

OFFEROR'S TOOLBOX



US Probation
Office
and
US Pretrial
Services Office

Eastern District
of California

Fiscal Year
2021
Solicitations

NAVIGATION



- **To navigate through this presentation:**
 - Use the Adobe tools to advance to the next or previous page.
- You may go to the Table of Contents any time, by clicking on the seal in the upper left corner
- In the Table of Contents, click on a page number to go to a specific section.



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WELCOME & INTRODUCTION

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PURPOSE

- The purpose of this toolbox is to:
 - Clarify the Request for Proposal (RFP) and process
 - Answer common questions
 - Help offerors submit proposals which are:
 - In order
 - Complete, and
 - Contain all the required documentation
- **IMPORTANT: This toolbox does not replace or supersede the requirements prescribed in Section L of the RFP**



COMMONLY USED ACRONYMS AND TERMS

- **AO** Administrative Office of the United States Courts.
- **BPA** Blanket Purchase Agreement
- **CO** Contracting Officer
- **Defendant** Adult supervised by USPSO
- **Offender** Adult supervised by USPO
- **PC** Project Code
- **RFP** Request for Proposal
- **Solicitation #** The number assigned to each solicitation (Note: This number becomes the BPA # after award)
- **USPO** United States Probation Officer
- **USPSO** United States Pretrial Services Officer



DISTRICT BOUNDARIES & CATCHMENT AREAS



- California Eastern District (CAED) runs from the Oregon border south to Kern County, along the eastern side of California.
- Each RFP will have its own catchment area, which may be:
 - A city or cities
 - A county or counties
 - Defined by geography
 - The entire district
 - Etc.



TYPES OF SUPERVISION

■ US Pretrial Services Office:

- US Pretrial supervises offenders during period of arrest through sentencing. Some are convicted; some are not yet convicted.

■ US Probation Office:

- US Probation supervises offenders once they have been sentenced. Some are on Probation in lieu of incarceration. Most on supervised release have been previously incarcerated. Offenders are typically supervised for 2 to 3 years.



WHO IS THE CLIENT?

■ Who is the Client?

1. US Probation Office/US Pretrial Services Office
 2. US District or Magistrate Court
 3. The Community
 4. The Defendant/Offender
-
- Please keep in mind that we – the USPO & USPSO – are the primary clients, not the defendant or offender.



TEAMWORK

- **Teamwork between the Treatment Provider and US Probation Office/US Pretrial Services Office is critical for the success of defendants and offenders.**

- **This teamwork is based on:**
 - **Three-way staffing between the Treatment Provider, USPO/USPSO, and the defendant/offender.**
 - **Accurate and timely preparation of:**
 - **Physical and Psychological Evaluations and Reports**
 - **Monthly Treatment Reports**
 - **Quarterly Treatment Plans**
 - **Prompt notification to the USPO/USPSO of behavior in violation of the defendant's/offender's terms of release.**



TYPES OF REFERRALS

- Overview of type of referral service providers may expect:
 - Types of offenses committed by defendants/offenders include: Bank robbery, drug distribution, credit card fraud, mail theft, bank fraud, internet offenses, sex-related offenses, and anything that occurs in a National Park, military base, or on an airplane or across state lines, etc.
 - Typical disorders defendants/offenders suffer are those found on DSM Axis I and II
 - Treatment needs need to address: Improving mental health functioning, individualized factors related to low self-control, anti-social values, criminal peers, substance abuse, dysfunctional family, anger/hostility, problem solving, trauma issues and conflict resolution skills.



RFP GOALS

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RFP PROCESS GOALS

- Provide a competitive solicitation process which is:
 - Fair to all prospective offerors
 - Open and transparent

- Make an award which:
 - Is advantageous to the Government and tax payers
 - Results in a BPA which:
 - Is geographically accessible to defendants/offenders
 - Provides quality treatment services to defendants/offenders



RFP OVERVIEW

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RFP SERVICES

- Services:
 - Substance Abuse Outpatient Treatment
 - Mental Health Outpatient Treatment
 - Co-Occurring Substance Abuse and Mental Health Outpatient Treatment
 - Substance Abuse Intensive Outpatient Treatment
 - Mental Health Intensive Outpatient Treatment
 - Substance Abuse Residential Treatment
 - Mental Health Residential Treatment
 - Medical Detoxification
 - Sex Offender-Specific Treatment

- **Not all services are contained within the same RFP. The specific type of services requested in each RFP are contained in Section B and described in Section C.**



RFP SECTIONS

- **Cover Letter**
- **Section A – Solicitation/Offer Acceptance**
- **Section B – Supplies or Services and Prices/Costs**
- **Section C – Description/Specs./Work Statement**
- **Section D – Packaging and Materials**
- **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 or Offers**
- **Section L – Instructions, Conditions and Notices to Offerors**
- **Section M – Evaluation Criteria**



RFP INSTRUCTIONS

- You will find the instruction you will need to complete the RFP in the following sections:
 - Section L – Provides instructions for completing each Section of the RFP
 - Section M – Provides Evaluation Criteria
 - Cover Letter – Provides additional instructions



FY-2021 SOLICITATIONS

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FY-2021 SOLICITATIONS

- The US Probation Office intends to issue the following RFPs for the FY-2021 solicitation cycle, www.caep.uscourts.gov:

Number	Catchment Area	Treatment Service(s)
0972-21-01SM	Shasta County	Substance Abuse & Mental Health
0972-21-02SM	Butte County	Substance Abuse & Mental Health
0972-21-02SO	Butte County	Sex Offender
0972-21-07SA	Solano County	Substance Abuse
0972-21-07MH	Solano County	Mental Health
0972-21-12SM	Madera & Merced Counties	Substance Abuse & Mental Health
0972-21-14SO	Fresno County	Sex Offender
0972-21-14SR	Fresno County	Substance Abuse & Mental Health
0972-21-15SO	Tulare County	Sex Offender



SECTION A

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SECTION A

- **Important Information in Section A:**
 - Solicitation Number
 - Return Date, Time and Location
 - Number of Copies
- Vendor must complete Section A as specified in Section L and the Cover Letter.
- Original and copies need to contain original signatures.



SECTION B

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SECTION B

INTRODUCTION

■ Introduction – First Paragraph:

- Indicates geographic location where the services are to be located.
- For some RFPs, the paragraph may require a specific number of sites in specific locations. These requirements must be met in order for the proposal to be considered.
- If a vendor proposes more than one site, all required services must be offered at each site.

■ Introduction – Second Paragraph:

- Lists the maximum and minimum numbers of vendors that may be placed on the BPA.



SECTION B LINE ITEMS

- **Section B Contents:**
 - **Project Codes (PCs)**
 - **Required Services**
 - **Estimated Monthly Quantity**
 - **Unit Price**



SECTION B

PROJECT CODES

- **Project Codes (PCs) and Required Services:**
 - Numeric identifiers are assigned to each service to be provided. E.g. 2011 = Intake Assessment and Report.
 - Project Codes with * in front of it indicate there is an additional Local Need. Local Needs are additional requirements added by our agency to meet the needs of the agency and defendants/offenders.
 - You will find the Project Code descriptions in two places:
 - National Requirements – In the body of Section C.
 - Local Needs – At the end of Section C.



SECTION B

EMQs

- **Estimated Monthly Quantity (EMQ):**
 - EMQs are listed for the following Fiscal Years 2021, 2022 and 2023.
 - Fiscal years run from October 1st to September 30th of each year.
 - BPAs will be awarded for FY 2021 and may be extended for two optional years, at one-year intervals.
 - EMQs are estimates of the monthly amount of units of services to be provided per month. These are only an estimate, and not intended to be a guarantee of services.
 - If multiple vendors are placed on one BPA, the EMQ's are divided between all vendors



SECTION B

EMQs

■ Estimated Monthly Quantity (EMQ)/Unit Price

- Units are defined for each PC.
- For counseling or most face-to-face contacts, one unit equals a 30 minute session (but not all).

IMPORTANT: It is important to note the unit definition for each PC when you are providing your unit price.

- Other PC are per day, test or per report.
- PC 5020 Psychological Testing and Report has a Not to Exceed (NTE) Amount. Offerors are to provide the maximum cost for a full battery of psychological tests.
- Some actual cost PCs are “Unknown” and no unit price is required.



SECTION B UNIT PRICE

- **Unit Price:**
 - Enter a price for each Project Code for each fiscal year.
 - For services that are subcontracted, mark “S” after the unit price.
 - Some PCs such as medication, and lab studies and report, are at “actual cost” and do not require a unit price.



SECTION B

UNIT PRICE

- **Unit Price (Continued):**
 - **For Project Code 1010 (Urinalysis Testing), Unit Prices ARE NOT to include drug testing supplies or lab costs. Lab supplies AND testing will be provided by this agency.**
 - **NOTE: Refractometers (if required in the local needs) will not be provided by this agency, and will be the responsibility of the service provider to purchase if necessary.**
 - **For PC 1504 Breathalyzer, the vendor is responsible for purchasing and maintaining the breathalyzer, as well as for training of staff.**



SECTION C

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SECTION C

NATIONAL REQUIREMENTS

- National mandatory requirements:
 - Begin on Page C-1
 - Describe the services requested in Section B
- These mandatory requirements describe:
 - Types and frequency of services to be provided
 - Educational minimum requirements of clinicians
 - Reports to be provided
 - Notifications required for behavior in violation of a defendant's or offender's terms of supervision



SECTION C

NATIONAL REQUIREMENTS

- Each Project Code describes the service and staff qualification requirements:
 - For Mental Health, with the exception of PC 5011, all mental health services are to be conducted by a licensed practitioner. (See each PC for exact requirements.)
 - Some Project Codes (like PC 5011) have different requirements for paraprofessionals. If the staff is not licensed, the identified staff must work under the direct supervision of, or in conjunction with, a licensed practitioner.



SECTION C DELIVERABLES

- Deliverables include Requirements for:
 - Records, Staff Conferences, Reports, Emergency Contact Procedures
 - Notifying USPO/USPSO of Defendant/Offender behavior in violation of their terms of supervision
 - Staff Requirements and Restrictions
 - Facility Requirements

- Requirements regarding the above topics may also be included in the description for each Project Code



SECTION C LOCAL NEEDS

- **Local Services are included at the end of Section C:**
 - Includes supplemental requirements to national requirements unique to our district
 - Applies to all Project Codes that have (*) in front of them in Section B
 - The same service may be repeated multiple times under different project codes



SECTION C

SEX OFFENDER TREATMENT

- **Sex Offense-Specific Treatment:**
 - California state law requires all programs or individual therapists and polygraph testers to be certified by the Sex Offender Management Board (CASOMB)
 - Certifications are to be submitted with the proposal
 - Programs or individual therapists and polygraph testers are to maintain their CASOMB certification throughout the duration of the BPA, if awarded the BPA



SECTIONS D THROUGH I

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SECTIONS E THROUGH I

- These sections are standardized
- Terms and conditions may be found in Section H, Agreement Requirements and Section I, Required Clauses
- You can find clauses incorporated by reference at:
www.uscourts.gov/procurement.aspx



SECTION J

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SECTION J OVERVIEW

- **Section J provides:**
 - **Forms for vendor to use if awarded BPA**
 - **Department of Labor Wage Determination included in RFPs where PC 1010, Urinalysis Collection/Testing and Reporting, is requested.**



SECTION J CONTENT

- **Monthly Treatment Report (MTR) form:**
 - **Format must be used for all BPAs**
 - **Check Local Services which may require additional pages and information**

- **Treatment Plans are required by Section C, however there is no standardized form available in Section J. Vendors may create their own form using the criteria contained in Section C. In addition, you may find fillable Treatment Plan form on our website at: www.caep.uscourts.gov, under the “Vendor Resources” tab.**



SECTION K

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SECTION K

- Offeror must complete Section K, including:
 - A list of all authorized negotiators and contact information
 - Taxpayer Identification Number information
 - Contractor Representations

- In addition, all payments from the US Courts are processed through the US Treasury. To expedite payments, potential vendors should register with the General Services Administration at: www.sam.gov. Payments will be made electronically to the vendor.



SECTION L

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SECTION L

ATTACHMENT OVERVIEW

- Instructions for submitting your proposal are included in Section L. Pay attention to all the requirements.
- Offerors are required to complete all the attachments contained in Section L, including:
 - Attachment A – Certification of Compliance Statement
 - Attachment B – Background Statement
 - Attachment C – Preparation of Staff Qualifications
 - Attachment D – Offeror’s References
- When completing the attachments, rely upon the instructions provided in Section L



SECTION L

ATTACHMENT A

- **Section A certifies:**
 - That the offeror will provide the mandatory requirements stated in Sections C, E, F and G
 - That the offeror will comply with the terms and conditions of the RFP

- **Subcontractors:**
 - The offeror must identify any proposed subcontractors
 - Submit separate certifications for each subcontractor



SECTION L

ATTACHMENT B

- Offerors must provide all monitoring reports for the previous 18 months – including reports provided by this office
- If an offeror is unable to provide monitoring reports due to private practice, they must expressly state so in its proposal
- To be considered technically acceptable, the offeror:
 - Must have received a rating of satisfactory or higher on all monitoring reports, or
 - Provide evidence that unsatisfactory performance was resolved



SECTION L

ATTACHMENT B

- **Monitoring Reports for Subcontractors:**
 - Monitoring Reports for subcontractors do not need to be provided.
 - However, onsite evaluations will be individually performed for all subcontractors.



SECTION L

ATTACHMENT B

- Offerors must:
 - Expressly state each location at which the offeror and any proposed subcontractor intend to provide services in response to this solicitation.
 - Offerors must include copies of all applicable business and/or operating licenses as required by state and local laws and regulations.
 - Offerors must include copies of compliance with all federal, state and local fire, safety and health codes for all sites.
- Offerors are responsible for ensuring that proposed subcontractors have all applicable business and/or operating licenses, as required by state and local laws and regulations



SECTION L

ATTACHMENT C

- Complete Attachment C for all staff and subcontractors performing services under the resultant BPA
- List project codes/services that staff will provide.
- If multiple sites are being offered, clearly identify which staff will be performing which duties at which site.
- Under credentials, list licenses and certifications for each staff as applicable.
- Review and complete the certifications on Attachment C.



SECTION L

ATTACHMENT D

- Provide 3 references for whom offeror has provided services, identified in this RFP, within the past 3 years.
- US Probation Officers or US Pretrial Officers in this district cannot be listed as references.
- Provide current contact information:
 - Ensure reference telephone numbers are correct
 - Ensure references know your agency and are able to provide a reference



SECTION M

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SECTION M EVALUATION

- Proposals will be evaluated using the pass/fail criteria listed in Section M.

- Proposals will be considered either:
 - Technically Acceptable, or
 - Technically Unacceptable



SECTION M

ATTACHMENTS A – D

- The review of the criteria shall be based on the Offeror's Technical Proposal, which contains:
 - Attachment A – Certification of Compliance Statement
 - Attachment B – Background Statement
 - Attachment C – Preparation of Staff Qualifications
 - Attachment D – Offeror's References

- **Each of the attachments demonstrate how the offeror will perform/meet the requirements of the RFP.**



SECTION M

EVALUATION CONTINUED

- The Contracting Officer (CO) must be able to answer all questions: “Yes” in order for the proposal to be considered technically acceptable.
- Any “No” response – even one “No” response – will result in the proposal being considered technically unacceptable.
- **MAKE SURE ALL REQUIREMENTS LISTED IN SECTIONS L and M ARE ADDRESSED.**
- Only offers determined to be technically acceptable will receive Life of Agreement (LOA) Calculations.



SECTION M

LOWEST PRICE SELECTIONS

- The offer, or offers, with the lowest overall price will be selected to receive on-site visits.
- The lowest price is based on the total cost to the government over the Life of the Agreement (LOA), which is a total cost calculation over all three years.
- Only the offeror, or offerors, who are Technically Acceptable, and Lowest Priced, will receive on-site visits.



SECTION M

LOA CALCULATIONS

- For each required service, calculations will be made to determine the total price over the Life of the Agreement (LOA), which is a total cost calculation over all three years.
- To calculate the LOA:
 - The EMQs for each project code are multiplied by 12, to achieve the total yearly quantities.
 - The yearly quantity are multiplied by the Unit Price provided by the offeror to obtain the total costs for each year.
 - The yearly LOAs are added together to obtain total Life of Agreement cost for all three years.



SECTION M

LOA CALCULATIONS CON'T

- **LOA formula:**
 - Estimated Monthly Quantity (EMQ) X 12 = Yearly Quantity (Calculated for each Project Code)
 - The sum of Year 1 Quantities X Offeror's Prices = 1st Year Cost
 - The sum of Year 2 Quantities X Offeror's Prices = 2nd Year Cost
 - The sum of Year 3 Quantities X Offeror's Prices = 3rd Year Cost
 - The sum of the 1st Year, 2nd Year and 3rd Year Costs = Total Cost (LOA)
- An LOA calculator may be found under Offeror's Resources, which offerors may use to calculate the estimated total of the agreement.



SECTION M

ON-SITE VISITS

- On site visits are conducted for proposals which are technically acceptable and lowest bid.
- They are conducted to verify that the offeror's facility complies with the requirements of the RFP.
- There will be on-site visits for all subcontractors providing services.
- Offerors who were not lowest priced will not receive on-site visits.



SUBMITTING YOUR PROPOSAL

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SUBMITTING YOUR PROPOSAL

- The original proposal and the specified number of copies must be received at the location specified in Section A, by the date and time indicated. **IMPORTANT: Late is late, and proposals not received before the due date will not be considered for award.**
- The original proposal and on all copies must contain the original signatures in Section A.
- Use the Offeror's Proposal Checklist to ensure your proposal is in order, complete, and includes all the required documentation. You can find the Offeror's Proposal Checklist under Offeror's Resources.



SUBMITTING YOUR PROPOSAL

- Your final proposal should contain ALL of the following (in this order if possible):
 1. Cover Page
 2. Section A – Solicitation/Offer/Acceptance, Form AO 367
 3. Section B – Supplies or Services and Offeror’s Prices
 4. Section K – Representations, Certifications, and Other Statements of Offeror
 5. Attachment A – Certification of Compliance Statement
 6. Attachment B – Background Statement, including:
 - a. Monitoring reports
 - b. Performance Sites
 - c. Business and/or Operating Licenses
 - d. Fire, Safety and Health Codes
 7. Attachment C – Staff Qualifications
 8. Attachment D – Offeror’s References



SUBMITTING YOUR PROPOSAL

- You **should not** submit with your proposal:
 - Sections C through J, or
 - Section L (except attachments)
 - Section M

- You **should not** submit a narrative with your proposal, explaining your approach to providing the services described in Section C. Attachment A is your certification that you will provide the services in compliance with the requirements in Section C.



SUBMITTING YOUR PROPOSAL

- You should retain a copy the entire solicitation for your records, as well as a copy of your proposal
- Sections A through J will become the Statement of Work (SOW).
 - The SOW prescribes how the selected vendor will provide services.
 - The SOW will be used to monitor the vendor's performance throughout the duration of the BPA.



SUBMITTING YOUR PROPOSAL

- In addition to the original and one copy, we are requesting an electronic copy be sent to michael_smith@caep.uscourts.gov
- Note:
 - If you do not send an electronic copy, it will not be held against your agency and your proposal will still be evaluated to determine if it is technically acceptable.
 - However, if you only send an electronic copy and do not send the original and one copy, your proposal will be found technically unacceptable



AWARD

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AWARD

- BPAs will be awarded to the offeror who submitted a proposal that is both:
 - Technically acceptable, and
 - Lowest priced

- If more than one vendor is needed, an award will be made to:
 - The technically acceptable, lowest priced offeror,
 - The next technically acceptable, lowest priced offeror,
 - Etc.



SUMMARY

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SUMMARY

SECTIONS A & B

- Vendors are to complete and submit:
 - Section A - Solicitation/Offer/Acceptance Form, AO 367
 - Section B - Submission of Prices, including:
 - (1) Services
 - (2) Prices
 - (3) Acceptable Responses:
 - (a) Unit Price
 - (b) "N/C"=No Charge
 - (c) Subcontracting
 - (d) Prices and "No Shows"
 - (4) Estimated Monthly Quantity
- **The offeror is not required to submit solicitation Sections C, D, E, F, G, H, I, J, L (except attachments) or M as part of its proposal.**



SUMMARY

SECTIONS K & L

- Vendors are to complete and submit:
 - Section K - Representations, Certifications, and Other Statements of Offeror
 - Section L - Instructions, Conditions and Notices to Offerors, Attachments A-D:
 - Attachment A – Certification of Compliance Statement
 - Including Certifications for any subcontractors
 - Attachment B – Background Statement
 - Monitoring reports
 - Performance Sites
 - Business and/or Operating Licenses
 - Fire, Safety and Health Codes
 - Attachment C – Preparation of Staff Qualifications
 - Attachment D – Offeror’s References
- **Vendors only need to submit sections that require that they provide information or fill out information. Therefore, vendors need to submit Sections A, B, K, & Section L Attachments A through D, and submit any of the other information and documentation prescribed in Section L and M.**



SUMMARY OFFEROR'S CHECKLIST

- Use the Offeror's Proposal Checklist to ensure your proposal is in order, complete, and includes all the required documentation.
- **IMPORTANT: This checklist is to be used as a guide only and does not replace or supersede the requirements contained in Section L of the RFP.**



SUMMARY REVIEW

- Read, Reread and READ AGAIN all instructions and sections very carefully.
- Follow instructions detailed in the Cover Letter and Section L.
- Include a unit price for all project codes for all 3 years where a bid price is required.



SUMMARY

ONE FINAL WORD

- One more time - Make sure that ALL requirements listed in Sections L and M are addressed.





QUESTIONS & THANK YOU

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QUESTIONS & ANSWERS

- Questions must be submitted in writing to:
michael_smith@caep.uscourts.gov
- Check Website: www.caep.uscourts.gov
- Questions and Answers will be posted on this website. Keep checking in case there are further questions and answers.



THANK YOU

- Thank you for your attention and your interest in providing treatment services to Federal Defendants and Offenders.

