

Pretrial Services Agency
for the District of Columbia



**Congressional Budget Justification and
Performance Budget Request
Fiscal Year 2021**

February 10, 2020

LEADERSHIP

Executive Management

Leslie C. Cooper, Esq.
Director

Victor V. Davis, Esq.
Chief of Staff

Vacant
Assistant Director, Management and Administration

Vacant
Assistant Director, Defendant Engagement and System Support

Hala Maktabi, Ph.D.
Deputy Assistant Director, Office of Planning, Policy and Analysis / Agency Performance Improvement Officer

Najuma E. Lake
Deputy Assistant Director, Office of Human Capital Management

Carolyn J. Sanders
Deputy Assistant Director, Office of Information Technology

Felix K. Adatsi, Ph.D.
Interim Deputy Assistant Director, Office of Forensic Toxicology Services

Claire J. Fay
Deputy Assistant Director, Office of Justice and Community Relations

Wendy L. Miller
Deputy Assistant Director, Office of Finance and Administration

Executive Committee

Honorable Anna Blackburne-Rigsby, Chair
Chief Judge, District of Columbia Court of Appeals

Honorable Merrick B. Garland
Chief Judge, United States Court of Appeals for the District of Columbia Circuit

Honorable Beryl A. Howell
Chief Judge, United States District Court for the District of Columbia

Honorable Robert E. Morin
Chief Judge, Superior Court for the District of Columbia

Honorable Richard S. Tischner
Director, Court Services and Offender Supervision Agency for the District of Columbia

Honorable Jessie K. Liu
United States Attorney for the District of Columbia

Avis E. Buchanan, Esq.
Director, Public Defender Service for the District of Columbia

TABLE OF CONTENTS

AGENCY OVERVIEW	1
FISCAL YEAR 2021 PRESIDENT’S BUDGET	3
ORGANIZATIONAL STRUCTURE.....	6
PSA STRATEGIC FRAMEWORK.....	10
PROGRAM PERFORMANCE.....	12
RESOURCE REQUIREMENTS BY STRATEGIC GOAL	25
SUPPORTING MATERIALS	26
BUDGET DISPLAYS.....	28
APPENDIX A	30

AGENCY OVERVIEW

The mission of the Pretrial Services Agency for the District of Columbia (PSA) is to promote pretrial justice and enhance community safety. In fulfilling this mission, PSA assists judicial officers in both the Superior Court of the District of Columbia (DCSC) and the United States District Court for the District of Columbia (USDC) 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 intended to 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 1967.¹ 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.²

The District of Columbia (DC or 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 includes a presumption in favor of pretrial release for all non-capital defendants, emphasizes the use of least restrictive release conditions for eligible defendants, provides an option of preventive detention for those who pose an unacceptable risk to the community, and limits the use of money-based detention. PSA employs evidence-based practices to help judicial officers in the District of Columbia local and Federal courts make appropriate and effective bail decisions.

PSA’s efforts focus on creating a customer-centric culture that meets the needs of the judges, protects the rights of defendants and remains cognizant of the Agency’s responsibility to the DC community. The result is enhanced public safety, a fairer and more effective system of release and detention, and judicious use of jail resources.

During FY 2019, PSA supervised over 12,700 defendants on pretrial release, which corresponds to an average of 3,406 defendants on any given day. PSA served an additional 21,705 defendants by providing services such as court date notification and criminal history checks for persons who were released on citation or personal recognizance, or whose charges were dismissed. Overall, PSA served more than 34,000 defendants during this period. Additionally, PSA conducted drug testing for 11,994 non-defendants.

PSA’s current caseloads include individuals being supervised on a full range of charges, from misdemeanor property offenses to felony murder. The vast majority of defendants (97 percent) are awaiting trial in DCSC, with a smaller number (3 percent) awaiting trial in USDC. On average, defendants remained under supervision for 97 days. During this period, PSA administered evidence-

¹ (<https://beta.code.dccouncil.us/dc/council/code/titles/23/chapters/13/>, n.d.)

² (<https://www.congress.gov/bill/105th-congress/house-bill/1963>, n.d.)

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

While serving the District of Columbia for over 50 years, PSA's drug testing and innovative supervision and treatment programs have become recognized as models for the field of pretrial justice. 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 criminal 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 the Agency's stewardship.

The number of requests as well as the size of groups coming to visit DC has increased consistently in recent years. Domestic visitors tend to focus more on understanding the technical aspects of how to replicate certain operations, particularly risk assessment. International visitors generally 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. Most recently, PSA has hosted delegations from California, Massachusetts, New York, Ohio, Ivory Coast, and Nigeria, which have included senior government officials, policy advisors, researchers, and practitioners.

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. Each year PSA conducts over 2 million drug tests on over 221,000 urine or oral fluid specimens collected from persons on pretrial, probation, parole, and supervised release, as well as for select persons with matters pending in the DCSC'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 also plays a vital role in supplying the District of Columbia public health and public safety communities with information on emerging trends related to drug use within the criminal and juvenile justice systems.

FISCAL YEAR 2021 PRESIDENT'S BUDGET

PSA's 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.

PSA's *FY 2021 President's Budget* is \$67,202,000, including 325 FTE, a net decrease of \$257,000, or 4 percent, below the FY 2020 Enacted Budget. The request consists of a net decrease of \$716,000 in changes to base and an increase of \$459,000 in program changes.

Pretrial Services Agency for the District of Columbia				
Summary of Change				
Fiscal Year 2021				
	FTE	Annual Amount \$(000)	Three-Year Amount \$(000)	Total Appropriation Amount \$(000)
FY 2019 Enacted Budget	325	66,254	7,304	73,558
FY 2020 President's Budget	325	66,461	998	67,459
Changes to Base:				
FY 2020/2022 Non-recurring Resources in FY 2021 ¹			(998)	(998)
Adjustments to FY 2021 Base	-	282		282
Sub-Total, Changes to Base	-	282	(998)	(716)
FY 2021 Base	325	66,743	-	66,743
Requested Program Changes				
FY 2021/2023 Lease Replacement Prospectus ²			459	459
Sub-Total, Requested Program Changes			459	459
FY 2021 President's Budget	325	66,743	459	67,202
Increase (Decrease) versus FY 2020 Enacted:	-	282	(539)	(257)
Percent Increase (Decrease) versus FY 2020 Enacted:	0.0%	0.4%	-	-0.4%

¹ Reduction of \$998,000 in non-recurring three-year FY 2020/2022 funding associated with the Lease Replacement Prospectus.

² Three-year 2021/2023 funding is requested to fund the remainder of costs associated with the Lease Replacement Prospectus.

PROGRAM JUSTIFICATION CHANGES

Requested Program Changes: \$459,000 0 FTE

	Funding	FTE
FY 2021/2023 Replacement Lease Prospectus	\$459,000	0

Replacement Lease Prospectus +\$459,000 0 FTE

PSA requests \$459,000 in three-year funding (FY 2021-2023) for cost increases associated with Prospectus Number PDC-12-WA19, which was submitted to Congress by 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. This funding will be used in conjunction with three-year (FY 2019-2021) funding in the FY 2019 Enacted budget (\$7,304,000) and three-year (FY 2020-2022) funding in the FY 2020 Enacted budget (\$998,000), to support PSA’s relocation of the Headquarters locations at 601 and 633 Indiana Avenue, NW, and 1025 F Street, NW.

In May 2019, PSA received a revised Move and Replication Cost Estimate from GSA that was significantly higher than the original cost estimate on which PSA based its FY 2019 and FY 2020 budget requests.

Below is a comparison between the total funding requested in FY 2019 and FY 2020 and the new cost estimate requested in FY 2021.

Justification for Program Increase Replacement Lease Prospectus Management Objective 1 – Effective Agency Administration		
	FTE	Estimated Funding
Revised Total Estimated Cost	0	<u>\$8,761,000</u>
FY 2019 Appropriated Funding	0	\$7,304,000
FY 2020 Appropriated Funding	0	\$998,000
Total Funding Appropriated	0	<u>\$8,302,000</u>
Total Requested Program Increase¹	0	\$459,000

¹ Appendix A at the end of this document contains a detailed crosswalk between the previous estimated costs for the project and the revised May 2019 cost estimate.

The factors driving the increase include: (1) an increase in rentable space of approximately 2,000 usable square feet that was added to the cost estimate; (2) an increase in the cost per square foot or per unit for some cost program areas; and (3) additional costs that were not included in the original estimate.

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. PSA opted to include the leases at 1025 F Street, NW, and 601 Indiana Avenue, NW, in the prospectus because these leases expire within one 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 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. The Committee on Transportation and Infrastructure of the U. S. House of Representatives adopted a Committee Resolution on September 27, 2018, authorizing appropriations for a new lease as proposed in the prospectus. GSA advised PSA that one resolution generally allows them to start initial procurement activities which they have done. Senate approval is pending and is required before GSA can issue the final award. The Request for Lease Proposal closed to potential bidders on July 10, 2019, and contract award for the new space is anticipated in FY 2020.

ORGANIZATIONAL STRUCTURE

PSA's organizational structure supports the Agency in operating programs that provide an array of services to DCSC, USDC and the defendants under PSA's supervision.

DIAGNOSTIC SERVICES

The **Diagnostic Unit** interviews and reviews the criminal history of defendants arrested and charged with certain DC Code offenses and US Code offenses in the DCSC. This information is used to assess each defendant's likelihood of appearing in court when required and remaining arrest-free while awaiting trial. This is called a "risk assessment."

PSA then recommends to the court what, if any, release conditions can be ordered that will reasonably assure a defendant's appearance in court and public safety.

DRUG TESTING SERVICES

PSA operates a comprehensive drug testing program for pretrial defendants, as well as individuals supervised by Community Supervision Program (CSP) and certain juveniles and respondents with cases in DCSC Family Court.

The **Drug Testing Unit (DTU)** collects urine and oral fluid samples from PSA defendants and Family Court juveniles and respondents.

The **Office of Forensic Toxicology Services (OFTS)** performs urine or oral fluid screening for offender and defendant samples for up to 36 illicit substances: Marijuana, PCP, Opiates (codeine/morphine; oxycodone/oxymorphone; hydrocodone/hydromorphone), Methadone, Cocaine, Alcohol, Heroin, Amphetamines (methamphetamine/amphetamine; MDMA/MDA), and Synthetic Cannabinoids (20 analytes). In addition, samples are tested for Creatinine levels to determine sample validity and for Ethyl Glucuronide (EtG) to confirm alcohol use. OFTS uses gas chromatograph/mass spectrometry (GC-MS) to confirm test results and is in the process of introducing liquid chromatography with tandem mass spectrometry (LC-MS-MS) to enhance PSA's ability to test for synthetic compounds. Toxicologists conduct levels analyses to distinguish new use from residual use to provide timely and accurate results for pretrial and other judicial decision-making.

OFTS also conducts forensic research that leads directly to practical enhancements in drug testing, improves strategies in surveillance monitoring, reveals trends in emerging new drug use, develop bi-directional partnerships with the scientific and social research community, and introduces new technologies that improve efficiency and provide critical evidence to support future decision making.

SUPERVISION SERVICES

Immediately after defendants are released, they report to the **Release Services Unit** to review conditions of release. This engagement helps support the transition to supervision and compliance with the court's expectations.

PSA supervises the majority of defendants awaiting trial or sentencing in DCSC and USDC. This includes monitoring defendants' compliance with release conditions and reporting this information to the courts.

Common supervision requirements include reporting to a Pretrial Services Officer (PSO), drug testing, and curfew or electronic monitoring. PSA's supervision components include the **General Supervision Unit, Electronic Monitoring Supervision Unit, and Traffic Safety and Supervision Unit.**

TREATMENT INTERVENTION AND SUPPORT SERVICES

PSA also operates supervision programs designed for defendants with substance use disorders and/or mental health treatment needs.

The **Social Services and Assessment Center (SSAC)** assesses defendants' treatment needs and assists PSOs in making appropriate referrals for treatment services. The SSAC serves as a repository for information on community resources and helps connect defendants with needed social services.

The **Drug Court** is a substance use disorder treatment and supervision program for defendants charged with misdemeanors and non-violent felonies. Participants receive appropriate treatment and, upon completion of the program, may have misdemeanor charges dismissed or receive favorable sentencing or reduction of felony charges.

Drug Court is a collaboration amongst the DCSC, United States Attorney's Office for the District of Columbia (USAO), Office of the Attorney General for the District of Columbia (OAG), Public Defender Service for the District of Columbia (PDS) and PSA. Through Drug Court, the judiciary, prosecutor, defense attorney and PSA work together to help defendants achieve sobriety and become law-abiding citizens. PSA's Drug Court team uses innovative case management, referrals to appropriate treatment, and recovery-focused incentives and sanctions to support the rehabilitative process.

During the program, participants have immediate access to substance use disorder treatment and receive specialized care, including gender-specific groups and individual and group therapy for trauma-impacted individuals.

The **Specialized Supervision Unit (SSU)** provides services to defendants with mental health or a combination of substance use disorder and mental health treatment needs to assist them in meeting pretrial obligations.

The SSU plays a vital role in supporting the Mental Health Community Court (MHCC), which is a partnership amongst DCSC, OAG, USAO, local defense bar and PSA, 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.

MANAGEMENT, PROGRAM DEVELOPMENT AND ADMINISTRATIVE SUPPORT

The following components within the Agency provide management, administration services, program development, and frontline operations support:³

JUSTICE AND COMMUNITY RELATIONS

The **Office of Justice and Community Relations** establishes and maintains partnerships with judicial system partners, other government and non-profit entities, 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. It is through these partnerships that PSA can effectuate close supervision to reasonably assure that defendants will return to court and not endanger the community while on pretrial release. In addition, treatment and social service options are developed and/or expanded to address the social problems that contribute to criminal behavior.

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 control, 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 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, systems and management training; performs training needs assessments; develops curricula; and prepares,

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

presents, procures and administers training courses. TCDC also offers formal developmental programs and training 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) was established in November 2017 with the mission of using evidence-based approaches to inform planning, policy and operations. OPPA, in close partnership with other PSA offices, supports the achievement of the Agency's mission by administering a range of functions, including strategic planning, budget formulation, policy development, evidence-based analyses, and Agency performance improvement. Notably, OPPA ensures accurate reporting of agency performance measures among other mission-critical analytical functions for offices across the agency. OPPA's Deputy Assistant Director serves as PSA's Performance Improvement Officer.

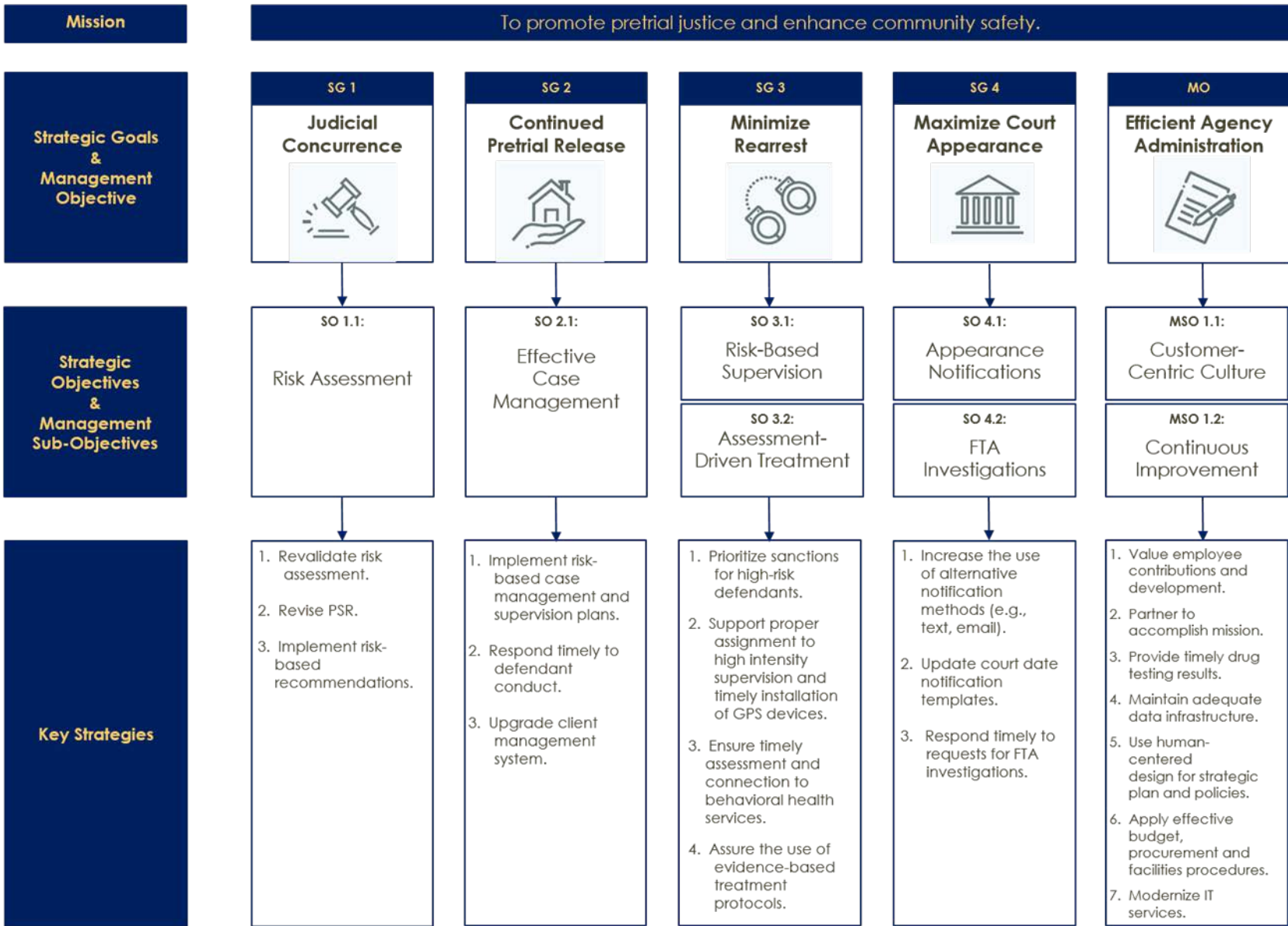
PSA STRATEGIC FRAMEWORK

PSA's strategic plan is the foundation upon which the Agency sets outcome-oriented goals, determines actions to achieve the goals, and mobilizes resources to execute the actions. It is based on a clear mission and sets forth a framework of priorities and objectives that cascade throughout all levels of the Agency to guide its work of promoting pretrial justice and enhancing community safety while striving for efficient Agency administration.

PSA's FY 2018-2022 strategic plan is comprised of four strategic goals and one management objective that outline the long-term outcomes the Agency plans to achieve. Four strategic goals focus on effectiveness of mission accomplishment, and one management objective focuses on efficiency of Agency administration (refer to figure on next page). The four strategic goals are supported by specific objectives that target Agency progress. Key strategies outline how the Agency will achieve its objectives, and the performance indicators measure the impact of progress towards Agency goals.





The cascading structure of PSA's strategic plan from strategic goals down to performance indicators provides leading and lagging indicators of Agency performance. This allows PSA to proactively monitor performance at various organizational levels and adjust direction towards achieving Agency goals.

PSA 2018 – 2022 STRATEGIC PLAN



PROGRAM PERFORMANCE

Through the successful fulfillment of its mission, PSA continued to meet or exceed the performance targets for its strategic goal performance indicators⁴ in FY 2019, with the exception of strategic goal 3, which was within one percentage point of its performance target.

Performance Indicator Area	Indicator Description	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2018-2022 Target
Strategic Goal 1	Judicial Concurrence with PSA Recommendation	N/A	72%	76%	81%	78% 	70%
Strategic Goal 2	Continued Pretrial Release	88%	88%	87%	85%	87% 	85%
Strategic Goal 3	Arrest Free Rate	89%	88%	86%	87%	87% 	88%
	(Violent Crimes)	98%	98%	99%	99%	99%	97%
Strategic Goal 4	Court Appearance Rate	88%	91%	88%	89%	88% 	87%

In FY 2019, PSA made significant contributions in advancing its mission of promoting pretrial justice and enhancing community safety. Highlights of key Agency accomplishments in the areas of supporting judicial decision-making, enhancing drug testing, defendant supervision, and prosocial-interventions follow:

FY 2019 KEY AGENCY ACCOMPLISHMENTS

A. Supporting Judicial Decision-Making

1. *Implemented revised Pretrial Services Report (PSR) at USDC*

To better support appropriate release and detention decisions, PSA collaborated with the US District Court magistrate judges to re-design the PSR. The PSR provides much of the information judicial officers use to determine a defendant's risk to the community and the appropriate level of supervision, when applicable. The PSR was modified to include an executive summary to provide judges, at a glance, a complete overview of a defendant's risk level, criminal history, and compliance with supervision, when applicable. In October 2018, PSA implemented the revised PSR in USDC. The revised PSR improved judicial officer experience and maximizes the report's potential to support informed judicial decisions.

⁴ Starting in FY 2019, PSA began including District of Columbia Criminal (CDC) and Criminal Traffic (CTF) cases without extensive release conditions in calculation of performance metrics.

2. *Implemented revalidated risk assessment instrument*

In FY 2018, PSA completed revalidation of the risk assessment instrument to ensure continued accuracy and validity of the instrument. The revalidation confirmed that the instrument continues to effectively predict risk among adult defendants awaiting trial in DC. However, a slightly revised estimation methodology was implemented to improve the instrument's predictive efficacy and mitigate the minimal predictive bias in the instrument.

In FY 2019, PSA implemented the revalidated risk assessment instrument. By revalidating its risk assessment instrument, PSA ensures that the instrument continues to provide evidence-based support for judicial decision-making.

B. Enhancing Drug Testing

1. *Successfully maintained Forensic Toxicology Laboratory CLIA certification*

PSA successfully maintained US Department of Health and Human Services Clinical Laboratory Improvement Amendments (CLIA) program certification for its two forensic toxicology laboratories. The objective of the CLIA program is to ensure quality laboratory testing. The CLIA inspection entails the examination of all laboratory records to include validity studies, preventative maintenance of all instrumentation, proper staff training, and the quality assurance program, participation in outside proficiency testing, accurate testing results, and compliance of all CLIA regulations. During the inspection in November 2018, CLIA found both laboratories to be in compliance with CLIA regulations and re-certified both laboratories for the next two years.

In addition, PSA successfully participated in the American Association of Bioanalysts (AAB) surveys and College of American Pathologist (CAP) proficiency testing programs, which allow PSA's drug testing laboratory to maintain its CLIA certification and validates OFTS' ability to accurately detect and quantify drug testing results.

2. *Expanded ability to record results from tests for multiple drugs*

To improve its detection of new and emerging drugs, particularly synthetic opioids that include Fentanyl, PSA completed an upgrade of its Drug Testing Management System to expand the Agency's ability to record test results for additional substances beyond its current testing panel. This upgrade has enabled the Agency to keep abreast of new drug abuse trends.

C. Enhancing Defendant Supervision

1. *Improving court notifications*

In order to minimize failures to appear, PSA notifies defendants of future court dates. During the last strategic period, PSA expanded its notification process by adding an electronic option to improve timeliness of these reminders. To further improve court notifications, PSA partnered with The Lab @ DC, a research team based in the District of Columbia's Office of the City

Administrator, on a behavioral science randomized evaluation to explore reasons for failure to appear and to re-design PSA notifications to more effectively remind defendants of their court dates. On February 13, 2019, PSA and the Office of the City Administrator signed the Data Use Agreement officially launching this Federal-DC partnership.

D. Enhancing Prosocial Services Interventions

1. Implemented Substance Use Disorder Treatment Program for defendants charged with serious traffic offenses

The District of Columbia and surrounding jurisdictions have limited resources for substance use disorder treatment for defendants with serious traffic related offenses. Individuals who need intensive outpatient treatment (IOP) access substance use disorder treatment through their private insurance or the local Department of Behavioral Health on a sliding fee scale. For those defendants who cannot otherwise, afford to pay for treatment, these service providers are not an option.

To broaden substance use disorder access in fulfillment of its mission, PSA established a new on-site intensive outpatient program for defendants with serious traffic related offenses. This new program is an abstinence-based, comprehensive IOP treatment program that provides psychotherapeutic substance use disorder treatment by licensed behavioral health professionals. Defendants referred to the program receive nine hours of group psychotherapeutic services per week, individual counseling, and treatment planning. On September 4, 2019, this program began providing IOP treatment to approximately 20 defendants monthly, with a yearly total of approximately 240 participants.

KEY AGENCY STRATEGIES

PSA successfully accomplished its FYs 2018-2019 Agency Priority Goal (APG) by completing a strategic realignment supporting transition from current program-based supervision operating model to a risk-based supervision operating model.

During FY 2019, PSA launched an APG Taskforce led by the Agency Director and Agency Performance Improvement Officer comprised of cross-Agency representation from all PSA offices. The APG Taskforce devised a three-year plan with three distinct phases of planning, implementation, and evaluation for FY 2019, FY 2020, and FY 2021, respectively. Supporting the planning phase in FY 2019, the APG Taskforce developed risk-based case management protocols and began testing them in preparation for the implementation phase. Another major milestone of the Taskforce is to update the Agency's client management system to support the risk-based supervision model. Contracts for purchasing Salesforce licenses as the technology platform and development and technical services for supporting the Salesforce platform and establishing a Customer Relationship Management (CRM) application were awarded in FY 2019. Advantages in establishing the CRM application include:

- Cloud-based CRM with platform as a service (PaaS)/software as a service (SaaS) that is primarily configurable "out of the box" with minimum software coding;

- Full Enterprise CRM functionality for large-scale organization with a PaaS development platform;
- Social, collaborative enterprise platform supporting portals, communities; and
- Does not require custom development for application creation.

For FYs 2020 and 2021, PSA has identified implementing the risk-based supervision operating model as its APG. Completing the implementation of the risk-based supervision operating model will enable PSA to better balance defendant due process with minimizing risk to public safety. PSA’s strategic direction, as outlined by key strategies below, reflects the Agency’s focus on its mission of promoting pretrial justice and enhancing community safety, and focus on implementing risk-based supervision operating model.

STRATEGIC GOAL 1: JUDICIAL CONCURRENCE WITH PSA RECOMMENDATIONS

PSA promotes the fair administration of justice by recommending the least restrictive release conditions consistent with community safety and return to court. To support judicial decisions, PSA provides a Pretrial Services Report, or PSR, which contains a summary of each defendant’s criminal history and demographic information. In this report, PSA recommends – as appropriate – release conditions that are designed to mitigate the risk of failure to appear and rearrest during the pretrial period. PSA’s release recommendations include pro-social interventions, such as drug testing, behavioral health assessment and treatment, halfway house placement, global positioning system (GPS) electronic monitoring, and regular contact with a PSO. To gauge how often judicial officers concur with PSA’s release recommendations, the Agency implemented a measure of judicial concurrence.



Strategic Objective 1.1 Risk Assessment

The PSR provides much of the information judicial officers use to determine a defendant’s risk to the community and the level of supervision, if applicable, the defendant requires. Risk assessment is a core component of the PSR. PSA uses a scientifically-validated risk assessment to determine each defendant’s risk of pretrial misconduct.⁵ Use of this instrument, which was developed specifically for the adult defendant population within the District of Columbia, enhances the Agency’s ability to accurately assess pretrial risk of failure and make appropriate recommendations to the court regarding release conditions.

To gauge the quality of the information provided to judicial officers for decision-making, PSA implemented a measure of PSR completeness. A PSR is deemed “complete” when it contains defendant interview responses (or documented refusal thereof), lock-up drug test results, criminal history, and release recommendations based on risk assessment score, prior to the case being called in court.

⁵ Kennedy, S., House, L., and Williams, M. (2013). Using Research to Improve Pretrial Justice and Public Safety: Results from PSA’s Risk Assessment Validation. *Federal Probation a journal of correctional philosophy and practice*, 77(1), 28-32. Retrieved from <https://www.uscourts.gov/federal-probation-journal/2013/06/using-research-improve-pretrial-justice-and-public-safety-results>

Performance Indicators

Table 1 - Performance Indicators for Strategic Goal 1: Judicial Concurrence with PSA Recommendations ⁶							
Performance Indicator Area	Indicator Description	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2018-2022 Target
Strategic Goal 1	Judicial Concurrence with PSA Recommendation	N/A	72%	76%	81%	78% 	70%
Strategic Objective 1.1⁷	Risk Assessment (Complete PSRs)	N/A	N/A	73%	80%	72% 	73%

PSA exceeded its performance target for strategic goal 1: Judicial Concurrence with PSA. For strategic objective 1.1 Risk Assessment (Complete PSRs), the Agency was within one percentage point of its performance target.

Key Strategies Supporting Strategic Direction

1. Revalidate the existing risk assessment instrument during the first 12 months of the strategic period to ensure that it has maintained the predictive validity and accuracy

Since 2014, PSA has utilized a scientifically-validated risk assessment. To ensure continued accuracy and validity, PSA periodically revalidates its risk assessment tool. In FY 2018, PSA completed the revalidation of its risk assessment tool. The revalidation confirmed that the instrument continues to effectively predict risk among adult defendants awaiting trial in DC. For fiscal years 2020 and beyond, PSA is partnering with the Metropolitan Police Department and DC Department of Corrections to obtain access to data regarding handgun offenses, which will allow PSA to specifically assess firearms-related offense risk during the next revalidation.

2. Revise the current PSR to effectively inform judicial officer decisions

During FY 2019, PSA launched the first revision to the PSR for USDC. The revision maps release recommendations to the specific domain of risk that they are designed to mitigate (e.g., failure to appear or rearrest).

During FY 2020, PSA will continue its collaboration with USDC magistrate judges to seek feedback on desired enhancements and revisions to the report and develop implementation plans, as appropriate.

⁶ Starting in FY 2019, PSA began including District of Columbia Criminal (CDC) and Criminal Traffic (CTF) cases without extensive release conditions in calculation of performance metrics.

⁷ Strategic Objective 1.1 does not include CDC and CTF because not all of these receive a diagnostic interview; a key component of the Complete PSR measure.

3. Implement risk-based recommendations matrix to support judicial decision making

PSA's current case management model utilizes court-ordered conditions of release to place defendants in supervision "programs." These programs have uniform core requirements that result in similar approaches being utilized for all defendants who are released with the same release conditions. Best practices recommend utilization of individualized approaches that correspond to each defendant's assessed risk(s). In accordance with best practices, PSA is transitioning from a program-based to a risk-based supervision model, where supervision is tailored to each defendant's identified risk designation.

PSA has developed and will implement a new risk-based recommendations matrix that balances the risks of failure to appear and re-arrest to support judicial decision making. This will enable PSA to ensure harmonization among risk designations, release condition recommendations, and supervision protocols.

STRATEGIC GOAL 2: CONTINUED PRETRIAL RELEASE ⁸

Continued pretrial release aims to ensure that defendants placed on release are able to remain safely in the community during the pendency of their cases. During the pretrial period, defendant release may be revoked due to non-compliance with conditions of release. To gauge the effectiveness of defendant case management, PSA implemented a measure of continued pretrial release, which examines the rate at which defendants remain on release without revocation or a pending request for revocation due to non-compliance.

Strategic Objective 2.1 Effective Case Management

Case management is an individualized approach for securing, coordinating, and monitoring the appropriate supervision, treatment, and ancillary services necessary to manage each defendant successfully for optimal outcomes. It comprises all activities performed by PSA that support a defendant's compliance with court-ordered conditions of release, appearance at all scheduled court hearings, and crime-free behavior while on pretrial release.

To gauge the effectiveness of its defendant case management, PSA implemented measures of response to defendant non-compliance and defendant satisfaction with PSA case management.

⁸ Formerly, this measure excluded cases without closeout assessments. For the FY2020 Budget Report PSA expanded this measure to include all cases, regardless of closeout assessment, to calculate continued release. This update was performed because defendants without closeout assessments are still supervised by PSA.

Performance Indicators

Performance Indicator Area	Indicator Description	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2018-2022 Target
Strategic Goal 2	Continued Pretrial Release	88%	88%	87%	85%	87% ●	85%
Strategic Objective 2.1	Response to Defendant Conduct ¹⁰	90%	91%	91%	90%	89% ●	Drug Infractions: 80%
		86%	87%	89%	89%	89% ●	Contact Infractions: 70%
		95%	87%	88%	92% ¹¹	95% ●	Electronic Monitoring Infractions: 92%
		84%	90%	88%	89%	80% ●	Group Session Infractions: 80%

PSA met or exceeded its performance targets for strategic goal 2: Continued Pretrial Release and its supporting strategic objectives.

Key Strategies Supporting Strategic Direction

1. Implement risk-based case management protocols and supervision plans

Under its new risk-based supervision model, PSA will develop and implement supervision protocols that take full account of a defendant’s individual risk and respond to both compliant and non-compliant behavior accordingly.

2. Respond in a timely manner to defendant compliance with conditions of release to enhance defendants’ observance of court requirement.

PSA will update and revise timelines and options for responding to defendant non-compliance that correspond to each defendant’s assessed risk level.

⁹ Starting in FY 2019, PSA began including District of Columbia Criminal (CDC) and Criminal Traffic (CTF) cases without extensive release conditions in calculation of performance metrics.

¹⁰ PSA refined its methodology by removing instances with suspected data entry errors (e.g., observations where the date of non-compliance is addressed occurs before the non-compliance date). This logic update was performed as part of the Agency’s data revalidation process.

¹¹ Data captured between February 14th and May 12th, 2018 were excluded due to PSA’s transition from manual to automation collection.

3. Upgrade client management system to support new supervision protocols

In support of PSA's transition to revised case management protocols, PSA will upgrade its client management system to ensure proper documentation of supervision activities. As indicated above, during FY 2019, PSA completed the first two milestones associated with this process by awarding the contracts for the platform and implementation support.

STRATEGIC GOAL 3: MINIMIZE REARREST

PSA supervision is designed to minimize risk to the community. PSA uses appropriate supervision strategies to manage defendants most at risk of violating their release conditions. PSA also provides pro-social interventions, such as mental health and substance use disorder treatment, to enable defendants to remain arrest-free. To gauge PSA's effectiveness in minimizing rearrests, PSA implemented a measure of arrest-free rates.









Strategic Objective 3.1 Risk-Based Supervision

PSA focuses supervision resources on defendants most at risk of violating their release conditions and uses graduated levels of supervision consistent with each defendant's identified risk level. As described in the APG, very low-risk defendants (those released on personal recognizance) receive only notification of their court dates. Low-risk defendants with reporting conditions will require limited contact with PSA. Medium-risk defendants will be placed under PSA's supervision and maintain regular contact through a combination of in-person and telephone reporting to PSOs. High-risk and very high-risk defendants will be subject to more frequent and primarily in-person contact with assigned PSOs.

PSA's supervision strategy includes promoting swift, consistent consequences for violation of release conditions, and promoting incentives for defendants who consistently comply with release conditions. Swift, graduated sanctions are used to modify defendant behaviors considered precursors to a return to criminal activity or failure to appear for court. Examples of such behaviors include loss of contact and absconding from substance use disorder and/or mental health treatment. Responding promptly to non-compliance is directly related to reducing failures to appear and enhancing public safety. When violations of conditions are detected, PSA uses all available administrative sanctions, informs the court and, when warranted, seeks judicial sanctions, including revocation of release. PSA also harnesses the power of incentives to change defendant behavior. Common incentives recommended by PSA include reduction in the number of contacts with PSOs required, reduction in the frequency of drug testing, and placement in less intensive treatment or supervision programs.

To gauge the effectiveness of Risk-Based Supervision, PSA implemented a measure of defendant compliance at case disposition.

Performance Indicators

Performance Indicator Area	Indicator Description	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2018-2022 Target
Strategic Goal 3	Arrest-Free Rate	89%	88%	86%	87%	87% 	88%
	(Violent Crimes)	98%	98%	99%	99%	99% 	97%
Strategic Objective 3.1.1	Compliance with Release Conditions (Closeout Assessment)	75%	72%	71%	75%	77% 	77%
Strategic Objective 3.1.2	GPS Monitoring Installations						TBD
Strategic Objective 3.2.1 ¹³	Substance Use Disorder Assessments	91%	92%	93%	91%	96% 	95%
Strategic Objective 3.2.2 ¹⁴	Placement into Substance Use Disorder Treatment	49%	49%	53%	55%	50% 	50%
Strategic Objective 3.2.3	Reduction in Drug Use	91%	84%	85%	82%	85% 	74%
Strategic Objective 3.2.4 ¹⁵	Mental Health Assessments	84%	89%	95%	95%	93% 	95%
Strategic Objective 3.2.5	Connection to Mental Health Services	91%	84%	88%	89%	86% 	80%

PSA met or exceeded its performance targets for performance indicators supporting strategic goal 3: Minimize Rearrest, except for:

- Strategic Objective 3.2.4 – Mental Health Assessments for which the Agency was within 2 percentage points of its performance target. PSA is conducting a review of Strategic Objective 3.2.4 to determine any appropriate corrective action.

¹² Starting in FY 2019, PSA began including District of Columbia Criminal (CDC) and Criminal Traffic (CTF) cases without extensive release conditions in calculation of performance metrics. This logic update was performed as part of the Agency's data revalidation process.

¹³ PSA removed all open cases for this calculation. Open cases may artificially lower performance as these may eventually receive an assessment by the time the case closes. This logic update was performed as part of the Agency's data revalidation process.

¹⁴ PSA removed all open cases for this calculation. Open cases may artificially lower performance as these may eventually be placed into treatment by the time the case closes. This logic update was performed as part of the Agency's data revalidation process.

¹⁵ PSA removed all open cases for this calculation. Open cases may artificially lower performance as these may eventually receive an assessment by the time the case closes. This logic update was performed as part of the Agency's data revalidation process.

Key Strategies Supporting Strategic Direction

1. Prioritize sanctions and court reporting for non-compliant high-risk and very high-risk defendants

To assist judicial officers in identifying court reports that require immediate action, PSA implemented a priority reporting system to assist with expediting judges' responses to non-compliance by high-risk and very high-risk defendants. PSA designates reports as "high priority," when high-risk and very high-risk defendants are declared a loss of contact, violate a stay away order or when any defendant (irrespective of risk level) threatens or assaults PSA staff or other defendants or tampers with GPS equipment.

2. Support proper assignment of defendants to electronic monitoring supervision and timely installation of GPS equipment

Consistent with the shift to Risk-Based Supervision, PSA is refining its process for recommending electronic monitoring in an effort to limit its use to defendants who are at greatest risk of pretrial misconduct. In addition, PSA is refining its protocols to prioritize high-risk and very high-risk defendants for immediate installations.

Strategic Objective 3.2 Assessment-Driven Treatment

An effective approach to minimizing rearrests is addressing underlying issues, such as substance use disorder and mental health treatment needs, during the pretrial period. PSA provides, through either contracted services or referral, appropriate substance use disorder and mental health treatment to enhance supervision compliance. In addition to public safety benefits, the community also benefits from the cost savings of providing supervision with appropriate treatment instead of incarceration.

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 on both risk and need. In addition to substance use disorder treatment, defendants placed in these programs have drug testing, contact, and other release conditions and are held accountable for compliance with these conditions.

To gauge effectiveness of pro-social interventions, PSA measures defendant referral, assessment, and placement in treatment programs.

Key Strategies Supporting Strategic Direction

1. Ensure timely assessment and connection to behavioral health services and substance use disorder treatment

PSA continues to conduct same-day mental health and substance use disorder assessments for referred defendants under pretrial supervision. To more comprehensively assess defendant

treatment needs, PSA will evaluate the use of additional screening tools to support the case management process.

2. Assure the use of evidence-based treatment protocols by PSA contractors

PSA contracts with licensed and certified providers to address underlying severe mental illnesses and substance use disorders that increase defendant risk of pretrial misconduct. To ensure the provision of appropriate, quality-based services, PSA will continue conducting routine audits to ensure adherence to contract requirements.

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. National standards on pretrial release identify minimizing failures to appear as a central function for pretrial programs. This strategic goal is measured by the defendant appearance rate, which indicates the percentage of defendants on pretrial release who make all scheduled court appearances.

Strategic Objective 4.1 Court Appearance Notifications

In order to minimize failures to appear, PSA notifies defendants of future court dates. During the last strategic period, PSA expanded its notification process by adding an electronic option to inform, remind, and/or update defendants of upcoming court dates. This new process incorporates the use of text and email notifications in addition to traditional mailed letters. During the initial contact, PSA asks defendants about their preferred method of notification. An automatic hierarchy is then generated for notifications to the defendant (i.e., email, text messages, and letters) based on the defendant's preference.

To gauge the effectiveness of defendant court appearance notifications, PSA implemented a measure of court appearance following notifications.

Performance Indicators

Table 4 -Performance Indicators for Strategic Goal 4: Maximize Court Appearance ¹⁶							
Performance Indicator Area	Indicator Description	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2018-2022 Target
Strategic Goal 4	Court Appearance Rate ¹⁷	88%	91%	88%	89%	88% 	87%
Strategic Objective 4.1.1	Court Notification Automation						TBD
Strategic Objective 4.1.2	Redesign Court Notification						TBD
Strategic Objective 4.2.1	Failure to Appear Investigation						TBD
Strategic Objective 4.2.2	Ratio to Bench Warrant						TBD

Key Strategies Supporting Strategic Direction

1. Update court date notification templates

PSA will use insights from behavioral science to improve defendant communications about their future court dates. The re-design of traditional letters and email and text messages will attempt to address and mitigate reasons that prevent defendants from appearing in court.

2. Increase the use of alternative notification methods (e.g. text, email)

PSA will continue automating its court date notifications to more efficiently and effectively remind defendants of their upcoming court dates. The forthcoming requirements gathering for the Agency's new Client Management System will ensure emphasis on the capability to initiate and record automated notifications.

Strategic Objective 4.2 Failure to Appear Investigations

Defendants often present issues that may contribute to failure to appear in court (e.g., unstable home environments, homelessness, illiteracy and low educational achievement, developmental disabilities, unemployment, substance use disorders, mental illness, physical problems, etc.). To help address these issues, PSA conducts failure-to-appear investigations to determine the reason for

¹⁶ Starting in FY 2019, PSA began including District of Columbia Criminal (CDC) and Criminal Traffic (CTF) cases without extensive release conditions in calculation of performance metrics. This logic update was performed as part of the Agency's data revalidation process.

¹⁷ The Court Appearance Rate indicator is for the life of an individual's case, which can contain multiple court appearances, and success is dependent on the individual making all court appearances in order to be counted towards meeting the target.

a defendant's nonappearance in court. The pertinent information is documented and the court is informed of the findings. In some cases, these investigations may prevent issuance of a bench warrant.

Key Strategies Supporting Strategic Direction

1. Respond timely to requests for investigating defendant failure to appear in court

PSA will continue assisting in bench warrant prevention and providing information to the court in regards to defendants' statuses on scheduled court appearance dates and reasons for failing to appear for court.

RESOURCE REQUIREMENTS BY STRATEGIC GOAL

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 goal. The chart below reflects the funding allocation by strategic goal for fiscal years 2019, 2020 and 2021.

FUNDING BY STRATEGIC GOAL

	FY 2019 Actual	FY 2020 Enacted	FY 2021 Request	Change from FY 2020
Strategic Goal 1: <i>Judicial Concurrence With PSA Recommendations</i>				
<i>\$ in thousands</i>	16,283	16,351	16,420	69
FTE	81	81	81	0
Strategic Goal 2: <i>Continued Pretrial Release</i>				
<i>\$ in thousands</i>	15,428	15,491	15,557	66
FTE	75	76	76	0
Strategic Goal 3: <i>Minimize Rearrest</i>				
<i>\$ in thousands</i>	17,050	17,120	17,193	73
FTE	83	83	83	0
Strategic Goal 4: <i>Maximize Court Appearance</i>				
<i>\$ in thousands</i>	17,427	17,499	17,573	74
FTE	84	85	85	0
Total Base Funding <i>\$ in thousands</i>	66,188	66,461	66,743	282
Total FTE	323	325	325	0
<i>Lease Replacement Prospectus</i>				
<i>\$ in thousands</i>	0	998	459	(539)
Total Budget	66,188	67,459	67,202	(257)

SUPPORTING MATERIALS

MANAGEMENT AND ADMINISTRATION

Strategic Human Capital Management

- ✓ Revised the Telework Program Policy Statement to state that employees with an approved telework agreement must telework or submit a leave request or a justification for excused absence during a change in operating status. This will maximize the Agency's ability to continue functioning during extreme weather or other events.
- ✓ Developed and distributed procedures for responding to violations of the Drug Free Workplace Program, which clarify Agency management's responsibilities when employees test positive for illegal substances.
- ✓ Developed and distributed procedures for responding to suspicion of intoxication in the workplace, providing supervisors with recommendations on how to respond and, if necessary, take conduct-related action.
- ✓ 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 11,077 hours of training to include on-line courses, instructor-led courses, forums, shadowing and on-the-job instruction.
 - Hosted approximately 26 undergraduate and graduate student interns.
 - Six employees participated in Executive Leadership Program at Graduate School USA.
 - Three supervisory employees participated in a 12-month executive coaching program.
 - Fourteen employees participated in a one-year, competency-based mentoring program.

Records Management Infrastructure Development

- ✓ Successfully completed the baseline records requirements gathering and baseline configurations for all eight Agency components and 19 sub-components for the Electronic Document Records Management System (EDRMS). Over 300 content types and application of the relevant rules for records management were created.
- ✓ Initiated the process of transferring legacy data from the Agency's network drive to the EDRMS environment.
- ✓ Conducted individual office assessments for record maintenance compliance and timely disposal of records that reached or surpassed disposition.
- ✓ Conducted the annual training for records liaisons.
- ✓ Identified approximately 15,250 closed cases for transfer to the Federal Records Center for storage.
- ✓ Disposed of approximately 23,000 closed cases.
- ✓ Initiated the development of the Controlled Unclassified Information policy.
- ✓ Ensured Agency-wide compliance with the annually mandated records management training.

- ✓ Implemented a certified DOD 5015.2 platform for electronic records.
- ✓ Initiated processes to ensure compliance with requirements mandated in Executive Order M-19-21, *Managing Federal Records*.

Financial Statement Audit

- ✓ Achieved an *unmodified* (clean) opinion on the FY 2019 financial statements.

Information Technology

- ✓ Completed the redesign and deployment of the new Drug Testing Management System (DTMS). DTMS 3.0 greatly enhances PSA's drug testing capabilities by providing support for the establishment of a comprehensive in-house synthetics substance testing program, as authorized by the Consolidated Appropriations Act, 2017 (Public Law 115-31). The new system also allows for the testing of and reporting on an unlimited number of substances, including the expanding number of synthetic drugs.
- ✓ Upgraded the operating platform for PSA's in-house mission-critical applications (PRISM & DTMS) to Windows Server 2016 and SQL Server 2017. The upgrade ensures that PSA's operating environment stays current with the latest technological and system security features that these platforms provide.
- ✓ Completed the implementation of a revalidated risk assessment instrument for PSA's in-house mission-critical applications (PRISM).

BUDGET DISPLAYS

SALARIES and EXPENSES (BASE FUNDING) SUMMARY OF REQUIREMENTS by GRADE and OBJECT CLASS <i>(Dollars in Thousands)</i>								
Grade	FY 2019 Actual		FY 2020 Enacted		FY 2021 PB		FY 2020 to FY 2021 Variance	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
SES	2	379	2	362	2	362	0	0
GS-15	9	1,396	9	1,429	9	1,449	0	20
GS-14	29	4,063	30	4,303	30	4,363	0	60
GS-13	55	6,445	54	6,477	54	6,568	0	91
GS-12	160	16,179	162	16,768	162	17,002	0	234
GS-11	14	1,031	14	1,055	14	1,070	0	15
GS-09	13	885	15	1,045	15	1,060	0	15
GS-08	6	386	6	395	6	400	0	5
GS-07	22	1,259	21	1,230	21	1,247	0	17
GS-06	5	265	4	217	4	220	0	3
GS-05	8	368	8	377	8	382	0	5
Total Appropriated FTE	323	32,656	325	33,658	325	34,123	0	465
Object Class								
11.1 Full-time Permanent	323	32,656	325	33,658	325	34,123	0	465
11.3 Other than Full-time Permanent	0	0	0	0	0	0	0	0
11.5 Other Personnel Compensation - Awards	0	618	0	227	0	550	0	323
11.5 Other Personnel Compensation - Other	0	317	0	294	0	294	0	0
12.0 Personnel Benefits	0	15,052	0	16,440	0	17,357	0	917
Personnel Costs	323	48,643	325	50,619	325	52,324	0	1,705
21.0 Travel and Transportation of Persons		63		10		10		0
22.0 Transportation of Things		0		0		0		0
23.1 Rental Payments to GSA		3,110		3,137		3,146		9
23.2 Rental Payments to Others		1,978		2,011		2,045		34
23.3 Communications, Utilities & Misc. Charges		699		714		714		0
24.0 Printing and Reproduction		22		21		21		0
25.1 Advisory and Assistance Services		613		393		65		-328
25.2 Other Services from non-Federal Sources		5,365		5,502		4,959		-543
25.3 Other Goods/Services from Federal Sources		1,532		1,276		1,297		21
25.4 Operation and Maintenance of Facilities		45		34		34		0
25.7 Operation and Maintenance of Equipment		270		416		416		0
26.0 Supplies and Materials		427		371		371		0
31.0 Equipment (& Furniture)		3,420		1,957		1,341		-616
32.0 Land and Structures		0		0		0		0
43.0 Interest		1		0		0		0
Non-Personnel Costs		17,545		15,842		14,419		-1,423
TOTAL	323	66,188	325	66,461	325	66,743	0	282

**SALARIES and EXPENSES (NON-RECURRING FUNDING)
SUMMARY OF REQUIREMENTS by GRADE and OBJECT CLASS**

(Dollars in Thousands)

Object Class	FY 2019 ¹ Enacted 3-year 19/21 Lease Prospectus		FY 2020 ² Enacted 3-year 20/22 Lease Prospectus		FY 2021 ³ Request 3-year 21/23 Lease Prospectus		FY 2020 to FY 2021 Variance	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
	11.1 Full-time Permanent	0	0	0	0	0	0	0
11.3 Other than Full-time Permanent	0	0	0	0	0	0	0	0
11.5 Other Personnel Compensation	0	0	0	0	0	0	0	0
12.0 Personnel Benefits	0	0	0	0	0	0	0	0
Personnel Costs	0	0	0	0	0	0	0	0
21.0 Travel and Transportation of Persons		0		0		0		0
22.0 Transportation of Things		0		0		0		0
23.1 Rental Payments to GSA		5,127		0		0		0
23.2 Rental Payments to Others		943		0		0		0
23.3 Communications, Utilities & Misc. Charges		0		0		0		0
24.0 Printing and Reproduction		0		0		0		0
25.1 Advisory and Assistance Services		395		0		153		153
25.2 Other Services from non-Federal Sources		0		0		0		0
25.3 Other Goods/Services from Federal Sources		0		0		0		0
25.4 Operation and Maintenance of Facilities		0		0		11		11
25.7 Operation and Maintenance of Equipment		0		0		0		0
26.0 Supplies and Materials		0		0		0		0
31.0 Equipment (& Furniture)		839		998		295		-703
32.0 Land and Structures		0		0		0		0
43.0 Interest		0		0		0		0
Non-Personnel Costs		7,304		998		459		-539
TOTAL	0	7,304	0	998	0	459	0	-539

¹ Program increase for three-year FY 2019/2021 funding received in FY 2019 Enacted Budget for Lease Replacement Prospectus. PSA did not obligate any of this funding in FY 2019.

² Three-year FY 2020/2022 funding is requested to fund additional costs associated with the Lease Replacement Prospectus.

³ Three-year FY 2021/2023 funding is requested to fund increase in costs associated with the Lease Replacement Prospectus.

APPENDIX A

LEASE REPLACEMENT PROSPECTUS – In May 2019, PSA received a revised Move and Replication Cost Estimate from GSA. The majority of costs in the table below are based on usable square feet with the exception of: (1) slide scale and overhead costs which are fixed and were not revised; and (2) furniture unit and IT collaborative space costs, which are based on fixed numbers. Most of the cost changes for each program area are due to a mix of changes in the cost per square foot or unit and an increase in usable square feet in the revised cost estimate and one new cost for management and inspection. The increase is partially offset by removing the lease early termination costs. Based on the revisions, PSA estimates an additional \$459,000 is needed to complete the project. The table below contains a crosswalk from the previous cost estimate to the FY 2021 request.

Crosswalk Between Previous GSA Cost Estimate and May 2019 Revised GSA Cost Estimate					
Program Area	Previous Estimate (FY 2019 Costs)	Previous Estimate (FY 2020 Costs)	Previous Estimate (Total) A+B	Revised Estimate	FY 2021 Request/ Increase (D-C)
	A	B	C	D	E
<u>Real Property Costs</u>					
Design	\$354,000	\$0	\$354,000	\$507,000	\$153,000
Construction	\$5,896,000	\$0	\$5,896,000	\$5,186,000	(\$710,000)
Standard Contingency built-in by GSA (10%)	\$624,000	\$0	\$624,000	\$744,000	\$120,000
GSA Management Fee (4%)	\$175,000	\$0	\$175,000	\$168,000	(\$7,000)
Slide Scale Overhead Fee	\$30,000	\$0	\$30,000	\$30,000	\$0
Less Tenant Improvement Allowance Amortized in Monthly Rent Payments	(\$2,505,000)	\$0	(\$2,505,000)	(\$2,602,000)	(\$97,000)
Management and Inspection Cost (6.93%)	\$0	\$0	\$0	\$360,000	\$360,000
Total Real Property Costs	<u>\$4,574,000</u>	<u>\$0</u>	<u>\$4,574,000</u>	<u>\$4,393,000</u>	<u>(\$181,000)</u>

Program Area	Previous Estimate (FY 2019 Costs)	Previous Estimate (FY 2020 Costs)	Previous Estimate (Total) A+B	Revised Estimate	FY 2021 Request/ Increase (D-C)
	A	B	C	D	E
<u>Personal Property Costs</u>					
Move	\$0	\$228,000	\$228,000	\$237,000	\$9,000
IT/Communications	\$405,000	\$0	\$405,000	\$1,265,000	\$860,000
Signage, Artwork, Graphics	\$0	\$56,000	\$56,000	\$58,000	\$2,000
Security	\$156,000	\$0	\$156,000	\$278,000	\$122,000
Furniture Units	\$0	\$1,470,000	\$1,470,000	\$1,773,000	\$303,000
IT Mobility Upgrades	\$0	\$0	\$0	\$0	\$0
IT Collaborative Spaces	\$214,000	\$0	\$214,000	\$360,000	\$146,000
Standard Contingency built-in by GSA (10%)	\$256,000	\$0	\$256,000	\$397,000	\$141,000
Total Personal Property Costs	<u>\$1,031,000</u>	<u>\$1,754,000</u>	<u>\$2,785,000</u>	<u>\$4,368,000</u>	<u>\$1,583,000</u>
Total GSA's Move and Replication Estimated Costs for FY 2019	\$5,605,000	\$1,754,000	\$7,359,000	\$8,761,000	\$1,402,000
<u>Lease Early Termination Costs</u>	<u>\$943,000</u>	<u>\$0</u>	<u>\$943,000</u>	<u>\$0</u>	<u>(\$943,000)</u>
Totals	\$6,548,000	\$1,754,000	\$8,302,000	\$8,761,000	\$459,000