

July 28, 2004



## Request for Proposals

A Mouse Testing Facility for Screening of  
Small Molecule Therapeutics for Spinal Muscular Atrophy

**RFP No: JL-19704-1**

In support of:  
**The National Institute of Neurological Disorders and Stroke (NINDS)  
The SMA Project: A Collaborative Program to Accelerate Therapeutics  
Development for Spinal Muscular Atrophy**



*An SAIC-managed program to support the NINDS, National Institutes of Health,  
Department of Health and Human Services*

**SAIC Prime Contract No.: N01-NS-3-2356**



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## 1. Introduction

The [National Institute of Neurological Disorders and Stroke](http://www.ninds.nih.gov) (NINDS) launched The SMA Project: A Collaborative Program to Accelerate Therapeutics Development for Spinal Muscular Atrophy (SMA) in September 2003. The program aims to identify and rapidly develop a treatment for SMA, a paralyzing neurodegenerative disease of childhood. More information about the program can be found at <http://www.SMAProject.org>.

*The purpose of this solicitation is to identify a facility or facilities to provide (1) efficacy testing of compounds in mouse models of SMA and/or (2) the prerequisite in vivo pharmacologic, pharmacokinetic, and toxicologic studies that are necessary for the design and commencement of efficacy testing in mouse models of SMA. (Please note that prerequisite in vivo pharmacologic and toxicologic studies are NOT pivotal preclinical studies performed under Good Laboratory Practices [GLP].) Offerors may submit proposals to support either or both mouse testing facility services.*

### 1.1 Spinal Muscular Atrophy and the SMA Project

SMA is an autosomal recessive neuromuscular disease with variable severity ranging from limited motor neuron loss and normal life expectancy (type III) to progressive infantile paralysis and death (type I). All forms of SMA are caused by loss of function of the survival motor neuron 1 gene (*SMN1*). Reduced levels of SMN protein result in the specific death of motor neurons but not of other cell types in which the gene is normally expressed. *SMN2*, a nearly identical gene, is present in variable copy numbers and produces low levels of full-length SMN protein. SMA disease severity inversely correlates with the number of copies of *SMN2*; patients with higher *SMN2* copy numbers have a less severe form of the disease than patients with a low copy number. This suggests that therapeutic strategies to increase the level of *SMN2* produced in motor neurons may compensate for loss of *SMN1* and result in an improved clinical outcome for SMA patients.

The *SMN2* gene differs from *SMN1* by a single nucleotide polymorphism. This sequence change causes alternative splicing so that *SMN2* produces two different transcripts. These transcripts differ by the presence or absence of exon 7 and only a fraction of the transcripts produced by the *SMN2* gene are full length. Thus, an increase in the level of full-length *SMN* may be achieved either by increasing *SMN2* promoter activity or by influencing alternative splicing to produce a higher fraction of full-length transcripts.

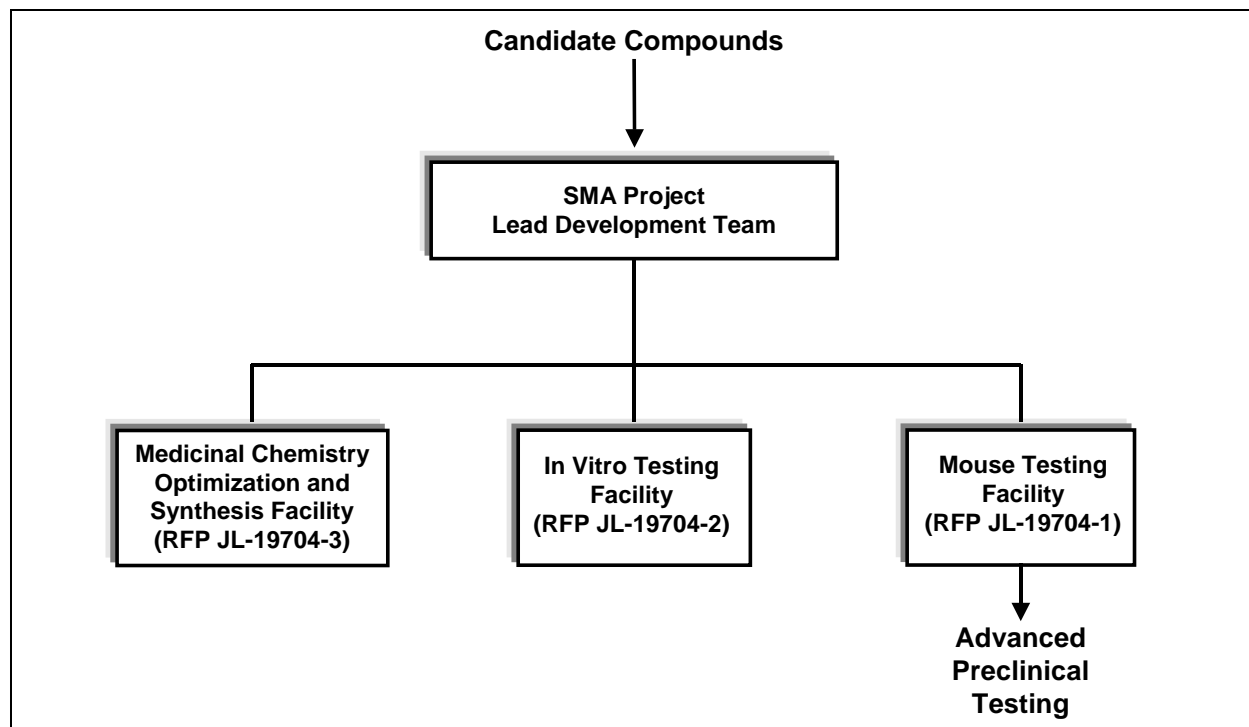
A number of small molecules have been identified that increase *SMN2* expression in cell culture, including phenylbutyrate, valproic acid, and aclarubicin. These appear to act by increasing *SMN2* promoter activity and/or altering the splicing of *SMN2* message, which leads to increased levels of full-length *SMN2* RNA. To maximize the chances that members of these and other similarly active compound classes might improve the condition of SMA patients, the SMA Project will undertake to further develop and optimize such compounds for clinical testing.

The SMA Project is establishing a Lead Development Team that will identify candidate compounds for preclinical testing. These compounds may come from small molecule screens conducted by the SMA Project or may be submitted for consideration by the research community. Through service contracts,<sup>1</sup> the SMA Project seeks to establish the necessary services for the Lead Development Team to identify the most favorable compounds, direct their chemical optimization, and determine their potential for treatment of SMA (**Figure 1**). Three types of contract facilities will conduct (1) medicinal chemistry optimization through synthesis of

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<sup>1</sup> Awards will be made in the form of contracts. SMA Project contracts will be "subcontracts" to SAIC to support the NINDS. However, for simplicity, in this RFP, the term "Contractor" is used to refer to an organization that will serve as an SMA Project mouse testing facility; the term "Subcontractor" refers to any organization that reports directly to the organization that is serving as the SMA Project mouse testing facility.

small molecule analogs of active compounds, (2) testing of the bioactivity of compounds in a battery of in vitro assays relevant to SMA, and (3) determination of the efficacy of compounds in in vivo mouse models of SMA (this RFP). (Copies of SMA Project Solicitations for the medicinal chemistry facility and the in vitro testing facility, as well as previous RFPs, are available on the SMA Project web page, <http://www.SMAProject.org>.)



**Figure 1 – Developmental Overview for SMA Project**

This RFP is intended to identify a service facility or facilities capable of testing the efficacy of small molecule compounds in mouse models of SMA (through responses to Sample Task A detailed in Sections 2.1 and 3.1 of this RFP) and performing the prerequisite pharmacologic, pharmacokinetic, and toxicity studies necessary for such efficacy testing (through responses to Sample Task B detailed in Sections 2.2 and 3.2 of this RFP). These resources will be critical components of the SMA Project effort to identify and develop candidate compounds for clinical testing.

## 1.2 Schedule for This Solicitation

Key dates related to this RFP are as follows:

- |  |                    |
|--|--------------------|
| • Offeror's <sup>2</sup> Intent to Submit Form Due | September 1, 2004  |
| • Proposals Due                                    | September 8, 2004  |
| • Review of Proposals and Supporting Documentation | ~October 1, 2004   |
| • Initiation of Negotiations                       | ~November 22, 2004 |
| • Anticipated Start Date                           | ~December 22, 2004 |
| • Notification of Unsuccessful Offerors            | ~January 22, 2005  |
| • Anticipated End Date                             | ~September 1, 2007 |

<sup>2</sup> "Offerors" are the institutional entities that respond to an RFP.

### 1.3 Compliance Requirements for Offerors

Offerors whose animal testing facilities are outside the continental United States must include documentation to demonstrate that they are capable of consistently shipping mouse biological samples to a facility within the continental U.S. borders for receipt within 48 hours. Additionally, Offerors responding to Sample Task A whose animal testing facilities are outside the continental United States must demonstrate previous experience that live, non-cryopreserved mouse embryos can be shipped from a university in the continental United States and be accessible for work within 2 months (including all import and quarantine delays).

Proposals should only be submitted if the Offeror has approval from the Office of Laboratory Animal Welfare (OLAW) or proof of application for an OLAW approved facility.

Only Offerors that meet criteria for federal funding eligibility (e.g., the continued ban on funding of human embryo research (45 CFR 46.208(a)(2) and Section 498(b) of the Public Health Service Act (42 U.S.C. 289g-1(b))) will be considered for award under this RFP.

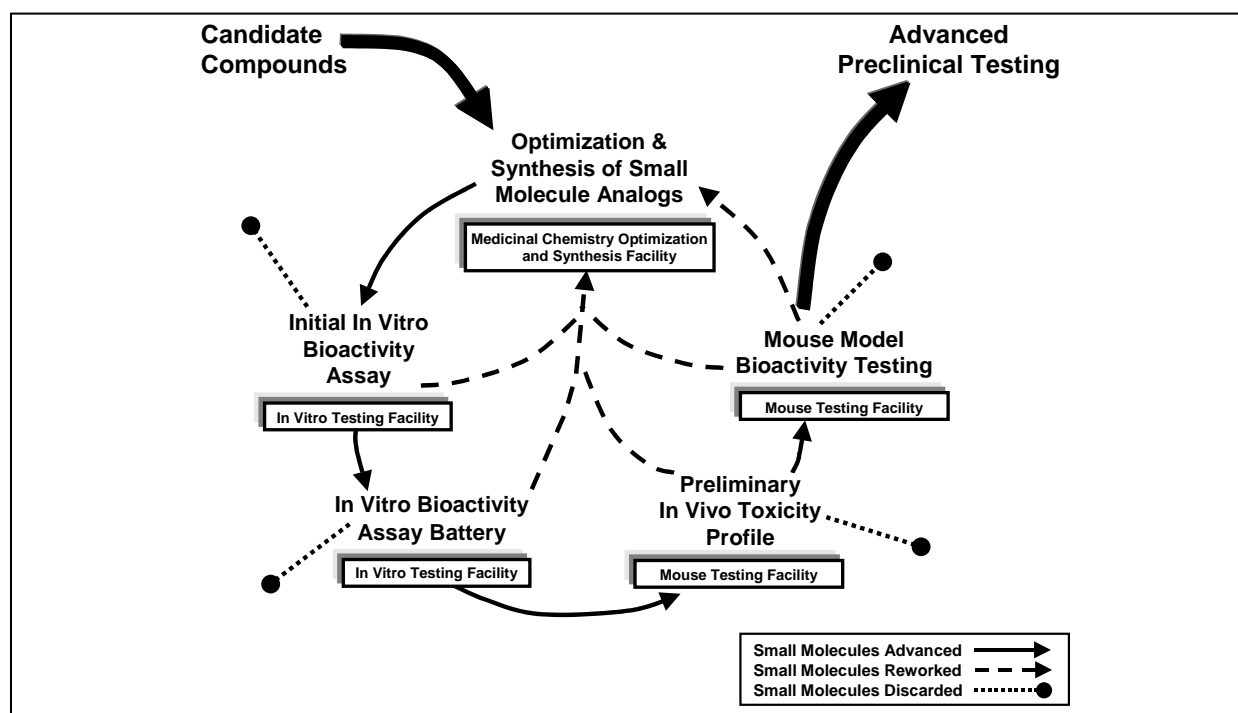
## 2. Focus of This Solicitation

Proposals are requested for a service facility with capabilities for efficacy testing of small molecule compounds for bioactivity in delaying or reversing the disease process in existing SMA mouse models including, but not necessary limited to, a dose-response study and prerequisite pharmacologic, pharmacokinetic, and toxicologic studies for such efficacy testing. The following Sections (2.1-2.2) describe the required capabilities of Offerors and components of the Statement of Work (SOW) required for successful performance of this Contract(s).

Offerors should note that the SMA Project may make more than one award (i.e., Contract) for mouse testing facilities. To be considered for an award, each Offeror (inclusive of any proposed subcontractors) must provide the complete range of services required under Section 2.1, Section 2.2, or both Sections 2.1 and 2.2.

All Offerors submitting proposals must demonstrate that they have successful experience in conducting work on similar types of projects, capabilities in the required critical methodologies, and a sound technical approach for performing one or two Sample Tasks. Because the SMA Project has not yet identified the specific mouse models, among the existing models or those being developed, that will be acquired by the Contractor(s) and the specific small molecule compounds that will be tested under this contract, Sample Tasks (see Section 3) are being used to guide Offerors in structuring their proposals and to assist reviewers in their assessment of technical merit.

Successful Offerors (i.e., Contractors) will be participants in the SMA Project's iterative process for developing small molecule therapeutics (**Figure 2**). This process will require frequent communication and collaboration between the different contract facilities to ensure that materials and data are transferred efficiently, thereby avoiding unnecessary delays in the overall process. Therefore, Offerors must also demonstrate that they have a successful history of efficient data and material exchange with outside facilities.



**Figure 2 – Flow Plan for Development of SMA Project Small Molecule Therapeutics**

## 2.1 Efficacy Testing of Candidate Compounds in Mouse Models of SMA

A Mouse Testing Facility for Screening Therapeutic Candidates will test candidate compounds for efficacy in existing mouse models of SMA. A possible component of this testing will also be to perform several bioactivity assays, such as analysis of the amount of SMN protein or RNA in tissue samples using available methodology. For purposes of preparing a proposal, Offerors may assume that approximately 10 candidate compounds per year will be tested under the contract.

As outlined in the SOW in Attachment A, Offerors (inclusive of any proposed subcontractors) must be capable of performing in vivo studies in the spirit of GLP, with an emphasis on data quality and integrity. Critical methodologies and procedures that will be required to successfully perform this work include the following:

- Establishment and maintenance of mouse colonies through breeding, genotyping, and maintaining mice, including knockout and transgenic strains, some of which may require special handling. The types of models to be acquired may include, but are not necessarily limited to:
  - A model of severe disease phenotype, such as the transgenic *Smn*<sup>-/-</sup>; *SMN2* mouse model described by Monani et al., 2000 (*Human Molecular Genetics* 9:333–339).
  - A model of mild disease phenotype, such as the transgenic *SMN A2G*; *SMN2*; *Smn*<sup>-/-</sup> mouse model described by Monani et al., 2003 (*Journal of Cell Biology* 160:41–52).
  - As yet unavailable models that are being developed by SMA Project investigators (see RFP JL-32903-001: [An Inducible Mouse Model of Spinal Muscular Atrophy](#)).
- Designing and performing efficacy testing on mouse models with progressive neurological disorders or diseases.
- Delivery of small molecule compounds to adult and neonatal mice via oral (p.o.), intraperitoneal (i.p.), intramuscular (i.m.), intrathecal (i.t.), intracranial (i.c.),

intracerebroventricular (i.c.v.), and/or intravenous (i.v.) routes as well as subcutaneous delivery over a period of at least 30 days.

- Delivery of small molecules to adult and neonatal mice via daily oral gavage.
- Receipt, handling, and storage of compounds for use in mouse models.
- Determination of physical and behavioral outcomes in neonatal lethal and adult lethal mouse models of central nervous system (CNS) disease, including:
  - Survival determinations
  - Motor performance measures
  - Behavioral performance measures
- Gross histopathologic analysis of tissues harvested from neonatal lethal and adult lethal mouse models of CNS disease, including muscle and CNS tissue.
- Collection, handling, preparation, storage, and shipping of mouse blood and tissue samples for analysis at other facilities. (*Note:* Bioactivity assays will be performed on mouse specimens. Offerors should consider these future experiments when demonstrating their ability to collect, prepare, store, and ship biological specimens.)
- Accurate, efficient, and frequent exchange of data with other institutions, preferably electronically.
- Efficient and frequent exchange of materials, including compounds, biological samples, and special supplies, with other institutions.

Offerors may also include an optional task for performing bioactivity assays (e.g., determining gene product level and SMN protein levels, and immunohistochemistry). Offerors (or their subcontractors) may propose to perform these bioactivity analyses at the facility.

Under the guidance of the SMA Project Lead Development Team, a mouse testing facility for screening therapeutic candidates will (1) acquire founding mice for establishment of the colony from outside sources and (2) obtain candidate compounds for testing from the SMA Project medicinal chemistry facility or commercial sources.

## **2.2 Prerequisite Pharmacologic, Pharmacokinetic, and Toxicologic Evaluation of Candidate Compounds**

Under the direction of the SMA Project Lead Development Team and in collaboration with the SMA Project's medicinal chemistry facility, a mouse testing facility (inclusive of subcontractors) shall perform prerequisite pharmacologic, pharmacokinetic, and toxicity studies prior to commencing efficacy testing of novel small molecule compounds in animal models of SMA.

As outlined in the SOW in Attachment A, Offerors (inclusive of any proposed subcontractors) must be capable of performing prerequisite in vivo pharmacologic, pharmacokinetic, and toxicologic studies in mice. Critical methodologies and procedures that will be required to successfully perform this work include:

- Determining appropriate methods for dissolving and administering novel chemical compounds.
- Delivery of small molecules (repeat dosage) to mice via the p.o., i.p., i.m., i.t., i.c., i.c.v., i.v., and subcutaneous routes.
- Delivery of small molecules to adult and neonatal mice via daily oral gavage.
- Receipt, handling, and storage of compounds for use in mouse models.
- Performing gross measures of toxicity, including neurotoxicity.
- Performing dose-finding studies to identify the maximum tolerated dose (e.g., limit testing).

- Prerequisite pharmacokinetic analyses (e.g., blood and tissue concentration/distribution, CNS uptake, and biological half-life) at appropriate time intervals, from mice that have received candidate compounds, including radiolabeled compounds.
- Gross histopathologic analysis of tissues harvested from neonatal lethal and adult lethal mouse models of CNS disease, including muscle and CNS tissue.
- Collection, preparation, shipping, and storage of blood and neuronal tissue specimens for analysis of RNA and protein levels at other facilities.
- Accurate, efficient, and frequent exchange of data with other institutions, preferably electronically.
- Efficient and frequent exchange of materials, including compounds, biological samples, and special supplies, with other institutions.

The Contractor shall obtain candidate compounds for testing from the SMA Project medicinal chemistry facility or commercial sources as determined in collaboration with the SMA Project Lead Development Team.

### 3. Sample Tasks

All Offerors are required to propose a technical approach for the performance of one or two Sample Tasks. All Offerors who are interested in serving as a contract facility to perform SMA mouse efficacy testing must address Sample Task A. All Offerors who are interested in serving as a contract facility to perform pharmacologic, pharmacokinetic, and toxicologic characterization of novel small molecules must address Sample Task B. Offerors interested in providing both types of contract services must address both Sample Tasks in their proposals.

Technical proposals for each Sample Task will be used to gauge each Offeror's capability to perform similar work. Identification of which compounds and models will be tested will not be made prior to award of a SMA Project contract. Proposals will be evaluated independently for the Offeror's ability to perform either Sample Task A or Sample Task B; an Offeror who submits a proposal for performing both in vivo efficacy testing and pharmacologic/toxicologic testing may be funded for one or both components. An SMA Project contract award that is based upon a proposed Sample Task does not guarantee that the specific task (as proposed by the Offeror) will be funded. (See Section 10.1 for information on how tasks will be funded post SMA Project contract award for successful Offerors.)

#### 3.1 Sample Task A: Test Valproic Acid for Efficacy in Two Mouse Models of SMA

For Sample Task A, Offerors will need to propose a reasonable approach for the following:

- Establishing Colonies of Mouse Models of SMA. For proposal preparation purposes, Offerors should assume that the following two models will be used:
  - The transgenic *Smn*<sup>-/-</sup>;*SMN2* mouse model described by Monani et al., 2000 (*Human Molecular Genetics* 9:333–339), which displays a severe disease phenotype.
  - The transgenic *SMN A2G*;*SMN2*;*Smn*<sup>-/-</sup> mouse model described by Monani et al., 2003 (*Journal of Cell Biology* 160:41–52), which displays a milder disease phenotype.
- Testing Compounds in SMA Mouse Models. Offerors should propose a well thought-out strategy for testing valproic acid for efficacy in the two mouse models of SMA cited above. Valproic acid is an anticonvulsant drug that has been shown to increase *SMN2* levels in cultured cell lines and cultured fibroblasts from SMA patients. Valproic acid will be administered via two routes of the Offeror's choice into:
  - Neonatal mice, both severe and mild disease phenotypes, continuously for the life of the mouse.

- Post-weaning mice, both severe and mild disease phenotypes, continuously for up to 3 months.

Offerors should propose valproic acid doses to be tested, study design including statistical analysis, outcomes to be measured, and procedures for handling and shipping biological samples to another facility for pharmacokinetic analyses. For proposal preparation purposes, the Offeror should assume that valproic acid will be provided by the SMA Project.

### **3.2 Sample Task B: Prerequisite Pharmacologic, Pharmacokinetic, and Toxicologic Testing of a New Chemical Entity**

For Sample Task B, Offerors are being asked to provide a well thought-out strategy for determining initial pharmacologic, pharmacokinetic, and toxicologic profiles for a new chemical entity in both adult and 1-day-old mice. Offerors should assume that the new chemical entity will be provided by the SMA Project. The strategy should be designed so that the final product will be the data (e.g., dose range and biodistribution) necessary for moving forward with efficacy testing similar to those outlined in Sample Task A. Cost and time efficiency should be given high priority when developing this strategy. The proposed pharmacologic, pharmacokinetic, and toxicologic studies should be the minimum necessary to reliably determine whether testing of a new chemical entity in a mouse model of SMA is feasible and practical.

### **4. Offerors Provide Information on Intent to Submit**

Potential Offerors are strongly encouraged to complete the Intent to Submit form on the [Open Solicitations](#) page of the SMA Project website or to send an e-mail to [smaproject-fd@saic.com](mailto:smaproject-fd@saic.com).

### **5. Proposal Preparation Procedures**

Before preparing a proposal, Offerors should read over this entire document and visit the SMA Project website (<http://www.SMAProject.org>) to learn more about the program and the nature of SMA Project contracts and task orders. Offerors should also review the Subcontract Agreement and the Representations and Certifications document, which are posted on the [Open Solicitations](#) and [Supporting Documentation](#) pages of the SMA Project website.

**NOTE:** Unlike previous SMA Project RFPs, there will only be one deadline for Proposals and all Supporting Documentation; pre-proposals will not be accepted or evaluated.

Proposals should only be submitted if the Offeror meets the Compliance Requirements for Offerors (Section 1.3).

To assist Offerors in assembling all the required documents, a Proposal Preparation Checklist has been included in Attachment B. *Note:* Items covered in Sections 5.1–5.5, 5.7, and 5.9–5.10 should be submitted on a CD in addition to paper copies.

#### **5.1 Proposal Face Page**

The face page of the proposal must contain the following items:

- Proposal Title
- Name of Offeror Institution
- Principal Investigator's First Name, Middle Initial, Last Name, and Degree(s)
- Principal Investigator's Signature
- Contracting Officer's First Name, Middle Initial, Last Name, and Degree(s)
- Contracting Officer's Signature

- Principal Investigator's Contact Information: mailing address, telephone number, fax number, e-mail address, and, if available, alternate telephone number and e-mail address.
- Contracting Officer's Contact Information: mailing address, telephone number, fax number, e-mail address, and, if available, alternate telephone number and e-mail address.
- The following statement "Response to A Mouse Testing Facility for Screening of Small Molecule Therapeutics in Mouse Models of Spinal Muscular Atrophy, JL-19704-1."
- As appropriate, specify which Sample Tasks are included in the proposal.
- The following Statement: "This proposal complies with the Salary Rate Limitation pursuant to P.L. 108-199, and the Offeror certifies that no costs for independent research and development, to include any indirect costs have been claimed under this submission." (Please note the certification regarding IR&D applies only to commercial institutions. If IR&D costs are a part of your institution's indirect cost application that portion must be excluded for this proposal.)

## 5.2 Proposal Executive Summary

**One-page limit.** The proposal must contain a 1-page Executive Summary that demonstrates an understanding of the objectives/goals to be met, summarizes the Offeror's capabilities, and includes a summary of the Offeror's approach for performing the Sample Task(s). The Executive Summary will be forwarded to the SMA Project Steering Committee after review as part of the material that will be used to make a funding recommendation (see also Section 8.5). The format specifications outlined in Section 5.6 are also applicable to this summary.

## 5.3 Proposal Body

The body of the proposal should contain two parts: Overall Capabilities description and Sample Task(s).

### Part 1: Overall Capabilities

Offerors shall provide a Background Information/Demonstrated Capabilities **no longer than 7 pages in length**, inclusive of any figures, tables, and graphs. This section should demonstrate that the Offeror has a comprehensive understanding of the goals/objectives to be met along with a description of the Offeror's capabilities for meeting them.

The description of capabilities should address experience, facilities, equipment, supplies, special resources, personnel, management structure, and any subcontractor organizations that are being proposed. If any subcontractor organizations are being proposed, it is necessary to include a description of the Offeror's subcontract management capabilities and a description of each subcontractor's capabilities for performing any work to which they will be assigned.

The description should include an overall project Management Plan and address the Offeror's capability to coordinate multiple concurrent tests and scheduling. The plan should include a proposed monthly reporting plan to concisely summarize overall project efforts.

### Part 2: Sample Task(s)

Offerors can respond to either or both Sample Tasks. Responses to Sample Task A should be **no longer than 15 pages in length**; responses to Sample Task B should be **no longer than 10 pages in length**. Please note that additional technical information can be included in an appendix to the proposal. (See Section 5.5, Proposal Appendix: Standard Operating Procedures [SOPs]) Page limits are inclusive of any figures, tables, and graphs. The technical approach, for each task, should include a demonstration of the understanding of the requirements (Section 2, Section 3, and Attachment A) and, at the minimum, detail the following:

- Where the work will be performed.
- The personnel who will be performing the work.
- Unique equipment that will be used to perform the work.
- The amount of compound required for performance of the work.
- Source suppliers for unusual supplies or reagents.
- Procedures for administering the compound.
- All test protocols, including descriptions of statistical considerations.
- The problems that are most likely to occur and how they will be corrected.
- Capacity for performance of the work (i.e., maximum number of animals and compounds that can be tested in parallel).
- Any procedures or methods that will be used for ensuring standardization.
- Standardized format for submitting test results to the SMA Project.
- A Time Line\* for acquiring mouse models of SMA prior to initiating the first in vivo screening assay (Sample Task A only).
- A Time Line\* for compound evaluation and delivery of test results.

\* Time Lines: Time Lines should be as efficient/short as possible and should include performance milestones. Milestones should be brief descriptions of expected and required outcomes, not just markers for completion of tasks. For a sample Time Line, see the [Open Solicitations](#) page of the SMA Project website.

#### 5.4 References

**No page limit.** List relevant references using a standard reference format that includes the full citation (i.e., author(s), year published, title of article, publication, volume, chapter, page numbers, and publisher, as appropriate).

#### 5.5 Proposal Appendix: Standard Operating Procedures (SOPs)

**No page limit.** List and briefly state the purpose of the SOPs currently used by your organization that are relevant to the work being proposed in the Technical Approach section. If desired, a sample SOP may be included in this appendix.

#### 5.6 General Format Specifications

The following format instructions must be followed when preparing the Executive Summary, Proposal Body, References, and the Proposal Appendix **or the application may be returned without review**. Prepare the documents single-sided. The proposal should not be stapled or otherwise bound. The documents must be clear, readily legible, and conform to the following requirements:

- Type font: Must be 10 point or larger (suggested font = 11-point Arial).
- Type density: Must not be more than 15 characters per inch (cpi) including spaces. For proportional spacing, the average for any representative section of text must not be more than 15 cpi or 114 characters per line.
- Spacing: Single-spaced; must not be more than 6 lines of type within a vertical inch.
- Margins: Must be a minimum of ½ inch in all directions.
- Paper size: 8½ x 11 inch.

- Header or Footer: The Principal Investigator's (PI's) name and consecutive page numbers should be included on the Proposal Executive Summary, Body, References, and Proposal Appendices.

Charts, tables, figures, figure legends, and footnotes may be smaller in size but must be readily legible. Do not use photo reduction. Prepare all graphs, tables, diagrams, and charts in black ink. The application must contain only material that reproduces well when photocopied or printed in black and white since some reviewers may only receive a printed version. Do not use Internet website addresses to provide information necessary to the review because reviewers are under no obligation to view the Internet sites. Moreover, reviewers are cautioned that directly accessing an Internet site could compromise their anonymity.

## 5.7 Biographical Sketches

**Four-page limit for each biosketch;** unlimited number of biosketches allowed. Include a biosketch for key personnel, including the PI. The National Institutes of Health's (NIH's) biosketch form (<http://grants1.nih.gov/grants/funding/phs398/biosketch.pdf>) can be used. Required elements of a biographical sketch are as follows:

- Education/Training: List all degrees received, universities attended, and other pertinent information.
- Positions and Honors: List previous positions in chronological order, concluding with present position. Include present membership on any advisory committee. List any honors.
- Publications: List selected peer-reviewed publications, manuscripts in press, and manuscripts submitted (in chronological order). Do not include manuscripts in preparation.
- Research Support: List both selected ongoing research projects and projects completed within the last 3 years (federal or non-federal support). Beginning with the most relevant projects, compare this Offer to ongoing project(s) and include information on the degree of scientific uniqueness and overlaps. Briefly indicate the overall goals of the ongoing projects and responsibilities of the Offeror. *Note:* Do not include percent of effort or direct costs.

## 5.8 Letters of Intent

**No page limit.** Provide letters of intent from all proposed subcontractors and consultants.

## 5.9 Publication and/or Patent Information

**Five-document limit.** Include up to five relevant publication reprints and/or patent abstracts. A patent application abstract should provide a nonproprietary description of the patent application.

## 5.10 Proposed Budget/Pricing Information

**No page limit.** An Indefinite Delivery/Indefinite Quantity (ID/IQ) subcontract will be issued for one or more offers received in response to this RFP. A time and material or cost-reimbursement contract is anticipated. The Offer shall provide separate budgets for the following:

- Project Management: The budget should cover overall Project Management, inclusive of preparing monthly reports, time to consult with the Lead Development Team and SMA project investigators, and participation in two, 2-day SMA project meetings per year. In addition, if the proposal includes Sample Task A, the Project Management budget should include costs for establishing and maintaining SMA model mice colonies with sufficient ongoing breeding capacity to produce mice for testing at least two compounds per year for the life of the contract as outlined in Section 2.1.

- Sample Task A: The budget should support the work and schedules provided by the Offeror for work in response to Sample Task A.
- Sample Task B: The budget should support the work and schedules provided by the Offeror for work in response to Sample Task B.

The Summary of Costs form, which is available on the [Open Solicitations](#) page of the SMA Project website, may be used to submit pricing information. The Summary of Costs should be accompanied by a budget justification.

### 5.11 Past Performance and Customer Surveys of Performance

To demonstrate successful performance on work that is similar to that required, the Offeror should submit a Summary of Pertinent Contracts and Grants and Customer Survey of Performance.

- Summary of Pertinent Contracts and Grants: This document should summarize either ongoing or completed projects that are comparable or related to the work required by this RFP. Pertinent Contracts and Grants should be limited to those in which work is ongoing or completed in the last 3 years. This document should include (1) who performed the work, i.e., the Offeror or a subcontractor; (2) the contract/grant number; (3) the client; (4) the dollar value; (5) the period of performance; (6) a description of the work performed; and (7) an explanation of relevance of the work to this RFP.
- Customer Surveys of Performance: A Customer Survey of Performance form in Attachment C of this RFP should be completed by **three clients (for each sample Task)** for which the Offeror has already completed or is presently conducting work. For each proposed subcontractor organization, Customer Survey of Performance forms should be completed by one to **two clients** for which the subcontractor has already completed or is presently conducting similar work.

Offerors shall mail or e-mail the Customer Survey of Performance form (Attachment C) to previous clients, collect the surveys from previous clients, and submit the surveys with their proposal. Offerors may provide information on problems encountered on the identified contracts and the Offeror's corrective actions.

An MS Word version of the Customer Performance Survey is also available on the [Open Solicitations](#) page of the SMA Project website.

## 6. Supporting Documentation

**NOTE:** Only **two paper copies** of the following documents need to be provided with your proposal. This information does not need to be provided electronically on the CD.

Offerors shall send in the following Supporting Documentation **at the same time** as their proposals:

- **Subcontract Agreement:** Available on the [Open Solicitations](#) and [Supporting Documentation](#) pages of the SMA Project website. When completing this document, pay particular attention to the Contract Clauses in Schedule B, Part II. This section contains numerous items pertinent to laboratory research (e.g., Animal Welfare Assurance, Continued Ban on Funding of Human Embryo Research, Recombinant DNA and Human Gene Transfer Research, and Research Misconduct). **This section also contains intellectual property management provisions and a request for copies of OLAW approval.**
- **Representations and Certifications:** Available on the [Open Solicitations](#) and [Supporting Documentation](#) pages of the SMA Project website.

- **Non-U.S. Facility Shipping Requirement** (*No information needs to be submitted if facility is within the United States*): Offerors whose animal testing facilities are outside the continental United States must include documentation to demonstrate that they are capable of consistently shipping mouse biological samples to a facility within the continental U.S. borders for receipt within 48 hours. Additionally, Offerors responding to Sample Task A whose animal testing facilities are outside the continental United States must demonstrate previous experience that live, non-cryopreserved mouse embryos can be shipped from a university in the continental United States and be accessible for work within 2 months (including all import and quarantine delays).

## 7. Submission of Proposals and Supporting Documentation

A complete submission consists of a proposal (as described in Section 5) and supporting documentation (as described in Section 6). Details on the required format (i.e., paper vs. electronic) for submission, number of copies needed, and address to which your documents must be sent are provided below.

Please submit:

- **Eight** identical paper copies of the proposal,
- **One** electronic copy of the proposal on a CD (exclusive of signatures, Past Performance, and Letters of Intent), and
- **Two** paper copies of the Supporting Documentation,

all complying with the requirements described in this RFP, via **mail** or **overnight carrier** by **5:00 P.M. ET on September 8, 2004** to

Science Applications International Corporation (SAIC)  
 Attn: Jonathan Logan  
 5340 Spectrum Drive, Suite N  
 Frederick, MD 21703-7357  
 Phone: 301-228-3149

A Checklist for Submitting a Proposal and Supporting Documentation is included as Attachment B to assist Offerors in the preparation of the required documents for submission.

## 8. Procedures for Evaluation of Proposals and Selection of Award

### 8.1 General Information

Final funding decisions will be based on (1) review of proposals that will be performed in accordance with the evaluation review criteria outlined in Section 8.4, (2) recommendations of the Steering Committee, (3) priorities of NINDS, and (4) availability of funds.

### 8.2 Compliance Check

Prior to forwarding proposals for review, all documentation will be compliance checked to ensure the following:

- All of the Offeror's facilities in which animal experiments will be performed have OLAW approval, or application for an OLAW assured facility. (Note: No award shall be made unless appropriate OLAW assurances are obtained.)
- Offeror's proposed animal testing facilities are within the continental United States **OR** Offerors whose animal testing facilities are outside the continental United States have included documentation to demonstrate that they are capable of consistently shipping mouse biological samples to a facility within the continental U.S. borders for receipt

within 48 hours. Offerors responding to Sample Task A have demonstrated previous experience that live, non-cryopreserved mice can be shipped from a university in the continental United States and be accessible for work within 2 months (including all import and quarantine delays).

- The proposal contains a cover page with signatures, an Executive Summary, a technical approach with required time lines, a biographical sketch for the PI, letters of intent from all proposed subcontractors and consultants, a budget, and customer surveys.
- The Supporting Documentation contains required signatures.

Proposals that do not meet the aforementioned requirements will be returned to the Offeror without review.

### 8.3 Proposal Review Process

A review panel composed of scientists with appropriate expertise will evaluate the proposals based on the criteria listed below. Evaluations of Sample Tasks A and B will be made independently; evaluation results of Sample Task A will not impact the evaluation of Sample Task B and vice versa. If two Sample Tasks are submitted, the Overall Capabilities may be evaluated twice, in the context of Sample Tasks A and/or B, as appropriate.

Offerors should be prepared to be available by telephone during the review meeting to answer questions pertaining to their proposal; details of this procedure will be provided to Offerors approximately 1 week prior to the scheduled review meeting.

### 8.4 Proposal Review Criteria

Reviewers will evaluate proposals against the review criteria listed below. The relative importance of these criteria is indicated by the assigned point weights. The maximum total score possible is **100 points**.

- **Past Experience (40 points):** Do the Overall Capabilities and Sample Task sections demonstrate experience in the critical methodologies? Do the Past Performance and Customer Surveys of Performance demonstrate that the Offeror has successfully performed the type of work required on a contractual basis? Does the Offeror have a successful animal breeding and health maintenance record? For Sample Task A, does the Offeror have experience at acquiring and utilizing mouse models of disease that were developed by other investigators and were any of these models for CNS disease or injury?
- **Technical Approach and Time Lines (25 points):** Does the Sample Task section propose feasible strategies and methods for testing of candidate compounds? Are the proposed time lines as efficient as possible, yet realistic? Have all conceivable efficiencies been considered? Have pedigree records and other quality control and assurance issues been addressed? For Sample Task A, are appropriate statistical considerations used to determine the number of mice for evaluating a candidate small molecule therapeutic? For Sample Task B, are the proposed tests necessary and sufficient to evaluate a new chemical entity for in vivo efficacy testing?
- **Personnel and Project Management (20 points):** Is there a proposed Project Manager (i.e., PI) with education and experience commensurate with the level of responsibility to be assumed? Is the management plan well thought-out? Do the Background Information/Demonstrated Capabilities and the Management Plan (see Section 5.3) demonstrate a thorough understanding of the requirements and the broader goals and objectives of the SMA Project? Is there a veterinarian readily available? Are personnel adequately trained and experienced in handling animals and in use of the equipment, supplies, and reagents needed for animal testing? Are there sufficient

personnel to accomplish the SOW according to the schedule presented? For Sample Task A, are there sufficient personnel to simultaneously acquire and maintain multiple mouse models?

- **Facilities/Equipment (15 points):** Do the Overall Capabilities and Sample Task sections and Supporting Documentation demonstrate that the Offeror has an appropriately equipped and licensed facility for conducting the proposed work? Are the mouse holding and breeding rooms, air-handling equipment, storage areas, and laboratory work areas adequate for the proposed level of effort? Is there physical isolation from other animal facilities? Do the facilities have adequate capacity to house multiple breeding colonies and conduct multiple simultaneous trials of chronically administered compounds? Is all equipment in good repair and being maintained according to manufacturer specifications? Are adequate measures in place to ensure the health and safety of all personnel and the proper disposal of all hazardous waste?

In addition to the review criteria listed above, reviewers will consider the appropriateness of the **pricing information** supplied by the Offeror.

## **8.5 Funding Recommendations and Award Negotiations**

Upon completion of peer review, Steering Committee members will be provided a copy of each proposal's Executive Summary and a summary of reviewers' evaluation. The Steering Committee will use this information to make funding recommendations to SAIC and NINDS for approval by NINDS.

Site visits may be conducted for some Offers within 6 weeks of review. With prior notification from SAIC, each Offeror should make the facility available during normal business hours.

SAIC will formally notify organizations of technical merit results. Notification of award status will be made in accordance with Federal Acquisition Regulation 15.503.

## **9. Additional Information for Offerors**

### **9.1 General Information**

The Offeror is to furnish all information required by this RFP to SAIC. Any erasures or changes to a proposal must be initialed by an individual authorized to submit the offer, on behalf of the Offeror. The individual submitting the offer must have the authority to contractually bind the offer.

This RFP does not commit SAIC to pay any costs associated with the Offeror's preparation and submission of a proposal. The SAIC Subcontracts Representative is the only individual legally authorized to contractually bind SAIC for this solicitation. This is not an authorization to proceed with the work referenced herein.

### **9.2 Contact Information**

For technical questions regarding this RFP, please contact Adam Book at 301-228-3114. For contractual questions related to this RFP, please contact Jonathan Logan at 301-228-3149. Alternatively, technical or contractual questions can be e-mailed to [smaproject-fd@saic.com](mailto:smaproject-fd@saic.com).

### **9.3 Progress Monitoring of Awards**

Progress on each contract and task order will be monitored. Offerors who receive funding will be asked to submit brief monthly reports/updates on overall progress and separate reports with detailed test results. Offerors will propose a monthly reporting plan to concisely summarize overall project efforts in their proposal and means to share data. A format and schedule for delivery of data and reports will be negotiated.

Through open communication between SMA Project investigators and SAIC's professional staff of doctoral-level scientists, regulatory affairs specialists, and project control specialists, any issues or concerns will be efficiently addressed. As needed, SMA Project Steering Committee members and technical experts who are formally associated with SAIC will also review reports/updates.

Offerors should note that continued funding for issued Task Orders during the period of performance of the SMA Project contract will be dependent on successful completion of assays according to the time lines specified in the proposal. SAIC will work with a SMA Project contractor to adjust time lines if necessary to best meet the needs of the SMA Project.

#### **9.4 Resource Sharing, Data Sharing, and Intellectual Property Management**

The SMA Project is "A Collaborative Program to Accelerate Therapeutics Development for Spinal Muscular Atrophy." Collaboration is deemed essential for being able to identify and rapidly complete preclinical development of the SMA therapeutics that are most likely to be safe, effective, and approved for clinical use by the U.S. Food and Drug Administration. In vivo efficacy screening of candidate compounds is important for the success of this program, and the screening results must be made freely available for use in any component of this program. In awarding funds to successful Offerors, SAIC will act as a Contractor to NINDS. As such, these funds are subject to the provisions of the *Principles and Guidelines for Recipients of NIH Research Grants and Contracts on Obtaining and Disseminating Biomedical Research Resources* (64 FR 72090, December 23, 1999) and the *NIH Grants Policy Statement* concerning the availability of research results: publications, intellectual property rights, and sharing of biomedical research resources. An intellectual property plan will be negotiated as part of the [Subcontract Agreement](#). To facilitate data and resource sharing and the generation of new ideas, funded investigators will be required to participate in investigator teleconferences and meetings as arranged by SAIC (for more information, see [About the Program](#) on the SMA Project website).

To ensure that intellectual property claims are adequately protected and/or appropriately pursued, program participants who are not employees of the federal government will be required to read and sign the program's Data Sharing Plan (see the Subcontract Agreement). Enforcement of the plan will be carried out by NINDS with assistance from SAIC. In addition, as part of the Subcontract Agreement with SAIC, the Contractor agrees that an Intellectual Property Plan will be established for products developed under the contract. This plan will be in compliance with the provisions and spirit of the Bayh-Dole Act (35 U.S.C. 200, et seq.) and will not impose inappropriate reach-through royalty terms on the sale of an end item developed using the product. (See the Subcontract Agreement for a full description of the Intellectual Property Plan requirements.)

To help ensure the resource sharing, data sharing, and intellectual property management plans of the Offerors are consistent with the goals of this program and NIH policies, SAIC and the Steering Committee will consider whether each Offeror's plans are consistent with the goals of this program prior to making funding recommendations to NINDS.

**The following section is intended primarily for the Offeror's Business Office. Offerors should familiarize themselves with the information contained in this section and forward the material to their Business Offices as soon as possible.**

### **10. Information Related to SMA Project Contracts**

#### **10.1 General Information**

SAIC reserves the right to make multiple awards. Indefinite Delivery/Indefinite Quantity (ID/IQ) subcontract(s) will be issued in response to this RFP. Awards will be made for base contracts

to support management of in vivo facilities. In addition, base contracts to institutions that will perform in vivo efficacy testing (i.e., work similar to that proposed for Sample Task A) will also support acquiring/maintaining mouse models. Contracted facilities for mouse testing will be asked to develop protocols for performing either efficacy testing or prerequisite pharmacologic/toxicologic testing, as appropriate, on a specific compound or set of compounds. Protocols will be refined and modified based on consultation with the Lead Development Team, NINDS, and SAIC prior to initiating testing on candidate compounds.

Any SMA Project contract resulting from this solicitation shall resemble the Subcontract Agreement posted on the SMA Project website, with the exception of appropriate modifications made at the time of award, including all applicable provisions required for flowdown by the prime contract to SAIC and any provisions required by law on the date of execution of the SMA Project contract. The terms and conditions set forth or referenced herein shall apply, and SAIC objects to and shall not be bound by any additional alternate terms and conditions proposed by the Offeror. The Offeror agrees, if an offer is accepted, to furnish any or all services for which the offer is submitted at the price(s) proposed and upon the terms and conditions contained in this RFP, and the proposal shall be inclusive of all costs associated with performing the work, including profit/fee.

### **10.2 Restrictions on the Use of Human Subjects and Human Tissues/Specimens**

Research involving human subjects shall not be conducted under SMA Project contracts. Research involving tissues or other biological specimens derived from living or deceased humans and cell lines derived from human tissues may only be conducted if Offerors have demonstrated their compliance with all appropriate guidelines pertaining to the use of human specimens and approval of the Contracting Officer. Please see the NIH brochure [Research on Human Specimens: Are You Conducting Research Using Human Subjects?](#) based on *Regulations for Protection of Human Subjects (45 Code of Federal Regulations Part 46)*, for more information.

### **10.3 Proposal Validity**

To be considered valid, your proposal must be addressed to Jonathan Logan and remain firm for 180 calendar days.

### **10.4 Qualifications of Prospective Offeror**

The Offeror must have adequate resources to perform any resulting SMA Project contract, in accordance with the terms and conditions of this RFP, and upon request furnish proof of the same. The SAIC Subcontracts Representative may request verification of the Offeror's financial status, cost data related to the proposal, verification of insurance, anticipated technical approach, preliminary project scheduling, and/or any other pertinent data needed to establish the responsibility of the Offeror. Offers will not be accepted from any SAIC employee or business unit.

### **10.5 Procurement of Certain Equipment**

Offerors will not be reimbursed for the purchase, lease, or rental of any item of equipment listed in the following Federal Supply Groups, regardless of the dollar value, without the prior written approval of the government contracting officer:

- 67 – Photographic Equipment
- 69 – Training Aids and Devices
- 70 – General Purpose ADP Equipment, Software, Supplies, and Support  
(Excluding 7045-ADP Supplies and Support Equipment)
- 71 – Furniture
- 72 – Household and Commercial Furnishings and Appliances

- 74 – Office Machines and Visible Record Equipment
- 77 – Musical Instruments, Phonographs, and Hometype Radios
- 78 – Recreational and Athletic Equipment

When equipment in these Federal Supply Groups is requested by the Offeror and determined essential by the Contracting Officer, the government will endeavor to fulfill the requirement with equipment available from its excess personal property sources, provided the request is made under a cost reimbursement contract. Extensions or renewals of approved existing leases or rentals for equipment in these Federal Supply Groups are excluded from the provisions of this article.

Additional unallowable items include accountable government property (defined as both real and personal property with an acquisition cost of \$1,000 or more and a life expectancy of more than 2 years) and “sensitive items” (defined and listed in the Contractor’s Guide for Control of Government Property, <http://knownet.hhs.gov/log/AgencyPolicy/HHSLogPolicy/contractorsguide.htm>, 1990), regardless of acquisition value.

#### **10.6 Late Offers**

Formal offers, amendments, or requests for withdrawal of offers received after the date specified for submittal may not be considered.

#### **10.7 Offer Acceptance and Award**

SAIC reserves the right under all circumstances to select and award to the Offeror, in whole or in part, any portion of this project that is in the best interest of SAIC and its client.

Of note:

- SAIC may accept any offer regardless of whether there are negotiations conducted subsequent to its receipt. Any such negotiations shall not constitute a rejection or counteroffer on the part of SAIC.
- SAIC reserves the right to reject the offer, to waive minor informalities in offers, and/or to conduct further negotiations with the Offeror.
- SAIC assumes no responsibility for any promise or representation, either oral or written, that an SMA Project contract award will be made, unless done so by the SAIC Subcontracts Representative and only when an SAIC Pro-Forma Subcontract of the type referenced in this RFP is executed with the Offeror.
- SAIC reserves the right to make multiple awards.

#### **10.8 Right of Denial**

SAIC reserves the right to deny the services of an Offeror due to inadequate qualifications and/or failure to complete a contract or demonstrated poor performance on contracts similar in nature or an Offeror who, under investigation, is shown not to be in a position to perform the contract.

**To form a complete offer, the Offeror is required to provide a detailed cost proposal in accordance with this solicitation, a technical proposal that demonstrates the Offeror’s understanding of the requirements, and other pertinent documents as outlined in Section 6 of this RFP.**

## Statement of Work

Independently, and not as an agent of the government, the Contractor shall furnish services, qualified professional and technical personnel, material, equipment, and facilities directly or through subcontractors to accomplish the work for the SMA Project's "A Mouse Testing Facility for Screening of Small Molecule Therapeutics for Spinal Muscular Atrophy" under the direction of SAIC and NINDS.

There are two separable requirements Offerors can respond to: (1) efficacy testing of small molecule compounds in mouse models of SMA and (2) prerequisite pharmacologic, pharmacokinetic, and toxicologic testing necessary for such efficacy testing in mouse models of SMA. Offerors can respond to one or both of these.

### **Facilities Providing Efficacy Testing of Candidate Compounds in Mouse Models of SMA Shall:**

- Based upon the advice of the Lead Development Team and under the direction of SAIC and NINDS, establish and maintain colonies of mouse models for SMA. These models will likely include knockout and transgenic strains, which require special handling. Breeding colonies will be maintained at a size that can be efficiently scaled up for performing two concurrent screens on small molecule compounds.
- Confirm genetic quality of colonies of SMA mice, as necessary.
- Maintain pedigree and other relevant records on individual mice and colonies for SMA models.
- As directed, cryopreserve mouse embryos for models of SMA that have not been previously preserved.
- As directed, transfer models of SMA to another facility.
- Based upon the advice of the Lead Development Team and under the direction of SAIC and NINDS, perform appropriately controlled and experimentally sound in vivo efficacy screening of small molecule candidate compounds.
  - The Contractor will propose experimental protocols, including, but not limited to, the number of SMA model mice and controls, doses, routes of administration, schedules, and outcomes to be measured (e.g., survival, histology, weight changes, gross motor performance, and behavioral function). Collaborative decisions will be made by the Contractor and the SMA Project Lead Development Team regarding protocols to be performed. Protocols will be approved by SAIC and NINDS prior to initiation.
  - As part of the protocol, the Contractor should plan to collect, prepare, store, and/or ship mouse blood and tissue samples for analysis at other facilities. These later analyses may include histology, SMN protein, or other bioactivity analyses.

### **Facilities Providing Prerequisite Pharmacologic, Pharmacokinetic, and Toxicologic Evaluation of Candidate Small Molecule Compounds Shall:**

- Perform prerequisite testing to characterize the pharmacologic, pharmacokinetic, and toxicologic properties of novel chemical entities to determine whether it is feasible and practical to test these molecules in mouse models of SMA.
  - In consultation with the Lead Development Team and the medicinal chemistry facility, develop experimental protocols. Protocols should include, but are not limited to, the number/strain of mice to be tested, methods for dissolving and handling compounds, doses, routes of administration, and schedules. Measures to be assessed should also be defined. These should include, as appropriate, gross

measures of toxicity, including neurotoxicity and maximum tolerated dose, and prerequisite pharmacokinetic analyses (e.g., blood and tissue concentration/distribution, CNS uptake, and biological half-life) to be performed at appropriate time intervals.

- If requested, some pharmacological studies may need to be performed with radiolabeled compounds.

**All Mouse Testing Facilities Shall:**

- Provide high-quality health care, maintenance, disease surveillance, and laboratory procedures to maintain specific pathogen-free mice. Provide quality veterinary care. Notify SAIC as soon as it is determined that there is a disease problem.
- Maintain current OLAW and Institutional Animal Care and Use Committee (IACUC) approvals. Provide copies of updated approval documents to SAIC.
- Maintain quality control of all mouse model lines (if Contractor is performing efficacy studies), reagents, biological specimens, data, and other material related to work under this subcontract.
- Receive, handle, and store all compounds in a manner to ensure consistency among batches and between experiments. Special handling may be required for some chemical compounds.
- Collect, prepare, store, and/or ship mouse blood and tissue samples for analysis at other facilities. Special handling may be required to ensure integrity of specimens for RNA, DNA, or protein analysis. The Contractor may be requested to ship specimens within 24 hours and/or store specimens for up to 24 months.
- In accordance with the Contractor's Time Line, provide comprehensive reports on efficacy screening or pharmacologic/toxicologic evaluations, as appropriate, and inclusive of statistical analyses.
- As requested, provide accurate, efficient, and frequent data updates to other institutions, preferably electronically.
- Exchange materials, including compounds, biological samples, and special supplies, with other institutions.
- Provide monthly reports on overall project work, be available for consulting advice to the participants in the SMA Project, and, if requested, attend meetings twice a year.
- Collaborate with investigators from other institutions to establish appropriate procedures, e.g., drug dosing, specimen collection, and shipping procedures.

## Checklist for Submitting a Proposal and Supporting Documentation

### Proposal

Submit 8 identical paper copies and a CD with one electronic copy of the following (items marked with an \* are not needed in electronic form):

- Proposal Face Page (with signatures on original paper copy)
- Proposal Executive Summary (1-page limit)
- Proposal Body
  - Part 1: Overall Capabilities (7-page limit)
  - Part 2: Sample Tasks with Time Lines (15-page limit for Sample Task A; 10-page limit for Sample Task B)
- References (no page limit)
- Proposal Appendix: Standard Operating Procedures (no page limit)
- Biographical Sketches (4-page limit for each biosketch; unlimited number of biosketches)
- Letters of Intent\* (no page limit)
- Publication and/or Patent Information (5-document limit)
- Proposed Budget/Pricing Information and Budget Justification (no page limit)
- Past Performance and Customer Surveys of Performance\*
  - Forms from 3 current or past clients
  - For proposed subcontractors, forms from 1-2 current or past clients of the subcontractor

### Supporting Documentation

Submit 2 identical paper copies of the following:

- Subcontract Agreement
  - The entire document must be read and completed as necessary. Of note, signatures are needed in the following places:*
    - Schedule A, page 13
    - Attachment II (Memorandum – Requirements Related to Human Subjects, Specimens, and Recombinant DNA Research), page 31
  - Also note that as part of the Subcontract Agreement you must provide:*
    - An approved Animal Welfare Assurance from the Office of Laboratory Animal Welfare, page 22
    - An intellectual property management plan that satisfies the requirements outlined in the Subcontract Agreement, page 25
  - In addition, prior to the start of research involving animals you must provide:*
    - Verification of approval (including the date of most recent approval) by the IACUC with appropriate documentation, page 22
- Representations and Certifications document
  - This document must be read and completed as necessary, including a signature of the person authorized to bind Offeror on page 12.*
- Non-U.S. Facility Shipping Requirement
  - Note: No information needs to be submitted if your facility is within the United States.*



## The SMA Project: Customer Survey of Performance

Please complete Parts 1, 3, and 4 of the questionnaire and return via regular mail or fax to the attention of:

\_\_\_\_\_  
(Name) By \_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Address)

\_\_\_\_\_  
(Fax Number)

### PART 1: GENERAL INFORMATION

Name of Contracting Organization: \_\_\_\_\_

Department/Component: \_\_\_\_\_

Contract Number: \_\_\_\_\_

Contract Type: \_\_\_\_\_

Contract Value (including options): \$\_\_\_\_\_

Period of Performance (including option periods): \_\_\_\_\_

Approximate percentage of work being performed (or completed) by subcontractor (s): \_\_\_\_\_%

Contracting Officer's Name and Telephone Number: \_\_\_\_\_

Program Manager's Name and Phone Number: \_\_\_\_\_

Please provide a brief description regarding how this contract is related to providing (1) efficacy testing of compounds in mouse models of SMA and/or (2) the basic in vivo pharmacological and toxicological testing required to design such efficacy trials in mouse models of SMA. In addition, please provide a general description of products/services required under the contract:

**PART 2: RATINGS**

Use the table below as a guide to complete Part 3.

|   | <b>Quality of Product or Service</b>   | <b>Cost Control</b>  | <b>Timeliness of Performance</b>   | <b>Business Relations</b>  |
|---|--|--|--|--|
| 0 – Unsatisfactory  | Contractor is not in compliance and is jeopardizing achievement of contract objectives           | Contractor is unable to manage costs effectively   | Contractor delays are jeopardizing performance of contract objectives          | Response to inquiries, technical/service/administrative issues is not effective        |
| 1 – Poor  | Major problems have been encountered   | Contractor is having major difficulty in managing costs effectively                            | Contractor is having major difficulty meeting milestones and delivery schedule | Response to inquiries, technical/service/administrative issues is marginally effective |
| 2 – Fair  | Some problems have been encountered  | Contractor is having some problems in managing costs effectively                               | Contractor is having some problems meeting milestones and delivery schedule    | Response to inquiries, technical/service/administrative issues is somewhat effective   |
| 3 – Good  | Minor inefficiencies/errors have been identified   | Contractor is usually effective in managing costs  | Contractor is usually effective in meeting milestones and delivery schedule    | Response to inquiries, technical/service/administrative issues is usually effective    |
| 4 – Excellent   | Contractor is in compliance with contract requirements and/or delivers quality products/services | Contractor is effective in managing costs and submits current, accurate, and complete billings | Contractor is effective in meeting milestones and delivery schedule            | Response to inquiries, technical/service/administrative issues is effective            |
| 5-Outstanding: The contractor has demonstrated an outstanding performance level in any of the above four categories that justifies adding a point to the score. It is expected that this rating will be used in those rare circumstances when contractor performance clearly exceeds the performance levels described as "Excellent." |  |  |  |  |

*Assign each area a rating of 0 (Unsatisfactory) , 1 (Poor) , 2 (Fair) , 3 ( Good) , 4 (Excellent), or 5 (Outstanding) .*

**PART 3: SMA PROJECT CUSTOMER SURVEY OF CONTRACTOR PERFORMANCE**

Circle the appropriate rating using the table in Part 2. If you do not have enough personal knowledge or feedback from internal customers who directly received products and services from the Contractor to make a determination on any of the performance criteria below, please circle "N/A" (not applicable/no opinion).

**QUALITY OF PRODUCT OR SERVICE**


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|  |   |   |   |   |   |   |     |
|--|---|---|---|---|---|---|-----|
| 1. Compliance with contract requirements | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 2. Accuracy of reports                   | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 3. Effectiveness of personnel            | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 4. Technical Excellence                  | 0 | 1 | 2 | 3 | 4 | 5 | N/A |

**COST CONTROL**


---

|   |   |   |   |   |   |   |     |
|---|---|---|---|---|---|---|-----|
| 1. Record of forecasting and controlling target costs | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 2. Current, accurate, and complete billings           | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 3. Relationship of negotiated costs to actuals        | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 4. Cost efficiencies                                  | 0 | 1 | 2 | 3 | 4 | 5 | N/A |

**TIMELINESS OF PERFORMANCE**


---

|  |   |   |   |   |   |   |     |
|--|---|---|---|---|---|---|-----|
| 1. Met interim milestones  | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 2. Reliability   | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 3. Responsive to technical directions                              | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 4. Completed on time including wrap-up and contract administration | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 5. Met delivery schedules  | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 6. Liquidated damages assessed: Yes No (circle one)                |   |   |   |   |   |   |     |

**BUSINESS RELATIONS**


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|   |   |   |   |   |   |   |     |
|---|---|---|---|---|---|---|-----|
| 1. Effective management, including management of subcontracts | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 2. Reasonable/cooperative behavior                            | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 3. Responsive to contract requirements                        | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 4. Notification of problems                                   | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 5. Flexibility  | 0 | 1 | 2 | 3 | 4 | 5 | N/A |
| 6. Pro-active vs. reactive                                    | 0 | 1 | 2 | 3 | 4 | 5 | N/A |

