

SECTION C. DESCRIPTION/STATEMENT OF WORK

PROVISION OF SERVICES

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

INTRODUCTION

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

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

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

DEFINITIONS

- A. **“Solicitation”** means a request for proposals (RFP).

- B. **“Judiciary”** means United States Government.
- C. **“Director”** means the Director of the Administrative Office of the United States Courts (unless in the context of a particular section, the use of “Director” manifestly shows that the term was intended to refer to some other office for purposes of that section), and the term “his/her duly authorized representative” means any person or persons or board (other than the Contracting Officer) authorized in writing to act for the Director.
- D. **“Authorized representative”** means any person, persons, or board (other than the contracting officer and Chief Probation Officer/Chief Pretrial Services Officer) authorized to act for the head of the agency.
- E. **“Contracting Officer”** (i.e. CO) means the person designated by the Director or his/her duly authorized representative to execute this Agreement on the behalf of the Judiciary, and any other successor Contracting Officer who has responsibility for this agreement. The term includes, except as otherwise provided in this Agreement, the authorized representative of a Contracting Officer acting within the limits of his/her written authority.
- F. **“Defendant/Person Under Supervision”** means any pretrial releasee, probationer, parolee, mandatory releasee, mandatory parolee, or supervised releasee receiving drug/alcohol testing and/or substance use assessment/treatment, mental health assessment/evaluation/treatment, and or sex offense specific evaluation/treatment/testing while under the supervision of the Federal Probation or Pretrial Services Office. Hereinafter, the term defendant applies to those on pretrial supervision, whereas person under supervision applies to those on post-conviction supervision.
- G. **“U.S. Probation Officer”** (i.e., USPO) and **“U.S. Pretrial Services Officer”** (i.e., USPSO) means an individual appointed by the United States District Court to provide pretrial, presentence and supervision (pre and post sentence) services for the court. USPO and USPSO refers to the individual responsible for the direct supervision of a defendant/person under supervision receiving drug/alcohol testing and/or substance use assessment/treatment, mental health assessment/evaluation/treatment, sex offense specific evaluation/treatment/testing, and/or specialized treatment for pretrial defendants charged with a sex offense.
- H. **“Chief U.S. Probation Officer”** (i.e., CUSPO) and **“Chief U.S. Pretrial Services Officer”** (i.e., CPSO) means the individual appointed by the court to supervise the work of the court’s pretrial services and/or probation staff. For the purpose of the contract, the CUSPO and CPSO acts as the contract administrator on behalf of the Director of the Administrative Office of the United States Courts.

- I. **“Designee”** means the person selected by the Chief Probation Officer or the Chief Pretrial Services Officer to act in his/her behalf in drug, alcohol, and mental health treatment matters.
- J. **“Telemedicine”** includes providing health care delivery, assessment, diagnosis, consultation, and treatment and the transfer of medical data through interactive audio, video, or electronic/data communications.
- K. **“Federal Bureau of Prisons”** is the federal agency responsible for housing inmates in federal prisons, penitentiaries, correctional institutions, and residential re-entry centers who have been sentenced by the federal courts.
- L. **“Clarifications”** are limited exchanges, between the Judiciary and offerors that may occur when award without discussions is contemplated. If award will be made without conducting discussions, offerors may be given the opportunity to clarify certain aspects of proposals or to resolve minor or clerical errors.
- M. **“AOUSC”** refers to the Administrative Office of the U.S. Courts.
- N. **“Probation Form 45”** is the referring document submitted by the USPO/USPSO per defendant/person under supervision that outlines the services the vendor is authorized to provide.
- O. **“Monthly Sign-In Log”** is a document the vendor will use for each defendant/person under supervision to verify services are being offered/provided per Probation Form 45 requirements. The Monthly Sign In Log includes a place for defendant/person under supervision to sign for services based on project code, with a time in/out, vendor initials, co-payment received, and comments (to include a comment if the defendant/person under supervision failed to report, if no services were provided/received within the month, and if telemedicine was provided including the means in which the session was provided (teleconference, video conference, internet). This document accompanies the monthly invoice.
- P. **“Case Staffing Conference”** is a meeting between the Officer and the provider to discuss the needs and progress of the defendant/person under supervision. The defendant/person under supervision may or may not be present at the conference.
- Q. **“DSM”** is the Diagnostic and Statistical Manual of Mental Disorders.
- R. **“Co-payment”** is any payment from defendant/person under supervision.
- S. **“PPSO”** is the Probation and Pretrial Services Office, Administrative Office of the US Courts.
- T. **“PCRA”** means the Post-Conviction Risk Assessment, which is an assessment administered by the USPO with the person under supervision used to determine

risk level, identify dynamic risk factors (criminogenic needs) and criminal thinking.

- U. **“Criminogenic Risk”** includes factors in a person under supervision’s life that are directly related to recidivism. The most significant are Cognitions, Alcohol and Drugs, Employment/Education, Social Networks and Criminal History.

MANDATORY REQUIREMENTS

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

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

«1.» **Urine Collection, Instrumented Testing and Reporting (1010)**

The vendor shall perform the following procedures related to the collection, testing and reporting of urine specimens:

a. **Storage of Urinalysis Supplies**

The vendor shall:

- (1) Store all urinalysis supplies in a secure area with access limited only to authorized vendor employees involved in the collection process.

b. **Secure Collection Area**

The vendor shall:

- (1) To the extent possible, provide a lavatory only for collecting urine specimens that is not used by staff or others not providing urine specimens.
- (2) If the lavatory is used by others not providing a urine specimen, the vendor shall:
 - (a) Limit the possibility of any interference with the collection process or adulteration of the specimen; and

- (b) Limit access during the collection process to only those involved in the collection of urine specimens.

c. **Safety Precautions and Collector Training.**

- (1) The vendor shall ensure that collectors receive appropriate detailed training that includes a review of the federal OSHA Bloodborne Pathogen regulations (29 C.F.R. 1910.1030). The vendor shall document such training in their personnel file and the employee must certify they have received and understand such training. The vendor shall provide the documentation to the CO upon request.
- (2) The vendor shall ensure that all personnel handling urine specimens wear disposable gloves designed for protection against bio-hazards and are familiar with standard precautions for handling bodily fluids.

d. **General Urine Specimen Collection Procedures**

- (1) The vendor shall ensure defendants/persons under supervision:
 - (a) Remove jackets, coats, and large pocket items before entering the collection area. These items can be placed on a hook or table inside the collection area.
 - (b) Set aside purse or other carried items. These items can remain in the collection areas; however, must remain outside of immediate access from the defendant/person under supervision.
 - (c) Vigorously wash their hands using soap and water, then thoroughly rinse their hands to remove all soap and any adulterants from under the fingernails or on the skin, and finally dry their hands completely prior to voiding.
 - (d) Roll up long-sleeved shirts so the collector can examine defendant's/person under supervision's arms to detect tampering devices or adulterants.
- (2) The vendor shall ensure that the collectors:
 - (a) Verify the identity of the defendant/person under supervision by means of a state driver's license, state identification or other acceptable form of photo identification.
 - (b) Collect specimens from only one donor at a time. Both the donor and the collector shall keep the specimen collection container in view at all times prior to it being sealed and labeled.

- (c) Complete a Chain of Custody (provided by the CO) before a defendant/person under supervision voids following the chain of custody procedures and peel the Barcode label from the Chain of Custody form and place it on the bottle.
- (d) Collect a minimum of 30 milliliters of urine to allow the laboratory to conduct the initial presumptive screen and confirmation tests. A specimen with less than 10 milliliters of urine is not acceptable for testing and shall not be submitted, unless specifically authorized by the Probation or Pretrial Services Office, as the nationally contracted laboratory will not test it due to insufficient quantity.
- (e) Not flush urinals/toilets until the collection is completed and the collector advises it is safe to do so (a coloring agent is not necessary for direct observation of urine collection).
- (f) Observe and document any indication (unusual color, odor) of specimen dilution and/or adulteration, or any unusual collection events or discrepancies.
- (g) Close and tightly secure the specimen collection container or have the defendant/person under supervision close the specimen collection container, to ensure it will not leak. In the event the defendant/person under supervision secures the collection container, the collector shall ensure it was tightly secured.
- (h) Review the temperature of the specimen to determine if it is near body temperature, if applicable. If temperature strips are provided by the CO, the temperature of the specimen should be measured within 4 minutes of collection and should be within a range of 90 - 100 degrees.
- (i) Use a tamper evident tape or label across the top of the bottle cap and down the sides of the bottle, and the collector or defendant/person under supervision shall initial the tamper tape or label.
- (j) Sign the Specimen Collection Statement of the Chain of Custody Form. The collector shall not sign the certification area of the form until the collection process is completed.
- (k) Have the defendant/person under supervision sign the Chain of Custody Form.
- (l) Follow notification protocols outlined in this Statement of Work under Notifying USPO/USPSO of Defendant/Person Under Supervision Behavior.

e. **Observed Urine Specimen Collection Procedures**

The vendor shall:

- (1) Directly observe defendants/persons under supervision voiding into a

specimen collection container. Collectors observing the voiding process shall be the same gender as the defendant/person under supervision providing the specimen (no exceptions).

- (2) The use of mirrors is acceptable if the mirrors aid the collector in viewing the voiding process.

f. **Unobserved Urine Specimen Collection Procedures**

The vendor shall perform the following urine specimen collection procedures if circumstances prevent the observed collection of a specimen. The vendor shall ensure that collectors:

- (1) Take unobserved specimens **only** when the defendant/person under supervision and the collector are not of the same gender or it is virtually impossible to collect an observed specimen. If circumstances necessitate the collection of unobserved specimens, the vendor shall contact the CO for approval prior to the collection.
 - (2) Secure any source of water in the area where the collection occurs, by either shutting off the water or securing its access with tamper evident tape.
 - (3) Remove and/or secure any agents that could be used in an attempt to adulterate the specimen, such as soaps, cleaners and deodorizers.
 - (4) Clearly document on the Chain of Custody Form any unobserved collection.
 - (5) When provided by the CO, use a temperature strip to measure urine specimen temperatures which should range between 90- and 100-degrees Fahrenheit. The time from voiding to temperature measurement is critical and in no case shall exceed 4 minutes.
 - (6) Obtain a second specimen from defendant/person under supervision whose urine specimen temperature is outside the range in (5) above.
 - (7) Place a blue or green colored toilet bowl cleaner or coloring agent in the commode or bowl for commodes without holding tanks to deter dilution of the specimen with commode water.
 - (8) Follow all general collection procedures in subsection d above.
- g. **Urine Specimen Mailing and Storage** (For specimens shipped or transferred to contract national drug testing laboratories or on-site instrumented drug testing laboratories).

The vendor shall ensure that:

- (1) Every specimen shipped or transferred to a testing facility is contained in a collection container specifically designed to withstand the rigors of transport. All collection containers shall be provided by the Judiciary.
- (2) The collector places the specimen and corresponding Chain of Custody Form in the approved shipping container and places such containers in the custody of an approved delivery service or courier.
- (3) The collector notifies the shipper/delivery service/courier that specimen(s) are ready to be delivered to the laboratory. Specimens shall be mailed/shipped no later than the close of business the day the specimens are collected, or the morning of the day following the collection.
- (4) Urine specimens are stored in a secure area with access limited only to collectors or other vendor authorized personnel.

h. “No Test” Policy

The urinalysis laboratories under national contract with the AOUSC **will only test** urine specimens if all the following conditions are met.

- (1) The specimen bottle contains no less than 10 milliliters of urine.
- (2) The specimen security seal or tamper evident system (e.g., tape) is present and intact.
- (3) The specimen bar code label is present.
- (4) The specimen is accompanied by the Chain of Custody Form.
- (5) The specimen identifier (i.e., bar code number) on the bottle is identical to the number on the Chain of Custody Form.
- (6) The collector’s signature is on the Chain of Custody Form.

When any of the above conditions are not met, “No Test” will be stamped on the request report form and the reason for the no test will be checked or written in the space provided. Specimens that cannot be tested will be discarded. The vendor shall ensure that **all** the above conditions are present for specimens sent to the

national drug testing laboratories for testing. For districts using a local or regional laboratory for testing of samples, the Chain of Custody Form shall also include the signature of the defendant/person under supervision.

For specimens that are received by the national drug testing laboratories or local or regional laboratories and are untestable in accordance with the no-test policy or failure to follow the required collection guidelines, the vendor shall not invoice the district for the cost of the collection. The CO will provide notification to the vendor of untestable specimens.

i. Random Urine Specimen Collection Procedures

The vendor shall provide random urine specimens collections in accordance with the following:

- (1) The vendor shall collect random urine specimens at the frequency determined and authorized in the Probation Form 45.
- (2) The vendor shall collect random urine specimens when the defendants/person under supervision have less than 24 hours' notice that a urine specimen is to be submitted.
- (3) The vendor shall not alter a randomly scheduled urine collection without the approval of the CO.
- (4) Upon request of the CO, the vendor shall develop and operate an automated phone notification system for random urine collections. The vendor shall obtain the approval of the CO for the design and operation of the phone-based system before putting it into use.

j. Urine Specimen Collection Records and Reports

(1) Urinalysis Testing Log

The vendor shall utilize the Urinalysis Testing Log (included within Section J attachments) for all urinalysis specimens collected which shall indicate:

- (a) Defendant/person under supervision's name and PACTS number.
- (b) Vendor name and agreement #
- (c) Month/Year
- (d) Collection Date
- (e) Defendant's/person under supervision's signature
- (f) Collector initial
- (g) Bar Code number

- (h) Special tests requested,
- (i) Drugs or medications taken, and
- (j) Co-pay collected (if applicable)

Prior to the use of any other log to record this information, the vendor shall seek approval of the log from the CO.

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

k. National Contract Urinalysis Laboratories

Some initial urine specimens are analyzed under a separate contract with the AOUSC. Any confirmation testing completed on urine specimens that have a presumptive positive result shall be done by the national contract testing laboratory. The CO shall provide supplies and instructions for the shipping and handling of specimens.

l. Onsite Screening Urinalysis Laboratory

Urine specimens are analyzed by onsite laboratories at some locations in Probation and/or Pretrial Services Offices. Specimens sent to these facilities shall be processed in the same manner as listed above. Upon award, the CO shall notify the vendor that it uses an on-site testing laboratory and provide supplies and instructions for the shipping and handling of specimens.

«2.» **Urine Collection/Testing - Non-Instrumented Drug Testing Devices (NIDTs) (1011):**

The vendor shall perform the following procedures related to the collection, testing and reporting of urine specimens using NIDT devices provided by the CO:

a. Storage of Urinalysis Supplies

The vendor shall:

- (1) Store all urinalysis supplies in a secure area with access limited only to authorized vendor employees involved in the collection process.

b. Secure Collection Area

The vendor shall:

- (1) To the extent possible, provide a lavatory only for collecting urine specimens that is not used by staff or others not providing urine specimens.

- (2) If the lavatory is used by others not providing a urine specimen, the vendor shall:
 - (a) Limit the possibility of any interference with the collection process or adulteration of the specimen; and
 - (b) Limit access during the collection process to only those involved in the collection of urine specimens.

c. **Safety Precautions and Collector Training.**

- (1) The vendor shall ensure that collectors reviewed and acknowledged the federal OSHA Bloodborne Pathogen regulations (29 C.F.R. 1910.1030).
- (2) The vendor shall ensure that all personnel handling urine specimens wear disposable gloves designed for protection against biohazards and are familiar with standard precautions for handling bodily fluids. The vendor is responsible for providing disposable gloves for employees. These are not provided by the CO.

d. **General Urine Specimen Collection Procedures**

- (1) The vendor shall ensure defendants/person under supervision:
 - (a) Remove jackets, coats and large pocket items before entering the collection area. These items can be placed on a hook or table inside the collection area.
 - (b) Set aside purse or other carried items. These items can remain in the collection areas; however, must remain outside of immediate access from the defendant/person under supervision.
 - (c) Vigorously wash their hands using soap and water, then thoroughly rinse their hands to remove all soap and any adulterants from under the fingernails or on the skin, and finally dry their hands completely prior to voiding.
 - (d) Roll up long-sleeved shirts so the collector can examine defendant/person under supervision's arms to detect tampering devices or adulterants.
- (2) The vendor shall ensure that the collectors:

- (a) Verify the identity of the defendant/person under supervision by means of a state driver's license, state identification or other acceptable form of photo identification.
- (b) Collect specimens from only one donor at a time. Both the donor and the collector shall keep the specimen collection container in view at all times prior to it being sealed and labeled.
- (c) Complete a Chain of Custody or NIDT Collection Form (provided by the CO) before a defendant/person under supervision voids following the chain of custody procedures, and then unless the vendor is using an NIDT that yielded a negative result, peel the Barcode label from the Chain of Custody form and place it on the bottle.
- (d) Collect a minimum of 30 milliliters of urine to allow the laboratory to conduct the initial presumptive screen and confirmation tests. A specimen with less than 10 milliliters of urine is not acceptable for testing and shall not be submitted as the laboratory will not test it due to insufficient quantity.
- (e) Not flush urinals/toilets until the collection is completed and the collector advises it is safe to do so (a coloring agent is not necessary for direct observation of urine collection).
- (f) Observe and document any indication (unusual color, odor) of specimen dilution and/or adulteration, or any unusual collection events or discrepancies.
- (g) Review the temperature of the specimen to determine if it is near body temperature, if applicable. If temperatures strips are provided by the CO, the temperature of the specimen should be measured within 4 minutes of collection and should be within a range of 90 - 100 degrees.
- (h) Perform test procedures according to the manufacture's procedures/instructions for completion of testing on specimen.
- (i) Record test results on the Urinalysis Log (included within the Section J attachments and/or approved by CO), if applicable.

- (j) Close and secure tightly the specimen collection container to ensure it will not leak.
- (k) Use a tamper evident tape or label across the top of the bottle cap and down the sides of the bottle, and the collector or defendant/person under supervision shall initial the tamper tape or label. (This procedure is not mandatory for NIDTs when an instant negative result is obtained, and no further testing will be done on that sample).
- (l) For positive specimens, sign the Specimen Collection Statement of the Chain of Custody Form. This is not mandatory for NIDTs when an instant negative result is obtained, and no further testing will be done on that sample. The collector shall not sign the certification area of the form until the collection process is completed.
- (m) For positive specimens, have the defendant/person under supervision sign or initial the Chain of Custody Form. This is not mandatory for NIDTs when an instant negative result is obtained, and no further testing will be done on that sample. The defendant/person under supervision shall not sign the certification area of the form until the collection process is completed.
- (n) Follow notification protocols outlined in this Statement of Work under Notifying USPO/USPSO of Defendant/Person Under Supervision Behavior.

e. **Observed Urine Specimen Collection Procedures**

The vendor shall:

- (1) Directly observe defendant/person under supervision voiding into a specimen collection container. Collectors observing the voiding process shall be the same gender as the defendant/person under supervision providing the specimen (no exceptions).
- (2) The use of mirrors is acceptable if the mirrors aid the collector in viewing the voiding process.

f. **Unobserved Urine Specimen Collection Procedures**

The vendor shall perform the following urine specimen collection procedures if circumstances prevent the observed collection of a specimen. The vendor shall ensure that collectors:

- (1) Take unobserved specimens **only** when the defendant/person under supervision and the collector are not of the same gender or it is virtually impossible to collect an observed specimen. If circumstances necessitate the collection of unobserved specimens, the vendor shall contact the CO for approval prior to the collection.
- (2) Secure any source of water in the area where the collection occurs, by either shutting off the water or securing its access with tamper evident tape.
- (3) Remove and/or secure any agents that could be used in an attempt to adulterate the specimen, such as soaps, cleaners and deodorizers.
- (4) Clearly document on the Chain of Custody Form or Urinalysis Testing Log any unobserved collection.
- (5) When using NIDTs for unobserved collection of a specimen, ensure that an adulteration test is performed that, at a minimum, includes temperature, pH and specific gravity tests, if provided by the CO.
- (6) If temperatures strips are provided by the CO, use a temperature strip to measure urine specimen temperatures which should range between 90- and 100-degrees Fahrenheit. The time from voiding to temperature measurement is critical and in no case shall exceed 4 minutes.
- (7) Obtain a second specimen from defendant/person under supervision whose urine specimen temperature is outside the range in (6) above.
- (8) Place a blue or green colored toilet bowl cleaner or coloring agent in the commode or bowl for commodes without holding tanks to deter dilution of the specimen with commode water.
- (9) Follow all general collection procedures in subsection (d) above.

g. **Random Urine Specimen Collection Procedures**

The vendor shall provide random urine specimens collections in accordance with the following:

- (1) The vendor shall collect random urine specimens at the frequency determined and authorized in the Probation Form 45.
- (2) The vendor shall collect random urine specimens when the defendants/person under supervision have less than 24 hours' notice that a urine specimen is to be submitted.
- (3) The vendor shall not alter a randomly scheduled urine collection without the approval of the CO.
- (4) Upon request of the CO, the vendor shall develop and operate an automated phone notification system for random urine collections. The vendor shall obtain the approval of the CO for the design and operation of the phone-based system before putting it into use.

h. Urine Specimen Collection Records and Reports

(1) Urinalysis Testing Log

The vendor shall utilize the Urinalysis Testing Log (included within Section J attachments) for all urinalysis specimens collected which shall indicate:

- (a) Defendant's/person under supervision's name and PACTS number
- (b) Vendor name and agreement number
- (c) Month/Year
- (d) Collection Date
- (e) Defendant/Person Under Supervision Signature
- (f) Collector's initials
- (g) Medications taken
- (h) Test results, and
- (i) Co-pay collected (if applicable)

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

i. Urine Testing

The vendor shall:

- (1) Ensure that personnel who perform drug testing using NIDTs have documented training by the device manufacturer or their designee, certification of successful completion of the training, and demonstrated proficiency in the use of the test device(s).
- (2) Test for drug(s) only as directed by the CO using only devices provided by the USPO/USPSO.
- (3) Perform test(s) according to the manufacturer's procedures with the defendant/person under supervision observing the process.
- (4) Record the NIDT test result on the Urinalysis Testing Log, and provide USPO/USPSO test results at a frequency and format as instructed by the CO.
- (5) Follow notification protocols outlined in this Statement of Work under Notifying USPO/USPSO of Defendant/Person Under Supervision Behavior.
- (6) Send presumptive positive specimens to the national drug testing laboratories under the explicit instruction of the CO, using the procedures outlined in **Urine Specimen Mailing and Storage** below.

j. **Urine Specimen Mailing and Storage** (For specimens shipped or transferred to contract national drug testing.

The vendor shall ensure that:

- (1) Every specimen shipped or transferred to a testing facility is contained in a collection container specifically designed to withstand the rigors of transport. All collection containers shall be provided by the Judiciary. NIDT cups/bottles may only be used for shipping with the advanced approval of CO. Vendors shall seek approval for each type of NIDT device intended for shipping.
- (2) The collector places the specimen and corresponding Chain of Custody Form or NIDT collection form in the approved shipping container and places such containers in the custody of an approved delivery service or courier.
- (3) The collector notifies the shipper/delivery service/courier that specimen(s) are ready to be delivered to the laboratory. Specimens shall be

mailed/shipped no later than the close of business the day the specimens are collected, or in the case of evening collections, the morning of the day following the collection.

- (4) Urine specimens are stored in a secure area with access limited only to collectors or other vendor authorized personnel.

k. **“No Test” Policy**

The urinalysis laboratories under national contract with the AOUSC **will only test** urine specimens if all the following conditions are met.

- (1) The specimen bottle contains no less than 10 milliliters of urine.
- (2) The specimen security seal or tamper evident system (e.g., tape) is present and intact.
- (3) The specimen bar code label is present.
- (4) The specimen is accompanied by the Chain of Custody Form.
- (5) The specimen identifier (i.e., bar code number) on the bottle is identical to the number on the Chain of Custody Form.
- (6) The collector’s signature is on the Chain of Custody Form.

When any of the above conditions are not met, “No Test” will be stamped on the request report form and the reason for the no test will be checked or written in the space provided. Specimens that cannot be tested will be discarded. The vendor shall ensure that **all** the above conditions are present for specimens sent to the national drug testing laboratories for testing.

l. **Specimen Processing**

- (1) If the test(s) is negative the vendor shall:
 - (a) Discard the urine specimen by flushing urine down the toilet. Rinse the emptied bottle. Urine is not considered biohazardous waste.
 - (b) Discard the test device in compliance with federal, state, and local regulations. The test device or any other solid waste exposed to

urine as a part of the collection and testing process may require biohazard disposal. If such disposal is required, the vendor shall ensure it is conducted in compliance with federal, state, and local regulations.

- (c) Log the result(s) on the approved Urinalysis Testing Log.
- (2) For a presumptive positive test result(s), the vendor shall:
- (a) Remind the defendant/person under supervision that the test(s) result is presumptive and will be reported to the assigned officer.
 - (b) Prepare the specimen(s) to send to the national laboratories by transferring the specimen(s) to a national laboratory bottle and completing the Chain of Custody Form(s). All bottles and containers shall be provided by the Judiciary. Once transfer of the specimen is completed, the vendor shall discard the NIDT device(s). Within 48 hours, send all presumptive positive NIDT specimens to the nationally contracted laboratory, unless otherwise directed by the CO.
 - (c) Follow notification protocols outlined in this Statement of Work under Notifying USPO/USPSO of Defendant/Person Under Supervision Behavior.

If the defendant/person under supervision refuses to sign the Chain of Custody form, the vendor shall:

- (d) Note the refusal on the Chain of Custody form and instruct the defendant/person under supervision to personally contact his/her assigned USPO/USPSO immediately to provide notification of their refusal to sign the form.
- (e) If the defendant/person under supervision's refusal to sign the form, follow notification protocols outlined in this Statement of Work under Notifying USPO/USPSO of Defendant/Person Under Supervision Behavior.
- (f) Ensure the collectors do not insist that the defendant/person under supervision sign the Chain of Custody Form. The vendor shall record the defendant's/person under supervision's refusal to sign on the Chain of Custody Form and in the defendant/person under

supervision file (the specimen will be tested by the national laboratory even if the defendant/person under supervision fails to sign the form).

c. **Drug Testing Invoicing (NIDTs)**

The vendor shall:

- (1) Invoice only one unit of NIDT (PC 1011) per defendant/person under supervision per tested specimen. For example, if the NIDT device **does not** provide a test result or the test result is not readable, the test shall be conducted using another NIDT device at no additional charge to the judiciary. The vendor shall include the “multiple test” factor in the unit price for this service.
- (2) Charge only one NIDT (PC 1011) to the Judiciary if the specimen is also sent to a national laboratory. Charging for PC 1010 (urine collection) and PC 1011 for the same specimen is not permitted. The vendor may include the additional work related to sending a specimen to a national laboratory and reporting the result in the unit price (PC 1011) for this service. Approximately one out of ten samples will be prepared for mailing to a national laboratory, but not all samples will be sent because the defendant/person under supervision will admit drug use.
- (3) For specimens that are received by the national drug testing laboratories and are untestable in accordance with the no-test policy or failure to follow the required collection guidelines, the vendor shall not invoice the district for the cost of the collection. The CO will provide notification to the vendor of untestable specimens.

«3.» **Sweat Patch Application and Removal (1012):**

The sweat patch is a white absorption pad, covered with a polyurethane dressing that acts as a storage device for illicit drugs released from the body in sweat. It is used to monitor defendants/persons under supervision for extended periods of time, to test defendants/persons under supervision who have difficulty voiding due to documented medical conditions, when the vendor does not have same gender collection available, and/or for transgender individuals. Patches will be supplied by the USPO/USPSO. If USPO/USPSO approves the vendor’s use of the sweat patch on the Probation Form 45, the vendor shall use the following procedures for the application, removal, and testing process

of the sweat patch:

a. **Staff Training**

The vendor shall ensure that their staff is trained in the sweat patch procedures before applying or removing a patch. The staff should complete the authorized sweat patch provider web-based sweat patch training (training link provided by the CO), take, and pass the certification test provided by the sweat patch vendor, and perform the procedures contained in this section of the statement of work. The vendor shall document training for personnel it authorizes to apply and remove sweat patches. This documentation must include a certificate from the sweat patch vendor which indicates a successful completion of the certification test.

b. **Storage**

The vendor shall:

- (1) Ensure patches are stored in a secure area with access limited to only collectors or other authorized vendor personnel.
- (2) Ensure patches are stored at temperatures between 36- and 78- degrees Fahrenheit.

c. **Safety Precautions**

The vendor shall:

- (1) Ensure the integrity of the collection process and make every effort to eliminate the possibility of external contamination. Staff shall wear gloves while applying and removing the patch and avoid touching the collection pad during the process.
- (2) If a witness is available, have a witness present when the defendant/person under supervision and the collector are of opposite gender.

d. **Sweat Collection and Duration of Sweat Patch Use**

The vendor shall:

- (1) Ensure that the patch is worn for a minimum of 24 hours and a maximum of 10 days.

- (2) Follow notification protocols outlined in this Statement of Work under Notifying USPO/USPSO of Defendant/Person Under Supervision Behavior if a defendant/person under supervision reports with a sweat patch that is falling off, has fallen off, or is missing. In consultation and with approval of the USPO/USPSO, the vendor shall stop using a sweat patch on defendants/persons under supervision who continue to experience difficulties in retaining the patch on their skin.

e. **Sweat Patch Application**

The vendor shall follow the procedures demonstrated in the web-based sweat patch provider training and shall:

- (1) Advise the defendant/person under supervision that the patch may be placed on the upper arm or the lower back, or the front kidney area. Ask the defendant/person under supervision where they would prefer to have the patch applied. Apply the patch on the preferred location, but avoid placement on tattooed, abraded, cut, irritated or sensitive skin.
- (2) Direct the defendant/person under supervision to clean the area with soap and cool water or with a disposable towelette. An abrasive pad may be used to clean dry skin and dirt.
- (3) Wearing disposable gloves, the collector shall clean the skin by using an alcohol wipe. Repeat the cleansing if the wipe is dirty. Allow the area to dry for approximately 90 seconds to avoid alcohol burns to the skin.
- (4) Have the defendant/person under supervision flex the upper arm for arm placement, bend forward slightly at the waist for back placement, or bend slightly backward at the waist for front kidney placement. Place the patch on skin and press firmly to promote proper adhesion. Pull parallel to the skin when removing the paper border, not outward and up from the patch. As the paper border is removed, follow right behind with a finger pressing on the polyurethane film.
- (5) Instruct the defendant/person under supervision to remove a sweat patch if he or she experiences a rash or any skin irritation, and

immediately report the problem to the vendor and USPO/USPSO, or follow other notification protocol outlined by the CO.

- (6) Provide clear instructions as to the scheduling for removal of the patch.

f. **Sweat Patch Removal**

The vendor shall ensure that collectors follow the procedures demonstrated in the training video, particularly the following:

- (1) Wearing disposable gloves, the collector shall peel back the top edge of the sweat patch sufficiently to expose the pad. The collector shall inspect the pad to ascertain whether there are any signs of tampering. The collector shall note condition of the pad and any evidence of tampering on the Chain of Custody Form.
- (2) Ensure the pad is not contaminated by the collector or the defendant/person under supervision. The pad may be removed with disposable tweezers or with a gloved hand. The pad shall immediately be placed in the specimen bag.
- (3) Ensure the specimen is kept at room temperature in a secured area and mailed or shipped within 24 hours to the laboratory for analysis.
- (4) Ensure the Chain of Custody is kept with the specimen.
- (5) Provide the defendant/person under supervision clear instructions on when to report for reapplication, if applicable.

g. **Sweat Patch Test Policy**

A laboratory will only test sweat patches if **all** the following conditions are met:

- (1) The absorption pad is accompanied by a Chain of Custody Form signed and completed by the collector.
- (2) The absorption pad is in a specimen bag, and the security seal shall be present, initialed by collector, and intact.
- (3) A barcode label is present on the specimen bag and a security seal is

present and intact.

- (4) The sweat patch number on the polyurethane film shall match the sweat patch number on the Chain of Custody Form.

The USPO/USPSO shall review and approve all requests for retesting.

h. Sweat Patch Records and Reports

The vendor shall:

- (1) Utilize the Sweat Patch Testing Log (included within the Section J attachments) which includes the following information:
 - a. the name of the defendant/person under supervision,
 - b. PACTS Number,
 - c. Chain of Custody barcode number,
 - d. medications taken,
 - e. application date,
 - f. removal date,
 - g. test result,
 - h. collector's initials,
 - i. co-pay collected (if applicable), and
 - j. a place to note any unusual occurrences.

Use of any other logs must be approved by the CO.

- (2) Include sweat patch application and removal information (Sweat Patch Testing Log) with each invoice.

i. Sweat Patch Invoicing

The vendor shall:

- (1) Invoice one price for all elements in the sweat collection process.
- (2) Not invoice if the defendant/person under supervision fails to return for removal of the patch, if the defendant/person under supervision loses the patch, or if the laboratory refuses to test the sweat patch because the conditions in paragraph "g" of this section were not satisfied.
- (3) Invoice for the service during the month the patch is removed.

«4.» **Breathalyzer (1504):**

The vendor shall:

- a. Provide a breath alcohol content (BAC) test and all supplies and consumables necessary to operate the instrument, in accordance with the Probation Form 45. The vendor shall provide and use a reliable instrument approved by the CO.
- b. Ensure all staff using the instrument are trained and familiar with its operation as outlined in the manufacturer's operation instructions, and their training is documented.
- c. Report a positive BAC test, no show, or refusal of the defendant/person under supervision to take the BAC test to the USPO/USPSO within 24 hours.
- d. Utilize the Breathalyzer Log (included in the Section J attachments) to indicate those defendants/persons under supervision tested, the staff performing the test, the reason for the test, the test results, additional comments, to include refusal by the defendant/person under supervision. Use of any other log shall be approved by the CO.
- e. Maintain an instrument log (included in the Section J attachments) that will document the instrument's serial number, requirements for calibration, dates of calibration, and the date for the next calibration. Use of any other Instrument logs shall be approved by the CO.

Substance Use Services

«5.» **Case Management Services (Substance Use) (2000)**

Case Management Services (Substance Use) is defined as a method of coordinating the care and services of drug and/or alcohol dependent people and is most often utilized in Re-entry/Specialty Courts. This service is generally used in conjunction with individual or group counseling (Project Codes 2010, 2020, 2022, 2030, 2040, 2090, 6015, 6026, 6027, 6036).

The vendor shall provide:

- a. **Case Management Services (Substance Use) (2000)** to

defendants/persons under supervision which may include but is not limited to providing assistance in the following areas:

- (1) Facilitate service linkage in the community and coordinate integrated services from multiple providers (where applicable);
- (2) Attend Re-entry/Specialty Court proceedings as requested;
- (3) Provide verbal and written reports on the defendant's/person under supervision's progress as required by the Court; and
- (4) See additional requirements under the local needs section.

«6.» **Substance Use Intake Assessment Report (2011)**

This is comprehensive biopsychosocial intake assessment and report which shall be conducted by a clinician who meets the standards of practice established by his/her state's regulatory board. The assessor shall identify the defendant's/person under supervision's substance use severity, strengths, weaknesses, and readiness for treatment.

Within 15 business days of receiving the referral, any time frame exceptions shall be approved by the CO and documented by the vendor (within the defendant/person under supervision file), the vendor shall provide:

- (a) A comprehensive diagnostic interview for each defendant/person under supervision, to include a structured diagnostic instrument, that is in accordance with state licensing standards, (examples include, but are not limited to, the Substance Abuse Subtle Screening Inventory (SASSI), Addiction Severity Index (ASI), or Structured Clinical Interview for DSM).
- (b) A typed report to the USPO/USPSO **within 10 business days** of the vendor's completion of the diagnostic interview with the defendant/person under supervision. At a minimum, the assessment report shall address the following:
 - (1) Basic identifying information and sources of the information for the report;
 - (2) Diagnostic impression to supportive bases for severity of the defendant's/person under supervision's substance use disorder (mild, moderate, severe);
 - (3) A biopsychosocial profile of symptoms that are related to substance use and mental health diagnoses, if applicable;

- (4) The target treatment problem which will be the primary or central focus of the initial treatment plan;
- (5) Risk, need, responsivity as indicated by the PCRA (applicable to post-conviction cases only and when assessment information is provided by USPO), and
- (6) A treatment recommendation as to the level/frequency and type of service appropriate to address the identified problems.

The comprehensive diagnostic interview report shall not be a synopsis and/or overview of the presentence report, pretrial services report or any other institutional progress reports provided by the USPO/USPSO to the vendor for background information.

«7.» **Cognitive Behavioral Interventions**

The goal of Cognitive Behavioral Therapy (CBT) is to change the way defendants/persons under supervision think, hence changing the way they behave. More specifically, CBT restructures a defendant's/person under supervision's thought pattern while simultaneously teaching pro-social skills. For USPO referrals, this type of intervention shall be used in addressing criminogenic risk and needs in accordance with the person under supervision's PCRA results.

The vendor shall provide:

Manualized Cognitive Behavioral Group (2022) - to two (2) or more defendants/persons under supervision but no more than twelve (12) led by a trained facilitator as defined below. The groups shall offer a structured approach to a specific component of an intervention plan and address the criminal thinking component of a defendant/person under supervision. Examples of this type of group include but are not limited to Criminogenic Needs and Violence Curriculum (CNVC), University of Cincinnati Corrections Institute Cognitive Behavioral Interventions for Substance Use for adults (CBI-SU), Moral Reconciliation Therapy, Thinking for a Change, Problem Solving Skills in Action, Decision Points, Moving On, and The Change Companies. The specific curriculum utilized by the vendor must be designed to address substance use issues and must be approved in advance by the contracting officer or designee. The applicable course materials shall be provided by the vendor and included in the price for this service. In the event the defendant/person under supervision misplaces a copy of the applicable course materials, the vendor is required to provide one additional copy of the materials at no cost (cost of replacement materials shall be included within the price for this service).

The vendor shall ensure:

- (1) The trained facilitator has successfully completed training for the specific manualized CBT program being utilized. The completion of such training shall be documented. A trained facilitator shall not be required to have clinical oversight.

The vendor shall:

- (1) Provide treatment only as directed on the Probation Form 45 and shall initiate services within 10 business days of receiving the initial or amended Probation Form 45, any time frame exceptions shall be approved by the CO and documented by the vendor (within the defendant/person under supervision file).
- (2) A treatment plan is not required for Manualized Cognitive Behavioral Group (2022).
- (3) Ensure that a typed **program completion summary** is submitted to the USPO/USPSO within 10 business days upon completion or termination from the Manualized Cognitive Behavioral Group. The summary shall outline the curriculum utilized, overall goals and objectives achieved, and define steps for the defendant/person under supervision to continue use of skills learned through the curriculum.

«8.» **Substance Use Counseling**

Counseling is a clinical interaction between defendant/person under supervision and a trained and certified/credentialed counselor. Treatment shall include the use of cognitive and behavioral techniques, including but not limited to cognitive restructuring, skill building using a structured learning approach (including modeling, role play and feedback), and teaching the skill of problem solving to change defendant/person under supervision thought patterns while teaching pro-social skills. For USPO referrals, this type of intervention shall be used in addressing criminogenic risk and needs in accordance with the person under supervision's PCRA results. The vendor shall incorporate motivational engagement techniques throughout the counseling process.

Substance use counseling shall include assessing the defendant/person under supervision to determine appropriate treatment dosage, including level of care. Vendor recommendations for services shall incorporate one or more of the services referenced below (1 through 5) for each defendant/person under supervision. As the defendant/person under supervision progresses or regresses in their treatment, the vendor shall provide recommendations to the USPO/USPSO for

changes in service intensity and re-evaluated no less than every 90 days.

The vendor shall provide:

- a. The services below (1 through 5) or any combination thereof as indicated on the Probation Form 45 for each defendant/person under supervision:
 - «(1)» **Treatment Readiness Group (2090)** to two (2) or more defendants/persons under supervision. This clinical service shall prepare defendants/persons under supervision for success in substance use treatment using motivational interviewing and cognitive-behavioral skill building.
 - «(2)» **Individual Counseling (2010)** to one (1) defendant/person under supervision.
 - «(3)» **Group Counseling (2020)** to two (2) or more defendants/persons under supervision but no more than twelve (12).
 - «(4)» **Family Counseling (2030)** to a defendant/person under supervision and one (1) or more family members. The vendor may meet with family members without the defendant/person under supervision present with USPO/USPSO approval, if the defendant/person under supervision is the primary beneficiary of the service provided.
 - «(5)» **Group Family Counseling (2040)** to two (2) or more families with defendant/person under supervision attendance optional.
- b. For counseling identified for project codes **2010, 2020, 2030, 2040, and 2090**, the vendor shall:
 - (1) Provide treatment only as authorized on the Probation Form 45, and shall initiate services within 10 business days of receiving the initial or amended Probation Form 45, any time frame exceptions shall be approved by the CO and documented by the vendor (within the defendant/person under supervision file).
 - (2) Ensure that a typed **treatment plan** is submitted to the USPO/USPSO at the onset of treatment and at least every 90 days in accordance with Vendor Reports under section f(1).
 - (3) Ensure that a typed **transitional care plan** is submitted to the USPO/USPSO in accordance with Vendor Reports under section f(3).

- c. For **substance use treatment services** performed for project codes **2010, 2020, 2030, 2040, and 2090** the vendor shall ensure that all personnel meet the following qualifications:
- (1) Counselors shall be licensed and/or certified in compliance with state statutes, regulations, and guidelines.
 - (2) Paraprofessionals are only used under the supervision of a counselor described in item numbers (1) above, and after obtaining the approval of the CO.

«9.» **Integrated Treatment for Co-Occurring Disorders Assessment and Report (6016)**

This is a comprehensive biopsychosocial assessment and report which shall be performed by a masters or doctoral level clinician who is licensed or certified and meets the standards of practice established by his/her state regulatory board for the purpose of defining the nature of the problem and developing specific treatment recommendations addressing the problem. The assessment could also be conducted by a non-licensed masters level clinician under the supervision of a licensed professional in accordance with state licensing standards.

Within 15 business days of receiving the referral, any time frame exceptions shall be approved by the CO, the vendor shall provide:

1. At least one comprehensive clinical/diagnostic interview utilizing a structured interview tool that is in accordance with state licensing standards, such as the Structured Clinical Interview for DSM;
2. A typed report to the USPO/USPSO within 10 business days of the vendor's completion of the diagnostic interview with the defendant/person under supervision and must include more than simply a synopsis or overview of reports provided by the USPO/USPSO to the vendor for background information. The typed report shall, at a minimum, include the following:
 - a. The defendant's/person under supervision's demographic information; marital status; education; employment; housing status; trauma history; history of domestic violence (as either a perpetrator or a victim); financial situation; health history; strengths and limitations or problem areas; skill deficits; cultural considerations.
 - b. The defendant's/person under supervision's substance use and mental health history including substances used, patterns of use, periods of extended abstinence and relapse, diagnoses, treatment, impairment related to these issues, family history of mental health and substance use, current symptoms,

mental health status, prescribed medications, and readiness to engage in services.

- c. Treatment recommendations shall include the level/frequency and type of services appropriate to address the identified problems, if applicable, as well as any additional recommendations and referrals.

«10.» **Integrated Treatment Services for Co-Occurring Disorders**

Defendants/persons under supervision with co-occurring disorders shall receive substance use and mental health services in an integrated fashion. Integrated treatment services shall include the use of cognitive behavioral techniques, including but not limited to cognitive restructuring, skill building using a structured learning approach (including modeling, role play and feedback), and teaching the skill of problem solving to change defendant/person under supervision thought patterns while teaching interpersonal and coping skills. The vendor shall incorporate motivational engagement techniques throughout the counseling process. For USPO referrals, the intervention shall address criminogenic risk and needs in accordance with the person under supervision's PCRA results.

Treatment shall incorporate one or more of the services referenced below (1 through 4) for each defendant/person under supervision. Treatment dosage, including level of care, shall be based on needs of the defendant/person under supervision. As the defendant/person under supervision progresses or regresses in their treatment, the vendor shall provide recommendations to the USPO/USPSO for changes in service intensity, and re-evaluated no less than every 90 days.

The vendor shall provide:

- a. One or more of the following (or any combination thereof):
 - «(1)» **Integrated Treatment Services for Co-Occurring Disorders/Individual Counseling (6015)** to one (1) defendant/person under supervision. This treatment shall conform to the standards set forth in 2010 and 6010 but shall be completed in an integrated fashion.
 - «(2)» **Integrated Treatment Services for Co-Occurring Disorders/Group Counseling (6026)** with at least two (2), but no more than ten (10) defendants/persons under supervision. This treatment shall conform to the standards set forth in 2020 and 6020 but shall be completed in an integrated fashion.
 - «(3)» **Integrated Treatment Services for Co-Occurring Disorders/Treatment Readiness Group (6027)** Two (2) or more defendants/persons under

supervision and/or family members.

- «(4)» **Integrated Treatment Services for Co-Occurring Disorders/Family Counseling (6036)** to defendant/person under supervision and/or one (1) or more family members. The vendor may meet with family members without the defendant/person under supervision present with USPO/USPSO approval, if the defendant/person under supervision is the primary beneficiary of the service provided.

The vendor shall ensure that:

- b. Practitioners providing integrated treatment services for co-occurring disorders shall be licensed and/or certified in compliance with state statutes, regulations, and guidelines. These services could also be conducted by a provisionally licensed masters or doctoral level clinician under the supervision of a licensed professional, in accordance with state licensing standards;
- c. Practitioners use integrated treatment approaches deemed successful with individuals with co-occurring psychiatric and substance use disorders;
- d. Provide treatment only as authorized on the Probation Form 45 and shall initiate services within 10 business days of receiving the initial or amended Probation Form 45, any exceptions to the time frame shall be approved by the CO and documented by the vendor (within the defendant/person under supervision file).
- e. Ensure that a typed **treatment plan** is submitted to the USPO/USPSO at least every 90 days in accordance with Vendor Reports under section f(1).
- f. A typed **transitional care plan** is submitted to the USPO/USPSO in accordance with Vendor Reports under section f(3).

«11.» **Physical Examination and Laboratory Studies**

Physical Examinations and Laboratory Studies may be an adjunct to Mental Health, Substance Use, Co-Occurring Treatment, Psychiatric Evaluation and Psychotropic Medication, Medically Managed Treatment to include Agonist/Antagonist Medication, and Inpatient Detoxification, and shall be billed under PCs 4010 and 4020 below.

The vendor shall provide:

- «a.» **One Physical Examination and Report (4010)** per defendant/person under supervision, as deemed medically necessary, conducted by:
 - (1) A licensed medical doctor/physician, or other qualified practitioner who is board certified or board-eligible, and meets the standards of practice (i.e., academic training, residency, etc.) established by his/her state's regulatory board; or
 - (2) Other qualified practitioner (i.e., Licensed/Certified Nurse Practitioner/Specialist) who meets the standards of practice established by his/her state's regulatory board.
- «b.» **Laboratory Studies and Report (4020)** including blood and urine testing at actual price when deemed medically necessary.
- «c.» A typed report to the USPO/USPSO within 15 business days after completing the **Physical Examination (PC 4010)** and **Laboratory Studies (PC 4020)**.

«12.» **Psychological/Psychiatric Evaluation Testing and Report**

The vendor shall provide:

- «a.» **Psychological Evaluation and Report (5010)**- which includes all available information from defendant/person under supervision self-reports. This evaluation and report shall provide and/or clarify diagnostic impressions, assist in differential diagnosis, and/or assist in treatment planning. As part of the evaluation, the evaluator shall render an opinion based on the results of available psychological testing. The evaluation and report shall be conducted and prepared by a licensed/certified psychologist (PhD or Psy.D, or other advanced doctoral degree) who meets the standards of practice established by his/her state's regulatory board.
- «b.» **Psychological Testing and Report (5020)**- consisting of a diagnostic interview and a battery of neuropsychological and/or personality tests (i.e., objective personality tests, projective personality tests, trauma symptoms personality) to assess personality and/or thought or neurological disorders and to assist with a diagnostic impression and treatment recommendations. Since the number of tests administered may vary, the price of the complete report including the battery of tests will be expressed as a not-to-exceed (NTE) amount, while any combination of individual tests shall be billed at a lesser amount. The testing and report are conducted and prepared by a licensed/certified psychologist (PhD or Psy.D, or other advanced doctoral degree) who meets the standards of practice established by

his/her state's regulatory board.

- «c.» **Psychiatric Evaluation and Report (5030)**- consisting of a medical evaluation and report conducted and prepared by a licensed medical doctor/physician, a psychiatrist, or other qualified practitioner who is board certified or board-eligible, and meets the standards of practice (i.e., academic training, residency, etc.) established by his/her state's regulatory board. The purpose for this type of evaluation is to establish a psychiatric diagnosis, to determine the need for medications and prescribe as necessary, and/or identify any necessary recommendations and referrals related to treatment.

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

- «d.» Testing and evaluations shall be completed within 30 business days of receiving the referral, any exception to the time frame shall be approved by the CO and documented by the vendor (within the defendant/person under supervision file), and a typed report to the USPO/USPSO within 10 business days after completion of any of the listed mental health services (**5010, 5020, and 5030**). At a minimum, the report should include the following:

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

- (a) Vendor's/Evaluator's contact information, reason for referral, sources of information for the report (to include current counselors) and/or procedures/tests administered during the evaluation;
- (b) The dates of each test administered, the date of the diagnostic interview and the date the report was prepared;
- (c) A list and brief description (i.e., type/purpose of evaluation tools) of all tests (5020) administered (i.e., MMPI, Rorschach, WAIS-R, DIS, SCI);
- (d) Background information (i.e., prior psychological assessments, prior treatment efforts, defendant's/person under supervision's conceptualization of his/her problem, family history of mental illness, history of substance use, medication use, social history). **NOTE:** The background information shall not be a synopsis and/or overview of presentence or pretrial services reports or any other institutional progress reports provided by the USPO/USPSO

to the vendor for background information, but shall include information from those reports;

- (e) History of present illness (Compliant);
- (f) Behavioral observations;
- (g) Cognitive functioning (i.e., range of intellectual functioning), if necessary;
- (h) Social-Emotional functioning (i.e., implications of the defendant's/person under supervision's cognitive strengths/weaknesses, ability to appreciate judgment and empathic ability);
- (i) Mental status examination (including appearance, general behavior, expression of mood and affect, speech and language, suicidal/homicidal thoughts (including current level of dangerousness to self/others);
- (j) Social history (i.e., psychosocial/ developmental history, occupational and family history). **NOTE:** The social history shall not be a synopsis and/or overview of presentence and/or pretrial services reports, or other institutional progress report provided by the USPO/USPSO to the vendor for background information, but shall include information from those reports;
- (k) Diagnostic impression according to the most current edition of the American Psychiatric Association's Diagnostic and Statistical Manual of Mental Disorders (i.e., DSM) with separate notations for important psychosocial and contextual factors and disability. If a defendant/person under supervision does not meet DSM criteria that shall be noted in the evaluation;
- (l) Recommendations (should include whether further psychological or psychiatric treatment is required; if so, what specific issues require treatment, required modality of treatment, frequency, intensity, and treatment goals).

«(2)» **For Psychiatric Evaluations and Report (5030):**

- (a) Reason for the evaluation;
- (b) Present symptoms;
- (c) Past psychiatric treatments (type, duration, and where applicable, medications and doses), including past and current psychiatric diagnoses;
- (d) General medical history;
- (e) History of substance use;

- (f) Social history (i.e., psychosocial/developmental history, occupational and family history, and environmental and genetic factors contributing to psychiatric symptoms);
- (g) Physical examination (if required);
- (h) Mental status examination;
- (i) Description and evaluation of all testing components;
- (j) Diagnostic impression according to the current edition of the American Psychiatric Association's Diagnostic and Statistical Manual of Mental Disorders (i.e., DSM);
- (k) Recommendations shall include whether further psychological/psychiatric treatment is required; whether medications are required (if so, shall prescribe accordingly).

«13.» **Mental Health Intake Assessment and Report**

Within 15 business days of receiving the referral, any time frame exceptions shall be approved by the CO and documented by the vendor (within the defendant/person under supervision file), the vendor shall provide:

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

The vendor shall provide:

- (1) At least one validated psychological assessment.
- (2) A typed report shall be provided to the USPO/USPSO within 10 business days of the vendor's completion of the assessment. The written report shall, at minimum, include the following:
 - (a) Basic identifying information and sources of information for the report;
 - (b) A mental status examination including physical appearance, orientation, mood/affect, intellectual functioning, suicidal or homicidal ideation, social judgment and insight, psychiatric symptoms, current level of dangerousness to self/others, etc., and possible indicators supporting the need for further testing and/or treatment;
 - (c) Current social situation (i.e., source of income, employment,

- environment), and responsivity and cultural considerations for service delivery;
- (d) Historical information to include: outpatient/inpatient mental health, environmental and genetic factors related to substance use and behavioral health, DSM diagnosis (if applicable);
 - (e) Specific recommendations for additional assessments or testing, if applicable;
 - (f) Clinical treatment recommendation specifying type and frequency of services, if applicable.
- (3) The vendor shall contact the USPO/USPSO, or follow other notification protocols outlined by the CO, **within 24 hours** if the defendant/person under supervision fails to report for the evaluation. Any factors that may increase risk or identified third-party risk issues shall be immediately communicated to the USPO/USPO, or follow other notification protocols outlined by the CO.

«14.» Case Management Services (Mental Health) (6000) is defined as a method of coordinating the care of defendants/persons under supervision living with mental illness. Case management services serve as a way of linking defendants/persons under supervision to essential services, including but not limited to securing financial benefits, health and mental health care. This service may also be utilized in Re-entry/Specialty Courts. This service is generally used in conjunction with some form of mental health counseling (Project Codes 6010, 6015, 6020, 6021, 6026, 6027, 6028, 6030, and 6036).

The vendor shall provide:

- (1) **Case Management Services (Mental Health) (6000)** to defendants/person under supervision which may include but is not limited to providing assistance in finding services in the following areas:
 - (a) Intensive community-based services to maximize the defendant/person under supervision's access to services and ability to function in the community;
 - (b) Facilitating service linkage in the community and coordinating integrated services from multiple providers (where applicable);
 - (c) Supportive/problem-solving individual counseling;
 - (d) Direct service support including assistance with obtaining transportation, housing, financial support, coordinating team meetings, filing application for services (including Social Security and other local assistance programs), escort to appointments, medication compliance, and daily living skill remediation;
 - (e) Skill-teaching to families;

- (f) Crisis intervention; and
- (g) Attend Re-entry/Specialty Court proceedings as requested, when applicable.

The vendor shall ensure that:

Case Managers meet the standards of practice established by his/her state's professional regulatory board (where applicable) and meet the **minimum** qualifications (must have 1 or 2 and 3):

- (1) Bachelor's degree in a behavioral health field (psychology, social work, counseling, etc.) and one year experience in behavioral health field or appropriate internship; **or**
- (2) High School Diploma or GED and five (5) years' experience in behavioral health setting.

«15.» **Mental Health Counseling**

Counseling is a clinical interaction between a defendant/person under supervision and a masters or doctoral level practitioner who is licensed by his/her state's regulatory board. These services could also be conducted by a provisionally licensed masters or doctoral level clinician under the supervision of a licensed professional, in accordance with state licensing standards. The interactions shall be deliberate and based on clinical modalities, which have demonstrated evidence to stabilize mental health symptoms. For USPO referrals, the clinician should consider the defendant/person under supervision's PCRA results in addressing criminogenic risk and needs.

Treatment shall incorporate one or more of the services referenced below (1 through 5) for each defendant/person under supervision. As the defendant/person under supervision progresses or regresses in their treatment, the vendor shall provide recommendations to the USPO/USPSO for changes in service intensity and re-evaluated no less than every 90 days.

The vendor shall provide:

- a. Treatment only as authorized on the Probation Form 45 and shall initiate services within 10 business days of receiving the initial or amended Probation Form 45, any time frame exceptions shall be approved by the CO and documented by the vendor (within the defendant/person under supervision file). All the following services, may be ordered on the Probation Form 45 individually or in any combination:

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

- «(2)» **Group Counseling (6020)** to two (2) or more defendants/person under supervision but no more than twelve (12).
- «(3)» **Education Group (6021)** to two (2) or more individuals. A mental health education group is topic-specific and may be delivered to the defendant/person under supervision and/or their family. The purpose of this group is to: (1) offer insight into the defendant's/person under supervision's illness and to teach coping strategies to deal with the realities of their disorders; (2) assist with treatment compliance; and (3) assist defendants/person under supervision and/or family members with how to access community support services.
- «(4)» **Cognitive-Behavioral Group (6028)** is designed for two (2) or more defendants/person under supervision but no more than twelve (12). The goal of this intervention is to change the way defendants/person under supervision think, hence changing the way they behave. More specifically, CBT restructures a defendant/person under supervision's thought patterns while simultaneously teaching pro-social skills. This type of intervention is effective in addressing criminogenic needs such as antisocial values and poor impulse control. This intervention must also focus on the stabilization of mental health symptoms.
- «(5)» **Family Counseling (6030)** to a defendant/person under supervision and one or more family members. The vendor may meet with family members without the defendant/person under supervision present with USPO/USPSO written approval, if the defendant/person under supervision is the primary beneficiary of the service provided.

The vender shall ensure that:

- «(a)» **Mental Health Counseling, i.e., 6010, 6020, 6021, 6028, and 6030** are provided by a masters or doctoral level practitioner who is licensed by his/her state's regulatory board to perform psychotherapy/counseling services. These services could also be conducted by a provisionally licensed masters or doctoral level clinician under the supervision of a licensed professional, in accordance with state licensing standards.
- «(b)» Practitioners conducting the **Cognitive-Behavioral Group (6028)** utilize theoretical models such as behaviorism, social learning, or cognitive-behavioral theories of change.
- «(c)» Ensure that a typed treatment plan is submitted to the USPO/USPSO at least every 90 days in accordance with Vendor Reports under section f(1).

NOTE: Initially and after every update, or at least every 90 days, the treatment plan should be provided to the USPO/USPSO.

«(d)» A typed transitional care plan is submitted to the USPO/USPSO in accordance with Vendor Reports under section f(3).

«16.» **Sex Offense Evaluation and Report (5012)**

A sex offense evaluation (also commonly known as a “psychosexual evaluation”) is a comprehensive evaluation, meant to provide a written clinical evaluation of a defendant’s/person under supervision's risk for re-offending and current amenability for treatment; to guide and direct specific recommendations for the conditions of treatment and supervision of a defendant/person under supervision; to provide information that will help to identify the optimal setting, intensity of intervention, and level of supervision, and; to assess the potential dangerousness of the defendant/person under supervision. This type of evaluation may include one or any combination of the following services: **penile plethysmograph (5021), clinical polygraph (5022), psychological evaluation and report (5010), psychological testing (5020), Visual Reaction Time (VRT) Measure of Sexual Interest (5025)**, and/or any other assessment deemed appropriate by the clinician and approved in advance by the USPO/USPSO.

The vendor shall provide:

- a. A **sex offense evaluation and report (5012)**: for the purposes of assessing risk factors and formulating a treatment plan. A sex offense evaluation of a defendant/person under supervision shall be completed within 30 business days of receiving the referral, any exceptions to the time frame shall be approved by the CO and documented by the vendor (within the defendant/person under supervision’s file), and shall consider the following: sexual developmental history and evaluation for sexual arousal/interest, deviance and paraphilias, level and extent of pathology, deception and/or denial, presence of mental and/or organic disorders, drug/alcohol use, stability of functioning, self-esteem and ego-strength, medical/neurological/pharmacological needs, level of violence and coercion, motivation and amenability for treatment, escalation of high-risk behaviors, risk of re-offense, treatment and supervision needs, and impact on the victim, when possible.
- b. A typed report to the USPO/USPSO within 10 business days after completion of evaluation. The report shall include the following:
 - (1) Vendor’s/Evaluator’s contact information, reason for referral,

and/or procedures/tests administered during evaluation, and sources of information for the report;

- (2) Dates of all tests administered and date report was prepared;
- (3) Description of all tests administered and results of the testing;
- (4) Specific diagnostic impressions and recommendations for treatment. If treatment is not indicated, this should be clearly stated. If treatment is indicated, all interventions recommended should be detailed (i.e., group therapy, aversion therapy, medications), the level and intensity of sex offense treatment, treatment of coexisting conditions;
- (5) Specific recommendations for community management, the level and intensity of behavioral monitoring needed, the types of external controls which should be considered specifically for defendant/person under supervision (e.g., controls of work environment, leisure time, or transportation; life stresses, or other issues that might increase risk and require increased supervision). This must include the level of environmental restriction recommended if results allow for such determination;
- (6) Referral for medical/pharmacological treatment, if indicated; and
- (7) Methods to lessen victim impact (if available).

The vendor shall ensure:

- a. A **sex offense evaluation and report (5012)** is provided by a masters or doctoral level practitioner; who is licensed by his/her state's regulatory board, and adheres to the established ethics, standards and practices of state regulatory sex offender management boards (where applicable). The individual shall practice within the generally accepted standards of practice of the individual's mental health profession, adhere to the Code of Ethics and Practice Standards and Guidelines published by Association for the Treatment and Prevention of Sexual Abuse (ATSA), and demonstrate competency according to the individual's respective professional standards and conduct all evaluations/treatment in a manner that is consistent with the reasonably accepted standard of practice in the sex offender evaluation/treatment community.

- b. The practitioner uses at least one actuarial risk assessment AND at least one stable dynamic risk assessment that has been researched and demonstrated to be statistically significant in the prediction of re-offense. Examples of actuarial risk assessment include, but are not limited to: VRAG, SORAG, HARE PCL-R, RRASOR, STATIC 99, MNSOT-R. Examples of stable dynamic risk assessments include, but are not limited to: Stable 2000/2007, Sex Offender Treatment Intervention Progress Scales (SOTIPS), Structured Risk Assessment - Forensic Version (SRA-FV), Violence Risk Scale-Sexual Offender Version (VRS-SO). For situations in which the person under supervision does not fall under a validated risk assessment (e.g. charge/conviction of Child Sexual Abuse Material Possessor), the practitioner shall complete all content areas of the actuarial and dynamic risk assessments to determine treatment and supervision focus; however, not give a score on the assessment (note: the assessment will only be used to understand targeted areas and not used for risk prediction/recidivism).
- c. The practitioner uses instruments with demonstrated reliability and validity that have specific relevance to evaluating persons charged with or convicted of sex offenses.
- d. The practitioner reviews and considers at least the following information: the criminal justice information, including the details of the current offense and documents that describe victim trauma, when available; and collateral information, including information from other sources on the defendant's/person under supervision's sexual behavior.
- e. If the defendant/person under supervision fails to report for evaluation, the vendor shall follow notification protocols outlined in this Statement of Work under Notifying USPO/USPSO of Defendant/Person Under Supervision Behavior.

«17.» **Sex Offense Treatment for Post-Conviction**

Sex offense treatment is defined as treatment interventions used to help persons convicted of a sex offense accept responsibility, have an increased level of recognition and focus on details of actual sexual behavior, arousal, fantasies, planning and rationalizations of their sexually deviant thoughts and behavior. Sex offense treatment gives priority to the safety of a person under supervision's victim(s) and the safety of potential victims and the community.

- a. The vendor shall provide treatment only as authorized on the Probation Form 45 and shall initiate services within 10 business days of receiving the initial or amended Probation Form 45, any time frame exceptions shall be approved by the CO and documented by the vendor (within the defendant/person under supervision file). All the following services may be ordered on the Probation Form 45, individually or in combination
- «(1)» **Individual Sex Offense Treatment (6012)** to one (1) person under supervision,
 - «(2)» **Group Sex-Offense Treatment (6022)** to two (2) or more persons under supervision but not more than ten (10),
 - «(3)» **Family Sex-Offense Treatment (6032)** to a person under supervision and one or more family members. The counselor may need to meet with family members without the person under supervision present with USPO written approval, if the defendant/person under supervision is the primary beneficiary of the service provided. This project code is also appropriate for family members who have suffered victimization by the person under supervision and/or to prepare family members for possible reunification,
 - «(4)» **Group Sex Offense Treatment Readiness (6090)** to two (2) or more person under supervision but no more than twelve (12). Treatment Readiness Group shall include persons under supervision with little or no understanding of the cycle of sexual offenses. The attendance of one family member per person under supervision shall be included in the unit price in Section B.

The vendor shall ensure that:

- a. **Sex offense treatment (6012, 6022, 6032, and 6090)** is provided by a masters or doctoral level practitioner, who is licensed by his/her state's regulatory board and adheres to the established ethics, standards and practices of state regulatory of state sex offender management board (where applicable). The individual shall practice within the generally accepted standards of practice of the individual's mental health profession, adhere to the Code of Ethics and Practice Standards and Guidelines published by the Association for the Treatment and Prevention of Sexual Abuse (ATSA), and demonstrate competency according to the individual's respective professional standards and conduct all evaluations/treatment in a manner that is consistent with the reasonably accepted standard of practice in the sex offender evaluation/treatment community.
- b. Practitioners employ treatment methods that are supported by current professional research and practice.

- c. Practitioners employ treatment methods that are based on a recognition of the need for long-term, comprehensive, sex offense treatment. Self-help or time limited treatments shall be used only as adjuncts to long-term, comprehensive treatment.
- d. The content of sex offense treatment (6012, 6022, 6032 and 6090) shall be designed to and include:

Primary Treatment Phase:

In cooperation with the supervising officer, treatment methods should incorporate the results of the Post-Conviction Risk Assessment (PCRA) and information gained from polygraph examinations, including sexual history examinations and/or maintenance examinations.

Identify and treat persons convicted of a sex offense's stable/acute dynamic risk factors, provide effective interventions and discuss and integrate protective factors;

- 1) Hold person under supervision accountable for their behavior and assist them in maintaining their accountability;
- 2) Require person under supervision to complete a full sex history disclosure and to disclose all current sex offending behaviors;
- 3) Reduce person under supervision' denial and defensiveness;
- 4) Decrease and/or manage person under supervision' deviant sexual urges and recurrent deviant fantasies while increasing appropriate sexual thoughts;
- 5) Educate person under supervision about the potential for re-offending and specific risk factors;
- 6) Teach person under supervision self-management methods to avoid a sexual re-offense;
- 7) Identify and treat the person under supervision' thoughts, emotions, and behaviors that facilitate sexual re-offenses or other victimizing or assaultive behaviors;
- 8) Identify and treat person under supervision' cognitive distortions;
- 9) Educate person under supervision about non-abusive, adaptive, legal, and pro-social sexual functioning satisfying, satisfying life that is incompatible with sexual offending;
- 10) Educate person under supervision about the impact of sexual offending upon victims, their families, and the community;
- 11) Provide person under supervision with training in the development of skills needed to achieve sensitivity and empathy with victims;
- 12) Identify and treat person under supervision's personality traits and deficits that are related to their potential for re-offending;

- 13) Identify and treat the effects of trauma and past victimization of person under supervision as factors in their potential for re-offending. (It is essential that person under supervision be prevented from assuming a victim stance in order to diminish responsibility for their actions);
- 14) Identify social deficits and strengthen person under supervision's social and relationship skills, where applicable; develop and enhance healthy interpersonal and relationship skills, including communication, perspective, talking and intimacy;
- 15) Require person under supervision to develop a written plan for preventing a re-offense; the plan should identify antecedent thoughts, feelings, circumstances, and behaviors associated with sexual offenses;
- 16) Provide treatment or referrals for person under supervision with co-existing treatment needs such as medical, pharmacological, psychiatric needs, substance use, domestic violence issues, or disabilities;
- 17) Maintain communication with other significant persons in the person under supervision's support systems to the extent possible to assist in meeting treatment goals;
- 18) Evaluate existing treatment needs based on developmental or physical disabilities, cultural, language, sexual orientation, and gender identity that may require different treatment arrangements;
- 19) Identify and treat issues of anger, power, and control; and
- 20) (For 6032) Educate individuals who are identified as the person under supervision's support systems about the potential for re-offending and a person under supervision's specific risk factors, in addition to requiring a person under supervision to disclose critical issues and current risk factors.

Maintenance Treatment Phase:

Maintenance phase treatment is defined as treatment interventions used to help persons convicted of a sex offense adhere to their relapse prevention plan and ensure the person under supervision's dynamic risks continue to be managed appropriately. In collaboration with the supervising officer, the treatment provider should determine if all identified stable dynamic risk factors are mitigated and the goals and objectives of primary treatment have been successfully met. If after review, the supervising officer and the treatment provider are in agreement that the person under supervision has obtained the skills and ability to manage their deviant thoughts, has addressed all identified stable dynamic risk factors or sex offense treatment goals and objectives, and has a relapse prevention plan in place, then

transition from primary treatment to the maintenance phase should be considered.

Maintenance phase of treatment should motivate the person under supervision to avoid high risk behaviors related to increased risk for re-offense. Utilizing skills learned through primary treatment along with their relapse prevention plan to function successfully with a lessened quantity of treatment. In this phase, persons under supervision have successfully addressed the underlying issues in their offending behavior and have developed skills to lead a pro-social, non-offending life.

The duration and frequency of contact between the person convicted of a sex offense and the provider, during the *Maintenance* phase, should be determined based on the risk and needs of the individual. This contact could be as frequent as the individual requires to adhere to their relapse prevention plan (for example, monthly or quarterly sessions).

Persons convicted of a sex offense may require different levels of intervention throughout their terms of supervision. The supervising officer should view sex offense treatment on a continuum of services designed to address the acute and stable dynamic risk factors presented by the individual and not as a finite process. If at any time during the maintenance phase the person under supervision, the supervising officer or the treatment provider assess that the person under supervision is having difficulty effectively implementing his relapse prevention plan, she/he may be moved back into primary treatment until which time the risks identified have been mitigated.

- e. The vendor shall follow notification protocols outlined in this Statement of Work under Notifying USPO/USPSO of Defendant/Person Under Supervision Behavior.
- f. Any factors that may increase risk of further sex offenses, or identified third-party risk issues, shall be immediately communicated to the USPO or follow other notification protocols outlined by the CO.
- g. Only face-to-face contacts with the person under supervision (or family) shall be invoiced, unless otherwise approved by the CO.

The vendor shall provide:

- a. A typed, written comprehensive treatment plan, created at the beginning of programming with the person under supervision, based on the needs and risk identified in current and past assessments/evaluations of the person under

supervision. The **treatment plan** shall:

- (1) Provide for the protection of victims and potential victims and not cause the victim(s) to have unsafe and/or unwanted contact with the person under supervision;
- (2) Be individualized to meet the person under supervision's unique needs;
- (3) Identify the issues to be addressed, including multi-generational issues if indicated, the planned intervention strategies, and the goals of treatment;
- (4) Define the person under supervision's expectations of treatment, the expectations of his/her family (when possible) and support systems of the treatment process, and address the issue of ongoing victim input (if possible);
- (5) Identify short and long-term goals the person under supervision will attempt to achieve that related to the person's risk factors, needs, and responsivity;
- (6) Include measurable objectives which relate to the achievement of corresponding goals and program requirements;
- (7) Define the type and frequency of services to be received;
- (8) Specific criteria for treatment completion and the anticipated time-frame; and
- (9) Primary Phase: The practitioner completes at least one actuarial risk assessment (if not already completed and available) AND at least one stable dynamic risk assessment that has been researched and demonstrated to be statistically significant in the prediction of re-offense. This assessment is updated at intervals consistent with the assessment tool and used to aid in identifying sex offense treatment goals and objectives the person under supervision has completed. Examples of actuarial risk assessment include, but are not limited to: VRAG, SORAG, HARE PCL-R, RRASOR, STATIC 99, MNSOT-R. Examples of stable dynamic risk assessments include, but are not limited to: Stable 2000/2007, Sex Offender Treatment Intervention Progress Scales (SOTIPS), Structured Risk Assessment - Forensic Version (SRA-FV), Violence Risk Scale-Sexual Offender Version (VRS-SO). For situations in which the person under supervision does not fall under a validated risk assessment (e.g. charge/conviction of Child Sexual Abuse Material Possessor), the practitioner shall complete all content areas of the actuarial and stable dynamic risk assessments to determine treatment and supervision focus; however, not give a score on the assessment (note: the assessment will only be used to

understand targeted areas and not used for risk prediction/recidivism).

NOTE: Primary Phase Treatment Plans shall be completed at least every 90 days, and include the person under supervision's input, updates to items (1) - (9) aforementioned, justification for continued need for treatment, and information on family and any significant other involvement (i.e., community support programs, etc.). The treatment plan should be signed and dated by the vendor and person under supervision and provided to the USPO.

Maintenance Phase: The practitioner completes at least one stable dynamic risk assessment, if applicable (change in circumstances that would warrant a reassessment), that has been researched and demonstrated to be statistically significant in the prediction of re-offense. Examples of stable dynamic risk assessment include, but are not limited to: Stable 2000/2007, Sex Offender Treatment Intervention Progress Scales (SOTIPS), Structured Risk Assessment – Forensic Version (SRA-FV), Violence Risk Scale - Sexual Offender Version (VRS-SO). For situations in which the person under supervision does not fall under a validated risk assessment (e.g. charge/conviction of Child Sexual Abuse Material Possessor), the practitioner shall complete all content areas of the stable dynamic risk assessment to determine treatment and supervision focus; however, not give a score on the assessment (note: the assessment will only be used to understand targeted areas and not used for risk prediction/recidivism). This assessment is updated at intervals consistent with the assessment tool and used to aid in identifying sex offense treatment specific goals and objectives the person under supervision has completed.

NOTE: Maintenance Phase Treatment Plans shall be completed at least every 90 days, and include the person under supervision's input, updates to items (1) – (9) aforementioned, justification for continued need for treatment, and information on family and any significant other involvement (i.e. community support programs, etc.). The treatment plan should be signed and dated by the vendor and person under supervision and provided to the USPO.

- b. If the therapeutic interventions are no longer deemed necessary, a typed **transitional care plan** should be submitted to the USPO in accordance with Vendor Reports under section f(3).

«18.» **Chaperone Training and Support/Sex Offender (6091)**

Chaperone Training and Support is a psycho-educational/specialized training for one (1) or more significant others, family members, or other support persons of a defendant/person under supervision charged with or convicted of a sex offense. The goal is to provide a means of certifying individuals designated by the probation/pretrial services officer to act as a chaperone for a defendant/person under supervision and safeguard for the community. The vendor may meet with significant others, family members, or other support persons without the defendant/person under supervision present with USPO/USPSO approval, if the defendant/person under supervision is the primary beneficiary of the service provided.

The vendor shall ensure that:

- a. **Chaperone Training and Support (6091)** services shall include, but not be limited to the following topic areas:
 - (1) Responsibilities and limitations of the chaperone;
 - (2) Myths associated with sexual offending;
 - (3) Definitions of paraphilias;
 - (4) Identification of mistaken beliefs, thinking errors;
 - (5) Offense cycle;
 - (6) Grooming behaviors;
 - (7) Victimology;
 - (8) Relapse prevention; and
 - (9) Signs of increased risk.

Post-Conviction only: The topics addressed in the training and support must be individualized and case-specific, assuring the disclosure of the person under supervision's deviant sexual interests and behavior to prepare the chaperone to adequately observe, interpret, and act upon the person under supervision's future interactions with children under conditions set by the USPO.

Pretrial Services defendants only: The topics addressed in the training and support must be general education on sex offending and not individualized or case-specific. The vendor shall not ask questions pertaining to the instant offense, or ask questions or administer tests that compel the defendant to make incriminating

statements or to provide information that could be used in the issue of guilt or innocence. If such information is divulged as part of the evaluation, it shall not be included on the written report.

- b. Chaperone training and support services are provided by a licensed masters or doctoral level practitioner who meets the standards of practice established by his/her state's regulatory board and adheres to the established ethics, standards and practices of state regulatory sex offender management boards (where applicable). The individual shall practice within the generally accepted standards of practice of the individual's mental health profession, the individual shall adhere to the Code of Ethics and Practice Standards and Guidelines published by the Association for the Treatment and Prevention of Sexual Abuse (ATSA), and demonstrate competency according to the individual's respective professional standards and conduct all evaluations/treatment in a manner that is consistent with the reasonably accepted standard of practice in the sex offender evaluation/treatment community.
- c. Monthly written reports are to be provided to the USPO/USPSO and include known barriers to the goals of chaperone training, risk factors and any individualized requirements for completion of the program;
- d. Successful completion of Chaperone Training and Support is based on a professional evaluation of the individual's ability to act to protect children as a chaperone and not dependent solely upon completion of a specific number of sessions;
- e. A **program completion summary** is submitted to the USPO/USPSO within 10 business days upon completion and/or termination. At a minimum, the summary shall include topics trained; type of support provided; length of training and support; reason for termination (if applicable); and any recommendations for future chaperone development. In all cases, risk factors (if applicable), barriers to future chaperone implementation and the discharge status (i.e., successful discharge, unsuccessful discharge, program interruption, etc.) should be clearly stated.

«19.» **Physiological Measurements**

For identification, treatment, and management of persons convicted of a sex offense, the vendor shall provide the following services:

- «a.» **Penile Plethysmograph (5021)** is a phallometric assessment and report of sexual arousal.

«b.» **Visual Reaction Time (VRT) Measure of Sexual Interest (5025)** is an objective method for evaluating sexual interest which is designed to determine sex offender treatment needs and risk levels.

For the above services, the vendor shall ensure that:

- (1) Penile Plethysmograph or VRT tests shall be conducted only by specifically trained examiners. Examiners shall maintain membership in appropriate professional organizations and participate in regular relevant continuing educational training programs.
- (2) Examiners performing the plethysmograph or VRT are to adhere to the established Code of Ethics and Practice Standards and Guidelines of the Association for the Treatment and Prevention of Sexual Abuse (ATSA).
- (3) Consent forms specific to the penile plethysmograph/VRT procedure shall be read, signed, and dated by the person under supervision. If the person under supervision refuses to sign the form(s) or submit to testing, the examiner shall contact the USPO, or follow other notification protocols outlined by the CO, within 24 hours. In such a case, testing will be discontinued until further instructions are received from the probation officer.
- (4) Examiners shall follow notification protocols outlined in this Statement of Work under Notifying USPO/USPSO of Defendant/Person Under Supervision Behavior.
- (5) Examiners shall complete the assessment/test within 30 business days of receiving the referral and shall provide a typed report **within 10 business days** to the USPO outlining findings.
- (6) If necessary, examiners shall explain findings in any hearing or case evaluation conference (See additional information under Vendor Testimony).
- (7) All plethysmograph and VRT testing material, including the examiner's decision and the completed plethysmograph and/or VRT documents will be kept for a period of three years after the payment of the last invoice. Copies of all the aforementioned material are to be forwarded to the USPO at the expiration of the contract.

«c.» **Clinical Polygraph Examination and Report (5022)** shall be employed to assist in the treatment and supervision of persons under supervision by detecting deception or verifying the truth of their statements. The two types of polygraph examinations that shall be administered to persons under supervision under this code are:

- (1) **Sexual History Examination:** examines a person under supervision's lifetime sexual history and sexual behaviors that may be indicators of sexual compulsivity, sexual pre-occupation, or sexual deviancy and it may be included as a part of sex offense evaluation.
- (2) **Instant Offense Examinations:** examines additional or unreported offense behaviors in context of the instant offense.

«d.» **Maintenance Examination (5023)** for pretrial cases, the maintenance examination shall only be employed to investigate the defendant's compliance with conditions of supervision only.

For post-conviction cases, the maintenance examination is employed to periodically investigate the person under supervision's compliance with conditions of supervision, honesty with community supervision and/or treatment. Maintenance polygraph examinations may cover a wide variety of behaviors, including but not limited to, sexual behaviors, grooming behaviors, deviancy activities or high-risk behaviors. Maintenance polygraph examinations shall prioritize the investigation and monitoring of the person under supervision's involvement in any noncompliance, high-risk, and deviancy behaviors that may change over time and would signal an escalating risk level prior to re-offending.

The vendor shall ensure that polygraph examiners meet the following minimum standards (**5022 and 5023**) and that polygraph examinations are conducted in accordance with the following:

- (1) **Education.** Polygraph examiners shall be graduates of a basic polygraph school accredited by the American Polygraph Association (APA). Examiners shall possess a baccalaureate or higher degree from a regionally accredited university/college, or have at least five years' experience as a full-time commissioned federal, state, or municipal law enforcement officer.

A minimum of 40 hours of Post-Conviction Sex Offender Testing

(PCSOT) specialized instruction, beyond the basic polygraph examiner training, shall be required of those who practice sex offender polygraph testing. Examiners who have passed a final examination approved by the APA are preferred.

- (2) **Certification.** Examiners shall be members of a professional organization that provides regular training on research and case management of sex offenders.
- (3) **Experience.** Polygraph examiners shall have a minimum of two years of polygraph experience in criminal cases. Examiners are required to have specialized training or experience in the examination of sex offenders.
- (4) **Ethics and Standards.** Polygraph examiners shall adhere to the established ethics, standards and practices of the American Polygraph Association (APA). In addition, the examiner shall demonstrate competency according to APA professional standards and conduct all polygraph examinations in a manner that is consistent with the accepted standards of practice.
- (5) **Licensure:** Examiners shall be licensed by the State's regulatory Board (if applicable).
- (6) All polygraph examinations are audio or video taped in their entirety (videotaping is preferred).
- (7) Polygraph examiners provide a typed report **within 10 business days** to the USPO/USPSO outlining findings and include the following information (if necessary to explain findings in any hearing or case evaluation conference): date and time of examination; beginning and ending times of examination; reason for examination; referring Officer; name of defendant/person under supervision; case background (instant offense and conviction); any pertinent information obtained outside the exam (collateral information if available); statement attesting to the defendant/person under supervision's suitability for polygraph testing (medical, psychiatric, developmental); list of defendant/person under supervision's medications; date of last post-conviction examination (if known); summary of pretest and post-test interviews, including disclosures or other relevant information provided by the person under supervision; examination questions

and answers; examination results; reasons for inability to complete exams (if applicable); and any additional information deemed relevant by the polygraph examiner (e.g., behavioral observations or verbal statements).

- (8) Consent forms specific to the polygraph procedures shall be read, signed, and dated by the defendant/person under supervision. If the defendant/person under supervision refuses to sign the form(s) or submit to testing, the examiner shall follow notification protocols outlined in this Statement of Work under Notifying USPO/USPSO of Defendant/Person Under Supervision Behavior. In such a case, testing will be discontinued until further instructions are received from the USPO/USPSO.
- (9) Polygraph examinations are subject to quality review. Polygraphers shall submit their complete records for independent quality review upon request of the CO.
- (10) Files shall include at a minimum, the name, date, examination location, copy of consent forms, pretest worksheet, copy of test questions, all case briefing materials, copy of charts, an examiner hand score sheet, the audio or video tape, and the polygraph results. Copies of all the aforementioned material are to be forwarded to the USPO/USPSO at the expiration of the contract, to be kept in the USPO/USPSO file.
- (11) Examiners shall follow notification protocols outlined in this Statement of Work under Notifying USPO/USPSO of Defendant/Person Under Supervision Behavior. Any factors that may increase risk of further sex offenses, or identified third-party risk issues arise shall be immediately communicated to the USPO/USPSO.
- (12) If the defendant/person under supervision refuses to submit to polygraph testing, based on a fifth amendment concern, testing shall be discontinued immediately and guidance sought from the USPO/USPSO.

«20.» **Specialized Treatment for Pretrial Defendants Charged with a Sex-Offense**

Specialized Treatment for Pretrial Defendants charged with a Sex Offense is defined as treatment interventions used to help pre-adjudicated individuals with crisis intervention,

support, healthy coping skills, cognitive behavioral treatment and understanding the keys to successful incarceration.

- «(1)» **Individual Specialized Treatment (7013)** to one (1) defendant and/or their family (Family is billed at individual rate),
- «(2)» **Group Specialized Treatment (7023)** to two (2) or more defendants but not more than ten (10).

The vendor shall ensure that:

- a. **Specialized Treatment Services (7013 and 7023)** are provided by a licensed masters or doctoral level practitioner who meets the standards of practice established by his/her state's regulatory board and adheres to the established ethics, standards and practices of the state's regulatory sex offender management board (where applicable) to provide Sex Offense Treatment. The individual shall practice within the generally accepted standards of practice of the individual's mental health profession, and adhere to the Code of Ethics and Practice Standards and Guidelines published by the Association for the Treatment and Prevention of Sexual Abuse (ATSA).
- b. Practitioners employ treatment methods that are based on a recognition of the specialized needs presented by pre-adjudicated individuals by employing cognitive behavioral treatment, crisis intervention, and life skills to promote healthy coping skills. The content of the treatment shall include:
 - (1) Crisis Intervention Services to determine level of suicidal ideation and level of anxiety, if immediate psychiatric intervention is needed, if defendant needs to be referred to a psychiatrist for evaluation and/or medication monitoring, and if defendant is in need of individual therapy in addition to group therapy.
 - (2) Supportive therapeutic interventions to address feelings of isolation, to help normalize their experience of the Federal Court System, and to address daily stressors (i.e., loss of employment, relationships etc.).
 - (3) Guidance to help the defendant identify healthy/alternative coping and communication skills.
 - (4) Cognitive Behavioral Therapy to address thinking errors, core beliefs, and values.
- c. Questions pertaining to the instant offense or questions that compel the defendant

to make incriminating statements or to provide information that could be used in the issue of guilt or innocence are not asked or addressed. If such information is divulged inadvertently by the defendant, it shall not be included on the written report or communicated to the officer.

- d. Practitioners shall follow notification protocols outlined in this Statement of Work under Notifying USPO/USPSO of Defendant/Person Under Supervision Behavior.
- e. Any factors that may increase risk of further sex offenses, or identified third-party risk issues, shall be immediately communicated to the USPO/USPSO, or follow other notification protocols outlined by the CO.
- f. Only face-to-face contacts with the defendant shall be invoiced, unless otherwise approved by the CO.

The vendor shall provide to the USPO/USPSO:

- a. A typed comprehensive treatment plan, created at the beginning of programming with the defendant, based on the needs and risks of the defendant. The treatment plan shall:
 - (1) be individualized to meet the defendant's unique needs;
 - (2) identify the issues to be addressed;
 - (3) include planned intervention strategies;
 - (4) include the goals of treatment;
 - (5) identify type and frequency of services to be received;
 - (6) identify specific criteria for treatment completion and the anticipated time-frame;
 - (7) include information on family and any significant other involvement (i.e., community support programs, etc.);
 - (8) Signed and dated by the vendor and the defendant; and
 - (9) Reviewed and updated **at least every 60 days** with justification for any continued treatment needs.
- b. A typed transitional care plan submitted to the USPO/USPSO in accordance with Vendor Reports under section f(3).

«21.» **Psychotropic Medication**

Psychotropic medication is defined as a class of drugs that are prescribed for persons whose symptoms are viewed as having a psychological base. This class of drugs is typically prescribed to stabilize or improve mood, mental status, or behavior. If medically appropriate, generic medications shall be prescribed. The vendor shall seek medication

pricing from a minimum of three (3) sources, and utilize the source with the lowest cost to the Judiciary.

NOTE: A treatment plan and transitional care plan is not required for Psychotropic Medication project codes.

The vendor shall provide:

«a.» **Psychotropic Medication (6040)** in either oral or injectable form subsequent to a prescription from a licensed psychiatrist, medical doctor/physician, or other qualified practitioner with current prescriptive authority, who meets the standards of practice established by his/her state's regulatory board. In addition to the prescription of medication to treat a psychiatric condition, the vendor is authorized to prescribe medications accepted within the standard of care to assist with side effects. Reimbursement for other prescriptions that fall outside this realm is not authorized. This service is generally used in conjunction with code 6050 or 6051; however, there may be emergency circumstances wherein a vendor may be authorized to solely acquire psychotropic medication in accordance with the Probation Form 45.

The vendor may charge an:

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

The vendor shall provide:

«c.» **Administration of Psychotropic Medication (6050)** - the service of dispensing oral medication and monitoring its ingestion and/or administration of intramuscular injections. **The vendor shall provide necessary physical examinations and laboratory tests associated with psychotropic medications under codes 4010 and 4020, respectively.**

«d.» **Psychotropic Medication Monitoring (6051)**

The vendor shall:

- (1) Prescribe and evaluate the efficacy of psychotropic medications (incorporating feedback from the treatment provider and/or the USPO/USPSO), and the need for laboratory testing, order the laboratory tests as indicated, and monitor the laboratory test results making changes

to the treatment regimen as indicated;

- (2) Document the name of the authorized practitioner who provided the medication monitoring, date, service code, and comments (i.e., adjustment, responsiveness, need for change in medication, etc.).

The vendor shall ensure that:

«e.» **Psychotropic Medication Monitoring (6051)** is provided by:

A license psychiatrist, medical doctor/physician, or other qualified practitioner with current prescriptive authority, who meets the standards of practice established by his/her state's regulatory board.

«22.» **Medically Managed Treatment**

Medically Managed Treatment (MMT) is the use of medications with counseling and behavioral therapies to treat substance use disorders. Medications used in MMT are approved by the Food and Drug Administration (FDA), and MMT programs are clinically driven and tailored to meet each patient's needs. MMT treatment programs must be certified in accordance with 42 CFR Part 8, which includes being registered with the Drug Enforcements Agency (DEA) and the Substance Abuse and Mental Health Administration (SAMSHA), in addition to adhering to any state regulations or statutes. If medically appropriate, generic medications shall be prescribed. The vendor shall seek medication pricing from a minimum of three (3) sources, and utilize the source with the lowest cost to the Judiciary.

NOTE: A treatment plan and transitional care plan are not required for Medically Managed Treatment project codes.

The vendor shall provide:

«a.» **Agonist/Antagonist Medication (7020)** in either oral or injectable form subsequent to a prescription from a licensed health care provider with current prescriptive authority, who meets the standards of practice established by federal requirements and/or his/her state's regulatory board (e.g., Naltrexone, Trexan, Antabuse, Methadone, Buprenorphine, etc.). In addition to the prescription of either oral or injectable agonist/antagonist medication, the vendor is authorized to prescribe withdrawal assistance medication to assist the defendant/person under supervision during the withdrawal process. Reimbursement for other prescriptions that fall outside this realm is not

authorized. The USPO/USPSO should generally authorize this in conjunction with individual or group counseling.

The vendor may charge an:

«b.» **Administrative Fee (7021)** to acquire the agonist/antagonist medication (i.e., via a pharmacy or other source) not exceeding five (5) percent of the actual funds expended for the medications.

«23.» **Agonist/Antagonist Medication**

The vendor shall provide:

«a.» **Agonist/Antagonist Medication Monitoring (9021)**

The vendor shall ensure that:

1. Medication is administered in compliance with all federal, state and local regulations.
2. Medication is administered in conjunction with intensive counseling and urine specimen collection.
3. Medication monitoring is provided by a licensed health care provider with current prescriptive authority, who meets the standards of practice established by federal requirements and/or his/her state's regulatory board.
4. The defendant/person under supervision:
 - (1) Is at least 18 years old;
 - (2) Has voluntarily agreed to medication treatment;
 - (3) Meets the criteria for opioid use disorder, opioid withdrawal, and/or alcohol use disorder as defined in the current version of the DSM; and
 - (4) Has written medical clearance stating that:
 - (a) There is minimum danger of side effects from medication; and
 - (b) Defendant/person under supervision is fully aware of the side effects.

The vendor shall:

1. Prescribe and evaluate the efficacy of agonist/antagonist medications (incorporating feedback from the treatment provider and/or the USPO/USPSO), and the need for laboratory testing, order the laboratory tests as indicated, and monitor the laboratory test results, making changes to the treatment regimen as indicated. **The vendor shall provide**

necessary physical examinations and laboratory tests associated with medications under codes 4010 and 4020, respectively;

2. Review with the USPO/USPSO the defendant's/person under supervision's program regularly to monitor dosage levels and length of treatment; and
3. Monitor the patient for evidence of clinical deterioration and/or medication non-compliance.

«b.» **Administration of Agonist/Antagonist Medication (9020)** -the service of dispensing oral medication and monitoring its ingestion and/or administration of intramuscular injections. NOTE: this code is only billed when the vendor physically observes the ingestion of oral medications or administration of an intramuscular injection. If medication is provided to the defendant/person under supervision to take at home, the vendor would invoice that cost under 7020 (contingent on that service being authorized on the Probation Form 45). **The vendor shall provide necessary physical examinations and laboratory tests associated with medications under codes 4010 and 4020, respectively.**

«24.» **Inpatient Detoxification**

The vendor shall provide:

a. One of the following:

«(1)» **Medical Detoxification (8010)** in a twenty-four (24) hour medically supervised setting, **or**

«(2)» **Non-medical Detoxification (8050)** in a non-medical therapeutic "social detoxification" setting with routine medical and nursing services on call;

b. Inpatient detoxification services including:

(1) Per diem rates include room and board, assessment, counseling/therapeutic services, physical examination and blood and urine specimen collection.

(2) For invoicing purposes per diem rates are calculated based on the following:

- a. A calendar day unit (midnight to midnight) for continuous placement of over 24 hours; and
- b. Is prorated/calculated as one-fourth of a calendar day for (1) six hours or less, or (2) when the defendant/person under supervision is absent from contractor's facility without USPO/USPSO's or vendor's permission for over 24 hours.

Example:

Assume a per diem rate of \$100. Defendant/person under supervision entered a

residential facility at 7:00 p.m. on Day 1 and was discharged from the facility at 7:00 a.m. on Day 3.

	Time Spent	Charge
Day 1	.25 units	\$25.00
Day 2	1 unit	\$100.00
Day 3	.5 units	\$50.00

«(3)» **Inpatient Detoxification Medication (8030)** in either oral or injectable form subsequent to a prescription from a licensed health care provider with current prescriptive authority, who meets the standards of practice established by federal requirements and/or his/her state's regulatory board (e.g., Naltrexone, Trexan, Antabuse, Methadone, Buprenorphine, etc.). In addition to the prescription or either oral or injectable agonist/antagonist medication, the vendor is authorized to prescribe comfort medications or other withdrawal assistance medication to assist the defendant/person under supervision during the withdrawal process. Reimbursement for other prescriptions that fall outside this realm is not authorized. The vendor shall provide necessary physical examination and laboratory tests associated with Inpatient Detoxification under codes 4010 and 4020, respectively. The vendor shall ensure that medication is administered in compliance with all federal, state and local regulations.

«25.» **Residential Placements**

The vendor shall provide at the daily per diem rates stated in Section B, the following services. The CO shall include a local service requirement which defines whether the required residential placement services will be specifically for males, females, or both. It should be noted there are a few instances wherein the defendant/person under supervision may not report as directed for residential placement. In the event of a no-show for residential placement, the vendor shall not invoice unless in person services were provided.

- a. **Therapeutic Community Treatment (1001); Confined Treatment Alternative (1503); Short-Term Residential Treatment (2001); Long-Term Residential Treatment (2002); Short-Term Residential Treatment for Co-Occurring Disorders (6001); and/or Long-Term Residential Treatment for Co-Occurring Disorders (6002):**
 - (1) Per diem rates include room and board, assessment, counseling/therapeutic services, drug testing, physical examination and blood and urine specimen collection.
 - (2) For invoicing purposes per diem rates are calculated based on the following:
 - a. A calendar day unit (midnight to midnight) for continuous placement

- of over 24 hours; and
- b. Is prorated/calculated as one-fourth of a calendar day for (1) six hours or less, or (2) when a defendant/person under supervision is absent from contractor's facility without USPO/USPSO's or vendor's permission for over twenty-four (24) hours.

Example:

Assume a per diem rate of \$100.00. Defendant/person under supervision entered a residential facility at 7:00 p.m. on Day 1 and was discharged from the facility at 7:00 a.m. on Day 3.

	Time Spent	Charge
Day 1	.25 units	\$25.00
Day 2	1 unit	\$12.00
Day 3	5 units	\$50.00

«(1)» **Therapeutic Community Treatment (1001)** Therapeutic Community Treatment Centers are drug-free residential settings that promote substance free living and mental health stability. The facility uses a hierarchical model with treatment stages that reflect personal and social responsibility. Peer influence, mediated through a variety of group processes, is used to help individuals learn and assimilate social norms and develop more effective social skills.

The vendor shall ensure that services are provided:

- (a) Only upon a vendor's professional staff recommendation and USPO's/USPSO's approval,
- (b) For a period not exceeding 270 days, unless CO approves the extension (USPO/USPSO monitors the defendant's/person under supervision's progress and reviews the placement every sixty (60) days), and
- (c) In three major stages:
 - a. Induction and Treatment- during the first 30 days to assimilate the individual into the Therapeutic Community;
 - b. Primary Treatment using a structured model of progression through increasing levels of pro-social attitudes, behaviors and responsibilities;
 - c. Re-entry - to facilitate the individual's separation from the Therapeutic Community and successful integration to society.

«(2)» **Short-term Residential Treatment (2001)** is for defendants/persons under supervision suffering from chemical dependency and needing residential treatment for a period not exceeding 90 days, unless approved by CO. Residential treatment facilities provide a highly structured environment that incorporates counseling, drug testing, and other approaches that involve cooperative living for people receiving treatment. The

defendant's/persons under supervision's progress shall be monitored and reported to the USPO/USPSO at least every 30 days.

- «(3)» **Long-term Residential Treatment (2002)** is for defendants/persons under supervision suffering from chemical dependency and needing residential treatment for a period not exceeding 270 days unless approved by CO. Residential Treatment facilities provide a highly structured environment that incorporates counseling, drug testing, and other approaches that involve cooperative living for people receiving treatment. The defendant's/person under supervision's progress shall be monitored and reported to the USPO/USPSO every 30 days.
- «(4)» **Short-term Residential Housing Treatment for Co-Occurring Disorders (6001)** is an inpatient treatment program for individuals who are suffering from both chemical use/dependence and a mental health disorder. It shall be for a period not to exceed 90 days, unless an extension is determined appropriate by the CO. Residential treatment facilities provide a highly structured environment that incorporates integrated treatment for co-occurring disorders, drug testing, and other approaches that involve cooperative living for people receiving treatment. The vendor shall monitor defendant's/person under supervision's progress and report to the USPO/USPSO every 30 days.
- «(5)» **Long-term Residential Treatment for Co-Occurring Disorders (6002)** is an intensive residential treatment program for individuals who are suffering both chemical use/dependence and a mental health disorder, for a period not to exceed 270 days, unless an extension is determined appropriate by the CO. Residential treatment facilities provide a highly structured environment that incorporates integrated treatment for co-occurring disorders, drug testing, and other approaches that involve cooperative living for people receiving treatment. The vendor shall monitor defendant's/person under supervision's progress and report to the USPO/USPSO every 30 days.
- «(6)» **Confined Treatment Alternative (1503)** is substance use treatment, drug testing, and other types of educational services in a confined facility for defendants/persons under supervision experiencing relapse or substance use behavior requiring a short-term controlled environment. The length of stay is determined by the USPO/USPSO and ordered by the Court, as a special condition of supervision. The length of treatment shall not exceed 90 days unless an extension is determined appropriate by the CO.

The vendor shall provide:

- (1) A typed **transitional care plan** report in accordance with Vendor

Reports under section f(3) for each defendant/person under supervision upon termination of the residential period for **Therapeutic Community Treatment (1001); Short-term Residential Treatment (2001); Long Term Residential Treatment (2002); Short-term Residential Treatment for Co-Occurring Disorders (6001); and/or Long-Term Residential Treatment for Co-Occurring Disorders (6002); and Confined Treatment Alternative (1503).**

«26.» **Residential Facilities Requirements (8010, 8030, 8050) and Residential Placements (1001, 1503, 2001, 2002, 6001, and 6002)**

All residential, housing and inpatient services listed above shall be provided at facilities that are licensed by the state and locality (if applicable) in which they are located and are in compliance with the Residential Facility Requirements (below).

a. **Defendant/Person under supervision Information**

The vendor shall obtain at intake: the resident's name; home address; date of birth; race; gender; and special medication problems or needs; the name of the resident's personal physician (if applicable); the resident's legal status including conditions of release; and the names of parties to notify in case of an emergency. The vendor shall immediately notify the USPO/USPSO, or follow other notification protocol outlined by the CO, if the defendant/person under supervision leaves the treatment facility without proper authorization, fails to report for treatment, or any factors that may increase risk or identified third-party risk issues. The vendor shall report conduct violating a condition of supervision within 24 hours.

b. **Staff Qualifications**

The vendor shall:

- (1) Have adequately trained, paid staff on duty/premises to provide 24 hours, 7-days a week coverage. (Staff may not be asleep during their assigned shifts);
- (2) Use volunteers only at the discretion of the CO;
- (3) Keep written position descriptions that accurately describe current duties for all staff performing services under this agreement;

- (4) Establish minimum employment qualifications for all staff performing services under this agreement;
- (5) Have, at a minimum, one staff member on each shift that is trained in emergency CPR and first aid;
- (6) Have counselors that are licensed and certified to engage in substance use treatment recognized by his/her state's regulatory board and/or accrediting agency; and
- (7) Only use paraprofessionals under the supervision of a staff member who meets the requirements described in item 6 above, and after obtaining the approval of the CO.

c. **Code Compliance**

The vendor shall:

- (1) Comply with all applicable (e.g., building sanitation, health, fire electrical, zoning) laws, ordinances, and codes.
- (2) Upon request of the CO, the vendor shall document compliance with, non-applicability of, any item in c. (1) above.

d. **Sleeping and Bathroom Facilities**

The vendor shall:

- (1) Provide well-lit and ventilated sleeping quarters.
- (2) Supply each defendant/person under supervision with a bed, mattress and storage space for personal articles.
- (3) Supply each defendant/person under supervision with a complete set of bed linens and towels which are, at a minimum exchanged or washed weekly.
- (4) Provide toilet, sink, and bathing facilities on the premises.

e. **Emergency Plans**

The vendor shall:

- (1) Have annually updated, written emergency and evacuation plans and diagrams for emergencies (e.g., fire, natural disaster and severe weather) that are communicated to each arriving defendant/person under supervision and shall be posted conspicuously in the facility.
- (2) Conduct quarterly evacuation drills when a representative number of defendant/person under supervision and other residents are present and document such.
- (3) Train all facility personnel to implement the emergency and evacuation plans and document such training.

f. **Safety Precautions**

The vendor shall provide:

- (1) At least two means of an exit from each floor level.
- (2) Smoke detectors on each floor providing complete and prompt coverage.
- (3) Electrically lighted exit signs and egress routes with backup battery powered emergency lighting.
- (4) Portable fire extinguishers throughout the facility appropriately rated and classed (i.e., Rated 2A; Class A extinguisher per 600 square feet for light hazard occupancy with a maximum travel distance of 75 feet to an extinguisher).
- (5) Clean and sanitary facilities and surrounding areas, and clear hallways, stairs and exits.
- (6) Fire inspections and testing of fire equipment by the equipment representative conducted at least semiannually.
- (7) No mattresses or pillows acquired after commencement of the contract that contain polyurethane or polystyrene.
- (8) Appropriate storage of all hazardous materials (e.g., paint adhesives, thinners, etc. are stored in metal containers away from areas such as sleeping quarters, kitchens, furnaces, stairwells, and exits).

g. **General Food Service**

The vendor shall:

- (1) Plan diets according to physician's requirements, if applicable.
- (2) Provide meals for defendants/persons under supervision whose work schedules prevent them from eating at meal time.
- (3) Provide daily reasonable food selections.
- (4) Provide nutritiously, varied and balanced sack lunches for defendant/person under supervision requiring these.
- (5) Prepare menus at least a week in advance and keep menus for three months.
- (6) Have a registered dietitian or physician annually approve the nutritional value of fixed menus, and semiannually approve non-fixed menus and document such.
- (7) Ensure that all persons preparing food comply with applicable federal, state and local health laws, codes and regulations.

h. Department of Health, Education and Welfare Food Service Standards

The U.S. Food and Drug Administration (FDA) publishes the *Food Code*, a model that assists food control jurisdiction at all levels of government by providing them with a scientifically sound technical and legal basis for regulating the retail and food service segment of the industry (restaurants and grocery stores and institutions such as nursing homes). Local, state, tribal and federal regulators use the *FDA Food Code* as a model to develop or update their own food safety rules and to be consistent with national food regulatory policy. At a minimum, the vendor shall comply with the standards set forth in the most recent version of the *FDA Food Code*, which can be found at <http://www.cfsan.fda.gov/~dms/fc05-toc.html>.

i. Vendor Meals Served in Restaurants

The vendor shall ensure that restaurants preparing and serving food to residents are full-service; have valid state or local license, certificate or permit to operate, prepare and/or serve food; and meet all state and/or local sanitation and health laws, codes and regulations.

j. Emergency Medical Service

The vendor shall:

- (1) Keep basic first aid supplies as set forth in the American Red Cross First Aid Manual on-site at all times.
- (2) Train at least one staff member on each shift in emergency first aid and CPR.
- (3) Ensure that emergency 24 hour, 7-days a week medical service is available with a licensed general hospital, private physician or clinic.
- (4) Ensure that residents are responsible for their own medical expenses and that staff assists residents in identifying available community resources.

k. Counseling and Programmatic Requirements (PC 2001, 2002, 6001, 6002)

The vendor shall provide:

- (1) A minimum of 6 hours of structured programmatic activities per weekday (e.g., life skills training, GED, employment readiness, etc.), 3 hours of which shall be clinical group counseling, as well as a minimum of 3 hours of structured programmatic activities per weekend day.
- (2) A minimum of 1 hour of individual clinical counseling per week.
- (3) A treatment plan (in accordance with Vendor Reports under section f(1)) is created at with the defendant/person under supervision at the beginning of programming and submitted to the USPO/USPSO, and re-evaluated at least every 30 days.

«27.» Additional Requirements for Mental Health-Specific Residential Placements 6001, and 6002:

- a. The vendor shall invoice at the per diem rate for the services described in this section. The per diem rate includes:
 - (1) An initial mental health intake assessment and report and/or a psychiatric examination and report, and/or a psychological evaluation and report;
 - (2) Urine specimen collection and reporting results;

- (3) Psychotropic medication;
 - (4) Administration of psychotropic medication;
 - (5) Medication monitoring;
 - (6) Clinical consultation with USPO/USPSO;
 - (7) Individual/group/family counseling.
- b. Within 15 days of admission of the defendant/person under supervision, the vendor shall:
- (1) Provide an individualized treatment plan emphasizing residential services with specific/measurable goals that are reviewed for progress and modification and include active family or significant other involvement. The plan shall be designed to reduce the specified symptoms or impairment such that the defendant/person under supervision is able to function effectively in a lower level of care. The treatment plan shall be provided to the USPO/USPSO.
 - (2) Ensure active documentation of case management and continuity of services that is coordinated with the USPO/USPSO and involves family/significant others as appropriate to mobilize family support and community resources.
- c. Within 15 days prior to discharge, the vendor shall provide:
- (1) Discharge planning and referral services to the defendant/person under supervision as coordinated with the USPO/USPSO.
 - (2) A transitional care plan that shall include attendance, goal completion, reason/status for discharge (i.e., successful/unsuccessful discharge, interruption of treatment, etc.), family involvement, history of medication compliance, stage of change, diagnosis and prognosis, community referrals, and recommendations for follow up care.

NOTE: The vendor shall follow notification protocols outlined in this Statement of Work under Notifying USPO/USPSO of Defendant/Person Under Supervision Behavior.

«28.» **Defendant/Person under supervision Transportation**

The vendor shall provide:

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

- (1) For eligible defendants/person under supervision who the USPO/USPSO determines are unemployed or unable to pay transportation prices,
- (2) That the USPO/USPSO authorizes and approves, **and**
- (3) That does not exceed the price of public transportation via the most direct route. If public transportation is not available, the vendor must seek prior approval from the CO for reimbursement of alternative means of transportation.

Note: The vendor may charge an **Administrative Fee (1201)** for **Defendant/Person under supervision Transportation Expenses (1202)** which is a reasonable monthly fee to administer transportation expense funds, not exceeding five (5) percent of the monthly funds distributed under **Defendant/Person under supervision Transportation Expenses (1202)**.

«29.» **Vendor Local Travel:**

The vendor may invoice for:

«a.» **Vendor's Local Travel by Vehicle (1401)** for vendor or staff travel to defendants'/person under supervision' homes or employment, medical appointments or for other contract-related travel authorized and approved in advance by the CO and conforming with the following:

- (1) Reimbursement at actual price.
- (2) Documentation of the number of miles traveled (e.g. web based mapping print-out) submitted with the invoice.

«b.» **Vendor's Local Travel by Common Carrier (1402)** for vendor travel to provide services to defendants/persons under supervision. The vendor shall utilize the most-economical travel method available. Note: the vendor is not authorized to utilize government travel rates.

- (1) Any such travel must first be authorized by the CO to include the type of travel: train, bus, lowest airfare possible, and must utilize most-economical travel method and provide evidence of the same;
- (2) Reimbursement at actual price based on documentation of receipt(s) provided with invoice.

«30.» **Defendant/Person under supervision Reimbursement and Co-Payment**

The vendor shall:

- a. Collect any co-payment authorized on the Probation Form 45 and deduct any collected co-payment from the next invoice to be submitted to the judiciary (note that co-payment cannot exceed the cost of the service provided);
- b. Accept more than one co-payment type (e.g. check, credit card, cash, cashier's check, web-based transactions, etc.).
- c. Provide bills and receipts for co-payments to defendants/persons under supervision. Receipts shall be provided to the defendant/person under supervision at the time of payment collection. The vendor shall keep an individualized record of co-payment collection, make it available for the USPO/USPSO review, and have systems in place to both follow-up on collection of outstanding amounts and to resolve any discrepancies in the amount owed;
- d. Document within the Monthly Sign-In Log any co-payment received or whether the expected co-payment was not provided;
- e. In conjunction with submission of invoices, provide an outstanding co-payment due report itemizing the total amount outstanding per defendant/person under supervision.
- f. Reimburse the Judiciary as directed in Section G.

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

«31.» **General Requirements**

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

(1) File Maintenance

The vendor shall:

- (a) Maintain a secure filing system of information on all defendants/persons under supervision to whom the vendor provides services under this contract/agreement. If information is maintained electronically, the vendor shall provide access to all files available for review (format shall be specified by the CO, e.g. paper copy, flash drive, electronic access, etc.) immediately upon request of the CO.

- (b) If maintaining paper files, separate defendant/person under supervision files from other vendor records. This will facilitate monitoring and promote defendant/person under supervision confidentiality.
- (c) Keep a separate file for each defendant/person under supervision.
- (d) Create a separate file when a defendant on pretrial services supervision is sentenced to probation supervision but continued in treatment with the vendor. The vendor may copy any information relevant from the pretrial services file and transfer it into the probation file, except for information covered under the Pretrial Services Confidentiality Regulations.
- (e) Identify any records that disclose the identity of a defendant/person under supervision as **CONFIDENTIAL**.
- (f) Keep all defendant/person under supervision records for three years after the final payment is received for Judiciary inspection and review, **except** for litigation or settlement of claims arising out of the performance of this agreement, which records shall be maintained until final disposition of such appeals, litigation, or claims. Note: this requirement is not in lieu of the vendor following other local/state/federal record retention requirements.
- (g) At the expiration of the performance period of this agreement the vendor shall provide the USPO/USPSO or CO a copy of all defendant/person under supervision records that have not been previously furnished, including copies of chronological notes.

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

b. Disclosure

The vendor shall:

- (1) Protect **CONFIDENTIAL** records from disclosure except in accordance with item number b. (2), (3), (4),(5), (6), and (7) below.
- (2) Obtain defendant's/person under supervision's authorization to disclose confidential health information to the USPO/USPSO. If the vendor is

unable to obtain this disclosure, the vendor shall notify the USPO/USPSO immediately.

- (3) Disclose defendant/person under supervision records upon request of the USPO/USPSO or designee to the USPO/USPSO or designee.
- (4) Make its staff available to the USPO/USPSO to discuss treatment of a defendant/person under supervision.
- (5) Disclose defendant/person under supervision records only in accordance with 42 C.F.R. Part 2, and 45 C.F.R. § 160.201 to 205 and Part 164 (even if the vendor is not otherwise subject to 45 C.F.R. § 16.201 to 205, and Part 164). The vendor shall disclose records only after advising the USPO/USPSO of the request and any exceptions to the disclosure of, or an individual's right of access to, treatment or protected health information that might apply.
- (6) Not disclose "pretrial services information" concerning pretrial services defendants. "Pretrial services information," as defined by the "Pretrial Services Confidentiality Regulations," is "any information, whether recorded or not, that is obtained or developed by a pretrial services officer (or a probation officer performing pretrial services duties) in the course of performing pretrial services." Pretrial Services Confidentiality Regulations, §2.A. Generally, any information developed by an officer performing pretrial services that is shared with the vendor will be confidential pretrial services information. Only a judicial officer or a Chief USPO/USPSO may authorize disclosure of pretrial services information to a third party pursuant to the Pretrial Services Confidentiality Regulations. Any doubts about whether a potential disclosure concerns pretrial services information must be resolved by consultation with the USPO/USPSO.
- (7) The vendor and its subcontractors are authorized to access criminal history information available in pretrial services or probation records that have been provided by the USPO/USPSO. This information is provided solely for the purpose of providing services under this contract. Any unauthorized re-disclosure of this information may result in termination of this contract and the imposition of civil penalties.
- (8) Ensure that all persons having access to or custody of defendant/person under supervision records follow the disclosure and confidentiality requirements of this agreement and federal law.

- (9) Notify the CO immediately upon receipt of legal process requiring disclosure of defendant/person under supervision records.

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

c. **File Content**

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

- (1) **Chronological Notes** that:
 - (a) Record all significant contacts (e.g., in person, by telephone, or any other form of protected electronic communication) with the defendant/person under supervision including USPO/USPSO and others. Records shall document all notifications of absences and any apparent conduct violating a condition of supervision occurs.
 - (b) Are in accordance with the professional standards of the individual disciplines and with the respective state law on health care records.
 - (c) Notes could include sessions attended, topics covered during sessions, defendant's/person under supervision's participation, clinical goals of treatment, the methods/methodologies and/or type of therapy used, changes in treatment, the defendant's/person under supervision's observed progress, or lack thereof, toward reaching the goals in the treatment records. Specific achievements, failure to attend, failed assignments, rule violations and consequences given should be recorded.
 - (d) Are current and available for review by the USPO/USPSO or CO and by the Probation and Pretrial Services Office (PPSO) at the Administrative Office.
 - (e) Chronological notes shall be legible, dated and signed/electronically certified by the practitioner, to include the practitioner's licensure/credentials.
- (2) Probation Form 45 and **Amended Probation Form 45** that:
 - (a) The USPO/USPSO prepares which identifies vendor services to be

provided to the defendant/person under supervision and billed to the Judiciary under the terms of agreement, and any co-payments due by the defendant. Note: the Judiciary is not required to reimburse for any services that were not authorized on the Probation Form 45, or any services provided in excess of services authorized.

- (b) USPO/USPSO shall amend the Probation Form 45 when changing the services the vendor shall perform, their frequency, or other administrative changes (e.g., co-payment amounts) and upon termination of services.
- (3) **Authorization to Release Confidential Information** that:
- (a) The defendant/person under supervision and USPO/USPSO and/or other witness sign prior to the defendant's/person under supervision's first appointment with the treatment provider.
 - (b) The vendor shall have a signed release of information before releasing any information regarding the defendant/person under supervision or the defendant's/person under supervision's treatment and progress to the USPO/USPSO.
- (4) **Monthly Sign-In Log**
- (a) Along with the monthly invoice, is submitted for the month for which the vendor is invoicing, with one Monthly Sign-In Log per defendant/person under supervision.
 - (b) Includes all defendant's/person under supervision's scheduled contacts during the month (per project code), to include notation/comment indicating any failure to report on scheduled dates, or when service was provided via telehealth.
 - (c) Defendant/person under supervision shall sign-in upon arrival to include the time in and time out of service with the vendor initialing to verify accuracy of time in/time out.
 - (d) Documents any defendant's/person under supervision's co-payment, and
 - (e) USPO/USPSO or designee uses to certify the monthly invoice.
 - (f) For residential placements, only required to obtain defendant/person under supervision signature on first and last day of placement.

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

- (5) **Urinalysis Testing Log** (if applicable) that:
- (a) Along with the monthly invoice, is submitted for the month for which the vendor is invoicing.
 - (b) Shall record all collected urinalysis specimens and indicate:
Has all applicable sections completed
 - (1) Defendant's/person under supervision's name and PACTS number
 - (2) Vendor name and agreement #
 - (3) Month/Year
 - (4) Collection Date
 - (5) Defendant's/person under supervision's signature
 - (6) Collector's initials
 - (7) Bar Code number (if applicable)
 - (8) Special tests requested (if applicable)
 - (9) Drugs or medication taken
 - (10) Test Results (if applicable)
 - (11) Co-pay collected (if applicable)
 - (c) The vendor shall submit for CO approval if vendor Urinalysis Testing Log form differs from the sample form.
 - (d) The vendor shall ensure that a defendant/person under supervision signing or initialing an entry Urinalysis Log cannot see the names or signatures of other defendants/person under supervision.

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

d. **Telemedicine**

On a case-by-case basis, telemedicine may be authorized to provide services outlined within this Statement of Work. The use of telemedicine is authorized only after the vendor and the USPO/USPSO staff the individual defendant's/person under supervision's case, determine he/she is appropriate for treatment via telemedicine, determine which specific services are appropriate via telemedicine, and it is approved by the district's contracting officer or designee.

NOTE: The use of telemedicine is for the benefit of the Judiciary and not the convenience of the vendor. The use of telemedicine is not in lieu of the vendor's ability to provide services in-person when appropriate. This requirement is not in lieu of the provisions which require the vendor (and any proposed subcontractor) to maintain an acceptable facility located within the defined catchment area.

- (1) The vendor is authorized to provide specified services via telemedicine, which includes providing health care delivery, assessment, diagnosis, consultation, and treatment and the transfer of medical data through interactive audio, video, or electronic/data communications. The vendor must adhere to and meet the same legal, ethical, and confidentiality standards when providing telemedicine. The vendor shall also obtain consent of the defendant/person under supervision before the delivery of telemedicine services and shall include documentation of the same in the individual's treatment record.
- (2) In situations in which more than one person is in attendance, to ensure confidentiality for each session, the vendor shall require that each person verify that he or she is the only person on that line and that no person who is not part of that treatment group is listening. Each participant will also enter into a confidentiality agreement before being allowed to participate in treatment by telephone.
- (3) To verify that services were performed, the vendor shall complete the Monthly Sign- In Log with all necessary information; however, the vendor shall print the defendant's/person under supervision's name within the signature field, and the comment section shall reflect the means in which the session was conducted (i.e. teleconference, video conference, internet).
- (4) For de-escalation, if an emotionally charged topic was discussed or the defendant/person under supervision appears emotionally agitated, the vendor shall follow up with additional contact later in the day to ensure that the defendant/person under supervision has successfully de-escalated. The vendor shall also remind the defendant/person under supervision to reach out to his or her social support system at any time.

e. **Case Staffing Conference**

The vendor shall participate in case staffing conferences:

- (1) Case staffing with the USPO/USPSO can be conducted in person, by telephone, or any other form of protected electronic communication. When

applicable, the case staffing may include the vendor, the defendant/person under supervision, and the officer to clearly define expectations and clinical treatment goals. Communication with the officer should be driven by risk, needs, and responsivity specific to the defendant/person under supervision.

Additionally, case staffing shall occur:

- a. A minimum of every 30 days for PCRA high and moderate risk referrals
- b. A minimum of every 30 days, regardless of risk level, for residential treatment placements
- c. A minimum of every 90 days for all other clinical services referrals, and
- d. As requested by the USPO/USPSO.

(2) Case staffing should include, but is not limited to, the following:

- a. The defendant's/person under supervision's motivation for treatment;
- b. Appropriate type and frequency of treatment;
- c. Treatment related goals that are specific, measurable, achievable, relevant and time-bound (SMART goals);
- d. PCRA dynamic risk factors and elevated thinking styles (for USPO referrals);
- e. Responsivity, cultural considerations for service delivery;
- f. Non-compliance with supervision and/or treatment;
- g. Community observation, collateral supports, officer delivered interventions.

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

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

The vendor shall submit to the USPO/USPSO, and maintain in the defendant's/person under supervision's file, the following:

(1) A typed **Treatment Plan**, created with the defendant/person under supervision, is submitted at least every 90 days that outlines the following:

- a. Treatment related goals that are specific, measurable, achievable, relevant and time-bound (SMART) goals,
- b. Action steps for the defendant/person under supervision to accomplish the identified treatment goals, to include appropriate type and frequency of treatment;
- c. The defendant's/person under supervision's supportive social networks (e.g. family, friends, peer support, co-workers, etc.),
- d. Medication management plan (when applicable),

- e. Collaboration and coordination for community-based services (when applicable),
- f. Skills to assist in managing known risk and symptoms,
- g. Adaptable skills for self-management,
- h. Recommendation/justification for continued treatment services, and
- i. Signed and dated by the vendor and defendant/person under supervision.

(2) A typed **Transitional Care Plan**, created with the defendant/person under supervision when possible, that is submitted at the conclusion of contract treatment services, but no later than 15 business days after treatment is terminated.

- a. The community is best served when the person under supervision remains drug free, employed, and invested in healthy relationships beyond the period of supervision. Transitioning is defined as the process of moving a person under supervision from contract treatment services to a community-based aftercare program that is managed by the person under supervision. Transitioning from treatment occurs throughout the treatment process to ensure that the person under supervision possesses the tools and community resources necessary to function under decreasing levels of supervision which is monitored by the officer.
- b. The typed transitional care plan shall outline the following:
 - 1) the reason for concluding contract treatment services, to include unsuccessful discharge and the reasons why unsuccessful,
 - 2) the defendant's/person under supervision's supportive social networks (e.g. family, friends, peer support, co-workers, etc.),
 - 3) medication management plan (when applicable),
 - 4) collaboration and coordination for community-based services (when applicable),
 - 5) acquired skills to assist in managing known risk and symptoms,
 - 6) adaptable skills for self-management,
 - 7) diagnosis and prognosis, and
 - 8) signed and dated by the vendor, and the defendant/person under supervision when possible.

g. **Vendor Testimony**

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

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

h. Emergency Services and Contact Procedures

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

«32.» Notifying USPO/USPSO of Defendant/Person under Supervision Behavior

The vendor shall:

- a. Notify the USPO/USPSO, or follow other notification protocol outlined by the CO, within 24 hours or as specified in writing by the CO of defendant/person under supervision behavior including but not limited to:

- (1) Positive drug or alcohol test results.
- (2) Attempts to adulterate a urine specimen and/or compromise any drug detection methodology to determine illicit drug usage.
- (3) Attempts or offers of bribery.
- (4) Attempts at subterfuge and/or failure to produce a urine specimen for testing (i.e., stall; withholding a specimen or failure to produce a specimen of sufficient quantity for testing).
- (5) Failure to appear as directed for any service as authorized on the Probation Form 45, including but not limited to, drug testing (to include urine collection, alcohol test, and sweat patch), evaluation, assessment, counseling session, polygraph testing, medication appointments.
- (6) Failure to follow vendor staff direction.
- (7) Apparent failure to comply with conditions of supervision.
- (8) Any behavior that might increase the risk of the defendant/person under supervision to the community or any specific third party. Behaviors under this subsection shall be immediately reported to the USPO/USPSO and CO.

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

«33.» **Staff Requirements and Restrictions**

The vendor shall ensure that:

- a. After award, persons currently under pretrial services, probation, parole, mandatory release, or supervised release (federal, state or local) shall not perform services under this agreement nor have access to defendant/person under supervision files.
- b. After award, persons charged with or under investigation for a criminal offense shall not perform services under this agreement nor have access to defendant/person under supervision files unless approved in writing by the CO after consultation with PPSO and PMD.

- c. After award, persons convicted of any sexual offense (including but not limited to, child pornography offenses, child exploitation, sexual abuse, rape or sexual assault) or required under federal, state, or local law to register on the Sexual Offender registry shall not perform services under this agreement or contract nor shall they have access to defendant/person under supervision files unless approved in writing by the CO after consultation with PPSO and PMD.
- d. After award, persons with any restrictions on their licenses, certifications or practice (or those who voluntarily agree to such a restriction) based on negotiations or proceedings with any licensing authority, or whose license has expired, shall not perform services under this agreement or contract nor shall they have access to defendant/person under supervision files unless approved in writing by the CO after consultation with PPSO and PMD.
- e. The vendors and its employees shall:
 - (1) Avoid compromising relationships with defendants/person under supervision and probation or pretrial services staff, and
 - (2) Not employ, contract with, or pay any defendant/person under supervision, defendant's/person under supervision's firm or business, or currently employed USPO/USPSO to do any work for the vendor either at the vendor's facilities or personally for any of the vendor's employees during the period of this agreement.
 - (3) Report any such improprieties or the appearance thereof immediately to the USPO/USPSO or designee.
 - (4) Report to the USPO/USPSO any investigations, pending charges, arrests and/or convictions related to a criminal offense, any restrictions on staff licenses or certifications, whether imposed or voluntary, involving any staff performing services under this agreement within 48 hours of obtaining knowledge.
- f. Within three business days, the vendor shall notify the CO in writing of any staff changes. For any new staff, the vendor shall submit an Offeror's Staff Qualifications form (Section L - Attachment C) for each new staff member added under the agreement.
- g. Failure to comply with the above terms and conditions could result in termination of this agreement.

«34.» **Facility Requirements:**

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

Should a vendor and/or subcontractor choose to relocate a facility within the catchment area, the vendor shall provide the CO written notification no less than 30 days prior to relocation and include the facility address. For any relocation, the vendor must provide a copy of Attachment B, certifying compliance with the requirements as listed in paragraphs 2(c) and 2(d) of Section L. On site visits will be conducted to verify that the offeror's facility complies with the requirements of the RFP.

«35.» The vendor shall comply with all applicable state, federal and local laws and regulations when performing services required under this contract or agreement. Failure to do so may result in immediate termination and subject the vendor to civil and/or criminal penalties.

«36.» **Local Services**

NOTE: When an asterisk (*) is indicated in Section B for a project code, the vendor shall comply with additional requirements as outlined below.