Pretrial Services Agency
***for the* District *of* Columbia**

Congressional Budget Justification and Performance Budget Request Fiscal Year 2019

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AGENCY OVERVIEW

The Pretrial Services Agency for the District of Columbia (PSA) assists judicial officers in both the Superior Court of the District of Columbia and the United States District Court for the District of Columbia by conducting a risk assessment for every arrested person who will be presented in court, identifying detention eligibility and formulating release recommendations, as appropriate, based upon the arrestee's demographic information, criminal history, and substance use and/or mental health information. For defendants who are placed on conditional release pending trial, PSA provides supervision and treatment services that reasonably assure that they return to court and do not engage in criminal activity pending their trial and/or sentencing.

PSA was created by an act of Congress (the *District of Columbia Bail Agency Act*) in 1967. Under the *National Capital Revitalization and Self-Government Improvement Act of 1997*, PSA was established as an independent entity within the Court Services and Offender Supervision Agency (CSOSA) in the Executive Branch of the Federal Government. Since its inception as a federal agency, PSA has sharpened its mission and vision and committed itself to being driven by performance and measured by results.

In 2017, PSA celebrated 50 years of service to the Nation's Capital, during which time it has earned a national reputation as a leader in the pretrial justice field. PSA employs proven, evidence-based practices to help judicial officers in the city's local and Federal courts make appropriate and effective bail decisions**.** The result for the District of Columbia (DC or District) community is smarter use of jail resources, enhanced public safety, and a fairer and more effective system of release and detention.

The District operates an "in or out" bail system that promotes open and transparent decisions about release or detention. The foundation of this system is the DC bail statute, which emphasizes the use of least restrictive release conditions for eligible defendants, statutory-based detention for those who pose an unacceptable risk to the community, and an absolute prohibition on money-based detention as a means of reducing risk to public safety. The statute allows judges to detain defendants in a way that appropriately mitigates the risks of pretrial misconduct and safeguards due process. Most significantly, the District's bail law encourages strong pretrial outcomes with very limited use of money bonds.

PSA has responsibility for over 17,000 defendants each year, and supervises an average of 4,780 individuals on any given day. The vast majority of defendants are awaiting trial in DC Superior Court, with a smaller number awaiting trial in US District Court. PSA's current caseloads include individuals being supervised on a full range of charges, from misdemeanor property offenses to felony murder. On average, defendants remain under supervision for 112 days. During this period, PSA administers evidence-based and data informed risk assessment and supervision practices to identify factors related to pretrial misconduct and maximize the likelihood of arrest-free behavior and court appearance during the pretrial period.

A MODEL FOR PRETRIAL JUSTICE

In its 50 years serving the District of Columbia, PSA's drug testing and innovative supervision and treatment programs have become recognized as models for the criminal justice system. We honor this status by providing routine technical assistance to domestic and international justice systems interested in initiating or enhancing their own pretrial programs. The foundations of PSA's model approach include:

- providing timely and accurate information to the Courts to support informed decision-making;
- honoring the presumption of innocence and each defendant's right to pretrial release under the least restrictive conditions that assure community safety and return to court;
- promoting the use of appropriate graduated sanctions and incentives in response to defendant conduct;
- using evidence-based solutions and implementing continuous process evaluation to improve outcomes;
- partnering with other justice agencies and community organizations to enhance public safety in the District's neighborhoods and build capacity for support services for defendants under pretrial supervision; and
- effectively managing the appropriated funds entrusted to its stewardship.

The number of requests as well as the size of groups coming to visit DC has consistently increased in recent years. National visitors tend to focus more on understanding the technical aspects of how to replicate certain operations, such as risk assessment. PSA has used some form of risk assessment since its inception in 1967—the longest continuous use of risk instruments in the pretrial field. Because of this, many jurisdictions have looked to the District's pretrial justice model to inform their own plans for reform. Most recently, PSA has hosted delegations from Alabama, New York, Colorado, California and Guam. In addition to hosting government representatives, PSA has also provided information and technical assistance to a number of states, including New York, New Jersey and Illinois, all of which are evaluating their bail systems, with an eye towards making systematic improvements.

When delegations from foreign countries visit PSA, they each are at different stages in the process of reforming their pretrial justice systems or implementing new programs and their interests are much broader. Delegations in the past have included senior government officials, policy advisors, researchers and practitioners from Brazil, Argentina, Peru, Chile, Netherlands, Mexico, Kazakhstan, China, Vietnam, Thailand, Republic of Congo, Republic of Georgia, Colombia, Ukraine, Egypt and New Zealand. While the areas of interest vary, in general, discussions tend to focus on explanations of the US civil and criminal justice systems at the federal, state and local levels; the role of various criminal justice system partners; the Drug Court model; developing and implementing alternatives to incarceration; and supervision techniques for non-violent defendants.

A MODEL FOR INNOVATIVE SUPERVISION TECHNIQUES

PSA is a leader in the field of criminal justice drug testing, having established the first in-house laboratory for a pretrial agency in 1984. At its state-of-the-science laboratory, each year PSA conducts over 2.3 million drug tests on nearly 265,000 urine specimens of persons on pretrial, probation, parole, and supervised release, as well as for select persons with matters pending in the DC Superior Court's Family Court division. These results are key to helping PSA and other justice agencies identify and address the substance use-related public safety risks posed by individuals under supervision.

PSA plays a vital role in supplying the local public health and public safety communities with information on emerging trends related to drug use within the criminal and juvenile justice systems. As the patterns of substance use within the DC criminal justice population change, PSA helps the jurisdiction remain at the forefront of the issues by developing and implementing drug testing strategies to keep pace with emerging trends. Presently, PSA is aggressively developing testing strategies to identify and appropriately respond to the use of new psychoactive substances, including synthetic cannabinoids and synthetic opioids, in the District of Columbia.

FISCAL YEAR 2019 PRESIDENT'S BUDGET

PSA's *FY 2019 Budget Request* reinforces the Agency's commitment to be a performance-based, results-driven organization and highlights its dedication to ensuring public safety and promoting pretrial justice through high-quality risk assessment, supervision and treatment services. By employing strategic approaches that improve the effectiveness and efficiency of its operations, PSA will continue to advance systems and methods for identifying defendants who pose a higher risk of pretrial failure, enhance its supervision and oversight of these defendants, provide services and support of persons with substance dependence and mental health needs and lead efforts in implementing drug testing strategies to keep pace with emerging drug use trends.

PSA's budget request balances its obligation to public safety in the District with its commitment to the President's plan to reform government operations, as well as with other Federally mandated requirements that drive the costs of operations. PSA has supported government reform efforts through effective workforce management practices; sharing functions; flat lining training, travel, and facilities management expenses; and absorbing costs increases by reducing FTEs through attrition.

In alignment with OMB Memorandum M-17-22, *Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Workforce*, PSA has historically employed the following practices to ensure that its workforce remains at an optimal size, and within budgetary limits, without compromising its public safety mission:

- routinely reviewing caseloads and caseload trends for all Pretrial Services Officers to maintain adequate staffing;
- reclassifying, reassigning and/or realigning positions to meet emerging needs (rather than requesting or creating new FTEs);
- reviewing positions as they are vacated to determine whether they will be filled; and
- routinely operating below the authorized staffing level.

As reported in the PSA and Community Supervision Program (CSP) Reform Plans, collaboration efforts between the two agencies have effectively saved and/or avoided costs and leveraged economies of scale through shared functions such as legal representation services, training and career development, financial reporting, equal employment opportunity and alternative dispute resolution. To achieve additional potential cost savings, improve service delivery and create a leaner, more accountable and efficient joint enterprise, CSP and PSA are exploring enhanced collaboration across a number of areas, including substance use and mental health treatment contracting, records management, community engagement and expanded collaboration in training and career development.

PSA's budget request incorporates investments necessary to continue mission-critical operations and further support reform efforts in improving the effectiveness and efficiency of government operations. As provided in the Summary of Change chart on the following pages, PSA's FY 2019

budget request continues the proposals in the FY 2018 President's Budget and includes the following additional investments:

- Lease Replacement Prospectus - A program change increase is requested to support the GSA Prospectus Number PDC-03-WA18 submitted to acquire necessary replacement space for leases expiring in fiscal years 2020 and 2021. This project will allow PSA to secure long-term space for the majority of its staff and simplify management of its facilities. This action is an important part of PSA's Reform Plan since it will improve the office utilization rate per person and overall space utilization, and reduce the Agency footprint.

- PRISM Modernization - A program change increase is requested to provide resources to modernize PSA's mission-critical client management system. This system is a high value asset and the Agency's mainstay for tracking defendant demographic information, criminal history, release recommendations, supervision compliance, substance use test results, assessment results and other information. Overhauling this system is necessary to support the Agency's transition from program-based to risk-based case assignment and management; enhance system security controls and access; and employ modern technological solutions for making routine configuration changes, maintaining official records and exchanging data with other law enforcement partners.

SUMMARY OF CHANGE

PSA's FY 2019 budget request is $73,558,000, including 350 FTE, a net increase $8,714,000, or 13.4 percent, above the FY 2018 annualized continuing resolution (CR) amount. The request consists of a decrease of $876,000 in adjustments to base (ATB) and an increase of $9,590,000 in program changes.

Pretrial Services Agency for the District of Columbia Fiscal Year 2019	FTE	Amount $(000)
FY 2017 Enacted Budget	**364**	**65,287**
FY 2018 Continuing Resolution [1]	**350**	**64,844**
Changes to Base:		
FY 2018 Non-Recurring Resources [2]	0	-1,788
Adjustment to Base [3]	0	402
FY 2019 Non-Payroll Inflation [4]	0	510
Sub-Total, Changes to Base	**0**	**-876**
FY 2019 BASE	**350**	**63,968**
Program Changes:		
Lease Replacement Prospectus [5]	0	7,304
PRISM Modernization	0	2,286
Sub-Total FY 2019 Program Changes	**0**	**9,590**
Total Changes	**0**	**8,714**
FY 2019 President's Budget	**350**	**73,558**
Increase (Decrease) versus FY 2018 Continuing Resolution:	**0**	**8,714**
Percent Increase (Decrease) versus FY 2018 Continuing Resolution:	**0.0%**	**13.4%**

[1] A full-year 2018 appropriation for this account was not enacted at the time the budget was prepared; therefore, the budget assumes this account is operating under the Further Continuing Appropriations Act, (P.L. 115-96).

[2] Reduction of $1,787,776 in non-recurring two-year FY 2017/2018 funding that is included in the FY 2018 Continuing Resolution.

[3] Adjustment to Base is difference between FY 2018 Continuing Resolution and FY 2018 President's Budget.

[4] ATB for inflationary increases in non-payroll cost categories including rent, utilities, information technology licenses and services, GPS electronic monitoring contract, drug testing materials/supplies, background investigations and financial services provided through a Federal Shared Service Provider.

[5] Three-year funding is requested for a portion of the costs associated with the Lease Replacement Prospectus. Additional resources may be required in future years to fund all aspects of the project.

PROGRAM JUSTIFICATION CHANGES

Requested Program Increases: +$9,590,000 0 FTE

	FTE	Funding
Replacement Lease Prospectus	0	$7,304,000
PRISM Modernization	0	$2,286,000
Total Requested Program Increases	**0**	**$9,590,000**

Replacement Lease Prospectus +$7,304,000 0 FTE

PSA requests $7,304,000 in three-year funding to support space acquisition and planning for the expiring leases identified in Prospectus Number PDC-03-WA18, which was submitted to OMB by the General Services Administration (GSA). This funding request is made in accordance with 40 U.S.C. § 585(a), 40 U.S.C. § 3307(a)(1) and (2) and (h), and applicable GSA procedures and regulations.

The estimated funding is derived from GSA's Move and Replication Cost Estimate and represents a long-term investment in space management through the execution of a 20-year replacement lease. Also included in the total program increase request are the estimated costs that may be required for lease early termination fees.

Justification for Program Increase
Replacement Lease Prospectus
***Management Objective 1* – Effective Agency Administration**

Program Area	FTE	Estimated Funding
Real Property Costs		
Design	0	$395,000
Construction	0	$6,590,000
Standard Contingency built-in by GSA	0	$699,000
GSA Management Fee (4%)	0	$195,000
Slide Scale Overhead Fee	0	$30,000
Less Tenant Improvement Allowance Amortized in Monthly Rent Payments	0	($2,800,000)
Total Real Property Costs	**0**	**$5,109,000**
Personal Property Costs		
IT/Communications	0	$452,000
Security	0	$174,000

Justification for Program Increase Replacement Lease Prospectus *Management Objective 1* – Effective Agency Administration		
IT Collaborative Spaces	0	$213,000
Standard Contingency built-in by GSA	0	$413,000
Total Personal Property Costs	**0**	**$1,252,000**
Total GSA's Move and Replication Estimated Costs for FY 2019	**0**	**$6,361,000**
Lease Early Termination Costs		**$943,000**
Total Requested Program Increase	**0**	**$7,304,000**

GSA's Move and Replication estimate also included the costs in the table below. The funding for these costs may be requested in future fiscal year(s).

Projected Additional Funding Required in Future Fiscal Years Replacement Lease Prospectus *Management Objective 1* – Effective Agency Administration		
Program Area	**FTE**	**Estimated Funding**
Personal Property Costs		
Move	0	$255,000
Signage, Artwork, Graphics	0	$63,000
Furniture Units	0	$2,940,000
Total Personal Property Costs	**0**	**$3,258,000**
Total Funding Required in FY 2020	**0**	**$3,258,000**

Background

The GSA lease for 633 Indiana Avenue, NW expires on September 30, 2020. PSA shares this space with CSP and the Public Defender Service (PDS) and each agency holds a separate occupancy agreement with GSA. Since the annual rent for this space requirement will exceed the net annual rent prospectus threshold imposed by 40 U.S.C. § 3307(a)(1) and (2), GSA is legally required to submit a prospectus to OMB and Congress for approval to fund future rent expenses before it can enter into a new lease.

GSA proposes a replacement lease(s) for CSP, PSA and PDS in Washington, DC. The prospectus includes six leased locations currently occupied by the agencies.

Leased Spaces	PSA Lease Expiration	Occupants
GSA Leases		
633 Indiana Avenue, NW	09/30/2020	PSA, CSP, PDS
600 E Street, NW		PDS
1025 F Street, NW	11/07/2020	PSA
Non-GSA Leases		
601 Indiana Avenue, NW	09/30/2021	PSA, CSP
25 K Street, NW		CSP
300 Indiana Avenue, NW		CSP

PSA opted to include the leases at 1025 F Street, NW and 601 Indiana Avenue, NW in the prospectus because these leases expire within a year or less of the 633 Indiana Avenue lease. This option is intended to streamline overall space acquisition and planning and long-term facility management and reduce the Agency's footprint.

Since the existing lease at 601 Indiana Avenue expires approximately eight months after the projected move-in/occupancy date for the new leased property, an early termination fee may be imposed. The existing lease does not allow for early termination, but during the lease replacement process, PSA will work with GSA to negotiate an early termination agreement at a reduced rate (to the extent possible).

Justification of Request

Reduce the Footprint - The replacement lease will provide necessary continued housing for PSA and will improve the office utilization rate per person and overall space utilization. PSA's goal is to reduce its real estate footprint through consolidation and elimination of some of its existing locations. PSA's workplace goals include advancing positive and productive work environments; promoting flexible workplace schedules to help improve employee work/life balance; and increasing employee morale and satisfaction without compromising the mission of the Agency or diminishing the support that PSA provides the courts, defendants and those who live, work, and visit the District. PSA aims to provide an environmentally responsible and energy efficient workplace and will reduce its real estate footprint and operational costs by reducing the size and number of individual offices and through open space plans and office sharing, where feasible. PSA estimates it will consolidate space for the majority of its staff and reduce its footprint by nearly 9,400 usable square feet under a replacement lease.

The following table shows the expiration date of each existing lease, the number of personnel impacted, and a comparison of current versus planned space utilization.

Building Location	Lease Expiration	Personnel Impacted	Usable Square Footage		Square Footage Change	Percentage Change
			Current	Planned		
633 Indiana Avenue	9/30/2020	130	31,202	25,968	-5,234	-17%
1025 F Street	11/07/2020	33	9,679	9,405	-274	-3%
601 Indiana Avenue	9/30/2021	131	28,423	24,535	-3,888	-14%
Total		**294**	**69,304**	**59,908**	**-9,396**	**-14%**

Maximum Rentable Square Footage: 72,000

Delineated Area – Statutorily, PSA is required to provide direct support for the courts, and for 50 years, has performed its mission-critical operations/services within walking distance to the courts. There is constant interaction between the activities conducted in the courts and the Pretrial Services Officers (PSOs) and management officials located in nearby PSA locations. In particular, PSA personnel provide in-person daily support to nearly 30 courtrooms in DC Superior Court and approximately 15 courtrooms in US District Court. Having the ability to immediately respond to the courts helps to ensure the pretrial release process is administered fairly and, in turn, enhances community safety. Staff also have daily interactions with other criminal justice partners and the defendants who are placed under PSA's supervision while awaiting trial. Similarly, the close proximity of the Social Services Assessment Center to the courthouses allows PSA to provide prompt response to court-ordered substance use and mental health assessments.

PSA strongly believes that close proximity to the local and federal courthouses in which it operates is vital to its mission. Many defendants under PSA supervision are diagnosed with mental health and/or substance use disorders, homeless, and/or unemployed. Having PSA offices within walking distance to the courts allows the defendants to conduct their pretrial release matters with the courts, PSA, and PDS in one central location. An increase in distance between required reporting locations potentially increases the likelihood of defendants failing to appear for critical supervision and treatment related appointments with agency personnel, which are key components of PSA's risk mitigation and public safety strategies. Relocating these mission-critical operations to other areas of the city could negatively impact PSA's budget; efficiency of operations; and services to the courts, defendants, and the community. PSA has asked GSA to consider these factors as the lease replacement process moves forward.

20-Year Investment - PSA will secure long-term space for the majority of its staff through this project and simplify management of its facilities. PSA intends to enter into a 20-year occupancy agreement for the new space and will have fewer agreements to manage, as it closes three expiring leases simultaneously. In addition, PSA will reduce costs by eliminating the non-GSA lease at 601 Indiana Avenue, which is its most expensive space per square foot.

Three-Year Funding – Three-year funding is requested because GSA estimates the entire project may take several years to complete. The project phases include: solicitation of lease proposals through an open bid process; execution of a lease(s); design and construction of space; installation of furniture, information technology, security, and communications; and relocation of personnel,

files, and personal property. The space design phase is projected to start in the first quarter of FY 2019 and PSA must have funding to enter into a Reimbursable Work Authorization with GSA in order for this work to commence. The design and construction phases may take up to 24 months to complete. Before the construction is complete, PSA will begin procuring personal property and moving services to meet the projected move-in/occupancy timeframe in the second quarter of FY 2021. Additional funding may be required in future years to fund all aspects of the project.

Three-year funding is requested because PSA does not have the flexibility to fund this project within its existing base budget without significantly compromising its public safety mission. The three-year funding will also provide flexibility if any unforeseen delays occur during the various phases of the project and/or if there is a delay in the appropriation process (i.e., operating under a continuing resolution).

PSA is dependent on GSA for its space needs. GSA has certified that the prospectus is the best solution to meet PSA's validated space requirements. There are no other alternatives at this time through which PSA can secure continued housing for its mission-critical operations beyond the expiration terms of the existing leases.

PRISM Modernization +$2,286,000 0 FTE

PSA requests $2,286,000 in FY 2019 to fund the first third of a three-year effort to conduct a major overhaul of the Pretrial Real-time Information System Manager (PRISM). PRISM is the Agency's client management system (CMS) used for administering the case management of the defendants released on pretrial supervision and is a high value asset, as defined in OMB Memorandum 17-09*: Management of Federal High Value Assets* (M-17-09). The system is the Agency's mainstay for providing reliable information that improves the timeliness and quality of recommendations and decisions associated with the supervision and treatment of defendants who enter the DC criminal justice system. PSA is unable to modify and enhance the current PRISM application with new capabilities that are critical to the Agency's priority performance goals without a dedicated financial investment.

	FY 2019 Funding Request	Estimated Costs in FY 2020	Estimated Costs in FY 2021
Software Development Services[1]	$2,101,000	$2,101,000	$2,101,000
Cloud Secured Development Environment	$85,000	$88,000	$91,000
Tools and Licensing	$50,000	$55,000	$61,000
Production Hardware	$25,000	$25,000	$25,000
Staff Technical Skills Refresh	$25,000	$17,000	$8,000
Total $	**$2,286,000**	**$2,286,000**	**$2,286,000**
FTE	0	0	0

[1] Software Development Services include system design; development of screens, reports, dashboards. libraries, interfaces; creation of database tables, quiries, stored procedures and aplication code for accessing and interacting with the data base, development of code modules to encapsulate business logic and functionality within an application; and deployment and post-deployment activities.

Background

PRISM is a unique database that contains local and national criminal history information on every person arrested in DC since the early 1970s. This mission-critical system, which was launched in 2002, also contains the supervision history and outcomes for these individuals, and any sensitive personally identifiable information (PII) associated with them, including demographic information, criminal history, release recommendations, supervision compliance, substance use test results, assessment results and other information. It is the data repository and tracking system for all four PSA Strategic Goals and the raw-data source for the performance measures. PRISM also interfaces with PSA's Drug Testing Management System (DTMS) which is scheduled for modernization during fiscal years 2017 and 2018 to allow for expansion of the Agency's drug testing program, with a specific emphasis on synthetic compounds.

Because PSA operates 24 hours per day, seven days per week, the system must be available for use at all times. Throughout its lifecycle, PRISM has successfully supported the Agency's mission and improved reliability, timeliness, and quality of data throughout the justice community. PSA has made four major upgrades to PRISM and expanded its functionality over the last 15 years. However after 15 years, the design and technologies used to create and maintain this system have reach the end of their useful lives.

In addition to being a valued data repository for internal use, the system also exchanges information with local and Federal law enforcement agencies and the Courts, such as DC Metropolitan Police Department, DC Superior Court, US District Court for DC, US Attorney's Office, DC Office of Attorney General, Federal Bureau of Investigation, US Marshals, and the Criminal Justice Coordinating Council (CJCC). Overall, there are 7,000 users.

Justification

The PRISM modernization is driven by three key factors: a signficant change in business operations, the need to further PSA's compliance with cybersecurity requirements, and the need to update and replace outdated technologies.

The PRISM modernization will provide a redesigned system that will allow for a shift from program-based to risk-based case assignment and management. PSA balances the interests of public safety and the defendant's right to pretrial release under the least restrictive conditions that assure community safety and return to court. It is critically important to objectively assess the risk of pretrial misconduct among defendants. In 2012, to help assess each defendant's potential for risk of flight and re-arrest, a study was conducted to enhance and validate its actuarial risk assessment. The objective was to ensure consistency and accuracy in assessing risk and improve on existing procedures. The resulting 70-factor instrument enhanced the predictive validity of risk assessment. Consequently, the redesigned CMS will support the Agency's transition to a risk-based supervision model by integrating the validated risk assessment results with automated defendant case assignment based on risk level.

A second critical reason for overhauling PRISM is to strengthen the cybersecurity of PRISM and maintain the system in compliance with Executive Order (EO) 13800.[1] CSOSA (CSP/PSA) was placed in the "at risk" category by OMB following the risk assessment results conducted in accordance with OMB M-17-25. Furthermore, another security vulnerability that PSA will remediate through this overhaul will be to implement multi-factor authentication, in compliance with Department of Homeland Security's binding operational directive BOD-16-01.

Another major reason for this modernization project is that the technologies used to create PRISM are at the end of their useful life and PSA needs to reconfigure the system to take advantage of modern web tools and techniques, such as open source tools and cloud computing.[2] PSA has upgraded and enhanced PRISM continuously since 2002 and, if not modernized, PSA's ability to perform its mission and implement risk-based supervision will be compromised. The Agency's capacity to collaborate with the courts and share defendant information with law enforcement partners will be substantially diminished.

The technical issues driving the need to modernize the system include:

- PRISM was designed and coded for Internet Explorer (IE). It uses Microsoft-specific features, such as ActiveX, and has a dependency on VBScript. IE is on its way out and VBScript has been deprecated.
- PRISM is one monolithic application that needs to be broken down into multiple sub-components that can be independently managed without bringing down the whole system.
- In 2010, PRISM was migrated to the .NET framework. It was a patchwork focused on getting the *Classic-ASP* system to run on the .NET framework. The system was not re-engineered to take advantage of the framework features.
- The core PRISM libraries were written in Visual Basic.NET. Microsoft has positioned C# to be the best general-purpose language for developing cross-platform applications. PSA has already standardized on C# for new development.
- PRISM is not taking advantage of the MS SQL Server 2008 or 2016 native features, because compatibility settings are turned on to support SQL Server 2000.
- The database structure is 15 years old and contains many fields and tables that are no longer needed. The database needs to be redesigned to eliminate unused objects and optimized to support more efficient data flows resulting in more timely system responses.
- During the migration to .NET, the agency also updated the Court Services module, which accounts for roughly 20 percent of the PRISM code. Those changes created a second set of code to be maintained, which adds complexity to system modifications.
- The new PRISM will support modern security requirements and Federal mandates, including the Federal CIO's "Digital Strategy," FISMA, Section 508, and NARA records management requirements.

[1] EO 13800, *Strengthening the Cybersecurity of Federal Networks and Critical Infrastructure*s, and implementation guidance found in OMB M-17-25.

[2] CMS is an n-tier, web-based client/server application built in .NET framework.

Below is a comparison between PRISM's current technological state and some of the key changes that PSA will make as part of the overhaul.

Current Technology	Future Technology
Only compatible with Internet Explorer, since browsers were not cross-compatible when PRISM was designed.	Will be compatible with multiple form types and internet browsers.
Original code is Visual Basic.NET and PSA is still maintaining this code. It is not as versatile and there is not as much internal/external support for it. Additionally, PSA now maintains two sets of code, since it began using C# language in 2015 for all new development.	Will shift to C# since it is the best general-purpose language for developing cross-platform applications that are compatible with multiple web browsers and mobile applications. Will only have one set of code to maintain with this change.
Single monolithic system that needs to be taken down anytime maintenance or updates are required. Updates are limited to once every two months.	Will be segmented into a system with multiple sub-components or modules that PSA will be able to modify and deploy independently without taking down the whole system. New features and enhancements can be added continuously.

Lastly, the PRISM modernization will allow PSA to:

- expand the record and document management functionality by enhancing the current library to comply with NARA standards and requirements;
- automate case assignment at the diagnostic (intake) phase;
- incorporate real-time visual data analytics to support officers, judges, and attorneys; and
- enhance the Agency's ability to continue exchanging data with criminal justice agencies.

PSA plans to use an Agile framework project management methodology in modernizing PRISM. The Agency will acquire contractor support to supplement Federal workforce. It is estimated the work can be done in 36 months beginning in FY 2019 and finishing in FY 2021. A breakdown of the software development services by timeline, task, sprint and estimated cost is provided below.

PRISM 6.0 Software Development Services Breakdown by Task/Sprints/Estimated Cost and Total Costs		
FY 2019 – Risk-Based Supervision		
Task	Sprints[1]	Estimated Cost
Core Framework and Design Prototypes	8	$673,000
Client Phase 1 – Client Demographics	4	$336,000
Diagnostic Phase 1 – Diagnostic Interview and Risk Assessment	4	$336,000
Supervision Phase 1 – Risk-Based Case Assignment	7	$588,000
Reports Phase 1	2	$168,000
Subtotal (Software Development Services)	25	**$2,101,000**
Other Related Costs	NA	$185,000
Total Costs	NA	**$2,286,000**
FY 2020 – Diagnostic		
Task	Sprints	Estimated Cost
Client Phase 2	3	$252,000
Diagnostic Phase 2 – Case Assignment and Processing	7	$588,000
Supervision Phase 2 – Drug Testing and Client Management	11	$925,000
Reports Phase 2 – Pretrial Service Reports	4	$336,000
Subtotal (Software Development Services)	25	**$2,101,000**
Other Related Costs	NA	$185,000
Total Costs	NA	**$2,286,000**
FY 2021 – Treatment and Deployment		
Task	Sprints	Estimated Cost
Supervision Phase 3 – Treatment	10	$841,000
Reports	4	$336,000
Maintenance Modules	4	$336,000
Deployment	1	$84,000
Post-Deployment	6	$504,000
Subtotal (Software Development Services)	25	**$2,101,000**
Other Related Costs	NA	$185,000
Total Costs	NA	**$2,286,000**

[1] A sprint is a set period of time during which specific work has to be completed and made ready for review. PSA has adopted a sprint duration of two weeks for the PRISM modernization project.

PSA's IT baseline budget has remained static over the past five years, and does not include resources for ongoing systems development. Similarly, the Agency as a whole has little discretionary funding available to support projects above its baseline operations without compromising defendant-related services. PSA's request for $2,286,000 in FY 2019 as the first third of a three-year effort constitutes an investment in a high value asset that will yield substantial benefits in the performance of mission-critical operations and further support reform efforts in improving the effectiveness and efficiency of government operations. Over the next ten years and beyond, the benefits derived from this investment may include, but are not limited to:

- Critical infrastructure support will be available as the Agency institutes a risk-based supervision model.
- System security will be improved and cyber-security risks will be mitigated.
- Economies of scale will be leveraged by applying the technologies incorporated in this project to develop and maintain additional systems/applications. For example, building the

Cloud secured development environment will allow PSA to build software for other applications in addition to PRISM, distinctly separate its development environment from production environments, and avoid the cost of equipment to maintain a hardware server development environment.

- The Cloud secured development environment can be used as a precursor to moving production environments to the Cloud.
- Development costs needed to enhance systems/applications using modern technologies will be lower because up-to-date skillsets will be more readily available. To continue expanding the existing system, the agency will pay a premium to obtain the skillset needed for legacy technologies.
- Flexibility in FTE positioning will be gained through the development of a workforce that is highly skilled in the latest technologies which can be assigned a mixed portfolio and easily redeployed to address emergent needs of the Agency.

PSA PROGRAM PURPOSE

MISSION

To promote pretrial justice and enhance community safety.

VISION

To thrive as a leader within the justice system through a diverse, inclusive and empowered workforce that embodies integrity, excellence, accountability, and innovation in the delivery of the highest quality services.

STRATEGIC FRAMEWORK

PSA's Strategic Framework (page 18) is the foundation upon which the Agency sets outcome-oriented goals, determines actions to achieve the goals, and mobilizes resources to execute the actions. The framework starts with a clear mission statement. Cascading strategic goals, objectives and performance goals and measures are directly aligned to the mission.

The strategic goals articulate outcome-oriented, long-term strategies for advancing PSA's mission. PSA's strategic objectives cascade down to performance measures, which provide leading and lagging information, monitor agency operations, demonstrate how employees contribute to the organization's mission, establish priorities for program evaluation, communicate Agency progress, and consider the impact of external factors on progress.

The framework includes three strategic objectives: risk assessment, risk-based supervision and appropriate treatment, and one management objective: effective agency administration. PSA links costs and outcomes based on the strategic objectives as illustrated in the resources requirement chart on page 28.

PSA Strategic Framework and Corresponding Performance Outcomes

MISSION
To promote pretrial justice and enhance community safety.

Strategic Goals	Strategic and Management Objectives	Performance Goals	Performance Outcomes
Strategic Goal 1: Judicial Concurrence with PSA Recommendations	**Strategic Objective 1:** Risk Assessment	1.1 Provide accurate and timely risk information to relevant stakeholders. 1.2 Use drug testing data to inform risk assessment. 1.3 Routinely obtain judicial feedback on the quality of Agency services.	**Judicial Concurrence Rate**
Strategic Goal 2: Continued Pretrial Release	**Strategic Objective 2:** Risk-Based Supervision	2.1 Develop and utilize individualized risk and needs-based supervision plans. 2.2 Apply an appropriate series of graduated responses to defendant conduct.	**Continued Pretrial Release Rate**
Strategic Goal 3: Minimize Rearrest	**Strategic Objective 3:** Appropriate Treatment	3.1 Provide appropriate substance abuse mental health treatment services through direct care or referral.	**Arrest-Free Rate**
Strategic Goal 4: Maximize Court Appearance	**Management Objective 1:** Effective Agency Administration	**Management Performance Goals** 1. Records Management 2. Subpoena and Case Sealing Expungement Program 3. Partnerships 4. Human Capital Management 5. Training and Career Development 6. Budget Development/Financial Management 7. Procurement Management 8. Facilities Management 9. Information Technology 10. Drug Testing Results to Partner Agencies 11. Policy Guidance 12. Strategic Planning, Performance Measurement, Program Evaluation and Assessment 13. Internal Information Sharing	**Appearance Rate**

ORGANIZATIONAL STRUCTURE

PSA's organizational structure supports the effective management of risk assessment, drug testing, supervision, and treatment services for pretrial defendants, and performance of a variety of other management and administrative functions. Under the direction of the Associate Director for Operations, the Court Services, Drug Testing Compliance and Quality Management, Supervision, and Treatment Programs carry out PSA's court and defendant-related operations. All management, program development and administrative support functions, including forensic toxicology services, are performed under the oversight of the Office of the Director.

COURT SERVICES PROGRAM

The **Court Services Program** consists of the Diagnostic Unit and the Release Services Unit.

The *Diagnostic Unit* is comprised of five teams and interviews defendants arrested and detained on criminal charges in the DC Superior Court, formulates release recommendations based on a comprehensive, scientifically validated risk assessment, and provides recommendations to judicial officers in a pretrial services report (PSR). The pre-release process includes an extensive background investigation, during which information collected in defendant interviews is verified and criminal history information is gathered through local and national information systems and analyzed. This information is used to assess each defendant's risk of rearrest and failure to appear in court. It is also used to identify each defendant's eligibility for preventive detention and make individualized recommendations to the judicial officer for pretrial release, as appropriate. Recommendations for release include specific conditions that are designed to mitigate the risk of rearrest and failure to appear. Diagnostic Unit staff appear in court during each arraignment hearing to provide information upon request by the judiciary and to facilitate the placement of defendants released into various PSA supervision programs. The Diagnostic Unit also conducts investigations for arrestees being considered by the arresting law enforcement agency for release on citation (so they will not be detained pending their first appearance before a judicial officer). The Diagnostic Unit staff operates seven days per week across three distinct shifts, spanning 24 hours per day.

The *Release Services Unit* is responsible for providing additional services after the defendant's initial court appearance and release onto pretrial supervision. The Unit conducts a post-release interview that includes a review of the defendant's release conditions and an explanation of the penalties that could result from non-compliance, failure to appear, and rearrest. Additional services include, but are not limited to, in-person and/or telephone check-in, court check-in, confirmation of next court date, and address verification.

The Unit also responds to judicial inquiries regarding defendant's failure to appear for scheduled court dates. The unit investigates outstanding bench warrants to determine the reason for a defendant's failure to appear (FTA). The pertinent information is documented and the court is informed of the findings. In addition, the unit prevents the issuance of bench warrants by verifying defendants' inability to appear in court (e.g., due to incarceration in another jurisdiction or hospitalization). The information is investigated and reported to the court.

DRUG TESTING COMPLIANCE AND QUALITY MANAGEMENT PROGRAM

The **Drug Testing Compliance and Quality Management** program consists of the Drug Testing and Compliance Unit and the Quality Management Program.

The *Drug Testing and Compliance Unit (DTCU)* collects urine and oral fluid samples for analysis from defendants detained prior to arraignment, defendants who have been ordered to drug test as a condition of pretrial release, and respondents with matters in DC Family Court. Because a substantial number of criminal defendants have substance use disorders that must be addressed to mitigate their risk to public safety, drug testing provides vital data that informs judicial release decisions and PSA supervision approaches.

The *Quality Management Program* was established during FY 2016 to provide quality assurance and control for Operations program functions. The unit is responsible for four distinct components: quality planning, quality assurance, quality control and quality improvement. Unit staff work across Operations to develop quality management objectives aligned with PSA's strategic goals and performance objectives to ensure program components consistently perform at the desired level of excellence. The unit conducts analyses and evaluations of business processes to support supervisory and management staff with oversight of daily operations and to enhance program services.

SUPERVISION PROGRAM I

The **Supervision Program I** consists of General Supervision Unit, and the US District Court Unit.

The *General Supervision Unit (GSU)* is comprised of five teams and supervises the majority of defendants released by DC Superior Court to PSA on conditional release. Release conditions may include orders to stay away from designated people and places; regular in-person or telephone contact with PSA; drug testing; and referrals for treatment assessment and program placement. GSU Pretrial Services Officers (PSOs) ensure that current and relevant information regarding compliance is continuously available to the Court. PSOs use a variety of case management techniques to encourage defendant compliance with release conditions. If the defendant cannot be brought into compliance through these efforts, the PSO sends a violation report to the Court, including specific recommendations, such as increased supervision requirements, substance use disorder treatment, or mental health treatment, designed to address the non-compliance.

Defendants under GSU supervision have been charged with offenses ranging from serious misdemeanors to dangerous and/or violent felonies. Many defendants are statutorily eligible for pretrial detention based on their charge (e.g., robbery, burglary, aggravated assault) or criminal history (e.g., they are arrested while on release in a pending case or on probation). However, the Court can determine, after considering PSA's risk assessment and release recommendations – as well as input from the prosecution and defense – that supervised release in the community under extensive conditions is appropriate. In such cases, the Court's expectation is that PSA will closely supervise compliance with release conditions, employ an appropriate series of graduated responses to defendant conduct and promptly report any non-compliance to the Court.

GSU also supervises defendants placed into the DC Department of Corrections work release (halfway house) program when the Court orders additional conditions, such as drug testing and reporting in person to PSA.

The *US District Court Unit* conducts pre-release assessment and investigation services for federal defendants similar to those conducted in the Diagnostic Unit. In addition to those responsibilities, the Unit supervises released defendants awaiting trial and convicted persons pending voluntary surrender for service of their sentences. Like their counterparts in the DC Superior Court, PSOs in the US District Court Unit notify US District Court judges and magistrate judges of violations of release conditions in federal criminal cases. PSOs in this Unit also provide daily courtroom support to judicial officers.

The **Supervision Program II** consists of the High Intensity Supervision Program, the Traffic Safety Supervision Program and the Court Representatives.

The *High Intensity Supervision Program (HISP)* is comprised of three teams and is designed for higher risk defendants who have supervision-related failures from other PSA units; are charged with violent misdemeanors and felonies; were initially detained but are now eligible for release; or are compliant with halfway house conditions of work release and are now eligible for placement back into the community. Supervision requirements include face-to-face contact and drug testing at least once per week and a daily electronically monitored curfew. If the Court orders the defendant to stay away from a location, that condition is monitored by Global Positioning System (GPS) equipment.

The program consists of two components, Community Supervision and Home Confinement. During Community Supervision, defendants are monitored for compliance with curfew requirements and are required to report to PSA at least weekly for drug testing and meetings with their designated PSO. Home Confinement is intended primarily as a graduated sanction for defendants who violate the program requirements while under Community Supervision. However, the Court may opt to order a defendant directly into Home Confinement and require the defendant to demonstrate compliance before graduating down to the Community Supervision phase. During Home Confinement, defendants are subject to up to 21 days of 24-hour electronically monitored curfew. They are allowed to leave their homes only for work, to attend school, to report to PSA for face-to-face contacts and drug testing, and for other pre-approved purposes. Defendants are returned to Community Supervision once they have completed the 21 days without incurring any infractions. Due to the heightened risk associated with this population, PSA reports all program violations to the Court within an expedited timeframe.

The *Traffic Safety Supervision Unit (TSSU)* provides supervision, monitoring, and referral to substance use disorder and/or mental health treatment, and encourages compliance with treatment for defendants charged with certain impaired driving-related and other DC Code offenses prosecuted by the Office of the Attorney General for the District of Columbia. The unit primarily serves defendants charged with Driving Under the Influence (DUI), Operating While Impaired (OWI), and Driving While Intoxicated (DWI) with a variety of risk profiles – from those presenting low risk and needing minimal monitoring, to those posing greater risk and requiring extensive supervision of release conditions and/or substance use disorder or mental health

treatment. TSSU collaborates with the court, prosecution and defense counsel and uses a variety of graduated responses to assist defendants in maintaining compliance to release conditions.

The *Court Representative Unit* consists of two teams and provides daily courtroom support to judicial officers to ensure placement of defendants into appropriate pretrial programs and to provide compliance information during court proceedings. The Court Representative PSOs support judicial proceedings in DC Superior Court and provide information regarding the defendant's adjustment and compliance to conditions of release. The unit assists the court by providing recommendations and referrals for program and unit placements based on evaluations for substance use and mental health disorders and levels of assessed risk. Court Representatives report compliance on release conditions, verify warrant and criminal history information, and provide verification of program placements and information to support modifications of existing release conditions. Unit staff also ensures the appropriate forms, release orders and any other applicable documents are completed and copies are provided to the defendant and his/her attorney as well as any necessary written instructions, contact information and directions. Court Representative PSOs also monitor administrative caseloads for defendants released to personal recognizance and those on unmonitored supervision to report re-arrest and compliance to release conditions pending the defendants return to court.

TREATMENT PROGRAM

The **Treatment Program** is staffed by PSOs experienced in supervising and providing services for defendants with substance use and/or mental health disorders. It includes the Superior Court Drug Intervention Program (Drug Court), the Sanction-Based Treatment Track, the Specialized Supervision Unit, and the Social Services and Assessment Center (SSAC).

Drug Court is a treatment-infused supervision program that implements an evidence-based model for treating defendants with substance use disorders. Drug Court PSOs play a vital role in providing and overseeing both supervision and treatment services. Generally, Drug Court targets defendants charged with certain misdemeanors and non-violent offenses. Participants in the program appear frequently before the Drug Court judge, submit to random drug testing, participate in substance use disorder treatment, and agree to immediate administrative or court-imposed sanctions for non-compliance with program requirements. The program incorporates contingency management (i.e., incentives and sanctions) to modify behavior. Sanctions range from administrative or treatment responses, such as participating in additional groups or completing therapeutic writing assignments, to judicially imposed jail sanctions. Incentives, such as judicial verbal acknowledgement and nominal value tokens, are provided in response to positive behavior. Program completion can result in dismissal of a misdemeanor case. Defendants with a felony charge can receive probation or, if eligible, be convicted of a misdemeanor through an amended sentencing agreement.

The *Sanction-Based Treatment Track (SBTT)* is intended for defendants not eligible for Drug Court, and includes many features of that program. Defendants in SBTT receive the same treatment options and are subject to the same administrative and judicially imposed sanctions as Drug Court defendants. SBTT defendants may also receive incentives for positive behavior. However, these incentives are more limited and less immediate than those awarded in Drug Court.

Unlike Drug Court, SBTT defendants have limited judicial interaction (except when being sanctioned) and are not eligible for case dismissal or other favorable case disposition upon successful completion by the Drug Court judge.

The *Specialized Supervision Unit (SSU)* consists of three teams and provides critical supervision and case management services for defendants with severe and persistent mental health disorders, as well as those dually diagnosed with both mental illness and substance use disorders. The SSU ensures that these defendants are linked with community-based mental health treatment through the DC Department of Behavioral Health and similar agencies in Maryland and Virginia, for residents of those states. SSU defendants also receive treatment services through PSA's Building Bridges in-house intensive outpatient program. This program provides individual and group psychotherapeutic services for defendants with co-occurring substance use and mental health disorders.

This unit is staffed with personnel who have mental health expertise and/or specialized experience working with mentally ill and dually-diagnosed defendants. The SSU plays a vital role in supporting the Mental Health Community Court (MHCC), which is a partnership among PSA, the DC Superior Court, US Attorney's Office, and local defense bar, created to provide an alternative to traditional case processing for appropriate defendants with mental health issues. The MHCC is available to eligible defendants charged with either misdemeanors or felonies and enables positive defendant judicial interaction and full participation in mental health services. PSA's participation in the MHCC includes assessing and recommending eligible defendants for participation, providing close supervision and connection to mental health and substance use disorder treatment, and reporting compliance to the Court.

The *Social Services and Assessment Center (SSAC)* conducts substance use disorder and mental health assessments and provides social service referrals for defendants under pretrial supervision. These services are provided in response to a court-ordered release condition and/or as the result of a needs assessment. The SSAC also tests and evaluates defendants suspected of having a mental illness. Staff in the SSAC identify and maintain information on available treatment, employment, education, housing and other social services that may be utilized by defendants in meeting pretrial release obligations.

FORENSIC TOXICOLOGY SERVICES

The Office of Forensic Toxicology Services (OFTS) performs urine forensic drug testing for pretrial defendants under PSA's supervision and offenders under the CSOSA Community Supervision Program (CSP) (i.e., persons on probation, parole, and supervised release), as well as respondents ordered into testing by the DC Superior Court Family Division. OFTS also conducts oral fluid screenings for a portion of defendants under PSA supervision. Each urine sample is tested for up to 10 drugs of abuse, including synthetic cannabinoids. All positive samples are retested for agreement and accuracy. Gas chromatography-mass spectrometry (GC-MS) analyses are conducted to confirm test results and provide affirmation of the identity of a drug when results are challenged. Toxicologists conduct levels analysis to determine whether the detected drug concentration signifies new use or residual use. These interpretations are essential to the courts for

determining continued drug use by a defendant. Expert witness court testimony and forensic consultations are also provided to assist the judicial officers.

OFTS conducts forensic research that leads directly to practical enhancements in drug testing, improves strategies in surveillance monitoring, reveals trends in emerging new drug use, develops bi-directional partnerships with the scientific and social research community, and introduces new technologies that improve efficiency, reduce cost and enhance Agency stature.

MANAGEMENT, PROGRAM DEVELOPMENT AND ADMINISTRATIVE SUPPORT

The following areas within the Agency provide management, program development, and frontline operations support:[3]

JUSTICE AND COMMUNITY RELATIONS

The **Office of Justice and Community Relations** establishes and maintains effective partnerships with the judicial system, law enforcement and the community to enhance PSA's ability to provide effective community supervision, enforce accountability, increase community awareness of PSA's public safety role, and develop opportunities for defendants under pretrial supervision and pretrial diversion. It is through these partnerships with the courts, both local prosecutors (the United States Attorney's Office and the DC Office of the Attorney General), various District government agencies and non-profit community-based organizations that PSA can effectuate close supervision to reasonably assure that defendants will return to court and not pose a danger to the community while on pretrial release.

FINANCE AND ADMINISTRATION

The **Office of Finance and Administration** (OFA) assures the effective management and financial integrity of PSA programs, activities, and resources by developing, implementing and managing policies, procedures and systems in the areas of budget formulation and execution, finance and accounting, travel, internal controls, financial systems, and contract management. OFA also has responsibility for developing and administering policies, standards, and procedures regarding facilities management, property management and control, space management, vehicles, mail and distribution services, printing and reproduction services, and emergency and continuity of operations management planning.

HUMAN CAPITAL MANAGEMENT

The **Office of Human Capital Management** (OHCM) develops and administers the full range of human resources programs, including organizational design; a comprehensive classification, pay, and position management program; staffing and recruitment; awards and recognition; payroll administration; employee and labor relations, benefits; and personnel security. OHCM also includes the **Training and Career Development Center** (TCDC), which manages programmatic,

[3] Certain functions are performed by CSOSA for PSA, including select functions of the Office of General Counsel; Legislative, Intergovernmental, Public Affairs; Equal Employment Opportunity; and Diversity and Special Programs.

systems and management training; performs training needs assessments; develops curricula; prepares, presents, procures and administers training courses; and designs training on PSA programs and systems for external agencies. TCDC also offers formal developmental programs and training and opportunities to all staff.

INFORMATION TECHNOLOGY

The **Office of Information Technology** (OIT) plans, develops, and manages the information technology systems that support PSA programs and management operations as well as information technology-related standards, policies and procedures. OIT assesses PSA technology requirements; analyzes potential return on technology investment for internal systems and for PSA interface with external systems; designs and administers system configuration and architecture including hardware and software, telecommunications, network operations, desktop systems, and system security; and reviews and approves acquisition of all PSA major hardware, software, and information technology contracts.

PLANNING, POLICY AND ANALYSIS

The **Office of Planning, Policy and Analysis** (OPPA) supports achievement of PSA's mission by administering a range of functions, including strategic planning, performance management, policy development and research and evaluation. OPPA develops PSA's strategic plan and framework and measures Agency progress against stated targets. The office ensures accurate reporting of agency performance measures using data extracted from information management systems, including Pretrial Real-time Information System Manager (PRISM) and the Drug Testing Management System (DTMS). Analysts within the office are also responsible for performing predictive analyses, program evaluations, cost-benefit analyses, policy development and a host of other mission-critical analytical functions for offices across the agency. OPPA's Director serves as PSA's Performance Improvement Officer.

PROGRAM PERFORMANCE

PSA's *Strategic Goals* for FY 2018-2022 span the Agency's major functions and operations and link to the outcomes of judicial concurrence, promoting continued pretrial release, minimizing re-arrest and maximizing court appearance. The strategic goal related to judicial concurrence with PSA recommendations is consistent with PSA's recognition of the Court as its primary stakeholder.

STRATEGIC GOAL 1: JUDICIAL CONCURRENCE WITH PSA RECOMMENDATIONS

The judicial concurrence goal is designed to maximize the rate at which judicial officers impose release conditions that are consistent with PSA's recommendations at initial appearance.

STRATEGIC GOAL 2: CONTINUED PRETRIAL RELEASE

The strategic goal of continued pretrial release focuses on PSA's aim to keep defendants effectively supervised in the community during the pendency of their cases. This goal seeks to maximize the percentage of released defendants who remain on supervision without revocation (or request for revocation) due to violation of release conditions.

STRATEGIC GOAL 3: MINIMIZE REARREST

PSA's strategic goal of minimizing rearrest seeks to maximize the percentage of supervised defendants who are not arrested for a new offense allegedly committed during the pretrial period. A new offense is defined as one with the following characteristics:

- the offense date occurs during the defendant's period of pretrial release;
- there is a prosecutorial decision to charge; and
- the new offense carries the potential of incarceration or community supervision upon conviction.

STRATEGIC GOAL 4: MAXIMIZE COURT APPEARANCE

The strategic goal of maximizing court appearance is one of the most basic outcome measures for pretrial service programs. As such, this goal reflects PSA's efforts to maximize the percentage of supervised defendants who make all scheduled court appearances.

PSA measures achievement of its critical outcomes through four measures:

PSA PERFORMANCE OUTCOMES

	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2017-2022 Target
Judicial Concurrence Rate ***Agreement between PSA's release recommendations and judicial release and detention decisions***						
	N/A	N/A	N/A	72%	76%	70%
Arrest-Free Rate ***Percentage of defendants who remain arrest-free during the pretrial release period***						
Any crimes	90%	89%	89%	88%	86%	88%
Violent crimes	99%	98%	98%	98%	99%	97%
Appearance Rate ***Percentage of defendants who make all scheduled court appearances during the pretrial release period***						
	88%	88%	88%	91%	88%	87%
Continued Pretrial Release ***Percentage of defendants who remain on release at the conclusion of the pretrial release period without a pending request for removal or revocation due to non-compliance***						
	87%	88%	88%	88%	87%	85%

RESOURCE REQUIREMENTS BY STRATEGIC OBJECTIVE

PSA uses a cost allocation methodology to determine actual and estimated appropriated resources, including both direct (e.g., staff performing direct defendant supervision) and indirect (e.g., rent, administrative activities, management), supporting each strategic objective. Program summaries and accomplishments for each objective are discussed in the following pages. The chart below reflects the funding allocation by strategic objective for fiscal years 2017, 2018 and 2019.

FUNDING BY STRATEGIC OBJECTIVE

	FY 2017 Actual	FY 2018 Projected [1]	ATB [2]	Program Changes [3]	FY 2019 Request	Change from FY 2018
Strategic Objective 1: ***Risk Assessment***						
$ in thousands	10,877	10,814	156	392	11,362	548
FTE	64	66	0	0	66	0
Strategic Objective 2: ***Risk-Based Supervision***						
$ in thousands	30,694	30,515	442	1,106	32,063	
FTE	167	172	0	0	172	0
Strategic Objective 3: ***Appropriate Treatment***						
$ in thousands	21,853	21,727	314	788	22,829	1,102
FTE	109	112	0	0	112	0
Lease Replacement Prospectus						
$ in thousands	0	0	0	7,304	7,304	7,304
FTE	0	0	0	0	0	0
Total $ in thousands	63,424	63,056	912	9,590	73,558	10,502
Total FTE	340	350	0	0	350	0

[1] A full-year 2018 appropriation for this account was not enacted at the time the budget was prepared; therefore, the budget assumes this account is operating under the Further Continuing Appropriations Act, (P.L. 115-96).

[2] ATB for inflationary increases in non-payroll cost categories including rent, utilities, information technology licenses and services, GPS electronic monitoring contract, drug testing materials/supplies, background investigations and financial services provided through a Federal Shared Service Provider.

[3] Three-year funding is requested for a portion of the costs associated with the Lease Replacement Prospectus. Additional resources may be required in future years to fund all aspects of the project. Funding is also requested to complete the first third of a three-year effort to modernize the PRISM client management system.

STRATEGIC OBJECTIVE 1 – Risk Assessment

PROGRAM SUMMARY

PSA promotes informed and effective release determinations by utilizing a scientifically validated tool and relevant drug testing data to accurately and fairly assess the risk of each defendant's likelihood of failure to appear for required court appearances and rearrest during the pretrial period and formulate appropriate recommendations to the court.

The foundation of effective pretrial supervision is risk assessment. The assessment is used to recommend appropriate release conditions, which are relayed to the judge through a pretrial services report (PSR), or *bail report*. The PSR provides much of the information the judicial officer uses to determine a defendant's risk to the community and to determine what level of supervision, if any, the defendant requires. The bail report includes criminal history, lock-up drug test results, treatment needs and verified defendant information (residence, employment status, community ties, etc.).

PSA's pre-release process assesses both risk of rearrest and failure to appear for scheduled court appearances. The assessment process has two components:

Risk Assessment: PSA uses a scientifically validated risk assessment that examines relevant defendant data to help identify the most appropriate supervision levels for released defendants. The assessment scores various risk measures and assigns weights for each item that are specific to the District's defendant population (e.g., previous failure to appear for court, previous dangerous and violent convictions, suspected substance use disorder, current relationship to the criminal justice system, among numerous others). It then generates a score that provides a guideline for determining each defendant's risk level. This risk level designation informs the recommendation made by PSA at arraignment and, for defendants released to PSA while awaiting trial, the level and nature of supervision required to reduce the risk of failure to appear in court and rearrest.

Recommendation to the Court: PSA makes recommendations for release and identifies eligibility for preventive detention based on risk determination and statutory guidelines. If pretrial release is recommended, the Agency recommends the least restrictive conditions necessary to reasonably assure court appearance and public safety. When warranted, PSA recommends to the Court a variety of release conditions including, but not limited to, drug testing, substance use disorder treatment, mental health treatment, orders to stay-away from specified persons or places, regular and frequent face-to-face contact with a PSO, halfway house placement, GPS and electronic monitoring.

PERFORMANCE MEASURES

	Measures	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2017-2022 Target
1a.	Percentage of complete PSRs [1]	N/A	N/A	N/A	N/A	73%	72%
1b.	Percentage of defendants for whom PSA identifies eligibility for appropriate appearance and safety-based detention hearings [2]	95%	95%	93%	97%	-	94%

[1] Performance measure 1a was revised to report the percentage of completed PSRs provided to the court for papered cases on the daily US lock-up list. Elements of a complete PSR include an interview, drug test information, complete criminal history and submission of the PSR prior to the case being called in court.
[2] Performance measure 1b was discontinued in FY 2017.

FY 2017 ACCOMPLISHMENTS

- ✓ Priority Goal 1: Refine Risk Assessment Protocols – Results from PSA's four risk assessment models were used to create a multi-dimensional matrix that considers risk of failure to appear in conjunction with risk of rearrest to create a composite risk score for each defendant. This is a change from initial implementation when the score from each model was evaluated and considered independently. The scoring matrix in the PRISM client management system was updated to take into account both the safety and appearance model scores. This included developing a graph to align release recommendation to defendant's risk designation and creating a draft grid to plot the distribution of defendants across supervision and treatment program teams based on the defendants' assigned risk designation. Revisions were also made to the application of existing release recommendations to correspond to defendant's risk levels. Guidance was developed for diagnostic staff in applying the revised release recommendations and briefings were coordinated with PSA executive staff to present the model and solicit feedback for full implementation.

- ✓ Provided complete PSRs in 9,460 (73 percent) papered lock-up cases. A PSR is complete when it includes the defendant interview, drug testing information, criminal history, and is available to court at the time the case is called on the record. Reasons for incomplete PSRs vary and include defendant being unavailable, unable or unwilling to complete interview or drug testing.

- ✓ Interviewed defendants in 10,153 papered cases (78 percent). PSA attempts to interview all defendants; but defendants were unable, unavailable, or unwilling to complete the voluntary interview in the other 22 percent of the cases.

- ✓ Conducted 190 failure-to-appear investigations. PSA conducts investigations based on requests received from the Court or defense counsel. Defendants or others representing the interests of defendants may also inform the agency that they may fail to appear for a scheduled court date. In these cases, staff verify the reason for the failure to appear, and submit a report to the assigned calendar judge outlining the investigation results. Court

Services staff facilitated the surrender to court of 22 defendants who missed scheduled court dates and had outstanding bench warrants issued.

- ✓ Conducted 9,760 citation investigations, from which 6,949 defendants were deemed eligible for citation release.

- ✓ Prepared timely PSRs for 1,467 citation cases papered by the US Attorney's Office and the Office of the Attorney General.

- ✓ Collected 87,962 urine and 880 oral fluid specimens for drug testing and analysis from arrestees detained prior to arraignment, defendants ordered to drug test as a condition of pretrial release, and respondents with matters in DC Family Court.

- ✓ Conducted a comprehensive review of the Drug Testing and Compliance Unit to analyze business practices and identify opportunities for process improvements.

STRATEGIC OBJECTIVE 2 – Risk-Based Supervision

PROGRAM SUMMARY

PSA provides appropriate supervision — consistent with the court-ordered release conditions and based on assessed risk — to promote court appearance and public safety.

PSA supervises defendants in accordance with release conditions that are designed to minimize risk to the community and maximize the likelihood of each defendant returning to court. PSA focuses its supervision resources on defendants most at risk of violating their release conditions and employs graduated levels of supervision consistent with the defendant's identified risk level. Very low risk defendants (those released without conditions) receive only notification of court dates. Fairly low risk defendants are placed in monitoring programs that require limited contact with PSA. Medium risk defendants are placed under PSA's extensive supervision and maintain regular contact through drug testing and/or reporting to a PSO. High risk defendants may be subject to frequent contact with an assigned PSO and drug testing, curfew, electronic monitoring, substance use disorder treatment or other conditions.

PSA's monitoring and supervision has multiple components:

Notification of Upcoming Court Dates: In order to minimize failures to appear, PSA expanded its notification process by adding an electronic option to remind, update, and advise defendants of upcoming court dates. This new process incorporates the use of text message and email notification in addition to traditional mailed letters.

During the initial contact, PSA asks the defendant about their preferred method of notification. An automatic hierarchy is then generated for notifications to defendants (i.e. email, text messages, and letters) based on their preference.

Defendants are also required to confirm the date of their next scheduled court appearance during each contact with PSA (drug testing or case management contact). In FY 2017, PSA sent

approximately 52,000 letters, 38,000 SMS text messages, and 9,000 email messages. A preliminary analysis of court appearance comparing notification methods suggests that text messages were most effective yielding the highest court appearance rates at 96 percent, followed by email at 95 percent, and letters at 94 percent.

Appropriate Supervision: Defendants who are appropriately supervised are held accountable to the Court. PSA's supervision strategy includes promoting swift and effective consequences for violation of release conditions, and promoting incentives for defendants who consistently comply with release conditions.

Swift response to non-compliance with release conditions is at the heart of effective case management. PSA uses graduated sanctions in an attempt to modify a defendant's behavior and focuses on modifying the behaviors most closely associated with a return to criminal activity or failure to appear for court. Failure to appear for a supervisory contact, drug use, absconding from substance use disorder treatment or mental health services, and other condition violations can be precursors to serious criminal activity. Responding quickly to non-compliance is directly related to meeting the goals of reducing failures to appear and protecting the public. When violations of conditions are detected, PSA employs all available administrative sanctions, informs the Court and, when warranted, seeks judicial sanctions, including revocation of release.

Numerous studies have documented the power of incentives to change behavior.[4] Common incentives recommended by PSA include: reduction in the number of contacts required; reduction in the frequency of drug testing; and placement in less intensive treatment or supervision programs.

Caseload Management: Caseload size affects the quality of supervision. Successful pretrial supervision hinges on the ability of the PSO to respond quickly to violations of the conditions of release. Ensuring that caseloads remain within manageable ranges allows sanctions to be administered swiftly in order to prompt changes in behavior.

Drug Testing, Forensic Analysis and Testimony: PSA's in-house laboratory, operated by the Office of Forensic Toxicology Services (OFTS), conducts drug testing for pretrial defendants under PSA's supervision, offenders under the CSOSA CSP (i.e., persons on probation, parole, and supervised release), as well as respondents ordered into testing by the DC Superior Court Family Division. The laboratory is certified by the US Department of Health and Human Services as being in compliance with the Clinical Laboratory Improvement Amendments (CLIA) standards. It is staffed by professionals with credentials in forensic toxicology, forensic science, medical technology, chemistry and biology.

[4] Finigan, M.W. et al. (2007). *Impact of a Mature Drug Court Over 10 Years of Operation: Recidivism and Costs*. Washington, DC: United States Department of Justice, National Institute of Justice. Meyer, W. (2007). Developing and Delivering Incentives and Sanctions. Alexandria, VA: National Drug Court Institute. Lindquist, C., et. al. (2006). Sanctions and Rewards in Drug Court Programs: Implementation, Perceived Efficacy and Decision Making" *Journal of Drug Issues* Volume 36(1), pp.119-144. Marlowe, Douglas B. and Kimberly C. Kirby. (2000). "Effective Use of Sanctions in Drug Courts: Lessons from Behavioral Research," *National Drug Court Institute Review*, Vol. 2, No. 1. Alexandria, VA: National Drug Court Institute. Harrell, A. and Roman, J. (2001). "Reducing Drug Use and Crime Among Offenders: The impact of graduated sanctions. *Journal of Drug Issues* (Vol. 31(1) pp. 207-232).

PSA's same-day turnaround for drug test results in pretrial cases allows test results from lock-up cases to be presented to judicial officers at defendant arraignments and presentments. The OFTS can also perform *spot* tests ordered by a judicial officer within a two-hour time frame through state-of-the art testing and management information systems.

Laboratory personnel perform levels analyses to interpret results for new or residual use for over 1,200 individuals each month. When requested, the laboratory's toxicologists and chemists provide expert testimony in support of analytical results.

Currently, PSA is studying the trend in positive rates and prevalence of fentanyl use among the criminal justice population. The target populations are defendants supervised by PSA, and individuals on probation and parole who supervised by CSP. PSA will use the results of the ongoing research to develop a plan for routine testing of fentanyl in the populations supervised and provide avenues to respond to the opioid epidemic. PSA also plans to determine the specific type(s) of fentanyl analogue that is in use by these groups.

PERFORMANCE MEASURES

	Measures	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2017 - 2022 Target
2a.	Percentage of defendants who are in compliance with release conditions at the end of the supervision period	78%	76%	75%	72%	71%	77%
2b.	Percentage of defendants whose non-compliance is addressed by PSA either through the use of an administrative sanction or through recommendation for judicial action (within 5 days): [1]						
	- drug testing violations	98%	90%	90%	91%	91%	80%
	- contact violations	97%	85%	86%	87%	89%	70%
	- group session violations	65%	39%	84%	90%	88%	80%
	- electronic monitoring violations	85%	88%	95%	87%	88%	92%

[1] In FY 2013, PSA revised its policy for staff responses to infractions of the electronic surveillance and substance use disorder treatment conditions. The new protocols call for more specific and frequent responses than the prior policy. The results reported reflect the early results of compliance with the new requirements.

FY 2017 Accomplishments

✓ Priority Goal 2: Develop Risk-Based Supervision Protocols – A framework was finalized for the risk-based supervision model that integrates risk assessment designations and release recommendations to formulate supervision strategies designed to mitigate the risk of pretrial failure. A case management model was also developed for risk-based supervision using a scheme of phased supervision with prescribed strategies associated with the distinct phases of

supervision: initial, stabilization, and maintenance. Specific criteria were outlined for defendants to transition across supervision phases with the application of appropriate sanctions and incentives to support positive supervision. In addition, risk designation categories and release recommendations were modified to ensure that supervision strategies provided the least restrictive approaches and responses associated with defendants' risk for pretrial misconduct.

- ✓ Supervised 2,029 higher risk defendants under electronic surveillance - 1,904 of these defendants were HISP defendants.

- ✓ Fifty-nine (59) percent of HISP defendants reaching final disposition in FY 2017 were successful on supervision, having made all scheduled court appearances, remaining arrest-free during supervision, and having no outstanding requests to the court for supervision termination. Approximately 514 HISP defendants were ordered to lesser levels of supervision by the Court due to successful compliance with requirements.

- ✓ Developed draft case management protocols for Supervision and Treatment programs to ensure that interventions are appropriately responsive to risk levels designated by the new risk assessment.

- ✓ Established protocols for installing GPS devices on defendants within the DC Superior Court.

- ✓ Implemented automated court notifications generated and sent from the PRISM system to notify defendants of court dates and appointments through e-mail, text message or letter, based on the information that is in the system for each individual.

<u>Drug Testing</u>

- ✓ Conducted 2,378,354 drug tests on 264,548 urine samples of persons on pretrial release, probation, parole, and supervised release, as well as for persons (juveniles and adults) whose matters are handled in the Family Court.

- ✓ Performed over 14,905 levels analyses, which aid in the determination of continuing drug use, and performed GC/MS confirmation tests for 5,334 specimens.

- ✓ Provided expert witness testimony in 110 cases to interpret drug test results in the face of challenges by defendants, as well as during Drug Court daily pre-court interdisciplinary team meetings.

- ✓ Provided 648 affidavits to support hearings and adjudications in parole and probation cases in the US District Court.

- ✓ Performed 148,052 tests on 119,685 specimens for Ethyl Glucuronide **(**EtG) in the population that is routinely tested for alcohol. This test allows PSA to accurately determine overt or discreet use of alcohol. The EtG test is able to detect alcohol use within the immediate three to five days after alcohol consumption.

Synthetic Drug Testing

- ✓ Continued using the Randox analyzer for researching the use of synthetic cannabinoids among the criminal justice populations supervised by PSA and CSP.

- ✓ Began using the Randox analyzer to conduct in-house drug testing of oral fluid specimens from defendants who are unable to submit urine specimens. PSA currently uses the instrument to test approximately 60 percent of all oral fluid specimens submitted by pretrial defendants. Based on the success of this program, PSA plans to enable in-house screening of all oral fluid specimens for drugs of abuse in FY 2018 and may extend this service to CSP and DC Superior Court Family Division.

- ✓ Implemented preliminary use of a liquid chromatography–tandem mass spectrometry (LC-MS/MS) to assess its readiness for deployment for full case work in FY 2018.

- ✓ Conducted research on the detection of newer varieties of synthetic cannabinoids (SCs) using a third generation screening reagent (K2-3) in response to a decline in the rate of positive tests using the second generation screening reagent (from 4 percent to less than 1 percent). On May 1, 2017, PSA fully integrated K2-3 into the routine screening of all incoming specimens for SCs and the rate of positive tests for SCs increased back to approximately 4 percent. The results indicate that defendants are still using SCs but shifting to different varieties.

- ✓ Partnered with the DC Office of the Chief Medical Examiner (OCME) to research and develop methods for analyzing and characterizing the identities of emerging new synthetic drugs and their urinary metabolites. Through this partnership, PSA tested an average of 84 urine specimens per month for synthetic cannabinoids and confirmed the use of two new synthetic cannabinoids metabolites that had previously not been identified in tests. These are AB-FUBINACA metabolite 3 and 4. PSA typically obtains specimens that it shares with OCME for analysis from individuals supervised by PSA and CSP.

Opioid Testing

- ✓ Studied fentanyl use among the lock-up population and defendants released to PSA supervision. Overall, 6.3 percent of this sample population tested positive for fentanyl (102 out of 1,631 samples). Of the 102 samples, 4.3 percent (20 out of 465) tested positive from the lock-up population while 7 percent (82 out of 1,166) tested positive from the surveillance population. Among the 102 samples, 65.7 percent (67 out of 102) involved the use of multiple drugs and 34.3 percent (35 out of 102) involved only fentanyl use. Of the 67 samples testing positive for multiple drugs, 34.3 percent tested positive for a combination of fentanyl and heroin use only. The results of this study, and one conducted in FY 2016, suggest that fentanyl use is occurring within the DC criminal justice population. At the present time, routine screening for fentanyl is not included in PSA's standard testing panel. As this study continues, OFTS will form recommendations for monitoring/testing for fentanyl use and other emerging substances.

STRATEGIC OBJECTIVE 3 – Appropriate Treatment

PROGRAM SUMMARY

PSA mitigates the risk of pretrial misconduct by providing appropriate substance use disorder, mental health, and social services interventions through direct care or referral to external providers.

PSA is committed to reducing drug-involved defendant rearrest and failure-to-appear rates through four core activities: 1) identifying and addressing illicit drug use, problematic alcohol use, and other criminogenic needs; 2) delivering and facilitating evidence-based substance use disorder treatment; 3) using motivational strategies and program incentives to encourage treatment initiation, engagement and retention; and 4) establishing swift and certain consequences for continued drug use.

Drug use and mental health issues can both contribute to public safety and flight risks. PSA has developed specialized supervision programs that include treatment as an essential component for defendants with substance use disorders, mental health disorders, or both (referred to as *dual diagnosis*). Treatment, for either substance use or mental health disorders, is provided as a supplement to – and never in lieu of – supervision. Just as defendants are assigned to supervision levels based on risk, they are assigned to supervision units that provide treatment based both on risk and need. Defendants placed in these programs have drug testing, contact, and other release conditions and are held accountable for compliance with the conditions.
Court-supervised, evidence-based treatment is one of the most effective tools for breaking the cycle of substance involvement and crime. In addition to public safety benefits, the community also benefits from the cost savings of providing supervision with appropriate treatment in lieu of incarceration. A study conducted by the Department of Justice found that drug courts significantly reduce drug use, crime, and costs.[5] PSA operates a model Drug Court and other sanction-based treatment programs, which utilize research-supported techniques as a mechanism for enhancing community safety.

PSA's specialized treatment and supervision programs offer defendants access to various treatment levels of care, modalities and interventions. Each unit provides centralized case management of defendants, with Drug Court also providing direct treatment services. This organizational structure facilitates specialized supervision practices and consistent responses to positive and problem behaviors, which lead to better interim outcomes for defendants. In addition to drug use, other factors such as unemployment, low educational attainment, and homelessness can contribute to criminal activity. PSA is looking to build relationships with a broad range of service providers to address needs that may affect criminal behavior or to provide support to defendants. Treatment and support services are provided in the following four areas:

[5] Rossman, S., Roman, J., Zweig, J., Rempel, M., & Lindquist, C., (2011). *The Multi-Site Adult Drug Court Evaluation: Executive Summary*. Urban Institute, June 1, 2011.

Substance Use Disorder:[6] PSA responds to drug use by referring defendants to appropriate internal or external treatment services. For certain categories of defendants, PSA provides both close supervision and in-house treatment. For others, PSA refers and places defendants in sanction-based residential treatment via contract-funded providers while continuing to provide supervision. If sanction-based treatment is not available or is not ordered by the Court, PSA provides supervision and refers defendants to community-based providers, as available. Community services are limited, however, and are not optimal for higher risk defendants who require close monitoring.

Social Services: Research supports the premise that employment can contribute to a reduction in recidivism. Recognizing this, PSA utilizes its Social Services and Assessment Center to coordinate referrals to external employment and social services for defendants on the *front end* of the criminal justice system and begin the process through which defendants may be able to secure gainful employment.

Peer Recovery Support: Research has demonstrated the utility of peer support networks (e.g., Alcoholics Anonymous) in helping to achieve treatment goals and initiate recovery. Government, research, and clinical professionals are coalescing around a Recovery-Oriented System of Care (ROSC) approach to substance use disorders and mental health-related public health issues. The ROSC views both substance use and mental health disorders recovery as best facilitated by a chronic care, community-centered approach that utilizes an array of professional, non-professional, and peer-related services that span a lifetime. PSA is actively involved in engaging defendants in a ROSC by introducing defendants to peer support groups during PSA in-house treatment, referring defendants to an array of community-based services that support recovery throughout supervision, and requiring peer support group participation for defendants in the final phase of in-house treatment.

Mental Health: Many defendants in the DC criminal justice population have mental health problems severe enough to affect their ability to appear in court and to remain arrest-free. A large number of these defendants are in need of substance use disorder treatment as well. PSA's Specialized Supervision Unit addresses the needs of this dually-diagnosed population by providing specialized supervision and by arranging for needed mental health and substance use disorder treatment services.

[6] American Psychiatric Association. (2013). *Diagnostic and Statistical Manual of Mental Disorders (DSM-5).* Substance use disorder in DSM-5 combines DSM-IV categories of substance abuse and substance dependence into a single disorder measured on a continuum from mild to severe. www.dsm5.org.

PERFORMANCE MEASURES

	Measures	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2018 - 2022 Target
3a.	Percentage of referred defendants who are assessed for substance use disorder treatment	96%	94%	91%	92%	93%	95%
3b.	Percentage of eligible assessed defendants placed in substance use disorder treatment programs[1]	52%	40%	49%	49%	53%	50%
3c.	Percentage of defendants who have a reduction in drug usage following placement in a sanction-based treatment program	83%	85%	91%	84%	85%	74%
3d.	Percentage of referred defendants who are assessed or screened for mental health treatment	96%	96%	84%	89%	95%	95%
3e.	Percentage of service-eligible assessed defendants connected to mental health services	88%	85%	91%	84%	88%	80%

[1] A relatively low placement target has been established due to the voluntary nature of substance use disorder treatment and other defendant-specific factors that complicate or delay placement.

FY 2017 ACCOMPLISHMENTS

✓ Priority Goal 3: Expanding Treatment Services – Access to the Drug Court Program was expanded to defendants with drug-related traffic and domestic violence cases from the DC Office of the Attorney General (OAG). PSA also partnered with DC Superior Court (DCSC) and OAG to expand treatment services and specialized supervision opportunities with the Mental Health Community Court (MHCC) to defendants with behavioral health diagnosis who are charged with low level misdemeanors. Referral protocols were drafted to expand access to trauma groups for defendants assigned to general supervision units with self-reported incidents of trauma.

✓ Partnered with the Criminal Justice Coordinating Council's Substance Abuse Treatment and Mental Health Services Integration Taskforce (SATMHSIT) to:

- improve the treatment options available to defendants with mental illness and/or co-occurring substance use disorder issues;
- target specific populations for treatment and diversion opportunities;
- establish a uniform consent form for the release of protected health information to improve communication among entities responsible for providing and coordinating mental health and substance use services; and
- improve continuity of care for individuals moving between incarceration and the community.

- ✓ Partnered with the DC Department of Behavioral Health to improve service delivery to defendants diagnosed with mental illness through the establishment of a Sequential Intercept Model which provides a conceptual framework for communities to organize targeted strategies for justice-involved individuals with behavioral health disorders.

- ✓ Continued to provide defendants with services through the in-house intensive outpatient co-occurring Building Bridges Program.

- ✓ Sixty-three (63) defendants successfully graduated from Drug Court, with 43 defendants charged with misdemeanors having their cases nolled[7] due to participation.

- ✓ Continued collaboration with the DC Superior Court Mental Health Community Court Program, resulting in 131 defendants successfully completing the diversion program.

- ✓ Facilitated Mental Health First Aid (MHFA) training for 101 employees within the Agency. Staff received training to learn risk factors and warning signs for mental health and addiction concerns, strategies for helping someone in both crisis and non-crisis situations, and where to turn for help.

- ✓ Conducted 2,483 mental health assessments, 1,169 alcohol assessments, and 2,862 substance use disorder assessments for defendants under pretrial supervision.

[7] Nolled refers to the Latin term *nolle prosequi* which means "no longer prosecute".

SUPPORTING MATERIALS

USING EVIDENCE AND EVALUATION TO IMPROVE OUTCOMES

PSA's Evidence and Evaluation agenda supports the Agency's larger strategic framework and also helps to achieve several strategic goals and objectives. PSA has identified three key projects for FY 2018:

Revalidation of PSA Risk Assessment Instrument

PSA implemented its research-validated risk assessment during FY 2014. In FY 2015, PSA contracted with the assessment's developer to examine the results of data from the first year of use, including re-evaluation of the cut-off points used for risk designations (very low, low, medium, high, and very high) and the effects of potential alternate scoring options for several risk factors. The contractor made several suggestions regarding changes to certain risk factor scoring and the proper use of the models that predict the likelihood of specific types of pretrial rearrest. PSA began implementing recommended changes to scoring the global appearance, global rearrest, dangerous and violent rearrest and domestic violence rearrest models in FY 2016 and continued with this effort in FY 2017.

PSA plans to revalidate its risk assessment through independent contracted services to ensure the assessment has retained its predictive validity and to enhance its accuracy and consistency. PSA will use the revalidation to look at several additional issues, such as: 1) whether additional dynamic factors should be considered, and if so, whether PSA would benefit from re-assessing risk for defendants at regular intervals during the supervision period; 2) the extent to which PSA's current assessment is free of predictive bias and yields average score differences between different groups based on race and gender (or other demographic characteristics available within the data set) and make recommendations to minimize and/or eliminate any identified biases; 3) whether defendants supervised on firearms-related charges present any increased risk of pretrial misconduct and if so, what type; 4) whether defendants who have tested positive for synthetic drugs present any increased risk of pretrial misconduct and, if so, what type; and 5) whether PSA's multi-dimensional release condition recommendation matrix is appropriate and aligns with results of the revalidation study.

Initial Detention and Subsequent Release Report

PSA will examine trends associated with defendants that are detained at first appearance and subsequently released to PSA's supervision or on personal recognizance without supervision. The FY 2015 report found that in the DC Superior Court cases, 55.8 percent of initially detained defendants were subsequently released, with just over 95 percent released to PSA's supervision. This represented a slight decrease compared to FY 2014 which showed a release rate of 56.5 percent with 95 percent released to PSA. The examination also found that about 64 percent of releases occur within seven days of initial detention. This report is biannual and PSA will review and report on FY 2016 and FY 2017 during FY 2018.

Judicial Survey

In May 2017, PSA received OMB approval through the Information Collection Request (ICR) process to collect generic information through the period ending May 2020. With this approval, PSA plans to administer a survey to gauge feedback and satisfaction with PSA services from the judicial officers. PSA also plans to conduct expanded focus group and brief surveys with defendants in its treatment and supervision programs.

MANAGEMENT AND ADMINISTRATION

Government Reform Planning and Reporting

In accordance with OMB Memorandum M-17-22, *Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Workforce,* issued April 12, 2017, PSA submitted an Agency Reform Plan on June 30, 2017, along with a plan to maximize employee performance, and addressed near-term workforce reduction actions. OMB feedback stated that PSA's plan to maximize employee performance met the requirements outlined in M-17-22 and requested periodic updates.

Strategic Human Capital Management

- ✓ Institutionalized the *Wellness Works Program* in support of the Presidential Memorandum on "Enhancing Workplace Flexibilities and Work Life Programs." The program promotes a culture of overall health and wellbeing and enhances productivity and morale by allowing employees excused absences to participate in fitness/wellness activities.

- ✓ Continued to participate on the Hispanic Employees Program Committee and the Diversity and Inclusion Council to support the Agency's vision of thriving as a leader through a diverse, inclusive and empowered workforce. In consultation with the Committee, added questions to the Agency's exit interview to solicit employees' perceptions on support for diversity and inclusion. The Council updated the Agency's Diversity and Inclusion Plan and expanded the use of contracted translation services. The Office of Training and Career Development sponsored several "Chat and Chew" sessions to promote discussion around sensitive diversity and inclusion topics.

- ✓ Continued to manage a Training and Career Development program committed to developing a workforce capable of effectively responding to current and future demands in administering pretrial services and creating a work environment that promotes inclusiveness and growth:
  - PSA employees completed 21,324 hours of training to include on-line courses, instructor-led courses, forums, shadowing and on-the-job instruction.
  - Implemented an employee developmental opportunity using temporary assignments in senior leadership positions. Detailees were selected through a competitive process and were provided opportunities to perform in these roles for periods ranging from 45 days to one year.
  - Expanded the Susan Shaffer Leadership Academy to include participation by CSP employees and to employees at the GS-9 level and below. In FY 2015, PSA launched this

academy which was originally designed to promote career development for employees at the GS-7 level and below. Program participants are selected through a competitive process and exposed to activities intended to increase self-awareness and prepare them for more challenging assignments. They have the opportunity to participate in high visibility activities and interact with senior leaders. Four PSA and six CSP employees completed this program successfully.

- Three employees participated in formal career developmental programs at Graduate School USA: two in the Executive Leadership Program and one in the Executive Potential Program.
- Three supervisory employees participated in a 12-month executive coaching program.

Information Technology

✓ Created a Case Management Monitoring dashboard to enable managers to monitor caseloads, workload and events. Users can see the number of supervised defendants by program, team, PSO and risk level; and the number of activities (supervision log, criminal history review, check-ins, response to conduct, drug test, etc.) conducted by team, type, defendant, PSO, and date.

✓ Completed a quality review of the Performance Improvement Center (PIC) data warehouse. Reviewed and validated all structured query language (SQL) scripts used to calculate agency outcome and performance measures to ensure accuracy and integrity.

✓ Collaborated with the electronic monitoring services contractor to develop a real-time interface between the PRISM client management system and the contractor's system for receiving electronic monitoring and GPS data.

✓ Successfully implemented the ForeScout CounterACT compliance tool to enforce network access control policies on servers, desktop computers, and laptops. ForeScout is configured to deny network access to rogue devices and devices that have not met access control policies and move vulnerable endpoints to a quarantine Virtual LAN (VLAN) for remediation.

✓ Conducted the following activities to ensure Section 508 compliance[8]:

- provided awareness training for agency leadership;
- designated a Section 508 coordinator;
- developed policy;
- provided guidelines to IT staff for acquisition planning; and
- established requirements for PSA staff.

[8] In 1998, Congress amended the Rehabilitation Act of 1973 to require Federal agencies to make their electronic and information technology (EIT) accessible to people with disabilities. The law (29 U.S.C. § 794 (d)) applies to all Federal agencies when they develop, procure, maintain, or use electronic and information technology. Under Section 508, agencies must give disabled employees and members of the public access to information that is comparable to the access available to others.

Agency Priority Goal 4: Records Management Infrastructure Development

- ✓ Compiled former executive employees' email accounts in preparation for transfer to the National Archives and Records Administration (NARA) for permanent retention;
- ✓ Identified records of former employees dating back to 2000 for disposition;
- ✓ Developed an online mandatory annual records management training;
- ✓ Conducted quarterly meetings with PSA offices to address issues and file plan maintenance;
- ✓ Held an Agency-wide records clean-up day to identify and dispose of records that surpassed designated retention periods;
- ✓ Established procedures to arrange electronic records to ease future on-time disposition; and
- ✓ Modified procedures for identifying, boxing, and transferring defendants' closed cases to NARA.
- ✓ Acquired the add-on piece for SharePoint to be used as PSA's official Electronic Document Records Management System when fully implemented. This application will enable full lifecycle management of electronic records and email.
- ✓ Certified a records management official within one year of hire based on NARA standards and the Executive order, M-12-18.

Financial Statement Audit

- ✓ Achieved an *unmodified* (clean) opinion on the FY 2017 financial statements. The independent auditing firm Williams, Adley & Company-DC, LLC found two material weaknesses and one significant deficiency on the CSOSA/PSA combined statements. PSA has developed/executed a plan of action to resolve issues specific to its financial records.

Improper Payments Reporting

- ✓ Conducted a review of programs and activities to determine susceptibility to improper payments in accordance with the Improper Payments Information Act of 2002, as amended by the Improper Payments Elimination and Recovery Act of 2010. Given the inherent risks of the programs, internal controls, the results of prior financial audits, and PSA internal testing of its FY 2017 payment transactions, PSA has determined its programs are not susceptible to significant improper payments.

Data Act Implementation

- ✓ In accordance with OMB Memorandum M-15-12, *Increasing Transparency of Federal Spending by Making Federal Spending Data Accessible, Searchable, and Reliable*, issued May 8, 2015, CSP and PSA continue to work with their Federal Shared Service Provider (DOI Interior Business Center) and participate in meetings led by OMB, Treasury or the Small Agency Council concerning DATA Act requirements and implementation. CSOSA completed the first DATA Act submission for FY 2017 second quarter by the April 30, 2017 deadline and also met the requirements for the subsequent third and fourth quarters' reporting.

BUDGET DISPLAYS

SALARIES and EXPENSES
SUMMARY OF REQUIREMENTS by GRADE and OBJECT CLASS
(Dollars in Thousands)

	FY 2017 Actual		FY 2018[1] Projected		FY 2019 PB		FY 2018 to FY 2019 Variance		FY 2017 Two-Year[2] Synthetics Drug Testing - IT Upgrade	
Grade	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
SES	2	356	3	550	3	550	0	0	0	0
GS-15	7	1,136	10	1,651	10	1,648	0	-3	0	0
GS-14	31	4,040	31	4,110	30	3,970	-1	-140	0	0
GS-13	62	6,838	62	6,956	63	7,056	1	100	0	0
GS-12	171	15,860	168	15,852	167	15,728	-1	-124	0	0
GS-11	5	387	8	630	5	393	-3	-237	0	0
GS-09	12	790	11	737	19	1,270	8	533	0	0
GS-08	6	368	10	624	6	374	-4	-250	0	0
GS-07	30	1,753	33	1,962	29	1,721	-4	-241	0	0
GS-06	9	486	7	384	9	493	2	109	0	0
GS-05	5	255	7	362	9	465	2	103	0	0
Total Appropriated FTE	**340**	**32,269**	**350**	**33,818**	**350**	**33,668**	**0**	**-150**	**0**	**0**
Object Class										
11.1 Full-time Permanent	**340**	**32,269**	**350**	**33,743**	**350**	**33,593**	**0**	**-150**	**0**	**0**
11.3 Other than Full-time Permanent	0	0	0	75	0	75	0	0	0	0
11.5 Other Personnel Compensation	0	847	0	318	0	282	0	-36	0	0
12.0 Personnel Benefits	0	14,832	0	15,400	0	15,591	0	191	0	0
Personnel Costs	**340**	**47,948**	**350**	**49,536**	**350**	**49,541**	**0**	**5**	**0**	**0**
21.0 Travel and Transportation of Persons		58		50		52		2		0
22.0 Transportation of Things		0		0		0		0		0
23.1 Rental Payments to GSA		3,077		3,056		8,197		5,141		0
23.2 Rental Payments to Others		1,922		1,913		2,890		977		0
23.3 Communications, Utilities & Misc. Charges		750		747		832		85		0
24.0 Printing and Reproduction		19		8		9		1		0
25.1 Advisory and Assistance Services		509		115		514		399		10
25.2 Other Services from non-Federal Sources		6,172		4,885		5,564		679		80
25.3 Other Goods/Services from Federal Sources		1,291		1,366		1,492		126		0
25.4 Operation and Maintenance of Facilities		114		70		72		2		0
25.7 Operation and Maintenance of Equipment		321		409		392		-17		0
26.0 Supplies and Materials		580		586		607		21		0
31.0 Equipment		574		315		3,396		3,081		0
32.0 Land and Structures		0		0		0		0		0
43.0 Interest		0		0		0		0		0
Non-Personnel Costs		**15,387**		**13,520**		**24,017**		**10,497**		**90**
TOTAL	**340**	**63,335**	**350**	**63,056**	**350**	**73,558**	**0**	**10,502**	**0**	**90**

[1]FY 2018 Projected does not include $1,710,483 in planned obligations from unbligated FY 2017 Enacted budget authority. FY 2017 Enacted (PL 115-31) provides authority for up to $1,800,000 to remain available until September 30, 2018, for information technology (IT) requirements associated with the establishment of a comprehensive in-house synthetics testing program. The $1,800,000 was processed as a non-expenditure transfer.

[2]PSA obligated $89,517 in FY 2017 and plans to obligate the remaining $1,710,483 in two-year budget authority provided by PL 115-31 in FY 2018. This funding is for IT requirements related to the synthetic testing program.

FY 2019 REQUESTED PROGRAM CHANGE (LEASE REPLACEMENT PROSPECTUS)
SALARIES and EXPENSES
SUMMARY OF REQUIREMENTS by GRADE and OBJECT CLASS
(Dollars in Thousands)

	FY 2019 Request	
Grade	**FTE**	**Amount**
GS-15	0	0
GS-14	0	0
GS-13	0	0
GS-12	0	0
GS-11	0	0
GS-10	0	0
GS-09	0	0
GS-08	0	0
GS-07	0	0
GS-06	0	0
GS-05	0	0
Total	**0**	**0**
Object Class		
11.1 Full Time Permanent	0	0
11.3 Other Than Full Time Permanent	0	0
11.5 Other Personnel Compensation	0	0
12.0 Personnel Benefits	0	0
Total Personnel Costs	**0**	**0**
21.0 Travel and Transportation of Persons		0
22.0 Transportation of Things		0
23.1 Rental Payments to GSA		5,127
23.2 Rental Payments to Others		943
23.3 Communications, Utilities, and Misc. Charges		0
24.0 Printing and Reproduction		0
25.1 Advisory and Assistance Services		395
25.2 Other Services from non-Federal Sources		0
25.3 Other Goods/Services from Federal Sources		0
25.4 Operation and Maintenance of Facilities		0
25.7 Operation and Maintenance of Equipment		0
26.0 Supplies and Materials		0
31.0 Furniture and Equipment		839
32.0 Land and Structures		0
Total Non-Personnel Costs		**7,304**
TOTAL	**0**	**7,304**

FY 2019 REQUESTED PROGRAM CHANGE (PRISM Modernization)

SALARIES and EXPENSES

SUMMARY OF REQUIREMENTS by GRADE and OBJECT CLASS

(Dollars in Thousands)

	FY 2019 Request	
Grade	**FTE**	**Amount**
GS-15	0	0
GS-14	0	0
GS-13	0	0
GS-12	0	0
GS-11	0	0
GS-10	0	0
GS-09	0	0
GS-08	0	0
GS-07	0	0
GS-06	0	0
GS-05	0	0
Total	**0**	**0**
Object Class		
11.1 Full Time Permanent	0	0
11.3 Other Than Full Time Permanent	0	0
11.5 Other Personnel Compensation	0	0
12.0 Personnel Benefits	0	0
Total Personnel Costs	**0**	**0**
21.0 Travel and Transportation of Persons		0
22.0 Transportation of Things		0
23.1 Rental Payments to GSA		0
23.2 Rental Payments to Others		0
23.3 Communications, Utilities, and Misc. Charges		0
24.0 Printing and Reproduction		0
25.1 Advisory and Assistance Services		0
25.2 Other Services from non-Federal Sources		0
25.3 Other Goods/Services from Federal Sources		0
25.4 Operation and Maintenance of Facilities		0
25.7 Operation and Maintenance of Equipment		0
26.0 Supplies and Materials		0
31.0 Furniture and Equipment		2,286
32.0 Land and Structures		0
Total Non-Personnel Costs		**2,286**
TOTAL	**0**	**2,286**