so state in its proposal.

If the offeror's proposal includes research using human embryonic germ cells and it receives a contract award, the contractor may not perform any research using these human embryonic germ cells until the Human Pluripotent Stem Cell Review Group (HPSCRG) has reviewed and approved the documentation furnished as prescribed in "Procedures for Submission of Compliance Documents to the Human Pluripotent Stem Cell Review Group (HPSCRG) for the Research Use of Human Embryonic Germ Cells" (http://grants2.nih.gov/grants/guide/notice-files/NOT-OD-02-049.html) and the contracting officer has notified the contractor of the approval in writing.

The resultant contract will be divided into discrete phases or option period(s). During Option Period(s)/Phase(s) N/A of the contract, the contractor shall submit the original and two copies of the required documentation and assurances that address the areas covered in "Procedures for Submission of Compliance Documents to the Human Pluripotent Stem Cell Review Group (HPSCRG) for the Research Use of Human Embryonic Germ Cells," at:
(http://grants2.nih.gov/grants/guide/notice-files/NOT-OD-02-049.html)
to the contracting officer. This documentation will be forwarded for review and approval to the HPSCRG.

If the HPSCRG disapproves the documentation presented by the contractor, the Contracting Officer may elect to either terminate the contract in accordance with the Termination for Convenience clause of the contract OR determine not to exercise subsequent option(s) as appropriate based the terms of the specific contract. Otherwise, when the HPSCRG approves the documentation, the contracting officer will notify the contractor in writing that research using the human embryonic germ cells may commence.

Research involving the use of human embryonic germ cells shall not be conducted under the contract until the HPSCRG review and approval have been obtained, and the contracting officer has provided written notice of such approval to the contractor.

(15) **Human Embryonic Stem Cell (HESC) Research**

On August 9, 2001, the President announced the criteria that must be met for Federal funds to be used for research on existing human embryonic stem cell lines. These criteria were subsequently published by the NIH at: http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-02-005.html. The following eligibility criteria must be met:

1. The derivation process (which commences with the removal of the inner cell mass from the blastocyst) must have already been initiated prior to August 9, 2001;
2. Prior to August 9, 2001, the embryo from which the stem cell line was derived no longer had the possibility of development as a human being;
3. The stem cells must have been derived from an embryo that was created for reproductive purposes;
4. The embryo was no longer needed for these purposes;
5. Informed consent must have been obtained for the donation of the embryo;
6. No financial inducements were provided for the donation of the embryo.

To facilitate research using human embryonic stem cells, the NIH has established a Human Embryonic Stem Cell Registry ("the NIH Registry") that lists the human embryonic stem cells that meet the eligibility criteria. This registry is available at: http://stemcells.nih.gov/registry/.

Research involving the derivation of new stem cells from human embryos or the use of human embryonic stem cells that are not listed on the NIH Human Embryonic Stem Cell Registry may not be conducted with Federal funding.

If a particular human embryonic stem cell line has not been required by the Statement of Work, an offeror proposing research involving human embryonic stem cells must cite a human embryonic stem cell line that is listed in the NIH Registry in its proposal.

(16) **HIV Antiretroviral Treatment Trials**

The NIH is committed to conducting HIV/AIDS research in an effort to improve the health of people living with this disease, particularly people in countries most affected by the epidemic. It is important that individuals who volunteer to participate in NIH-funded HIV antiretroviral trials be given the option to continue to receive antiretroviral treatment following their completion of the trial. In order to accomplish this, the contractor must work with the host countries' authorities and other stakeholders to identify sources available, if any, in the country for the provision of such treatment. It is noted that NIH cannot provide this treatment following the completion of the research. See NIH Guide Notice, "Guidance for Addressing the Provision of Antiretroviral Treatment for Trial Participants Following Their Completion of NIH-Funded HIV Antiretroviral Treatment Trials in Developing Countries," located at:
http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-038.html.

The offeror's proposal must address a plan that describes the following:

- A description of available sources, if any (e.g., name of source, location, contact person of facility/organization) for the provision of antiretroviral treatment and care following the completion of the trial;
- A summary of the offeror's interaction with the providers;
- Documents, if any, from available sources/ providers regarding plans for implementation;
- A description of how this information will be conveyed to the trial participants.

If there are no sources for antiretroviral treatment in or available to the country in which the treatment trials will take place, the offeror must provide:

- A statement confirming that at the time of the offer, no sources of antiretroviral treatment could be identified;
- A description of how this information will be conveyed to the trial participants;
- A commitment to continue to explore potential sources as the trial proceeds.

This plan or the documentation provided regarding the lack of available sources of antiretroviral treatment will be evaluated by the Project Officer as a part of the overall review of the proposal. While an offeror's documentation of the lack of available sources for antiretroviral treatment will not, of itself, constitute denial of a contract award, priority for contract awards may be given to those offerors who identify sources for the provision of antiretroviral treatment following the completion of the trial.

(17) **Information Technology Systems Security**

IMPORTANT NOTE TO OFFERORS: The following information shall be addressed in a separate section of the Technical Proposal entitled, "Information Security."

The Statement of Work (SOW) requires the successful offeror to develop or access Federal automated information systems. Pursuant to the DHHS Information Security Program Policy (http://www.hhs.gov/read/irmpolicy/FINALHHSInformationSecurityProgramP.doc), the following requirements apply:

(a) Information Type

[x] Administrative, Management and Support Information:

[ ] Mission Based Information:

(b) Security Categories and Levels

Confidentiality	Level:	**[x]** Low	**[ ]** Moderate	**[ ]** High
Integrity	Level:	**[x]** Low	**[ ]** Moderate	**[ ]** High
Availability	Level:	**[x]** Low	**[ ]** Moderate	**[ ]** High
Overall	**Level:**	**[x] Low**	**[ ] Moderate**	**[ ] High**

(c) Position Sensitivity Designations

Prior to award, the Government will determine the position sensitivity designation for each contractor employee that the successful offeror proposes to work under the contract. For proposal preparation purposes, the following designations apply:

[ ] Level 6: Public Trust - High Risk (Requires Suitability Determination with a BI). Contractor employees assigned to a Level 6 position are subject to a Background Investigation (BI).

[ ] Level 5: Public Trust - Moderate Risk (Requires Suitability Determination with NACIC, MBI or LBI). Contractor employees assigned to a Level 5 position with no previous investigation and approval shall undergo a National Agency Check and Inquiry Investigation plus a Credit Check (NACIC), a Minimum Background Investigation (MBI), or a Limited Background Investigation (LBI).

[x] Level 1: Non Sensitive (Requires Suitability Determination with an NACI). Contractor employees assigned to a Level 1 position are subject to a National Agency Check and Inquiry Investigation (NACI).

Upon award, the contractor will be required to submit a roster of all IT staff working under the contract. The Government will determine the appropriate level of suitability investigation required for each staff member.

Contractor employees who have met investigative requirements within the past five years may only require an updated or upgraded investigation.

(d) Systems Security Plan

The offeror's proposal must:

(1) Include a detailed plan of its present and proposed systems security programs commensurate with the size and complexity of the requirements of the Statement of Work. Offerors must use:
NIH Systems Security Plan Template (detailed) at:
http://irm.cit.nih.gov/security/secplantemp.doc; or
NIH Systems Security Plan Outline (outline only) at:
http://irm.cit.nih.gov/nihsecurity/Security_Plan_Outline.doc.

OR

(1) Include a plan commensurate with the size and complexity of the requirements of the Statement of Work. The minimum areas to be addressed include, but are not limited to administrative, technical, and physical security as follows:

(i) Security Awareness Training
(ii) Logical Access Control
-Network (ex: firewall)
-System (ex: network OS, tcp wrappers, SSH)
-Application (ex: S-LDAP, SSL)
-Remote Access (ex: VPN)
-Monitoring and support (ex: IDS, pager, NOC)
(iii) Protection against data loss
-OS security (ex: patch management, configuration)
-Application security (ex: patch management)
-Database security
-Back-up and recovery
-Fault tolerance, high availability
(iv) Malicious Code Protection (ex: Antivirus, filtering of e-mail attachments, etc)
(v) Physical Security
-Access control (ex: locks, guards)
-Power conditioning and/or UPS
-Air conditioning
-Fire protection

Include an acknowledgment of its understanding of the security requirements.
Provide similar information for any proposed subcontractor developing or accessing an AIS.

The SSP that the offeror must submit with its proposal shall be finalized in coordination with the Project Officer no later than 90 calendar days after contract award.

(e) Information Systems Security Training

DHHS policy requires contractors receive security training commensurate with their responsibilities for performing work under the terms and conditions of their contractual agreements.

The successful offeror will be responsible for assuring that each contractor employee has completed the NIH Computer Security Awareness Training course(http://irtsectraining.nih.gov/) prior to performing any contract work, and on an annual basis thereafter, during the period of performance of the contract. The successful offeror shall maintain a listing of all individuals who have completed this training and shall submit this listing to the Project Officer.

Additional security training requirements commensurate with the position may be required as defined in NIST Special Publication 800-16, Information Technology Security Training Requirements (http://csrc.nist.gov/publications/nistpubs/800-16/800-16.pdf). This document provides information about information security training that may be useful to potential offerors.

(f) Prospective Offeror Non-Disclosure Agreement

The Government has determined that prospective offerors will require access to Federal information described below in order to prepare an offer.

Any individual having access to this information must possess a valid and current suitability determination at the following level:

[ ] Level 6: Public Trust - High Risk
[ ] Level 5: Public Trust - Moderate Risk

To be considered for access to Federal information, a prospective offeror must:

(1) Submit a written request to the Contracting Officer identified in the solicitation;
(2) Complete and submit the "Prospective Offeror Non-Disclosure Agreement" provided as an attachment in Section J of this solicitation; and
(3) Receive written approval from the Contracting Officer.

Prospective offerors are required to process their requests for access, receive Government approval, and then access the Federal information within the period of time provided in the solicitation for the preparation of offers.

Nothing in this provision shall be construed, in any manner, by a prospective offeror as an extension to the stated date, time, and location in the solicitation for the submission of offers.

(g) References

(1) DHHS Information Security Program Policy: http://www.hhs.gov/read/irmpolicy/FINALHHSInformationSecurityProgramP.doc
(2) DHHS Personnel Security/Suitability Handbook: http://www.hhs.gov/ohr/manual/pssh.pdf
(3) NIH Systems Security Plan Template: http://irm.cit.nih.gov/security/secplantemp.doc
(4) NIH Systems Security Plan Outline: http://irm.cit.nih.gov/nihsecurity/Security_Plan_Outline.doc
(5) NIH Computer Security Awareness Training Course: http://irtsectraining.nih.gov/
(6) NIST Special Publication 800-16, Information Technology Security Training Requirements: http://csrc.nist.gov/publications/nistpubs/800-16/800-16.pdf
Appendix A-D: http://csrc.nist.gov/publications/nistpubs/800-16/AppendixA-D.pdf
(7) NIST SP 800-18, Guide for Developing Security Plans for Information Technology Systems: http://csrc.nist.gov/publications/nistpubs/index.html
(8) NIST SP 800-60, Guide for Mapping Types of Information and Information Systems to Security Categories, Volume I: http://csrc.nist.gov/publications/nistpubs/800-60/SP800-60V1-final.pdf
(9) NIST SP 800-60, Guide for Mapping Types of Information and Information Systems to Security Categories, Volume II: http://csrc.nist.gov/publications/nistpubs/800-60/SP800-60V2-final.pdf
(10) NIST SP 800-64, Security Considerations in the Information System Development Life Cycle: http://csrc.nist.gov/publications/nistpubs/800-64/NIST-SP800-64.pdf

c. BUSINESS PROPOSAL INSTRUCTIONS

(1) Basic Cost/Price Information

The business proposal must contain sufficient information to allow the Government to perform a basic analysis of the proposed cost or price of the work. This information shall include the amounts of the basic elements of the proposed cost or price. These elements will include, as applicable, direct labor, fringe benefits, travel, materials, subcontracts, purchased parts, shipping, indirect costs and rate, fee, and profit.

(2) Proposal Cover Sheet

The following information shall be provided on the first page of your pricing proposal:

1. Solicitation, contract, and/or modification number;
2. Name and address of Offeror;
3. Name and telephone number of point of contact;
4. Name, address, and telephone number of Contract Administration Office, (if available);
5. Name, address, and telephone number of Audit Office (if available);
6. Proposed cost and/or price; profit or fee (as applicable); and total;
7. The following statement: By submitting this proposal, the offeror, if selected for discussions, grants the contracting officer or an authorized representative the right to examine, at any time before award, any of those books, records, documents, or other records directly pertinent to the information requested or submitted.
8. Date of submission; and
9. Name, title and signature of authorized representative.

This cover sheet information is for use by offerors to submit information to the Government when cost or pricing data are not required but information to help establish price reasonableness or cost realism is necessary. Such information is not considered cost or pricing data, and shall not be certified in accordance with FAR 15.406-2.

(3) Information Other than Cost or Pricing Data

a) The information submitted shall consist of data to permit the Contracting Officer and authorized representatives to determine price reasonableness or cost realism, e.g., information to support an analysis of material costs (when sufficient information on labor and overhead rates is already available), or information on prices and quantities at which the offeror has previously sold the same or similar items.

Any information submitted must support the price proposed. Include sufficient detail or cross references to clearly establish the relationship of the information provided to the price proposed. Support any information provided by explanations or supporting rational as needed to permit the Contracting Officer and authorized representative to evaluate the documentation.

b) The information submitted shall be at the level of detail described below.

1. Direct Labor

Provide a time-phased (e.g., monthly, quarterly, etc.) breakdown of labor hours, rates, and cost by appropriate category. Key personnel will be separately estimated as above and identified. Give the basis for the estimates in each case.

2. Materials

Provide a consolidated price summary of individual material quantities included in the various tasks, orders, or contract line items being proposed and the basis for pricing (vendor quotes, invoice prices, etc.).

3. **Subcontracted Items**

Include parts, components, assemblies, and services that are to be produced or performed by others in accordance with offeror's design, specifications, or direction and that are applicable only to the prime contract. For each subcontract over $550,000, the support should provide a listing by source, item, quantity, price, type of subcontract, degree of competition, and basis for establishing source and reasonableness of price, as well as the results of review and evaluation of subcontract proposals when required by FAR 15.404-3.

4. **Raw Materials**

Consists of material in a form or state that requires further processing. Provide priced quantities of items required for the proposal.

5. **Purchased Parts**

Includes material items not covered above. Provide priced quantities of items required for the proposal.

6. **Fringe Benefits**

Show fringe benefits as a separate line item. Include the rate(s) and/or method of calculating fringe benefits. Provide a copy of your fringe benefit rate or institutional guidelines.

7. **Indirect Costs**

Indicate how offeror has computed and applied offeror's indirect costs, including cost breakdowns, and provide a basis for evaluating the reasonableness of proposed rates. Indicate the rates used and provide an appropriate explanation. Where a rate agreement exists, provide a copy.

8. **Special Equipment**

If direct charge, list any equipment proposed including description, price, quantity, total price, purchase or lease, and the basis for pricing.

9. **Travel**

Provide the cost of travel including destination, duration, purpose, per diem, transportation, and the basis for pricing.

10. **Other Costs**

List all other costs not otherwise included in the categories described above (e.g., computer services, consultant services) and provide basis for pricing.

(4) **Requirements for Cost or Pricing Data or Information Other than Cost and Pricing Data** [FAR Clause 52.215-20 (October 1997)]

(a) Exceptions from cost or pricing data.

(1) In lieu of submitting cost or pricing data, offerors may submit a written request for exception by submitting the information described in the following subparagraphs. The Contracting Officer may require additional supporting information, but only to the extent necessary to determine whether an exception should be granted, and whether the price is fair and reasonable.

(i) Identification of the law or regulation establishing the price offered. If the price is controlled under law by periodic rulings, reviews, or similar actions of a governmental body, attach a copy of the controlling document, unless it was previously submitted to the contracting office.

(ii) Commercial item exception. For a commercial item exception, the offeror shall submit, at a minimum, information on prices at which the same item or similar items have previously been sold in the commercial market that is adequate for evaluating the reasonableness of the price for this acquisition. Such information may include--

(A) For catalog items, a copy of or identification of the catalog and its date, or the appropriate pages for the offered items, or a statement that the catalog is on file in the buying office to which the proposal is being submitted. Provide a copy or describe current discount policies and price lists (published or unpublished), e.g., wholesale, original equipment manufacturer, or reseller. Also explain the basis of each offered price and its relationship to the established catalog price, including how the proposed price relates to the price of recent sales in quantities similar to the proposed quantities;

(B) For market-priced items, the source and date or period of the market quotation or other basis for market price, the base amount, and applicable discounts. In addition, describe the nature of the market;

(C) For items included on an active Federal Supply Service Multiple Award Schedule contract, proof that an exception has been granted for the schedule item.

(2) The offeror grants the Contracting Officer or an authorized representative the right to examine, at any time before award, books, records, documents, or other directly pertinent records to verify any request for an exception under this provision, and the reasonableness of price. For items priced using catalog or market prices, or law or regulation, access does not extend to cost or profit information or other data relevant solely to the offeror's determination of the prices to be offered in the catalog or marketplace.

(b) Requirements for cost or pricing data. If the offeror is not granted an exception from the requirement to submit cost or pricing data, the following applies:

(1) The offeror shall prepare and submit cost or pricing data and supporting attachments in accordance with Table 15-2 of FAR 15.408.

(2) As soon as practicable after agreement on price, but before contract award (except for unpriced actions such as letter contracts), the offeror shall submit a Certificate of Current Cost or Pricing Data, as prescribed by FAR 15.406-2.

(End of provision)

(5) **Qualifications of the Offeror**

You are requested to submit a summary of your "General Experience, Organizational Experience Related to this RFP, Performance History and Pertinent Contracts."

a) **General Experience**

General experience is defined as general background, experience and qualifications of the offeror. A discussion of proposed facilities which can be devoted to the project may be appropriate.

b) **Organizational Experience Related to the RFP**

Organizational experience is defined as the accomplishment of work, either past or on-going, which is comparable or related to the effort required by this RFP. This includes overall offeror or corporate experience, **but not** the experience and/or past performance of individuals who are proposed as personnel involved with the Statement of Work in this RFP.

c) **Performance History**

Performance history is defined as meeting contract objectives within delivery and cost schedules on efforts, either past or on-going, which is comparable or related to the effort required by this RFP.

d) **Pertinent Contracts**

Pertinent contracts is defined as a listing of each related contract completed within the last three years or currently in process. The listing should include: 1) the contract number; 2) contracting agency; 3) contract dollar value; 4) dates contract began and ended (or ends); 5) description of contract work; 6) explanation of relevance of work to this RFP; 7) actual delivery and cost performance versus delivery and cost agreed to in the contract(s). For award fee contracts, separately state in dollars the base fee and award fee available and the award fee actually received. The same type of organizational experience and past performance data should be submitted.

e) **Pertinent Grants**

List grants supported by the Government that involved similar or related work to that called for in this RFP. Include the grant number, involved agency, names of the grant specialist and the Science Administrator, identification of the work, and when performed.

You are cautioned that omission or an inadequate or inaccurate response to this very important RFP requirement could have a negative effect on the overall selection process. Experience and past performance are factors which are relevant to the ability of the offerors to perform and are considered in the source selection process.

(6) **Other Administrative Data**

a) **Property**

(1) It is DHHS policy that Contractors will provide all equipment and facilities necessary for performance of contracts. Exception may be granted to furnish Government-owned property, or to authorize purchase with contract funds, only when approved by the Contracting Officer. If the offeror is proposing that the Government provide any equipment, other than that specified under Government Furnished Property in the RFP, the proposal must include comprehensive justification which includes:

(a) An explanation that the item is for a special use essential to the direct performance of the contract and the item will be used exclusively for the purpose. Office equipment such as desks, office machines, etc., will not be provided under a contract except under very exceptional circumstances.

(b) No practical or economical alternative exists (e.g., rental, capital investment) that can be used to perform the work.

(2) The offeror shall identify Government-owned property in its possession and/or Contractor titled property acquired from Federal funds, which it proposes to use in the performance of the prospective contract.

(3) The management and control of any Government property shall be in accordance with DHHS Publication (OS) 686 entitled, "Contractor's Guide for Control of Government Property (1990)," a copy of which will be provided upon request.

c) **Submission of Electronic Funds Transfer Information with Offer, FAR Clause 52.232-38**, (May 1999)

The offeror shall provide, with its offer, the following information that is required to make payment by electronic funds transfer (EFT) under any contract that results from this solicitation. This submission satisfies the requirement to provide EFT information under paragraphs (b)(1) and (j) of the clause at 52.232-34, Payment by Electronic Funds Transfer--Other than Central Contractor Registration.

(1) The solicitation number (or other procurement identification number).
(2) The offeror's name and remittance address, as stated in the offer.
(3) The signature (manual or electronic, as appropriate), title, and telephone number of the offeror's official authorized to provide this information.
(4) The name, address, and 9-digit Routing Transit Number of the offeror's financial agent.
(5) The offeror's account number and the type of account (checking, savings, or lockbox).
(6) If applicable, the Fedwire Transfer System telegraphic abbreviation of the offeror's financial agent.
(7) If applicable, the offeror shall also provide the name, address, telegraphic abbreviation, and 9-digit Routing Transit Number of the correspondent financial institution receiving the wire transfer payment if the offeror's financial agent is not directly on-line to the Fedwire and, therefore, not the receiver of the wire transfer payment.

d) **Financial Capacity**

The offeror shall indicate if it has the necessary financial capacity, working capital, and other resources to perform the contract without assistance from any outside source. If not, indicate the amount required and the anticipated source.

e) **Incremental Funding**

An incrementally funded cost-reimbursement contract is a contract in which the total work effort is to be performed over a multiple year period and funds are allotted, as they become available, to cover discernible phases or increments of performance. The incremental funding technique allows for contracts to be awarded for periods in excess of one year even though the total estimated amount of funds expected to be obligated for the contract are not available at the time of the contract award. If this requirement is specified elsewhere in this RFP, the offeror shall submit a cost proposal for each year. In addition, the following provisions are applicable:

HHSAR 352.232-75, Incremental Funding (January 2001)

(a) It is the Government's intention to negotiate and award a contract using the incremental funding concepts described in the clause entitled Limitation of Funds. Under the clause, which will be included in the resultant contract, initial funds will be obligated under the contract to cover the first year of performance. Additional funds are intended to be allotted to the contract by contract modification, up to and including the full estimated cost of the contract, to accomplish the entire project. While it is the Government's intention to progressively fund this contract over the entire period of performance up to and including the full estimated cost, the Government will not be obligated to reimburse the Contractor for costs incurred in excess of the periodic allotments, nor will the Contractor be obligated to perform in excess of the amount allotted.

(b) The Limitation of Funds clause to be included in the resultant contract shall supersede the Limitation of Cost clause found in the General Provisions.

(End of provision)

f) **Facilities Capital Cost of Money**, FAR 52.215-16, (June 2003)

(This is applicable if you are a commercial organization.)

(a) Facilities capital cost of money will be an allowable cost under the contemplated contract, if the criteria for allowability in FAR 31.205-10(b) are met. One of the allowability criteria requires the prospective Contractor to propose facilities capital cost of money in its offer.

(b) If the prospective Contractor does not propose this cost, the resulting contract will include the clause Waiver of Facilities Capital Cost of Money.

(End of Provision)

If the offeror elects to claim this cost, the offeror shall specifically identify or propose it in the cost proposal for the contract by checking the appropriate box below.

[ ] The prospective Contractor has specifically identified or proposed facilities capital cost of money in its cost proposal and elects to claim this cost as an allowable cost under the contract. Submit Form CASB-CMF (see FAR 31.205-10).

[ ] The prospective Contractor has not specifically identified or proposed facilities capital cost of money in its proposal and elects not to claim it as an allowable cost under the contract.

(7) **Subcontractors**

If subcontractors are proposed, please include a commitment letter from the subcontractor detailing:

a) Willingness to perform as a subcontractor for specific duties (list duties).

b) What priority the work will be given and how it will relate to other work.

c) The amount of time and facilities available to this project.

d) Information on their cognizant field audit offices.

e) How rights to publications and patents are to be handled.

f) A complete cost proposal in the same format as the offeror's cost proposal.

Note: Organizations that plan to enter into a subcontract with an educational concern under a contract awarded under this RFP should refer to the following Web Site for a listing of clauses that are required to be incorporated in Research & Development (R&D) subcontracts with educational institutions:
http://ocm.od.nih.gov/contracts/rfps/FDP/FDPclausecover.htm

(8) **Proposer's Annual Financial Report**

A copy of the organization's most recent annual report must be submitted as part of the business proposal.

(9) **Representations and Certifications**

One copy of the Representations and Certifications attached as Section K shall be completed and be signed by an official authorized to bind your organization. Additionally, a completed copy of the Representations and Certifications shall be submitted from any proposed subcontractor.

(10) **Travel Costs/Travel Policy**

a) **Travel Costs - Commercial**

Costs for lodging, meals, and incidental expenses incurred by Contractor personnel shall be considered to be reasonable and allowable to the extent they do not exceed on a daily basis the per diem rates set forth in the Federal Travel Regulations, General Services Administration (GSA).

Therefore, if travel costs are applicable and proposed by offerors, please be advised that they shall be calculated using the per diem rate schedule as established by GSA. Reimbursement of travel costs under any contract awarded from this RFP shall be in accordance with FAR 31.205-46.

b) **Travel Policy**

One copy of the offeror's (and any proposed subcontractor's) written travel policy shall be included in the business proposal (original only). If an offeror (or any proposed subcontractor) does not have a written travel policy, the offeror shall so state.

SECTION M - EVALUATION FACTORS FOR AWARD

1. GENERAL

Selection of an offeror for contract award will be based on an evaluation of proposals against four factors. The factors in order of importance are: technical, cost, past performance and Small Disadvantaged Business (SDB) participation. Although technical factors are of paramount consideration in the award of the contract, past performance, cost/price and SDB participation are also important to the overall contract award decision. All evaluation factors other than cost or price, when combined, are significantly more important than cost or price. In any case, the Government reserves the right to make an award(s) to that offeror whose proposal provides the best overall value to the Government.

The evaluation will be based on the demonstrated capabilities of the prospective Contractors in relation to the needs of the project as set forth in the RFP. The merits of each proposal will be evaluated carefully. Each proposal must document the feasibility of successful implementation of the requirements of the RFP. Offerors must submit information sufficient to evaluate their proposals based on the detailed criteria listed below.

2. HUMAN SUBJECT EVALUATION

This research project involves human subjects. NIH Policy requires:

(a) Protection of Human Subjects from Research Risks

The offeror's proposal must address the involvement of human subjects and protections from research risk relating to their participation in the proposed research plan, or provide sufficient information on the research subjects to allow a determination by NIAID that a designated exemption is appropriate.

If you claim that this research should be considered exempt from coverage by the Federal Regulations at 45 CFR 46, the proposal should address why you believe it is exempt, and under which exemption it applies.

The reviewers will evaluate the proposal with regard to four issues: Risks to Human Subjects, Adequacy of Protection Against Risks, Potential Benefits of the Proposed Research to the Subjects and Others, and Importance of the Knowledge to be Gained. See Section L for a complete discussion of what is required to be addressed for each of these issues. Based on the response to this criterion, this section of the proposal may be rated "unacceptable" (i.e., concerns are identified as to the protections described against risk to human subjects or no discussion is found regarding protections against risk to human subjects) or "acceptable." If the reviewers find that this portion of the proposal is "unacceptable" they will provide a narrative supporting their finding.

If the Government includes your proposal in the competitive range (for competitive proposals), or if the Government holds discussions with the selected source (for sole source acquisitions), you will be afforded the opportunity to address the concerns raised by the reviewers. You will be able to further discuss and/or clarify your position until submission of your Final Proposal Revision (FPR). Once discussions are closed with the submission of your FPR, if your proposed plan for the protection of human subjects from research risks is still found to be unacceptable, then your proposal may not be considered further for award.

(b) Data and Safety Monitoring

The offeror's proposal must include a general description of the Data and Safety Monitoring Plan for all clinical trials. The principles of data and safety monitoring require that all biomedical and behavioral clinical trails be monitored to ensure the safe and effective conduct of human subjects research, and to recommend conclusion of the trial when significant benefits or risks are identified or if it is unlikely that the trial can be concluded successfully. Risks associated with participation in research must be minimized to the extent practical and the method and degree of monitoring should be commensurate with risk. Additionally, all plans must include procedures for adverse event reporting. Finally, generally, for Phase III clinical trials, the establishment of a Data and Safety Monitoring Board (DSMB) is required, whereas for Phase I and II

clinical trials, the establishment of a DSMB is optional. The reviewers will rely on the Statement of Work and Section L in the solicitation, as well as any further technical evaluation criteria in this Section M, as applicable, for the solicitation's specific requirements for data and safety monitoring.

As a part of the evaluation for proposals, the reviewers will consider the acceptability of the proposed data and safety monitoring plan with respect to the potential risks to human participants, complexity of study design, and methods for data analysis. Based on the evaluation of the response to this criterion, this section of the proposal may be rated "unacceptable" (i.e., concerns are identified as to the adequacy of the monitoring plan or no discussion can be found regarding the proposed monitoring plans) or "acceptable." If the reviewers find that this portion of the proposal is "unacceptable" they will provide a narrative supporting their finding.

If the Government includes your proposal in the competitive range (for competitive proposals), or if the Government holds discussions with the selected source (for sole source acquisitions), you will be afforded the opportunity to address the concerns raised by the reviewers. You will be able to further discuss and/or clarify your position until submission of your Final Proposal Revision (FPR). Once discussions are closed with the submission of your FPR, if your proposed plan for data and safety monitoring is still found to be unacceptable, then your proposal may not be considered further for award.

(c) **Women and Minorities**

Women and members of minority groups and their subpopulations must be included in the study population of research involving human subjects, unless a clear and compelling rationale and justification are provided indicating that inclusion is inappropriate with respect to the health of the subjects or the purpose of the research. In addition, for NIH-Defined Phase III clinical trials, all proposals and/or protocols must provide a description of plans to conduct analyses, as appropriate, to detect significant differences in intervention effect (see NIH Guide http://grants.nih.gov/grants/funding/women_min/guidelines_amended_10_2001.htm, Definitions - Significant Difference) by sex/gender, racial/ethnic groups, and relevant subpopulations, if applicable, unless the Government has specified that this solicitation involves a sex/gender specific study or a single or limited number of minority population groups. The proposal also must include one of the following plans:

- Plans to conduct valid analysis to detect significant differences in intervention effect among sex/gender and/or racial/ethnic subgroups when prior studies strongly support these significant differences among subgroups, OR

- Plans to include and analyze sex/gender and/or racial/ethnic subgroups when prior studies strongly support no significant differences in intervention effect between subgroups (representation of sex/gender and/or racial/ethnic groups as subject selection criterion is not required; however, inclusion and analyses are encouraged), OR

- Plans to conduct valid analyses of the intervention effect in sex/gender and/or racial/ethnic subgroups (without requiring high statistical power for each subgroup) when the prior studies neither support nor negate significant differences in intervention effect between subgroups.

Also, the proposal must address the proposed outreach programs for recruiting women and minorities as participants.

Reviewers will consider the areas covered here and in Section L of the solicitation in narrative form in their evaluation. Some of the issues they will evaluate include:

- whether the plan proposed includes minorities and both genders in adequate representation
- how the offeror addresses the inclusion of women and members of minority groups and their subpopulations in the development of a proposal that is appropriate to the scientific objectives of the solicitation
- the description of the proposed study populations in terms of sex/gender and racial/ethnic groups and the rationale for selection of such subjects

- if exclusion is proposed, that the rationale is appropriate with respect to the health of the subjects and/or to the purpose of the research.
- In addition, for gender exclusion, the reviewers will examine the rationale to determine if it is because:

    - the purpose of the research constrains the offeror's selection of study participants by gender (e.g., uniquely valuable stored specimens or existing datasets are single gender; very small numbers of subjects are involved; or
    - overriding factors dictate selection of subjects); or
    - gender representation of specimens or existing datasets cannot be accurately determined, and this does not compromise the scientific objectives of the research.

- For minority group exclusion, the reviewers will examine the rationale to determine if those minority groups are excluded because:

    - inclusion of those groups would be inappropriate with respect to their health,;or
    - inclusion of those groups would be inappropriate with respect to the purpose of the research.

- For NIH-defined Phase III clinical trials, reviewers will also consider whether there is an adequate description of plans to conduct analyses to detect significant differences of clinical or public health importance in intervention effect(s) by sex/gender and/or racial ethnic subgroups when the intervention effect(s) is expected in the primary analyses, or if there is an adequate description of plans to conduct valid analyses of the intervention effect in subgroups when the intervention effect(s) is not expected in the primary analyses.

If you determine that inclusion of women and minority populations is not feasible, you must submit a detailed rationale and justification for exclusion of one or both groups from the study population with the technical proposal. The Government will review the rationale to determine if it is appropriate with respect to the health of the subjects and/or the purpose of the research

Based on the evaluation of the response to this criterion, this section of the proposal may be rated "unacceptable" (i.e., no discussion can be found regarding the proposed gender/minority inclusion plans, or concerns are identified as to the gender or minority representation, or the proposal does not adequately address limited representation of one gender or minority; or the plan is not in accordance with NIH policy guidelines) or "acceptable." See Section L of the solicitation for the requirements of women/minorities inclusion. If the reviewers find that this portion of the proposal is "unacceptable" they will provide a narrative supporting their finding.

If the Government includes your proposal in the competitive range (for competitive proposals), or if the Government holds discussions with the selected source (for sole source acquisitions), you will be afforded the opportunity to address the concerns raised by the reviewers. You will be able to further discuss and/or clarify your position until submission of your Final Proposal Revision (FPR). Once discussions are closed with the submission of your FPR, if your proposed plan for the inclusion/exclusion of women and minorities is still found to be unacceptable, then your proposal may not be considered further for award.

(d) **Children**

Children (i.e. individuals under the age of 21) must be included in all human subject research unless there are clear and compelling reasons not to include them.

Your proposal must include a description of plans for including children. If you plan to exclude children from the required research, your proposal must present an acceptable justification for the exclusion. If you determine that exclusion of a specific age range of child is appropriate, your proposal must also address the rationale for such exclusion. Also, the plan must include a description of the expertise of the investigative team for dealing with children at the ages included, of the appropriateness of the available facilities to accommodate the children, and the inclusion of a sufficient number of children to contribute to a meaningful analysis relative to the purpose/objective of the solicitation. Also, see Section L of the solicitation for further specific requirements on inclusion of children.

Based on the reviewers' evaluation of the offeror's response, this section of the proposal may be rated "unacceptable" (i.e., no discussion can be found regarding the proposed inclusion plans for children; or concerns are identified as to the offeror's response regarding the inclusion of children; or the plan is not in accordance wit h NIH policy guidelines) or "acceptable." If the reviewers find that this portion of the proposal is "unacceptable" they will provide a narrative supporting their finding.

If the Government includes your proposal in the competitive range (for competitive proposals), or if the Government holds discussions with the selected source (for sole source acquisitions), you will be afforded the opportunity to address the concerns raised by the reviewers. You will be able to further discuss and/or clarify your position until submission of your Final Proposal Revision (FPR). Once discussions are closed with the submission of your FPR, if your proposed plan for the inclusion of children is still found to be unacceptable, then your proposal may not be considered further for award.

If the information provided in your proposal about the inclusion of children is rated "unacceptable" and the Government includes your proposal in the competitive range (for competitive proposals), or if the Government holds discussions with the selected source (for sole source acquisitions), you will be afforded the opportunity to further discuss, clarify or modify your plan during discussions and in your Final Proposal Revision (FPR). If your plan for inclusion of children is still considered "unacceptable" by the Government after discussions, your proposal may not be considered further for award.

(e.) **HIV Antiviral Treatment Trials**

The offeror's proposal must address a plan to have host countries authorities and/or other stakeholders identify sources available, if any, to provide antiretroviral treatment to HIV-affected populations that have participated in the contract-funded HIV antiretroviral treatment trial, OR describe why the offeror believes that there are no such sources available. The information provided must be in accordance with Section L.

The Project Officer will evaluate the documentation provided. While an offeror's documentation of the lack of available sources for antiretroviral treatment will not, of itself, constitute denial of a contract award, priority for contract awards may be given to those offerors who identify sources for the provision of antiretroviral treatment following the completion of the trial.

3. **TECHNICAL EVALUATION CRITERIA**

OFFERORS AND REVIEWERS ARE ADVISED TO REFER TO APPENDIX A (ATTACHMENT 6) – Additional Technical Proposal Instructions OF THIS SOLICITATION PACKAGE FOR GUIDANCE AND INFORMATION RELATED TO THE PREPARATION AND EVALUATION OF PROPOSALS.

The evaluation criteria are used by the technical evaluation committee when reviewing the technical proposals. The criteria below are listed in the order of relative importance with weights assigned for evaluation purposes.

CRITERIA	**WEIGHT**
A. TECHNICAL APPROACH:	**55**
1. TBRU Establishment and Maintenance	**(25)**

a. **Infrastructure:** Adequacy, feasibility, and strength of the proposed infrastructure to conduct clinical studies in TB endemic areas, including availability of local investigators, appropriateness of proposed clinical sites and laboratories, and access to and availability of relevant volunteer and patient populations as evidenced by epidemiological data.

b. **Clinical Study Sites:** Adequacy, appropriateness and feasibility of the proposed clinical study site infrastructure with respect to the design and conduct of clinical research within the scope of the TBRU, including adherence to Good Clinical Practices (GCP) and domestic and host country requirements

and regulations governing the protection of human research subjects, access to a sufficient number of study participants to carry out each proposed clinical study, plans for the recruitment and retention of study participants, conduct of protocol-specific laboratory tests, collection and quality control of study data, and maintenance and storage of research records.

c. **TBRU Data Management Center:** The strength and adequacy of the proposed Data Management Center with respect to the system for receipt and storage of all clinical data, policies and procedures for the quality control of study data, and statistical approaches to the design and analysis of clinical studies of TB.

d. **TBRU Specimen Repository:** Adequacy and appropriateness of plans and procedures for receipt, storage, inventory, shipping, packaging, and quality control for the specimen repository for human and mycobacterial specimens and proposed data/information that will be available for samples collected as part of these studies to maximize the quality and utility of the collected samples.

2. **Clinical Study Plan** **(20)**

a. Scientific and technical soundness, completeness, adequacy, appropriateness and feasibility with respect to specific types of research proposed to address the questions delineated in the Statement of Work and current knowledge gaps identified, particularly with respect to enhancing translational research in TB.
b. Delineation of potential difficulties/obstacles in the design and conduct of clinical research to address these questions and the approaches proposed to overcome any such difficulties/obstacles.
c. Overall technical approach to conducting TB research in human populations in TB endemic countries, including consideration of ethical and logistical issues and local care practices relevant to the conduct of clinical research in foreign countries.
d. Proposed collaborations with academia and/or industry to provide diagnostics, therapeutics or vaccines to be used in the conduct of TBRU studies or to conduct TBRU clinical studies in conjunction with ongoing or planned clinical trials supported through other mechanisms and undertaken by other entities.
e. Understanding of areas of human TB research that are relevant for consideration in animal studies and plans to coordinate TBRU activities and contract-generated data with NIAID-funded animal model contractors.

3. **Protocol Development and Implementation** **(10)**

a. The scientific and technical soundness, appropriateness, feasibility and adequacy of the design of clinical study proposals, with measurable and relevant endpoints that demonstrate the capacity to provide relevant answers to the questions in the Statement of Work in a timely manner, aid in the development of diagnostic tests to identify high-risk individuals, contribute knowledge applicable to the design of clinical trials to evaluate the safety and efficacy of experimental therapies and vaccines, including the identification of early surrogate markers of efficacy, and proposed timelines for protocol development, implementation, and completion.

b. Adequacy and appropriateness of the plan for incorporating substantial involvement of investigators in TB endemic counties and managing and overseeing TBRU clinical studies, including: monitoring study progress with respect to recruitment of study participants within established timelines; ensuring adherence to protocol-specific requirements; and ensuring adherence to Good Clinical Practices.

B. PERSONNEL: 25

Adequacy and relevance of the documented training, expertise, experience, and availability of the Principal Investigator (PI) and other scientific and technical personnel of the contractor and all proposed subcontractors for performing all the requirements of the Statement of Work. This includes the PI, other senior staff, and personnel of the clinical study sites, the Data Management Center and the Specimen Repository.

1. Principle Investigator (PI) (15)

a. Experience in conducting relevant TB studies in human populations, including experience in working according to GCP and in obtaining foreign clearance for clinical studies.
b. Recent experience in establishing, coordinating, and leading multidisciplinary teams of investigators at multiple clinical sites, including: conducting projects of comparable size and complexity and resulting in contributions to the basic understanding of TB in human populations, and providing technical assistance and study oversight.
c. Recent experience in effectively managing complex project budgets and timeframes, prioritizing important project elements, managing those elements, and adhering to a comprehensive quality assurance plan.

2. Other Scientific and Technical Personnel (10)

a. Documented evidence of an experienced and established clinical site investigator in at least one (1) TB endemic country.
b. Documented experience, adequacy and strength in conducting human studies in TB including multiple clinical study sites and facilities in TB endemic countries.
c. Expertise in epidemiology, microbiology and immunity.

C. ORGANIZATION AND PROJECT MANAGEMENT 10

1. Adequacy and feasibility of proposed plans and timelines for coordinating and managing the research activities conducted in the U.S. and in TB endemic countries to ensure a cooperative, integrated and focused scientific effort.
2. Adequacy and feasibility of the proposed plans for project organization, staffing, communications, and oversight, with clear lines of authority, responsibility and accountability; appropriateness of the proposed mix and balance of key personnel in relation to their specific responsibilities and time commitments.
3. Ability to prioritize important project elements and adjust priorities to accommodate unanticipated developments or problems.
4. Ability to manage multiple subcontracts, direct the activities of subcontractors, assess subcontractor performance and develop and implement remedial actions when necessary.
5. Ability to ensure adherence to a comprehensive quality assurance plan.
6. Plan for soliciting, awarding and managing the scientific, technical and administrative aspects of services provided by consultants, collaborators and subcontractors.

D. FACILITIES, OTHER RESOURCES, SAFETY AND TRAINING 10

1. Availability and adequacy of the facilities, equipment, and resources at sites within and outside the U.S. to safely and efficiently accomplish the work requirements.
2. Adequacy of the training programs for the safe handling of pathogenic microorganisms and potentially infectious human specimens, including proposed plans for assuring a safe working environment.

3. Availability of adequate shipping, receiving, storage, packaging, clinical and laboratory space.
4. Adequacy of occupancy of facility, including documentation of lease or ownership.

TOTAL POSSIBLE POINTS: 100

4. **PAST PERFORMANCE FACTOR**

An evaluation of offerors' past performance information will be conducted prior to any communications with offerors leading to establishment of the competitive range. However, this evaluation will not be conducted on any offeror whose proposal will not be admitted to the competitive range on the basis of the results of the evaluation of factors other than past performance.

The evaluation will be based on information obtained from references provided by the offeror, other relevant past performance information obtained from other sources known to the Government, and any information supplied by the offeror concerning problems encountered on the identified contracts and corrective action taken.

The government will assess the relative risks associated with each offeror. Performance risks are those associated with an offeror's likelihood of success in performing the acquisition requirements as indicated by that offeror's record of past performance.

The assessment of performance risk is not intended to be a product of a mechnaical or mathematical analysis of an offeror's performance on a list of contracts but rather the product of subjective judgement by the Government after it considers relevant information.

When assessing performance risks, the Government will focus on the past performance of the offeror as it relates to all acquisition requirements, such as the offeror's record of performing according to specifications, including standards of good workmanship; the offeror's record of controlling and forecasting costs; the offeror's adherence to contract schedules, including the administrative aspects of performance; the offeror's reputation for reasonable and cooperative behavior and commitment to customer satisfaction; and generally, the offeror's business-like concern for the interest of the customer.

The Government will consider the currency and relevance of the information, source of the information, context of the data, and general trends in the offeror's performance.

The lack of a relevant performance record may result in an unknown performance risk assessment, which will neither be used to the advantage nor disadvantage of the offeror.

5. EXTENT OF SMALL DISADVANTAGED BUSINESS PARTICIPATION

SDB participation will not be scored, but the Government’s conclusions about overall commitment and realism of the offeror’s SDB Participation targets will be used in determining the relative merits of the offeror’s proposal and in selecting the offeror whose proposal is considered to offer the best value to the Government.

The extent of the offeror’s Small Disadvantaged Business Participation Targets will be evaluated before determination of the competitive range. Evaluation of SDB participation will be assessed based on consideration of the information presented in the offeror’s proposal. The Government is seeking to determine whether the offeror has demonstrated a commitment to use SDB concerns for the work that it intends to perform.

Offers will be evaluated on the following sub-factors:

(a) Extent to which SDB concerns are specifically identified
(b) Complexity and variety of the work SDB concerns are to perform
(c) Extent of participation of SDB concerns in terms of the value of the total acquisition.

6. EVALUATION OF DATA SHARING PLAN

The offeror's plan for the sharing of final research data shall be assessed for appropriateness and adequacy.

If your proposal does not include a plan or if the plan in your proposal is considered “unacceptable,” and the Government includes your proposal in the competitive range (for competitive proposals), or if the Government holds discussions with the selected source (for sole source acquisitions), you will be afforded the opportunity to further discuss, clarify or modify your data sharing plan during discussions and in your Final Proposal Revision (FPR). If your data sharing plan is still considered “unacceptable” by the Government after discussions, your proposal may not be considered further for award.

7. PRE-AWARD SITE VISIT

Offerors determined to be in the competitive range shall undergo a pre-award site visit. The results of this pre-award site visit shall be a factor in final Source Selection for award of Contract. Offerors will be requested to make all records, including previous regulatory inspection reports, responses to FDA form 483 observations or comments from other regulatory bodies, and staff available in response to a pre-award site visit or audit by NIAID or its designee.

SOLICITATION ATTACHMENTS INCLUDED WITH THE RFP

The following pages include Attachments applicable to this RFP as specified in SECTION J - List of Attachments

PACKAGING AND DELIVERY OF THE PROPOSAL

PAPER SUBMISSION: The paper copy is the official copy for recording timely receipt of proposals.

SUBMISSION OF PROPOSALS BY FACSIMILE IS NOT ACCEPTABLE.

A. EXTERNAL PACKAGE MARKING:

In addition to the address cited below, mark each package as follows:

"**RFP NO. NIH-NIAID-DMID-07-17**
TO BE OPENED BY AUTHORIZED GOVERNMENT PERSONNEL ONLY"

B. PAPER COPIES and CD-Rom to:

If Hand Delivery or Express Service	If using U.S. Postal Service
Kala Shankar Contract Specialist Office of Acquisitions, DEA, NIAID, NIH 6700-B Rockledge Drive, Room 3214 Bethesda, Maryland 20817	Kala Shankar Contract Specialist Office of Acquisitions, DEA, NIAID, NIH 6700-B Rockledge Drive, Room 3214, MSC 7612 Bethesda, Maryland 20892-7612

NOTE: All material sent to this office by Federal Express should be sent to the Hand Carried Address.

NOTE: The U.S. Postal Service's "Express Mail" does not deliver to the hand delivered (20817 zip code) address. Any package sent to this address via this service will be held at a local post office for pick-up. THE GOVERNMENT IS NOT RESPONSIBLE FOR PICKING UP ANY MAIL AT A LOCAL POST OFFICE. If a proposal is not received at the place, date, and time specified herein, it will be considered a "late proposal," in accordance with HHSAR 352.215-70, Late Proposals and Revisions (NOV 1986).

C. NUMBER OF COPIES:

TECHNICAL PROPOSAL PAGE LIMITS [See Below]

PAGES THAT ARE 2-SIDED WILL COUNT AS 2 PAGES.

TOTAL PAGE COUNT DOES NOT INCLUDE: 1 Cover and Back Page; 1 Table of Contents; Section Dividers that do not contain information other than title of Section.

PAGES IN EXCESS OF THIS LIMITATION WILL BE REMOVED FROM THE PROPOSAL AND WILL NOT BE PROVIDED TO THE REVIEWERS TO BE READ OR EVALUATED.

The number of copies required of each part of your proposal are as specified below.

Document	Number of Copies	Page Limits
Technical Proposal	**PAPER** One (1) unbound SIGNED ORIGINAL. Five (5) unbound COPIES **ELECTRONIC FILES ON CD** Sixteen (16) Compact Disks containing an electronic copy of the Technical Proposal in a Portable Document Format (PDF) [NOTE: 1 file on each disk.]	Limited to not-to-exceed 250 pages **including any appendices.**
Technical Proposal Appendices All materials not available electronically (i.e. SOPs, Pertinent Manuals, Nonscannable Figures or Data, and Letters of Collaboration/Intent).	**PAPER** One (1) unbound SIGNED ORIGINAL. Five (5) unbound COPIES **ELECTRONIC FILES ON CD** Sixteen (16) Compact Disks containing an electronic copy of the Appendices in a Portable Document Format (PDF) [NOTE: 1 file on each disk.] If Appendices are not available electronically, 16 hard copies must be provided.	[NOTE: Included in the 250 total page count.]
Business Proposal	**PAPER** One (1) unbound SIGNED ORIGINAL. Five (5) unbound COPIES **ELECTRONIC FILES ON CD** One (1) Compact Disks containing an electronic copy of the Business Proposal in a Portable Document Form (PDF)..	N/A
Breakdown of Proposed Estimated Cost	This Attachment should be submitted also as a separate excel file on the Business Proposal Compact Disk.	N/A

PROPOSAL INTENT RESPONSE SHEET

RFP No.: NIH-NIAID-DMID-07-17
RFP Title: "TUBERCULOSIS RESEARCH UNIT" (TBRU)

Please review the attached Request for Proposal. Furnish the information requested below and return this page by April 14, 2006. Your expression of intent is not binding but will greatly assist us in planning for proposal evaluation.

[ ] DO INTEND TO SUBMIT A PROPOSAL
[ ] DO NOT INTEND TO SUBMIT A PROPOSAL FOR THE FOLLOWING REASONS:

Company/Institution Name (print): _____
Address (print): _____
_____
_____
_____

Project Director's Name (print): _____
Title (print): _____
Signature/Date: _____
Telephone Number and E-mail Address (print clearly):
_____
_____

***Name of individual to whom electronic proposal instructions should be sent:**

Name: _____
Title: _____
E-Mail Address: _____
Telephone Number: _____

Names of Collaborating Institutions and Investigators (include Subcontractors and Consultants) (print):
_____
_____
_____
_____
(Continue list on a separate page if necessary)

RETURN VIA FAX OR E-MAIL TO:
OA, DEA, NIAID, NIH
6700-B Rockledge Drive, Room 3214, MSC 7612
Bethesda, MD 20892-7612

Attn: Kala Shankar
RFP-NIH-NIAID-DMID-07-17
FAX# (301) 480-4675
Email : ShankaK@niaid.nih.gov

BACKGROUND
TUBERCULOSIS RESEARCH UNIT (TBRU)
RFP NIH-NIAID-DMID-07-17

The National Institute of Allergy and Infectious Diseases (NIAID), (www.niaid.nih.gov) supports research to understand, and ultimately prevent and/or treat, infectious and immune-mediated diseases that continue to threaten millions of lives each year. NIAID's Global Health Research Plan outlines its commitment to research on infectious diseases that afflict persons primarily in resource-limited regions of the world and add a significant economic burden on individuals and society (www.niaid.nih.gov/publications/globalhealth/global.pdf). One such disease is tuberculosis (TB), which continues to claim millions of lives each year despite widespread use of a live vaccine, Bacillus Calmette Guérin (BCG), and the availability of therapeutic interventions for drug sensitive and drug resistant TB (www.euro.who.int/tuberculosis/dots/20030429_1 and www.euro.who.int/tuberculosis/dots/20030612_1). NIAID supports a comprehensive extramural TB program on all aspects of fundamental, translational, applied and clinical research. A variety of contracts have been established since 1992 to provide the resources, expertise and infrastructure necessary to facilitate the transition of fundamental research findings into clinical science and product development (www.niaid.nih.gov/dmid/tuberculosis/#rr).

Much has been learned over the past 10 years about the interaction between *Mycobacterium tuberculosis* (Mtb), the causative agent of TB, and its host. However, complex, multi-disciplinary investigations of the human response to Mtb infection and transition to active disease remain critical gaps in TB research that cannot be filled through investigator-initiated grant applications. Specifically, the need to integrate basic research findings into tools for clinical trials/studies is becoming more and more critical since new drug, vaccine and diagnostic candidates have emerged from translational research studies and are now entering human clinical trials. To facilitate multi-disciplinary, multi-national studies in human TB, the NIAID awarded the first five-year contract for a Tuberculosis Research Unit (TBRU) in 1994 to Dr. Jerrold Ellner at Case Western Reserve University (NIAID Contract No. N01-AI-45244). This contract was subsequently re-competed in 1999 with a seven-year award to Dr. Henry Boom, also at Case Western Reserve University (NIAID Contract No. N01-AI-95383). The early goals of the TBRU were to identify correlates of protective immunity and surrogate markers of TB infection and TB disease by integrating distinct areas of expertise in epidemiology, microbiology and immunology to answer complex questions about human TB (www.cwru.edu/affil/tbru/index.htm).

The purpose of this solicitation is to re-compete the current TBRU contract to continue support for clinical TB research with a focus on specific studies designed to provide answers to long-standing questions about the interaction of Mtb with its human host and to contribute to the successful development of new health care interventions. These questions include: 1) Why do most negative HIV persons successfully control Mtb infection while some progress to active tuberculosis disease? Answers to this question are expected to facilitate characterization of infected persons and those at highest risk of progression to active disease for entry into clinical studies, and to facilitate the development of diagnostics; 2) Why does BCG protect some individuals, and not others, from TB disease, and what are the kinetics of the immune response after vaccination with BCG versus after infection with Mtb? Answers to these questions are expected to facilitate the selection of boosting strategies for vaccine studies of the human immune response to BCG in target populations, such as children, and to better define clinical endpoints and expected outcomes for new vaccines; 3) What immune responses or other biological markers that predict relevant clinical outcomes can be measured in response to drug therapy or vaccines? Answers to this question are expected to define early surrogate markers of efficacy and possible approaches for combining drug therapy with vaccination strategies.

Addressing the scope of these critical questions will require multiple areas of expertise to be assembled under this contract. The clinical studies to be carried out by the TBRU will be conducted in TB endemic countries with substantial contributions by local investigators and, where possible, are expected to create data that are relevant to TB health care practices and research in the host countries. Additionally, since human studies for new health care

interventions provide critical information for the improvement of animal models that are being utilized to select the most promising drug and vaccine candidates, TBRU investigators will be expected to coordinate their human studies with those conducted in animal models, funded as part of NIAID's TB Program contract infrastructure, and with other NIH-funded investigators (www.niaid.nih.gov/dmid/tuberculosis/#rr). This coordination is intended to link human clinical studies with preceding animal studies to improve the predictability of animal models and to increase their potential to create hypotheses that can later be validated in humans. This contract will NOT support the development of new or improved animal models and will only support well justified animal studies that are needed to help provide answer to the questions listed above.

One award for a term of seven (7) years is expected to be made in response to this solicitation. The NIAID recognizes that a single organization or institution may not have all the expertise and facilities necessary to carry out the requirements outlined in the Statement of Work. Consequently, the Contractor is expected to include collaborations and subcontracts with qualified U.S. and/or non-U.S. institutions to provide the scientific and technical expertise and resources needed for human clinical studies in TB. The Contractor shall utilize already established and well experienced clinical collaborations and infrastructure in TB endemic countries to conduct research, as well as an established clinical data management infrastructure to conduct this work. This contract will NOT support the establishment and development of new clinical trial infrastructure and capacity at TB endemic sites or the evaluation of new diagnostics, drug and vaccine candidates that are submitted by the research community for clinical testing. However, the TBRU may integrate experimental and/or approved drugs, vaccines and/or diagnostics into its clinical studies to define and validate markers that will provide improved information for future human clinical studies for TB interventions.

Additional information relevant to this solicitation is provided in the following Appendices:

APPENDIX A	ADDITIONAL TECHNICAL PROPOSAL INSTRUCTIONS AND FORMAT FOR TECHNICAL PROPOSAL – TABLE OF CONTENTS
APPENDIX B	ADDITIONAL BUSINESS PROPOSAL INSTRUCTIONS AND UNIFORM COST ASSUMPTIONS
APPENDIX C	CURRENT NIAID-FUNDED ANIMAL MODEL CONTRACTS

STATEMENT OF WORK
TUBERCULOSIS RESEARCH UNIT (TBRU)
RFP NIH-NIAID-DMID-07-17

INTRODUCTION:

This contract will establish and support the Tuberculosis Research Unit (TBRU), a multi-disciplinary, multi-national consortium of investigators and institutions with expertise in the areas of epidemiology, microbiology, and immunity, to conduct clinical studies on host-pathogen interactions in tuberculosis (TB). The overall goal of the clinical studies to be carried out by the TBRU is to fill critical gaps in translational TB research and to provide tools needed to advance new health care interventions in TB endemic countries.

NOTE: It is **not** the purpose of this contract to provide funds to support the development of:

- new clinical research infrastructure and capacity in TB endemic countries,
- or establishment of clinical trial infrastructure and capacity for testing new diagnostics, drug or vaccine candidates submitted by the research community, or for the conduct of clinical trials to evaluate the safety and efficacy of novel experimental diagnostic tools, therapeutics or preventive strategies, and
- new or improved animal models in TB.

The TBRU must include:

1. At least one country outside of the United States (U.S.) in which TB is endemic (see Dye et al.- http://jama.ama-assn.org/cgi/content/full/282/7/677), and foreign clinical sites with an established infrastructure capable of conducting the clinical studies, including local investigators experienced in the conduct of multi-disciplinary human clinical studies in TB, laboratory facilities and personnel to perform protocol-specific tests, and access to relevant patient populations;

2. A Data Management Center for the collection, storage, quality control, and evaluation of all data derived from the clinical studies; and

3. A Specimen Repository for the storage and inventory of mycobacterial strains and human-derived materials.

SCOPE:

1. The Contractor shall design, conduct and direct clinical studies in human TB to establish markers to:

    a. Identify individuals at highest risk for progression to TB disease after infection with *Mycobacterium tuberculosis* (Mtb);
    b. Characterize correlates of response to therapy and vaccination that can establish useful early estimates of clinical efficacy of new health care interventions; and
    c. Eventually contribute to the identification of new diagnostic tests and improved therapeutic and vaccination strategies.

2. The resources/studies to be provided under this contract shall be performed either directly by the Contractor or indirectly through subcontractors. At a minimum, the Contractor shall:

   a. Establish and direct the TBRU consortium.
   b. Develop the overall Clinical Study Plan, including proposed studies and timelines for completion.
   c. Provide an infrastructure for the overall scientific, technical and administrative management of the clinical studies.
   d. Provide clinical study oversight for all clinical sites and studies.
   e. Establish and direct the projects and activities of the Specimen Repository of clinical samples.
   f. Establish and direct the projects and activities of the Data Management Center.
   g. Solicit for and evaluate the technical merit and proposed costs for additional clinical sites that should need to be added during the contract, execute and manage studies at these sites, and assess subcontractor performance.
   h. Provide for an orderly transition to a successor contractor or to the Government at the end of the contract period of performance.

STATEMENT OF WORK:

Independently, and not as an agent of the Government, the Contractor shall furnish all the necessary services, qualified professional and technical personnel, volunteer and patient populations, material, major equipment, and facilities, not otherwise provided by the Government as needed to perform the work described below. The exact types of studies to be performed by the Contractor may vary and all study activities, documents, and procedures shall be implemented after discussion with and concurrence by, the NIAID Project Officer. The timeline or schedule for initiation of all clinical studies shall be determined in collaboration with the NIAID Project Officer. The Contractor shall inform the NIAID Project Officer of any unforeseen circumstances that may delay timely completion or progress of study activities.

1. **Establishment and Maintenance of the Tuberculosis Research Unit (TBRU)**

   The Contractor shall establish and direct a collaboration of scientific and clinical investigators and institutions with expertise and experience in the conduct of multi-disciplinary, multi-national TB research to design and conduct clinical studies in TB endemic countries. The Contractor shall utilize established collaborations with qualified, experienced U.S. and/or non U.S. institutions to provide technical expertise, infrastructure, and data management for human clinical studies in TB endemic countries.

   The scientific, clinical and technical infrastructure of the TBRU shall consist of the following:

   a. **Clinical Study Sites**

      The number of clinical study sites necessary to carry out the Clinical Study Plan are described in paragraph 2., below. This must include a site in at least one (1) country in which TB is endemic. The clinical study sites in TB endemic areas must provide, at a minimum, the following:

      1) Clinical investigators, nurse coordinators and other clinical and technical personnel experienced in the design and conduct of clinical studies of human TB, including: patient screening, recruitment and retention; adherence to Good Clinical Practices (GCP) and host country requirements and regulations governing the safe and ethical conduct of research involving human subjects; assessment and reporting of adverse events; management of study products; collection and quality control of study data; and maintenance and storage of research records;

2) Facilities and personnel to carry out study-specific laboratory testing and storage of patient samples;
3) Access to a patient pool adequate to ensure the timely screening and enrollment of eligible study participants in accordance with study-specific requirements and within established timelines; and
4) Clinical and technical personnel with experience in complex human studies of HIV-negative, HIV-positive and HIV-TB co-infected adult and pediatric TB patients as well as healthy adult and pediatric volunteers.

b. **Study Design, Implementation and Management**

Provide scientific, clinical and technical personnel with expertise and experience in designing, conducting, and directing multi-disciplinary, multi-national clinical studies of TB, including epidemiology, microbiology and immunity.

c. **TBRU Data Management Center**

The Data Management Center shall include experts in statistics and database management, as well as project management. The Data Management Center shall carry out the following functions:

1) Design, maintenance and quality control of a database system for the receipt and storage of all clinical study data;
2) Provide expertise and assistance to the TBRU protocol teams in the statistical design of study protocols, the development of statistical analysis plans, and the analysis of study data;
3) Participate in the preparation of interim and final analyses of clinical study data.
4) Manage and coordinate oversight of all regulatory and clinical aspects of the studies conducted by the TBRU with NIAID/DMID's Offices of Regulatory and Clinical Activities.

d. **TBRU Specimen Repository**

The Contractor shall establish a repository of patient specimens from TBRU clinical studies, to be housed at a central location, to be available for additional laboratory studies that are relevant to the goals of this contract and for which tools may become available at a later date in the contract period. This repository will not serve the TB research community as a whole. However, samples will remain available to the Contractor, the TBRU clinical study sites, and outside collaborators as well as the NIAID TB contract community, to maximize information that can be obtained from this limited resource. The TBRU Specimen Repository shall:

1) Receive, ship, store, package and inventory mycobacterial strains and human-derived materials from the clinical studies conducted under this contract. Samples may contain, but are not limited to, sera, sputa, saliva, blood and blood derived products, tissue and genetic material for use by the Contractor and any subcontractor in the conduct of studies outlined in this Statement of Work.
2) Redistribute stored samples to the TBRU clinical study sites. Shipping of human derived materials shall be in accordance with current interstate commerce regulations and international ethics and commerce laws.
3) Establish and maintain a database of study-specific patient and volunteer information on these samples. The database must capture sufficient information to characterize samples clinically while maintaining subject data confidentiality, but allow transfer of non-personal sample data between participating clinical study sites.

2. **Clinical Study Plan**

a. **Clinical Study Plan Development**

Within sixty (60) calendar days after contract award, provide a comprehensive Clinical Study Plan for a maximum of five (5) clinical studies over the course of the contract, including clinical study proposals and timelines, for a systematic approach to address the questions delineated in paragraph b., below.

1) Clinical studies will be conducted in TB endemic countries and will ensure the substantial involvement of local investigators in study design, development and analysis. In addition, the data generated should be relevant to TB health care practices and research in these endemic countries.

2) The TBRU will design and conduct studies in the following areas:

   a) Characterization of the human immune response to Bacillus Calmette Guérin (BCG) in target populations, such as children, to better define expectation and clinical endpoints for new TB vaccines in general;
   b) Characterization of immune responses in persons who successfully control infection with Mtb versus those who progress to active disease to facilitate selection of at-risk persons for clinical studies and the development of diagnostics;
   c) Characterization of human immune responses or other biological markers in response to drug therapy to define early markers of efficacy and possible approaches for combining drug therapy with vaccination strategies; and
   d) Kinetics of human immune responses after vaccination and infection to facilitate selection of boosting strategies for vaccine studies.

3) The Clinical Study Plan shall include:

   a) The scientific basis for the approaches and methodologies selected to address the three questions delineated in paragraph b., below, including a summary of the state of the science in each area;
   b) A description of relevant knowledge gaps and a discussion of those knowledge gaps to be addressed by the Clinical Study Plan; and
   c) A discussion of potential problems or obstacles to addressing these knowledge gaps and proposed approaches to overcoming any such problems and obstacles.

4) The Clinical Study Plan shall also include detailed protocols for each clinical study including:

   a) Scientific basis/rationale;
   b) Study design, including sample size, inclusion and exclusion criteria, clinical endpoints and their relevance to answering the questions being addressed by the study;
   c) A detailed statistical analysis plan;
   d) A discussion of how the clinical study will advance translational TB research and inform host country health care practices;
   e) A description of any proposed collaborations with academia and/or industry for proposed studies involving the use of experimental diagnostics, therapeutics or vaccines, including the conduct of any proposed clinical studies in conjunction with planned or ongoing clinical trials supported through other mechanisms and sponsored by other entities;
   f) A plan for the identification, recruitment and retention of study participants; and
   g) Detailed timelines for protocol development, initiation, completion and analysis of final study data.

b. **Research Questions to be Addressed in the Clinical Study Plan**

The Contractor shall perform clinical studies to answer specific questions in human TB as specified in the Statement of Work, below. Clinical studies may incorporate, where appropriate, the utilization of experimental and/or approved drugs, vaccines and/or diagnostics to define and validate markers that will provide improved information for human clinical studies for TB interventions.

1) Why do most HIV negative persons successfully control Mtb infection while some progress to active tuberculosis disease?

   a) The study design shall allow longitudinal assessment, in one or more TB endemic countries, of immunological, biochemical, microbiological, host genetic or other biochemical markers that identify various stages of infection and disease in HIV negative adult and pediatric populations.
   b) Study outcomes shall provide epidemiological data for the characterization of disease prevalence and incidence, and transmission dynamics of Mtb strains.
   c) Studies may include evaluation of one or more promising diagnostic tests made available through collaborations with the research community to maximize information obtained from clinical studies.
   d) Studies shall maximize utilization of local expertise to conduct assays and analyses with human derived specimens.
   e) Study results should provide data that have the potential to inform local TB care practices.
   f) Study endpoints shall be of sufficient practical nature to have the potential to aid in the development of diagnostic test(s) to identify persons at highest risk for progressing from Mtb infection to active TB disease.

2) Why does BCG protect some individuals and not others from TB disease and what are the kinetics of the immune response after vaccination with BCG versus after infection with Mtb?

   a) Studies shall be conducted in one or more TB endemic countries that routinely use BCG vaccination as part of their control strategies.
   b) Study design shall include pediatric populations and may include HIV+ or HIV- TB co-infected individuals.
   c) Study design shall include identification and characterization of the kinetics of the immune response after vaccination versus after infection with Mtb.
   d) Study results should provide data that have the potential to inform local TB care practices.
   e) Study endpoints shall be of sufficient practical nature to have the potential to aid in the development of clinical endpoints for the evaluation of novel vaccine candidates and to inform expectations for benchmarks in clinical vaccine development for TB.
   f) Study endpoints shall be of sufficient practical nature to have the potential to aid in the development of diagnostic tests to identify immune competent persons infected with Mtb and not be compromised by standard BCG vaccination or presence of other mycobacteria.
   g) Study design **shall not include** extended observational studies of TB incidence as a result of BCG vaccination.

3) What immune responses or other biological markers that predict relevant clinical outcomes can be measured in response to drug therapy or vaccines?

   a) Clinical studies shall be conducted in one or more TB endemic countries.
   b) Study design may include HIV co-infected individuals.

c) Studies may be conducted with existing or novel drugs or vaccines, available through the research community, as part of early stage human clinical studies or as part of Phase I or Phase II clinical trials.
d) Study design shall include a comprehensive panel of immunological and other biological evaluations to maximize information content derived from these studies. These laboratory studies may be conducted in TB non-endemic countries, if appropriate.
e) Study results are expected to contribute to the identification of early surrogate markers of efficacy. It is expected that more than one marker will have to be utilized to estimate clinical efficacy of vaccines and/or drug therapies.

3. **Protocol Development and Implementation**

Following NIAID Project Officer approval of the Clinical Study Plan, provide all necessary personnel, expertise and resources to develop ethical, safe and implementation-ready clinical protocols for all approved studies. Specifically, the Contractor shall carry out the following tasks:

a. **Protocol Development**

1) Coordinate all protocol development activities with the NIAID Project Officer and/or a designated NIAID protocol coordinator.
2) Establish a protocol team consisting of relevant Contractor and subcontractor personnel and NIAID staff with expertise in aspects of clinical trial development and oversight to provide technical expertise for the development of protocols for the approved clinical studies, and provide for substantial and substantive involvement of local investigators in protocol design and development.
3) Identify and incorporate, where appropriate, novel diagnostics, drugs and vaccines that may be suitable to address product- or host response- relevant questions as part of the protocol.
4) Coordinate with NIAID/DMID the establishment of material transfer agreements where appropriate, between NIAID and the product provider.
5) Evaluate and determine the feasibility and appropriateness for including exploratory assays to maximize the amount of data obtainable from human specimens.
6) Assure that protocol and final study design provide novel data and do not needlessly duplicate studies conducted by other investigators.
7) Include request for permission to store specimens for later expansion of laboratory evaluations in the informed consent documents.
8) Acquire appropriate approvals from local and government ethics committees and/or other human subject protection review boards. Submit Annual Institutional Review Board (IRB) approvals with each Annual Progress Report and the Final Report.
9) Coordinate approaches for human clinical studies with other NIAID contractors involved in developing preclinical animal efficacy models to provide improved information.
10) Collaborate with existing NIAID animal model contractors, to be identified by the NIAID Project Officer, throughout this contract term via face-to-face meetings, phone conferences or through inclusion in annual contract meetings to assure that planned TBRU studies have relevance for the improvement of preclinical animal models that are being refined to increase their predictive value for vaccine, drug and diagnostic selection.

b. **Protocol Implementation, Management and Reporting**

Upon NIAID Project Officer approval of the final protocols, provide all necessary personnel (such as program officers, clinical monitors, nursing and clinical staff, etc), resources, and facilities to conduct the clinical studies and to satisfy the NIAID clinical terms of award which will apply to all clinical studies conducted as part of this contract: http://www.niaid.nih.gov/ncn/pdf/clinterm.pdf.

1) Clinical Studies Management and Oversight Plan

Develop and submit upon request for NIAID Project Officer approval, a plan for the management and oversight of clinical studies, including policies and procedures to ensure the timely and accurate completion of all clinical studies in compliance with GCP regulations and requirements governing the safe and ethical conduct of research involving human subjects.

2) Monthly Clinical Study Progress Reports

Prepare and submit Monthly Clinical Study Progress Reports to address:

a) Progress in accrual of study participants, including problems encountered in recruitment and retention and proposed approaches to resolving any such problems;
b) Proposed revisions to the established timelines for protocol implementation, including the rationale/justification for the proposed revisions;
c) Proposed modifications to the approved clinical study protocol and their rationale; and
d) Any recommendations for curtailing or discontinuing approved clinical studies based on scientific rationale, feasibility and other factors.

3) Safety Monitoring and Oversite

Conduct safety monitoring and oversight over all clinical studies in collaboration with the NIAID/DMID Office of Clinical Research Affairs and their designated personnel. Submit safety monitoring and report as outlined in each protocol.

4) Clinical Study Final Reports: Within sixty (60) calendar days of completion of clinical studies, prepare and submit to the NIAID Project Officer a Clinical Study Final Report containing:

a) The study protocol;
b) Final study demographics; study results and interpretation;
c) An assessment of the impact of study findings on the state of the science, the enhancement and/or improvement of approaches to evaluating the safety and efficacy of new diagnostics and therapeutic and vaccine candidates, and the contributions of study findings to informing local TB care practices; and
d) Publications resulting from each study.

4. **Project Management**

The Contract shall provide the scientific, technical and administrative infrastructure to ensure the efficient planning, initiation, implementation, and management of all activities carried out under this contract. Infrastructure at the Contractor's site shall include a Principal Investigator (PI) with responsibility for overall project management and communications, tracking, monitoring and reporting on project status and progress. The PI shall be responsible for recommending modifications to project requirements and timelines, including projects undertaken by subcontractors. This infrastructure shall also include administrative staff with responsibility for financial management and financial reporting on all activities conducted by the Contractor and all subcontractors. Additional activities include:

a. Communications with NIAID

Assure effective communications with the NIAID Project Officer, Contracting Officer, and NIAID clinical and regulatory staff to include the following:

1) Conference Calls

Monthly, or more frequently, one-hour conference calls with the NIAID Project Officer, Contracting Officer, Principal Investigator and key Contractor scientific, technical and administrative staff to review the status of all scientific projects, future plans, and issues or problems in study design, implementation or conduct that require immediate attention and resolution.

2) Annual Meetings

One (1) annual meeting with the NIAID Project Officer, Contracting Officer, Principal Investigator and key contract/subcontract scientific and technical staff. Meetings may be held in Bethesda, Maryland, or at the Contractor's location, and may be held in conjunction with annual meetings for other NIAID TB Program contractors, when appropriate. The date and agenda for the annual meetings shall be established by the Contractor's PI in consultation with the NIAID Project Officer and the Contracting Officer. Annual meetings will be closed to the public and will include status updates for all projects, a discussion of and suggested solutions to any problems that may have arisen, as well as recommendations for any changes in timelines or projects. The Contractor will submit a meeting summary to the NIAID Project Officer and Contracting Officer within 30 calendar days after the meeting.

b. Establish a Panel of External Experts

Establish, post-award, with the concurrence of the NIAID Project Officer, a panel of external experts to be available for discussion and recommendations on specific scientific issues that arise during the course of the contract. The experts may be invited to attend the annual meeting of the contract and shall be consulted by the Contractor, through telephone conferences or at the annual meeting, on issues that NIAID and the Contractor agree require outside input. The Panel of External Experts will each serve for two (2) years and shall be selected on the basis of the types of expertise the Contractor and NIAID feel is needed to complement the expertise of the Contractor and subcontractor staff. Travel and per dieim will be paid for under this contract.

c. Audits and Reporting of Good Clinical Practices (GCP)

Perform audits to meet FDA required Good Clinical Practices (GCP) standards and submit reports on all such audits to the NIAID Project Officer within 30 calendar days following each audit. NIAID reserves the right to conduct independent audits of the Contractor and its subcontractors, as needed, to evaluate compliance with FDA required GCP standards and expects that all records and staff shall be available for site visits or study-specific audits by NIAID or its designees.

5. **Facilities, Other Resources, Safety and Training**

a. Provide safe facilities and resources in the U.S. and in non-U.S. countries, and conduct work in accordance with the most recent Guidelines for Biosafety in Microbiological and Biomedical Laboratories (BMBL, Centers for Disease Control and Prevention and the National Institutes of Health, fourth edition, HHS Publication No. [CDC 93-8395, published by the U.S. Government Printing Office, May 1999, Stock Number 017-040-0547-4)), or comparable safety standards in TB endemic countries.

b. Provide adequate biocontainment facilities and staff with the required training, experience and expertise to operate the facilities and conduct the studies in accordance with the appropriate Biosafety Guidelines for working with pathogenic organisms (see also http://bmbl.od.nih.gov/).

c. Provide adequate and appropriate training, protective garments, equipment and monitoring for all involved personnel to assure safe handling and transport of potentially hazardous microorganisms, blood products or other specimens.

d. Where applicable, adhere to the current Federal Guidelines for Research Involving Recombinant DNA molecules (www4.od.nih.gov/oba/rac/guidelines/guidelines.html).

6. **Publications, Presentations and Data Dissemination**

a. Submit Major Scientific Findings and Technical Advances for Publication and Presentation

Publish and present to the public, all major scientific findings and technical advances no later than six (6) months after internal data verification. Disseminate this information at national and international meetings and, where appropriate to other members of the contract infrastructure within the NIAID TB Program, and adhere to NIH's Policy on Enhancing Public Access to Archived Publications Resulting from NIH-Funded Research (http://grants2.nih.gov/grants/guide/notice-files/NOT-OD-05-022.html).

b. Submit Manuscripts and Scientific Meeting Abstracts

Submit manuscripts and scientific meeting abstracts containing data generated under this contract to the NIAID Project Officer for review no less than 5 calendar days before submission for public presentation or publication. NIAID contract support shall be acknowledged in all such publications. A "publication" is defined as an issue of printed material offered for distribution or any communication or oral presentation of information. The NIAID Project Officer will review all manuscripts/abstracts in a period of time not to exceed 5 calendar days from receipt to recommend any changes. If review is not completed within this timeframe, the Contractor may proceed with the publication.

c. Establish and Maintain Internet Website

Establish and maintain an internet website, referencing the NIAID contract number, that summarizes on-going studies, lists the locations of current clinical study sites, provides contact information for key study staff, summarizes publications and key findings from studies, and provides summaries of workshops or scientific meetings hosted by the Contractor. This website shall be approved by the NIAID Project Officer prior to being offered on the Internet.

d. Scientific Meetings and Workshops

Plan and conduct bi-annual-scientific meetings/workshops to discuss specific issues relevant to the clinical and scientific areas of TBRU research. These meetings shall involve invited outside experts [in addition to the Panel of Extenal Experts] and result in workshop summaries to be posted on the contract website and submitted to the NIAID Project Officer for posting on public NIAID websites. Travel and per diem will be covered under this contract.

7. **Final Contract Transition**

Provide for an orderly and efficient transition to a successor contractor or to the Government on or before the completion date of the contract.

a. Submit a **Draft** Final Transition Plan for review and approval to the NIAID Project Officer six (6) months prior to the completion date of the contract. The Draft Final Transition Plan shall address:

   1) Completion of ongoing clinical studies
   2) Relocation/disposition of clinical specimens in the repository
   3) Contract-developed data files and software systems (with documentation and specifications)

b. Include a timeline of proposed activities and completion of the transition.

c. Implement the approved Final Transition Plan to achieve a complete, timely, and orderly transition of contract activities and resources.

[END OF STATEMENT OF WORK]

Information Technology Systems Security
Prospective Offeror Non-Disclosure Agreement

Request For Proposal (RFP) No: _____
(fill in RFP Number)

Project Title: _____

_____

(Fill in Title from RFP)

_____(*Organization's name)*, intends to respond to the Government's Solicitation/Project title indicated above. The Government has determined that the solicitation requires prospective offerors to have access to sensitive information in order to prepare an offer.

I,_____ *(Offeror Official name and title),*

of _____ (*Organization's name)*,

on this _____ day of _____, 20____, on behalf of my organization hereby request access to the sensitive information described in Section L.III. of the RFP sited above.

I, the undersigned, understand that the Government has determined that any individual having access to the sensitive information described in the RFP must possess a valid and current Suitability Determination at the Level identified in Section L.III. of the RFP sited above.

I, the undersigned, do hereby affirm the following:

- I have a valid and current Suitability Determination sufficient to access the sensitive information (copy of suitability determination attached.
- I will be the corporate official soley responsible for appropriately safeguarding the sensitive information while in the possession of _____ *(Organizations's name)*;
- The sensitive information will be used solely for the purpose of preparing an offer;
- I will not release, publish, or disclose the sensitive information to unauthorized personnel; and
- I will protect the sensitive information in accordance with provisions of the following laws and any other pertinent laws and regulations governing the confidentiality of sensitive information;
    - 18 U.S.C. 641 (Criminal Code: Public Money, Property of Records)
    - 18 U.S.C. 1905 (Criminal Code: Disclosure of Confidential Information)
    - Public Law 96-511 (Paperwork Reduction Act)

Signature of Prospective Offeror Official:_____
Name of Prospective Offeror Official:_____
Name of Prospective Offeror:_____
Date:_____

Signature of Witness:_____
Name of Witness:_____
Date:_____

Copies Retained by: Contractor Official & Contracting Officer

REPORTING REQUIREMENTS AND DELIVERABLES
TUBERCULOSIS RESEARCH UNIT (TBRU)
RFP NIH-NIAID-DMID-07-17

A. **Periodic Contract Performance Technical Reports**

The Contractor shall submit to the NIAID Contracting Officer and the NIAID Project Officer technical progress reports covering the work accomplished during each reporting period. These reports are subject to the technical inspection and requests for clarification by the NIAID Project Officer. These reports shall be brief and factual and prepared in accordance with the following format and schedule:

1. **Report Format – Annual, Semiannual and Final Reports**

Each report shall include the following specific information:

A cover page that lists the contract number and title, the performance period covered in the report, the Contractor's name and address, the names of the author(s) and the date of submission.

SECTION I – A brief introduction covering the purpose and scope of the contract effort.

SECTION II - Detailed summary and documentation of substantive performance:

- status of each project, including those conducted by subcontractors
- tabular summary of current, as well as initially planned enrollment data for each study
- summary of key findings as they pertain to the study questions outlined in the Statement of Work
- achieved results and preliminary or final conclusions
- relatedness of performance to the goals of the contract as outlined in the Statement of Work
- issues and suggested solutions
- summary of ongoing collaborations and their contributions to the overall goals of the contract
- concise summary of content of specimen repository and plans for specimen use under this contract

SECTION III – Bibliography

- Reprints of publications since the last report, a brief cumulative summary of all presentations, or web-links to publicly accessible documents, as they pertain to contract activities.

2. **Reporting Schedule**

a. Semiannual Progress Report

In accordance with the information described in paragraph 1., above, this report shall include a summation of the results of the entire contract work for each semiannual period.

b. Annual Progress Report

In accordance with the information described in paragraph 1., above, this report shall include a summation of the results of the entire contract work and the Institutional Review Board (IRB) approval for each annual period.

c. Annual Technical Progress Report for Clinical Research Study Populations

The Contractor shall submit information about the planned and actual inclusion of women, children and members of minority groups and their subpopulations for each study being performed under this contract. The Contractor shall submit this information in the format indicated in the attachment entitled, "Inclusion Enrollment Report," which is set forth in Section J of the contract. The Contractor also shall use this format, modified to indicate that it is a final report, for reporting purposes in the Final Report. The Contractor shall submit the report in accordance with ARTICLE F.1. DELIVERABLES, of the contract. In addition, the NIH Policy and Guidelines on the Inclusion of Women and Minorities as Subjects in Clinical Research, Amended, October 2001, applies. If this contract is for Phase III clinical trials, see II.B of these guidelines. The Guidelines may be found at the following website:

http://grants.nih.gov/grants/funding/women_min/guidelines_amended_10_2001.htm

Include a description of the plans to conduct analyses, as appropriate, by gender and/or racial/ethnic groups in the clinical studies protocol as approved by the IRB, and provide a description of the progress in the conduct of these analyses, as appropriate, in the Annual Technical Progress Report and the Final Report. If the analysis reveals no subset differences, a brief statement to that effect, indicating the subsets analyzed, will suffice. The NIAID strongly encourages inclusion of the results of subset analysis in all publication submissions. In the Final Report, the Contractor shall include all final analyses of the data on gender and race/ethnicity.

d. Clinical Study Final Reports

The Contractor shall submit a concise final summary of each study/trial to the NIAID Project Officer. This summary is to contain the study protocol, final study demographics, study results and interpretation, publications resulting from the study, as well as an assessment of the impact of the findings.

e. Final Report with Summary of Salient Results

This report shall consist of the work performed and results obtained for the entire contract period of performance and the annual Institutional Review Board (IRB) approval. This report shall be in sufficient detail to describe comprehensively the results achieved. The Contractor shall submit, with the Final Report, a summary not to exceed 250 words of salient results achieved during the performance of the contract.

f. Invention Reporting Requirement

All reports and documentation required by FAR Clause 52.227-11 including, but not limited to, the invention disclosure report, the confirmatory license, and the government support certification, shall be directed to the Office of Extramural Inventions and Technology Resources Branch, OPERA, NIH, 6705 Rockledge Drive, Room 1040 A, MSC 7980, Bethesda, Maryland 20892-7980 (Telephone: 301-435-1986). In addition, one copy of an annual utilization report, and a copy of the final invention statement, shall be submitted to the Contracting Officer. The final invention statement (see FAR 27.303(a)(2)(ii)) shall be submitted on the completion date of the contract to the Contracting Officer.

The annual utilization report shall be submitted in accordance with ARTICLE F.1. DELIVERIES of this contract. The final invention statement (see FAR 27.303(a)(2)(ii)) shall be submitted on the completion date of the contract to the following address:

Contracting Officer
NIAID, NIH, DHHS
DEA, Office of Acquisitions
6700-B Rockledge Drive, Room 3214, MSC 7612
Bethesda, Maryland 20892-7612

If no invention is disclosed or no activity has occurred on a previously disclosed invention during the applicable reporting period, a negative report shall be submitted to the Contracting Officer at the address listed above.

To assist contractors in complying with invention reporting requirements of the clause, the NIH has developed "Interagency Edison," an electronic invention reporting system. Use of Interagency Edison is encouraged as it streamlines the reporting process and greatly reduces paperwork. Access to the system is through a secure interactive Web site to ensure that all information submitted is protected. Interagency Edison and information relating to the capabilities of the system can be obtained from the Web (http://www.iedison.gov), or by contacting the Office of Extramural Inventions and Technology Resources Branch, OPERA, NIH.

B. **Technical Reports Delivery Schedule**

Satisfactory performance of the contract is defined as satisfactorily performing the Statement of Work and delivering the following items:

Item	Type of Deliverable	Recipients & Number of Copies	Due Date
2.a.	Semiannual Progress Report	1 Paper Copy - PO 1 CD - PO 1 Original Paper – CO	First report due on/before _____, thereafter, due on/before the 30th of the month following each six-month period beginning with the effective date of the contract. Semi-annual progress reports will not be due when an annual progress report or final report is due.
2.b.	Annual Progress Report	1 Paper Copy - PO 1 CD - PO 1 Original Paper - CO	First report due on/before _____, thereafter, due on/before the 30th of the month after each anniversary date of the contract. An annual progress report is not due when a final report is due.
2.c.	Annual Technical Progress Report for Clinical Research Study Populations	1 Paper Copy - PO 1 Original Paper - CO	First report due on/before _____, thereafter, due on/before the 30th of the month after each anniversary date of the contract.
2.d.	Clinical Study Final Reports	1 Paper Copy - PO 1 CD - PO 1 Original Paper - CO	Due no later than 60 calendar days after the completion of each clinical study.
2.e.	Final Report with Summary of Salient Results	1 Paper Copy - PO 1 CD - PO 1 Original Paper - CO	Due 30 days before the completion date of the contract.

2.f.	Annual Utilization Report	1 Copy - CO	Due on/before the 30th of the month following each anniversary date of the contract.
2.f.	Final Invention Statement	1 Copy – CO	On/before completion date of the contract.
2.f.	All reports and documentation including, but not limited to, the invention disclosure report, the confirmatory license, and the government support certification	1 Copy - OPERA	As required by FAR Clause 52.227-11.

C. **Other Reports/Deliverables Delivery Schedule**

Satisfactory performance of the contract is defined as satisfactorily performing the Statement of Work and acceptable delivery of the following items:

Item	Type of Deliverable	SOW Para. Reference	Recipients & Number of Copies	Due Date
1.	Clinical Study Plan and Timelines	2.a.	1 Copy to PO 1 Copy to CO	Within 60 calendar days after contract award.
2.	Annual IRB Approvals	3.a.8)	1 Copy to PO 1 Copy to CO	To be submitted with the Annual Progress and Final Reports
3.	Clinical Studies Management and Oversight Plan	3.b.1)	1 Copy to PO	Upon request by the PO
4.	Monthly Clinical Study Progress Report	3.b.2)	Electronic Copy to PO	Due on/before the 15th of the month following each reporting period.
5.	Regulatory, monitoring and safety reports	3.b.3)	1 Copy to PO	As defined in each study protocol
6.	Clinical Study Final Reports	3.b.4)	1 Copy to PO	Within 60 calendar days of completion of clinical studies.
7.	Summaries from annual contract meetings	4.a.2)	1 Copy to PO 1 Copy to CO	30 calendar days after the meeting
8.	Audit Reports on FDA required GCP standards	4.c)	1 Copy to PO	30 calendar days after completion of audit
9.	Major scientific findings and technical advances for publication	6.a.	1 Copy to PO	No later than 6 months after internal data verification.
10.	Manuscripts and Scientific Meeting Abstracts	6.b.	1 Copy to PO	5 calendar days before submission for public presentation or publication.

11.	Summaries of scientific meetings/workshops	6.d.	1 Copy to PO 1 Copy to CO	30 days after the meeting
12.	Draft Final Transition Plan	7.	1 Copy to PO 1 Copy to CO	6 months before the completion date of the contract.
13.	All repository specimens and data collected throughout the contract period of performance as specified in the Final approved Transition Plan	7.	As designated by the PO	On/before the completion date of the contract as agreed to in the transition plan.

D. <u>Copies of reports shall be sent to the following addresses</u>:

Project Officer:
DMID, NIAID, NIH, DHHS
6610 Rockledge Drive, Room 5041, MSC 6604
Bethesda, MD 20892-6604

Contract Officer:
Office of Acquisitions, DEA
NIAID, NIH, DHHS
6700-B Rockledge Drive, Room 3214, MSC 7612
Bethesda, MD 20892-7612

OPERA:
Office of Extramural Inventions and Technology Resources Branch
OPERA, NIH
6705 Rockledge Drive, Room 1040 A, MSC 7980
Bethesda, Maryland 20892-7980

APPENDIX A
TUBERCULOSIS RESEARCH UNIT (TBRU)
RFP NIH-NIAID-DMID-07-17

APPENDIX A - ADDITIONAL TECHNICAL PROPOSAL INSTRUCTIONS and FORMAT FOR TECHNICAL PROPOSAL – TABLE OF CONTENTS

It is strongly recommended that offerors use the following template as the Table of Contents for the technical proposal. All information presented in the technical proposal should be presented in the order specified below.

The following additional technical proposal instructions reflect the requirements of the RFP and are meant to provide additional instructions as well as a uniform format for technical proposals. The information requested in these instructions should be used as a guide for formatting and preparing the proposal. Offerors should follow the instructions in Section L of the solicitation and include the information requested in this appendix

Offerors are advised to give careful consideration to the statement of work, all reference material, appendices and attachments, the technical evaluation criteria, and, the RFP as a whole, in the development of the proposal.

Offerors who propose subcontracts to perform portions of the statement of work should clearly identify the specific tasks for which they plan to utilize subcontractors, as well as the method and level of integration between the prime and subcontractor(s), and the expected advantages of such an approach.

Offerors are reminded that the total page limitation for the entire technical proposal package is 250 pages, including all appendices.

TECHNICAL PROPOSAL – TABLE OF CONTENTS

SECTION 1: TECHNICAL PLAN/APPROACH

General Technical Proposal Information

This contract ***will not*** support the establishment of new clinical studies/trials infrastructure in TB endemic countries or in the U.S. The offeror is therefore expected to propose studies at sites with which they have already established productive collaborations. Expansion and maintenance of this infrastructure may be funded through this contract provided it directly benefits the studies proposed in this proposal. Training of personnel at U.S. and foreign sites, as it pertains to proposed studies may be proposed through this contract. All site management, as well as quality control and quality assurance by contract staff and through internal audits, are expected to be performed by the Contractor.

Transition of Ongoing Studies: The incumbent Contractor shall complete all ongoing studies. Therefore, the successful offeror shall not be responsible for any tasks associated with the completion of ongoing work by the incumbent Contractor.

A. TBRU Establishment and Maintenance (SOW Task 1)

1. Clinical Study Sites

   Describe the composition of the proposed TBRU clinical study site infrastructure including collaborative arrangements with local investigators and institutions in TB endemic areas.

2. Study Design, Implementation and Mangement

   Describe the capabilities of clinical study sites and laboratories to conduct the proposed clinical studies, including: experience of the proposed institutions in the design and conduct of clinical research in TB; ongoing and completed clinical studies relevant to TB research; experience in obtaining clearances from in-country human subject review boards; adherence to GCP and local regulations governing the safe and ethical conduct of research involving human subjects; and numbers of available patients and access to volunteer and patient populations.

3. TBRU Data Management Center

   a. Provide a description of the clinical database and how it will be maintained.

   b. Provide proposed policies for procedures for quality control of study data.

   c. Provide documentation for systems to maintain a secure database.

   d. Provide a summary of how the Data Management Center will interact with the study sites to obtain all relevant data.

4. TBRU Specimen Repository

   a. Provide descriptions of data expected to be available for samples collected as part of the proposed clinical studies to maximize the quality and utility of the collected samples.

   b. Provide a summary of quality control procedures including procedures to be used for human and mycobacterial specimens.

   c. Provide a summary of how and how you plan to receive, store, package, inventory and ship. mycobacterial strains and human-derived materials, which may contain, but are not limited to, sera, sputa, saliva, blood and blood derived products, tissue and genetic samples.

   d. Provide a detailed description of the composition and expected datasets to be entered into a specimen database. These datasets should include sufficient information about the patient and relevant clinical conditions to characterize the specimen and allow maximum utility for later studies. The same data/criteria to characterize the specimens are to be used for all clinical sites to allow coordination across the study.

B. Clinical Study Plan (SOW Task 2)

1. Provide a proposed Clinical Study Plan that presents the scientific basis for the approaches and methodologies selected to answer the questions stated in the SOW. The scientific basis should include a summary of the state of the science for each of these questions; a definition of the relevant knowledge

gaps in the respective areas; identification of those knowledge gaps that will be addressed by the Offeror; and a discussion of potential problems and obstacles to addressing the knowledge gaps identified, and proposed approaches to overcoming any such problems or obstacles.

2. Provide a summary of studies similar to those proposed that have been conducted and published by the Offeror and/or other investigators. Discuss how the proposed studies for this solicitation differ from previously conducted studies, and delineate the added contributions of the proposed studies to advancing TB clinical science. Identify and discuss problems encountered for similar studies conducted by the Offeror and discuss how they were resolved.

3. Provide a sample protocol for each proposed clinical study outlining: the scientific basis/rationale; statistical design and enrollment numbers; inclusion and exclusion criteria for subjects; a summary of technical details for study implementation; clinical endpoints; how the study will contribute to answering the scientific questions listed in the Statement of Work; how it will provide endpoints and data relevant to future translational research. Offerors are encouraged to utilize protocol templates and other protocol development tools that are available at: (http://www.niaid.nih.gov/dmid/clinresearch/#resources) to develop sample protocols. These sample protocols will be used to evaluate the capabilities of the Offeror to design and conduct clinical studies in human TB. Sample protocols may serve as the basis for final study protocols or may undergo significant revision and changes before being approved implemented under the contract. Offerors do not need to provide detailed and complete study protocols but shall provide sample protocols with sufficient detail to allow evaluation of the feasibility, relevance and soundness of the study.

4. Provide timelines for protocol development, initiation, and completion for each proposed clinical study, as well as the analysis of final study data; include timelines for obtaining clearance in endemic countries.

5. Provide a detailed statistical plan outlining how the proposed enrollment numbers will be suitable to provide significant answers to the study questions.

6. Provide a summary of expected recruitment, enrollment and retention goals/targets for each clinical study based on the local demographics of the participating clinical study sites. Provide expected and published epidemiological data to demonstrate that selected clinical trial sites will have access to sufficient numbers of eligible patients to meet protocol objectives.

7. Provide a detailed perspective on how the proposed studies and their outcomes will benefit the host country and can be expected to advance translational TB research.

8. Describe any proposed collaborations with academia and/or industry for each proposed clinical study involving the use of experimental diagnostics, therapeutics or vaccines, including the conduct of any proposed clinical studies in conjunction with planned or ongoing clinical trials supported through other mechanisms and sponsored by other entities.

9. It is highly desirable for Offerors to propose a small number of complex, integrated studies rather than a larger number of smaller studies in order to maximize resources and information to be gained from volunteer/patient populations.

10. Provide letters of collaboration and memoranda of understanding for product availability and intellectual property agreements, where appropriate.

C. Protocol Development and Implementation (SOW Task 3)

1. Protocol Development

   a. Provide documentation regarding previous experience with protocol development and examples of studies, as well as outcomes, that are of similar complexity as those included in the Technical Proposal.

   b. Document the expertise and experience of the proposed clinical study sites to develop complex, collaborative protocols.

   c. Delineate all steps that will be addressed during protocol development and that have to be in place before a clinical study can be implemented. This discussion is to include all sites and will serve to allow evaluation of the experience of the Offeror in developing and implementing clinical protocols in TB endemic countries.

   d. Discuss how current health care practices in the endemic countries participating in the proposed clinical studies will affect protocol development and how study data may benefit these practices.

   e. Provide a detailed perspective of how human studies can inform the development and optimization of animal studies that are used to select new TB health care products and approaches, and how the proposed clinical studies will contribute to improving animal studies or assays.

2. Protocol Implementation

   a. Provide a plan for the oversight of all clinical studies, including adherence to regulatory requirements and protocol-specific requirements and procedures; provide plans to maintain currency in GCP as well as to provide protocol-specific training of clinical site personnel; delineate plans for quality assurance and quality control of study data; outline plans to assure compliance with biosafety requirements.

   b. Describe proposed policies and procedures to be implemented to ensure the timely initiation and completion of all clinical studies, how real and potential problems in study progress will be identified and corrected; describe potential circumstances under which requests for modifications in originally proposed clinical study timelines may be justified.

D. Publications, Presentations and Data Dissemination (SOW Task 6)

1. Provide proposed approaches and methods for disseminating data and major findings/conclusions from TBRU clinical studies conducted to the research community as a whole to stimulate further translational research.

2. Describe proposed approaches to and avenues for interacting with scientific groups, including other NIAID TB contractors, to maximize resources and integrate human with preclinical animal studies.

3. Provide examples of pages for a website that will be created to inform the research community of studies conducted and findings that were obtained as part of this contract.

SECTION 2: PROJECT MANAGEMENT (*SOW Task 4)*

A. Provide a thorough discussion and summary of capabilities and prior experience with data management for projects of similar size and complexity as those included in your proposal.

B. Discuss how studies in TB endemic countries outside the U.S. will be managed and how local personnel and investigators will be meaningfully engaged in these studies.

C. Provide a detailed summary of how data and studies will be coordinated between U.S. and non-U.S. sites and how problems and issues will be resolved, as well as how quality control of studies and data management will be assured.

D. Provide examples from within the past five (5) years demonstrating the Offeror's experience in managing clinical studies of similar size and complexity as those proposed. Include examples to demonstrate the Offeror's ability to prioritize and manage important project elements. Describe experience in the development, implementation, and adherence to comprehensive quality assurance plans.

E. Describe the overall project management infrastructure for the contract. Describe in detail the . responsibilities and level of effort for all proposed personnel who will be assigned to the contract, including proposed subcontractors and consultants, and an administrative framework indicating clear lines of authority and responsibility for personnel.

F. Delineate how the Principal Investigator will communicate and interact with the NIAID Project Officer and NIAID Contracting Officer and how the PI will communicate, monitor, and manage the project both internally and externally (at subcontractor facilities).

G. Proposed external experts shall not be identified in the technical proposal.

SECTION 3: PERSONNEL

Describe the training, education, experience and qualifications of the PI and senior scientific and technical personnel proposed, as well as the percentage of the total time each will be committed to the project. This includes staff of the Offeror and all proposed subcontractors. Please provide documentation to describe:

- Key Scientific and Technical Personnel (limit CVs to 2-3 pages)
- Qualifications and relevant training
- Previous experience doing similar complex projects;
- References to all relevant publications;
- Availability for the proposed project; and
- Summary of related activities.

SECTION 4: FACILITIES, OTHER RESOURCES, SAFETY AND TRAINING (*SOW Task 5)*

A. The Technical Proposal should document the availability and adequacy of facilities, equipment, space and other resources necessary to carry out the work requirements, including:

1. Location and features of facilities (lease or ownership information should be provided).

2. Identification and description of ALL support resources (including IT systems) which will be required to effectively complete the SOW.

B. Provide a summary of the experience and expertise of the Offeror and proposed subcontractors, including those in TB endemic countries, for working with pathogenic mycobacteria and possibly blood-borne pathogens.

1. Describe the level of training required for proposed staff working with pathogenic microorganisms.

2. Provide a thorough summary of safe practices and facilities that will be available to assure a safe working environment for all personnel handling or in contact with pathogenic mycobacteria.

SECTION 5: DOCUMENTATION REQUIRED UNDER SECTION L OF THE SOLICITATION

All offerors are advised to refer to Section L of the solicitation package for specific instruction regarding the following topics:

A. Human Subjects

Section L of the RFP specifies the minimum documentation requirements for Human Subjects use. All related documentation should be included in the proposal in a clearly marked section. The Technical proposal should document all information necessary to evaluate Human Subject use. Information should include plans for compliance with applicable domestic and international regulations on the use of human subjects (e.g. IRB submission and approval plans, consent procedures, etc.).

B. Privacy Act

Section L of the RFP specifies the minimum documentation requirements for Privacy Act compliance. All related documentation should be included in the proposal in a clearly marked section.

C. Animal Welfare

Section L of the RFP specifies the minimum documentation requirements for Animal Welfare compliance. All related documentation should be included in the proposal in a clearly marked section. The Technical proposal should document all information necessary to evaluate Animal Welfare issues.

D. Data Sharing Plan

Section L of the RFP specifies the minimum documentation requirements for Data Sharing . All related documentation should be included in the proposal in a clearly marked section. The Technical Proposal should include a plan for Data Sharing as required by the RFP.

E. Sample Task, Study or Protocol

The Technical Proposal should include a sample task, study, or protocol.

F. Biohazard Safety

The Technical Proposal should include a plan for biohazard security requirements.

G. IT Systems Security

The Technical Proposal should include a plan for IT Systems security.

H. Project Objectives NIH 1688-1

The Technical Proposal should include a completed NIH Form 1688-1. (Refer to Section J of the RFP for this form.).

APPENDIX B
TUBERCULOSIS RESEARCH UNIT (TBRU)
RFP NIH-NIAID-DMID-07-17

APPENDIX B - ADDITIONAL BUSINESS PROPOSAL INSTRUCTIONS and UNIFORM COST ASSUMPTIONS

In addition to the format requirements for the business proposal that are contained in Section L of the solicitation, the information provided in this appendix is intended to provide uniform cost assumptions and business clarifications.

Offerors are advised to give careful consideration to the statement of work, all reference material provided as appendices and attachments, and the technical evaluation criteria, and, the RFP as a whole, in the development of the proposal. The information requested in these instructions should be used as a guide for the development and formatting of your business proposal. Offerors should consider and include the information requested in this appendix, as well as **any other** information which will benefit the proposal.

BUSINESS PROPOSAL – TABLE OF CONTENTS

SECTION 1 PROPOSAL COVER SHEET – FORM NIH-2043 (See Section J, Attachments)

SECTION 2 COST OR PRICE SUPPORT

Section L.2.c., Business Proposal Instructions, of the RFP specifies the minimum documentation requirements for cost data and all cost related support. All related documentation should be included in the proposal in a clearly marked section.

SECTION 3 UNIFORM COST ASSUMPTIONS

1) Travel

- Assume one (1) trip per year to Bethesda, MD for 1.5 days and 5 contract personnel to meet with the NIAID Project and Contracting Officers per year.
- Assume attendance at a total of three (3) meetings (two (2) domestic and one (1) international) per year for 4-day trips for 2 contract personnel each to present contract data at scientific and collaborative meetings or conferences.
- Assume travel and per diem for a maximum of four (4) contract personnel to live and work at U.S. or non-U.S. contract sites at one time. Offerors shall include travel for data management and clinical exchange personnel to train or work in TB endemic countries under "other travel."
- Assume travel and per diem for three (3) domestic and two (2) international experts to attend one (1) annual contract meeting in Bethesda, MD with NIAID staff. Government-published allowances (http://www.gsa.gov/Portal/gsa/ep/home.do?tabId=0) for lodging and per-diem shall be used.

2) Special Shipping and Packaging

- Assume 100 domestic shipments per year.
- Assume 500 international shipments per year.
- Assume 1,000 specimens per year that will be packaged and marked

3) Storage

- Assume 1,000 new specimens (including aliquots) to be stored each year.

4) Government Furnished Equipment (GFE)

- Offerors are expected to have available all computer equipment needed to store and transfer data for studies proposed under this RFP. It is not the intent of the U.S. Government to purchase computer equipment under this contract.
- Offerors may propose the purchase of laboratory equipment for the storage and processing of patient samples.
- Offerors may propose the purchase of specialty equipment needed to conduct novel endpoint studies as outlined in the proposal.

5) Scientific Workshops

- Assume one workshop at the contractor or subcontractor site to be organized through the contract every other year for a maximum of fifty (50) attendees. The Offeror is to budget for meeting logistics and travel support/per diem for a maximum of four (4) domestic/international speakers.

6) Teleconferences

- Offerors are to budget for a minimum of one (1) multi-line phone conference each month to update the NIAID Project Officer on contract performance and potential issues.

7) Clinical Studies/ Number of Subjects

- Offerors should assume that over the course of the contract, five (5) clinical studies will be conducted involving a maximum of 500 enrolled subjects each.

SECTION 4 PAST PERFORMANCE DOCUMENTATION

Section L.2.a. of the RFP specifies the minimum documentation requirements for providing past performance information. This information should be turned in with the original business proposal. All related documentation should be included in the proposal in a clearly marked section.

APPENDIX C
TUBERCULOSIS RESEARCH UNIT (TBRU)
RFP DMID-07-17

APPENDIX C – CURRENT NIAID FUNDED ANIMAL MODEL CONTRACTS

Colorado State University (CSU), N01-AI95385: Animal model testing of TB drugs (http://www.taacf.org/CSU-flowchart.htm)
CSU performs early stage *in vivo* animal testing of promising drug compounds as part of the Tuberculosis Antimicrobial Acquisition and Testing Facility (TAAFC) infrastructure. Standardized animal models that allow initial evaluation of a drug candidate's ability to inhibit bacterial growth in the host, as well as development of new testing strategies and animal models that will facilitate and expedite early screening of drug candidates is supported under this contract.

Colorado State University (CSU), HHSN266200400091C (N01-AI-40091): TB Vaccine Testing and Research Materials (http://www.cvmbs.colostate.edu/microbiology/tb/top.htm)
CSU provides standardized, high quality preparations of *M. tuberculosis* and its cellular and subcellular components at no cost to researchers worldwide and also conducts testing of candidate tuberculosis vaccines in a series of animal models. Standardized reagents have found utility in immune assays conducted with human clinical samples. Continuous improvement of vaccine testing models and related immune assays is supported by this contract and will inform candidate selection as well as the development of biological potency assays for clinical vaccine candidates.

Johns Hopkins University (JHU), N01-AI30036: New Animal Models for Tuberculosis (http://www.hopkinsmedicine.org/TARGET/)

JHU is developing a series of animal models that will be available to the community for the assessment of the the biological function of *Mycobacterium tuberculosis* gene products that may have utility as drug, vaccine or diagnostic targets. This contract will evaluate *M. tuberculosis* and *M. tuberculosis* mutants in mice, guinea pigs, and rabbits to assess their capacity to infect and cause pathology and progressive disease. virulence and capacity to induce, for example, acute, latent, or cavitary tuberculosis. Beginning in 2005, TARGET will accept proposals for mutant testing in validated mouse, guinea pig, and rabbit models.

Johns Hopkins University, HHSN26620040007C (N01-AI-40007): Pharmacokinetics & Pharmacodynamics of Antimicrobials in Animal Model
JHU provides resources to the TB research community to determine basic pharmacology and efficacy characteristics of new chemical entities in order to best evaluate candidate compounds as potential new drugs for tuberculosis and other infections. Research to model new therapeutic strategies for improving TB therapeutic and preventive drug regimens is being conducted under this contract and will greatly inform dose selection and clinical development strategies for new TB drugs.