

RFP Number 2025-02

HEALTH RESEARCH, INC.

Request for Proposals

Advisory Services for Separation of Assets

KEY DATES

RFP Release Date:	February 18, 2025
Questions Due	February 24, 2025
RFP Updates Posted	February 27, 2025
Proposals Due:	March 14, 2025
Contact Email:	rfp-responses@healthresearch.org

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1. Introduction

After working collaboratively for many decades, the boards of directors for Health Research, Inc. (HRI) and the Roswell Park Cancer Institute Corporation (RPCI or Roswell Park Cancer Institute) have approved the separation of the two entities, with the intent to reassign grants HRI administers on behalf of RPCI, and, on or before December 2025, to transfer employment of the employees funded by those grants, to a new nonprofit organization (“NNPO”) to be formed solely by RPCI.

Through this Request for Proposals (RFP), HRI invites qualified organizations, hereinafter called “Offeror”, or “Bidder”, having sufficient experience, to provide professional support for the period of separation.

2. Background

HRI is recognized by the Internal Revenue Service as a tax-exempt not-for-profit corporation under Section 501(c)(3) of the Internal Revenue Code. HRI was established in 1953 primarily to serve the research programs of the RPCI, which at the time was an institution of the New York State Department of Health (NYSDOH). Today HRI operates an Albany Division to support the NYSDOH and a Buffalo Division (“Roswell Park Division”) to support RPCI. In its long history, HRI has accepted and administered over eighteen billion dollars in funding to supplement NYSDOH, RPCI, and other health-related programs, and has established a proven track record of assuring that funds are utilized in accordance with the requirements of the sponsor.

Sources of HRI funding includes Federal sponsors, not-for-profit foundations, and commercial firms. In addition, HRI administers funds from individual donors, estate bequests and court settlements. HRI expends federal funds and is subject to an audit referred to as a “Single Audit” under Uniform Guidance requirements. A copy of the most recent (2024) annual audit may be requested by emailing rfp-responses@healthresearch.org.

The separation of the Roswell Park Division from HRI to the NNPO holds key challenges for the organization during the period of separation. A summary description of the current environment and challenges follows.

Roswell Park Division Valuation: A valuation of the net assets of the Roswell Park Division in comparison to the overall net assets of HRI is required given the nature of HRI’s corporate status. Such valuation may be provided to the NY State Attorney General’s Office (the “AG”) for review if the AG must make a determination as to the propriety of any transfer of HRI assets to the NNPO.

Technology Infrastructure: The Roswell Park Division is operating accounts payable and finance functions for RPCI funding in a legacy database that has reached end of life. The transition of grants and employees to RPCI therefore must be accomplished on time to mitigate risks to data and compliance obligations.

Grant Assignments & Transfer of Employees: The Roswell Park Division holds an

extensive number of sponsored agreements that fund staff performing research activities at RPCI. As these agreements are assigned to a new nonprofit organization, the staff that are currently HRI employees will be transferred to the new organization. The prioritization of the transfer of agreements has yet to be determined but will need to be analyzed for the impact on staff transfers, and to determine mechanics of assigning the contract to the NNPO.

3. Intent

The purpose of this RFP is to secure the expertise of a qualified entity that can work with both the Executive Director of HRI and the staff in the Roswell Park Division to advise on all aspects of the transition and separation agreement, including but not limited to the division of assets including cash and investments. The selected Offeror will, at a minimum, provide professional staff that can participate as active member(s) of the negotiation committee for the separation agreement.

4. Who May Apply

- Offeror must be an Independent Certified Public Accounting (CPA) Firm licensed in New York State;
- Offeror must have minimum of five (10) years' transactional experience with non-profit organization, grant accounting or Clinical Trial Agreements.

5. Project Description

The selected Offeror will become oriented with the accounting operations of HRI's Roswell Park Division, assets on its balance sheet, and physical assets, including equipment, that belong to grants that support RPCI. In addition to federally sponsored grants and contracts, non-federal funds managed by the Roswell Park Division including funding derived from the following sources:

- Commercially Sponsored Clinical Research
- RPCI Clinical Practice
- Roswell Alliance Foundation
- Internally Sponsored Programs

The selected Offeror will provide professionals, at least one of which is a Certified Public Accountant, that will provide advisory services on the financial, accounting and tax implications regarding the separation transaction.

- a. Develop an understanding of the relationship between HRI and RPCI.
- b. Advise on language in the separation agreement to ensure HRI's obligations and interests are appropriately covered.
- c. Advise on the reservation of funds to ensure the smooth completion of the separation and the timing and ability of HRI to make any transfers of assets to the new nonprofit.
- d. Participate in strategic division of net assets.

- e. Review the HRI accounts and discuss with management and/or legal counsel the contractual obligations to which HRI is subject on each account.
- f. Advise on transfer of HRI employee benefits at separation (i.e. accruals, etc).
- g. Assist in identification of accounts for which no transfer requirements exist.
- h. Report to the Executive Director on the overall financial operations of the HRI Roswell Park Division during the period of transition.
- i. Attend meetings to present information to the Board or other stakeholders.
- j. Issue a final report documenting the financial separation outcome to provide to HRI auditors.

Location and Hours of Work

It is expected that the assigned individual(s) will work remotely but may need to travel to the HRI office at RPCI in Buffalo, NY on occasion. The total number of hours required per week may vary during the engagement.

An assessment of the estimated total number of hours required weekly for this engagement will be made after the project timeline and milestones are finalized and an initial kick off meeting with the selected Offeror is held.

6. Administrative Requirements

A. Issuing Agency

This RFP is issued by HRI. HRI is responsible for the requirements specified herein and for the evaluation of all proposals.

B. Question and Answer Phase:

Questions and answers, as well as any updates and/or modifications, will be emailed to all parties who submit a statement of interest to rfp-responses@healthresearch.org. All substantive questions must also be submitted to this address. Written questions will be accepted until the date posted on the cover of this RFP.

To the degree possible, each inquiry should cite the RFP section and paragraph to which it refers.

Prospective bidders should note that all clarification and exceptions, including those relating to the terms and conditions of the contract, are to be raised prior to the submission of a proposal.

Submission of a letter of interest is not a requirement for submitting a proposal.

7. How to File a Proposal

A complete proposal consists of responses to these two (2) documents, with signature where requested. These are attachments are provided as attachments to this RFP:

- 1) Technical Proposal- Attachment 1
- 2) Cost Proposal- Attachment 2

These Attachments should be completed and converted to 2 separate PDF files and **emailed to rfp-responses@healthresearch.org** by *March 14, 2025*. Late or incomplete proposals will not be accepted.

8. Reserved Rights

HRI Reserves the Right to:

1. Reject any or all proposals received in response to this RFP.
2. Withdraw the RFP at any time, at HRI's sole discretion.
3. Make an award under the RFP in whole or in part.
4. Disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP.
5. Seek clarifications and revisions of proposals.
6. Use proposal information obtained through site visits, management interviews and the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP.
7. Prior to application opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available.
8. Prior to proposal opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments.
9. Change any of the scheduled dates.
10. Waive any requirements that are not material.
11. Award more than one contract resulting from this RFP.
12. Conduct contract negotiations with the next responsible bidder, should HRI be unsuccessful in negotiating with the selected bidder.

13. Utilize any and all ideas submitted with the proposals received.
14. Unless otherwise specified in the RFP, every offer is firm and not revocable for a period of 60 days from the bid opening.
15. Waive or modify minor irregularities in proposals received after prior notification to the bidder.
16. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an Offeror's proposal and/or to determine an Offeror's compliance with the requirements of the RFP.
17. Negotiate with successful bidders within the scope of the RFP in the best interests of HRI.
18. Eliminate any mandatory, non-material specifications that cannot be complied with by all bidders.
19. Award contracts based on geographic or regional considerations to serve the best interests of HRI.
20. Review any potential conflicts of interest an Offeror may have while performing the work under this RFP and reject any proposals that could result in a conflict of interest.

9. Term of Contract

Any contract resulting from this RFP will be effective only upon approval by HRI .

It is expected that any contract resulting from this RFP will have the following time period:
April 1, 2025- December 31, 2025.

In the event that further services will be required past the expected termination date of the contract, extension of the contract may be entered into upon written notification of HRI.

10. Payment & Reporting Requirements

1. The contractor shall submit *Monthly* invoices and required reports of expenditures to:

Teresa Makarowsky
Corporate Controller
Health Research, Inc.
150 Broadway, Suite 260
Menands, NY 12204

All payment and reporting requirements will be detailed in Exhibit A of the final contract.

11. Review Process

All proposals received by the due date will be reviewed for compliance with the mandatory requirements in Section 4 of this RFP. All bids meeting minimum mandatory requirements will be sent to a committee to conduct an evaluation of the technical merit of the proposals in accordance with the evaluation criteria.

At any point in time a Vendor may be excluded from further consideration.

At the conclusion of all HRI's evaluation activities, finalist vendors will be scored in the following categories, and the highest scorer will be offered a contract.

- i. Cost (40%)
- ii. Merit of technical response (60%)

HRI makes no guarantees or representations that any award will be made and reserves the right to cancel this solicitation for any reason, including:

1. Changes in the scope of work or services to be provided.
2. Withholding the award of contract(s).
3. Procurement by any other means.
4. Termination of the RFP process.

12. General Specifications

1. By signing the "Proposal Form" each bidder attests to its express authority to sign on behalf of the bidder.
2. Contractor will possess, at no cost to HRI or the State, all qualifications, licenses and permits to engage in the required business as may be required within the jurisdiction where the work specified is to be performed. Workers to be employed in the performance of this contract will possess the qualifications, training, licenses and permits as may be required within such jurisdiction.
3. Submission of a proposal indicates the bidder's acceptance of all conditions and terms contained in this RFP, including the terms and conditions of the contract as included in Attachment 4. Any exceptions allowed by HRI during the Question-and-Answer Phase must be clearly noted in a cover letter attached to the proposal.
4. A bidder may be disqualified from receiving awards if such bidder or any subsidiary, affiliate, partner, officer, agent or principal thereof, or anyone in its employ, has previously failed to perform satisfactorily in connection with public bidding or contracts.

5. Provisions Upon Default

- a. The services to be performed by the Bidder shall be at all times subject to the direction and control of HRI as to all matters arising in connection with or relating to the contract resulting from this RFP.
 - b. In the event that the Bidder, through any cause, fails to perform any of the terms, covenants or promises of any contract resulting from this RFP, HRI shall thereupon have the right to terminate the contract by giving notice in writing of the fact and date of such termination to the Bidder.
6. Bidder must maintain an active registration in the System for Award Management (SAM) at SAM.gov, have no exclusions or delinquent federal debt.

13. Attachments

- Attachment 1: Technical Proposal
- Attachment 2: Cost Proposal
- Attachment 3: HRI Boilerplate Contract Agreement

Attachment 1- Technical Proposal

Bidders must provide a response to every question to be considered.

1. Provide your organization's legal name, address, Federal Identification number (FEID) and Unique Entity Identifier (UEI) (if known). Also provide a point of contact for the proposal, including email and phone number.
2. Detail your firm's experience in providing professional support regarding the financial implications of an organizational separation or spin off of a non-profit organization including transfer of assets. Specifically identify the experience and qualifications that qualify you to propose, as outlined in Section 4. "Who May Apply", of this RFP.
3. Identify the types of staff who will be assigned to this project if you are successful in your bid, and their qualifications. Specifically identify the qualifications of staff available for the described advisory services in Section 5."Project Description", of this RFP.
4. Discuss commitments you will make to staff continuity for the project, including how you minimize the turnover on a project.
5. Describe how your firm will approach the assignment, including kick off meeting, initial deliverables, and approach to familiarizing yourself with HRI.
6. Discuss the communication process used by the firm to discuss issues with HRI Corporate Office management and audit committee of the board.
7. Provide the names and contact information for two (2) other clients you have assisted through similar project for reference purposes.
8. Describe how and why your firm is different from other firms being considered, and why our selection of your firm for this project is the best decision we could make.

Attachment 2- Cost Proposal

It is understood that a combination of the Offeror's staff may be required to complete all project deliverables, including but not limited to project oversight, management of the Offeror's team, liaison with HRI, data analysis, report production, audit and examination of documents and data, preparation of requests for materials, preparation of schedules, expertise and understanding of Grant Accounting and Uniform Guidance and provision of recommendations to the Board and Executive Staff of HRI.

As such, an hourly rate for each title is to be provided below.

Travel expenses for all consultants will be paid as pass through expense in accordance with HRI travel policy.

These rates will remain constant over the contract term.

Title	Hourly Rate
Project Manager/Engagement Mgr	
Certified Public Accountant (Required)	
Senior Accountant	
Junior Accountant	
Other Titles (Specify)	

BIDDER'S ORGANIZATION NAME

By signing this Cost Proposal, bidder attests that the following information is true and accurate to the best of my knowledge and that the Bidder organization(s) agrees to abide by the terms of the approved proposal and is fully able and willing to carry out the deliverables contained herein.

By signing this Cost Proposal Bid Sheet, bidder agrees that the prices above are binding for 365 days from the proposal due date.

Authorized Signature:

Date:

Print Name:

Title:

Attachment 3 - Boilerplate Contract

THIS AGREEMENT, made as of <DATE> (the "Effective Date"), by and between HEALTH RESEARCH, INC., a not for profit corporation organized and existing under the laws of the State of New York, with principal offices located at Riverview Center, 150 Broadway, Ste. 280, Menands, NY 12204, hereinafter referred to as **HRI**, and <VENDOR>, located at <ADDRESS>, herein after referred to as the **CONSULTANT**.

WHEREAS, HRI has been awarded a grant from <SPONSOR> for the conduct of a project entitled "<PROJECT>"; and, **WHEREAS**, funding for the project, in whole or in part, is provided under a federal government grant or contract; and, **WHEREAS**, HRI desires the Consultant's performance of certain services for HRI in connection with such project; and,

WHEREAS, Consultant has represented to HRI that "he/she/it" is competent, willing and able to perform such services for HRI.

NOW THEREFORE, in consideration of the promises, mutual covenants, and agreements contained herein, it is mutually agreed by and between the respective parties as follows:

1. Consultant agrees to perform, as an independent contractor and not as an employee or agent of HRI, all the services set forth in Exhibit "A", appended hereto and made a part hereof, to the satisfaction of HRI's Principal Investigator, <PI NAME>.
2. The Agreement shall be effective and allowable costs may be incurred by the Consultant from the Effective Date and shall continue until <END DATE> (the "Term") unless terminated sooner as hereinafter provided or extended by written agreement of the parties.
3. In full and complete consideration of Consultant's performance hereunder, HRI agrees to compensate Consultant pursuant to the breakdown in Exhibit "A" attached. Final invoices are due within 60 days of the termination date of this Agreement. Requests received after this 60-day period may not be honored. Any reimbursement payable hereunder by HRI to the Consultant shall be subject to retroactive reductions and/or repayment for amounts included therein which are identified by HRI, on the basis of any review or audit, to not constitute an allowable cost or charge hereunder.
4. The Scope of Work and Budget in Exhibit "A" may be modified as conditions warrant by mutual agreement between HRI and Consultant, and confirmed in writing. In no event shall the total consideration under this Agreement exceed «Total Contract Amount Typed Out» Dollars (CONTRACT AMOUNT).
5. Consultant acknowledges and agrees that all work products, deliverables, designs, writings, inventions, discoveries, and related materials, (collectively "Works") made, produced or delivered by Consultant in the performance of its obligations hereunder will be owned exclusively by HRI. All copyrightable Works are "works made for hire". Consultant will assign, and hereby assigns and transfers, to HRI all intellectual property rights in and to Works, including without limitation, copyrights, patent rights, trademark rights, and trade secret rights. Consultant further agrees that "he/she/it" shall not claim or assert any proprietary interest in any of the data or materials required to be produced or delivered by Consultant in the performance of its obligation hereunder. Consultant warrants that all Works shall be original except for such portion from copyrighted works as may be

included with Consultant's advance permission of the copyright owner(s) thereof, that it shall contain no libelous or unlawful statements or materials, and will not infringe upon any copyright, trademark or patent, statutory or other proprietary rights of others. Consultant further agrees that "he/she/it" will not publish, permit to be published, or distribute for public consumption, any information, oral or written, concerning the results or conclusions made pursuant to this Agreement without the prior written consent of HRI.

6. Neither party shall use the name of the other or any adaptation, abbreviation or derivative of any of them, whether oral or written, without the prior written permission of the other party. For the purposes of this paragraph "party" on the part of HRI shall include the State of New York and the NYS Department of Health.
7. It is understood and agreed that the services to be rendered by Consultant are unique and that Consultant shall not assign, transfer, subcontract or otherwise dispose of its rights or duties hereunder, in whole or in part, to any other person, firm or corporation, without the advance written consent of HRI.
8. The nature of the relationship which the Consultant shall have to HRI pursuant to this Agreement shall be that of an independent contractor. Under no circumstance shall the Consultant be considered an employee or agent of HRI. This Agreement shall not be construed to contain any authority, either expressed or implied, enabling the Consultant to incur any expense or perform any act on behalf of HRI.
9. Consultant is solely responsible for complying with all applicable laws and obtaining, at Consultant's sole expense, any and all licenses, permits, or authorizations necessary to perform services hereunder. Without limiting the generality of the foregoing, Consultant acknowledges and agrees, to the extent required by Article 15 of the New York State Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, that Consultant will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, Consultant agrees that neither it nor its authorized subcontractors, if any, shall, by reason of race, creed, color, disability, sex, or national origin:
(a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this Contract. Consultant is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this Contract and forfeiture of all moneys due hereunder for a second or subsequent violation. **Consultant further agrees to the related terms and conditions set forth in Appendix "A", incorporated herein.**
10. This Agreement shall be void and no force and effect unless Consultant shall provide and maintain coverage during the life of this Agreement for the benefit of such employees as are required to be covered by the provisions of Workers' Compensation Law.
11. Unless otherwise agreed by HRI, Consultant shall maintain, or cause to be maintained, during the Term of this Agreement, insurance or self-insurance equivalents of the following types and amounts:
a) Commercial General Liability (CGL) with limits of insurance of not less than \$1,000,000 each occurrence and \$2,000,000 annual aggregate: b) HRI and the People of the State of New York shall be included as Additional Insureds on the Consultant's CGL, using ISO Additional Insured Endorsement CG 20 10 11 85 or an endorsement providing equivalent coverage to the Additional Insureds. The CGL insurance for the Additional Insureds shall be as broad as the coverage provided for the Named Insured Consultant. It shall apply as primary and non-contributing insurance before any insurance maintained by the Additional Insureds; c) other such insurance as may be specified

by HRI, depending on the project and services provided by Consultant.

12. Consultant shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance of the services under this Agreement (collectively, "Records"). The Records must be kept for the balance of the calendar year in which they are created and for six years thereafter. HRI shall have reasonable access to such Records as necessary for the purposes of inspection, audit, and copying. Records shall be maintained as Confidential Information and protected from public disclosure.
13. This Agreement, including all applicable attachments and appendices thereto, represents the entire Agreement and understanding of the parties hereto and no prior writings, conversations or representations of any nature shall be deemed to vary the provisions hereof. This Agreement may not be amended in any way except in writing, duly executed by both parties hereto.
14. HRI may terminate this Agreement with or without cause at any time by giving advance notice, when, in its sole discretion, HRI determines that it is in the best interests of HRI to do so, or as directed by the project sponsor. Such termination shall not affect any commitments which, in the judgment of HRI, have become legally binding prior to the effective date of termination. Upon termination of the Agreement by either party for any reason, Consultant shall immediately turn over to HRI any works in progress, materials, and deliverables (whether completed or not) related to the services performed up to the date of termination. It is understood and agreed, however, that in the event that Consultant is in default upon any of its obligations, hereunder, at the time of such termination, such right of termination on the part of HRI shall expressly be in addition to any other rights or remedies which HRI may have against Consultant by reason of such default.
15. Consultant acknowledges and agrees that, during the course of performing services for HRI, it may receive information of a confidential nature, whether marked or unmarked ("Confidential Information"). Consultant agrees to protect such Confidential Information with the same degree of care it uses to protect its own confidential information of similar nature and importance, but with no less than reasonable care. Consultant will not use Confidential Information for any purpose other than to facilitate the provision of services under this Agreement, and Consultant will not disclose Confidential Information to any third party without HRI's advance written consent.
16. Consultant represents and warrants that: a) it has the full right and authority to enter into and perform under this Agreement; b) it will perform the services set forth in Exhibit "A" in a workmanlike manner consistent with applicable industry practices; c) the services, work products, and deliverables provided by Consultant will conform to the specifications in Exhibit "A"; d) there is no pending or threatened claim or litigation that would have a material adverse impact on its ability to perform as required by this Agreement.
17. Consultant shall have no interest, financial or otherwise, direct or indirect, or engage in any business, transaction, or professional activity, that may create a conflict with the proper discharge of Consultant's duties under this Agreement. In the event any actual or potential conflict arises, Consultant agrees to notify HRI in writing within ten (10) days to allow HRI to evaluate any potential impact on Consultant's performance under this Agreement.
18. Consultant agrees to defend, indemnify and hold HRI, its agents and employees, the New York State Department of Health, and the People of the State of New York, harmless from any losses, claims, damages, expenses, and liabilities (including reasonable attorneys' fees arising out of: (i) any act or omission by Consultant in connection with the performance of services constituting negligence, willful misconduct, or fraud; (ii) the breach of the confidentiality obligations set forth herein; (iii) any claim for compensation or payment asserted by any employee or agent of Consultant; (iv) Consultant's failure to carry out Consultant's responsibilities under this Agreement;

- (v) any intellectual property infringement or misappropriation by Consultant in connection with the services provided under this Agreement.
19. Should any provision of this Agreement be proven to be invalid or legally ineffective, the overall validity of this Agreement shall not be affected. Unless the parties agree on an amended provision, the invalid provision shall be deemed to be replaced by a valid provision accomplishing as far as possible the purpose and intent of the parties at the date of the Agreement.
 20. The failure of HRI to assert a right hereunder or to insist on compliance with any term or condition of this Agreement shall not constitute a waiver of that right of HRI, or other rights of HRI under the Agreement, or excuse a subsequent failure to perform any such term or condition by Consultant.
 21. This Agreement shall be governed and construed in accordance with the laws of the State of New York. The jurisdictional venue for any legal proceedings involving this Agreement shall be in the State of New York. Disputes involving this Agreement may not be submitted to binding arbitration.
 22. In addition to the methods of process allowed by the State Civil Practice Law & Rules (CPLR), in any litigation arising under or with respect to this Agreement, Consultant hereby consents to the service of process upon it by registered or certified mail, return receipt requested, and will promptly notify HRI in writing in the event there is any change of address to which service of process can be made.
 23. This Agreement may be executed in two or more counterparts, each of which shall be deemed an original, but all of which together shall constitute one and the same instrument. Delivery of an executed signature page to the Agreement by facsimile transmission or PDF shall be as effective as delivery of a manually signed counterpart.
 24. Consultant agrees to abide by the terms and conditions of Appendix "A" attached hereto and made a part hereof, including the provisions required for federally funded projects, if applicable.

Appendix "A"

The parties to the attached Agreement further agree to be bound by the following terms, which are hereby made a part of said Agreement:

1. During the performance of the Agreement, the Consultant agrees as follows:
 - (a) Equal Opportunity, Non-Discrimination, and Notice of Labor Rights - Consultant acknowledges and agrees, whether or not required by Article 15 of the New York State Executive Law (also known as the Human Rights Law) or any other State or Federal statutory or constitutional non-discrimination or civil rights provisions, including but not limited to the American Disabilities Act, that Consultant will not discriminate against any employee or applicant for employment because of race, color, creed, religion, sex, sexual orientation, gender identity, national origin, age, disability, pregnancy-related condition, military or veteran status, genetic predisposition or carrier status, marital or familial status, domestic violence victim status, individual's relationship or association with a member of a protected category or any other basis protected by state and federal law. Furthermore, Consultant agrees that neither it nor its authorized subcontractors, if any, shall, by reason of race, color, creed, religion, sex, sexual orientation, gender identity, national origin, age, disability, pregnancy-related condition, military or veteran status, genetic predisposition or carrier status, marital or familial status, domestic violence victim status, individual's relationship or association with a member of a protected category or any other basis protected by applicable state and federal law: (a) discriminate in hiring against any New York

State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this Agreement. Consultant is subject to Section 220-e or Section 239 of the New York State Labor Law for work performed under this Agreement. Pursuant thereto, Consultant is subject to fines of \$50.00 per person per day for any violation of this provision, which may be deducted from any amounts payable under this Agreement, as well as possible termination of this Agreement and forfeiture of all moneys due hereunder for a second or subsequent violation. **Consultant shall, to the extent they apply, abide by (1) the requirements of 41 CFR §§ 60-1.4(a), 60-300.5(a) and 60- 741.5(a), which prohibit discrimination against qualified individuals based on their status as protected veterans or individuals with disabilities, prohibit discrimination against all individuals based on their race, color, religion, sex, sexual orientation, gender identity, or national origin and require affirmative action to employ and advance in employment individuals without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, protected veteran status, or disability; (2) 29 CFR Part 471, Appendix A to Subpart A, and (3) E-Verify.**

- (b) EEO Reporting - If Consultant is required by federal regulations to file Employer Information Report EEO-1 (standard form 100) or Federal Contractor Veterans' Employment Report VETS-4212, Consultant certifies that it has done so or will file such reports in accordance with applicable instructions and will continue to file such reports unless or until no longer required by law or regulation.
- (c) System for Award Management (SAM) - Consultant is required to register with SAM.gov and maintain active status as stated in 2 CFR Subtitle A, Chapter 1, and Part 25 of Code of Federal Regulations. Consultant must maintain the accuracy/currency of the information in SAM at all times during which your entity has an active agreement with HRI. Additionally, your entity is required to review and update the information at least annually after the initial registration, and more frequently if required by changes in your information.

2. Assurances Required by DHHS--HHS (Where Applicable)

(a) Human Subjects, Derived Materials or Data

The Consultant and HRI both agree to abide by DHHS regulations concerning Human Subjects. The DHHS regulation, 45 CFR 46, provides a systematic means, based on established ethical principles, protecting the rights and welfare of individuals who may be exposed to the possibility of physical, psychological or social injury while they are participating as subjects in research, development or related activities. The regulation extends to the human fetus (either in utero or ex utero), the dead, organs, tissues, and body fluids, and graphic, written or recorded information derived from human sources.

The DHHS regulation requires institutional assurances, including the implementation of procedures for review, and the assignment of responsibilities for adequately protecting the rights and welfare of human subjects. Safeguarding these rights and welfare is, by DHHS policy, primarily the responsibility of the grantee. The Consultant is responsible for ensuring that the activity described or covered by this Agreement, and additional information relating to human subjects, derived materials or data are annually reviewed and approved by the Institutional Review Board of the Consultant. The Consultant and HRI agree to complete an HHS 596 form on an annual basis.

(b) Laboratory Animals

The Consultant agrees to abide by HHS policy requiring that laboratory animals not suffer unnecessary discomfort, pain or injury. The Consultant must assure HHS, in writing that it is committed to following the standards established by the Animal Welfare Acts and by the documents entitled "Principles for Use of Animals "and" Guide for the Care and Use of

Laboratory Animals."

(c) Recombinant DNA

The Consultant agrees to abide by the current HHS Guidelines for Research involving Recombinant DNA Molecules. All research involving recombinant DNA techniques that is supported by the Public Health Service must meet the requirements of these Guidelines, which were developed in response to the concerns of the scientific and lay communities about the possible effects of recombinant DNA research. Their purpose is to specify practices for the construction and handling of recombinant DNA molecules and organisms or viruses containing recombinant DNA. As defined by the Guidelines, "recombinant DNA" corresponds to: (1) molecules that are constructed outside 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 a molecule described in (1).

Several types of studies involving recombinant DNA are exempt from the Guidelines while others are prohibited by the Guidelines. For the remainder, the Consultant must establish and implement policies that provide for the safe conduct of the research in full conformity with the Guidelines. This responsibility includes establishing an institutional biosafety committee to review all recombinant DNA research to be conducted at or sponsored by the Consultant and to approve those projects that are in conformity with the Guidelines. For each approved project, a valid Memorandum of Understanding and Agreement (MUA) shall be prepared for submission when solicited by an appropriate HHS staff member. The MUA is considered approved after review and acceptance by ORDA and by the Consultant.

(d) Promoting Objectivity in Research

Neither Consultant nor anyone working on its behalf shall have any interest, financial or otherwise, direct or indirect, or engage in any business, transaction, or professional activity that may create a conflict, or the appearance of a conflict, with the proper discharge of Consultant's duties under this Agreement or the conflict of interest policy of any agency providing federal funding under this Agreement. In the event any actual or potential conflict arises, Consultant agrees (i) to notify HRI in writing within ten (10) days to allow HRI to evaluate any potential or actual conflict, and, (ii) if required, eliminate the conflict or put in place an acceptable conflict management plan. Consultant agrees to comply with the DHHS/HHS regulatory requirements on Responsibility of Applicants for Promoting Objectivity in Research and financial conflicts of interest set forth in 42 CFR Part 50 Subpart F, as may be amended from time to time. Failure to disclose conflicts or provide information related thereto to HRI may be cause for termination of the Agreement.

(e) Additional Assurances

Should any additional DHHS-HHS regulations be promulgated that are applicable to this Agreement, the Consultant and HRI will review and agree to include them as part of this Agreement.

(f) National Labor Relations Act (Executive Order 13496)

Contractors that are not exempt from the National Labor Relations Act and have contracts, subcontracts or purchase orders subject to EO 13496 must satisfy the requirements of that Executive Order and its implementing regulations at 29 CFR Part 471 to be in compliance with the law.

The following provisions 3-6 are applicable to federally funded projects:

3. Clean Air Act and the Federal Water Pollution Control Act Compliance - If this Agreement is in excess of \$150,000, Consultant agrees to comply and to require that all subcontractors comply, where applicable, with all applicable standards, orders or regulations issued pursuant to the Clean

Air Act (42 U.S.C. § 7401-7671q.) and the Federal Water Pollution Control Act as amended (33 U.S.C. §1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).

4. Notice as Required Under Public Law 103-333 - The Consultant is hereby notified of the following statement made by the Congress at Section 507(a) of Public Law 103-333 (The DHHS Appropriations Act, 1995, hereinafter the "Act"): It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available in this Act should be American-made.
5. Required Federal Certifications - Acceptance of this Agreement by Consultant constitutes certification by the Consultant of all of the following:
 - (a) The Consultant is not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal department or agency.
 - (b) The Consultant is not delinquent on any Federal debt.
 - (c) The Consultant will comply with the Byrd Anti-Lobbying Amendment (31 U.S.C. § 1352) requiring for Agreements of \$100,000 or more, that Consultant (i) will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. § 1352, and (ii) will disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.
 - (d) The Consultant shall comply with the requirements of the Pro-Children Act of 1994 and shall not allow smoking within any portion of any indoor facility used for the provision of health, day care, early childhood development, education or library services to children under the age of eighteen (18) if the services are funded by a federal program, as this Agreement is, or if the services are provided in indoor facilities that are constructed, operated or maintained with such federal funds.
 - (e) The Consultant has established administrative policies regarding Scientific Misconduct as required by the Final Rule 42 CFR Part 93, Subpart A as published at the 54 Federal Register 32446, August 8, 1989.
 - (f) The Consultant maintains a drug free workplace in compliance with the Drug Free Workplace Act of 1988 as implemented in 45 CFR Part 76.
 - (g) If the Project Sponsor is either an agency of the Public Health Service or the National Science Foundation, the Consultant is in compliance with the rules governing Objectivity in Research as published in 60 Federal Register July 11, 1995.
6. Whistleblower Policy - Congress has enacted whistleblower protection statute 41 U.S.C. 4712, which applies to all employees working for contractors, grantees, subcontractors, and sub-grantees on federal grants and contracts. This program requires all grantees, sub-grantees and subcontractors to: inform their employees working on any federally funded award they are subject to the whistleblower rights and remedies of the program; inform their employee in writing of employee whistleblower protections under 41 U.S.C. 4712 in the predominant native language of the workforce; and Contractors and grantees will include such requirements in any agreement

made with a subcontractor or sub-grantee.

The statute (41 U.S.C. 4712) states that an “employee of a contractor, subcontractor, grantee [or sub-grantee] may not be discharged, demoted, or otherwise discriminated against as a reprisal for ‘whistleblowing’”. In addition, whistleblower protections cannot be waived by any agreement, policy, form, or condition of employment.

Whistleblowing is defined as making a disclosure “that the employee reasonably believes is evidence of any of the following: gross mismanagement of a federal contract or grant; a gross waste of federal funds; an abuse of authority relating to a federal contract or grant; a substantial and specific danger to public health or safety; or a violation of law, rule, or regulation related to a federal contract or grant (including the competition for, or negotiation of, a contract or grant). To qualify under the statute, the employee’s disclosure must be made to: a Member of Congress or a representative of a Congressional committee; or an Inspector General; or the Government Accountability Office; or a Federal employee responsible for contract or grant oversight or management at the relevant agency; or an authorized official of the Department of Justice or other law enforcement agency; or a court or grand jury; a management official or other employee of the contractor, subcontractor, grantee or sub-grantee who has the responsibility to investigate, discover or address misconduct.

The Consultant shall require that the language of all of the above certifications will be included in the award documents for all subawards under this Agreement (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

The Consultant agrees to notify HRI immediately if there is a change in its status relating to any of the above certifications.

7. The following pertains only to Consultants located in New York City or doing business in New York City: Contractor agrees it is compliant with NYC Local Law 96 (2018) Stop Sexual Harassment in NYC Act.