

STATE OF CONNECTICUT PROCUREMENT NOTICE

Request for Proposals (RFP) For Ombudsperson Services

RFP Name: DOC_Ombudsperson_21_SJH

Issued By:
Department of Correction
December 14, 2020

The Request For Proposal is available in electronic format on the
State Contracting Portal by searching by Organization for
Department of Correction

https://biznet.ct.gov/SCP_Search/BidResults.aspx

or from the Department's Official Contact:

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The RFP is also available on the Department's website at

<https://portal.ct.gov/DOC/Common-Elements/Common-Elements/RFP>.

RESPONSES MUST BE RECEIVED NO LATER THAN

January 11, 2021

At 3:00 PM EST

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I. GENERAL INFORMATION

■ A. INTRODUCTION

1. **RFP Name or Number.** DOC_Ombudsperson_21_SJH
2. **Executive Summary.** The State of Connecticut, Department of Correction (DOC or Department) is seeking proposals from experienced organizations and individuals to provide Ombudsperson services to youths (generally ages 17 years and under) housed at Manson Youth Institution (MYI), 42 Jarvis Street, Cheshire, CT 06410 and York Correctional Institution (YCI), 201 West Main Street, Niantic, CT 06357.
3. **RFP Purpose.** The Ombudsperson works towards maintaining safe and proper living conditions for youth in the DOC system by routinely visiting MYI and YCI and coordinating with staff as operational issues regarding the facility are raised by the detainees. [The State of Connecticut Public Act 19-187 Section 7](#) requires the Commissioner to ensure that independent ombudsperson services are provided and available at any juvenile detention center or correctional facility where persons ages 17 years and under are detained that any such agency operates and oversees. While DOC has developed policies and procedures to address grievances, it will be revising them to reflect a policy specific to youth and Ombudsperson Services. In general, when a youth feels that his/her rights are not being honored, the youth may lodge a complaint with internal staff. If the grievant feels the complaint remains unresolved, he/she defers the grievance to an Ombudsperson. The Ombudsperson advocates for youth by serving as an impartial, neutral and independent agent who tries to mitigate formal grievances and resolve them informally.
4. **Commodity Codes.** The services that the Department wishes to procure through this RFP are as follows:
 - 0600: Services (Professional, Support, Consulting and Misc. Services)
 - 2000: Community and Social Services
 - 3000: Education and Training

■ B. INSTRUCTIONS

1. **Official Contact.** The Department has designated the individual below as the Official Contact for purposes of this RFP. The Official Contact is the **only authorized contact** for this procurement and, as such, handles all related communications on behalf of the Department. Proposers, prospective proposers, and other interested parties are advised that any communication with any other Department employee(s) (including appointed officials) or personnel under contract to the Department about this RFP is strictly prohibited. Proposers or prospective proposers who violate this instruction may risk disqualification from further consideration.

Name: Stacey Hubert
 Address: 24 Wolcott Hill Road, Wethersfield, CT 06109
 Phone: 860-692-7635
 E-Mail: DOC.RFP@ct.gov

Please ensure that e-mail screening software (if used) recognizes and accepts e-mails from the Official Contact.

- 2. Registering with State Contracting Portal.** Respondents must register with the State of CT contracting portal at <https://biznet.ct.gov/AccountMaint/NewLogin.aspx> if not already registered. Respondents shall submit the following information pertaining to this application to this portal, which will be checked by the Department contact.

- Secretary of State recognition – Click on appropriate response
- Non-profit status, if applicable
- Notification to Bidders, Parts I-V
- Consulting Agreement Affidavit (OPM Ethics Form 5) – Requires Notarization
<https://portal.ct.gov//media/OPM/OPMForm5ConsultingAgreementAffidavit32814pdf.pdf?la=en>
- Affirmation of Receipt of State Ethics Affidavit (OPM Ethics Form 6) – Requires Notarization
<https://portal.ct.gov/media/OPM/Finance/psa/OPMEthicsForm6Final91511PDFpdf.pdf?la=en>
- Iran Certificate (OPM Ethics Form 7) – Requires Notarization
<https://portal.ct.gov/media/OPM/OPMForm7IranCertification32814pdf.pdf?la=en>

- 3. RFP Information.** The RFP, amendments to the RFP, and other information associated with this procurement are available in electronic format from the Official Contact or from the Internet at the following locations:

- Department's RFP Web Page
<https://portal.ct.gov/DOC/Common-Elements/Common-Elements/RFP>
- *State Contracting Portal (go to search solicitations, select "Department of Correction" as the organization type)*
https://biznet.ct.gov/SCP_Search/default.aspx?Src=CISplash

It is strongly recommended that any proposer or prospective proposer interested in this procurement subscribe [to receive e-mail alerts from the State Contracting Portal](#). Subscribers will receive a daily e-mail announcing procurements and addendums that are posted on the portal. This service is provided as a courtesy to assist in monitoring activities associated with State procurements, including this RFP.

- 4. Procurement Schedule.** See below. Dates after the due date for proposals ("Proposals Due") are non-binding target dates only (*). The Department may amend the schedule as needed. Any change to non-target dates will be made by means of an amendment to this RFP and will be posted on the State Contracting Portal and, if available, the Department's RFP Web Page.

- RFP Released: December 14, 2020
- Deadline for Questions: December 28, 2020

- Answers Released: December 30, 2020
- Proposals Due: January 11, 2021 by 3:00 PM EST
- (*) Proposer Selection: January 28, 2021
- (*) Start of Contract: February 14, 2021

5. Contract Awards. The award of any contract pursuant to this RFP is dependent upon the availability of funding to the Department. The Department anticipates the following:

- Total Funding Available: To be determined
- Number of Awards: One (1)
- Contract Cost: Confidential
- Contract Term: Three (3) years with the option of two (2) one-year extensions
- Funding Source: General Fund

6. Eligibility. Private provider organizations (defined as nonstate entities that are either nonprofit or proprietary corporations or partnerships), state agencies, units of local government, and individuals are eligible to submit proposals in response to this RFP. The Department is prohibited from entering into a Personal Service Agreement (PSA) with a retired State employee (See OLR, General Notice 2003-15: Reemployment of Retired Employees, April 9, 2003).

The Department reserves the right to reject the submission of any proposer in default of any current or prior contract.

7. Minimum Qualifications of Proposers. To qualify for a contract award, a proposer must have the following minimum qualifications:

- Hold a Bachelor's Degree from an accredited college or university and/or equivalent experience and training. The degree held will preferably be in Criminal Justice, Law, or a Human Services Field.
- Have a background in juvenile justice investigations.
- Have at least five (5) years' experience in juvenile justice or a related field.
- Have prior experience working with justice-involved youth.

8. Letter of Intent. A Letter of Intent (LOI) is not required by this RFP.

9. Inquiry Procedures. All questions regarding this RFP or the Department's procurement process must be directed, in writing, to the Official Contact before the deadline specified in the Procurement Schedule. The early submission of questions is encouraged. Questions will not be accepted or answered verbally – neither in person nor over the telephone. All questions received before the deadline(s) will be answered. However, the Department will not answer questions when the source is unknown (i.e., nuisance or anonymous questions). Questions deemed unrelated to the RFP or the procurement process will not be answered. At its discretion, the Department may or may not respond to questions received after the deadline. If this RFP requires a Letter of Intent, the Department reserves the right to answer questions only from those who have submitted such a letter. The Department may combine similar questions and give only one answer. All questions and answers will be compiled into a written amendment to this RFP. If any answer to any question constitutes a material change to the RFP, the question and answer will be placed at the beginning of the amendment and duly noted as such.

The agency will release the answers to questions on the date(s) established in the Procurement Schedule. The Department will publish any and all amendments to this RFP on the State Contracting Portal and, if available, on the Department's RFP Web Page.

10. RFP Conference. An RFP conference will not be held to answer questions from prospective proposers.

11. Proposal Due Date and Time. The Official Contact is the **only authorized recipient** of proposals submitted in response to this RFP. Proposals must be received by the Official Contact on or before the due date and time:

January 11, 2021 by 3:00 PM EST

Proposals received after the due date and time will be ineligible and will not be evaluated. The Department will send an official letter alerting late respondents of ineligibility.

An acceptable submission must include the following:

- One (1) conforming electronic copy of the original proposal.

The proposal must be complete, properly formatted and outlined, and ready for evaluation by the Screening Committee.

The electronic copy of the proposal must be emailed to official agency contact for this procurement. The subject line of the email must read: DOC_Ombuderson_21_SJH. Required forms and appendices may be scanned and submitted as PDFs at the end of the main proposal document. Please ensure the entire email submission is less than 25MB as this reflects The Department's server limitations. Respondents should work to ensure there are not additional IT limitations from the provider side.

12. Multiple Proposals. The submission of multiple proposals is not an option for this procurement.

II. PURPOSE OF RFP AND SCOPE OF SERVICES

■ A. DEPARTMENT OVERVIEW

The Department of Correction shall strive to be a global leader in progressive correctional practices and partnered re-entry initiatives to support responsive evidence-based practices aligned to law-abiding and accountable behaviors. Safety and security shall be a priority component of this responsibility as it pertains to staff, victims, citizens and offenders.

The Department currently operates fourteen (14) correctional facilities throughout the state, with a current population of 9,350 incarcerated offenders as of November 1, 2020. Two (2) of the facilities house youths (generally ages 17 and under). The youth population is approximately 38 males and 1 female. Youth offenders are either 1) held on an authorized commitment pre-adjudication, or 2) are serving a sentence imposed by the court. In addition, the Department's Parole & Community Services Division supervises and provides support to approximately 3,800 offenders released to the community under the jurisdiction of both the Commissioner of Correction and the Board of Pardons & Paroles.

For more information regarding the Department's initiatives please visit the Department of Correction's website <https://portal.ct.gov/DOC>

The proposer awarded a contract as a result of this procurement will be required to adhere to the Department Agency Terms and Conditions, copies of which are available upon request to the Agency Official Contact of this Procurement.

■ B. PROGRAM OVERVIEW

Youth in DOC correctional facilities may face a variety of health, behavioral, and quality of life issues while in custody, and require an accessible means of expressing their needs and concerns outside of formal DOC issue resolution processes.

The Ombudsperson works towards maintaining safe and proper living conditions for youth in the DOC system by routinely visiting the two (2) correctional facilities that house youth offenders, MYI & YCI, and coordinating with staff as operational issues regarding the facility are raised by offenders. The Connecticut Public Act 19-187, Sec 7 requires the Department to develop policies and procedures to address grievances filed by youth housed in the facilities. The Department will be revising its grievance procedures to include granting youth access to an Ombudsperson. When a youth feels that his/her rights are not being honored the youth may file a complaint with internal staff. If the grievant feels the complaint remains unsolved, he/she defers the grievance to an Ombudsperson. The Ombudsperson advocates for youth by serving as an impartial, neutral and independent agent who tries to mitigate formal grievances and resolve them informally.

■ C. SCOPE OF SERVICE REQUIREMENTS

The Scope of Services provided herein is to be used as a general guide and is not intended to be a specific and detailed description of the services solicited under this RFP, nor is it intended to be a complete list of all program services being sought for in the RFP.

1. Organizational Requirements

- Entity Type: Proposers must be registered to do business in the State of Connecticut through the Office of the Secretary of the State.

2. Service Requirements (per P.A. 19-187, Sec 7)

- Educate youths about their right to Ombudsperson services
- Receive complaints from detained juveniles and/or their parent/guardian about decisions, actions and omissions, policies, procedures, rules and regulations of the center or facility
- Collaborate with DOC wardens and applicable DOC staff to develop mutually agreed upon tools, to administer upon initial meeting with youths.
- Update developed tools as needed or as requested
- Tour related facilities
- Investigate complaints and render a decision on the merits of each complaint and communicating the decision to the complainant
- Make recommendations to the Commissioner/Wardens about a resolution of any complaint found to have merit
- Make policy recommendations to the Commissioner/Warden

3. Site Visits

- MYI – 2 times per week – Site visits will be dependent on the number of clients, length of stay, and new facility intakes
- YCI – 2 times per week – Site visits will be dependent on the number of clients, length of stay, and new facility intakes
- DOC will provide unfettered access within acceptable security protocols
- Evenings and weekends as required by DOC, but no overtime

4. Data and Technology Requirements

Proposers must demonstrate sufficient capacity to collect and manage Department-required data. The Department expects the following:

- Current office operating systems must be able to maintain electronic case management records/offender files.
- Proposers have the capability to access the internet, send/receive outside mail and view PDF documents
- Ability to provide remote capability to include, but not limited to, virtual visits with offenders.

5. Budget Requirements

Proposals shall quote a fixed hourly rate to perform services under this contract. The hourly rate quoted must be inclusive of **all costs associated with this contract**. Separate mileage fees will be allowed and should be included in budget.

■ D. PERFORMANCE MEASURES

The following performance metrics highlight key priorities that will be analyzed with providers collaboratively during the life of the contract. This is not an exhaustive list, but rather an indication of significant performance metrics of interest to The Department. The Department looks forward to working with providers to define additional important performance metrics.

1. Outcome Objectives

On an annual basis, the Contractor shall meet the following objectives:

- Based on climate surveys, at least 75% of the youth and DOC staff surveyed will report that:
 - I. Ombudsperson listened to and understood their concerns and complaint(s);
 - II. Ombudsperson was helpful, impartial and treated them with respect; and
 - III. The youth offenders came away with a better understanding of the Ombudsperson role.
- Ombudsperson shall respond to 100% of complaints within 3 working days from the initial contact.
- Ombudsperson shall recommend a resolution or course of action for grievances in three working days for 95% of all grievances.
- Ombudsperson will resolve 95% of all complaints within 90 days.

■ E. CONTRACT MANAGEMENT/DATA REPORTING

As part of the State's commitment to becoming more outcomes-oriented, the Department of Correction seeks to actively and regularly collaborate with providers to enhance contract management, improve results, and adjust service delivery and policy based on learning what works. Reliable and relevant data is necessary to ensure compliance, inform trends to be monitored, evaluate results and performance, and drive service improvements. As such, the Department of Correction reserves the right to request/collect other key data and metrics from providers.

Meeting/Reports/Training:

- Meet with MYI/YCI Wardens/DOC Administration at least 1 time per week and more/less frequently dependent on the number of clients, length of stay, and new facility intakes
- Develop monthly surveys/tools for evaluating climate for juveniles
- At the end of each month, submit all required reports to the Wardens/DOC Admin. Describing:
 - Programming/Overall satisfaction
 - Safety/Security
 - Access to care
 - Behavior Motivation
 - General Comments
- Provide a monthly report to Wardens/DOC Administration. Form and content to be agreed upon but should include:
 - # and type/source of complaints/outcomes (monthly and year to date)
 - # of interviews/meeting with juveniles/outcomes (monthly and year to date)
 - Program awareness activities (# and type, as well as outcomes)
 - Program/policy recommendations
- Annual report summarizing activities, including recommendations for program changes and improvements
- Conduct at least 1-2 trainings for DOC staff each year or as may be needed at each facility (MYI/YCI)

III. PROPOSAL SUBMISSION OVERVIEW

■ A. SUBMISSION FORMAT

1. **Required Outline.** All proposals must follow the required outline presented in Section IV – Proposal Outline. Proposals that fail to follow the required outline will be deemed non-responsive and not evaluated.
2. **Cover Sheet.** The Cover Sheet is Page 1 of the proposal. Proposers must complete and use the Cover Sheet form provided by the Department in Appendix B.
3. **Table of Contents.** All proposals must include a Table of Contents that conforms with the required proposal outline.
4. **Executive Summary.** Proposals must include a high-level summary, not exceeding 2 pages, of the main proposal and cost proposal. The Executive Summary shall include the Proposer's prior ombudsperson services to the identified population and the eligibility and qualifications requirements to respond to this RFP, found in Section B. Instructions, 7. Minimum Qualifications of Proposers.
5. **Attachments.** Attachments other than the required Appendices or Forms identified in the RFP are not permitted and will not be evaluated. Further, the required Appendices or Forms must not be altered or used to extend, enhance, or replace any component required by this RFP. Failure to abide by these instructions will result in disqualification.
6. **Style Requirements.** **THIS IS AN ELECTRONIC SUBMISSION.**

Submitted proposals must conform to the following specifications:

- Paper Size: 8 ½ X 11 (Letter)
 - Page Limit: Maximum 20 pages, exclusive of Executive Summary, Appendices and Budget Forms
 - Font Size: 12
 - Font Type: Times New Roman
 - Margins: Normal (1 inch)
 - Line Spacing: 1 ½
7. **Pagination.** The proposer's name must be displayed in the header of each page. All pages, including the required Appendices and Forms, must be numbered in the footer.
 8. **Declaration of Confidential Information.** Proposers are advised that all materials associated with this procurement are subject to the terms of the Freedom of Information Act (FOIA), the Privacy Act, and all rules, regulations and interpretations resulting from them. If a proposer deems that certain information required by this RFP is confidential, the proposer must label such information as CONFIDENTIAL prior to submission. In subsection F. of the proposal submission, the proposer must reference where the information labeled CONFIDENTIAL is located in the proposal. *EXAMPLE: Section G.1.a.* For each subsection so referenced, the proposer must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be

stated in terms of (a) the prospective harm to the competitive position of the proposer that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).

- 9. Conflict of Interest - Disclosure Statement.** Proposers must include a disclosure statement concerning any current business relationships (within the last three (3) years) that pose a conflict of interest, as defined by C.G.S. § 1-85. A conflict of interest exists when a relationship exists between the proposer and a public official (including an elected official) or State employee that may interfere with fair competition or may be adverse to the interests of the State. The existence of a conflict of interest is not, in and of itself, evidence of wrongdoing. A conflict of interest may, however, become a legal matter if a proposer tries to influence, or succeeds in influencing, the outcome of an official decision for their personal or corporate benefit. The Department will determine whether any disclosed conflict of interest poses a substantial advantage to the proposer over the competition, decreases the overall competitiveness of this procurement, or is not in the best interests of the State. In the absence of any conflict of interest, a proposer must affirm such in the disclosure statement. *Example: "[name of proposer] has no current business relationship (within the last three (3) years) that poses a conflict of interest, as defined by C.G.S. § 1-85."*

■ B. EVALUATION OF PROPOSALS

- 1. Evaluation Process.** It is the intent of the Department to conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this RFP. When evaluating proposals, negotiating with successful proposers, and awarding contracts, the Department will conform with its written procedures for POS and PSA procurements (pursuant to C.G.S. § 4-217) and the State's Code of Ethics (pursuant to C.G.S. §§ 1-84 and 1-85). Final funding allocation decisions will be determined during contract negotiation.
- 2. Review Committee.** The Department will designate a Review Committee to evaluate proposals submitted in response to this RFP. The Review Committee will be composed of individuals, Department staff or other designees as deemed appropriate. The contents of all submitted proposals, including any confidential information, will be shared with the Review Committee. Only proposals found to be responsive (that is, complying with all instructions and requirements described herein) will be reviewed, rated, and scored. Proposals that fail to comply with all instructions will be rejected without further consideration. The Review Committee shall evaluate all proposals that meet the Minimum Submission Requirements by score and rank ordered and make recommendations for awards. The Department's Commissioner will make the final selection. Attempts by any proposer (or representative of any proposer) to contact or influence any member of the Review Committee may result in disqualification of the proposer.
- 3. Minimum Submission Requirements.** To be eligible for evaluation, proposals must (1) be received on or before the due date and time; (2) meet the Proposal Format requirements; (3) follow the required Proposal Outline; and (4) be complete. Proposals that fail to follow instructions or satisfy these minimum submission requirements will not be reviewed further. The Department will reject any proposal that deviates significantly from the requirements of this RFP.

- 4. Evaluation Criteria (and Weights).** Proposals meeting the Minimum Submission Requirements will be evaluated according to the established criteria. The criteria are the objective standards that the Review Committee will use to evaluate the technical merits of the proposals. Only the criteria listed below will be used to evaluate proposals. The weights are disclosed below.

• Organizational Profile	15
• Scope of Services	20
• Staffing Plan	10
• Data and Technology	10
• Work Plan	20
• Budget and Budget Narrative	15
• Appendices	10

Note:

As part of its evaluation of the Staffing Plan, the Review Committee will consider the proposer's demonstrated commitment to affirmative action, as required by the Regulations of CT State Agencies § 46A-68j-30(10).

- 5. Proposer Selection.** Upon completing its evaluation of proposals, the Review Committee will submit the rankings of all proposals to the Department head. The final selection of a successful proposer is at the discretion of the Department head. Any proposer selected will be so notified and awarded an opportunity to negotiate a contract with the Department. Such negotiations may, but will not automatically, result in a contract. Pursuant to Governor M. Jodi Rell's Executive Order No. 3, any resulting contract will be posted on the State Contracting Portal. All unsuccessful proposers will be notified by e-mail or U.S. mail, at the Department's discretion, about the outcome of the evaluation and proposer selection process. The Department reserves the right to decline to award contracts for activities in which the Department head considers there are not adequate respondents.
- 6. Debriefing.** Within ten (10) days of receiving notification from the Department, unsuccessful proposers may contact the Official Contact and request information about the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the ten (10) days. If unsuccessful proposers still have questions after receiving this information, they may contact the Official Contact and request a meeting with the Department to discuss the evaluation process and their proposals. If held, the debriefing meeting will not include any comparisons of unsuccessful proposals with other proposals. The Department will schedule and hold the debriefing meeting within fifteen (15) days of the request. The Department will not change, alter, or modify the outcome of the evaluation or selection process as a result of any debriefing meeting.
- 7. Appeal Process.** Proposers may appeal any aspect the Department's competitive procurement, including the evaluation and proposer selection process. Any such appeal must be submitted to the Department head. A proposer may file an appeal at any time after the proposal due date, but not later than thirty (30) days after an agency notifies unsuccessful proposers about the outcome of the evaluation and proposer selection process. The e-mail sent date or the postmark date on the notification envelope will be considered "day one" of the thirty (30) days. The filing of an appeal shall not be deemed sufficient reason for the Department to delay, suspend, cancel, or terminate the procurement process or execution of a contract.

More detailed information about filing an appeal may be obtained from the Official Contact.

- 8. Contract Execution.** Any contract developed and executed as a result of this RFP is subject to the Department's contracting procedures, which may include approval by the Office of the Attorney General. Fully executed and approved contracts will be posted on State Contracting Portal and the Department website.

IV. REQUIRED PROPOSAL SUBMISSION OUTLINE

*This section presents the **required** outline that must be followed when submitting a proposal in response to this RFP. Proposals must include a Table of Contents that exactly conforms with the required proposal outline (below). Proposals must include all the components listed below, in the order specified, using the prescribed lettering and numbering scheme. Incomplete proposals will not be evaluated. While the proposal outline is standard, the information requested from proposers will vary by RFP, depending of the Department's procurement requirements.*

A. Cover Sheet

B. Table of Contents

C. Executive Summary

D. Main Proposal

E. Attachments (clearly referenced to summary and main proposal where applicable)

F. Declaration of Confidential Information

G. Conflict of Interest - Disclosure Statement

H. Statement of Assurances

A: Cover Sheet

The Respondent must use a Cover Sheet capturing the following information, see Appendix,

B. Proposal Cover Sheet:

- RFP Name or Number:
- Legal Name:
- FEIN:
- Street Address:
- Town/City/State/Zip:
- Contact Person:
- Title:
- Phone Number:
- E-Mail Address:
- Authorized Official:

- Title:
- Signature:

Legal Name is defined as the name of private provider organization, CT State agency, or municipality submitting the proposal. *Contact Person* is defined as the individual who can provide additional information about the proposal or who has immediate responsibility for the proposal. *Authorized Official* is defined as the individual empowered to submit a binding offer on behalf of the proposer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto.

B: Table of Contents

Respondents must include a Table of Contents that lists sections and subsections with page numbers that follow the organization outline and sequence for this proposal.

C: Executive Summary

The page limitation for this section is two (2) pages briefly describing how the Respondent meets the eligibility criteria outlined in the Proposal Overview and a brief overview of why the Respondent should be selected for the activities highlighted in the scope of services.

D: Main Proposal Submission Questions

*****Please note the maximum total page length for this section is 20** (all appendices and other attachments should be referred to in section D and then placed in section E. The Department Review Committee will not read answers longer than 20 pages in this section.

4.1 RFP Submission Details

4.10 RFP Target Population: Proposers must identify the community and population needs they plan to address through their proposed services. Proposals should indicate which of the Department identified target population(s) they are going to serve, based on supporting evidence of need and agency experience.

4.2 Strengths and Qualifications of Agency & Staff

4.20 Organization Description and History: Provide a general overview of your organization including its history and prior experiences engaging with relevant key stakeholders such as parents, the community, and local government officials.

- a. Purpose, Mission, Vision, Values.
- b. Entity Type / Parent Organization / Years of Operation
- c. Location of Offices / Facilities
- d. Functional Organization
- e. Current Range of Services / Clients
- f. Qualifications
- g. Relevant Experience
- h. Accreditation / Certification / Licensure.
- i. References

4.3 Scope of Services

4.30 Scope/Service

- a. Proposers should demonstrate how they would meet service requirements as outlined in the scope of service.
- b. Proposers should highlight their ability to meet scope requirements related to site visits and proposed hours.

4.31 Prison Rape Elimination Act (PREA)

The proposer receiving a Contract award shall be in compliance with DOC's Administrative Directive (A.D.) 6.12 Sexual Assault Prevention Policy. The Contractor shall comply with the United States Department of Justice Final Rule for National Standards to Prevent, Detect, and Respond to Prison Rape under the Prison Rape Elimination Act (PREA). 42 U.S.C. § 15601 et seq., including its provisions for Zero Tolerance and employee training. Effective August 1, 2013, any unit of the state or any political subdivision of the state that contracts for or otherwise incarcerates or detains adult or juvenile offenders, shall adopt and comply with applicable PREA Community Confinement, Lockup, and Juvenile Facility Standards with regard to sexual abuses and sexual harassment in lockups, community confinement facilities and juvenile facilities, CT General Statute 18-81cc.

- Respondents should indicate how they will comply with A.D. 6.12 Sexual Assault Prevention Policy and PREA standards.

4.4 Staffing Plan

Proposals must include a proposed staffing plan for the services requested in the RFP. Possible areas of inquiry may include, but are not limited, to the following:

- a. Key Personnel / Managers
- b. Staffing Levels & Qualifications
- c. Job Descriptions
- d. Personnel Organization Chart (if applicable)
- e. Staff Training / Education / Development

4.5 Data and Technology

Proposer's must demonstrate sufficient capacity to collect and manage Department-required data. Proposals should include the following:

- a. E-Mail / Internet Capabilities
- b. Operating System
- c. Data Collection / Storage / Reporting
- d. Assessment of Client Satisfaction
- e. Evaluation / Outcome Measures

4.6 Work Plan

Proposer's work plan shall clearly describe the methodology to be used in performing the following tasks:

- a. Educating the incarcerated youth of their right to appeal for the services of an Ombudsperson, assuring that youth have access to him or her.
- b. Conducting investigations of complaints.
- c. Conducting the mutually agreed upon surveys/tools.
- d. Meeting with youth to address complaints.
- e. Advocating for youth requiring alternative placement or other special services.
- f. Enlisting the aid of Department staff in investigations.

4.7 Cost Competitiveness and Budget Narrative

Proposers shall quote a fixed hourly rate to perform services under this contract. The hourly rate quoted must be inclusive of all costs associated with the services described in the RFP. Separate mileage fees will be allowed and should be included in budget.

E: Attachments

Attachments other than the required attachments identified are not permitted and will not be evaluated. See the Proposal Checklist in Appendix D for a list of relevant attachments.

F: Declaration of Confidential Information

If a proposer deems that certain information required by this RFP is confidential, the proposer must label such information as CONFIDENTIAL prior to submission. The proposer must reference where the information labeled CONFIDENTIAL is located in the proposal. *EXAMPLE: Section G.1.a.* For each subsection so referenced, the proposer must provide a convincing explanation and rationale sufficient to justify an exemption of the information from release under the FOIA. The explanation and rationale must be stated in terms of (a) the prospective harm to the competitive position of the proposer that would result if the identified information were to be released and (b) the reasons why the information is legally exempt from release pursuant to C.G.S. § 1-210(b).

G: Conflict of Interest – Disclosure Statement

Proposers must include a disclosure statement concerning any current business relationships (within the last three (3) years) that pose a conflict of interest, as defined by C.G.S. § 1-85. A conflict of interest exists when a relationship exists between the proposer and a public official (including an elected official) or State employee that may interfere with fair competition or may be adverse to the interests of the State. The existence of a conflict of interest is not, in and of itself, evidence of wrongdoing. A conflict of interest may, however, become a legal matter if a proposer tries to influence, or succeeds in influencing, the outcome of an official decision for their personal or corporate benefit. In the absence of any conflict of interest, a proposer must affirm such in the disclosure statement. *Example: "[name of proposer] has no current business relationship (within the last three (3) years) that poses a conflict of interest, as defined by C.G.S. § 1-85."*

H: Statement of Assurances

Place after Conflict of Interest-Disclosure Statement. Sign and return Appendix C.

V. MANDATORY PROVISIONS

This section of the RFP provides information about the State's mandatory procurement and contracting requirements, including, the standard Purchase of Service contract, proposer assurances, the terms and conditions of this RFP, the rights reserved to the State, and compliance with statutes and regulations. The Department is solely responsible for rendering decisions in matters of interpretation of all mandatory provisions. Section V is standard for all RFPs for POS and the content does not vary.

■ A. POS STANDARD CONTRACT, PARTS I AND II

By submitting a proposal in response to this RFP, the proposer implicitly agrees to comply with the provisions of Parts I and II of the State's "standard contract" for POS:

Part I of the standard contract is maintained by the Department and will include the scope of services, contract performance, quality assurance, reports, terms of payment, budget, and other program-specific provisions of any resulting POS contract. A sample of Part I is available from the Department's Official Contact upon request.

Part II of the standard contract is maintained by OPM and includes the mandatory terms and conditions of the POS contract. Part II is available on OPM's website at: http://www.ct.gov/opm/fin/standard_contract

Note:

Included in Part II of the standard contract is the State Elections Enforcement Commission's notice (pursuant to C.G.S. § 9-612(g)(2)) advising executive branch State contractors and prospective State contractors of the ban on campaign contributions and solicitations. If a proposer is awarded an opportunity to negotiate a contract with the Department and the resulting contract has an anticipated value in a calendar year of \$50,000 or more, or a combination or series of such agreements or contracts has an anticipated value of \$100,000 or more, the proposer must inform the proposer's principals of the contents of the SEEC notice.

Part I of the standard contract may be amended by means of a written instrument signed by the Department, the selected proposer (contractor), and, if required, the Attorney General's Office. Part II of the standard contract may be amended only in consultation with, and with the approval of, the Office of Policy and Management and the Attorney General's Office.

■ B. ASSURANCES

By submitting a proposal in response to this RFP, a proposer implicitly gives the following assurances:

- 1. Collusion.** The proposer represents and warrants that the proposer did not participate in any part of the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance. The proposer further represents and warrants that no agent, representative, or employee of the State participated

directly in the preparation of the proposer's proposal. The proposer also represents and warrants that the submitted proposal is in all respects fair and is made without collusion or fraud.

- 2. State Officials and Employees.** The proposer certifies that no elected or appointed official or employee of the State has or will benefit financially or materially from any contract resulting from this RFP. The Department may terminate a resulting contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the proposer, contractor, or its agents or employees.
- 3. Competitors.** The proposer assures that the submitted proposal is not made in connection with any competing organization or competitor submitting a separate proposal in response to this RFP. No attempt has been made, or will be made, by the proposer to induce any other organization or competitor to submit, or not submit, a proposal for the purpose of restricting competition. The proposer further assures that the proposed costs have been arrived at independently, without consultation, communication, or agreement with any other organization or competitor for the purpose of restricting competition. Nor has the proposer knowingly disclosed the proposed costs on a prior basis, either directly or indirectly, to any other organization or competitor.
- 4. Validity of Proposal.** The proposer certifies that the proposal represents a valid and binding offer to provide services in accordance with the terms and provisions described in this RFP and any amendments or attachments hereto. The proposal shall remain valid for a period of 180 days after the submission due date and may be extended beyond that time by mutual agreement. At its sole discretion, the Department may include the proposal, by reference or otherwise, into any contract with the successful proposer.
- 5. Press Releases.** The proposer agrees to obtain prior written consent and approval of the Department for press releases that relate in any manner to this RFP or any resultant contract.

■ C. TERMS AND CONDITIONS

By submitting a proposal in response to this RFP, a proposer implicitly agrees to comply with the following terms and conditions:

- 1. Equal Opportunity and Affirmative Action.** The State is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.
- 2. Preparation Expenses.** Neither the State nor the Department shall assume any liability for expenses incurred by a proposer in preparing, submitting, or clarifying any proposal submitted in response to this RFP.
- 3. Exclusion of Taxes.** The Department is exempt from the payment of excise and sales taxes imposed by the federal government and the State. Proposers are liable for any other applicable taxes.

- 4. Proposed Costs.** No cost submissions that are contingent upon a State action will be accepted. All proposed costs must be fixed through the entire term of the contract.
- 5. Changes to Proposal.** No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, the Department may request and authorize proposers to submit written clarification of their proposals, in a manner or format prescribed by the Department, and at the proposer's expense.
- 6. Supplemental Information.** Supplemental information will not be considered after the deadline submission of proposals, unless specifically requested by the Department. The Department may ask a proposer to give demonstrations, interviews, oral presentations or further explanations to clarify information contained in a proposal. Any such demonstration, interview, or oral presentation will be at a time selected and in a place provided by the Department. At its sole discretion, the Department may limit the number of proposers invited to make such a demonstration, interview, or oral presentation and may limit the number of attendees per proposer.
- 7. Presentation of Supporting Evidence.** If requested by the Department, a proposer must be prepared to present evidence of experience, ability, data reporting capabilities, financial standing, or other information necessary to satisfactorily meet the requirements set forth or implied in this RFP. The Department may make onsite visits to an operational facility or facilities of a proposer to evaluate further the proposer's capability to perform the duties required by this RFP. At its discretion, the Department may also check or contact any reference provided by the proposer.
- 8. RFP Is Not An Offer.** Neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or the Department or confer any rights on any proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and the Department and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for costs incurred by the proposer or for payment of services under the terms of the contract until the successful proposer is notified that the contract has been accepted and approved by the Department and, if required, by the Attorney General's Office.

■ D. RIGHTS RESERVED TO THE STATE

By submitting a proposal in response to this RFP, a proposer implicitly accepts that the following rights are reserved to the State:

- 1. Timing Sequence.** The timing and sequence of events associated with this RFP shall ultimately be determined by the Department.
- 2. Amending or Canceling RFP.** The Department reserves the right to amend or cancel this RFP on any date and at any time, if the Department deems it to be necessary, appropriate, or otherwise in the best interests of the State.
- 3. No Acceptable Proposals.** In the event that no acceptable proposals are submitted in response to this RFP, the Department may reopen the procurement process, if it is determined to be in the best interests of the State.

- 4. Award and Rejection of Proposals.** The Department reserves the right to award in part, to reject any and all proposals in whole or in part, for misrepresentation or if the proposal limits or modifies any of the terms, conditions, or specifications of this RFP. The Department may waive minor technical defects, irregularities, or omissions, if in its judgment the best interests of the State will be served. The Department reserves the right to reject the proposal of any proposer who submits a proposal after the submission date and time.
- 5. Sole Property of the State.** All proposals submitted in response to this RFP are to be the sole property of the State. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State, unless stated otherwise in this RFP or subsequent contract. The right to publish, distribute, or disseminate any and all information or reports, or part thereof, shall accrue to the State without recourse.
- 6. Contract Negotiation.** The Department reserves the right to negotiate or contract for all or any portion of the services contained in this RFP. The Department further reserves the right to contract with one or more proposer for such services. After reviewing the scored criteria, the Department may seek Best and Final Offers (BFO) on cost from proposers. The Department may set parameters on any BFOs received.
- 7. Clerical Errors in Award.** The Department reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial proposer is deemed to be void *ab initio* and of no effect as if no contract ever existed between the State and the proposer.
- 8. Key Personnel.** When the Department is the sole funder of a purchased service, the Department reserves the right to approve any additions, deletions, or changes in key personnel, with the exception of key personnel who have terminated employment. The Department also reserves the right to approve replacements for key personnel who have terminated employment. The Department further reserves the right to require the removal and replacement of any of the proposer's key personnel who do not perform adequately, regardless of whether they were previously approved by the Department.

■ E. STATUTORY AND REGULATORY COMPLIANCE

By submitting a proposal in response to this RFP, the proposer implicitly agrees to comply with all applicable State and federal laws and regulations, including, but not limited to, the following:

- 1. Freedom of Information, C.G.S. § 1-210(b).** The Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption, as defined by C.G.S. § 1-210(b). Proposers are generally advised not to include in their proposals any confidential information. If the proposer indicates that certain documentation, as required by this RFP, is submitted in confidence, the State will endeavor to keep said information confidential to the extent permitted by law. The State has no obligation to initiate, prosecute, or

defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. The proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. While a proposer may claim an exemption to the State's FOIA, the final administrative authority to release or exempt any or all material so identified rests with the State. In no event shall the State or any of its employees have any liability for disclosure of documents or information in the possession of the State and which the State or its employees believe(s) to be required pursuant to the FOIA or other requirements of law.

2. **Contract Compliance, C.G.S. § 4a-60 and Regulations of CT State Agencies § 46a-68j-21 thru 43, inclusive.** CT statute and regulations impose certain obligations on State agencies (as well as contractors and subcontractors doing business with the State) to insure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons.
3. **Consulting Agreements, C.G.S. § 4a-81.** Proposals for State contracts with a value of \$50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, shall include a consulting agreement affidavit attesting to whether any consulting agreement has been entered into in connection with the proposal. As used herein "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of C.G.S. Chapter 10 as of the date such affidavit is submitted in accordance with the provisions of C.G.S. § 4a-81. The Consulting Agreement Affidavit (OPM Ethics Form 5) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms
 IMPORTANT NOTE: A proposer must complete and submit OPM Ethics Form 5 to the Department with the proposal.
4. **Gift and Campaign Contributions, C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8 and No. 7C, Para. 10; C.G.S. § 9-612(g)(2).** If a proposer is awarded an opportunity to negotiate a contract with an anticipated value of \$50,000 or more in a calendar or fiscal year, the proposer must fully disclose any gifts or lawful contributions made to campaigns of candidates for statewide public office or the General Assembly. Municipalities and CT State agencies are exempt from this requirement. The gift and campaign contributions certification (OPM Ethics Form 1) is available on OPM's website at http://www.ct.gov/opm/fin/ethics_forms
 IMPORTANT NOTE: The successful proposer must complete and submit OPM Ethics Form 1 to the Department prior to contract execution.
5. **Nondiscrimination Certification, C.G.S. §§ 4a-60(a)(1) and 4a-60a(a)(1).** If a proposer is awarded an opportunity to negotiate a contract, the proposer must provide the Department with *written representation* or *documentation* that certifies the proposer complies with the State's nondiscrimination agreements and warranties. A nondiscrimination certification is required for all State contracts – regardless of type, term, cost, or value. Municipalities and CT State agencies are exempt from

this requirement. The nondiscrimination certification forms are available on OPM's website at http://www.ct.gov/opm/fin/nondiscrim_forms

IMPORTANT NOTE: The successful proposer must complete and submit the appropriate nondiscrimination certification form to the awarding Department prior to contract execution.

VI. APPENDIX

A. ABBREVIATIONS / ACRONYMS / DEFINITIONS

BFO	Best and Final Offer
C.G.S.	Connecticut General Statutes
CHRO	Commission on Human Rights and Opportunity (CT)
CT	Connecticut
DAS	Department of Administrative Services (CT)
FOIA	Freedom of Information Act (CT)
IRS	Internal Revenue Service (US)
LOI	Letter of Intent
OAG	Office of the Attorney General
OPM	Office of Policy and Management (CT)
OSC	Office of the State Comptroller (CT)
POS	Purchase of Service
P.A.	Public Act (CT)
RFP	Request For Proposal
SEEC	State Elections Enforcement Commission (CT)
U.S.	United States

- *contractor*: a private provider organization, CT State agency, or municipality that enters into a POS contract with the Department as a result of this RFP
- *proposer*: a private provider organization, CT State agency, or municipality that has submitted a proposal to the Department in response to this RFP
- *prospective proposer*: a private provider organization, CT State agency, or municipality that may submit a proposal to the Department in response to this RFP, but has not yet done so
- *subcontractor*: an individual (other than an employee of the contractor) or business entity hired by a contractor to provide a specific health or human service as part of a POS contract with the Department as a result of this RFP
- *contract*: the binding legal document resulting from this RFP process. Also known as Agreement
- *Formal Grievance*: complaint or problem that is submitted on a form when in informal process does not resolve the issue
- *Informal Grievance*: complaint or problem that is resolved by talking to appropriate staff
- *Ombudsperson*: an impartial, neutral and independent agent charged with the protection and promotion of rights of young people

- *PREA*: Prison Rape Elimination Act of 2003 – Federal standards to prevent incidents of sexual violence in correctional facilities
- *Request for Proposal (RFP)*: this document, which is the State of CT Department of Correction's request for proposals to provide services being solicited herein. Also known as RFP. The Request for Proposals is the only mechanism by which a contract for Ombudsperson Services will be issued

B. PROPOSAL COVER SHEET

REQUEST FOR PROPOSALS
RFP # DOC-OMBUDSPERSON-21-SJH
Department of Correction
December 2020

VI. APPENDIX B.: Proposal Cover Sheet**Proposer:**

		() -
Legal Name	FEIN or Social Security Number	Telephone Number
Mailing Address	Town, State	Zip Code
<input type="checkbox"/> Yes <input type="checkbox"/> No (check one)	<input type="checkbox"/> Profit <input type="checkbox"/> Nonprofit (check one)	
Incorporated	Type of Organization	Fiscal Year End

\$

Total Cost

Contact Person (*Individual who can provide additional information about the proposal or who has immediate responsibility for the proposal*):

		() -
Name	Title	Telephone Number
Mailing Address	Town, State	Zip Code
E-mail Address	FAX Number	

Authorized Official (*Individual empowered to enter into and amend contractual instruments in the name and on behalf of the Contractor*):

		() -
Name	Title	Telephone Number
Mailing Address	Town, State	Zip Code
E-mail Address	FAX Number	

Signature

C. STATEMENT OF ASSURANCES

CT Department of Correction

The undersigned Respondent affirms and declares that:

1) General

- a. This proposal is executed and signed with full knowledge and acceptance of the RFP CONDITIONS stated in the RFP.
- b. The Respondent will deliver services to the Department the cost proposed in the RFP and within the timeframes therein.
- c. The Respondent will seek prior approval from the Department before making any changes to the location of services.
- d. Neither the Respondent or any official of the organization nor any subcontractor the Respondent or any official of the subcontractor organization has received any notices of debarment or suspension from contracting with the State of CT or the Federal Government.
- e. Neither the Respondent or any official of the organization nor any subcontractor to the Respondent or any official of the subcontractor's organization has received any notices of debarment or suspension from contracting with other states within the United States.

Legal Name of Organization:

Authorized Signatory

Date

D. PROPOSAL CHECKLIST

To assist respondents in managing proposal planning and document collation processes, this document summarizes key dates and proposal requirements for this RFP. Please note that this document does not supersede what is stated in the RFP. Please refer to the Proposal Submission Overview, Required Proposal Submission Outline, and Mandatory Provisions (Sections II, III, and IV of this RFP) for more comprehensive details. It is the responsibility of each respondent to ensure that all required documents, forms, and attachments, are submitted in a timely manner.

Key Dates

Procurement Timetable		
The Department reserves the right to modify these dates at its sole discretion.		
Item	Action	Date
1	Deadline for Questions	December 28, 2020
2	Answers Released	December 30, 2020
3	Proposals Due	January 11, 2021
4	(*) Start of Contract	February 14, 2021

(*) Anticipated Date

Registration with State Contracting Portal (if not already registered):

- Register at: <https://biznet.ct.gov/AccountMaint/NewLogin.aspx> if
- Submit required forms:
 - Consulting Agreement Affidavit (OPM Ethics Form 5) – Requires Notarization; available at: <https://portal.ct.gov/media/OPM/OPMForm5ConsultingAgreementAffidavit32814pdf.pdf?la=en>
 - Affirmation of Receipt of State Ethics Affidavit (OPM Ethics Form 6) – Requires Notarization; available at: <https://portal.ct.gov/media/OPM/Finance/psa/OPMEthicsForm6Final91511PDFpdf.pdf?la=en>
 - Iran Certificate (OPM Ethics Form 7) – Requires Notarization; available at: <https://portal.ct.gov/media/OPM/OPMForm7IranCertification32814pdf.pdf?la=en>

Proposal Content Checklist

- ☐ **Cover Sheet** including required information:
- RFP Name or Number
 - Legal Name
 - FEIN
 - Street Address
 - Town/City/State/Zip
 - Contact Person
 - Title
 - Phone Number
 - E-Mail Address
 - Authorized Official
 - Title
 - Signature
- ☐ **Table of Contents**

- ☐ **Executive Summary:** high-level summary of proposal and cost, not to exceed two pages in length
- ☐ **Main proposal body answering all questions, see Section IV. D.** Proposers should use their discretion to determine whether certain required information is sufficiently captured in the body of their proposal.
- ☐ **Proposed budget,** including budget narrative and cost schedules for planned subcontractors if applicable.
- ☐ **Conflict of Interest Disclosure Statement**
- ☐ **Statement of Assurances**

Formatting Checklist

- ☐ Is the proposal formatted to fit 8 ½ x 11 (letter-sized) paper?
- ☐ Is the main body of the proposal within the page limit?
- ☐ Is the proposal in 12-point, Times New Roman font?
- ☐ Does the proposal format follow normal (1 inch) margins and 1 ½ line spacing?
- ☐ Does the proposer's name appear in the header of each page?
- ☐ Does the proposal include page numbers in the footer?
- ☐ Are confidential labels applied to sensitive information (if applicable)?