

SECTION A SOLICITATION / OFFER / ACCEPTANCE

1. Solicitation No. 0420-21-M019	2. Date Issued 07/02/2020	3. Award No.
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4. Issued By: Melissa White 1835 Assembly Street, Suite 611 Columbia, SC 29201	5. Address Offer To (if other than Item 4): Melissa White melissa_white@scp.uscourts.gov
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SOLICITATION

6. Offers in original and 0 copies for furnishing the required services listed in Section B will be received at the place specified in Item 5, or if handcarried, in the depository located:

**1835 Assembly Street, Suite 611
Columbia, SC 29201**

until 05:00 PM local time 08/03/2020
(hour) (date)

7. For Information call: a. Name Melissa White	b. Telephone (803) 765-5872
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OFFER

8. In compliance with the above, the undersigned agrees, if this offer is accepted within _____ calendar days (365 calendar days unless a different period is inserted by the offeror) from the date for receipt of offers specified above, to furnish any or all items upon which prices are offered at the price set opposite each item, delivered at the designated point(s), within the time specified in the schedule.

9. DISCOUNT FOR PROMPT PAYMENT <i>(See Section I, Clause No. 52-232-8)</i>	10 CALENDAR DAYS %	20 CALENDAR DAYS %	30 CALENDAR DAYS %	CALENDAR DAYS %
10. ACKNOWLEDGEMENT OF AMENDMENTS <i>(The offeror acknowledges receipt of amendments to the SOLICITATION for offerors and related documents numbered and dated:</i>	AMENDMENT NO.	DATE	AMENDMENT NO.	DATE

11. NAME AND ADDRESS OF OFFEROR	16. <input type="checkbox"/> AWARD Your offer on Solicitation Number _____, including the additions or changes made by you which additions or changes are set forth in full above, is hereby accepted as to the items listed above and on any continuation sheets.
12. Telephone No. (Include area code)	
13. NAME AND TITLE OF PERSON AUTHORIZED TO SIGN OFFER <i>(Type or print)</i>	17A. NAME OF CONTRACTING OFFICER
14. Signature	17B. UNITED STATES OF AMERICA
15. Offer Date	17C. DATE SIGNED
	BY _____ <i>(Signature Of Contracting Officer)</i>

SECTION B - SUPPLIES OR SERVICES AND OFFEROR'S PRICES

The United States District Court for the District of South Carolina is soliciting a vendor to provide substance abuse, mental health, and/or sex offender treatment services. A Vendor must be capable of providing services within a geographic area encompassing Union County.

Section B is generic and used nationwide to procure the particular needs of each U. S. Probation/Pretrial Services Office. For this solicitation, only those services marked by an "X" under the Required Services column are being solicited. Only submit prices on the services marked by an "X."

An asterisk * indicates a requirement line item which has been modified under "Local Services."

PSYCHOLOGICAL/PSYCHIATRIC WORK-UP, EVALUATION, AND REPORT:

	PROJECT CODE	REQUIRED SERVICES		ESTIMATED MONTHLY QUANTITY	UNIT PRICE
X *	5010	Psychological Evaluation and Report	2021	<input type="text" value="1"/>	<input type="text"/>
				Unit: per report (total price)	

	PROJECT CODE	REQUIRED SERVICES		ESTIMATED MONTHLY QUANTITY	UNIT PRICE
X *	5011	Mental Health Intake Assessment and Report	2021	<input type="text" value="1"/>	<input type="text"/>
				Unit: per report	

	PROJECT CODE	REQUIRED SERVICES		ESTIMATED MONTHLY QUANTITY	UNIT PRICE
X *	5020	Psychological Testing and Report	2021	<input type="text" value="1"/>	<input type="text"/>
				Unit: NTE per report	

	PROJECT CODE	REQUIRED SERVICES		ESTIMATED MONTHLY QUANTITY	UNIT PRICE
X *	5030	Psychiatric Evaluation and Report	2021	<input type="text" value="1"/>	<input type="text"/>
				Unit: per report	

MENTAL HEALTH COUNSELING:

	PROJECT CODE	REQUIRED SERVICES		ESTIMATED MONTHLY QUANTITY	UNIT PRICE
X *	6010	Individual Counseling	2021	<input type="text" value="1"/>	<input type="text"/>
				Unit: per 30 minute session	

	PROJECT CODE	REQUIRED SERVICES		ESTIMATED MONTHLY QUANTITY	UNIT PRICE
X *	6030	Family Counseling	2021	<input type="text" value="1"/>	<input type="text"/>
				Unit: per 30 minute session	

	PROJECT CODE	REQUIRED SERVICES		ESTIMATED MONTHLY QUANTITY	UNIT PRICE
X	6040	Psychotropic Medication	2021	<input type="text" value="Unknown"/>	Actual cost
				Unit: per dose	

PROJECT CODE	REQUIRED SERVICES	ESTIMATED MONTHLY QUANTITY	UNIT PRICE
X	6041 Administrative Fee Psychotropic Medication	2021 <input type="text" value="Unknown"/> Unit: per dose expended	5% of actual funds expended

PROJECT CODE	REQUIRED SERVICES	ESTIMATED MONTHLY QUANTITY	UNIT PRICE
X *	6051 Medication Monitoring	2021 <input type="text" value="1"/> Unit: per visit	<input type="text"/>

TRANSPORTATION FOR CLIENTS:

PROJECT CODE	REQUIRED SERVICES	ESTIMATED MONTHLY QUANTITY	UNIT PRICE
X	1201 Administrative Fee	2021 <input type="text" value="Unknown"/> Unit: per day	5% of amount distributed under pc 1202

PROJECT CODE	REQUIRED SERVICES	ESTIMATED MONTHLY QUANTITY	UNIT PRICE
X	1202 Client Transportation Expenses	2021 <input type="text" value="Unknown"/> Unit: per day	JTR*

PROJECT CODE	REQUIRED SERVICES	ESTIMATED MONTHLY QUANTITY	UNIT PRICE
X	1501 Administrative Fee	2021 <input type="text" value="Unknown"/>	5% of fees collected by Vendor

*Unit: Per mile reimbursed at prevailing rate established by Judiciary Travel Regulations for employees of the Judicial Branch of the Government.

SECTION C. DESCRIPTION/STATEMENT OF WORK

PROVISION OF SERVICES

The United States Probation and Pretrial Services Office (hereafter USPO/USPSO) shall provide a Program Plan (Probation Form 45) for each person under supervision that authorizes the provision of services. The vendor shall provide services strictly in accordance with the Program Plan for each person under supervision. The Judiciary shall not be liable for any services provided by the vendor that have not been authorized for that defendant/person under supervision in the Program Plan. The United States Probation or Pretrial Services Officer may provide amended Treatment Program Plans during treatment. The United States Probation/Pretrial Services Office will notify the vendor verbally and in writing via Probation 45 when services are to be terminated and shall not be liable for any services provided by the vendor subsequent to the verbal or written notification.

INTRODUCTION

- A. Pursuant to the authority contained in 18 U.S.C. § 3154, and 3672, contracts or Blanket Purchase Agreements may be awarded to provide services for defendants/person under supervision who are drug-dependent, alcohol-dependent, and/or suffering from a psychiatric disorder. Such services may be provided to federal defendants/persons under supervision supervised by the USPO/USPSO; pretrial clients supervised by the USPO/USPSO, under the terms of this agreement. The vendor shall submit separate invoices for services provided to the referring agency (USPO or USPSO).

Note regarding pretrial services defendants: The vendor shall not ask questions pertaining to the instant offense, or ask questions or administer tests that compel the defendant to make incriminating statements or to provide information that could be used in the issue of guilt or innocence. If such information is divulged as part of an evaluation or treatment, it shall not be included on the written report.

- B. The services to be performed are indicated in Sections B and C. The vendor shall comply with all requirements and performance standards of this agreement.
- C. The judiciary will refer clients on an “as needed basis” and makes no representation or warranty that it will refer a specific number of clients to the vendor for services.

DEFINITIONS

- A. **“Offer”** means **“proposals”** in negotiation.
- B. **“Solicitation”** means a request for proposals (RFP) or a request for quotations (RFQ) in negotiation.
- C. **“Judiciary”** means United States Government.
- D. **“Director”** means the Director of the Administrative Office of the United States Courts (unless in the context of a particular section, the use of “Director” manifestly shows that the term was intended to refer to some other office for purposes of that section), and the term “his duty authorized representative” means

any person or persons or board (other than the Contracting Officer) authorized in writing to act for the Director.

- E. **“Authorized representative”** means any person, persons, or board (other than the contracting officer and Chief Probation Officer/Chief Pretrial Services Officer) authorized to act for the head of the agency.
- F. **“Contracting Officer”** means the person designated by the Director or his duly authorized representative to execute this Agreement on the behalf of the Judiciary, and any other successor Contracting Officer who has responsibility for this agreement. The term includes, except as otherwise provided in this Agreement, the authorized representative of a Contracting Officer acting within the limits of his written authority.
- G. **“Client”** means any pretrial releasee, probationer, parolee, mandatory releasee, mandatory parolee, or supervised releasee receiving drug/alcohol testing and/or substance use treatment and/or mental health treatment while under the supervision of the Federal Probation System. May also be referred to as pretrial defendant or post-conviction person under supervision.
- H. **“Probation Officer”** (i.e., USPO) means an individual appointed by the United States District Court to provide pretrial, presentence and supervision (pre and post sentence) services for the court. “Probation Officer” refers to the individual responsible for the direct supervision of a client receiving drug/alcohol testing and/or treatment and/or mental health treatment services.
- I. **“Chief Probation Officer”** (i.e., CUSPO) means the individual appointed by the United States District Court to supervise the work of the court’s probation staff. For the purpose of the contract, the “Chief Probation Officer” acts as the contract administrator on behalf of the Director of the Administrative Office of the United States Courts.
- J. **“Pretrial Services Officer”** (i.e., USPSO) means the individual appointed by a United States District Court to provide pretrial release investigations, recommendations and supervision services for that court. “Pretrial Services Officer” refers to the individual responsible for the direct supervision of a client receiving drug/alcohol testing and/or treatment and/or mental health treatment services.
- K. **“Chief Pretrial Services Officer”** (i.e., CPSO) means the individual appointed by the court to supervise the work of the court’s pretrial services staff. For the purpose of the contract, the “Chief Probation Officer” acts as the contract administrator on behalf of the Director of the Administrative Office of the United States Courts.
- L. **“Designee”** means the person selected by the Chief Probation Officer or the Chief Pretrial Services Officer to act in his/her behalf in drug, alcohol, and mental health treatment matters.
- M. **“Federal Bureau of Prisons”** The federal agency responsible for housing inmates in federal prisons, penitentiaries, correctional institutions and residential re-entry centers who have been sentenced by the federal courts.

- N. **“Clarifications”** are limited exchanges, between the Judiciary and offerors that may occur when award without discussions is contemplated. If award will be made without conducting discussions, offerors may be given the opportunity to clarify certain aspects of proposals or to resolve minor or clerical errors.
- O. **“AOUSC”** - Administrative Office of the U.S. Courts.
- P. **“USPO/USPSO”** -U.S. Probation Officer/U.S. Pretrial Services Officer.
- Q. **“Probation Form 17”** - U.S. Probation Travel Log.
- R. **“Probation Form 45”** - Treatment Services Program Plan.
- S. **“Probation Form 46”** - Monthly Treatment Record.
- T. **“NIDT”** - Non-Instrumented Drug Testing Device.
- U. **“COR”** - Contracting Officer Representative.
- V. **“Case Staffing Conference”** - A meeting between the Officer and the provider to discuss the needs and progress of the defendant/person under supervision. The defendant/person under supervision may or may not be present at the conference.
- W. **“DSM”** - Diagnostic and Statistical Manual of Mental Disorders.
- X. **“Co-payment”** - Any payment from defendant/person under supervision or third-party reimbursement.
- Y. **“PPSO”** - Probation and Pretrial Services Office, Administrative Office of the US Courts.
- Z. **“PCRA”** – Post Conviction Risk Assessment.

MANDATORY REQUIREMENTS

For Project Codes in Section B, the corresponding paragraphs in this statement of work shall be considered mandatory requirements, as well as the sections listed below:

- A. Defendant/Person under supervision Reimbursement and Co-payment
- B. Deliverables
- C. Notifying USPO/USPSO of Defendant/Person under supervision Behavior
- D. Staff Requirements and Restrictions
- E. Facility Requirements
- F. Local Services (if applicable)

1. Psychological/Psychiatric Evaluation Testing and Report

The vendor shall provide:

- a. **Psychological Evaluation and Report (5010)**- which includes all available information from defendant/person under supervision self-reports. This evaluation and report shall provide and/or clarify diagnostic impressions, assist in differential diagnosis, and/or assist in treatment planning. As part of the evaluation, the evaluator shall render an opinion based on the results of available psychological testing. The evaluation and report shall be conducted and prepared by a licensed/certified psychologist (PhD or Psy.D, or other advanced doctoral degree) who meets the standards of practice established by his/her state's regulatory board.

- b. **Psychological Testing and Report (5020)**- consisting of a diagnostic interview and a battery of neuropsychological and/or personality tests (i.e., objective personality tests, projective personality tests, trauma symptoms personality) to assess personality and/or thought or neurological disorders and to assist with a diagnostic impression and treatment recommendations. Since the number of tests administered may vary, the price of the complete report including the battery of tests will be expressed as a not-to-exceed (NTE) amount, while any combination of individual tests shall be billed at a lesser amount. The testing and report are conducted and prepared by a licensed/certified psychologist (PhD or Psy.D, or other advanced doctoral degree) who meets the standards of practice established by his/her state's regulatory board.

- c. **Psychiatric Evaluation and Report (5030)**- consisting of a medical evaluation and report conducted and prepared by a licensed medical doctor/physician, a psychiatrist who specializes in disorders of the mind, or other qualified practitioner who is board certified or board-eligible, and meets the standards of practice (i.e., academic training, residency, etc.) established by his/her state's regulatory board. The purpose for this type of evaluation is to establish a psychiatric diagnosis, to determine the need for psychotropic medications and/or to develop an initial treatment plan with particular consideration of any immediate interventions that may be needed to ensure the defendant's/person under supervision's safety to that of the community.

NOTE: Physical examinations and laboratory tests associated with a psychiatric evaluation and report shall be provided under project codes 4010 and 4020, respectively.

- d. A typed report to the USPO/USPSO within 15 calendar days after completion of any of the listed mental health services (**5010, 5020, and 5030**). At a minimum, the report should include the following:

(1) **For Psychological Evaluation and Report (5010) and/or Psychological Testing and Report (5020)**

(a) Vendor's/Evaluator's contact information, reason for referral, sources of information for the report (to include current counselors) and/or procedures/tests administered during the evaluation;

(b) The dates of each test administered, the date of the diagnostic interview and the date the report was prepared;

(c) A list and brief description (i.e., type/purpose of evaluation tools) of all tests (5020) administered (i.e., MMPI, Rorschach, WAIS-R, DIS, SCI);

(d) Background information (i.e., prior psychological assessments, prior treatment efforts, defendant's/person under supervision's conceptualization of his/her problem, family history of mental illness, history of substance use, medication use, social history). **NOTE:** The background information shall not be a synopsis and/or overview of presentence or pretrial services reports or any other institutional progress reports provided by the USPO/USPSO to the vendor for background information, but shall include information from those reports;

(e) History of present illness (Compliant);

(f) Behavioral observations;

(g) Cognitive functioning (i.e., range of intellectual functioning), if necessary;

(h) Social-Emotional functioning (i.e., implications of the defendant's/person under supervision's cognitive strengths/weaknesses, ability to appreciate judgment and empathic ability);

(i) Mental status examination (including appearance, general behavior, expression of mood and affect, speech and language, suicidal/homicidal thoughts (including current level of dangerousness to self/others);

(j) Social history (i.e., psychosocial/developmental history, occupational and family history). **NOTE:** The social history shall not be a synopsis and/or overview of presentence and/or pretrial services reports, or other institutional progress report provided by the USPO/USPSO to the vendor for

background information, but shall include information from those reports;

(k) Diagnostic impression according to the most current edition of the American Psychiatric Association's Diagnostic and Statistical Manual of Mental Disorders (i.e., DSM) with separate notations for important psychosocial and contextual factors and disability. If a defendant/person under supervision does not meet DSM criteria that shall be noted in the evaluation;

(l) Recommendations (should include whether further psychological or psychiatric treatment is required; if so, what specific issues require treatment, required modality of treatment, frequency, intensity, and treatment goals).

(2) For Psychiatric Evaluations and Report (5030):

(a) Reason for the evaluation (i.e., main complaint, general psychiatric evaluation, or clinical consultation), and sources of information for the report (to include current counselors);

(b) History of present illness (i.e., history of current symptoms, available details on previous treatments);

(c) Past psychiatric history (i.e., history of all past episodes of mental illness and treatment, previous established diagnoses, medication usage and duration);

(d) General medical history;

(e) History of substance use (i.e., if available, include information on quantity, frequency, route of administration, patterns of licit and illicit psychoactive substances);

(f) Social history (i.e., psychosocial/developmental history, occupational and family history). NOTE: The social history shall not be a synopsis and/or overview of presentence and/or pretrial services reports or other institutional progress reports provided by the USPO/USPSO to the vendor for background information, but shall include information from those reports;

(g) Physical examination (if required);

(h) Mental status examination (including appearance, general behavior, expression of mood and affect, speech and language, suicidal/homicidal thoughts, and current level of dangerousness to self/others);

(i) Functional assessment;

(j) Description and evaluation of all testing

components;

(k) Diagnostic impression according to the most current edition of the American Psychiatric Association's Diagnostic and Statistical Manual of Mental Disorders (i.e., DSM) with separate notations for important psychosocial and contextual factors and disability. If a defendant/person under supervision does not meet DSM criteria that shall be noted in the evaluation;

(l) Recommendations shall include whether further psychological/psychiatric treatment is required; whether or not medications are required, if so, type, dosage, and route of administration. If treatment is not indicated, this should be clearly stated. If treatment is indicated, all interventions recommended shall be detailed (i.e., individual, group).

- e. The vendor shall contact the USPO/USPSO **within 24 hours** if the defendant/person under supervision fails to report for the evaluation and shall follow up with a written notification.

2. **Mental Health Intake Assessment and Report**

The vendor shall provide:

- a. **Mental Health Intake Assessment and Report (5011)**- performed by a masters or doctoral level clinician who is licensed or certified and meets the standards of practice established by his/her state regulatory board. The assessment could also be conducted by a non-licensed masters level clinician under the direct supervision of a licensed professional in accordance with state licensing standards.

The vendor shall provide:

(1) At least one comprehensive clinical/diagnostic interview utilizing a structured interview tool such as the Structured Clinical Interview for DSM.

(2) A typed report shall be provided to the USPO/USPSO within 15 calendar days after the vendor's first personal contact and must include more than simply a synopsis or overview of presentence and/or pretrial services reports or institutional progress reports provided by the USPO/USPSO to the vendor for background information. The written report shall, at minimum, include the following:

- (a) Basic identifying information and sources of

information for the report (to include current counselors);

(b) A mental status examination including physical appearance, orientation, mood/affect, intellectual functioning, suicidal or homicidal ideation, social judgment and insight, psychiatric symptoms, current level of dangerousness to self/others, etc., and possible indicators supporting the need for further testing and/or treatment;

(c) Summary of the defendant's/person under supervision's mental health as it relates to supervision;

(d) Any identifying background information, outpatient/inpatient mental health history, family/medical history, substance use history, current social situation (i.e., source of income, employment, environment), DSM diagnosis (if applicable) and treatment recommendations (if applicable);

(e) Recommendations for further assessments if the assessment clearly identifies the need for treatment, need for additional assessments or testing (including assessment to determine need for psychotropic medications or a further substance use evaluation).

(3) The vendor shall contact the USPO/USPSO **within 24 hours** if the defendant/person under supervision fails to report for the evaluation and follow up with a written notification.

3. **Mental Health Counseling**

Counseling is a clinical interaction between a defendant/person under supervision and a psychiatrist, psychologist, or masters or doctoral level practitioner who is licensed or certified by his/her state's regulatory board. The interactions shall be deliberate and based on clinical modalities, which have demonstrated evidence to stabilize mental health symptoms.

The vendor shall provide:

a. All the following services, which may be ordered on the Form 45 individually or in any combination:

(1) **Individual Counseling (6010)** to one (1) defendant/person under supervision.

This intervention must also focus on the stabilization of mental health symptoms.

(2) **Family Counseling (6030)** to a defendant/person under supervision and

one or more family members. The vendor may meet with family members without the defendant/person under supervision present with USPO/USPSO written approval.

The vendor shall ensure that:

- (a) **Mental Health Counseling, i.e., 6010, 6020, 6021, 6028, and 6030** are provided by a licensed/certified psychiatrist, psychologist, or masters or doctoral level practitioner who meets the standards of practice to perform psychotherapy/counseling services as established by his/her state's regulatory board.
- (b) Practitioners prepare treatment plans that include: (1) short and long-term measurable goals and objectives the defendant(s)/person(s) under supervision will be attempting to achieve; (2) type and frequency of services to be received; (3) specific criteria for treatment completion and the anticipated time-frame; (4) documentation of treatment plan review, at least every 90 days, to include the following: defendant's/person under supervision's input, continued need for treatment, and information on family and significant other involvement (i.e., community support programs, etc.). **NOTE:** Initially and after every update, or at least every 90 days, the treatment plan should be attached to the monthly treatment report provided to the USPO/USPSO.
- (c) Emergency services (e.g., after hour phone numbers, local hotlines) shall be available for defendants/persons under supervision when counselors are unavailable. Emergency telephone calls shall be included in the basic unit prices.
- (d) Only face-to-face contacts between practitioner and defendant/person under supervision (or family) are invoiced.
- (e) A typed discharge summary is submitted to the USPO/USPSO **within 15 calendar days after** treatment is terminated. The summary shall outline the reason for concluding contract services, (i.e., whether the defendant/person under supervision responded to treatment and treatment is no longer

needed, or whether the defendant/person under supervision failed to respond to treatment). Additionally, the discharge summary shall include recommendations for community-based aftercare the defendant/person under supervision can readily access. In all cases, the discharge status (i.e., successful discharge, unsuccessful discharge, interruption of treatment, etc.) shall be clearly stated.

- (f) Counselors shall notify the USPO/USPSO within 24 hours if the defendant/person under supervision fails to report for treatment, conduct violating a condition of supervision occurs, or third-party risk issues are identified. If the assigned USPO/USPSO is not available, the counselor shall notify a supervisor or the duty officer.

4. **Psychotropic Medication**

Psychotropic medication is defined as a class of drugs that are prescribed for persons whose symptoms are viewed as having a psychological base. This class of drugs is typically prescribed to stabilize or improve mood, mental status, or behavior. If medically appropriate, generic medications shall be prescribed. The vendor shall seek medication pricing from a minimum of three (3) sources on an ongoing basis to occur no less than quarterly. The vendor shall utilize the source with the lowest cost to the Judiciary.

The vendor shall provide:

- a. **Psychotropic Medication (6040)** in either oral or injectable form subsequent to a prescription from a licensed psychiatrist, medical doctor/physician, or other qualified practitioner with current prescriptive authority, who meets the standards of practice established by his/her state's regulatory board. This service is only available when used in conjunction with code 6050 or 6051.

The vendor may charge an:

- b. **Administrative Fee (6041)** to acquire the psychotropic medication (i.e., via a pharmacy or other source) not exceeding five (5) percent of the actual funds expended for the psychotropic medications.
- c. **Psychotropic Medication Monitoring (6051)**

The vendor shall:

- (1) Prescribe and evaluate the efficacy of psychotropic medications (incorporating feedback from the treatment provider and/or the USPO/USPSO), and the need for laboratory testing, order the laboratory tests as indicated, and monitor the laboratory test results making changes to the treatment regimen as indicated;
- (2) Report the name of the authorized practitioner who provided the medication monitoring, date, service code, and comments (i.e., adjustment, responsiveness, need for change in medication, etc.) on the Monthly Treatment Report (Prob 46).

The vendor shall ensure that:

d. **Medication Monitoring (6051)** is provided by:

- (1) A licensed psychiatrist, medical doctor/physician, or other qualified practitioner with current prescriptive authority, who is board certified or board-eligible by the American Board of Psychiatry or the American Osteopathic Board of Neurology and Psychiatry, and/or meets the standards of practice (i.e., academic training, residency, etc.) established by his/her state's regulatory board), or
- (2) Other qualified practitioner (i.e., Licensed/Certified Nurse Practitioner/Specialist) with current prescriptive authority who meets the standards of practice established by his/her state's regulatory board.

5. **Defendant/Person under supervision Transportation**

The vendor shall provide:

a. **Defendant/Person under supervision Transportation Expenses (1202)** for defendant/person under supervision transportation to and from treatment facilities:

- (1) For eligible defendants/person under supervision who the USPO/USPSO determines are unemployed or unable to pay transportation prices,
- (2) That the USPO/USPSO authorizes and approves, **and**
- (3) That does not exceed the price of public transportation via the most direct

route.

If public transportation is not available, the vendor must seek prior approval from the contracting officer or designee for reimbursement of alternative means of transportation accordance with the Judiciary Travel Regulations (JTR).

Note: The vendor may charge an **Administrative Fee (1201)** for **Defendant/Person under supervision**

Transportation Expenses (1202) which is a reasonable monthly fee to administer transportation expense funds, not exceeding five (5) percent of the monthly funds distributed under **Defendant/Person under supervision Transportation Expenses (1202)**.

6. **Defendant/Person under supervision Reimbursement and Co-Payment**

The vendor shall:

- a. Collect any co-payment authorized on the Program Plan (Probation Form 45) and deduct any collected co-payment from the next invoice to be submitted to the judiciary;
- b. Provide bills and receipts for co-payments to defendants/persons under supervision. The vendor shall keep an individualized record of co-payment collection, make it available for the USPO/USPSO review, and have systems in place to both follow-up on collection of outstanding amounts and to resolve any discrepancies in the amount owed;
- c. Document within the Monthly Treatment Report and the Sign-In/Sign-Out Daily Log any co-payment received or whether the expected co-payment was not provided, as well as the amount of any outstanding balance;
- d. Inform the USPO/USPSO within 10 calendar days of a defendant's/person under supervision's failure to make a total of three consecutive scheduled co-payments;
- e. Reimburse the Judiciary as directed in Section G.

Note: The vendor may charge an **Administrative Fee (1501)** which is a reasonable monthly fee, to administer the collection of fees from defendants/persons under supervision, not exceeding five (5) percent of the monthly funds collected.

7. **Deliverables**

- a. **Defendant/Person under supervision Records and Conferences**

(1) File Maintenance

The vendor shall:

- (a) Maintain a secure filing system of information on all defendants/persons under supervision to whom the vendor provides services under this contract/agreement. If information is maintained electronically, the vendor shall make a hard copy of all files available for review immediately upon request of the USPO/USPSO or designee.
- (b) Segregate defendant/person under supervision files from other vendor records. This will facilitate monitoring and promote defendant/person under supervision confidentiality.
- (c) Keep a separate file for each defendant/person under supervision.
- (d) Create a separate file when a defendant on pretrial services supervision is sentenced to probation supervision, but continued in treatment with the vendor. The vendor may copy any information relevant from the pretrial services file and transfer it into the probation file, except for information covered under the Pretrial Services Confidentiality Regulations. The vendor and its subcontractors are authorized to access criminal history information available in pretrial services or probation records that have been provided by the USPO/USPSO. This information is provided solely for the purpose of providing services under this contract. Any unauthorized re-disclosure of this information may result in termination of this contract and the imposition of civil penalties.
- (e) Identify any records that disclose the identity of a defendant/person under supervision as **CONFIDENTIAL**.
- (f) Keep all defendant/person under supervision records for three years after the final payment is received for Judiciary inspection and review, **except** for litigation or settlement of claims arising out of the performance of this agreement, which records shall be maintained until final disposition of such appeals, litigation, or claims.
- (g) At the expiration of the performance period of this agreement the vendor shall provide the USPO/USPSO or designee a copy of all defendant/person under supervision records that have not been previously furnished, including copies of chronological notes.

NOTE: The vendor shall comply with the HIPAA privacy rule Security Standards for the Protection of Electronic Protected Health Information set forth at 45 C.F.R. § 164.302 to 318 with regard to electronic information.

b. **Disclosure**

The vendor shall:

- (1) Protect **CONFIDENTIAL** records from disclosure except in accordance with item number b. (2), (3), (4),(5), (6), and (7) below.
- (2) Obtain defendant's/person under supervision's authorization to disclose confidential health information to the USPO/USPSO. If the vendor is unable to obtain this disclosure, the vendor shall notify the USPO/USPSO immediately.
- (3) Disclose defendant/person under supervision records upon request of the USPO/USPSO or designee to the USPO/USPSO or designee.
- (4) Make its staff available to the USPO/USPSO to discuss treatment of a defendant/person under supervision.
- (5) Disclose defendant/person under supervision records only in accordance with 42 C.F.R. Part 2, and 45 C.F.R. § 160.201 to 205 and Part 164 (even if the vendor is not otherwise subject to 45 C.F.R. § 16.201 to 205, and Part 164). The vendor shall disclose records only after advising the USPO/USPSO of the request and any exceptions to the disclosure of, or an individual's right of access to, treatment or protected health information that might apply.
- (6) Not disclose "pretrial services information" concerning pretrial services clients. "Pretrial services information," as defined by the "Pretrial Services Confidentiality Regulations," is "any information, whether recorded or not, that is obtained or developed by a pretrial services officer (or a probation officer performing pretrial services duties) in the course of performing pretrial services." Pretrial Services Confidentiality Regulations, §2.A. Generally, any information developed by an officer performing pretrial services that is shared with the vendor will be confidential pretrial services information. Only a judicial officer or a Chief USPO/USPSO may authorize disclosure of pretrial services information to a third party pursuant to the Pretrial Services Confidentiality Regulations. Any doubts about whether a potential disclosure concerns pretrial services information must be resolved by consultation with the USPO/USPSO.

- (7) The vendor and its subcontractors are authorized to access criminal history information available in pretrial services or probation records that have been provided by the USPO/USPSO. This information is provided solely for the purpose of providing services under this contract. Any unauthorized re-disclosure of this information may result in termination of this contract and the imposition of civil penalties.
- (8) Ensure that all persons having access to or custody of defendant/person under supervision records follow the disclosure and confidentiality requirements of this agreement and federal law.
- (9) Notify the USPO/USPSO immediately upon receipt of legal process requiring disclosure of defendant/person under supervision records.

Note: The Judiciary agrees to provide any necessary consent forms that federal, state or local law requires.

c. **File Content**

The vendor's file on each defendant/person under supervision shall contain the following records:

- (1) **Chronological Notes** that:
 - (a) Record all contacts (e.g., face-to-face, telephone) with the defendant/person under supervision including collateral contacts with family members, employers, USPO/USPSO and others. Records shall document all notifications of absences and any apparent conduct violating a condition of supervision occurs.
 - (b) Are in accordance with the professional standards of the individual disciplines and with the respective state law on health care records.
 - (c) Document the goals of treatment, the methods used, the defendant's/person under supervision's observed progress, or lack thereof, toward reaching the goals in the treatment records. Specific achievements, failed assignments, rule violations and consequences given should be recorded.
 - (d) Accurately reflect the defendant's/person under supervision's treatment progress, sessions attended, and changes in treatment.
 - (e) Are current and available for review by the USPO/USPSO or designee

and by the Probation and Pretrial Services Office (PPSO) at the Administrative Office.

- (f) Chronological notes shall be legible, and be dated and signed by the practitioner.
- (2) **Program Plan** (Probation Form 45) that:
- (a) Identifies vendor services to be provided to the defendant/person under supervision and billed to the Judiciary under the terms of agreement, and any co-payments due by the defendant.
 - (b) USPO/USPSO prepares during or immediately after the case staffing conference. The program plan authorizes the vendor to provide services (e.g., **Intake Assessment and Report (2011)**) to the defendant/person under supervision.
 - (c) USPO/USPSO shall amend the Program Plan (Probation Form 45) when changing the services, the vendor shall perform, their frequency, or other administrative changes (e.g., co-payment amounts) and upon termination of services.
- (3) **Amended Program Plan (Probation Form 45)** (if applicable) that USPO/USPSO prepares:
- (a) During or immediately following the case staffing conference, or any other changed circumstance if service delivery changes from existing Program Plan (Probation Form 45).
 - (b) To obtain additional services for a defendant/person under supervision during the agreement or to change the frequency of a defendant/person under supervision's urine collection.
 - (c) To document any other changes in co-payments, frequency of treatment, etc.
 - (d) To terminate services.
- (4) **Monthly Treatment Report (Probation Form 46)** that:
- (a) Is submitted along with the monthly invoice and the Daily log for the month for which the vendor is invoicing, except for clients who are receiving urinalysis services only (PC 1010, 1011).

- (b) Summarizes defendant/person under supervision's activities during the month, lists attendance dates, and accompanies the monthly invoice.
 - (c) Documents defendant/person under supervision progress (e.g., adjustment, responsiveness, significant problems, employment).
 - (d) Reflects changes in the Program Plan (Probation Form 45).
 - (e) Records urine collection and test results, if applicable.
 - (f) Shall be typed if requested by the USPO/USPSO.
- (5) **Authorization to Release Confidential Information** (Probation Forms 11B, 11E, or 11I, and PSA Forms 6B, or 6D) that:
- (a) The defendant/person under supervision and USPO/USPSO sign prior to the defendant's/person under supervision's first appointment with the treatment provider.
 - (b) The vendor shall obtain the defendant's/person under supervision's signature before releasing any information regarding the defendant/person under supervision or the defendant's/person under supervision's treatment and progress to the USPO/USPSO.
- (6) **Daily Travel Log** (Probation Form 17) (if applicable) that:
- (a) Vendor shall submit Probation Form 17 with the monthly invoice for **Vendor's Local Travel** by vendor or staff.
 - (1) By **Vehicle (1401)** (at the rate in the Judiciary Travel Regulations), or
 - (2) By **Common Carrier (1402)** (at the rate in the Judiciary Travel Regulations)
- (7) **Sign-In, Sign-Out Daily Treatment Log** (if applicable) that:
- (a) Along with the monthly invoice, is submitted for the month for which the vendor is invoicing.
 - (b) USPO/USPSO or designee uses to certify the monthly invoice.
 - (c) USPO/USPSO shall review for approval if vendor Daily Log form differs from the USPO/USPSO sample form.

- (d) Defendant/person under supervision shall sign-in upon arrival and sign-out when leaving the vendor's facility.
- (e) Documents any defendant/person under supervision co-payment, and
- (f) Vendor shall ensure that a defendant/person under supervision signing or initialing an entry in the Daily Log cannot see the names or signatures of other defendants/person under supervision.

NOTE: Allowing anyone undergoing treatment to see the names or signatures of other defendants/person under supervision violates federal confidentiality regulations regarding treatment records.

- (8) **Urinalysis Testing Log** (If applicable) (Attachment J.9) that:
 - (a) Along with the monthly invoice, is submitted for the month for which the vendor is invoicing.
 - (b) Shall record all collected urinalysis specimens and indicate:
 - (1) Defendant or person under supervision's name and PACTS number
 - (2) Collection Date
 - (3) Specimen (bar code) number
 - (4) Collector's initials
 - (5) Test results and date received (if applicable)
 - (6) Drugs or medication taken, and
 - (7) Special test requested
 - (8) Co-pay collected (if applicable)
 - (c) Shall record any unusual occurrences in the collection process, and in the specific gravity and temperature readings (if applicable).
 - (d) The vendor shall submit for USPO/USPSO approval if vendor Daily Urinalysis Log form differs from the sample form provided in attachment J.9.
 - (e) The vendor shall ensure that a defendant/person under supervision signing or initialing an entry Urinalysis Log cannot see the names or signatures of other defendants/person under supervision.

NOTE: Allowing anyone undergoing treatment to see the names or signatures of other defendants/person under supervision violates federal confidentiality regulations regarding treatment records.

d. **Case Staffing Conference**

Upon USPO/USPSO referral of a defendant/person under supervision to the vendor, the vendor shall:

- (1) Participate in a 3-way meeting with the USPO/USPSO, defendant/person under supervision and vendor for an initial case staffing.
- (2) Meet with the USPO/USPSO face-to-face or via a telephone conference at least every 30 days to discuss the defendant's/person under supervision's progress in treatment.
- (3) Consult and meet as requested by the USPO/USPSO.

NOTE: The price of case staffing conferences and consultations are included in the prices in Section B.

e. **Vendor Reports (Substance Use, Mental Health, and Sex Offense Specific Treatment Reports)**

The vendor shall:

- (1) Provide a report on the defendant's/person under supervision's treatment progress upon USPO/USPSO's request. Reports shall include specific/measurable goals and objectives with target completion dates that are periodically reviewed.
- (2) Provide a written recommendation in the report to whether or not a defendant's/person under supervision's treatment shall be continued or terminated.
- (3) If the vendor recommends treatment termination, the vendor shall provide a reason for this recommendation in the written report (i.e., whether the defendant/person under supervision responded to treatment and no longer needs aftercare, or whether the defender/person under supervision failed to respond to treatment)
- (4) Provide a written quarterly profile on all (one report on all or one report on each) defendants/person under supervision discharged from the program each quarter (see Attachment J.1).

f. **Vendor Testimony**

The vendor, its staff, employees, and/or subcontractors shall:

- (1) Appear or testify in legal proceedings convened by the federal court or Parole Commission only upon order of the federal court with jurisdiction, and
 - (i) a request by the United States Probation and/or Pretrial Services Offices, United States Attorney's Offices, or United States Parole Commission, or
 - (ii) in response to a subpoena.
- (2) Provide testimony including but not limited to a defendant's/person under supervision's: attendance record; drug test results; general adjustment to program rules; type and dosage of medication; response to treatment; test results; and treatment programs.
- (3) Receive reimbursement for subpoenaed testimony through the Department of Justice based on its witness fee and expense schedule.
- (4) Receive necessary consent/release forms required under federal, state or local law from the Judiciary.
- (5) Not create, prepare, offer, or provide any opinions or reports, whether written or verbal that are not required by this statement of work and the treatment program unless such action is approved in writing by the Chief US Probation Officer or Chief US Pretrial Services Officer.

g. Emergency Contact Procedures

The vendor shall establish and post emergency (24 hours/ 7 days a week) contact procedures (i.e., crisis intervention, schedule changes, local hotlines, and/or situations requiring immediate attention), for times when counselors are not available.

8. Notifying USPO/USPSO of Defendant/Person under supervision Behavior

The vendor shall:

- a. Notify the USPO/USPSO within 24 hours or as specified in writing by the Contracting Officer of defendant/person under supervision behavior including but not limited to:
 - (1) Positive drug or alcohol test results.

- (2) Attempts to adulterate a urine specimen and/or compromise any drug detection methodology to determine illicit drug usage.
- (3) Failure to produce a urine specimen for testing (i.e., stall; withholding a specimen or failure to produce a specimen of sufficient quantity for testing).
- (4) Failure to appear as directed for urine collection, evaluation, counseling session or alcohol test (i.e., no show).
- (5) Failure to follow vendor staff direction.
- (6) Apparent failure to comply with conditions of supervision.
- (7) Any behavior that might increase the risk of the defendant/person under supervision to the community.

Note: Vendor shall report any information from any source regarding a defendant's/person under supervision's apparent failure to comply with conditions of supervision.

9. **Staff Requirements and Restrictions**

The vendor shall ensure that:

- a. After award, persons currently under pretrial services, probation, parole, mandatory release, or supervised release (federal, state or local) shall not perform services under this agreement nor have access to defendant/person under supervision files.
- b. After award, persons charged with or under investigation for a criminal offense shall not perform services under this agreement nor have access to defendant/person under supervision files unless approved in writing by the Contracting Officer after consultation with PPSO and PMD.
- c. After award, persons convicted of any sexual offense (including but not limited to, child pornography offenses, child exploitation, sexual abuse, rape or sexual assault) or required under federal, state, or local law to register on the Sexual Offender registry shall not perform services under this agreement or contract nor shall they have access to defendant/person under supervision files unless approved in writing by the Contracting Officer after consultation with PPSO and PMD.

- d. After award, persons with any restrictions on their licenses, certifications or practice (or those who voluntarily agree to such a restriction) based on negotiations or proceedings with any licensing authority, shall not perform services under this agreement or contract nor shall they have access to defendant/person under supervision files unless approved in writing by the Contracting Officer after consultation with PPSO and PMD.
- e. The vendors and its employees shall:
 - (1) Avoid compromising relationships with defendants/person under supervision and probation or pretrial services staff, and
 - (2) Not employ, contract with, or pay any defendant/person under supervision or defendant's/person under supervision's firm or business to do any work for the vendor either at the vendor's facilities or personally for any of the vendor's employees during the period of this agreement.
 - (3) Report any such improprieties or the appearance thereof immediately to the USPO/USPSO or designee.
 - (4) Report to the USPO/USPSO any investigations, pending charges, arrests and/or convictions related to a criminal offense, any restrictions on staff licenses or certifications, whether imposed or voluntary, involving any staff performing services under this agreement within 48 hours of obtaining knowledge.
- f. The vendor shall notify the USPO/USPSO in writing of any staff changes and provide documentation of any required licensing, certification, experience and education requirements, or changes thereof. The vendor shall submit an Offeror's Staff Qualifications form (Section L - Attachment C) for each new staff member added under the agreement.
- g. Failure to comply with the above terms and conditions could result in termination of this agreement.

10. Facility Requirements:

The vendor shall ensure that its facility(ies) has adequate access for defendants/person under supervision with physical disabilities.

11. The vendor shall comply with all applicable state, federal and local laws and regulations when performing services required under this contract or agreement. Failure to do so may result

in immediate termination, and subject the vendor to civil and/or criminal penalties.

12. Local Services

NOTE: Insert the statement of work and project codes for local services. On the required service line an asterisk (*) shall be used to denote which project code in Section B will be amended in the local services section. The local services section shall be used for districts to further define a specific need. **Additional codes shall not be created under any circumstances without written approval from PPSO at the Administrative Office of the United States Courts. All local needs shall be approved in writing by PPSO.**

PSYCHOLOGICAL/PSYCHIATRIC WORK-UP, EVALUATION, AND REPORT

* 5010

The use of telemedicine is authorized only during the duration of the COVID-19 crisis. The vendor is authorized to provide this service via telemedicine, which includes providing health care delivery,

diagnosis, consultation, and treatment and the transfer of medical data through interactive audio, video, or electronic/data communications. The vendor must adhere to and meet the same legal, ethical, and confidentiality standards when providing telemedicine. The vendor shall also obtain consent of the person under supervision before the delivery of telemedicine services and shall include documentation of the same in the individuals treatment record.

To verify that services were performed, the vendor shall complete the sign-in log with the following information:

The clients name.

Date of the session.

The time the session began and concluded.

Confirmation that the session was conducted by telephone.

The assigned officer will follow up with the client to ensure that the session was completed.

For de-escalation, if an emotionally charged topic was discussed or the client appears emotionally agitated, the provider

shall follow up with additional contact later in the day to ensure that the client has successfully de-escalated. The

provider shall also remind the client to reach out to his or her social support system at any time.

NOTE: This requirement is not in lieu of the provisions set forth in the Request for Proposals which require the

vendor (and any proposed subcontractor) to maintain an acceptable facility located within the defined catchment area.

* 5011

The use of telemedicine is authorized only during the duration of the COVID-19 crisis. The vendor is authorized to provide this service via telemedicine, which includes providing health care delivery, diagnosis, consultation, and treatment and the transfer of medical data through interactive audio, video, or electronic/data communications. The vendor must adhere to and meet the same legal, ethical, and confidentiality standards when providing telemedicine. The vendor shall also obtain consent of the person under supervision before the delivery of telemedicine services and shall include documentation of the same in the individuals treatment record.

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vendor (and any proposed subcontractor) to maintain an acceptable facility located within the defined catchment area.

* 5020

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* 5030

The use of telemedicine is authorized only during the duration of the COVID-19 crisis. The vendor is authorized to provide this service via telemedicine, which includes providing health care delivery, diagnosis, consultation, and treatment and the transfer of medical data through interactive audio, video, or electronic/data communications. The vendor must adhere to and meet the same legal, ethical, and confidentiality standards when providing telemedicine. The vendor shall also obtain consent of the person under supervision before the delivery of telemedicine services and shall include documentation of the same in the individuals treatment record. To verify that services were performed, the vendor shall complete the sign-in log with the following information:

The clients name.

Date of the session.

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provider shall also remind the client to reach out to his or her social support system at any time.

NOTE: This requirement is not in lieu of the provisions set forth in the Request for Proposals which require the

vendor (and any proposed subcontractor) to maintain an acceptable facility located within the defined catchment area.

MENTAL HEALTH COUNSELING

* 6010

The use of telemedicine is authorized only during the duration of the COVID-19 crisis. The vendor is authorized to provide this service via telemedicine, which includes providing health care delivery, diagnosis, consultation, and treatment and the transfer of medical data through interactive audio, video, or electronic/data communications. The vendor must adhere to and meet the same legal, ethical, and confidentiality standards when providing telemedicine. The vendor shall also obtain consent of the person under supervision before the delivery of telemedicine services and shall

include documentation of the same in the individuals treatment record.

To verify that services were performed, the vendor shall complete the sign-in log with the following information:

The clients name.

Date of the session.

The time the session began and concluded.

Confirmation that the session was conducted by telephone.

The assigned officer will follow up with the client to ensure that the session was completed.

For de-escalation, if an emotionally charged topic was discussed or the client appears emotionally agitated, the provider

shall follow up with additional contact later in the day to ensure that the client has successfully de-escalated. The

provider shall also remind the client to reach out to his or her social support system at any time.

NOTE: This requirement is not in lieu of the provisions set forth in the Request for Proposals which require the

vendor (and any proposed subcontractor) to maintain an acceptable facility located within the defined catchment area.

* 6030

The use of telemedicine is authorized only during the duration of the COVID-19 crisis. The vendor is authorized to provide this service via telemedicine, which includes providing health care delivery,

diagnosis, consultation, and treatment and the transfer of medical data through interactive audio, video, or electronic/data communications. The vendor must adhere to and meet the same legal, ethical, and confidentiality standards when providing telemedicine. The vendor shall also obtain consent of the person under supervision before the delivery of telemedicine services and shall include documentation of the same in the individuals treatment record.

To verify that services were performed, the vendor shall complete the sign-in log with the following information:

The clients name.

Date of the session.

The time the session began and concluded.

Confirmation that the session was conducted by telephone.

The assigned officer will follow up with the client to ensure that the session was completed.

For de-escalation, if an emotionally charged topic was discussed or the client appears emotionally agitated, the provider

shall follow up with additional contact later in the day to ensure that the client has successfully de-escalated. The

provider shall also remind the client to reach out to his or her social support system at any time.

NOTE: This requirement is not in lieu of the provisions set forth in the Request for Proposals which require the

vendor (and any proposed subcontractor) to maintain an acceptable facility located within the defined catchment area.

* 6051

The use of telemedicine is authorized only during the duration of the COVID-19 crisis. The vendor is authorized to provide this service via telemedicine, which includes providing health care delivery,

diagnosis, consultation, and treatment and the transfer of medical data through interactive audio, video, or electronic/data communications. The vendor must adhere to and meet the same legal, ethical, and confidentiality standards when providing telemedicine. The vendor shall also obtain consent of the person under supervision before the delivery of telemedicine services and shall include documentation of the same in the individuals treatment record.

To verify that services were performed, the vendor shall complete the sign-in log with the following information:

The clients name.

Date of the session.

The time the session began and concluded.

Confirmation that the session was conducted by telephone.

The assigned officer will follow up with the client to ensure that the session was completed.

For de-escalation, if an emotionally charged topic was discussed or the client appears emotionally agitated, the provider

shall follow up with additional contact later in the day to ensure that the client has successfully de-escalated. The

provider shall also remind the client to reach out to his or her social support system at any time.

NOTE: This requirement is not in lieu of the provisions set forth in the Request for Proposals which require the

vendor (and any proposed subcontractor) to maintain an acceptable facility located within the defined catchment area.

SECTION D - INSPECTION AND ACCEPTANCE

D.1. Vendors Performance (Mandatory Requirement)

The vendor and/or subcontractor shall:

- (a) Maintain a physical facility that meets all applicable federal, state and local regulations (e.g., building codes).
- (b) Not endanger the health and safety of employees, clients and the community.
- (c) Provide physical facilities that preserve both the integrity of the confidential relationship and the personal dignity of the client.

D.2 Clause B-5 Clauses Incorporated by Reference (SEP 2010)

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the contracting officer will make their full text available. Also, the full text of a clause may be accessed electronically at this address:

<http://www.uscourts.gov/procurement.aspx>

The clauses listed below are applicable to Agreements and Contracts at any value.

Clause 1-15	Disclosure of Contractor Information to the Public	(AUG 2004)
Clause 2-5A	Inspection of Products	(APR 2013)
Clause 2-5B	Inspection of Services	(APR 2013)
Clause 3-3	Provisions, Clauses, Terms and Conditions - Small Purchases	(APR 2013)

SECTION E - AGREEMENT ADMINISTRATION DATA**E.1 Contact Point for Assistance**

- a. Contact the person listed in block 7 on the form **Solicitation/Offer/Acceptance**, in SECTION A, p. 1 of the Request For Proposals (RFP).

E.2 Fiscal Records (Mandatory Requirement)

The vendor shall:

- a. Maintain its fiscal records according to generally accepted accounting principles.
- b. Keep and identify all financial records, that disclose the identity of any defendant/offender as **CONFIDENTIAL**.
- c. Keep all defendant/offender records associated with the agreement for three (3) years after the final payment date under the agreement, for Government inspection and review, except that the vendor shall keep defendant/offender records relating to litigation or settlement of claims arising out of the performance of this agreement, until final disposition of such appeals, litigation, or claims.

E.3 Invoices (Mandatory Requirement)

The vendor shall:

- a. Submit an original copy of the invoice to the address listed in block 7 of the **Solicitation/Offer/Acceptance** in SECTION A, p.1 of the RFP. Additionally, the **Monthly Treatment Report, Daily Log, Urinalysis Log** and **Daily Travel Log** (if applicable) shall be submitted to the USPO/USPSO.
- b. Submit invoices monthly to arrive no later than the tenth (10th) day of the month for services provided during the preceding month.
- c. Use the Administrative Office invoice (Parts A and B), or a probation office local invoice form, approved by the Administrative Office, indicating:
 - (1) Individual defendant/offender names and identifying numbers, and
 - (2) Charges for each service, identified by its project code, as described in **SECTION C - STATEMENT OF WORK**, of this document.

Note: The Administrative Office encourages computer generated billing and will accept a vendor's invoice form that contains the same information as the Administrative Office invoice. The vendor shall only submit invoices electronically in a manner approved by the Contracting Officer and in compliance with 45 C.F.R. § 164.302 to 164.318.

d. Submit with the invoice a certification by an authorized official of the vendor that the invoice:

- (1) Is correct and accurate to the best of his/her knowledge, and
- (2) Includes only charges for services actually provided to defendants/offenders.

e. The vendor shall submit separate invoices for services provided to pretrial services defendants and Bureau of Prisons inmates to the appropriate pretrial services or Bureau of Prisons office.

f. The vendor may include the "No-Show" factor in the unit price charged for the following services. The vendor shall not include a charge for a "No-Show" as a separate item.

1010	2090	5030	6030
1011	4010	6000	6032
2000	4020	6010	6036
2010	5010	6012	6050
2011	5011	6015	6051
2020	5012	6020	6080
2021	5020	6021	6090
2022	5021	6022	6091
2030	5022	6026	7013
2040	5023	6027	7023
2080	5025	6028	

Note: A "No-Show" occurs when a defendant/offender does not show (and does not cancel with at least 24 hours advance notice) for a prescheduled service provided customarily by a physician or other professional staff member.

g. The vendor shall charge for a session longer or shorter than the prescribed unit time (when the unit price is based on a prescribed unit of time) by adjusting the charge up or down in fifteen minute increments. If circumstances necessitate adjustment of the charge based on the example below in section (i), the vendor shall contact the Government for approval. Sessions lasting less than 16 minutes shall be treated as a "no show" for the purposes of billing.

h. The vendor shall include on the monthly invoice the item number and the

fractional part of the session for which the vendor is billing the Government.

i. **Example:**

Assume that the rate of service is \$10.00 per half hour.

Time Spent (in minutes)	Charge
0 - 15	\$ 0.00
16 - 30	\$10.00
31 - 45	\$15.00
46 - 60	\$20.00

j. The vendor shall include the cost of written reports and conferences with the USPO/USPSO in the prices for defendant/offender services unless the Program Plan authorizes them as part of a specific service (e.g., Intake Assessment and Report (2011), Psychological Evaluation and Report (5010)).

k. The vendor shall include the cost of telephone contacts with defendant/offenders in the unit price for the services and shall not bill separately for these calls.

E.4 Reimbursements or Copayments (Mandatory Requirement)

a. The vendor shall not request or accept payment either directly or indirectly from the defendant/offender for services under this agreement unless the USPO/USPSO authorizes in writing partial or total payment by the defendant/offender for prescheduled individual services customarily provided by a physician or professional staff member.

(1) The USPO/USPSO shall evaluate the defendant/offender's financial status (e.g., employment) before authorizing defendant/offender payments to the vendor and shall notify the defendant/offender and vendor of the authorized defendant/offender payments in the program plan.

b. The vendor shall not submit invoices to the Government for services under this agreement where the vendor already has submitted invoices, or received payment for the same services from other sources.

c. If the vendor has received any payments from insurance programs or other sources (e.g., state or local public assistance programs) for services for which the vendor has received payment from the Government under this agreement, the vendor shall reimburse the Government for these services.

(1) The USPO/USPSO may order reimbursement in the form of deductions from subsequent invoices according to USPO/USPSO instruction and the terms and conditions of this solicitation document.

(2) According to 18 USC 3672, the vendor may be required to reimburse the

Director of the Administrative Office of the U. S. Courts in lieu of deducting payments from subsequent invoices.

E.5 Government Furnished Property - (JAN 2003)

No material, labor, or facilities will be furnished by the Government unless otherwise provided for in this solicitation.

The Chief Probation Officer or Chief Pretrial Services Officer may furnish Government-owned telephone answering equipment, fax machines, and/or onsite drug-detection devices called non-instrumented drug tests to a contractor if such equipment will improve the frequency of urine collection in the district. The equipment shall be used only for a random urine collection program.

E.6 Provision 3-5, Taxpayer Identification and Other Offeror Information - (APR 2011)

(a) Definitions.

“Taxpayer Identification (TIN),” as used in this provision, means the number required by the Internal Revenue Service (IRS) to be used by the offeror in reporting income tax and other returns. The TIN may be either a social security number or an employer identification number.

(b) All offerors shall submit the information required in paragraphs (d) and (e) of this provision to comply with debt collection requirements of [31 U.S.C. §§ 7701\(c\)](#) and [3325\(d\)](#), reporting requirements of [26 U.S.C. §§ 6041, 6041A](#), and implementing regulations issued by the IRS. If the resulting contract is subject to the payment reporting requirements, the failure or refusal by the offeror to furnish the information may result in a 31 percent reduction of payments otherwise due under the contract.

(c) The TIN may be used by the government to collect and report on any delinquent amounts arising out of the offeror’s relationship with the government ([31 U.S.C. § 7701\(c\)\(3\)](#)). If the resulting contract is subject to payment recording requirements, the TIN provided hereunder may be matched with IRS records to verify the accuracy of the offeror’s TIN.

(d) Taxpayer Identification Number (TIN): _____

TIN has been applied for.

TIN is not required, because:

Offeror is a nonresident alien, foreign corporation or foreign partnership that does not have income effectively connected with the conduct of a trade or business in the United States and does not have an office or place of business or a fiscal paying agent in the United States;

Offeror is an agency or instrumentality of a foreign government;

Offeror is an agency or instrumentality of the federal government.

(e) Type of Organization:

sole proprietorship;

partnership;

- corporate entity (not tax-exempt);
- corporate entity (tax-exempt);
- government entity (federal, state or local);
- foreign government;
- international organization per [26 CFR 1.6049-4](#);
- other

(f) Contractor representations.

The offeror represents as part of its offer that it is [___], is not [___] 51% owned and the management and daily operations are controlled by one or more members of the selected socio-economic group(s) below:

- Women Owned Business
- Minority Owned Business (if selected then one sub-type is required)
- Black American Owned
- Hispanic American Owned
- Native American Owned (American Indians, Eskimos, Aleuts, or Native Hawaiians)
- Asian-Pacific American Owned (persons with origins from Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Japan, China, Taiwan, Laos, Cambodia (Kampuchea), Vietnam, Korea, The Philippines, U.S. Trust Territory of the Pacific Islands (Republic of Palau), Republic of the Marshall Islands, Federated States of Micronesia, the Commonwealth of the Northern Mariana Islands, Guam, Samoa, Macao, Hong Kong, Fiji, Tonga, Kiribati, Tuvalu, or Nauru)
- Subcontinent Asian (Asian-Indian) American Owned (persons with origins from India, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands, or Nepal)
- Individual/concern, other than one of the preceding.

SECTION F - DELIVERIES OR PERFORMANCE**F.1 Provision of Services to Federal Offenders and Defendants (Mandatory Requirement)**

- a. In an effort to protect the community by providing outpatient treatment, the vendor shall have the capability to immediately place Federal clients in outpatient or urine surveillance without regard to any placement backlog or waiting lists.
- b. Recognizing the problems of limited bed space, vendors shall place referrals for residential placements in the first available bed space.
- c. The vendor shall not unilaterally refuse services to any defendant or offender referred by the Government, except where the defendant or offender poses an apparent danger to the vendor's staff or other clients. The vendor shall not refuse service without approval of the Government.
- d. Termination of clients from treatment, based upon a violation of the vendor's program rules and regulations shall not be made without the approval of the Government. When necessary, the vendor may take appropriate and immediate action to protect staff and clients.
- e. The contractor shall not tell defendants or offenders to misrepresent or withhold information regarding the treatment provider or the treatment services received in response to questions posed by the USPO/USPSO or other government or law enforcement agencies authorized to make such inquiries.

F.2 The vendor shall perform and comply with the mandatory requirements set forth in Sections C, E, and F of this contract or agreement. A vendor's noncompliance or failure to do so shall be the basis for termination of the contract or agreement.