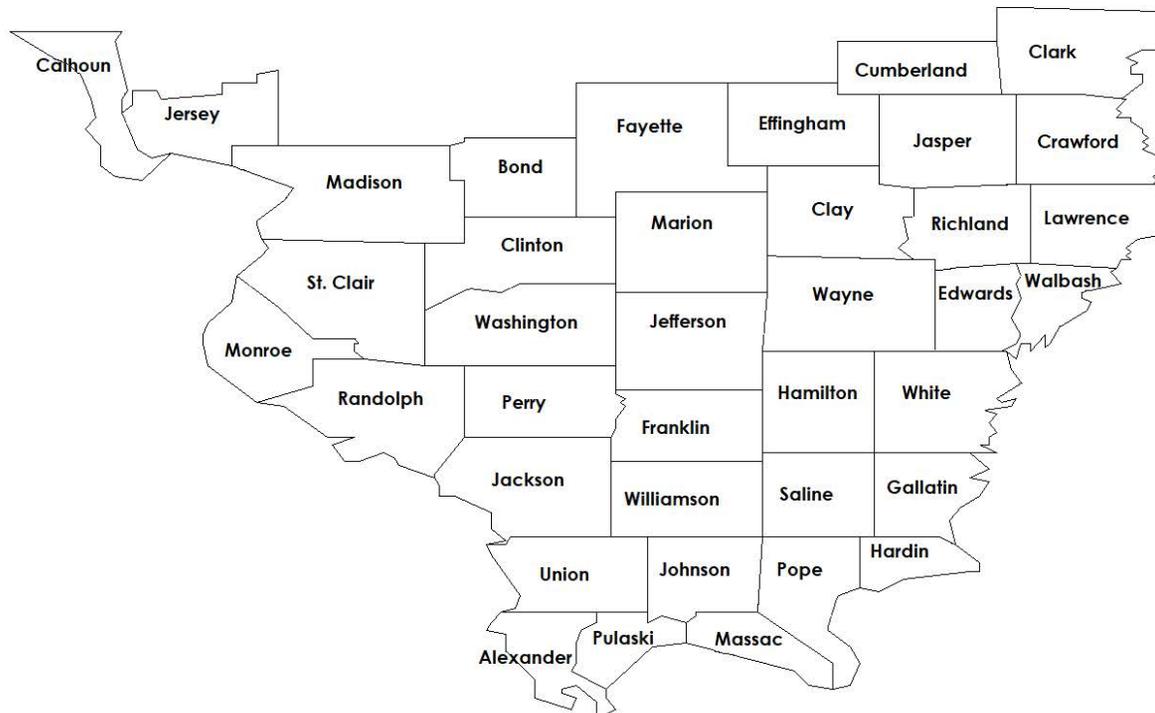


# U. S. Probation and Pretrial Services Southern District of Illinois Treatment Services





**United States Probation and Pretrial Services  
Southern District of Illinois  
Barb Zarrick, Chief United States Probation Officer**

*Our Mission: We will provide the Judiciary and Community superior service by preparing quality investigations and delivering effective supervision. We will cultivate a work environment characterized by professionalism, integrity and commitment. We will value the contributions of staff. We will demonstrate fairness and mutual respect to all in the performance of our duty.*

Please direct all comments and or suggestions to:

[Judy\\_Williams@ilsp.uscourts.gov](mailto:Judy_Williams@ilsp.uscourts.gov)

[Stephanie\\_Sherman@ilsp.uscourts.gov](mailto:Stephanie_Sherman@ilsp.uscourts.gov)



# History of Federal Probation

- The Federal Probation Act of 1925 established a **probation** system in the U.S. courts and gave courts the power to appoint probation officers and to place defendants on probation.
- The Administrative Office of the U.S. Courts assumed responsibility for the probation system in 1940.  
(Term = **Offenders**)



# History of Federal Pretrial Services

- **Pretrial** services came along more than 50 years after probation, as a means to reduce both crime committed by persons released to the community pending trial and to avoid unnecessary pretrial detention.
- The Pretrial Services Act of 1982 authorized the implementation of U.S. Pretrial Services (nationwide).  
(Term = **Defendants**)



# History of Treatment Services

- In 1978 Congress enacted the Contract Services for Drug Dependent Federal Offenders Act.
- This act became law under Title 18 U.S.C. § 3672 and transferred the authority to contract for drug treatment services from the Attorney General to the Director of the Administrative Office of the United States Courts (AOUSC).
- Later the program became multidimensional when, in 1987, the AO was given authority to contract for alcohol dependent offenders. The program was then renamed the **Substance Abuse Treatment Program (SATP)**.



# Procurement Authority

- Procurement authority for treatment services was delegated to chief judges of district courts for redelegation to chief probation officers and chief pretrial services officers on April 27, 1990.
- Chief Probation Officers (CPOs) or his/her designee have a variety of options available in obtaining Treatment Services for Federal Offenders and Defendants.
- CPOs shall make awards in the simplified manner that is most suitable, efficient, and economical in the circumstances of each acquisition.



# Risk Control and Resources

- As part of risk control—and only by order of the court—officers may direct defendants and offenders to treatment services to assist them. These services include substance abuse or mental health treatment, medical care, training, or employment assistance.
- Treatment providers under contract to the U.S. courts provide many of these services. Social service resources provided by state and local programs also are used.



# Funding

- Congress annually appropriates funds for the federal judiciary, and the system's budget is part of that.
- This funding is used to pay employee salaries and support various programs for defendants and offenders — substance abuse testing and treatment, mental health treatment, sex offender treatment and home confinement with electronic monitoring (not all inclusive).



# Federal Treatment Services

- Defendant or offender is under supervision and has a condition requiring he/she participate in treatment services (which may include treatment for -- substance abuse, mental health, sex offender and/or co-occurring disorders).
- We are not authorized to make a referral to a vendor, unless the individual under supervision is required to attend treatment through condition(s) as ordered by the court.
- If a treatment condition does not exist, but the officer believes treatment is warranted, the officer will ask the court to formally modify the conditions to allow for and/or require treatment services.



# Statement of Work Contracting

- The Statement of Work (SOW), which details the contracting requirements, can be located on the Internet at:

[http://jnet.ao.dcn/Procurement/Treatment\\_Services/BPA/Section\\_C.html](http://jnet.ao.dcn/Procurement/Treatment_Services/BPA/Section_C.html)

- As soon as the Request for Proposal (RFP) Generator is available from the Administrative Office of the U.S. Courts, you will be provided with a copy for submission, if you are interested in providing treatment services for our district.

# The “Program Plan”

- Coded “PROB Form 45”
- Authorizes type of service (also known as “Project Code”), units (usually in 30 minute increments) and frequency
- Orders defendant/offender to make copayments
- Should be signed by officer and defendant or offender
- **MUST** be signed by REFERRAL AGENT in order for services to be provided
- Can be amended as determined necessary

# Program Plan...

- Contractual Government Agreement
- Vendor performs only authorized services
- NO “verbal authorizations” in that, services may only begin upon receipt of a written program plan (PROB 45)
- All services remain in effect until receipt of an “amended” program plan, or termination of the plan
- Provide copy to the vendor or agency billing department

# Program Plan Layout

(Personal Information)

- ➔ Client Name
- ➔ Client PACTS ID #
- ➔ Whether Client is a Post Conviction or Pretrial
- ➔ U.S. Probation Officer
- ➔ Effective Service Date
- ➔ Suspend Services Date (if applicable)
- ➔ Terminate Services Date (if applicable)

Initial

## TREATMENT SERVICES CONTRACT PROGRAM PLAN

### Client Identifying Information

|                |   |                           |                 |
|----------------|---|---------------------------|-----------------|
| Client:        | Doe, John J                             | PACTS #:                  | 25991           |
| Address:       | 123 North A Street<br>Yourtown KS 66666 | Pretrial/Post Conviction: | Post Conviction |
| Officer:       | Grissom-DQA, Linda                      | Client Phone:             |                 |
| Officer Phone: | 913-551-6622                            | DOB:                      | 12/25/1980      |

Photo  
Not  
Available

### Provider Information

|                    |  |                   |                |
|--------------------|--|-------------------|----------------|
| Provider:          | Mirror-Wyandotte                                   | Procurement No:   | 1083-2008-0001 |
| Provider Location: | Mirror-Wyandotte                                   | Effective Date:   | 01/04/2010     |
| Attn:              | Jane Smith   | Termination Date: |                |
| Location Address:  | 1230 West Treatment Street<br>Kansas City KS 66666 |                   |                |
| Phone:             | 913-555-5555                                       |                   |                |
| Fax:               | 913-555-5551                                       |                   |                |

# Program Plan Layout

## (Services)

### Services Ordered

| Project Code | Description Of Services               | Phase | Frequency (Units) | Interval | Copay Amount (per unit) |
|--------------|---------------------------------------|-------|-------------------|----------|-------------------------|
| 1010         | Urine Collection and Reporting        |       | 5.0               | Monthly  | \$0.00                  |
| 2010         | Individual Substance Abuse Counseling |       | 4.0               | Monthly  | \$0.00                  |
| 2021         | Cognitive Behavioral-Group Counseling |       | 4.0               | Monthly  | \$0.00                  |
| 1501         | Administrative Fee                    |       | 1.0               | Monthly  | \$0.00                  |

### Copayment Amount

|                    |                            |
|--------------------|----------------------------|
| Copayment Source   | Monthly Copayment Flat Fee |
| Defendant/Offender | \$25.00                    |

# Program Plan Layout

(Special Instructions - Example)

## **Instructions to Provider Regarding Client Needs and Goals of Treatment**

Please advise this officer of the next appointment in this case. This client has been referred to Vocational Rehabilitation Services for evaluations and testing to determine substance abuse issues as well as other needs. Please communicate with their agency's treatment providers (HIPAA) to share evaluations for goal setting and future planning. The USPO will participate in the treatment process to review changes and amend the program plan based on the offender's needs and counselor's recommendations. Please keep PO advised of any missed sessions and or failure to comply with counseling requirements.

- USPO will provide specific client information such as address and telephone number, special tests required for drug testing (urinalysis or UAs) and will specify the **role of the USPO** in the treatment process
- Clinicians ~ pay close attention to determine **instructions** on variances to **listed services**



# The Referral Process

- Officer prepares a referral packet for the vendor
- Officer forwards the Program Plan to Referral Agent for authorization
- Officer sends the referral packet to the vendor, including: program plan (PROB 45), signed release of information form and pertinent information available to the officer, in order to enhance treatment

# Referral Process ...

- Defendant/Offender and/or USPO contacts vendor to set up initial appointment
- Vendor follows up with Monthly Treatment Reports (MTR), contacts officer regarding no-shows or other violation behavior and staffs cases regularly as required by Blanket Purchase Agreement (BPA)
- As an example of the SOW requirements: the vendor provides a treatment plan report every 90 days in addition to the MTR ~ the SOW outlines all deadlines and reporting requirements for the vendors ~ and should be reviewed closely, with continued communication with the USPO



# “Piggybacks”

- Other agencies (such as the Bureau of Prisons – BOP) receiving services with the vendor under the U.S. Probation Office BPA
- The BPA vendor must agree to provide services
- The vendor is only obligated to provide services specified in the BPA (the piggybacking agency cannot specify additional requirements)
- The vendor bills the piggybacking agency directly

# Subcontracting

- Vendor may subcontract for services
- Subcontractors and services must be identified in the vendor's proposal
- After the vendor receives the award to provide services to federal defendants or offenders, any proposed subcontractor arrangements or changes to the existing subcontractor arrangements are subject to the Contracting Officer's approval, and shall be submitted in writing to the Contracting Officer at least 30 days in advance of the proposed subcontracting arrangement or change

# Subcontracting...

- Vendor is responsible to the judiciary for the overall performance of the services required under the agreement (BPA)
- Vendor shall ensure any subcontractor meets professional qualifications, holds appropriate licenses and is in compliance with all federal, state, and local fire, safety and health codes
- Vendor shall ensure that subcontractors are not debarred, suspended or ineligible to perform under federal contracts

**How do you become one of  
our vendors???**



# Solicitation Process

- Interest letters sent
  - Optional presolicitation offerors' conference
- Request for Proposals (RFP) sent by U.S. Mail
- Review of RFPs
  - 1) Technically Acceptable
  - 2) Lowest Price (over the life of contract)
- References checked
- Onsite visits
- Awards

# BPA Definition

- A Blanket Purchase Agreement (BPA) is a "charge account" arrangement, using a purchase order form, between a buyer and a seller for recurring purchases of supplies or services. BPAs are not contracts.
- What elevates a BPA to the status of a contract is the issuance of a call or referral to the BPA vendor and the vendor's acceptance of the referral. The Probation /Pretrial Services Office is obligated only to the extent of the order placed under the BPA.
- Services (referrals) are ordered, as needed, from a number of vendors for agreed prices. Services (referrals) must be rotated among all vendors on the BPA.



# BPA Definition...

- BPAs are valid for a specific period of time, not to extend beyond the 12 month fiscal year.
- BPAs include two 12-month option periods.
- The competition requirement is satisfied with the advertised public announcement.
- Advertising will be done in the FedBizOpps by the Contracts Staff at the AOUSC.



# BPA Definition...

- Interested vendors will be directed to contact the U.S. Probation Office in the Federal Government section of the telephone directory.
- The RFP will be issued to those vendors requesting to be placed on the bidder's mailing list.
- Awards will be made to vendors determined to be technically acceptable and offering the lowest price, using the Evaluation Criteria established in [Section M](#) of the RFP.

**“What do I need to submit?”**





# Evaluation of Proposals

- Technically acceptable/lowest price
  
- Responsibility determination:
  - a) List of Parties Excluded from Federal:  
Procurement and Non-Procurement Programs
  - b) Check references
  - c) On-Site visit

# On-Site Visits

- Is the facility within the catchment area?
- Current state and local operating licenses
- Fire, safety, health code certificates
- Secured filing system
- Emergency contact procedures identified/posted
- Dedicated lavatory or secured lavatory for UAs



# On-Site Visits...

- Secured room or locked refrigerator
- Inpatient (bed and storage for personal items)
- Emergency and evacuation plans and diagrams posted
- Smoke detectors
- First aid kit
- Client files segregated
- Local services requirements