Treatment Services Training

Course Introduction

1

Treatment Services Training

Course Introduction

- Introductions
- Why are we here?
- Review course structure
- Review participation rules
- Housekeeping

2

Treatment Services Training

Treatment Services Acquisition Overview

3

Treatment Services Training

Three Phases of Obtaining Treatment Services

Phase 1	Phase 2	Phase 3
Assess and Prepare	Procurement Procedures For New Agreements	Agreement Management
Identify which services and agreements are needed	Execute the procurement processes for each agreement	Manage and administer each procurement agreement

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Treatment Services Training

Three Phases of Treatment Services Acquisition

Phase 1	Phase 2	Phase 3
Assess and Prepare	Procurement Procedures For New Agreements	Agreement Management
Assess Needs	RFP Process	Procurement File
Design Catchment Area	Eval & Select Process	Agreement Administration
Identify Agreements	Award Process	Renewal Process

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Treatment Services Training

Authority to Procure Treatment Services

- 18 USC 3154(4) and 3672
- Director of the AOUSC redelegates procurement authority to the Chief Judge in each district
- Chief Judge redelegates procurement authority to CUSPO/CUSPSO via AO374

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Roles and Responsibilities

Treatment Services Training

- Chief (CUSPO and CUSPSO)
  - Delegates authority for the procurement of treatment and halfway house services to a level 2 or 3 Contracting Officer via AO375
- Contracting Officer (CO)
- Contracting Officer Representative (COR)
  - Duties can include activities in each phase

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Separation of Duties

Treatment Services Training

- Duties that should be segregated in the procurement of services:
  - Contracting Officer
  - Certifying Officer
  - Disbursing Officer

Note: The CO can also serve as a referral agent (to be discussed later) without a need for separation

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Contracting Officer Certification Program (COCP)

Treatment Services Training

- Treatment Services is a Special Delegated Procurement Program requiring Level 2 COCP
  - Level 2s have to take two online Blackboard classes –
    - •Course 3 – Judiciary Basic Procurement Seminar
    - •Course 4 – Appropriations Law for US Courts (replaces PMD's 2-day classroom training called, "Judiciary Procurement Workshop")

•And one classroom training –

- •PPSO Treatment Services

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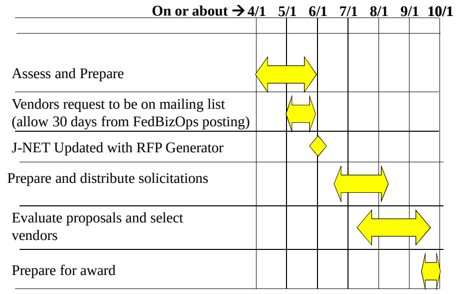
Treatment Services Training

Estimated Timeframes



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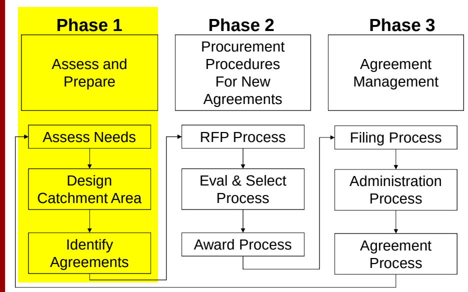
Treatment Services Training

Phase 1



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Treatment Services Training

Procedures for Treatment Services Acquisition

Phase 1 – Assess and Prepare

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Treatment Services Training

Assess Needs

- This process answers questions about:
  - Services:
    - Which services are needed?
    - Are there are any local needs for your district?
  - Referrals:
    - How many service referrals are needed? (e.g., EMQs)

Treatment Services Training

What services are needed?

- Available services are defined in the Statement of Work referred to as **Section C** of the agreement

Treatment Services Training

Section C

- Boiler-plate statement of work (SOW)
- Describes how the vendors must perform the service
- Contains the only approved services/project codes a district can utilize
- Terms and conditions that bind the vendor
- Approved by PPSO, PMD, and OGC

Treatment Services Training

Section C

Mandatory Requirements

- Become familiar with requirements
- Know the requirements associated with the services being requested
- Key to the evaluation and agreement administration processes

MANDATORY REQUIREMENTS

FAILURE TO PROVIDE MANDATORY REQUIREMENTS

Page C-2
Blanket Purchase Agreement

C-2

Treatment Services Training

Halfway House Services RFP

- Project Code 9905 (Provision of Shelter) -
  - Independent document (own SOW and terms and conditions)
  - Follows its own procedures
  - Solicitation process is the same as for treatment services
  - Can use all three procurement processes
  - Is available on the J-NET

Treatment Services Training

Assessing Needs

Selecting Services for an Agreement

- Consider:
  - Actual services used in current or previous years
    - DSS Reports

1177	Nightly	PTS Average Project Code Expenditures				
1176	Nightly	PC Average Project Code Expenditures				
1174	Nightly	Average Monthly Project Code Quantity Report				
1169	Nightly	PC Clinical Services Expenditure				
1158	Nightly	Time and Money Invested (NATIONAL) for Closed Supervision Cas-				
1146	Monthly	Rolling 12 Months Monthly Comparison for Last Five Years for Total				
1135	Monthly	Units & Expenditures By Project Code,By Fiscal Year				
1215	Nightly	Clinical Services Open Plans	N	Y	Y	12/5/2014

Treatment Services Training

Assessing Needs

Selecting Services for an Agreement

- Also Consider:
  - Special Conditions (DSS Report #1041)
  - Officers input
  - Non-contract services available in your area
- Needs Assessment documentation should become part of the procurement file

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Treatment Services Training

Assessing Needs

What are local needs?

- Requirements NOT listed in Section C but used to further define a specific need associated with an existing code
- Can be used to raise the requirements of Section C, but not reduce them
- Should not limit competition

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Treatment Services Training

Assessing Needs

How do I write a local need?

- Identify where Section C needs to be strengthened, if at all
- Ensure local needs do not repeat Section C
- Local needs should be written by project code

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Treatment Services Training

Assessing Needs

How do I write a local need?

- All local services requirements must be written in a pass/fail style for evaluation purposes
  - Write in a way to generate a yes/no answer
  - Do not restate what is in Section C

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Treatment Services Training

Assessing Needs

How do I write a local need?

- Utilize the Local Needs Approval form
- Must be sent to AO for approval each time language is used for new solicitation
- Keep a signed and dated Local Needs document in the procurement file

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Treatment Services Training

Assessing Needs

Estimated Monthly Quantities (EMQs)

- Estimated Monthly Quantities (EMQ) answers the question of how many referrals are needed
- Estimated Monthly Quantities are typically determined by historical trends
- Historical data comes from:
  - PACTS
  - DSS
  - Vendor invoices

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Treatment Services Training

Assessing Needs

EMQ Considerations

- Consider the following when calculating the EMQ for a service:
- If EMQ is too low:
  - Potential vendor staffing problems for a program
  - May result in under funding for the agreement
- If EMQ is too high:
  - Potential vendor overstaffing may occur

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Treatment Services Training

Assessing Needs

EMQs and Units

- EMQs are expressed in units
- Unit measurement can be different depending on the project code
- Refer to Section B of the Agreement

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Treatment Services Training

Assessing Needs

Projecting EMQs for New Services

- New service perspective
  - Estimating or projecting for services not previously included in an agreement during the last solicitation cycle
- Future years perspective
  - BPA has option years that require EMQ

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Treatment Services Training

What is a catchment area?

- A contracting term
- Defines a geographic area in which the vendor must provide services
- Catchment area can be:
  - A county
  - A zip code
  - Or an entire district

  The CO or COR defines a catchment area

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Treatment Services Training

Catchment Areas

Designing Catchment Areas

- In order to design catchment areas, you need to identify the following:
  - Where are the D/Os located?
    - Client Mapping Function in PACTS
    - PACTS
    - AUSA
  - How many D/Os need services?
    - PACTS/DSS reports
  - What are the types of services/project codes needed?
    - Group like services
    - Avoid too many services on one agreement

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Treatment Services Training

Catchment Areas

Designing Catchment Areas

- In order to design catchment areas, you need to identify the following:
  - Where are the vendors located?
    - Previous agreements
    - SAMSHA
    - Previous mailing lists
    - Internet searches
  - What services does the vendor provide?
    - Document/establish a mailing list
  - Will there be a need for multiple vendors?
    - Only BPAs can have multiple vendors
    - EMQs
    - D/O and vendor locations

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Treatment Services Training

Catchment Areas

Define the Catchment Areas

- Indicate what geographic area the catchment area will include
- Maximize service availability and minimize the number of agreements
- Consider D/O concentrations
- It is easier to manage fewer agreements

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Treatment Services Training

Catchment Areas

Catchment Area Issues

- Not all areas within district have to be included in a catchment area
- Crossing catchment area “lines” to receive services
- Vendor must be located w/in catchment area
- Using another district as part of your catchment area
- Different catchment areas for different solicitations
- Overlapping

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Treatment Services Training

Identify Agreements

Identify Agreements

- Ways to Procure Services:
  - Blanket Purchase Agreement (BPA)
  - Competitive Purchase Order (CPO)
  - Non-competitive Purchase Order (NCPO)
- BPA Piggyback
  - Probation
  - Pretrial Services
  - Another district’s BPA

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Treatment Services Training

Identifying Agreements

Agreement Comparison

	BPA	Competitive PO	Non-Competitive
Value	• > $25,000/FY	• >$5,000 - < $25,000/ FY	• < $5,000/FY
Vendors	• Multiple vendors (can be 1 vendor)	• One vendor	• One vendor of your choice
Duration	• 12 months • 2 1-yr options	• 12 months or less (stop gap measure) • No option years	• 12 months or less (stop gap measure) • No option years
Procurement	• Competition required • Advertise via FedBizOpps or local paper • Optional form 347 and 348 • Rotation if more than one vendor on BPA • Award to lowest price, technically acceptable	• Competition required • Seek 3 quotes • Advertising not required • Optional form 347 • Award to lowest price, technically acceptable	• Competition not required • Advertising not required • Optional form 347 • Award on Price Reasonableness
Piggyback	• Yes	• No	• No

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Treatment Services Training

Identify Agreements

What type of agreement?

- Type of agreement is first determined by potential 1-yr value which can be estimated using:
  - Historical costs
  - Projected costs
- Other factors include:
  - # of vendors needed
  - Services needed

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Treatment Services Training

Identify Agreements

Historical and/or Projected Costs

- Use historical costs
  - Incurred on previous agreements to estimate if future agreement values will exceed $5,000 or $25,000
  - Price of services = PACTS, DSS, Invoices
- Use projected costs
  - To estimate the potential value of a new services
  - Price of services = Invoices, other districts
  - Multiply the service price by the EMQx12 to get the potential value for the year

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Treatment Services Training

Identify Agreements

Agreement Limiting Competition?

- Agreements that group too many services can prevent or limit competition for both BPAs and CPOs
- Putting all services on one agreement assuming or knowing there is one vendor that can do it all
- Local Service needs cannot be used to limit competition

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Treatment Services Training

Identify Agreements

How Many Agreements Needed?

- Depends on the:
  - Number of catchment areas
  - Services required
  - Potential value of agreement
  - Services provided by the available vendors
- Compare the agreements to the catchment areas and assess if there are too many agreements

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Treatment Services Training

Identify Agreements

Will Existing Agreements Suffice?

- Review existing BPAs to see if the options are available to be exercised
- Review opportunities to piggyback on a BPA in another agency

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Treatment Services Training

Identify Agreements

Wrap-up

- At this point:
  - Catchment areas have been defined
  - Services in the catchment areas have been identified
  - Types of agreements to provide the services have been identified
- Look at the big picture to determine if any catchment areas can be collapsed to reduce the # of agreements
- Submit Wage Determination (SF98)

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Treatment Services Training

Decision Support System (DSS)

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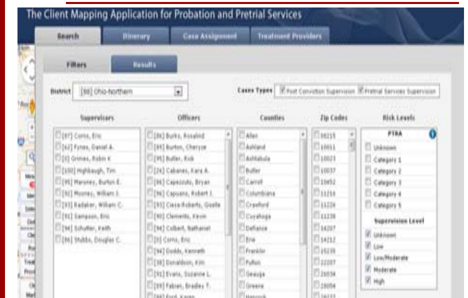
Treatment Services Training

Client Mapping



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Treatment Services Training

Treatment Services Acquisition

Phase 2: Procurement Procedures for New Agreements

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Treatment Services Training

Procurement Management Division

- PMD role specific to treatment services
- Provides guidance when there are questions about the procurement process or post-award issues
- Administer the Judiciary-wide Contracting Officer's Certification Program (COCP)

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Treatment Services Training

PMD Contacts

- Procurement and Post-Award Questions:
  - Kim Tucker (202) 502-2317
  - Leah Wilson (202) 502-3348

•Or submit questions to – treatment_services_questions@ao.uscourts.gov

- COCP Questions:
  - Don Parkins (202) 502-1391
  - Cynthia Spruill (202) 502-1337

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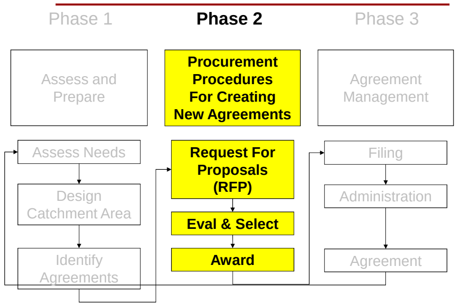
Treatment Services Training

Phase 2 Components



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Treatment Services Training

Phase 2 Components

- **RFP**
  - Issue complete solicitations and receive timely proposals
- **Evaluation & Selection**
  - Evaluate timely proposals
  - Identify Technically Acceptable proposals at the lowest price (if awarding more than one BPA, determine lowest price, next lowest, etc.)
- **Award**
  - Create Procurement File
  - Issue Award(s) and Denial(s) letters

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Treatment Services Training

Request For Proposals (RFP)

- Solicitation document which communicates government requirements to, and solicits proposals from, potential offerors in order to buy products or services
- Use of the RFP ensures the procurement process is transparent and fair
- There are RFP documents available for:
  - Non Competitive Purchase Order (NCPO)
  - Competitive Purchase Order (CPO)
  - Blanket Purchase Agreement (BPA)
- RFP data on the J-Net is updated annually
  - ***Use the current year template for your solicitation***

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Treatment Services Training

RFP Sections

- Section A – Solicitation/Offer/Acceptance
- Section B – Supplies or Services and Offeror's Prices
- Section C – Description/Statement of Work
- Section D – Packaging and Marking
- Section E – Inspection and Acceptance
- Section F – Deliveries or Performance
- Section G – Agreement Administration Data
- Section H – Special Agreement Requirements
- Section I – Required Clauses
- Section J – List of Attachments
- Section K – Representations, Certifications and Other Statements of Offerors or Quoters
- Section L – Instructions, Conditions and Notice to Offerors
- Section M – Evaluation Factors for Award

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Treatment Services Training

RFP Steps

- Create solicitation number
- Prepare RFP (RFP generator on J-Net)
- Establish/Identify mailing list
- Create cover letter for RFP
- Issue RFP to vendors on mailing list
- Answer vendor questions regarding solicitation
  - Post Q&A on your website
  - Consider conducting Pre-Proposal Conference
- Receive proposals

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Treatment Services Training

RFP Generator

- Web based program for the creation of RFPs
- Located on the J-Net from both PMD and PPSO pages
- Ability to save data (xml) and documents (pdf) locally
- SF-30 (modification and amendments) and Post Award Monitoring Report available
- Only includes the specific services for your solicitation

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Treatment Services Training

Evaluation and Section Process

Evaluation/Selection Decisions

- Four key decisions need to be made in order to award a BPA:
  - Technical Acceptability Evaluation
  - Price Evaluation
  - On-Site Evaluation
  - Responsibility Determination

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Treatment Services Training

Evaluation and Selection Process

On Time RFPs

- Before you can evaluate, you must determine timeliness.
- Only those proposals received by the solicitation's specified deadline are considered timely and eligible for evaluation and award.
- It may be possible to consider a late proposal, under very limited circumstances ***and only after contacting PMD.***

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Treatment Services Training

Evaluation and Selection Process

Evaluation

- **All RFPs are evaluated using pass/fail criteria**
- **The pass/fail checklist is used for this purpose**

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Treatment Services Training

Evaluation and Selection Process
Evaluation

- Pass/Fail Criteria
  - – Mandatory Requirements
  - – Past Performance
  - – Site(s) at which services are provided
  - – Staff Qualifications
- Include a copy of the completed Pass/Fail Checklist with your procurement file

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Treatment Services Training

Evaluation and Selection Process
Clarifications

- Clarifications –
  - Items not completed in Section K
  - Attachment B and/or C signed but certification item(s) not "checked"
  - Apparent typo on project code pricing (e.g., service is usually $10 but proposal reflects $100)
- Seeking Clarifications (after consulting PMD) –
  - Make clarification requests in writing
  - Limit the response time
  - Cannot change the meaning of the proposal
  - Cannot provide vendor opportunity to improve proposal

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Treatment Services Training

Evaluation and Selection Process
Price Determination

– After determining technical acceptability, determine low-priced offeror(s) by calculating total evaluated price

– If not lowest priced offer, set aside for now

– If lowest priced offer, schedule on-site visit

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Treatment Services Training

Evaluation and Selection Process

On-Site Evaluation

- If offeror's proposed facility meets all solicitation requirements, this confirms technical acceptability, so proceed with responsibility determination.
- If offeror's proposed facility fails on-site inspection, proposal is no longer technically acceptable so the proposal will be eliminated - Go to your next-in-line vendor with lowest priced offer.
- For proposals determined technically unacceptable after site inspection –
  - prepare unsuccessful offeror letter(s) but do not issue until awards are made
  - issue all unsuccessful offeror letters at the same time

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Treatment Services Training

Evaluation and Selection Process

Responsibility Determination

•Responsibility determination falls outside the evaluation/selection process – this is after technical and price evaluations are completed

•Complete the Responsibility Determination Checklist
  - Review List of Parties Excluded from Federal Procurement or Non-procurement Programs (https://www.sam.gov/portal/SAM/#1)

•Complete Question Sheet for Reference Checks
  - To determine responsibility, contact all references

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Treatment Services Training

Evaluation and Selection Process

Responsibility Determination

- If a vendor did not submit 3 references as required (or submitted probation/pretrial staff as references) you can go back to the vendor to seek additional references
- Submitting additional references is not considered revising or changing a vendor's proposal
- If references check out (no issues or questions), proceed with award
- If there are concerns or you are going to find a vendor non-responsible, contact PMD and PPSO for guidance

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Treatment Services Training

Evaluation and Selection Process

Debriefing

- **Always contact PMD after receiving a request for a debriefing and before conducting a debriefing**
  - **Information that can be disclosed at debriefings:**
    - weak or deficient factors in the offeror's proposal that resulted in a "fail" evaluation
    - current year pricing of the successful offeror(s)
  - **Information that should not be disclosed at debriefings:**
    - evaluation comparison with other offeror(s)
    - pricing of any unsuccessful offeror(s)

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Treatment Services Training

Award Process

Completion of the Abstract

- Complete the Abstract of Offerors (SF1409) for all offerors found technically acceptable
- Includes calculated totals from the Life of Agreement Cost for each acceptable offeror

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Treatment Services Training

Award Process

Award Procedures

- When evaluations have been completed and the CO has made the final selection of vendor(s) for a CPO or BPA, you are ready to make awards
  - Complete AO Form 367 (blocks 16-17C)
  - Complete OF 347 and 348
  - Complete Award Letter
  - Complete Unsuccessful - Not Technically Acceptable and Unsuccessful – Not Lowest Price Letters

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Treatment Services Training

Treatment Services Acquisition

Phase 3: Agreement Management

Treatment Services Training

Three Phases of Treatment Services Acquisition

Phase 1

Assess and Prepare

- Assess Needs
- Design Catchment Area
- Identify Agreements

Phase 2

Procurement Procedures For New Agreements

- RFP Process
- Eval & Select Process
- Award Process

Phase 3

Agreement Management

- Procurement File
- Agreement Administration
- Renewal Process

Treatment Services Training

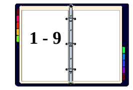
Procurement File

BPA Procurement File

•**Left Side** - Items 1 through 9 include:

–Advertisement

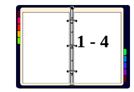
–Reference lists



•**Right Side** – Items 1 through 4 include:

–Solicitation

–Selected vendor information

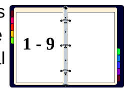


Treatment Services Training

Procurement File

Left Side: BPA Procurement File

- Place in all vendor files on the BPA in ascending order
  - 1) Approved Local Needs
  - 2) Copy of the advertisement
  - 3) Copy of the bidders list (mailing list)
  - 4) Vendors who submitted proposals
  - 5) Vendors technically unacceptable
  - 6) Vendors that passed the technical evaluation (Abstract)
  - 7) Vendors who received on-site visits
  - 8) Vendors determined non-responsible, if applicable
  - 9) Vendors placed on the BPA



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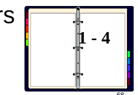
Treatment Services Training

Procurement File

Right Side: BPA Procurement File

- Place on the right side in ascending order
  - 1) Solicitation Document
  - 2) Vendor proposal (selected vendor)
  - 3) Subsequent monitoring reports
  - 4) BPA/purchase order form
- Also included are copies of any other correspondence to vendors



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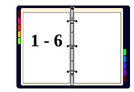
Treatment Services Training

Procurement File

Left Side: CPO Procurement File

- Place on the Left side in ascending order
  - 1) Copy of the bidders list
  - 2) Vendors who submitted proposals
  - 3) Vendors technically unacceptable
  - 4) Vendors that passed the technical evaluation (Abstract)
  - 5) Vendors who received on-site visits
  - 6) Vendors determined non-responsible



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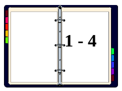
Treatment Services Training

Procurement File

Right Side: CPO Procurement File

- Place on the right side in ascending order
  - 1) Solicitation Document
  - 2) Vendor proposal (selected vendor)
  - 3) Subsequent monitoring reports
  - 4) OF 347
- Also included are copies of any other correspondence to vendors



Treatment Services Training

Procurement File

NCPO & Piggyback Files

- NCPO - Treat like any other purchase order and file:
  - Copy of the Purchase Order
  - Copy of the Solicitation Document
  - Copy of the vendor's response
  - Any other correspondence
- Piggyback files include a copy of the vendor award package received from the agency issuing the BPA

Treatment Services Training

Procurement File

Unsuccessful Offeror Files

Used in the event a vendor cannot meet the needs

•Left Side:	**•Right Side:**
•List of technically unacceptable proposals •References to the actual proposals location	•List of technically acceptable but not lowest priced proposals (Abstract) •References to the actual proposals location

Treatment Services Training

Procurement File

Retention

- Retention Period for Files
- Procurement Files –Destroy 3 years after final payment unless it conflicts with your audit schedule
- Unsuccessful Proposals – Destroy 1 year after award

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Treatment Services Training

Agreement Administration

Administration Overview

- Administrative activities require time
- Therefore, more than one individual may be assigned to execute the processes and tasks of agreement administration (based on District size):
  - – Referral Administration
  - – Invoice Certification
  - – Vendor Monitoring

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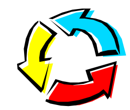
Treatment Services Training

Agreement Administration

Referral Administration

Task	Performed by:
Making the referral	→ Referral Agents
Referral rotation monitoring	→ Rotation Monitor



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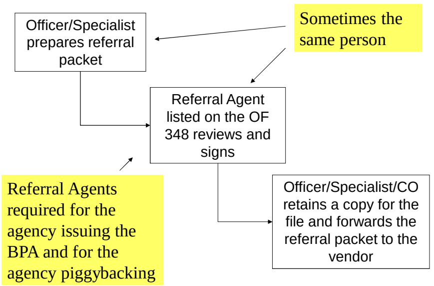
Treatment Services Training

Agreement Administration

Making Referrals



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Treatment Services Training

Agreement Administration

Referral Agents

- Advantages (checks and balances)
  - Ensure the supervision officer is ordering the appropriate frequency and modality of services
- Disadvantages
  - More Referral Agents means more coordination for the Referral Rotation Monitor
  - Changing the OF 348 with any Referral Agent change

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Treatment Services Training

Agreement Administration

Referral Rotation Monitoring

- If more than one vendor on BPA, referrals must be rotated based on dollar amount to ensure vendors receive “fair share”
- Rotation monitor
  - Ensures the proper rotation of BPA $ among vendors
  - Coordinates among referral agents in their own agency and with piggybacking agencies

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Treatment Services Training

Agreement Administration

PROB 45

- Should reflect the requested services and frequency the vendor is expected to provide
- Must be signed by the referral agent even if officer is same person
- Only one plan per agreement active at any given time
  - Amendment replaces prior Prob45
- DSS Report

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Treatment Services Training

Agreement Administration

Referral Packet

- Cover letter
- Release of Information form (RFP Attachment J.5)
- Treatment Services Program Plan (Probation Form 45)
- Summary of information from:
  - Probation - PSI (Pre-sentence Investigation Report)
  - Pretrial Service - PTR (Pretrial Report)

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Treatment Services Training

Agreement Administration

Electronic Invoices

- Generate invoice template through PACTS
- Receive invoice electronically from vendor
- Receive supporting documentation electronically from vendor
- Assign invoice number and upload vendor invoice

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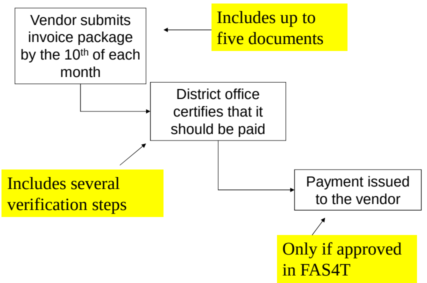
Treatment Services Training

Agreement Administration

Invoice Certification



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Treatment Services Training

Agreement Administration

Vendor Invoice Documentation

- In accordance with Section G-1, vendors must submit:
  - Monthly Invoice parts A and B (RFP Attachment J.8)
  - Monthly Treatment Report (RFP Attachment J.4)
  - Daily Log (RFP Attachment J.6)
  - Urinalysis Log (RFP Attachment J.9)
  - Daily Travel Log (RFP Attachment J.7, if applicable)

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Treatment Services Training

Agreement Administration

Certification Overview

- Certification includes a series of tasks that compare the invoice with several other documents
- Summary of comparisons:
  - Invoice to Agreement terms
  - Invoice to Program Plan (Prob 45)
  - Invoice to supporting vendor documentation (Section G-1)
  - Invoice-to-Clinical Services Module

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Treatment Services Training

Agreement Administration

Certification Process

A. Receive invoice by the 10th

B. Compare invoice to BPA
- Ensure only the services on the BPA are on the invoice
- Verify that the service is on the BPA and the correct unit price has been billed
- Verify vendor name and number match the BPA
- This process can be done manually as described above or by entering the invoice into the clinical services module in PACTS

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Treatment Services Training

Agreement Administration

Certification Process

C. Compare invoice to Program Plan (PROB 45)
- To ensure services ordered on PROB 45 were performed
- Verify services invoiced were approved on the plan
- This process can be done manually as described above or by entering the invoice into the clinical services module in PACTS and reviewing the validation report

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Treatment Services Training

Agreement Administration

Certification Process

D. Compare invoice to vendor documentation
- Provide checks and balances
- Verify that forms are complete, signatures are included, services were performed as requested
- Includes co-payments received (Section G.4)

E. Compare invoice to the Validation Report
- Enter data into the Clinical Services Module and let the Module do a price and service comparison with what is in the system
- Certify the invoice for payment

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Treatment Services Training

Agreement Administration

Certification Process

F. Chief or designee approves the invoice with a signature or certifies payment in FAS4T

G. Clerk of Court remits payment to the vendor

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Treatment Services Training

Agreement Adminstration

BPA Monitoring Chart

	BASE	OPTION 1	OPTION 2
Number of Monitoring Visits/Written Reports Required.	1 (Within 120 days of initial award)	1 (Within 120 days of exercising option)	1 (Within 120 days of exercising option)
	2 (If deficiencies or problems were noted in the first report, or at least 120 days prior to exercising the option to renew a BPA)	2 (If deficiencies or problems were noted in the first report, or at least 120 days prior to exercising the option to renew a BPA)	2 (Only if deficiencies or problems occur and an "unsatisfactory" or "unacceptable" rating is issued, a subsequent report must be completed prior to the end of the period of performance)

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Treatment Services Training

Agreement Administration

Post Award Monitoring Report

- Required to use the current AO approved form
- Contains requirements, instructions, and report form
- Copies of monitoring report should be included in the procurement file
- Accessible on the J-Net through the RFP Generator

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Treatment Services Training

Agreement Administration

Key Points to Monitoring Reports

- Recall, monitoring reports are only prepared by the agency administering the BPA
- Accurately state, on the monitoring report, what is observed:
  - If it is not documented, it didn't happen! (only recourse during renewal)
  - Summarize all of the deficiencies on the last page of the report to justify the rating

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Treatment Services Training

Agreement Administration

Resulting in Discontinued Use

- Monitoring can result in discontinued use of a vendor
- Contact PMD for guidance before discontinuing use of a vendor

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Treatment Services Training

Renewal Process

Renewal Process

- BPA Renewal Request (60-120 days prior to expiration)
- Notice of Intent to Extend BPA Letter (60 days prior to expiration)
- Notice of Extension Letter with SF30 (30 days prior to expiration)
- Notice of Intent Not to Extend BPA Letter
- Purchase Order (OF347 & 348)

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Treatment Services Training

Course Wrap-up

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Treatment Services Training

Helpful Resources

- Solicitation/Procurement of Treatment Services Milestone Checklist
- BPA Procedures & Overview

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Treatment Services Training

Contact Information

Chris Mangione
Probation Administrator, PPSO
(202) 502-3512
christopher_mangione@ao.uscourts.gov

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Treatment Services Training

Course Evaluation

- Please take a few minutes and complete the course evaluation
- Constructive detailed feedback will help us improve for next time

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Treatment Services Training

Questions

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(Revised 5/27/14)

SOLICITATION/PROCUREMENT OF TREATMENT SERVICES
MILESTONE-CHECKLIST

INSTRUCTIONS: This document/process is used to solicit/procure new treatment services and to renew BPA Agreements. It is strongly encouraged that this document be printed out, used as one tracking document during each solicitation, and fastened in the vendor/procurement file following completion (with copies for each separate vendor file within a solicitation as needed). Include piggybacking agencies in planning/implementation. The blank lines are to be marked as completed with dates and/or initials, etc. The description directly below is used to define the solicitation (e.g., drug/urine-outpatient/CPO, MH-Residential/BPA, etc).

SOLICITATION/PROCUREMENT DESCRIPTION

SOLICITATION N0.____

SOLICITATION AREA (ZIPS/COUNTIES)________________________________

____

SERVICE DESCRIPTION (e.g., DRUG/MH, UA, IOP, RESIDENTIAL) __________________

SOLICITATION/PROCUREMENT TYPE(BPA/CPO/NCPO) ______________________

PRE-SOLICITATION ACTIVITIES

1. **COMPLETE NEEDS ASSESSMENT AND IDENTIFY SERVICES REQUIRED - (APRIL/MAY)**

_______ IDENTIFY TREATMENT SERVICES NEEDS (NEEDS ASSESSMENT).

_______ REVIEW COMMUNITY RESOURCES.

_______ DETERMINE TYPE/AREA OF SOLICITATION USING **NEEDS ASSESSMENT WORKSHEET** ON J-NET - MUST ADDRESS CATCHMENT AREA, TYPE OF AGREEMENT, SERVICES NEEDED, QUANTITY OF VENDORS, LOCALE OF CLIENTS/VENDORS, AND EMQs. (**INCLUDE PIGGYBACKING AGENCIES**).

_______ REVIEW SERVICE NEEDS TO DETERMINE IF ANY LOCAL NEEDS ARE NECESSARY (REQUIRES AO APPROVAL **BEFORE** PLACEMENT IN SECTION C).

_______ SUBMIT REQUEST FOR WAGE DETERMINATION TO DEPT. OF LABOR/SF98-98A (**ONLY FOR UA SPECIMEN COLLECTION SOLICITATIONS**). SHOULD BE DONE FOR EACH SOLICITATION AREA AT LEAST 6 WEEKS PRIOR TO SOLICITATION IF MAILED. **HOWEVER, THESE CAN NOW BE OBTAINED AT http://www.dol.gov/.**

2. **FUNDING DETERMINATION - (APRIL/MAY)**

_______ DETERMINE AVAILABILITY OF FUNDS AND APPROVAL FROM CONTRACTING OFFICER.

3. **<u>PRESOLICITATION - (MAY/JUNE)</u>**

______ ADVERTISE (PMD POSTS FEDBIZOPPS.GOV ON OR ABOUT MAY 15) & AFTER MAY 15th POST ON COURTHOUSE BULLETIN BOARD, INTERNET WEBSITE, OR OTHER LOCAL ADVERTISING (**BPA**).

______ ESTABLISH AND ASSIGN SOLICITATION NUMBER(S).

______ PREPARE MAILING LIST IDENTIFYING PROSPECTIVE VENDORS (**AT LEAST 3 FOR CPO**).

______ COMPLETE MAILING LIST AMONG RESPONSE TO ADS AND OTHERS YOU SELECT (**BPA**).

______ DECIDE WHETHER OR NOT TO HOLD A PRE/POST MAILOUT OFFERORS' CONFERENCE.

______ IF YES, NOTIFY PROGRAM SERVICES BRANCH OF THE PROBATION AND PRETRIAL SERVICES OFFICE (PPSO) OF DATE, AND INCLUDE CONFERENCE INFORMATION IN EACH COVER LETTER.

______ "OPTIONAL" PRESOLICITATION OFFERORS' CONFERENCE HELD (PRIOR TO MAILOUT) WITH MINUTES OF CONFERENCE DISTRIBUTED TO ALL VENDORS ON MAILING LIST THAT DID/DID NOT ATTEND - (JUNE/JULY)

4. **<u>COMPLETE 2ND MONITORING VISIT (BPA VENDORS-OPTION YEARS ONLY) - (JUNE)</u>**

<u>SOLICITATION ACTIVITIES</u>

5. **REQUEST FOR PROPOSAL (RFP) PREPARATION - (JUNE/JULY)**

RFP COVER LETTER

______ PREPARE RFP COVER LETTER INCLUDING DEADLINE FOR WRITTEN QUESTIONS FROM OFFERORS, SUBMISSION DATE/TIME, AND NOTE OF ANY OFFEROR'S CONFERENCE. ADD NOTE OF ANY ON-SITE DRUG TESTING/LOCAL LAB, AND COMMENTS REGARDING UA SUPPLIES (FOR UA AGREEMENTS).

SECTION A

______ COMPLETE BLOCKS 1-7B, TABLE OF CONTENTS, AND 14A.

______ ASSIGN SOLICITATION NUMBER (BLOCK 3).

______ DETERMINE DATE/TIME FOR RECEIPT OF PROPOSALS (BLOCK 6).

SECTION B

______ COMPLETE THE SOLICITATION AREA AND TYPE OF SERVICE ON PAGE B-1.

______ IDENTIFY MANDATORY SERVICE ITEMS (INCLUDING LOCAL SERVICE/CODES) AN "*" GOES BESIDE THOSE SERVICES THAT HAVE A LOCAL NEED IN SECTION C.

______ ENTER ESTIMATED MONTHLY QUANTITY (EMQ) FOR EACH SERVICE REQUESTED (**3 YRS. OF FIGURES REQUIRED FOR A BPA**).

______ INCLUDE EMQs FOR "PIGGY-BACKING" AGENCIES (PRETRIAL, BOP, ETC.).

SECTION C

______ ADD <u>LOCAL NEEDS</u>-STATEMENTS OF WORK IN SECTION C (**AO APPROVED**).

SECTION J

______ PAGINATE AND ADD/REPLACE ATTACHMENTS (e.g., DEPT. OF LABOR WAGE DETERMINATION, AO-APPROVED LOCAL FORMS e.g., PROB 45, MTR, ETC.).

______ COMPLETE FINAL REVIEW OF RFP MAIL-OUT PACKETS **<u>PRIOR</u>** TO MAILING.

PROVIDER NAME:	______	______	______	______	______
COVER LETTER	______	______	______	______	______
AO 367	______	______	______	______	______
PAGE B-1	______	______	______	______	______
PART B (CODES/EMQs/"*")	______	______	______	______	______
PART C-LOCAL NEEDS/"*"	______	______	______	______	______
PROOF ALL SECTIONS D-M	______	______	______	______	______
ATTACHMENTS	______	______	______	______	______

6. **<u>DISTRIBUTE RFP TO ESTABLISHED MAIL LIST- (JUNE/JULY)</u>**

7. **<u>VERIFY CURRENT SATISFACTORY PERFORMANCE FOR BPA EXTENSION(S) - (JUNE/JULY)</u>**

8. **<u>COMPLETE BPA RENEWAL REQUEST FORM AND INTENT TO EXTEND AGREEMENT LETTERS FOR CONTRACTING OFFICER'S APPROVAL & ATTACH MONITORING REPORT - (JULY)</u>**

9. **<u>MAIL BPA INTENT TO EXTEND AGREEMENT LETTERS - (BEFORE JULY 31 OF EACH OPTION YEAR OF THE BPA AGREEMENT)</u>**

10. **<u>DETERMINE THE AREA, NUMBER AND TYPE OF NCPOs NEEDED, IF ANY - (JULY/AUGUST)</u>**

11. **<u>"OPTIONAL" OFFERORS' CONFERENCE HELD (WITHIN 10 DAYS FOLLOWING MAILOUT) WITH MINUTES OF CONFERENCE DISTRIBUTED TO ALL VENDORS ON MAILING LIST THAT DID/DID NOT ATTEND - (JULY/AUGUST)</u>**

12. **<u>RESPONSE TO WRITTEN RFP QUESTIONS SUBMITTED - (JULY/AUGUST)</u>**

______ SET DEADLINE FOR RESPONSE TO QUESTIONS AND INCLUDE IT IN COVER LETTER (GENERALLY 10 CALENDAR DAYS FROM DATE OF SOLICITATION LETTER).

______ PROVIDE UNIFORM WRITTEN RESPONSE TO RFP QUESTIONS (TO ALL VENDORS ON MAILING LIST WITHIN 3 BUSINESS DAYS).

13. **<u>OFFERORS RESPOND TO RFP - RECEIVING PROPOSALS - (JULY/AUGUST)</u>**

_______ SECURE STORAGE AREA FOR PROPOSALS.

_______ ANNOUNCE CLOSING OF TIME FOR RECEIPT OF PROPOSALS AT DATE/TIME FOR RECEIPT OF\PROPOSALS.

_______ LATE PROPOSAL(S) - IF APPLICABLE.

_______ DETERMINE IDENTITY OF LATE OFFEROR.

_______ PREPARE/SEND LETTER RETURNING PROPOSAL.

14. **<u>IF NO RESPONSE TO RFP OR NO TECHNICALLY ACCEPTABLE RESPONSE</u>**

_______ NO PROPOSAL(S) SCENARIO- IF APPLICABLE.

_______ DOCUMENT PROCUREMENT FILE SHOWING NO RESPONSE TO SOLICITATION.

_______ CONTACT PROCUREMENT MANAGEMENT DIVISION (PMD) TO DISCUSS OPTIONS, LIKE EXTENDING PROPOSAL DEADLINE.

_______ CONTACT VENDOR OF CHOICE AND DIRECTLY NEGOTIATE AGREEMENT.

_______ NO TECHNICALLY ACCEPTABLE PROPOSAL(S) SCENARIO- IF APPLICABLE (**<u>MUST</u> CONTACT AO PROCUREMENT MANAGEMENT DIVISION BEFORE PROCEEDING)**.

15. **<u>REVIEW AND EVALUATION OF PROPOSALS - (JULY/AUGUST)</u>**

_______ COMPLETE SECTION M PASS/FAIL TECHNICAL EVALUATION (**COMPLETE WORKSHEET**)

PROPOSAL(S) RECEIVED BY OFFEROR NAME: ______ ______ ______ ______ ______

A. ORIGINAL/COPIES: ______ ______ ______ ______ ______

B. SECTION A:

(1) COMPLETED CORRECTLY ______ ______ ______ ______ ______

(2) ONE ORIGINAL WITH SIGNATURE ______ ______ ______ ______ ______

PROPOSAL(S) RECEIVED BY OFFEROR NAME: ______ ______ ______ ______ ______

(3) COPIES ORIGINALLY SIGNED ______ ______ ______ ______ ______

SECTION B:

(1) COMPLETED CORRECTLY ______ ______ ______ ______ ______

(2) RESPONSES TO **<u>ALL</u>** MARKED SERVICES ______ ______ ______ ______ ______

(3) SUBCONTRACTOR VENDOR(S) MARKED ______ ______ ______ ______ ______

C. SECTION M (REVIEWED USING RFP SPECIFICATIONS IN SECTION L):

(1) CERTIFICATION OF COMPLIANCE ______ ______ ______ ______ ______

(2) BACKGROUND STATEMENT ______ ______ ______ ______ ______

(3) STAFF QUALIFICATIONS ______ ______ ______ ______ ______

(4) REFERENCES (MIN. 3/PAST 3 YRS.) ______ ______ ______ ______ ______

(5) PROGRAM D/C SUMMARY PROFILE ______ ______ ______ ______ ______

D. SECTION K:

(1) REPRESENTATIONS/CERTS. DONE ______ ______ ______ ______ ______

F. RESPONSIBILITY DETERMINATION CHECKLIST (**VENDOR(S) <u>AND</u> SUBCONTRACTOR VENDOR(S)**)

(1) GSA EXCLUDED PARTIES LIST (Y/N) ______ ______ ______ ______ ______

(2) COMPLETE REF. QUESTION SHEETS ______ ______ ______ ______ ______

(3) RECORD RESPONSIBILITY (Y/N) ______ ______ ______ ______ ______

(4) EXPLAIN ALL “NO” ANSWERS ON LIST ______ ______ ______ ______ ______

(5) CONTACT AO IF ANY NON-RESPONSIBLE ______ ______ ______ ______ ______

________ **<u>MUST</u>** EXPLAIN ALL “NO” ANSWERS ON <u>SECTION M CHECKLIST</u>.

________ COMPLETE FINANCIAL TABULATION(S) WITH SF 1409/ABSTRACT OF OFFERS OR LOCAL FORM.

________ RANK ORDER <u>TECHNICALLY ACCEPTABLE</u> PROPOSAL(S) BY LOWEST COSTS.

16. **<u>CLARIFICATIONS AS REQUIRED - (JULY/AUGUST - PRIOR TO AND DURING ON-SITE REVIEWS)</u>**

________ CONTACT PROCUREMENT MANAGEMENT DIVISION (PMD) FOR GUIDANCE ON WHEN CLARIFICATIONS SHOULD BE DONE.

________ REVIEW RFP RESPONSES AND IDENTIFY AMBIGUOUS PROPOSALS REQUIRING WRITTEN CLARIFICATION.

________ COMPLETE LETTER REQUESTING CLARIFICATION ON AMBIGUOUS PROPOSALS.

17. **<u>CONDUCT ON-SITE EVALUATION(S) - (AUGUST/SEPTEMBER)</u>**

________ SCHEDULE ON-SITE VISIT(S) **ONLY** TO LOWEST PRICED/TECHNICALLY ACCEPTABLE OFFEROR OR OFFERORS IN THE CASE OF A MULTI-VENDOR BPA (Including Subcontractor vendors).

________ COMPLETE ON-SITE REVIEWS(S) USING **ON-SITE REVIEW CHECKLIST** VERIFYING ABILITY TO PERFORM AND CLARIFYING ANY UNANSWERED ISSUES.

________ EXPLAIN ALL "NO" OR "NEGATIVE" ANSWERS FROM SECTION M OR ON-SITE REVIEW CHECKLIST.

18. **<u>DETERMINE AWARD(S) BASED ON TECHNICAL ABILITY, RESPONSIBILITY AND LOWEST PRICE - (AUGUST/SEPTEMBER)</u>**

19. **<u>FINALIZE ESTABLISHMENT OF NCPO VENDOR AGREEMENTS WHERE NEEDED (AUGUST/SEPTEMBER)</u>**

________ DETERMINE SERVICES TO BE PROVIDED AND PROVIDE VENDOR WITH RFP DOCUMENT INCLUDING ALL NEEDED STATEMENTS OF WORK.

________ ESTABLISH UNIT PRICES AND STRUCTURE OF HOW SERVICES ARE TO BE PROVIDED.

________ GATHER NECESSARY VENDOR/PROCUREMENT INFORMATION TO ESTABLISH AGREEMENT.

20. **<u>PREPARE FOR AND BEGIN PROCESS (PAPERWORK, MAPS, INSTRUCTIONS, ETC) FOR MOVEMENT OF CLIENTS TO NEW VENDOR(S) AS APPLICABLE (SEPTEMBER)</u>**

21. **<u>PREPARE TRANSMITTAL DOCUMENTS FOR DISTRIBUTION - (AUGUST/SEPTEMBER)</u>**

________ PREPARE AWARD AND UNSUCCESSFUL OFFEROR LETTER(S) FOR CONTRACTING OFFICER'S SIGNATURE.

________ COMPLETE SECTION 14 OF **AO 367 SOLICITATION/OFFER/ACCEPTANCE FORM** FOR CONTRACTING OFFICER'S SIGNATURE.

________ PREPARE <u>CLERK-MASTER</u> **OF 347/348 DELIVERY ORDER** (NOTE PIGGYBACKING AGENCIES) (**BPA ONLY**-INCLUDES NTE AMOUNT WITH <u>NO UNIT PRICES OR VENDOR INFORMATION</u>).

________ PREPARE **OF 347 DELIVERY ORDER** FOR EACH <u>VENDOR</u> PLACED ON THE BPA (INCLUDES UNIT PRICES & VENDOR INFORMATION WITH <u>NO NTE AMOUNT</u>).

________ PREPARE **OF 347 DELIVERY ORDER** (**CPO/NCPOs**-INCLUDES VENDOR INFORMATION, UNIT PRICES AND NTE AMOUNT).

________ COPY OF THE RFP FOR AWARD RECIPIENT(S) (**MINUS SECTIONS K, L AND M**)

22. **<u>PREPARE EXTENSION LETTERS AND STANDARD FORM 30 (SF30) - MODIFICATION TO EXTEND AGREEMENT FOR BPA RENEWALS (LATE SEPTEMBER)</u>**

23. **<u>MAIL OUT AWARD PACKETS/UNSUCCESSFUL OFFEROR LETTERS - (LATE SEPTEMBER/EARLY OCTOBER)</u>**

________ <u>AWARD PACKET INCLUDES</u>: AWARD LETTER, SIGNED AO 367 ACCEPTANCE FORM, OF 347 DELIVERY ORDER(& OF 348 FOR BPA), COPY OF VENDOR'S PROPOSAL, AND A

COPY OF THE RFP EXCLUDING SECTIONS L AND M (**INCLUDE PIGGYBACKING AGENCIES ON OF 348 AND TRANSMITTAL LIST**).

________ NCPO AGREEMENT PACKET INCLUDES: AWARD LETTER, OF 347 DELIVERY ORDER, AND A COPY OF THE RFP EXCLUDING SECTIONS K, L AND M.

________ MAIL OUT UNSUCCESSFUL OFFEROR LETTER(S) - IF APPLICABLE

24. **MAIL OUT BPA EXTENSION/OPTION PACKETS - (LATE SEPTEMBER)**

________ BPA EXTENSION PACKET INCLUDES: NOTIFICATION OF EXTENSION LETTER, STANDARD FORM 30/MODIFICATION OF CONTRACT, AND NEW FISCAL YEAR DELIVERY ORDERS **OF 347/348** (**INCLUDE PIGGYBACKING AGENCIES ON OF 348 AND DISTRIBUTION**).

POST-SOLICITATION ACTIVITIES

25. **COMPLETE MOVEMENT OF CLIENTS TO NEW VENDOR(S) AS APPLICABLE - (LATE SEPTEMBER/EARLY OCTOBER)**.

26. **PREPARE VENDOR/PROCUREMENT FILE FOR EACH SOLICITATION/VENDOR - (SEPT./OCTOBER)**

THE FOLLOWING ITEMS SHOULD BE PLACED ON THE **LEFT SIDE** OF THE PROCUREMENT FILE IN ASCENDING ORDER (MAY BE SUMMARIZED ON ONE PAGE):

_______ COPY OF AO APPROVED LOCAL SERVICES (IF ANY).

_______ COPY OF THE FEDBIZ.OPS ADVERTISEMENT (**BPA**).

_______ COPY OF MAILING LIST CONTAINING NAMES OF THOSE WHO RECEIVED THE RFP.

_______ LISTING OF THE VENDORS THAT SUBMITTED PROPOSALS.

_______ LISTING OF THE VENDORS WHO WERE TECHNICALLY UNACCEPTABLE AND REASON FOR ELIMINATION.

_______ LISTING OF VENDORS PASSING THE TECHNICAL EVALUATION (BID ABSTRACT/LOCAL FORM).

_______ LISTING OF VENDOR(S) THAT RECEIVED AN ON-SITE VISIT.

_______ LISTING OF ANY VENDOR(S) DETERMINED NON-RESPONSIBLE (IF APPLICABLE).

_______ LISTING OF VENDOR(S) WHO WERE AWARDED AN AGREEMENT (**FOR BPAs INCLUDE THOSE PLACED ON THE BPA**).

THE REMAINING DOCUMENTS IN THE VENDOR/PROCUREMENT FILE ARE LABELED AND FILED ON THE **RIGHT SIDE** AS FOLLOWS:

_______ PROCUREMENT DOCUMENTS/CORRESPONDENCE (SF 1409 ABSTRACT, SOLICITATION LETTERS, ANSWERS TO QUESTIONS, ON-SITE EVALUATION FORMS, PROCUREMENT CHECKLIST, ETC.).

_______ VENDOR/PROCUREMENT FILE CHRONOLOGICAL NOTES.

_______ ONGOING CORRESPONDENCE WITH VENDOR, OTHER OUTSIDE SOURCES, PPSO, AND PMD.

_______ VENDOR/AGENCY INFORMATION/DOCUMENTS.

_______ VENDOR/PROCUREMENT-RELATED DISTRICT AND AO MEMOS/DOCUMENTS.

_______ DELIVERY ORDERS/SF 30 CONTRACT MODIFICATIONS.

_______ MONITORING REPORTS.

_______ COPY OF THE RFP.

_______ VENDOR'S PROPOSAL.

27. **PREPARE FILE FOR ALL UNSUCCESSFUL OFFERS AND KEEP FOR 1 YEAR - (SEPT./OCTOBER)**

_______ **LEFT-HAND SIDE** OF THE FILE: TECHNICALLY UNACCEPTABLE PROPOSALS.

_______ **RIGHT-HAND SIDE** OF THE FILE: TECHNICALLY ACCEPTABLE/NOT LOW PRICED PROPOSALS (NEXT LOWEST PRICED PROPOSAL ON TOP, ETC.).

Duties that should be Segregated in the Procurement & Control of Products & Services

Duties that Should be Segregated in the Procurement & Control of Products & Services

	Request Product or Service	Authorize Purchase	Procure Product or Service *(Contracting Officer)*	Receive Product or Service	Accept Product or Service	Approve Payment *(Approving Officer)*	Certify Payment *(Certifying Officer)*	Disburse Payment *(Disbursing Officer)*	Maintain Official Inventory Records *(Property Custodial Officer)*	Dispose of Property *(Property Disposal Officer)*
Request Product or Service		X								
Authorize Purchase			X							
Procure Product or Service *(Contracting Officer)*		X		X			X	X	X	
Receive Product or Service			X							
Accept Product or Service										
Approve Payment *(Approving Officer)*							X			
Certify Payment *(Certifying Officer)*			X			X				
Disburse Payment *(Disbursing Officer)*			X							
Maintain Official Inventory Records *(Property Custodial Officer)*			X							X
Dispose of Property *(Property Disposal Officer)*									X	

Duties that should not be performed by the same individual are marked with an X.

The segregation of duties described below provides that no fewer than three individuals are involved in each transaction.

If a person *procures*, then he/she **may not** *authorize purchase, receive, certify payment, disburse payment* and/or *maintain official inventory records*. A purchase card holder *procures* goods and/or services, and is similarly prohibited from *authorizing the purchase, certifying, disbursing payments*, and/or *maintaining official inventory records*.

Request - Process of asking to obtain a products and/or services.

Authorize Purchase - Process of approving the procuring of products and/or services.

Procure - Process of legally committing the Government to the official purchase, rental, lease and/or other methods of acquiring products or services from non-federal sources.

Receive - Process of observing, taking delivery of and/or obtaining beneficial use of, and acknowledging that the products and/or services procured was/were delivered.

Accept - Process of acknowledging and attesting that products and/or services received conform to quality, quantity, and packaging requirements, to all specifications and requirements set forth in the contract, and to all other terms and conditions in the contract.

Approve Payment - Process authorizing the payment of amounts requested and authorized under the terms and conditions set forth in the contract. This occurs after ensuring that products or services were fully accepted.

Certify Payment - Process of ensuring the legality, propriety, validity and accuracy of all payments.

Disburse Payment - Process of disbursing money and rendering accounts in accordance with laws and regulations governing the disbursement of public moneys.

Note: Class Exercise 2 (see page 14).

District of Ohio-Northern
1169: Post Conviction Clinical Services Expenditure
From: 01/01/2015 To: 01/31/2015

DSS Standard Report #1169

Data Current as of 03/02/2015

Administrative

Basics

Project Code	Project Description	Units	Treatment Cost
1201	Defendant/Offender Transportation-Administrative Fee	94.00	$58.92
1202	Defendant/Offender Transportation Expenses	96.00	$1,208.18
3101	Transitional Housing	0.00	$558.00
Basics Sub-Total:		**190.00**	**$1,825.10**

Location Monitoring

Project Code	Project Description	Units	Treatment Cost
1020	Radio Frequency (RF) Monitoring	773.00	$1,460.97
1033	GPS - High Intensity	227.00	$771.80
1034	Global Positioning Satellite (GPS) - Low Intensity	14.00	$46.20
1035	Cellular Unit Add-On	489.00	$1,393.65
Location Monitoring Sub-Total:		**1,503.00**	**$3,672.62**

Mental Health

Project Code	Project Description	Units	Treatment Cost
5010	Psychological Evaluation and Report	6.00	$2,743.00
5011	Mental Health Assessment and Report	5.00	$1,120.94
5030	Psychiatric Evaluation and Report	2.00	$400.00
6010	Individual Mental Health Counseling	260.00	$11,314.00
6051	Medication Monitoring	22.00	$2,127.73
Mental Health Sub-Total:		**295.00**	**$17,705.67**

Sex Offender

Project Code	Project Description	Units	Treatment Cost
5012	SexOffender Specific Evaluation and Report	2.00	$1,100.00
5022	Polygraph Examination	1.00	$895.00
5023	Maintenance/Monitoring Test	1.00	$895.00
6012	Individual Counseling / Sex Offender	220.00	$13,140.00
6022	Group Counseling / Sex Offender	521.00	$12,525.00
Sex Offender Sub-Total:		**745.00**	**$28,555.00**

Substance Abuse Testing

Project Code	Project Description	Units	Treatment Cost
1010	Urine Collection and Reporting	408.00	$8,048.73
NDTL	Urinalysis Services (by National Drug Testing Lab)	478.00	$5,337.90
Substance Abuse Testing Sub-Total:		**886.00**	**$13,386.63**

District of Ohio-Northern
1174: Average Monthly Project Code Quantity Report
BOC: -ALL-
From: 01/2015 To: 02/2015

DSS Standard Report #1174

Data Current as of 03/02/2015

Provider Name	Project Description and Code	Total Number of Units	Monthly Average No. of Units	Total Billed Amount	Monthly Average Costs
Advanced Psychotherapy Services (122)					
Advanced Psychotherapy Services (122)	Group Counseling / Sex Offender (6022)	90.00	45.00	$1,620.00	$810.00
	Individual Counseling / Sex Offender (6012)	42.00	21.00	$2,520.00	$1,260.00
	Individual Mental Health Counseling (6010)	102.00	51.00	$5,100.00	$2,550.00
	Individual Substance Abuse Counseling (2010)	30.00	15.00	$1,500.00	$750.00
	Medication Monitoring (6051)	12.00	6.00	$1,500.00	$750.00
	Mental Health Assessment and Report (5011)	1.00	0.50	$225.00	$112.50
	Substance Abuse Disorder Intake Assessment Report (2011)	1.00	0.50	$200.00	$100.00
	Urine Collection and Reporting (1010)	35.00	17.50	$525.00	$262.50
Allied Behavioral Health Services Inc. FP (103)					
Allied Behavioral Health Services Inc. FP (103)	Individual Mental Health Counseling (6010)	22.00	11.00	$517.00	$258.50
	Individual Substance Abuse Counseling (2010)	10.00	5.00	$235.00	$117.50
	Medication Monitoring (6051)	2.00	1.00	$118.00	$59.00
	Substance Abuse Disorder Intake Assessment Report (2011)	1.00	0.50	$59.00	$29.50
	Urine Collection and Reporting (1010)	13.00	6.50	$117.00	$58.50
BI INCORPORATED (106)					
BI INCORPORATED (106)	Cellular Unit Add-On (1035)	768.00	384.00	$2,188.80	$1,094.40
	Global Positioning Satellite (GPS) - Low Intensity (1034)	14.00	7.00	$46.20	$23.10
	Global Positioning Satellite (GPS) Tracking - Active (1032)	22.00	11.00	$74.80	$37.40
	GPS - High Intensity (1033)	1005.00	502.50	$3,417.00	$1,708.50
	Radio Frequency (RF) Monitoring (1020)	1373.00	686.50	$2,594.97	$1,297.49
Community Assessment Treatment Services, Inc. (8)					

DSS Standard Report #1176

Client ID	Client Last Name	Client First Name	Client Middle Name	Invoice Date	Project Code	Project Description	Total Cost	Invoice Detail ID	Invoice Record ID	Units
39516	Zimmerman	Wilbur		02/01/2014	2001	Short-term Residential Treatment	$1,400.00	1039217	56979	8
39516	Zimmerman	Wilbur		03/01/2014	2001	Short-term Residential Treatment	$3,675.00	1100307	61271	21
39516	Zimmerman	Wilbur		10/01/2014	2001	Short-term Residential Treatment	$352.00	4433291	292631	2
39516	Zimmerman	Wilbur		10/01/2014	2001	Short-term Residential Treatment	$176.00	4433321	292631	1
43166	Jagdchew	Brandon		11/01/2014	2001	Short-term Residential Treatment	$1,890.00	5016471	332551	27
43166	Jagdchew	Brandon		12/01/2014	2001	Short-term Residential Treatment	$210.00	5758081	381441	3
43498	Townsend	Derrick		08/01/2010	2001	Short-term Residential Treatment	$3,942.80	128409	9064	20
43498	Townsend	Derrick		09/01/2010	2001	Short-term Residential Treatment	$1,182.84	129713	9141	6
45389	Vargas	Ruben		11/01/2014	2001	Short-term Residential Treatment	$4,576.00	5043241	334531	26
45389	Vargas	Ruben		11/01/2014	2001	Short-term Residential Treatment	$176.00	5043251	334531	1
45389	Vargas	Ruben		12/01/2014	2001	Short-term Residential Treatment	$2,640.00	5703811	378241	15
45421	Percy	Ivan		05/01/2012	2001	Short-term Residential Treatment	$4,063.84	160386	10737	22
45421	Percy	Ivan		06/01/2012	2001	Short-term Residential Treatment	$1,477.76	161912	10820	8
46822	Billingsley	Bryan	G.	09/01/2014	2001	Short-term Residential Treatment	$490.00	3878101	254951	7
46822	Billingsley	Bryan	G.	10/01/2014	2001	Short-term Residential Treatment	$490.00	4563931	300501	7
47899	Anderson	Tenisha		11/01/2013	2001	Short-term Residential Treatment	$1,820.00	865955	44444	26
47899	Anderson	Tenisha		12/01/2013	2001	Short-term Residential Treatment	$350.00	937698	49589	5
48008	Sanchez	Roberto	V.	09/01/2013	2001	Short-term Residential Treatment	$1,638.00	760153	36717	26
48008	Sanchez	Roberto	V.	10/01/2013	2001	Short-term Residential Treatment	$280.00	816136	40840	4
48048	Ferenchak	Heather		08/01/2012	2001	Short-term Residential Treatment	$1,158.75	165220	10980	9
48048	Ferenchak	Heather		09/01/2012	2001	Short-term Residential Treatment	$3,090.00	166531	11072	24
49096	Leyba	Mohammed		05/01/2013	2001	Short-term Residential Treatment	$2,254.37	177452	11730	17
49096	Leyba	Mohammed		06/01/2013	2001	Short-term Residential Treatment	$1,856.54	416507	18606	14
49158	Linhart	Jeremy		10/01/2012	2001	Short-term Residential Treatment	$4,200.00	168418	11181	24
49158	Linhart	Jeremy		11/01/2012	2001	Short-term Residential Treatment	$1,050.00	169827	11269	6
49158	Linhart	Jeremy		04/01/2014	2001	Short-term Residential Treatment	$350.00	1175713	66802	2
49158	Linhart	Jeremy		08/01/2014	2001	Short-term Residential Treatment	$175.00	2949821	190041	1
49158	Linhart	Jeremy		08/01/2014	2001	Short-term Residential Treatment	$4,025.00	2949831	190041	23
49158	Linhart	Jeremy		09/01/2014	2001	Short-term Residential Treatment	$175.00	3694121	242331	1

District of Ohio-Northern
1177: Pretrial Services Average Project Code Expenditures
From: 10/1/2014 To: 3/3/2015

DSS Standard Report #1177

Data Current as of 03/02/2015

Client ID	Client Last Name	Client First Name	Client Middle Name	Invoice Date	Project Code	Project Code And Description	Total Cost	Invoice Detail Record ID	Invoice Record ID	Units
348168	Lawhorn	Cameron	J.	05/01/2014	2001	2001-Short-term Residential Treatment	$3,860.00	1272878	73224	20
348168	Lawhorn	Cameron	J.	06/01/2014	2001	2001-Short-term Residential Treatment	$5,790.00	1907591	120271	30
348168	Lawhorn	Cameron	J.	07/01/2014	2001	2001-Short-term Residential Treatment	$1,351.00	2593881	164951	7
352346	Shocklee	Matt	E.	04/01/2014	2001	2001-Short-term Residential Treatment	$1,158.00	1210973	69163	6
352346	Shocklee	Matt	E.	05/01/2014	2001	2001-Short-term Residential Treatment	$5,983.00	1272992	73224	31
352346	Shocklee	Matt	E.	06/01/2014	2001	2001-Short-term Residential Treatment	$3,860.00	1907601	120271	20
376977	Horvath	Brent	A.	08/01/2014	2001	2001-Short-term Residential Treatment	$5,404.00	3192431	207181	28
376977	Horvath	Brent	A.	09/01/2014	2001	2001-Short-term Residential Treatment	$3,667.00	4039331	266791	19
54236	Malino	Joseph	A.	03/01/2013	2010	2010-Individual Substance Abuse Counseling	$130.00	175197	11594	2
54236	Malino	Joseph	A.	04/01/2013	2010	2010-Individual Substance Abuse Counseling	$260.00	177164	11692	4
54236	Malino	Joseph	A.	05/01/2013	2010	2010-Individual Substance Abuse Counseling	$130.00	178404	11776	2
54236	Malino	Joseph	A.	06/01/2013	2010	2010-Individual Substance Abuse Counseling	$260.00	402416	17366	4
54236	Malino	Joseph	A.	07/01/2013	2010	2010-Individual Substance Abuse Counseling	$260.00	445571	29874	4
54236	Malino	Joseph	A.	08/01/2013	2010	2010-Individual Substance Abuse Counseling	$227.50	488864	33281	3.5
54236	Malino	Joseph	A.	09/01/2013	2010	2010-Individual Substance Abuse Counseling	$97.50	755598	36376	1.5
54236	Malino	Joseph	A.	10/01/2013	2010	2010-Individual Substance Abuse Counseling	$97.50	846423	43008	1.5
319811	Jackson	Bradley	C.	02/01/2014	2010	2010-Individual Substance Abuse Counseling	$80.00	1073705	59179	2
319811	Jackson	Bradley	C.	03/01/2014	2010	2010-Individual Substance Abuse Counseling	$40.00	1125865	63196	1
319811	Jackson	Bradley	C.	04/01/2014	2010	2010-Individual Substance Abuse Counseling	$80.00	1193974	67970	2

Units & Expenditures By Project Code,By Fiscal Year

Project Code Description	Units
Alabama-Middle	12,238
Alabama-Northern	28,322
Alabama-Southern	23,770
Alaska	20,732
Arizona	278,263
Arkansas-Eastern	24,257
Arkansas-Western	6,234
California-Central	314,177
California-Eastern	118,012
California-Northern	49,339
California-Southern	83,760
Colorado	56,706
Connecticut	43,663
Delaware	8,799
District of Columbia	26,049
Florida-Middle	139,365
Florida-Northern	19,373
Florida-Southern	127,317
Georgia-Middle	3,987
Georgia-Northern	76,210
Georgia-Southern	10,884
Guam	13,584
Hawaii	50,997
Idaho	19,928
Illinois-Central	32,928
Illinois-Northern	137,614
Illinois-Southern	28,405
Indiana-Northern	17,568
Indiana-Southern	35,682

Project Code Description	Treatment Cost
Alabama-Middle	$159,786.71
Alabama-Northern	$300,679.77
Alabama-Southern	$447,425.42
Alaska	$172,853.75
Arizona	$3,406,629.61
Arkansas-Eastern	$561,299.71
Arkansas-Western	$73,226.07
California-Central	$5,076,996.57
California-Eastern	$1,974,963.81
California-Northern	$3,056,698.53
California-Southern	$2,120,283.37
Colorado	$1,107,511.09
Connecticut	$889,815.44
Delaware	$127,701.97
District of Columbia	$434,111.60
Florida-Middle	$1,765,921.08
Florida-Northern	$230,041.20
Florida-Southern	$1,474,253.70
Georgia-Middle	$69,134.69
Georgia-Northern	$712,999.23
Georgia-Southern	$154,533.38
Guam	$253,044.17
Hawaii	$1,420,729.74
Idaho	$256,418.91
Illinois-Central	$729,847.53
Illinois-Northern	$1,558,352.66
Illinois-Southern	$756,328.66
Indiana-Northern	$190,022.72
Indiana-Southern	$559,322.15

Supervisor: No Supervision

Officer: No Supervision

Client ID	Client Name	Supv Status	P/S	Contract / Non-Contract	Provider	Plan Start Date	Copay/ Pymnt Source	Copay (Monthly Flat Rate $ or Plan %)	Project or Service Category Description	Freq	Int	Copay Per Unit
24062	Guzman, Daniel Eloy											
			P	C	Independence House	3/17/15	SELF	$15	Mental Health Assessment and Report (5011)	1	M	
									Urine Collection and Reporting (1010)	3	M	
362410	Hernandez, Jose Luis											
			P	C	Rsa	3/31/15	NONE		Group Counseling / Sex Offender (6022)	16	W	
									Individual Counseling / Sex Offender (6012)	16	M	
									Mental Health Assessment and Report (5011)	1	P	
									Penile Plethysmograph (5021)	5	P	
									Visual Reaction Time (VRT) Measure of Sexual Interest (5025)	5	P	
				C	Rsa	3/31/15	NONE		Maintenance/Monitoring Test (5023)	10	P	
									Polygraph Examination (5022)	10	P	
30551	Ray, Roy											
			S	C	Independence House	1/5/15	SELF	25%	Provisional Shelter (9905)	31	M	
32915	Schumacher, Jimmy Lee											
			P	C	Behavioral Offenders Services, LLC	3/1/12	SELF	100%	Group Counseling / Sex Offender (6022)	16	M	
									Individual Counseling / Sex Offender (6012)	2	M	

Officer: Ansart, Laura D.

Client ID	Client Name	District / Docket / Dft No	Supv Type	Cond Type	Unit of Measure	Amt/Hours Ordered	Paid/ Served	Cond. Status	Status Date	Expiration Date
19319	**Abeyta, Michelle Ann**	1082 1:12CR00096-001	TSR	DRUG		0	0	A	01/27/2014	12/12/2016
				MEDC		0	0	A	01/27/2014	12/12/2016
				MENH		0	0	A	01/27/2014	12/12/2016
				REAC		0	0	A	01/27/2014	12/12/2016
				REST	DOLLAR	7,112	1,110	A	11/15/2012	12/12/2016
				URIN		0	0	A	01/27/2014	12/12/2016
				WNDF		0	0	A	01/27/2014	12/12/2016
34487	**Allison, Keith P.**	1082 1:11CR00375-001	TSR	ASSC		0	0	A	06/24/2013	06/23/2016
				DRUG		0	0	A	06/24/2013	06/23/2016
				REAC		0	0	A	06/24/2013	06/23/2016
				URIN		0	0	A	06/24/2013	06/23/2016
10685	**Amaro, Simon**	1082 1:08CR00436-001	TSR	ALCO		0	0	A	04/26/2013	04/18/2016
				COMM	HOUR	100	0	A	02/26/2014	04/18/2016
				CTCF	DAY	180	0	A	02/18/2015	04/18/2016
				DRUG		0	0	A	04/26/2013	04/18/2016
				MENH		0	0	A	04/26/2013	04/18/2016
				OTHR		0	0	A	11/24/2009	04/18/2016
				REAC		0	0	A	04/26/2013	04/18/2016
				URIN		0	0	A	06/19/2013	04/18/2016
32003	**Arreola, Roman**	1082 1:10CR00349-001	TSR	DRUG		0	0	A	12/10/2010	03/10/2017
				REAC		0	0	A	12/10/2010	03/10/2017
				URIN		0	0	A	12/10/2010	03/10/2017
33272	**Baiotto, Tabatha Amber**	1084 1:11CR00890-002	TSR	OTHR		0	0	A	07/31/2014	07/30/2017
				REAC		0	0	A	07/31/2014	07/30/2017
				SAT		0	0	A	07/31/2014	07/30/2017
				SEAR		0	0	A	07/31/2014	07/30/2017
				URIN		0	0	A	07/31/2014	07/30/2017
23505	**Blau, Kenneth**	1082 1:06CR00088-001	TSR	DRUG		0	0	A	02/03/2015	02/02/2018
				SAT		0	0	A	02/03/2015	02/02/2018
				SPEC	DOLLAR	100	0	A	02/03/2015	02/02/2018

DSS Standard Report #1029

Officer: Blake, Sherrie L.

Client ID	Client Name	District/ Docket/ Dft No.	Intake Case Type	Judicial Officer	Date Imposed	Condition
394342	**Benjamin, Ronald**	1082 1:11CR00362-003	PTS		4/10/14	Pretrial Services Supervision
						Report Change of Address
						Travel Restrictions
411537	**Bernier, Daniel**	1082 1:14CR00169-002	PTS		5/29/14	No Contact with Victim/ Witness
						No Excessive Alcohol Use
						No Illegal Use of Controlled Substances
						Obtain and Maintain Employment
						Obtain No New Passport
						Other Conditions
						Pretrial Services Supervision
						Report Change of Address
						Report Contact with Law Enforcement
						Surrender Passport
						Travel Restrictions
						Weapons Restriction
597051	**Casaus, Ambrose**	1082 1:14CR00136-009	PTS		7/29/14	Alcohol Abstinence
						Drug Treatment
						No Illegal Use of Controlled Substances
						Pretrial Services Supervision
						Report Change of Address
						Report Contact with Law Enforcement
						Substance Abuse Testing
						Surrender Passport
						Third Party Custody
						Travel Restrictions

(Revised 6/14)

DEVELOPING LOCAL NEEDS

The contracting officer incorporates into the statement of work any specific needs or local services, if necessary. All such requirements must be written in a pass/fail style for evaluation purpose. The vendor must be able to meet these requirements to be technically acceptable. On the required service line an asterisk (*) should be used to denote which project code in Section B will be amended in the local services section. They should not be written in a manner that precludes competition. The local services section should only be used for districts to further define a specific need. Additional codes should not be created under any circumstances. Any such description of local services requires the approval of the AO's Probation and Pretrial Services Office and the Procurement Management Division prior to inclusion in the RFP. These approvals must be requested each solicitation cycle. Listed below are samples of local requirements.

- The program must operate a code-a-phone system for random urine collections and schedule urine collections six weekday evenings a month between 5:00 to 7:30 p.m. and two Saturday mornings a month between 9:00 a.m. and 12:00 p.m.

- The program must have counseling services (both individual and group) available until 7:00 p.m. two nights a week and Saturday mornings from 9:00 a.m. to 12:00 p.m. **(Note to CO: If your solicitation requires a vendor to provide more than one site, you must identify whether evening and weekend hours are required for all sites, or just one.)**

- The program must have a mental health counselor who is an LCSW and has a minimum of three years experience as a mental health counselor.

- The program shall provide a cognitive behavioral group, specifically Moral Reconation Therapy, which allows for defendants/offenders to begin the program within ten days of receipt of the program plan. Cognitive behavioral groups shall have two or more defendants/offenders, but no more twelve defendants/offenders.

- The program must have a 12 week, State (motor vehicle administration in each state) approved DWI education program.

- The program must be located on or within one-half mile of public transportation access.

- The program must have access to treatment staff that are fluent in the Spanish language.

- The program shall provide group counseling based on a research based program listed on the SAMHSA's National Registry of Evidence Based Programs and Practices.

Local Needs Request Form

One form must be completed for each Local Needs request

Date:	
District:	
Person Requesting Local Need:	
Project Code Name(s) and Number:	
Requested Change to SOW:	

☐ Approved

☐ Disapproved

Signature of PPSO Staff Member/Designee Date

(Revised 6/14)

PIGGYBACKING
USE OF BPA BY OTHER COURT UNITS OR FEDERAL AGENCIES

The BPA contains language in Section C which allows for Probation and Pretrial Services and the Federal Bureau of Prisons to utilize services from a vendor on a BPA without going through their own competitive process. Agreements awarded by chief probation or pretrial services officers are issued for the use of federal defendants and offenders. There is no need for separate agencies to solicit for identical services provided by the same vendors. The process of using another agency's agreement is called piggybacking.

Under this agreement, the Director of the Administrative Office of the U.S. Courts reserves the right to require the vendor(s) to provide services to defendants/offenders supervised by the United States Probation Offices, United States Pretrial Services Offices, and Federal Bureau of Prisons inmates residing at federal or contract community centers under the terms and conditions contained in this agreement.

- Agencies wanting to piggyback another agency's BPA should communicate their requirements (EMQ's) to the issuing agency before solicitations are issued. When multiple agencies utilize the same BPA, a rotation monitor will need to be designated to track all referrals and expenditures. This is necessary to assure proper rotation of vendors. This individual may assist with the certification of invoices and ensure the proper routing of invoices to the agencies utilizing the BPA. A rotation monitor can assist the CO/designee with keeping all piggybacking agencies informed about any BPA changes which may affect them. Where services are provided for Pretrial Services or to inmates of the Federal Bureau of Prisons, the vendor shall submit separate invoices for such services provided to the referring agency.

In furtherance of coordination efforts, the AO's Probation and Pretrial Services Office and the BOP have agreed to the following general parameters regarding piggybacking:

- Non-competitive purchase orders may be issued if the estimated cost of service is $5,000 or less for the fiscal year, without soliciting competitive offers. The BOP will award its own non-competitive purchase orders. As such, piggybacking is not applicable to non-competitive purchase orders.

- A competitive purchase order is to be utilized for treatment services estimated between $5,001 and $25,000 for the fiscal year. While the BOP (or a separate pretrial services or probation office in the same district) cannot piggyback a competitive purchase order, the BOP (or a separate pretrial services or probation office in the same district) can seek proposals from the same vendors solicited by the awarding agency.
- Blanket purchase agreements (BPA's) are to be used for treatment services in

excess of $25,000. The BOP (or a separate pretrial services or probation office in the same district) can piggyback BPA' unless the BOP treatment requirements exceed the need of the probation (and separate pretrial services) offices in the same district. In this event, the BOP will take the lead in contracting and the court unit(s) can piggyback the BOP contract when the requirements are similar.

(Revised 5/11)

SERVICE CONTRACT ACT OF 1965, AS AMENDED

REQUESTING WAGE DETERMINATIONS

THE SERVICE CONTRACT ACT OF 1965, AS AMENDED, IS PART OF THE RFP FOR SUBSTANCE ABUSE TREATMENT SERVICES AND MUST ALSO BE INCLUDED IN ANY SOLICITATION FOR URINE COLLECTION SERVICES.

The Service Contract Act (41 U.S.C., 351 et seq) is required in service contracts over $2,500 which furnish services through the use of service employees. Some examples of service employees include janitorial services, guard services, food services, and urine collection. The Act requires that service contracts over $2,500 contain mandatory provisions regarding minimum wages and fringe benefits found by the Department of Labor to prevail in the locality and in no event shall services by paid less than the minimum wages specified by the Fair Labor Standards Act, 29 U.S.C. Section 206(a)(1). Pursuant to the regulations implementing the Service Contract Act, 29 C.F.R. Part 4, requires a wage determination issued by the Department of Labor shall be made part of the contract.

The collection of urine, one of the requirements of treatment services, is a service employee function. When districts issue a solicitation which includes the collection of urine, then a wage determination must be requested from the Department of Labor (DOL). In the past, this was accomplished by submitting Standard Forms 98 and 98a, Notice of Intention to Make a Service Contract and Response to Notice, and Attachment A to the DOL and waiting for the DOL to respond to the request.

Wage determinations may now be obtained through the DOL website http://www.wdol.gov/. The website contains a manual for its use and a point of contact for assistance. The website asks questions specific to the proposed procurement (i.e. performance location, type of service). If a wage determination is available, the website will provide a printer friendly version. The contracting officer will print out the wage determination, include it in the solicitation, in the contract or order award, and maintain it as file documentation. If the wage determination is not available, then an electronic 98 (e-98) may be used, which is also accessible through the website. Use of this website will reduce the waiting time for the DOL to respond to wage determination requests.

Instructions for the completion of the e-98 are available on the website. Information that may be helpful in responding to the questions or completion of the e-form for **Treatment Services** are:

- Services to be Peformed, click **Other**. For the Descriptions of Services to be Performed field insert “**Observed urine collection, storage, and reporting**.”

- Enter the appropriate number in the Standard Occupations field. At least one Occupation and the associated Number of Employees must be entered before submitting the SF-98 to the Department of Labor.

- The number for Standard Occupations will be 2: **Medical Assistant** and **Medical Lab Technician**.

- The number of employees in each Occupation: Usually 2, one for male and one for female collectors.

- The hourly rate that would be paid each class is Federally employed. (GS-4 step 1 for Medical Assistant and Lab Technician.) Verify hourly rate for GS-4 step 1 each year. This can be determined by dividing the annual salary of a GS-4 step one by 2,080 (work hours in a year).

Additional information pertaining to the Service Contact Act is located at 29 C.F.R. Part 4, and in the Guide to Judiciary Policy, Volume 14, Chapter 1, Section 130.20.55.

(Revised 6/14)

<u>COMPLETION OF THE REQUEST FOR PROPOSAL (RFP)</u>

A Request for Proposals (RFP) is prepared each year by the AO's Probation and Pretrial Services Office and the Procurement Management Division. The RFP sets forth the requirements for submitting a proposal and the terms and conditions of the resultant agreement. A RFP is prepared for each fiscal year. The RFP must be issued to anyone who requests a copy. The RFP may be issued up to the date and time for receipt of proposals. Allow at least 15 calendar days for return of offers. If schedules permit, additional time should be allowed.

The RFP is in the Uniform Contract Format (UCF) which is the standard format for solicitations required by the Guide to Judiciary Policy, Volume 14, Procurement. The following is a section-by-section description of the RFP:

1. <u>Section A - Solicitation/Offer/Acceptance Form (AO 367)</u>

   The Solicitation/Offer/Acceptance Form contains 14 information blocks. The probation or pretrial services office completes blocks 1 through 7b, and the Table of Contents. The offeror completes blocks 8 through 13b. Blocks 14 through 14C will be completed by the Contracting Officer (CO) when making an award.

2. <u>Section B - Supplies or Services and Offeror's Prices</u>

   The first page of this section includes a fill in the blank and check boxes format for district specific information.

   First, a fill in the blanks paragraph identifying the district soliciting and the catchment area for this RFP.

   Second, the CO will indicate in the RFP the number of vendors who will be selected to provide BPA services.

   Next, this section contains a "menu" list of the services that can be provided under the terms of the agreement. The Project Code (PC) number, Estimated Monthly Quantity (EMQ), and Unit Price of each service are listed. In the first column, the issuing office checks off the service(s) for which the offeror will bid and, in the fourth column, enters the EMQ for each service requested.

   The EMQ is the estimate of the amount or quantity of services to be provided during the month. For example, for PC 2010 (Individual Counseling) the district must enter its estimate of the total number of sessions that the contractor will provide all of our clients each month. For PC 4010 (Physical Examination and Report), the estimate would be an estimate of the number of examinations to be conducted each month. **<u>Do not confuse the EMQ with the number of clients</u>**

<u>that are estimated to utilize the contract.</u>

For example, if the district always had one client in residential treatment, the EMQ would be 30 days.

The EMQ also must include the quantity of services required for clients “piggybacking” on the agreement (i.e., pretrial services or BOP clients). Including this figure in the EMQ will give the vendor a reasonable estimate of anticipated workload.

If this solicitation is for a BPA, EMQ’s represent the total monthly quantities to be ordered per service item under the BPA. Each vendor placed on the BPA will receive a proportionate share of the quantities stated. This will be accomplished with the rotation of referrals.

3. <u>Section C - Statement of Work (SOW)</u>

This section sets forth the requirements of the services in the resultant agreement. For each project code, it describes how the vendor will provide the services requested.

Any services not contained in the standard SOW shall be incorporated into the RFP, Section C, identified as “Local Needs.” All such requirements must be written in a pass/fail style for evaluation purposes. All local needs require the approval of PPSO and PMD.

4. <u>Section D - Packaging and Marking</u>

This section is not applicable to our agreements.

5. <u>Section E - Inspection and Acceptance</u>

This section discusses the vendor’s performance and the right of the Government to inspect, monitor and evaluate the services provided.

6. <u>Section F - Deliveries and Performance</u>

This section informs the vendor to maintain minimum standards of the RFP and the requirements for vendors to meet with and report to the probation or pretrial services office on client behavior.

7. <u>Section G - Agreement Administration Data</u>

This section sets forth the fiscal procedures and invoicing requirements of the agreement and the maximum liability of the Government.

8. Section H - Special Agreement Requirements

   This section contains the Agency clauses regarding indemnification and drug free workplace.

9. Section I - Required Agreement Clauses

   This section contains standard clauses required in the agreement.

10. Section J - List of Attachments

    This section contains copies of documents referred to throughout the RFP. This section should also include the Department of Labor Wage Determination (if applicable).

11. Section K - Representations and Certifications

    These representations and certifications are agreement clauses required by the Guide to Judiciary Policy, Volume 14, Procurement. Offerors must complete these clauses.

12. Section L - Instruction, Conditions, and Notice to Offerors

    This section includes definitions and descriptions of the statements that offerors must include in their proposals as well as general instructions and notices.

13. Section M - Evaluation Factors for Award

    This section contains the basis for award and the criteria for evaluating proposals.

(Revised 5/11)

SAMPLE BPA RFP SOLICITATION COVER LETTER

(TO BE PLACED ON PROBATION OR PRETRIAL SERVICES OFFICE LETTERHEAD)

Date:
Re: Request for Proposals
Solicitation Number:_______________

Dear ____________:

The United States Probation/Pretrial Services Office for the ______________ District of ______________ is soliciting proposals to provide _____________________________ services for male and female federal defendant and/or offenders who are drug dependant, alcohol dependent, and/or suffering from a psychiatric disorder.

These individuals include persons on probation, supervised release, or parole, who are under the supervision of the United State Probation Office. This group could also include inmates in the United States Bureau of Prisons, who are residing in federal or contract community treatment centers, as wells as persons on pretrial release status under the supervision of the United States Pretrial Services Office.

Enclosed is a Request for Proposal (RFP). The RFP contains the full text of all applicable Government regulations, and all offerors are subject to the provisions contained in the RFP. In responding to the RFP, you should answer fully each item and supply all information requested. Section "L" provides specific directions for potential vendors in completing their proposals. All proposals will be evaluated by the criteria identified in Section "M."

Proposals will be awarded on the basis of initial offers submitted, and each initial offer should contain your organization's best terms from a cost and technical standpoint. There will be no additional opportunity to modify your proposal.

Please read the RFP carefully; do not rely on knowledge of previous RFPs, or knowledge of previous federal procurement procedures.

The estimated monthly quantities listed in Section "B" of the RFP is the estimate of the services to be provided during the term of this agreement. It is only an estimate.

Although the Government may choose to enter into a Blanket Purchase Agreement with multiple vendors, the Government reserves the right to award to a single vendor.

The term for this Blanket Purchase Agreement is 12 months, with a provision that shall allow the Government to unilaterally extend the agreement for an additional 2 years, at the Government's discretion.

A vendor must be capable of providing all services identified in Section "B" and within the geographic area identified in Section "B."

For all proposals, an original and 2 copies must be received no later than (Enter date and time for receipt of proposals and address).

All copies must be originally signed. A copy of the Blanket Purchase Agreement, Clauses and Terms of Agreement, should be retained by the vendor for their files. **Please do not submit proposals in binders or notebooks**.

Sincerely,

(Name) __________________
Contracting Officer

Enclosures

(Revised 5/11)

PASS/FAIL CHECKLIST

MANDATORY REQUIREMENTS:

(a) Did the Offeror submit a statement certifying that it will provide the mandatory requirements stated in Sections C, E, F and G and all services in strict compliance with the requirements, terms, and conditions of the RFP. This requirement includes submission of compliance statements for each subcontractor that will be providing services.

YES or NO

PAST PERFORMANCE

(a) Did the Offeror provide copies of all federal, state and local monitoring reports, letters, and/or federal, state, and local certificates for the previous 18 months? YES or NO

(b) Monitoring reports, letters, and/or certificates are rated at least "satisfactory" or "pass" regarding performance.

OR

If any monitoring report completed for the previous 18 months was rated less than "satisfactory," the deficiencies were corrected as documented on the subsequent monitoring report, resulting in the subsequent report being rated "satisfactory."

YES or NO

SITE(S) AT WHICH SERVICES ARE PROVIDED:

(a) Offeror's (and any proposed subcontractor) site(s) at which services will be provided is/are located in catchment area. YES or NO

(b) Offeror has provided copies of applicable business and/or operating license(s). YES or NO

(c) Offeror has provided copies of compliance with all federal, state and local fire, safety, and health codes. YES or NO

(Revised 5/11)

STAFF QUALIFICATIONS:

(a) Offeror (and any proposed subcontractor) meets all minimum staff requirements listed in Section C of the RFP. YES or NO

(b) The Offeror's Staff Qualifications Statement certified that no staff member(s) (including proposed subcontractor staff) providing services under this Agreement are under investigation for or charged with a criminal offense and/or under pretrial, probation, parole, mandatory release or supervised release. YES or NO

(c) The Offeror's Staff Qualifications Statement certified that no staff member(s) (including proposed subcontractor staff) providing services under this Agreement have been convicted of any sexual offense (including but not limited to child pornography offenses, child exploitation, sexual abuse, rape, or sexual assault) or are required under federal, state or local law to register on the Sexual Offender registry. YES or NO

ON-SITE VISITS

On site visits will be conducted for those offeror's whose proposals are determined technically acceptable based on the above stated criteria and meet the lowest price requirement. On site visits will be conducted to verify that the offeror's facility complies with the requirements of the RFP. There will be on-site evaluations for all subcontractors providing services.

(a) Offeror's (and any proposed subcontractor) facility meets requirements listed in Statement of Work. YES or NO

(Revised 6/14)

<u>Checklist for On-Site Visits</u>

1. Is the vendor's facility within the catchment area as stated in the RFP? ____Yes____No

Comments:

2. Does the vendor have current state and/or local operating licenses? ____Yes____No

List the licenses posted:

3. Is the vendor in compliance with all applicable fire, safety, and health code certificates? ____Yes____No

List the certificated posted:

4. Does the vendor's facility have private office space for counseling and a secured filing system which preserve confidentiality of client services? ____Yes____No

Explain:

5. Are emergency contact procedures identified and described for clients posted? ____Yes____No

Comments:

6. Does the vendor have a dedicated lavatory or lavatory that can be secured for collecting urine sample? ____Yes____No

Describe the area:

7. Does the vendor have a secure room or locked refridgerator for the storage of urine specimens and collection/testing supplies? ____Yes____No

Describe the area:

8. If applicable, does the vendor provide each inpatient resident with a bed and storage space for personal articles? ____Yes____No

Comments:

9. Are written emergency and evacuation plans and diagrams posted? ____Yes____No

Comments:

10. Are there smoke detectors on each floor? ____Yes____No

Comments:

11. Is there a first aid kit at the vendor's facility as set forth in the American Red Cross Manual? ____Yes____No

Comments:

12. Are client files segregated from other vendor records? ____Yes____No

Explain:

13. Does the physical facility meet the requirements for any local service that was required in the RFP? ____Yes____No

Explain:

14. Does the vendor's facility meet all additional requirements outlined in the RFP? ____Yes____No

Comments:

(Revised 4/10)

RESPONSIBILITY

It is the policy of the Government that purchases shall be made from, and contracts awarded to, **responsible** prospective contractors only. Therefore, no purchase or award shall be made unless the CO makes an affirmative determination of the responsibility of the prospective contractor. If the determination is that the prospective contractor is responsible, the CO's signature on the contract constitutes the determination and completion of the *Responsibility Determination Checklist* is sufficient. If, however, an award is not made because the prospective contractor was found to be non-responsible, the CO shall document the file with the reasons for the determination of non-responsibility. Always contact the AO Procurement Management Division before proceeding to eliminate any vendor from further consideration.

Why Determine Responsibility?

The award of a contract to a vendor based on lowest evaluated price alone can be false economy if there is subsequent default, late deliveries, or other unsatisfactory performance resulting in additional contractual or administrative costs. A prospective contractor must demonstrate its responsibility, including, when necessary, the responsibility of its proposed subcontractors.

Steps in Determining Responsibility

1. Review the List of Parties Excluded from Federal Procurement and Non-Procurement Programs.

   As a part of your responsibility determination, you must ensure that the offeror is not listed on the **List of Parties Excluded from Federal Procurement or Non-procurement Programs** . The list is maintained by the General Services Administration. It can be accessed at: http://jnet.ao.dcn/Procurement/Debarred_Vendor_List.html

2. Check the References provided with the proposal.

   Offerors are requested to submit three references from Federal, State, or local government agencies and/or private organizations for whom the offeror has provided treatment and other services as requested in the RFP. Contact the references and record the responses on the Question Sheet for Reference Checks. [Question Sheet for Reference Checks is included as part of this section.]

Note: If the vendor has submitted an employee of the U.S. Probation/Pretrial Services Office in the conducting the solicitation as a reference, the vendor should be asked, via a request for clarification, to submit an alternative reference.

3. Make a Determination

Record responsibility determination on the ***Responsibility Determination Checklist***

(Revised 4/10)

QUESTION SHEET FOR REFERENCE CHECKS

Vendor Name:___________________________ Reference:_______________________________

Point of Contact/Title:____
Reference checked by:_____________________________ Date:___________________________

The U.S. Probation/Pretrial Services Office will ask only the following questions to each reference as provided by the vendor. Comments provided by references must be noted. After finishing the questions, enter the date and sign at the bottom. This document becomes part of the procurement file.

1. Does/did this vendor have experience in providing the following services? (Check all that apply.)

____	Substances Abuse Services	____	Urine Collection
____	Mental Health Services	____	Sex Offender Services
____	Collection of Co-payments	____	Residential Services
____	Cognitive Behavioral Therapy	____	Detoxification Services
____	Medication Monitoring	____	Transportation Services

If no, indicate the services provided:
____
____
____

2. Is the vendor currently providing services?

YES [ ] NO [ ]

3. Have you used this vendor's services within the last 3 years?

YES [ ] NO [ ]

If no, why are you no longer using this vendor?
____
____
____

4. Were the services provided satisfactorily?

   If no, explain the specifics:
   ____
   ____
   ____

5. Has the vendor provided the following satisfactorily?

Timely Billing	YES [ ]	NO [ ]
Accurate collections and record keeping for co-payments	YES [ ]	NO [ ]
Billings only for services ordered and performed	YES [ ]	NO [ ]

6. If any problems were identified in questions 3 -5, were problems resolved to your/your agency's satisfaction?

   YES [ ]   NO [ ]   NOT APPLICABLE [ ]

7. Would you recommend this vendor to provide the referenced services?

   YES [ ]   NO [ ]

8. Any additional comments?
   ____
   ____
   ____

A VENDOR SHALL BE DETERMINED TO BE RESPONSIBLE IF RESPONSES TO QUESTIONS 3 THRU 7 ARE "YES".

ANY "NO" RESPONSES MAY RESULT IN THE VENDOR BEING NON-RESPONSIBLE. IF ANY "NO" RESPONSES ARE RECEIVED, THE COURT SHOULD CONTACT THE AO PROCUREMENT MANAGEMENT DIVISION BEFORE PROCEEDING TO ELIMINATE ANY VENDOR FROM FURTHER CONSIDERATION.

(Revised 4/10)

RESPONSIBILITY DETERMINATION CHECKLIST

1.	List of Parties Excluded from Federal Procurement and Non-Procurement Programs checked confirming the offeror is eligible to receive an award.	YES [ ]	NO [ ]
2.	References were contacted.	YES [ ]	NO [ ]
3.	**Offeror was found responsible.**	**YES [ ]**	**NO [ ]**

If NO, explain below:

____

If NO, AO Procurement Management Division was contact before vendor was eliminated from further consideration. YES [ ] NO [ ]

Signed ___________________________________

Date ______________________________________

(Revised 4/10)

DEBRIEFINGS

Unsuccessful vendors may request a debriefing to discuss why they were determined technically unacceptable. Debriefings may be conducted in writing or in person at the requestor's option.

To the extent practical, debriefings should occur within five days after receipt of a written request.

- *Always* contact the AO's Procurement Management Division after receiving a request for a debriefing and *before* conducting a debriefing.

A debriefing should generally follow an explanation of deficient areas of the proposal using the Evaluation Criteria listed in Section M of the RFP as a guideline. You will not make comparisons with other offers. You may reveal pricing of successful offeror(s) at a debriefing. You may not reveal any prices of unsuccessful offeror(s). Always have a witness at a debriefing, and always prepare a memorandum for the record immediately after a debriefing while it is still fresh in your mind.

Information that can be disclosed at debriefings:

- Weak or deficient factors in the offeror's proposal that resulted in a "fail" evaluation.

- Current year pricing of the successful offeror(s).

Information that should not be disclosed at debriefings:

- Evaluation comparison with other offeror(s).

- Pricing of any unsuccessful offeror(s).

(Revised 4/13)

AWARD PROCEDURES

PURCHASE ORDERS AND ESTABLISHING BPA'S

When evaluations have been completed and the CO has made the final selection of vendor(s) for a Purchase Order or BPA you are ready to make awards.

Completing the Necessary Forms and Letters

Procedures:

- Completion of AO Form 367, blocks 14 - 14C.
  Acceptance of a vendor's proposal for selection is made on the AO Form 367, Solicitation/Offer/Acceptance. This is to be completed by the CO, at blocks 14 - 14C.

- Completion of Optional Forms 347 and 348 or local court approved forms.

  The CO prepares the Optional Form 347 for Purchase Orders and the Optional Form 347 and 348 for establishing a BPA.

Using Optional Form 347 a Purchase Order is completed as follows:

BLOCK 1. Date - Date document issued

BLOCK 2. Contract Number - The assigned Purchase Order Number

BLOCK 3. Order No. - To be assigned locally, if required

BLOCK 4. Leave Blank

BLOCK 5. Issuing Office - The Probation and/or Pretrial Services Office Address

BLOCK 6. Ship to- The CO's name and address (or the name and address of the person responsible for administering the Agreement).

BLOCK 7. To - Vendor's name and address

BLOCK 8. Type of order
Part a) Purchase Order - Check Purchase Order
Part b) Deliver Order - Leave Blank

BLOCK 9. Accounting and Appropriation data-the Central Accounting Code (CAS) provided by the Federal Correction and Supervision Division with district's annual funding.

BLOCKS 10-15. Leave Blank

BLOCK 16. Enter any discount for prompt payment

BLOCK 17. Schedule -

a) Item No. -enter the service codes.
b) Supplies or Services - enter names of service(s)
c) Quantity Ordered - enter Indef.
d) Unit - enter unit description.
e) Unit Price - enter the price.
f) Leave Blank
g) Leave Blank
h) Leave Blank
i) Enter the Total NTE amount

BLOCKS 18 - 20. Leave blank

At the bottom of the "Supply and Services" section state the fiscal year effective dates for the Agreement.

BLOCKS 21 - 23. Complete as indicated.

Note: If you do not have enough room to enter all services code on the OF 347, continuation sheet.

Using Optional Forms 347 and 348 the BPA is complete as follows:

BLOCK 1. Date - Date document issued

BLOCK 2. Contract Number - The assigned BPA Number[1]

BLOCK 3. Order No. - To be assigned locally, if required

BLOCK 4. Leave Blank

BLOCK 5. Issuing Office - The Probation and/or Pretrial Services Office Address.

BLOCK 6. Ship to - The CO's name and address (or the name and address of the person

[1]The assigned BPA number is the same number for each vendor on the BPA list.

responsible for administering the BPA).

BLOCK 7. To Vendor's name and address, (If establishing a BPA use a separate OF 347 for each vendor).

BLOCK 8. Type of Order
Part a) Purchase Order - Leave Blank
Part b) Delivery Order - Type in BPA

BLOCK 9. Accounting and Appropriation data- the Central Accounting Code (CAS) provided by the Federal Correction and Supervision Division with district's annual funding. The accounting codes are only included on the master copy of the BPA provided to the Clerk.

BLOCKS 10-15. Leave Blank

BLOCK 16. Enter any discount for prompt payment.

BLOCK 17. Schedule -
a) Item No. - enter the services codes.
b) Supplies or Services - enter names of service(s).
c) Quantity Ordered - enter Indef.
d) Unit - enter unit description.
e) Unit Price- enter the price.
f) Leave Blank
g) Leave Blank

BLOCKS 18-20. Leave Blank

At the bottom of the "Supply and Services" section state the fiscal year effective dates for the BPA. Do not include the NTE amount on the vendor's BPA or indicate the names of other service providers.

BLOCKS 21 - 23. Complete as indicated.

The Optional Form 348 is to be used to list each authorized referral agent by name and title for the BPA. It should be completed as follows:

BLOCK 1. Date of Order-As indicated

BLOCK 2. Contract Number-Insert Identical BPA No.

The identical BPA number should be listed on each page.

(Revised 4/13)

BLOCK 3. Order No. - Local Use

COLUMN A. Insert number of statement(s) in sequence

COLUMN B. This column contains the following sample statements and conditions for each vendors' information:

1. The BPA # _____ is established between the USPO/PTS & BOP wherein the vendor shall supply the services designated in the SOW if and when the referrals are made by the agents authorized below, during the fiscal year 10/01 to 09/30 and give annual dates.

2. All service(s) ordered under this agreement shall be accompanied by a Program Plan (Probation Form 45), or BOP Transitional Services Program Plan (BP-S530.074) which shall include the BPA number, name of provider, date of order, and itemized list of services ordered and frequency.

3. List individuals authorized to purchase through this BPA by name and title. (These are the individuals authorized to make the referrals and may properly be called referral agents.)

- Issuance of a cover/award letter to each vendor selected for a Purchase Order or BPA, transmitting the agreement and the forms.

When issuing the cover/award letter to vendors selected, you will include:

- Optional Forms 347 (and OF 348 to establish a BPA);
- AO Form 367 Solicitation/Offer/Acceptance, signed by the CO;
- Awardee’s proposal; and
- A copy of the RFP, excluding Sections L and M.

This becomes the terms and conditions of the agreement.

- Issuance of letters to unsuccessful vendors

SAMPLES OF FORMS AND LETTERS ARE ATTACHED AT TAB 14

ORDER FOR SUPPLIES OR SERVICES

PAGE OF PAGES

IMPORTANT: Mark all packages and papers with contract and/or order numbers.

1. DATE OF ORDER	2. CONTRACT NO. *(If any)*	6. SHIP TO:
3. ORDER NO.	4. REQUISITION/REFERENCE NO.	a. NAME OF CONSIGNEE
5. ISSUING OFFICE *(Address correspondence to)*		b. STREET ADDRESS
7. TO:		c. CITY / d. STATE / e. ZIP CODE
a. NAME OF CONTRACTOR		f. SHIP VIA
b. COMPANY NAME		8. TYPE OF ORDER
c. STREET ADDRESS		☐ a. PURCHASE REFERENCE YOUR: ____________ Please furnish the following on the terms and conditions specified on both sides of this order and on the attached sheet, if any, including delivery as indicated.
d. CITY / e. STATE / f. ZIP CODE		☐ b. DELIVERY -- Except for billing instructions on the reverse, this delivery order is subject to instructions contained on this side only of this form and is issued subject to the terms and conditions of the above-numbered contract.
9. ACCOUNTING AND APPROPRIATION DATA		10. REQUISITIONING OFFICE

11. BUSINESS CLASSIFICATION (*Check appropriate box(es)*)

☐ a. SMALL ☐ b. OTHER THAN SMALL ☐ c. DISADVANTAGED ☐ g. SERVICE-DISABLED VETERAN-OWNED

☐ d. WOMEN-OWNED ☐ e. HUBZone ☐ f. EMERGING SMALL BUSINESS

12. F.O.B. POINT

13. PLACE OF		14. GOVERNMENT B/L NO.	15. DELIVER TO F.O.B. POINT ON OR BEFORE *(Date)*	16. DISCOUNT TERMS
a. INSPECTION	b. ACCEPTANCE			

17. SCHEDULE *(See reverse for Rejections)*

ITEM NO. (a)	SUPPLIES OR SERVICES (b)	QUANTITY ORDERED (c)	UNIT (d)	UNIT PRICE (e)	AMOUNT (f)	QUANTITY ACCEPTED (g)
				$	$	
				$	$	
				$	$	
				$	$	
				$	$	
				$	$	
				$	$	
				$	$	
				$	$	
				$	$	
				$	$	
				$	$	
				$	$	

SEE BILLING INSTRUCTIONS ON REVERSE

18. SHIPPING POINT	19. GROSS SHIPPING WEIGHT	20. INVOICE NO.	**17(h) TOT. *(Cont. pages)***
21. MAIL INVOICE TO:			
a. NAME			
b. STREET ADDRESS *(or P.O. Box)*			
c. CITY	d. STATE	e. ZIP CODE	$ **17(i) GRAND TOTAL**

22. UNITED STATES OF AMERICA BY *(Signature)*

23. NAME *(Typed)*

TITLE: CONTRACTING/ORDERING OFFICER

AUTHORIZED FOR LOCAL REPRODUCTION
PREVIOUS EDITION NOT USABLE

OPTIONAL FORM 347 (REV. 4/2006)
Prescribed by GSA/FAR 48 CFR 53.213(f)

SUPPLEMENTAL INVOICING INFORMATION

If desired, this order (or a copy thereof) may be used by the Contractor as the Contractor's invoice, instead of a separate invoice, provided the following statement, (signed and dated) is on (or attached to) the order: "Payment is requested in the amount of $ ____________ . No other invoice will be submitted." However, if the Contractor wishes to submit an invoice, the following information must be provided: contract number (if any), order number, item number(s), description of supplies or service, sizes, quantities, unit prices, and extended totals. Prepaid shipping costs will be indicated as a separate item on the invoice. Where shipping costs exceed $10 (except for parcel post), the billing must be supported by a bill of lading or receipt. When several orders are invoiced to an ordering activity during the same billing period, consolidated periodic billings are encouraged.

RECEIVING REPORT

Quantity in the "Quantity Accepted" column on the face of this order has been: ☐ inspected, ☐ accepted, ☐ received by me and conforms to contract. Items listed below have been rejected for the reasons indicated.

SHIPMENT NUMBER	PARTIAL		DATE RECEIVED	SIGNATURE OF AUTHORIZED U.S. GOV'T REP.	DATE
	FINAL				
TOTAL CONTAINERS		GROSS WEIGHT	RECEIVED AT	TITLE	

REPORT OF REJECTIONS

ITEM NO.	SUPPLIES OR SERVICES	UNIT	QUANTITY REJECTED	REASON FOR REJECTION

ORDER FOR SUPPLIES OR SERVICES
SCHEDULE - CONTINUATION

PAGE NO.

IMPORTANT: Mark all packages and papers with contract and/or order numbers.

DATE OF ORDER	CONTRACT NO.	ORDER NO.

ITEM NO. (a)	SUPPLIES OR SERVICES (b)	QUANTITY ORDERED (c)	UNIT (d)	UNIT PRICE (e)	AMOUNT (f)	QUANTITY ACCEPTED (g)
	TOTAL CARRIED FORWARD TO 1ST PAGE (ITEM 17h)					

NSN 7540-01-152-8082

OPTIONAL FORM 348 (10-83)
Prescribed by GSA-FAR (48 CFR)

(Revised 5/11)

SAMPLE UNSUCCESSFUL LETTER - NOT LOWEST PRICED

(TO BE PLACED ON PROBATION OR PRETRIAL SERVICES OFFICE LETTERHEAD)

Date:
Re: Solicitation Number:_______________

Dear ____________:

After a careful and thorough review of your proposal submitted in response to the above referenced solicitation, your proposal was determined to be technically acceptable. However, you were not selected for award at this time because you were not the lowest priced vendor submitting a technically acceptable proposal.

In accordance with the solicitation, award was made to the following lowest price, technically acceptable vendor:

[Insert Vendor Name] [Insert Total Evaluated Price]

Thank you for your interest and participation in this solicitation.

Sincerely,

(Name)_________________
Contracting Officer

(Revised 5/11)

SAMPLE UNSUCCESSFUL LETTER - NOT TECHNICALLY ACCEPTABLE

(TO BE PLACED ON PROBATION OR PRETRIAL SERVICES OFFICE LETTERHEAD)

Date:
Re: Solicitation Number:________________

Dear _____________:

After a careful and thorough review of your proposal submitted in response to the above referenced solicitation, the USPO/USPSO has determined that your proposal is technically unacceptable due to a failure to meet the requirements set forth in the Request for Propoposal (RFP).

In accordance with the solicitation/RFP, award was made to the following lowest price, technically acceptable vendor:

[Insert Vendor Name] [Insert Total Evaluated Price]

Thank you for your interest and participation in this solicitation.

Sincerely,

(Name)____________________
Contracting Officer

(Revised 6/14)

Treatment Services Monitoring Requirements

A written monitoring report is required for each vendor on a BPA and CPO within 120 days after initial award and exercising an option to renew a BPA. A second written report is required if deficiencies or problems were cited in the first report, or at least 120 days prior to exercising the option to renew a BPA. If deficiencies or problems occur during the final option year and an "unsatisfactory" or "unacceptable" rating is issued, a subsequent monitoring report must be completed before the end of the period of performance. Instances where an "unsatisfactory" or "unacceptable" rating is given must result in the vendor being provided with a written notice containing specific corrective action and a deadline for completion. The follow-up monitoring must be performed within 60 days in order to document the vendor's compliance or noncompliance with the required corrective action. A written monitoring report is not required for NCPOs, except to document deficiencies and the actions taken to address those deficiencies. Copies of the written report should be provided to the vendor and included in the procurement file.

The table below provides a summary of the BPA monitoring requirements:

	Base	Option 1	Option 2
Number of Monitoring Visits/Written Reports Required	1 (Within 120 days of initial award)	1 (Within 120 days of exercising option)	1 (Within 120 days of exercising option)
	2 (If deficiencies or problems were noted in the first report, or at least 120 days prior to exercising the option to renew a BPA)	2 (If deficiencies or problems were noted in the first report, or at least 120 days prior to exercising the option to renew a BPA)	2 (Only if deficiencies or problems occur and an "unsatisfactory" or "unacceptable" rating is issued, a subsequent report must be completed prior to the end of the period of performance)

Monitoring visits may be made by the Chief Probation/Pretrial Services Officer or his or her designee(s). Options to renew for BPAs will not be extended unless the required monitoring reports have been completed and the vendor is performing at a satisfactory level.

THIS PAGE IS PROVIDED FOR INFORMATION PURPOSES ONLY AND SHOULD NOT BE PROVIDED TO THE VENDOR AS PART OF THE MONITORING REPORT.

(Revised 6/14)

Instructions for Completing a Monitoring Visit and Report

Some sections in this report will not apply in all BPAs or CPOs. The response in such sections should be N/A (not applicable). Use the summary sections to give details of deficiencies or exemplary performance under a particular heading.

When conducting a monitoring visit, you must review at least a representative sample of defendant/offenders files receiving services from the vendor. You must also interview vendor staff, defendant/offenders receiving services, BOP staff (if applicable), and probation/pretrial service officers. The comment sections should be utilized to provide a detailed description of the interview findings.

The initial post-award monitoring report will cover the period from the date of the award to the date of your visit. Subsequent monitoring reports will cover the period from the date of your last visit to the date of the current monitoring visit/written report.

Before conducting the monitoring visit, the reviewer should be familiar with the vendor's requirements as indicated in the Request for Proposal (RFP). We also recommend that the reviewer complete the activities listed below, before the monitoring visit and report.

1. Run any PACTS reports to aid in the monitoring visit. (Validation reports, Probation 45 Open Program Plan by vendor, etc.)

2. Familiarize yourself with the Statement of Work and project codes for each vendor, including applicable local needs, and take a copy to the monitoring visit.

3. Create a checklist utilizing the applicable statement of work for each vendor.

4. Review previous monitoring reports for the vendor (if applicable) and take a copy to the monitoring visit.

5. Review any letters/reports submitted regarding the vendor, emails from staff concerning vendor, and/or any correspondence from the vendor.

6. If applicable, review rotation to ensure that it is equitable.

7. Check with officers before the visit and make sure there are no current issues/concerns that need to be addressed.

THIS PAGE IS PROVIDED FOR INFORMATION PURPOSES ONLY AND SHOULD NOT BE PROVIDED TO THE VENDOR AS PART OF THE MONITORING REPORT.

8. Check for billing issues/concerns with the applicable person.

9. Make arrangements to attend group sessions and any other services that should be observed to complete the monitoring report.

Rating Process

Ratings are awarded using the criteria defined on page 1 of the Post-Award Monitoring Report. The reviewer should refer to section V for guidance in rating the vendor as exceeding the requirements of the statement of work and thereby earning an excellent rating. A vendor need not receive a "yes" answer to every question in section V to receive an excellent rating; however, there should be no other deficiencies in sections I, II, III, or IV.

It is important for monitoring to conform to the above standards and for all deficiencies to be clearly documented with a vendor rating that accurately corresponds with the findings. Vendors exhibiting deficiencies or problems should not be rated as “satisfactory” solely for the purpose of continued use. Instances where an “unsatisfactory” or “unacceptable” rating is given must result in the vendor being provided with a written notice containing specific corrective action and a deadline for completion. The follow-up monitoring must be performed within 60 days in order to document the vendor’s compliance or noncompliance with the required corrective action. You will need this type of documentation to pursue permission to discontinue use.

Unsatisfactory/Unacceptable performance can result in discontinued use of a vendor. The contracting officer (CO) must consult with the AO's Probation and Pretrial Services Office (PPSO) and the Procurement Management Division (PMD) before discontinuing referrals.

THIS PAGE IS PROVIDED FOR INFORMATION PURPOSES ONLY AND SHOULD NOT BE PROVIDED TO THE VENDOR AS PART OF THE MONITORING REPORT.

(Revised 6/12)

POST-AWARD MONITORING REPORT

DISTRICT: ____ PROCUREMENT NUMBER: ____

VENDOR: ____ REVIEWED BY: ____

DATE OF VISIT: ___________________ PERIOD COVERED: ____

NUMBER OF FEDERAL CLIENTS IN PROGRAM: ______________________

==

RATING CRITERIA

The evaluation rating on this report must be completed using the following rating definitions:

(1)	Excellent	During the monitoring period, the vendor has exceeded the requirements of the statement of work. There were no deficiencies and the vendor has operated within the terms and conditions of the agreement. The agreement should be continued.
(2)	Satisfactory	There are few problems or issues and the vendor generally operates within the terms and conditions of the agreement. Any improvements would be considered minor. The agreement should be continued.
(3)	Unsatisfactory	There are deficiencies with the performance of the vendor that must be corrected. The vendor will be notified via this monitoring report of the deficiencies and corrective measures and given a specific time frame in which to correct the deficiencies and become in full compliance with the terms and conditions of the agreement. The agreement will only be continued if the deficiencies are corrected within the stated time frame. If not corrected in the time frame, the existing referrals may be terminated, the option to renew will not be exercised, or future referrals may cease.
(4)	Unacceptable	There are deficiencies with the performance of the vendor which have not been corrected, cannot be corrected, or the vendor refuses to correct. Continuation of the agreement will only be allowed until a new service provider can be obtained. Termination of the existing referrals will be made either for the convenience of the Government or for default.

(Revised 6/12)

I. DELIVERABLES	Yes	No	NA
A. File Maintenance			
1. Is the vendor's file maintenance and content in compliance with Section C of the Statement of Work?			
B. Case Staffing Conference			
1. Does the vendor participate in case staffing conferences as defined in Section C of the Statement of Work?			
C. Vendor Reports			
1. Are vendor reports in compliance with Section C of the Statement of Work?			
D. Vendor Testimony			
1. Does the vendor provide "testimony" in compliance with Section C of the Statement of Work?			
E. Notifying USPO/USPSO of Defendant/Offender Behavior			
1. Is there timely notification of defendant/offender noncompliant behavior as defined in Section C of the Statement of Work?			
F. Staff Requirements and Restrictions			
1. Is the vendor in compliance with the staff requirements and restrictions as defined in Section C of the Statement of Work?			
G. Facility Requirements			
1. Is the vendor in compliance with the facility requirements and restrictions as defined in Section C of the Statement of Work?			

Deficiency:

Corrective Action:

II. PROVISION OF SERVICES	**Yes**	**No**	**NA**
1. Is the vendor providing services in compliance with Section C of the Statement of Work for the specific project codes in the agreement?			
2. Are defendants/offenders receiving the services specified in the program plan?			
3. Is the vendor providing services in compliance with Section F of the Statement of Work?			

Deficiency:

Corrective Action:

III. AGREEMENT ADMINISTRATION	Yes	No	NA
1. Are the invoices submitted in compliance with Section G of the Statement of Work?			
2. Is the vendor in compliance with Sections E, F, G, and H of the Statement of Work?			

Deficiency:

Corrective Action:

IV. INTERVIEWS

A. Defendant/Offender

Number of Defendant/Offenders interviewed: ________________

	Yes	No	NA
1. Did the defendant/offender report any problems or recommendations for improvement?			

Comments:

B. USPO/USPSO

Number of USPO/USPSOs interviewed: ________________

	Yes	No	NA
1. Is there a timely response to referrals?			
2. Are you initiating program plans and amended plans?			
3. Is the vendor following the program plans?			
4. Is there a good working relationship with the service provider?			
5. Are you meeting with the vendor face-to-face or via telephone conference at least every 30 days to discuss the defendant/offender's progress in treatment?			

Comments:

(Revised 6/12)

C. Provider (Director and/or Primary Counselor)			
	Yes	**No**	**NA**
1. Are you receiving advance notice of referrals?			
2. Is the program plan and authorization of release received timely?			
3. Are USPO/USPSOs responding timely to telephone calls/correspondence?			
4. Are you communicating with the USPO/USPSO at least every 30 days?			
5. Are you timely notifying USPO/USPSOs of stalls, missed sessions, and/or violation behavior?			
6. Are USPOs responsive to concerns and recommendations?			
Comments:			

V. CONTENT OF SERVICES	**Yes**	**No**	**NA**
Note: This section will only be considered for rating the vendor as exceeding expectations and therefore justifying an excellent rating. A no answer to any of these items may not be used to rate a vendor as unsatisfactory or unacceptable.			
1. Are interactions with the defendant/offender deliberate, purposeful, and based on clinical modalities that have demonstrated evidence to change behavior/stabilize mental health symptoms, etc.?			
2. Does the vendor provide counseling that addresses criminogenic needs and responsivity issues?			
3. Does the vendor have outcome measures in place to evaluate their programs?			
4. Has the vendor routinely taken steps to transition defendants/ offenders to services in the community to aid them once they have completed supervision?			
5. Is counseling provided by a practitioner with a degree/license that exceeds the minimum standards in the Statement of Work?			
6. Does the vendor have a national accreditation/certification (i.e. CARF)?			
Comments:			

(Revised 6/12)

VI. ADJUSTMENTS/RECOMMENDATIONS

Comments:

VII. RATING

☐ Excellent ☐ Satisfactory ☐ Unsatisfactory ☐ Unacceptable

VIII. JUSTIFICATION

(Revised 4/10)

<u>BLANKET PURCHASE AGREEMENT RENEWAL REQUEST</u>

(use additional pages as needed)

DISTRICT___________________________ DATE_____________________________

VENDOR____________________________ BPA NO. USCA_____________________

DELIVERY ORDER NO.____

1. TYPE OF SERVICE(S) AND CATCHMENT AREA:_______________________

2. MONTHLY AVERAGE OF CLIENTS REFERRED TO VENDOR THIS FISCAL YEAR:__________________

3. NUMBER OF CLIENTS PRESENTLY ENROLLED IN PROGRAM: _____________

4. RESULTS OF LAST MONITORING (DATES AND PERFORMANCE EVALUATION RATING):____

5. PLEASE DESCRIBE THE VENDOR'S PERFORMANCE DURING THIS FISCAL YEAR INCLUDING <u>ANY</u> SIGNIFICANT CHANGES OR PROBLEMS IN PERFORMANCE DURING THE YEAR:_____________________________

(Revised 4/10)

6. DOES PROBATION/PRETRIAL STAFF MAKE USE OF, AND HAVE CONFIDENCE IN THE INCUMBENT?

YES NO

DESCRIBE:____
____
____
____
____
____
____

7. HAVE THERE BEEN ANY SIGNIFICANT CHANGES IN THE COMPETITIVE ENVIRONMENT?

YES NO

DESCRIBE YOUR EFFORTS TO REVIEW THE AVAILABILITY OF COMMUNITY RESOURCES AND THE AVAILABILITY OF THOSE SERVICES:_______________
____
____
____
____
____
____

8. IF YOU ANSWERED YES TO NUMBER 7, HAVE YOU CONTACTED THEM ABOUT SUBMITTING A PROPOSAL FOR FISCAL YEAR__________?

YES NO

IF NO, STATE THE REASON:____
____
____
____
____
____
____

9. AFTER INFORMALLY REVIEWING AND ANALYZING THE CURRENT MARKET

PLACE, ARE BETTER PRICES AND SERVICES AVAILABLE FROM OTHER SERVICE PROVIDERS?

YES NO

EXPLAIN THE ANSWER:____

____

____

____

____

____

____

10. RECOMMENDATION:

A. ________________ EXERCISE OPTION (GIVE JUSTIFICATION BELOW)

B. ________________ DO NOT EXERCISE OPTION (GIVE JUSTIFICATION BELOW)

C. RECOMMENDED FISCAL YEAR ________ AWARD AMOUNT__________.

JUSTIFICATION:____

____

____

____

____

____

____

(NAME TYPED AND SIGNED)
CHIEF U.S. (PROBATION/PRETRIAL SERVICES) OFFICER

(Revised 5/11)

<u>SAMPLE NOTICE OF INTENT TO EXTEND BPA LETTER</u>

(TO BE PLACED ON PROBATION OR PRETRIAL SERVICES OFFICE LETTERHEAD)

NOTE TO CO: THIS LETTER IS ISSUED NOT LATER THAN 60 DAYS PRIOR TO THE END OF THE FISCAL YEAR.

Date:
Re: Notice of Intent to Extend Term of
BPA Number:________________

Dear _____________:

This letter constitutes preliminary notification that the United States Probation/Pretrial Services Office intends to exercise the option to extend the term of the Blanket Purchase Agreement in accordance with Section I, Option to Extend the Term of the Contract. This notice is contingent upon your satisfactory and successful performance to date.

On or about October 1, 20__, the United States Probation/Pretrial Services Office will issue a delivery order for services for a renewal term commencing October 1, 2__, through September 30, 20__. Prices for required services will reflect those submitted in your proposal.

In accordance with the Option Clause noted above, this preliminary notice does not commit the Government to an extension and is contingent upon the availability of funds.

Questions may be directed to ____________________, Contracting Officer, at (<u>area code and telephone number</u>).

Sincerely,

<u>(Name)____________________</u>
Contracting Officer

(Revised 5/11)

SAMPLE NOTICE OF EXTENSION LETTER

(TO BE PLACED ON PROBATION OR PRETRIAL SERVICES OFFICE LETTERHEAD)

NOTE TO CO: THIS LETTER IS ISSUED FOR NEW FISCAL YEAR ALONG WITH SF-30, MODIFICATION OF AGREEMENT, TO BE DATED WITHIN 30 DAYS OF EXPIRATION OF CURRENT PERIOD.

Date:
Re: Notice of Extension of the Term of BPA Number:_________________

Dear ____________:

The United States Probation/Pretrial Services Office is pleased to inform you that Blanket Purchase Agreement (BPA) number __________________, for treatment services for federal defendants and/or offenders for the _______________ District of ______________, is modified to reflect the extension of the term of the agreement. This agreement is extended for the period beginning October 1, 20__ through September 30, 20__.

Enclosed please find Modification number ____________________ which executes the extension. As soon as we have received an approved budget from Congress, we will issue an OF-347 and 348 for services for the renewal term. Prices for required services will reflect those submitted in your proposal for this option period.

Questions may be directed to _______________, Contracting Officer, at (area code and telephone number). Thank you for your continued cooperation.

Sincerely,

(Name)_________________
Contracting Officer

Enclosure

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT

1. CONTRACT ID CODE

PAGE OF PAGES

2. AMENDMENT/MODIFICAITON NO.	3. EFFECTIVE DATE	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. *(If applicble)*

6. ISSUED BY	CODE	7. ADMINISTERED BY *(If other than Item 6)*	CODE

8. NAME AND ADDRESS OF CONTRACTOR *(No., street, county, State and ZIP Code)*

(X)

☐ 9A. AMENDMENT OF SOLICIATION NO.

9B. DATED *(SEE ITEM 11)*

☐ 10A. MODIFICATION OF CONTRACT/ORDER NO.

10B. DATED *(SEE ITEM 13)*

CODE

FACILITY CODE

11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS

☐ The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers ☐ is extended, ☐ is not extended.

Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods:
(a)By completing items 8 and 15, and returning ________ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment your desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. ACCOUNTING AND APPROPIRATION DATA *(If required)*

13. THIS ITEM ONLY APPLIES TO MODIFICATION OF CONTRACTS/ORDERS. IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.

CHECK ONE	
☐	A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: *(Specify authority)* THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.
☐	B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES *(such as changes in paying office, appropriation date, etc.*) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b).
☐	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:
☐	D. OTHER *(Specify type of modification and authority)*

E. IMPORTANT: Contractor ☐ is not, ☐ is required to sign this document and return ________ copies to the issuing office.

14. DESCRIPTION OF AMENDMENT/MODIFICATION (*Organized by UCF section headings, including solicitation/contract subject matter where feasible.)*

Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.

15A. NAME AND TITLE OF SIGNER *(Type or print)*		16A. NAME AND TITLE OF CONTRACTING OFFICER *(Type or print)*	
15B. CONTRACTOR/OFFEROR *(Signature of person authorized to sign)*	15C. DATE SIGNED	16B. UNITED STATES OF AMERICA *(Signature of Contracting Officer)*	16C. DATE SIGNED

INSTRUCTIONS

Instructions for items other than those that are self-explanatory, are as follows:

(a) Item 1 (Contract ID Code). Insert the contract type identification code that appears in the title block of the contract being modified.

(b) Item 3 (Effective date).

(1) For a solicitation amendment, change order, or administrative change, the effective date shall be the issue date of the amendment, change order, or administrative change.

(2) For a supplemental agreement, the effective date shall be the date agreed to by the contracting parties.

(3) For a modification issued as an initial or confirming notice of termination for the convenience of the Government, the effective date and the modification number of the confirming notice shall be the same as the effective date and modification number of the initial notice.

(4) For a modification converting a termination for default to a termination for the convenience of the Government, the effective date shall be the same as the effective date of the termination for default.

(5) For a modification confirming the contacting officer's determination of the amount due in settlement of a contract termination, the effective date shall be the same as the effective date of the initial decision.

(c) Item 6 (Issued By). Insert the name and address of the issuing office. If applicable, insert the appropriate issuing office code in the code block.

(d) Item 8 (Name and Address of Contractor). For modifications to a contract or order, enter the contractor's name, address, and code as shown in the original contract or order, unless changed by this or a previous modification.

(e) Item 9, (Amendment of Solicitation No. - Dated), and 10, (Modification of Contract/Order No. - Dated). Check the appropriate box and in the corresponding blanks insert the number and date of the original solicitation, contract, or order.

(f) Item 12 (Accounting and Appropriation Data). When appropriate, indicate the impact of the modification on each affected accounting classification by inserting one of the following entries.

(1) Accounting classification ....
Net increase $ ....

(2) Accounting classification ....
Net decrease $ ....

NOTE: If there are changes to multiple accounting classifications that cannot be placed in block 12, insert an asterisk and the words "See continuation sheet".

(g) Item 13. Check the appropriate box to indicate the type of modification. Insert in the corresponding blank the authority under which the modification is issued. Check whether or not contractor must sign this document. (See FAR 43.103.)

(h) Item 14 (Description of Amendment/Modification).

(1) Organize amendments or modifications under the appropriate Uniform Contract Format (UCF) section headings from the applicable solicitation or contract. The UCF table of contents, however, shall not be set forth in this document

(2) Indicate the impact of the modification on the overall total contract price by inserting one of the following entries:

(i) Total contract price increased by $ ....

(ii) Total contract price decreased by $ ....

(iii) Total contract price unchanged.

(3) State reason for modification.

(4) When removing, reinstating, or adding funds, identify the contract items and accounting classifications.

(5) When the SF 30 is used to reflect a determination by the contracting officer of the amount due in settlement of a contract terminated for the convenience of the Government, the entry in Item 14 of the modification may be limited to --

(i) A reference to the letter determination; and

(ii) A statement of the net amount determined to be due in settlement of the contract.

(6) Include subject matter or short title of solicitation/contract where feasible.

(i) Item 16B. The contracting officer's signature is not required on solicitation amendments. The contracting offier's signature is normally affixed last on supplemental agreements.

(Revised 8/11)

SAMPLE NOTICE OF INTENT NOT TO EXTEND BPA LETTER

(TO BE PLACED ON PROBATION OR PRETRIAL SERVICES OFFICE LETTERHEAD)

NOTE TO CO: THIS LETTER IS ISSUED NOT LATER THAN 60 DAYS PRIOR TO THE END OF THE FISCAL YEAR.

Date:
Re: Notice of Intent Not to Extend Term of BPA Number:____________________

Dear ____________:

This letter constitutes notification that the United States Probation/Pretrial Services Office does not intend to exercise the option to extend the term of the Blanket Purchase Agreement in accordance with Section I, Option to Extend the Term of the Contract. As a result, the above-referenced agreement will expire on September 30, (enter year).

Questions may be directed to (Name)________________, Contracting Officer, at (area code and telephone number).

Sincerely,

(Name)____________________
Contracting Officer

(Revised 6/14)

BLANKET PURCHASE AGREEMENTS
STEP-BY-STEP PROCEDURES AND OVERVIEW

Introduction

A Blanket Purchase Agreement (BPA) is a simplified method of addressing anticipated repetitive needs for supplies or services by establishing "charge accounts" with qualified sources of supply. BPAs should be established when it is anticipated that the services needed will exceed the $25,000 threshold for small purchases. Use of BPAs promotes competition and allows districts to utilize multiple vendors. It also simplifies the procurement of services and diminishes the potential for formal contract protests. BPAs can be created using standard Order for Supplies or Services (Optional Form 347) and the standard Order for Supplies or Services Schedule - Continuation (Optional Form 348). The following procedures must be followed by district personnel utilizing BPAs.

Establishing a BPA

A. The contracting officer (CO) or designee conducts a thorough needs assessment of treatment services for the district. The needs assessment identifies:

1. The anticipated services required;
2. Estimated Monthly Quantities (EMQs) of services for all agencies that will use the BPA;
3. The number of service providers needed; and
4. Special concerns and treatment issues that may need to be incorporated into the local needs section of the statement of work (SOW).[1]

B. The CO establishes catchment areas based on geography, proximity to defendants/offenders, and the number of vendors needed to provide the required services.

C. The CO reviews the standard SOW.

D. The CO incorporates into the SOW any specific needs of local services, if necessary. All such requirements must be written in a pass/fail style for evaluation purposes.

E. The AO Procurement Management Division places an advertisement for each district in the FedBizOpps on or about May 15. The CO posts a copy of this notice on the Courthouse public bulletin board. Vendors respond to notice or by

[1]Any modification to the SOW requires the approval of the PPSO and PMD.

contacting the district CO to advise of interest in bidding.

F. The CO compiles a bidders mailing list from vendor responses to FedBizOpps and the Courthouse public bulletin board.

G. The CO mails a Request for Proposal (RFP) to vendors on the bidders list.

H. The CO receives vendor proposals with supporting documentation by a designated date and time.

I. The CO evaluates proposals according to the pass/fail criteria to determine technical acceptability of each vendor's offer.

J. The CO schedules site visits for the number of technically acceptable offers based on lowest price.

K. The CO conducts site visits to confirm vendor's technical acceptability to perform requested service(s) using the evaluation criteria and the SOW. If the site visit fails to confirm the technical acceptability, the vendor fails and the next lowest priced vendor is scheduled for a site visit until the required number of service providers are obtained.

L. The CO contacts references and check the List of Parties Excluded from Federal Procurement and Non-Procurement Programs and makes responsibility determination on the *Responsibility Determination Checklist*.

M. The CO accepts offers from those vendors found to be technically acceptable and offering the lowest price to the government, as needed for each catchment area.

N. CO completes AO Form 367.

O. The CO prepares the prepares the BPA and assigns the BPA account number for tracking purposes.

P. The CO sends a letter to each vendor not selected for the BPA informing of the results (see sample letters under attachments).

Q. The CO sends a letter to each vendor selected with copies of the Option Form 347 and 348, the signed AO Form 367, the vendor's proposal, and a copy of the RFP, excluding Sections L and M.

Audit Program for Treatment Services

As part of the cyclical financial audit program, auditors currently review the invoices and all contracting documents such as the Probation Form 45 (Program Plan); Probation Form 46 (Monthly Treatment Report); sign-in logs; and urinalysi testing logs. The auditors also examine the Optional Form 347 and 348 to determine if all authorized referral agents are designated and if other agencies are piggybacking.

The current audit review process has been expanded to include as additional items for auditing simplified procurement procedures the documentation prepared as part of the procurement file as described below in the subheading entitled “Preparing the Procurement File.”

Preparing the Procurement File

The CO prepares as part of the procurement file the following supporting documentation:

1. A copy of the AO approved local services;
2. A copy of the advertisement;
3. A copy of the bidders list;
4. A listing of vendors that submitted proposals;
5. A listing of vendors who were technically unacceptable and the reason for elimination;
6. A listing of vendors that passed the technical evaluation (Bid Abstract). This listing should be kept for the duration of the BPA in case vendors are deleted or added during the year;
7. A listing of those vendors who received on-site visits;
8. A listing of any vendor(s) determined non-responsible (if applicable); and
9. A listing of those vendors who were placed on the BPA.

The information listed above, Items No. 1 through 9, should be placed on the left-hand side of the procurement file in ascending order. Copies of any notification letters to vendors shall also be incorporated into the procurement file.

The procurement file must also contain the solicitation document, the vendor’s proposal, the BPA or purchase order for, and any subsequent monitoring reports. These documents should be placed on the right-hand side of the file in ascending order as noted below:

1. Solicitation document;
2. Vendor’s proposal;
3. Monitoring report(s); and
4. BPA or purchase order form.

Under separate cover, copies of all unsuccessful proposals must be kept for 1 year. The proposals should be divided into *Technically Unacceptable* and *Technically Acceptable/Not Low*

Priced. Proposals that are technically unacceptable should be placed on the left-hand side or the file. Proposals that are technically acceptable/not low price should be placed on the right-hand side with the next lowest priced proposal on top.

Retention Period for Procurement Files

The procurement of treatment services is conducted using simplified acquisition procedures. In accordance with National Archives and Records Administration (NARA) General Records Schedule 3, the requirements for disposing of procurement files using simplified acquisition procedures is as follows:

> **Destroy 3 years after final payment or until records have been audited whichever is later.**

Any treatment services contracts awarded prior to Fiscal Year 1998, the first year utilizing the new simplified acquisition procedures, cannot be destroyed until 6 years and 3 months after final payment.

Preparing the Vendor BPA

One BPA is to be completed in full for each vendor on the BPA. The vendor copy is specific to the individual service providers. The vendor will receive a BPA identifying them and the agreed services to be rendered with the unit prices, but without a NTE amount.

A BPA will be individualized for each vendor and must include the vendor name and address and only the services and prices the vendor has agreed to provide. No service provider will be given the names of the other BPA vendors. The BPA will be sent to each vendor listing specific statements and conditions.

The CO will maintain a copy each individual Vendor BPA to assist with the certifying of invoices and the monitoring of the services ordered.

Using Option Forms 347 and 348 the Vender BPA is completed as follows:

BLOCK 1. Date - Date document issued.

BLOCK 2. Contract Number - The assigned BPA Number.

The assigned BPA number is the same number for each vendor on the BPA list.

BLOCK 3. Order No. - To be assigned locally, if required.

BLOCK 4. Leave blank.

BLOCK 5. Issuing Office - The Probation and/or Pretrial Services Office Address.

BLOCK 6. Ship to - The CO's name and address (or the name and address of the person responsible for administering the BPA).

BLOCK 7. To - Vendor's name and addresses are shown on attached separate OF 347 for each vendor.

BLOCK 8. Type of Order.

Part a) Purchase Order - Leave Blank.
Part b) Delivery Order - Type in BPA.

BLOCK 9. Accounting and Appropriations Data - The Central Accounting Code (CAS) provided by the AO's Probation and Pretrial Services Office with district's annual funding. The accounting codes are only included on the master copy of the BPA provided to the Clerk.

BLOCK 10 THRU 15. Leave blank.

BLOCK 16. Enter any discounts for prompt payment.

BLOCK 17. Schedule -

a) Item No. - Enter the service codes.
b) Supplies or Services - Enter the names of service(s). Arrange by vendor, if more than one vendor.
c) Quantity Ordered - Enter Index.
d) Unit - Enter unit description.
e) Unit Price - Enter the price.
f) Leave blank.
g) Leave blank.
h) Leave blank.
i) Leave blank.

At the bottom of the "Supply and Services" section state the fiscal year effective dates for the BPA. Do not include the NTE amount on the vendor's BPA or indicate the names of other service providers.

The Optional Form 348 is to be used to list each authorized referral agent by name and title for the BPA. It should be completed as follows:

BLOCK 1. Date of Order - As indicated.

BLOCK 2. Contract Number - Insert identical BPA Number.

The identical BPA number should be listed on each page.

BLOCK 3. Order No. - Local Use.

COLUMN A. Insert number of statement(s) in sequence.

COLUMN B. This column contains the following sample statements and conditions for each vendor's information:

1. The BPA #__________ is established between the USPO/USPSO & BOP wherein the vendor shall supply the services designated in the SOW if and when the referrals are made by the agents authorized below, during the fiscal year 10/01 to 09/30 and give annual dates.

2. All service(s) ordered under this agreement shall be accompanied by a Program Plan (Probation Form 45), or BOP Transitional Services Program Plan (BP-S530.074) which shall include the BPA number, name of provider, date of order, and itemized list of services ordered and frequency.

3. List individuals authorized to purchase through this BPA by name and title (these are the individuals authorized to make the referrals and may properly be called referral agents).

The AO Form 367 completed by the CO, the vendor's proposal, and the RFP are attached, as a package, with the Optional Forms 347 and 348. This package, with an award letter, is sent to each vendor when making an award. This package becomes the terms and conditions of any resultant agreement.

(Sample BPA for Vendor is shown under Attachments)

<u>Transmittal of Documents for BPA's</u>

A) The CO prepares a BPA and routes copies as follows:

1) Vendor - Reporting the services and prices related to their agency and

listing all legitimate callers (Referral Agents) including Piggybacking agencies by name(s) and title.

3) Piggybacking agencies - As referral agents on the BPA with authorization to order services and to record the available vendor services and prices.

4) CO - As record for certifying invoices and monitoring.

5) Rotation monitor (where needed) - To inform the vendors on the BPA.

Districts may need to separate the person monitoring rotation from the one who orders services. Some districts may need to identify such a person to perform this function.

6) CUSPO and Budget Analyst - As record.

B) The CO signs BPA agreement.

C) The CO sends BPA for each approved BPA vendor to the person designated for the processing payments listing prices and the BPA Identification Number. A record is to be maintained to pay certified invoices.

D) The CO maintains a copy of the BPA to verify service(s) ordered and check the accuracy of invoices.

E) The CO establishes liaison procedures with each agency piggybacking on the BPA to coordinate referral information.

A copy must be maintained as a record by the CO. The vendor will receive a copy of the BPA to acknowledge the services to be provided and their unit prices. The BPA should be transmitted to the vendor with a cover letter advising of their placement on the BPA.

(Revised 6/14)

PROCEDURES FOR ADMINISTERING BPA'S

Making the Referral

The logistics of making a referral will be structured by each district. However, it is recommended that a referral agent be designated to coordinate orders to vendors and rotation of referrals. The CO may want to designate a referral agent to order service(s) because each BPA must list a specific individual on it as authorized to refer clients for services. The person(s) designated to coordinate referrals could also be responsible to ensure the availability of funds and assist with the selection of appropriate vendors for clients. The person may also handle monitoring and certification of invoices.

Some districts may also wants to consider designating a rotation monitor charged with ensuring the proper rotation of clients among vendors. By separating these functions between two individuals the potential for vendor bias is reduced in the referral process. This separation of roles may be a more significant issue in larger districts with numerous vendors on BPAs. A rotation monitor checks referrals against the list of previous referrals to ensure that the districts are making the referrals equitably among the various BPA vendors. A rotation monitor coordinates referrals with each authorized referral agent on the BPA. Once an officer identifies a need for treatment, the referral process begins. The following outlines the essential steps of this process as it relates to a BPA.

A) The Treatment Services Program Plan (Probation Form 45 - see sample under Attachments) is revised to meet BPA requirements as follows:

1) Client name - Same as referral with client number (if needed).
2) Agency name - List vendor selected.
3) Officer - Assigned officer.
4) BPA Number - Insert BPA number.
5) Pretrial or Probation Status - Check appropriate box.
6) Date - Use date referral is authorized.
7) PACTS number.
8) Service(s) ordered and frequency.
9) Instructions - Indicate specific information about client needed by vendor.
10) Referral Agent - Insert signature of individual authorized to make referral.
11) Signature of officer and client as indicated.

The referral agent is the person(s) designated on the BPA to refer clients for service(s) and the only person(s) authorized to do so. At the discretion of the district CO, more than one individual may be listed on the BPA to order service(s). However, the more people designated, the more coordination will be necessary of referral information among them.

Only person(s) specifically listed on the BPA as referral agents are authorized to order services.

B) The officer completes the Treatment Services Program Plan (Probation Form 45) and selects the required services and frequencies.

C) The officer checks with the referral agent for an appropriate vendor to refer the client. If a designated rotation monitor is appointed, then the referral agent works with the rotation monitor to ensure the client is referred to an appropriate vendor, that is, one not over utilized.

D) The referral agent reviews the Probation Form 45 for accuracy and checks that the appropriate BPA vendor assignment is made.

E) Once the referral is confirmed with an agreed treatment provider, then the referral agent signs the program plan and provides it to the vendor as a record of the order for service(s).

F) Copies will also be distributed as follows:

1) To the vendor as record of services ordered.

2) To the CO to use in certifying invoices and ensuring that proper services are ordered off the BPA.

3) To the line officer for the case file as a record of the referral.

<u>Certification of Invoices</u>

A) The CO should receive the vendor invoice(s) by the tenth of each month. See Section C of the Statement of Work.

B) The CO compares the invoice for accuracy against the BPA. The CO will cross check invoices with the BPA to verify the accuracy of prices and services ordered.

C) The CO compares the invoice for accuracy of referral (i.e., the order of services) against the authorized Program Plan. The CO will check invoices which will have BPA identifying information (e.g., BPA Vendor name, BPA number, and Client Referral number). This information will be cross referenced with the Program Plan on file and the BPA on file.

D) The CO audits the invoice against supporting documentation from the vendor, including client signatures, to ensure services were provided. The CO is required to audit the vendor case files of our referrals to determine that the services ordered were delivered.

E) The CO forwards the reviewed invoice to the CUSPO/CUSPSO and Budget Analyst for certification if prices and services are accurate.

F) The chief's certification documents that the invoice is accurate and proper for payment.

G) The certified invoice is forwarded to the Clerk of Court to pay the vendor.

Referral Rotation

To ensure equitable utilization of the vendors on the BPA, the CO must rotate referrals. The ideal scenario would be to make referrals to the vendors on the BPA on a rotating basis as they occur. Given the different treatment needs of individuals, this may not always be possible. However, the CO must maintain a balanced method of distributing the referrals or demonstrate a good-faith effort at balancing expenditures among the BPA vendors. The referral agent establishes a record of BPA referrals in order to monitor the rotation of referrals to each BPA vendor and to track expenditures against the BPA so that the ceiling is not exceeded.

Monitoring Procedures

A written monitoring report is required for each vendor on a BPA and CPO within 120 days after initial award and exercising an option to renew a BPA. A second written report is required if deficiencies or problems were cited in the first report, or at least 120 days prior to exercising the option to renew a BPA. If during the final option year, deficiencies or problems occur and an "unsatisfactory" or "unacceptable" rating is issued, a subsequent monitoring report must be completed prior to the end of the period of performance. A written monitoring report is not required for NCPOs except to document deficiencies and the actions taken to address those deficiencies. All monitoring reports must be completed using the current AO approved Post-Award Monitoring Report form. Copies of monitoring reports should be included in the procurement file.

It is important for monitoring to be done in accordance with the above standards and that all deficiencies be clearly documented with a vendor rating that accurately corresponds with the findings. Vendors exhibiting deficiencies or problems should not be rated as "satisfactory" solely for the purpose of continued use. Instances wherein an "unsatisfactory" or "unacceptable" rating is given, must result in the vendor being provided with a written notice containing specific corrective action and a deadline for completion. The follow-up monitoring must be performed within 60 days in order to document the vendor's compliance or lack thereof with the required corrective action. This type of documentation will be needed should you need to pursue permission to discontinue use as described below.

Discontinued Use of a BPA Vendor

Unsatisfactory/Unacceptable performance can result in discontinued use of a vendor. The CO must consult with the AO's Probation and Pretrial Services Office (PPSO) and the Procurement Management Division (PMD) before discontinuing referrals.

BPA Amendments

Any changes to the BPA requires the issuance of an amendment to the BPA reflecting the specific changes. Examples of changes which require an amendment are: adding or deleting vendors, re-negotiated prices, NTE amount, etc. Distribution of the amendments is the same as with the original BPA.

If a new service is identified that a district needs after the establishment of the BPA, the district should only add the service after consultation with the AO's Probation and Pretrial Services (PPSO) and the Procurement Management Division (PMD).

Option Years

BPA's are solicited for one year, with two 1-year options. The district has the option whether or not to renew for an option year. As part of the renewal process, districts normally survey the current market place within each solicitation area and identify sources where services could be provided at equal or lower costs. The ability of those service providers to provide services at a financial rate significantly lower than the incumbent and/or provide significantly better quality services than the incumbent, must be evaluated. The administrative cost of negotiating a new agreement may be taken into consideration when surveying the market place. The government may extend the term of the agreement by written notice to the vendor(s) at least 60 days before the agreement expires. The decision whether or not to renew rests with the CUSPO/CUSPSO. The district completes a Renewal Request Form for the chief's signature and approval. If a district chooses not renew an agreement, this must be done in a timely manner to allow for a new solicitation.

No option year agreement should be extended unless there is a current and satisfactory Monitoring report on file with the CO. A copy of this report must be attached to the Renewal Request Form.

To exercise the Option to Extend the Term of the Agreement:

A. Complete Renewal Request Form for CUSPO/CUSPO's signature and approval;

B. Verify current and satisfactory Monitoring Report on file. Attach the Renewal Request Form;

C. Issue Notice of Intent to Extend Letter to Vendor(s) 60 days prior to expiration;

D. Execute Form SF 30, Modification to Extend Agreement, no later than September 30, and forward to Vendor(s) along with;

E. Notice of Extension Letter; and

F. On October 1 (or upon receipt of an approved budget), issue new Fiscal Year Master and Vendor BPA's.

Novation and Change of Name Agreements

Frequently, after contracts/agreements have been awarded, a vendor may advise that there has been a change in the contractor's name or that the contractor has consolidated with another agency or been purchased outright. Before the government can recognize a change in a contractor's name, or recognize a successor in interest to government contracts when contractor assets are transferred, change of name agreements and/or novation agreements must be executed.

Always contact the Procurement Management Division after receiving a request by a contractor to recognize a change in name or a successor in interest and *before* execution of these agreements.