

A Case for the Future

PRETRIAL SERVICES AGENCY FOR THE DISTRICT OF COLUMBIA

FY 2014-2018 STRATEGIC PLAN

Pretrial Services Agency for the District of Columbia

February 2014

Clifford T. Keenan, Director

www.PretrialServices.gov



A Case for the Future: Pretrial Services Agency for the District of Columbia FY 2014-2018 Strategic Plan

Published by the Pretrial Services Agency for the District of Columbia
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Prepared by the PSA Office of Strategic Development
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February 2014

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PSA's mission is to promote pretrial justice and enhance community safety.

PSA's vision is 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.

DIRECTOR'S MESSAGE

"Do the right thing and do it well" is the mantra for the Pretrial Services Agency for the District of Columbia (PSA) and the focus of our 2014-2018 *Strategic Plan*. The *Plan* illustrates our commitment to be a performance-based, results-oriented organization that can directly link costs with outcomes. It also highlights our continued dedication to ensuring public safety and promoting pretrial justice through high-quality risk assessment, supervision and treatment procedures.



During the strategic period, PSA will continue to improve its identification of defendants who pose a higher risk of pretrial failure, enhance its supervision and oversight of these defendants, and work with local justice and community partners to expand services and support for persons with substance dependence and mental health needs. We will emphasize evidence-based operational and management practices and emphasize human capital to improve quality. Most importantly, we will continue our near 50-year commitment of providing excellent service to the District of Columbia through a strong sense of mission, a dedicated and professional staff, and collaboration with our justice and community partners.

In developing this plan, PSA consulted with many agencies in the District of Columbia criminal justice system and benefited greatly from their insightful comments. I would like to thank all those who contributed to this effort. I welcome the opportunity to discuss any aspect of this plan with you.

Sincerely,

A handwritten signature in blue ink that reads "Clifford T. Keenan".

Cliff Keenan
Director
Pretrial Services Agency for the District of Columbia

February 2014

SUMMARY

Based on feedback from its criminal justice and community-based partners, results from its previous high priority goals and objectives, and anticipated challenges and opportunities over the next four years, the Pretrial Services Agency for the District of Columbia has identified the following strategic and management objectives and performance and priority goals for fiscal years 2014 through 2018:

STRATEGIC OBJECTIVE I: Use evidence-based practices in defendant risk assessment, supervision and treatment

1. *Impact Review of the Validated Risk Assessment Instrument.*
PLANNING LEAD: Strategic Development Senior Analyst
IMPLEMENTATION LEAD: Court Services Program Director
2. *Explore Evidence-based Supervision Techniques that may Reduce Recidivism among Youthful Defendants.*
PLANNING LEAD: Strategic Development Analyst
IMPLEMENTATION LEAD: Supervision Program Director
3. *Investigate Effective Supervision for Special Populations.*
PLANNING LEAD: Strategic Development Analyst
IMPLEMENTATION LEAD: Supervision Program Director
4. *Assess the Efficacy of Treatment Program Enhancements.*
LEAD: Office of Strategic Development Analyst

STRATEGIC OBJECTIVE II: Use innovative approaches in technology and organizational learning

1. *Create a Technology Advisory Committee to Assess and Recommend Emerging Technologies in Mission Critical and Work Management Areas.*
LEAD: Policy and Program Development Manager
2. *Investigate Dynamic Drug Use Within the Defendant Population.*
LEAD: Director of Forensic Research
3. *The "Evidence-to-Practice" Series.*
LEAD: Office of Strategic Development Director

STRATEGIC OBJECTIVE III: Leverage strategic partnerships

1. *Collaborate with the District's Department of Behavioral Health to Improve Community-based Substance Dependence and Mental Health Services and Support.*

LEAD: Treatment Program Director

2. *Improve Monitoring of Dually-supervised Defendants.*

PLANNING LEAD: Policy and Program Development Manager

IMPLEMENTATION LEAD: Associate Director, Operations

MANAGEMENT OBJECTIVE I: Enhance performance-based management

1. *Establish Agency-wide Quality Control/Quality Assurance.*

LEAD: Director, Strategic Development

2. *Improve Outcome and Performance Measurement*

PLANNING LEAD: Office of Strategic Development Senior Analyst

MANAGEMENT OBJECTIVE II: Maximize workforce productivity

1. *Emphasize Diversity and Inclusion as Agency-wide Core Values*

LEAD: PSA Director

2. *"Lessons Learned" from Federal Employee Viewpoint Survey Results*

LEAD: Office of Human Capital Management Senior Analyst

INTRODUCTION

The programs and experiments you will hear about have generated new techniques for releasing accused persons prior to trial, without hampering law enforcement, without increasing crime, and without prompting defendants to flee. These techniques have fiscal value... But even more significant, in a land which has put quality of justice ahead of the cost of justice, these techniques have social value.¹

The Pretrial Services Agency for the District of Columbia (PSA) 2014-2018 *Strategic Plan* continues the goal outlined in previous strategic plans to advance PSA as a performance-based, results-oriented organization that can directly link costs with outcomes and adds instituting evidence based operational practices, using innovative approaches in technologies and organizational learning, leveraging strategic partnerships, enhancing performance-based management and maximizing workforce productivity as strategic priorities. The Plan also incorporates requirements for Federal agencies mandated by *The Government Performance and Results Act Modernization Act* (GPRAMA) of 2010 (Public Law 111-352), most importantly, assigning specific Agency staff to ensure progress on all strategic enhancements.

As mandated by GPRAMA, the *Strategic Plan* is linked to PSA's annual performance budgets for fiscal years 2014-2018. The performance budgets will include progress reports on each strategic enhancement as well as the Agency's success at meeting its Office of Management and Budget (OMB)-approved outcome and performance measure targets for the specific fiscal year. The performance budget will be provided to OMB and published as part of the Congressional Budget Justification submitted to Congress. PSA also will report program performance and financial accountability results in the annual Agency Financial Report (AFR).

To meet GPRAMA's requirement for closer integration of strategic planning and human capital management planning, the *Strategic Plan* links to PSA's *Human Capital Management Plan*. Staff from PSA's Office of Human Capital Management (OHCM) helped develop the *Strategic Plan* and identified needed human capital resources for each strategic enhancement. These include staffing additions or reassignments, changes to staff position descriptions, training, and possible points of negotiation with the American Federation of Government Employees Local 1456, PSA's employee union.

¹ U.S. Department of Justice and the Vera Foundation, Inc. (1965) *National Conference on Bail and Criminal Justice: Proceedings, May 27-29, 1964, and Interim Report May 1964-April 1965*. Washington, DC: U.S. Department of Justice. pp. 3-5.

Finally, in accordance with Executive Order 13583, “Establishing a Coordinated Government-wide Initiative to Promote Diversity and Inclusion (D&I) in the Federal Workforce”² and its commitment to create and sustain a high-performing workforce that embraces diversity and empowers all employees to achieve their full potential, PSA will integrate the *Strategic Plan* with PSA and the Court Services and Offender Supervision Agency’s (CSOSA) *Diversity and Inclusion Strategic Plan*. The D&I Strategic Plan establishes a foundation for CSOSA and PSA to ensure a diverse workforce through the recruitment and retention of staff that represents all segments of American society, cultivating a culture that encourages fairness and a level playing field for all employees, and sustaining a diverse and inclusive workforce.

² Executive Order 13583 mandates all federal agencies to develop and implement a strategic plan for diversity and inclusion. In the Executive Order, President Obama emphasized his commitment to promoting the Federal workplace as a model of equal opportunity, diversity and inclusion. Specifically, he stated, “Our Nation derives strength from the diversity of its population and from its commitment to equal opportunity for all. We are at our best when we draw on the talents of all parts of our society, and our greatest accomplishments are achieved when diverse perspectives are brought to bear to overcome our greatest challenges.”

THE PRETRIAL SERVICES AGENCY FOR THE DISTRICT OF COLUMBIA

PSA assists judicial officers in the Superior Court for the District of Columbia (DCSC) and the United States District Court for the District of Columbia (USDC) by formulating release recommendations and providing supervision and treatment services to defendants that reasonably assure that those on conditional release return to court and do not engage in criminal activity pending their trial and/or sentencing. The result is that in the District of Columbia, unnecessary pretrial detention is minimized, jail crowding is reduced, public safety is increased, and the pretrial release process is administered fairly.

The National Capital Revitalization and Self-Government Improvement Act of 1997 established PSA as an independent entity within CSOSA in the Executive Branch of the Federal Government.

PSA has served the District of Columbia for nearly 50 years and is a widely-recognized national leader in the pretrial field. Its pretrial drug testing and innovative supervision and treatment programs are models for the criminal justice system. Innovation, effective use of technology, and the development of human capital lead to organizational excellence, transparency, high professional and ethical standards, and accountability to the public.

Guiding Principle I:

The presumption of innocence of the pretrial defendant should lead to the least restrictive release consistent with community safety and return to court, and preventive detention only as a last resort, based on a judicial determination of the risk of non-appearance in court and/or danger to any person or to the community

MISSION, VISION AND STRATEGIC GOALS

PSA's *mission* is to promote pretrial justice and enhance community safety. Our *vision* is 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.³

³ In FY 2007, PSA revised its mission statement and created, for the first time, a strategic vision statement and set of guiding principles. The mission statement clarified PSA's three critical success factor areas—risk assessment, supervision, and integration of treatment into supervision—as well the Agency's commitment to collaboration with its external partners. It also stated more specifically PSA's main obligations of assuring the highest rate of defendant return to court and community safety and emphasized the local courts as the Agency's primary "customer." The vision statement encouraged PSA to consider its workforce as its primary strength and to make leadership within the local and national justice systems a top priority. In FY 2013, PSA revised its mission statement to highlight pretrial justice as a core Agency ideal and to present the mission to stakeholders in simpler language.

Strategic and Management Goals

PSA's *Strategic and Management* goals span the Agency's major functions and operations and are linked to the outcomes of promoting public safety, court appearance and defendant accountability.

Strategic Goal 1: Help judicial officers make informed release and detention decisions throughout the pretrial period

PSA promotes informed and effective release determinations by formulating and recommending the least restrictive release conditions to reasonably assure court appearance and public safety.

Objectives:

Conduct a risk assessment on each arrestee to determine the probability of the risk of flight and the potential for criminal behavior.

- Provide to the courts current, corroborated, and complete information about the history, relevant characteristics, and reliability of each arrestee.
- Recommend for each arrestee the least restrictive nonfinancial release conditions needed to protect the community and reasonably assure the defendant's return to court.
- Monitor defendant compliance to court-ordered supervision and review individual risk factors throughout the pretrial stage and recommend appropriate changes to release status or release conditions.

Means and Strategies

Pre-release investigation: Gathering and verifying relevant information about each arrestee is one of the primary activities conducted by PSA during the pre-release investigation. Pretrial Services Officers (PSOs) interview arrestees scheduled for criminal bail hearings and document the information. No questions concerning the circumstances of the current arrest are asked. The PSO reviews the defendant's criminal history at both the local and national levels. Other information obtained by the PSO includes probation and parole compliance information, lock-up drug test results, and reports from PSA supervision units describing the defendant's adjustment in prior cases.

Release recommendations: PSA makes recommendations for release or detention based on an assessment of a defendant's risk of flight and rearrest. PSA's recommended supervision levels and conditions are the least restrictive to reasonably assure appearance in court and protection of the community, according to the defendant's assessed risk.

Strategic Goal 2: Supervise defendants to support court appearance and enhance public safety

PSA effectively monitors or supervises pretrial defendants—consistent with release conditions—to promote court appearance and public safety.

Objectives

- Provide a continuum of release conditions ranging from monitoring to intensive supervision.
- Promote swift and effective consequences for violations of release conditions.
- Promote incentives for defendants who consistently obey release conditions.

Means and Strategies

Supervision options to meet identified risk levels: 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 notification of court dates. More moderate 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 or reporting to a case manager. Higher-risk defendants may be subject to frequent contact with an assigned case manager and drug testing, curfew, electronic monitoring, treatment or other conditions.

Swift and effective consequences for violations of release conditions: PSA uses graduated sanctions to modify a defendant's behavior and focuses on modifying the behaviors most closely associated with a return to criminal activity or with absconding. Swift response to noncompliance with release conditions is at the heart of effective case management. Failure to appear for a supervision contact, a resumption of drug use, absconding from substance dependence treatment or mental health services, and other condition violations can be precursors to serious criminal activity. Responding quickly to noncompliance is directly related to meeting the goals of reducing failures to appear and protecting the public.

Guiding Principle II:

Non-financial conditional release, based on the history, characteristics, and reliability of the defendants, is more effective than financial release conditions. Reliance on money bail discriminates against indigent defendants and cannot effectively address the need for release conditions that protect the public.

Incentives for defendants who comply with release requirements: 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. To mirror accepted drug court best practices, PSA employs an array of incentives to reinforce desirable behaviors in sanctions-based treatment.

Strategic Goal 3: Integrate treatment and pro-social interventions into supervision to support court appearance and enhance public safety

PSA provides or makes referrals to effective substance dependence, mental health, and social services designed to enhance public safety and encourage court appearance.

Objectives

Guiding Principle III:

Pro-social interventions that address substance dependence, employment, housing, medical, educational, and mental health issues afford defendants the opportunity for personal improvement and decrease the likelihood of criminal behavior.

- Coordinate and provide for substance dependence and mental health treatment and interventions, including evaluation and referral to appropriate community-based treatment services.
- Providing defendants with referrals to community-based social services.

Means and Strategies

Integration of treatment into supervision: Drug use and mental health issues can both contribute to public safety and flight risks. Therefore, PSA has developed specialized supervision programs that include treatment as an essential component for defendants with substance dependence problems, mental health problems, or both. Treatment, either for substance dependence or mental health, is never provided 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.

⁴ Finigan, M.W. et al. (2007). *Impact of a Mature Drug Court Over 10 Years of Operation: Recidivism and Costs*. Washington, D.C.: 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).

Provision of, or referral to, substance dependence and mental health interventions: PSA's specialized treatment and supervision programs offer defendants access to various treatment modalities. Each program provides centralized case management of defendants. This organizational structure facilitates consistent sanctioning and supervision practices, and leads to better interim outcomes for defendants. PSA also uses a combination of in-house, contract-funded and community-based drug intervention programs. Defendants with mental health issues and other special needs are referred to appropriate community-based treatment programs as part of supervision.

Referral to social services: Defendants placed under the supervision of PSA have a variety of needs. PSA works with defendants to identify their social service needs and refer them to services.

Guiding Principle IV:

Innovative, effective use of technology and the development of human capital lead to organizational excellence, transparency, high professional and ethical standards, and accountability to the public.

Strategic Goal 4: Partner with stakeholders to address defendant needs and produce better system outcomes

PSA's partnerships with justice system agencies, local government and private social service providers, and the community enhance its ability to provide effective community supervision, enforce accountability of defendant conduct, and increase public safety.

Objectives

- Establish and maintain partnerships with national and local law enforcement agencies to advance city-wide justice goals and objectives.
- Maintain community-based resources for social services provision.

Means and Strategies

Effective partnering with other justice agencies and community organizations is a major strategy through which PSA enhances public safety in the District's neighborhoods and builds capacity for support services for defendants under pretrial supervision. Partnerships with the courts, the United States Attorney's Office, various District government agencies and non-profit community-based organizations help PSA effectuate close supervision to reasonably assure future court appearance and heighten public safety. In addition, treatment and social service options are developed and/or expanded to enhance PSA's ability to address the social problems that contribute to criminal behavior, thereby increasing a defendant's likelihood of success while under pretrial supervision. In order for partnerships to be viable, PSA proactively identifies

initiatives, seeks partnering entities, and collaborates with stakeholders to develop goals, objectives, and implementation plans.

Management Goal: Maintain a results-driven culture

PSA strives to be a performance-based, results-oriented organization that can directly link costs with outcomes. This goal demands an organizational culture that emphasizes performance and measures for results. PSA's performance-based culture stresses **employee results** (measured through employee satisfaction and performance ratings), **organization results** (measured by appropriate outcome and performance measures), and **customer results** (measured by customer satisfaction with Agency performance and products).

Objectives

During the strategic period, PSA will establish appropriate targets for the following:

- *Organizational Results:* Meeting of annual outcome measures and performance measures.
- *Employee Results:* Positive ratings in "Leadership and Knowledge Management," "Talent Management," "Job Satisfaction," and "Results-Oriented Performance Culture" areas under the Federal Employee Viewpoint Survey (FEVS).
- *Customer Results:* Positive ratings of judicial satisfaction of provision of Agency services, usefulness and quality of PSA reports, and staff responsiveness under the PSA Annual Judicial Survey.

Means and Strategies

- Clear and specific mission and vision statements supported by measurable strategic goals.
- A direct link of critical PSA functions to the Agency's mission and vision.
- Clear communication to PSA management and staff of lines of authority, work requirements and expectations.
- Continuous learning and capacity building.
- Open communications, transparency and trust.
- Continuous measurement of outcomes and performance

FOUNDATIONS FOR SUCCESS

PSA's near 50 years of service to the District of Columbia provides a strong foundation for future growth. The Agency's confidence in its ability to accomplish its strategic goals over the next four years comes from its mission statement, goals and objectives and the strong commitment of Agency staff to these ideals. PSA takes pride in its clear definition of "success" in mission critical areas, its ability to measure and consistently meet performance targets, and its record of strategic achievement.

MEASURING SUCCESS

PSA measures success through three critical outcomes:

1. The percentage of defendants rearrested for violent or drug crimes pretrial.
2. The percentage of cases in which a defendant failed to appear for at least one court hearing.
3. The percentage of defendants who remain on release at the conclusion of their pretrial status without a pending request for removal or revocation due to noncompliance.

Over the past four fiscal years, PSA has met or exceeded most of the established targets under each outcome measure (Table 1).

Table 1—Outcome Measure Results FY 2010-FY 2013					
OUTCOMES	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2013 Targets
Percentage of Defendants Rearrested for Violent or Drug Crimes During the Period of Pretrial Supervision					
Rearrests for all defendants for:					
Any crimes	12%	12%	11%	10%	12%
Violent crimes	3%	1%	1%	0.9%	2%
Drug crimes	4%	4%	3%	2%	4%
Percentage of Cases in Which a Defendant Failed to Appear for at Least One Court Hearing					
Any defendants	12%	12%	11%	12%	13%
Percentage of Defendants Who Remain on Release at the Conclusion of Their Pretrial Status Without a Pending Request for Removal or Revocation Due to Noncompliance					
	83%	88%	88%	87%	75%

Source: PSA Performance Improvement Center, October 1, 2013.

GPRAMA requires federal agencies to adopt outcome and performance measure targets for the ensuing two fiscal years and, when appropriate, suggest revisions to OMB for approval. Recommended measures and associated targets must be ambitious but reasonable, and linked to the agency's strategic mission and objectives. Consistent with this requirement, PSA revised several outcome and performance measure definitions and targets to cover fiscal years 2014-2016. These are based on PSA's actual performance over the previous five fiscal years as well as management's expectation of appropriate and quality performance in the strategy areas of risk assessment, supervision, substance use disorder treatment and mental health treatment integration, and partnerships. The targets also reflect improvements in data collection under our operation information system and data warehouse and our enhanced capacity to track, report, and analyze data and trends. Finally, these revisions better align outcome and performance measurement with PSA's stated mission, vision, and objectives.

- ✓ PSA revised its Outcome Measure 1 to *the percentage of defendants that remain on pretrial release without being arrested on a new criminal offense*. By broadening it to include all new arrests (versus the current measure that only considers violent or drug arrests), we believe the revised measure better emphasizes PSA's mission to promote public safety by minimizing the risk of any criminal arrests by pretrial defendants. Further, overall rearrest rates traditionally have been the safety outcome PSA has reported publicly.
- ✓ PSA reworded its Outcome Measure 2 to *the percentage of defendants that make all scheduled court appearances during the pretrial period*. The suggested wording better reflects PSA's objective to promote court appearance among released defendants and conforms to recommended wording of this outcome for pretrial services programs.⁵
- ✓ PSA increased Outcome Measures 3's target to 85 percent. PSA has recorded actual results under this measure of 83%, 88% and 88% from FYs 2010-2012. The recommended 85% target for FYs 2014-2016 is more consistent with these observed results. It also reflects the expected change in PSA's supervision population, given the growth in cases with "personal recognizance without conditions" releases—which is now double the rate of FY2010 and FY2011—that in previous fiscal years would have been ordered to PSA supervision.
- ✓ PSA discontinued tracking the percentage of defendants connected to educational or employment services following assessment as a performance measure. The data presented here mostly are administrative and not tied to mission-critical activities.

⁵ National Institute of Corrections (2001). *Measuring What Matters: Suggested Outcome and Performance Measures for the Pretrial Services Field*. Washington, D.C.: National Institute of Corrections

STAFF

PSA's greatest asset is its staff, as supported by its guiding principle that development of human capital leads to organizational excellence, transparency, high professional and ethical standards, and accountability to the public. Since its inception, the Agency has attracted, developed and retained employees who advocate its mission, goals and objectives and understand how their day-to-day work supports those ideals. Through their interactions with defendants, the courts and other external partners, staff also receives continuous reinforcement of the relevance of their work to D.C.'s criminal justice system and its larger community.

FEEDBACK FROM THE JUDICIARY

PSA considers judicial officers in the local and federal courts to be its primary "customers." To help gauge the opinions of judicial officers about the Agency's performance, PSA conducts biennial surveys of these stakeholders. The surveys address satisfaction with PSA's responsiveness, staff professionalism, the quality and benefit of PSA reports, PSA's supervision of higher risk defendants (including those with mental health and substance dependence issues), and the provision of treatment services. Survey results allow the Agency to assess its role, staff and quality of services.

In its 2012 Survey of Judicial Officers, PSA received responses from 24 Superior Court and five U.S. District Court judges, close to 40 percent of those asked to participate. Survey results show continued strong satisfaction of Agency performance among Superior and U.S. District Court judges. All survey respondents rated themselves as "Very Satisfied" or "Satisfied" with the array of services PSA provides the Court and rated information received from PSA as "Extremely Helpful" or "Very Helpful" in decision-making. All respondents "Strongly Agreed" or "Agreed" that PSA's recommendations for substance use disorder treatment placements and more stringent levels of supervision are supported by proper documentation. All respondents rated PSA's provision of supervision services as "Excellent" or "Good."

Ninety-four percent of Superior Court judges and 100 percent of U.S. District Court judges responding to PSA's 2013 Annual Judicial Survey were "Very Satisfied" or "Satisfied" with PSA's services to the Court. Ninety-seven percent of Superior Court respondents and 67 percent of District Court respondents were "Very Satisfied" or "Satisfied" with the quality of PSA information.

Ninety-four percent of Superior Court respondents and 83 percent of U.S. District Court respondents found PSA information "Very Useful" or "Useful" in their decision-making.

Ninety-four percent of Superior Court and all U.S. District Court respondents were "Very Satisfied" or "Satisfied" with the level of resourcefulness PSA staff exhibited in helping the courts with release and detention decisions. The same percentages were "Very Satisfied" or

“Satisfied” with the level of communication with PSA staff and staff responsiveness to the Court.

PREVIOUS STRATEGIC ENHANCEMENTS

Risk Assessment Validation

PSA set the goal of ensuring that its risk assessment instrument considered only factors suggested by local statute or found through empirical research as predictive of failure to appear or rearrest. To meet this strategic goal, in FY 2009, PSA contracted with the Urban Institute (UI) and Maxarth to conduct an independent validation of its risk instrument. Study objectives included:

1. Identification of statistically significant and relevant predictors of pretrial risk by defendants considered for pretrial release by judicial officers in D.C. Superior Court and the U.S. District Court for the District of Columbia.
2. Revision of the risk assessment to include identified risk factors appropriately weighted by their correlation to pretrial failure and proper designation of low, medium and high risk categories under appearance in court and public safety matrices.
3. A process review of current PSA risk assessment procedures to determine causes for staff overrides of the assessment tool and other potential issues in implementing the revised instrument.
4. Determination if specific risk factors are more common to higher-risk defendant populations or the commission of violent offenses while on supervision and if these factors should receive more weight in a single risk assessment or be used to create a separate risk assessment tool.

UI and Maxarth completed their study in June 2012. Their recommended assessment protocol considers nearly twice the number of risk factors as the Agency's current risk assessment and more accurately gauges a wider variety of pretrial misconduct. This would help PSA improve matching of higher-risk defendants with appropriate levels of supervision, enhance identification of defendants who could be released safely with no supervision or minimal monitoring, and promote better pretrial release and detention decision-making.

Expanding Supervision Resources for High Risk Defendants

PSA committed to evaluate the utility and feasibility of cutting-edge, evidence-based technologies and practices to improve its supervision of high risk defendants. During the strategic period, PSA implemented or studied supervision technologies such as cellular telephone electronic monitoring, Global Positioning Surveillance (GPS), automated telephone check-ins, and random drug testing systems as ways to improve its supervision of these defendants.

- ✓ PSA contracted with Abt Associates throughout the strategic planning period to evaluate the relationship between defendant characteristics and supervision and treatment

interventions to pretrial outcomes. Abt's research found differences in failure to appear and rearrest rates by supervision type and time under supervision, but these were not statistically significant. The research also confirmed findings from local and national risk assessment studies that lengthy prior criminal histories, persistent drug use, time at residence, and lower employment levels were contributors to misconduct.

- ✓ Cellular electronic monitoring technology bypasses traditional landline telephone service, thus allowing electronic surveillance of higher-risk defendants who do not have landline phone service. GPS location monitoring has broadened PSA's ability to monitor court-ordered stay away (from place and/or person) conditions. The Agency integrated both technologies into its High Intensity Supervision Program (HISP) in June 2008 and in FY2012 incorporated a one-piece surveillance unit that combines radio frequency (RF) and GPS technologies.
- ✓ During the strategic planning period, PSA began tracking the subsequent release of defendants initially detained by statute due to charge type, current relationship to the criminal justice system (current probation, parole or pretrial release status) or likelihood to miss scheduled court appearances. In FY 2012, almost 55 percent of initially detained defendants were subsequently released, nearly always to PSA's supervision. Statutory holds issued under D.C. Code Section 23-1322 accounted for 89 percent of initial detention, while cash bonds were used in 5.6 percent of detentions.
- ✓ PSA provides enhanced pretrial services reports (PSRs) containing information regarding past arrests that did not result in conviction to judicial officers hearing detention matters on violent felonies and felony weapons offenses. This procedure helps the courts make more informed decisions regarding continued detention or subsequent release of detained defendants.
- ✓ With the exception of GPS, PSA cannot consistently supervise a defendant's compliance with court-ordered "stay away from locations" conditions. To improve supervision here, PSA now provides stay away information to law enforcement agencies through JUSTIS, the city's coordinated criminal justice database. This allows law enforcement to query JUSTIS to see if an individual has a stay away condition. In addition, based upon these data, JUSTIS personnel developed a daily report that is distributed to the D.C. Metropolitan Police Department (MPD), providing officers with real-time information.
- ✓ PSA worked with MPD to speed notification of outstanding bench warrants. PSA's Office of Information Technology developed an automated report that includes court information on issued bench warrants and PSA's most current address and telephone information for the defendant. PSA now generates and distributes the "Bench Warrants List Report" every evening to various law enforcement agencies across the city, including each of the MPD Districts and the U.S. Marshals Service.

- ✓ In FY 2009, PSA launched a pilot project on the use of random drug testing for defendants in New Directions, one of the Agency's programs for drug-abusing defendants. The purpose of the pilot was to evaluate whether randomly drug testing defendants—rather than using a fixed testing schedule—would improve defendant compliance with drug testing conditions, increase detection of illicit drug use, increase abstinence from substance use or create efficiencies in PSA operations. Based on the encouraging findings from this pilot, PSA extended random testing in FY 2012 to all sanctions-based treatment defendants.

Enhancing Substance Dependence Treatment Resources

Under this enhancement, PSA developed strategies to maximize the effect of substance dependence treatment. This included strengthening PSA's internal treatment programs and working with the District's substance dependence and mental health treatment agencies to better respond to the treatment needs of mentally ill and dually-diagnosed defendants.

- ✓ In FY 2009, PSA launched the Support, Treatment, & Addiction Recovery Services (PSA STARS) program. This program allows PSA to provide defendants with a wider array of group offerings and to better match individual treatment needs to special group interventions (an essential, evidence-based practice in substance dependence treatment). Improvements under PSA STARS from the Agency's previous internal treatment protocol include: a more intensive group treatment regimen to lessen the demand for expensive residential treatment; the inclusion of multiple evidence-based treatment interventions; gender-specific groups; and specialized treatment for defendants with co-occurring substance dependence and mental health issues.
- ✓ In FY 2010, PSA commissioned independent evaluations of the Drug Court and PSA STARS. The first study gauged the Drug Court against national guidelines established by the National Association of Drug Court Professionals. The second evaluation consisted of a qualitative and quantitative review of PSA STARS's effectiveness in better matching treatment to assessed need and the quality of new intensive group treatment regimens and interventions.

The Drug Court assessment team:

- conducted various interviews with Drug Court staff, PSA Treatment Program and agency leadership, defendants and other members of the Drug Court steering committee, including judicial officers, public defenders and prosecutors;
- administered a structured survey to the Drug Court Steering Committee to better understand the design and elements of the program and protocols;
- completed a literature review on best practices for drug courts and examined the Drug Court program in relation to the standards and research; and
- provided final recommendations based on the assessment to PSA senior leadership.

The contractors also conducted a week-long training for PSA staff on the Drug Court model and provided support to PSA and the Drug Court Steering Committee on how to implement the accepted recommendations. PSA made several of the recommended enhancements to Drug Court protocols, such as providing in-depth staff training on evidence-based practices and contingency management; expanding use of amended sentencing agreements for felony-charged Drug Court defendants; incorporating random drug testing throughout all Drug Court phases; creating a dedicated group of trained Drug Court defense attorneys to provide representation at all Drug Court hearings; establishing direct representation by the assigned PSO at those hearings; and holding additional status hearings and weekly Drug Court case staffing.

The PSA STARS assessment included the following evaluation tasks:

- a literature review of recognized evidence-based practices for intervening with substance abusing adult defendants;
- individual interviews with most PSA Treatment Program staff, leadership, and external stakeholders, including D.C. Superior Court judicial officers;
- focus groups with defendants under PSA treatment/supervision to elicit their feedback on programming and services; and
- data analysis comparing current PSA STARS participants to defendants who participated under PSA's former treatment protocol.

PSA adopted several recommendations from the assessment team, including lengthening the treatment program to 24 weeks from 21 weeks; increasing the number of treatment hours in the early treatment phases to at least nine per week; requiring participation in outside support groups during the final treatment phase; increasing the timeliness and consistency of PSO responses to missed groups; standardizing protocols for treatment group observation and evaluation; and introducing a requirement for a clinical staffing for defendants failing to progress in treatment.

- ✓ In August 2008, Operations and the Office of Research, Analysis and Development (renamed as the Office of Strategic Development in FY 2013) began the first of on-going focus groups of defendants under sanction-based treatment in New Directions and Drug Court. These focus groups were intended to assess defendants' impressions of PSA's in-house treatment programs, identify treatment strategies defendants believed worked best in helping them remain drug-free, and determine the services PSA should provide to help defendants remain drug-free following treatment participation. Since the inception of focus group interviews, participating defendants have consistently rated their treatment experience with PSA as either "good" or "excellent" and have given similarly high ratings to PSA's treatment staff. Among the elements of treatment mentioned as the most effective at encouraging future sobriety were "talk therapy" groups and interaction with PSA staff, other treatment clients and the Court.

Supervising Serious Traffic Offenses

To meet the requirements of the District of Columbia's bail law⁶ to manage persons charged with alcohol and substance dependence-related traffic offenses⁷ when requested by the Court, PSA planned an initiative with the D.C. Superior Court to identify and assess these defendants and promptly link them to community-based treatment services. Of particular priority would be defendants charged with drunken driving offenses who have mental health and/or substance dependence-related issues. PSA supervision would include drug testing, assessment for substance dependence and mental health services, and linkage to community based treatment.

- ✓ In FY 2010, PSA implemented supervision of defendants participating under the D.C. Misdemeanor/Traffic Initiative (DCMTI). DCMTI supervises persons processed in D.C. Misdemeanor and Traffic Court that require drug surveillance, substance dependence treatment or mental health services as conditions of release. Defendants released to DCMTI submit to regular drug surveillance and are connected to community-based treatment and service providers. Since DCMTI's start in December 2009 to the end of Fiscal Year 2013, the program supervised over 3,900 defendants.

Expansion of Diversion Opportunities

PSA worked with the DCSC and the U.S. Attorney's Office for the District of Columbia (USAO) to expand diversion opportunities and the types of defendants eligible for these opportunities.

- ✓ In FY 2008, PSA, the DCSC, USAO and local defense bar created the Mental Health Diversion Court (MHDC) to provide an alternative to case processing for appropriate defendants with mental health issues. PSA's participation in the MHDC included assessing and recommending eligible misdemeanor defendants for participation, providing close supervision and referrals for mental health and substance dependence treatment, and reporting compliance to the court. During FY 2011, the renamed Mental Health Community Court (MHCC) expanded to offer diversion opportunities to defendants charged with certain non-violent felonies. In FY 2013, the MHCC certified 522 defendants and saw 160 defendants graduate and have their cases dismissed.
- ✓ In FY 2012, the DCSC expanded the community courts concept citywide, making more defendants under PSA's supervision eligible for diversion opportunities.

⁶ D.C. Code 23-1303(a) and 23-1303(h).

⁷ The targeted population for this initiative includes defendants charged with Driving While Intoxicated (DWI), Driving Under the Influence (DUI), and Operating While Intoxicated (OWI), as well as certain other serious misdemeanor offenses in which defendants appear to have substance and/or mental health-related issues.

Partnership Expansion

Between FY 2008 and FY 2013, PSA pledged to increase its partnerships with local justice, District government and community-based organizations. Effective partnering allows PSA to enhance public safety and build capacity for support services for defendants under pretrial supervision. Through these partnerships, PSA can enhance close supervision to assure that defendants will return to court and not be a danger to the community while on pretrial release.

- ✓ PSA facilitated development of the city's strategic plan for persons involved in the criminal justice system who have serious and persistent mental illness or co-occurring mental health and substance dependence disorders.⁸ The plan included the creation of the Criminal Justice Coordinating Council's Substance use disorder Treatment and Mental Health Services Integration Taskforce (the Taskforce) as the group through which the strategic plan initiatives would be developed and implemented. The strategic plan initiates systemic change for the identification and treatment of individuals with serious and persistent mental illness or co-occurring mental health and substance use disorders, with specific focus on diverting them from the criminal justice system at the earliest point possible while promoting public safety.

Since its inception in 2006, this Taskforce has undertaken significant work in planning and coordinating efforts to connect mental health and substance dependence treatment with the criminal justice system. In FY 2009, the Taskforce focused on improving data sharing among stakeholders as a way to accomplish better data collection and analysis and address the many barriers to appropriate information sharing among the justice, mental health and substance dependence treatment systems. Efforts included evaluating the feasibility of data sharing between the District's criminal justice, mental health and substance dependence treatment systems by chronicling the District's data sharing needs and identifying any statutory barriers for individual agencies, Federal and local. Significant strides were made in exploring legislative amendments that, when enacted, enabled more effective transfer of information among participating entities.

- ✓ PSA was a major contributor to the FY 2008 and FY 2011 staging of *Fugitive Safe Surrender* (FSS), conducted with the U.S. Marshals Service, CSOSA, the U.S. Attorney's Office, Public Defender Service, MPD, the D.C. Office of the Attorney General, and the D.C. Superior Court. This coordinated effort allowed persons that were wanted on outstanding warrants to surrender in exchange for favorable consideration of their case by the court and the prosecuting agency. The combined FSS events yielded 1,300 voluntary surrenders.
- ✓ PSA is an active participant in GunStat, a collaborative District-wide effort aimed at tracking gun cases through the criminal justice system in order to identify trends and system strengths and weaknesses in the handling of these cases. Its goal is to identify and resolve

⁸ The plan was developed with funding from the Bureau of Justice Assistance.

gaps in targeting those who commit gun offenses and in processing them through the local justice system. As a GunStat partner, PSA provides other agencies with updates on targeted defendants and reports on their performance while on pretrial release.

Human Capital Development

PSA is committed to developing and implementing a comprehensive Supervisory Development Program (SDP) and Management Development Program (MDP) to identify the requisite training and continuing learning needs of new supervisory employees. Both the SDP and MDP will use best-practices identified in the public and private sectors.

- ✓ To identify current and needed supervisory staff competencies, in FY 2010, PSA Executive Management funded a “360 Degree Assessment” of management competencies for all supervisors. The assessment included gauging managers on their job-related competencies, developing plans to enhance their ability to manage people effectively, and individual coaching sessions for each participant.
- ✓ In FY 2011, PSA identified job-related competencies for mission critical employees, to include management officials and supervisors in Operations. Office of Human Capital Management (OHCM) staff developed an assessment tool for each position, and PSA office and program areas supervisors administered these tools to mission-critical employees in late FY 2011. PSA began administering the job competency assessments on biannually in January 2013. Work under this project will help PSA identify competency gaps for supervisory employees, enhance existing supervisory training programs, and identify new training needs.

IMPROVED INFORMATION TECHNOLOGY

PSA made several upgrades to its Pretrial Real-time Information System Manager (PRISM) to improve accurate logging of mission critical data, ensure easier reporting to stakeholders, and enhance quality assurance and control. “PRISM 3.0” featured a new diagnostic module for better risk assessment and recommendation capacity. PSA also expanded delivery of information on prior arrests resulting in dismissals or acquittals for defendants charged with violent felonies or felony weapons offenses to judicial officers in detention hearing courts. “PRISM 4.0,” deployed in December 2013, upgrades tracking and reporting of defendant compliance with court-ordered conditions of release and faster and more accurate reporting of check-ins for defendants required to drug test.

STRATEGIC PLAN DEVELOPMENT

PSA's strategic planning development followed new requirements outlined for Federal agencies. Agency staff involved in strategic planning development obtained input from PSA's internal and external stakeholders on what they considered the Agency's main strategic objectives and areas for improvement over the next four years. Staff also conducted an environmental scan of PSA's strengths and weaknesses, as well as opportunities and issues within the current and assumed future justice and community environment. Finally, strategic planning development staff used results from PSA staff focus groups and the *Federal Employee Viewpoint Survey* to gauge overall PSA staff's awareness of the Agency's mission and goals and their willingness to work towards identified strategic goals.

GPRAMA REQUIREMENTS

GPRAMA established new requirements for Federal non-Chief Financial Officer agency strategic plans. The new law revises agency strategic planning requirements under the old Government Performance and Results Act (GPRA) by aligning planning with presidential terms of office, requiring greater cross-agency alignment of goals and programs, and including congressional consultation in the development of the plans. Significant GPRAMA changes incorporated into this *Strategic Plan* include:

- A four-year planning cycle (reduced from the previous GPRA's five-year cycle). The new time period is linked to the beginning of new Presidential terms, with new strategic plans due the first Monday in February of any year following the year in which the term of the President commences.
- A description of how the Agency is working with other agencies to achieve its goals and objectives.
- A description of how the goals and objectives incorporate views and suggestions obtained through congressional consultations.
- An identification of those key factors external to the Agency and beyond its control that could significantly affect the achievement of the general goals and objectives.
- A description of the program evaluations used in establishing or revising general goals and objectives, with a schedule for future program evaluations to be conducted.

GPRAMA also allows the PSA Director to adjust the plan during the strategic period to reflect significant changes in the environment in which the Agency is operating, with appropriate notification to Congress.

PSA achieved the GPRAMA milestones of designating its Deputy Director as *Chief Operating Officer* (COO) and Director of Strategic Development as *Performance Improvement Officer* (PIO). The COO will provide overall organization management to improve Agency performance and achieve Agency goals through strategic and performance planning, measurement, analysis, and

regular assessment of performance information to improve results. The PIO reports directly to the COO and will support Agency leadership in driving performance improvement efforts through goal-setting, data driven analysis, and cross-Agency collaboration.⁹ During this strategic period, PSA will incorporate other GPRAMA-mandated performance improvements, such as regular performance reviews, linking personnel performance appraisals to organizational priorities, and ensuring transparency of performance information to increase accountability and results.

STAKEHOLDER FEEDBACK

In compliance with GPRAMA requirements, PSA solicited feedback from the Agency's internal and external stakeholders. Key external stakeholders contributing input included:

- Superior Court of the District of Columbia;
- United States District Court for the District of Columbia;
- Public Defender Service for the District of Columbia;
- United States Attorney's Office;
- Office of the Deputy Mayor for Public Safety;
- Court Services and Offender Supervision Agency;
- District of Columbia Department of Corrections;
- Criminal Justice Coordinating Council;
- District of Columbia Addiction Prevention and Recovery Administration;
- District of Columbia Department of Mental Health;¹⁰
- District of Columbia Metropolitan Police Department;
- Federal Public Defender for the District of Columbia; and
- Defendants under PSA's supervision.

Stakeholder interviews included the following questions:

What additional or enhanced activities, functions or services would make PSA more effective in accomplishing its mission?

Where do you see PSA in the next 4 years?

What are we doing well? Besides the points mentioned in Question 1, are there other areas where we could improve?

In your opinion, what should be PSA's main strategic objectives over the next four years?

⁹ See OMB Memorandum M-11-31, "Delivering an Effective, Efficient and Accountable Government." August 17, 2011.

¹⁰ On October 1, 2013, the Department of Mental Health and the Addiction Prevention Recovery Administration were consolidated under the new Department of Behavioral Health.

Are there specific defendant or community populations that PSA should focus on during the next four years?

Which of your agency's strategic initiatives could PSA help you to achieve? How?

How could PSA be a better partner to your agency?

Are there any potential threats or opportunities you can think of that would help or hinder PSA from becoming a better criminal justice system partner?

Local Partner Feedback:

PSA continues to enjoy a solid reputation among its local partners as an effective and integral criminal justice agency.

Based on stakeholder comments, PSA continues to enjoy a solid reputation among its local partners as an effective and integral criminal justice agency. As one stakeholder observed, “The biggest thing going for [PSA] is your reputation as an Agency. When you say it, you can deliver.” Most stakeholders understood and were complimentary of PSA’s mission and identified goals and objectives. Frequently cited as strengths were the Agency’s willingness to partner with other criminal justice and community agencies, use of data in decision-making, capacity to manage public and private data, and sharing of information among appropriate partner agencies. Judicial officers interviewed also mentioned the professionalism of PSA staff that represent the Agency in court and the quality and completeness of PSA reports and notices.

Working with Less:

Stakeholders identified reduced funding and resources as the main threat and a major opportunity during the next strategic period.

The following were the most commonly cited strategic and issue areas by stakeholders:

- 1. Working with less will be the new norm:** Nearly all stakeholders cited decreased funding and reductions in local services as the greatest threats facing PSA in the next strategic period. Most believed budget and resource cuts would mean a slow down or cut back in the level of services the Agency’s partners have come to expect. However, several stakeholders identified “working with less” as an opportunity for the Agency to target its resources to truly high priority areas, encourage collaboration and use of technology to offset reductions, and be the basis for honest discussions with partner agencies about what PSA should and should not be expected to accomplish.
- 2. Agency resources should be targeted to higher-risk defendants:** Consistent with the body of research on evidence-based practices in criminal justice, stakeholders identified improved matching of supervision and service resources to defendant risk level as a strategic point. This would mean targeting the bulk of PSA supervision, treatment and social services provision to those defendants with the highest probability of pretrial misconduct. It also would mean that defendants with high-assessed needs but lower-assessed risk would not

receive treatment and services as often. As one stakeholder noted, unless the identified risk level is serious enough, “... sometimes the answer will have to be ‘no’” to funding treatment placements.

3. ***“Special” defendant populations will demand attention:*** Stakeholders identified several special populations that require closer or more innovative supervision (for example, younger defendants and defendants charged with domestic violence or sex offenses) or additional support services to help meet court-ordered requirements (veterans, the dually-diagnosed, transgendered, or substance dependent).

4. ***Collaboration is key:*** As one stakeholder noted: *“PSA is a vital partner in each of our initiatives.”* Most stakeholders believed the Agency should use its position as a strong collaborator to help prioritize goals and objectives among partner agencies and, when appropriate, pool vital resources, particularly access to information and community-based and contractual services. The Agency also should lead efforts with partner agencies to jointly evaluate and set performance goals for contractors and service providers.

Special Populations:

Several defendant populations may require closer or more innovative supervision or additional support services.

5. ***Innovation is essential:*** Nearly all stakeholders strongly encouraged PSA to incorporate into its operations emerging technologies and evidence-based practices to improve Agency management, enhance defendant risk assessment and risk management, and offset the effects of reduced resources. Among the new technologies stakeholders mentioned were: non-invasive drug testing and alternatives to urinalysis, hybrid GPS/EM electronic surveillance equipment, incorporating social media into defendant supervision, and improved Internet and server-based communications among criminal justice agencies. Stakeholders also were supportive of PSA’s efforts to validate its current risk assessment.
6. ***Dually-diagnosed defendants need a more holistic approach to supervision and service delivery:*** Stakeholders stressed the growing need for holistic, wrap-around services and integrated substance dependence and mental health treatment for dually-diagnosed defendants. This more integrated approach would involve staffs of PSA, its partner agencies APRA and DMH and service providers working more collaboratively, with the goal being—as described by APRA stakeholders—perceiving and treating a “co-occurred person,” not someone with separate and distinct issues. Stakeholders cited this more holistic approach as a way to improve services for this population, as well as to enhance coordination among PSA, APRA, DMH, and service providers. Areas targeted under this approach would be supervision and service provision, cross training of staff to increase knowledge and skills in both addiction and mental health, and a shared philosophy on the interrelationship of chemical dependency and mental health issues as the cornerstone in treatment provision.

ENVIRONMENTAL SCAN

A critical feature of strategic planning is identification of environmental factors that may affect future performance. For its analysis of these potential factors, PSA used the *SWOT Analysis Model* to identify and evaluate the agency, local criminal justice system, and Federal and other national trends. PSA-defined SWOT Analysis elements as:

- *Strengths*: characteristics that give PSA an advantage in the current and projected local and national environment.
- *Weaknesses*: characteristics that may place PSA at a disadvantage in the current and projected local and national environment.
- *Opportunities*: external characteristics that heighten PSA's ability to accomplish its strategic enhancements.
- *Threats*: external elements that may hinder accomplishment of strategic enhancements.

Using the SWOT technique, PSA reviewed each of the strategic enhancements suggested by stakeholders and its ongoing and already planned projects to determine which should have the higher priority over the next four years and, of these, which were obtainable. PSA also considered the strengths, weaknesses, opportunities, and threats planning for the achievement of each selected strategic enhancement.

EMPLOYEE SATISFACTION

This Plan relied on data from the Office of Personnel Management's Fiscal Year 2011 and Fiscal Year 2012 *Federal Employee Viewpoint Survey (FEVS)*. Results of both surveys confirmed that staff know and support PSA's mission and goals and understand the significance of the work they accomplish.

The 2011 survey identified areas of opportunity for PSA management to further enhance and strengthen staff satisfaction. Of the 214 Agency employees participating in the survey (57 percent of PSA's entire staff), 97 percent knew how their everyday work related to PSA's goals and priorities, 94 percent rated their work as "important," and 91 percent knew what was expected of them as employees. Further, 97 percent expressed a willingness to "put in the extra effort to get the job done" and 91 percent noted that supervisors and team leaders treated them and other staff with respect. PSA also showed marked increases from the FY 2010 viewpoint survey in staff responses to the level of motivation and commitment PSA management generated (a 10 percent increase from FY 2010 to FY 2011, and 23 percent higher than the government wide result), the level of respect for senior leaders (a nine percent increase from FY 2010 to FY 2011, and 25 percent higher than the government wide result), and leadership's high standards of honesty and integrity (a nine percent increase from FY 2010 to FY 2011, and 19 percent higher than the government wide result).

Survey results also identified areas where PSA could improve upon its human capital development and support. For example, 35 percent of surveyed staff felt that the Agency responded appropriately to poor performers (compared to a 31 percent government wide result) and 42 percent noted that differences in performance were recognized in a meaningful way in their units and offices (compared to a 36 percent government wide result). Forty percent of respondents believed that pay raises depended on job performance (compared to a 24 percent government wide result) and 51 percent agreed that work awards related to job performance (compared to a 44 percent government wide result). Forty-three percent of respondents were satisfied with their opportunities to get better or higher level jobs within the organization (compared to a 40 percent government wide result).

PSA also experienced decreases in positive staff responses from FY 2010 to FY 2011 in several important areas, including staff perception that co-workers cooperate “to get the job done” and satisfaction with PSA’s Work/Life and Health and Wellness Programs (a 13 percent decrease in both areas), recognition received for doing a good job (a seven percent decrease), and the overall quality of the work done by their individual unit (a six percent drop). These mirrored drops in positive staff responses on similar questions for the Federal workforce in general.¹¹

The 2012 FEVS included responses from 55.7 percent of PSA staff. For the first time, OPM published FEVS data for sub-agencies or components within larger agencies for comparison. These data ranked PSA tenth out of 292 agency subcomponents in overall employee satisfaction. PSA ranked first on work/life balance, in the top five percent for training and development and support for diversity, and in the top ten percent for effective leadership (in general and specifically by senior leaders and supervisors) and strategic management. Overall, PSA employees responded more positively to the questions included in the index scores than employees of other agencies. In addition, almost across the board (about 94 percent of questions), PSA’s positive response rates to individual questions were higher than those of the federal workforce in general.

In the four key areas measuring viewpoints for an agency overall – “Leadership and Knowledge Management,” “Talent Management,” “Job Satisfaction,” and “Results-Oriented Performance Culture” – PSA scored higher than the Government-wide scores in each area (Table 2).¹²

¹¹ See United States Office of Personnel Management. (2011). *The 2011 Federal Employee Viewpoint Survey: Empowering Employees, Inspiring Change*. Washington, DC: OPM.

¹² OMB released results from the 2013 FEVS in November 2013. Similar to other Federal agencies, PSA saw reductions in staff satisfaction in several key areas. With 67 percent of staff responding to the 2013 survey, PSA scored 67 percent positive responses under “Leadership and Knowledge Management,” 67 percent under “Talent Management,” 62 percent under “Job Satisfaction,” and 68 percent under “Results-Oriented Performance Culture.” Each of these actuals exceeded those for Federal agencies overall.

Table 2—2012 FEVS Indices Results

INDEX	PSA Score	Government-Wide Score
Leadership	72	60
Performance	62	53
Talent	72	59
Satisfaction	72	66

The 2012 FEVS highlighted continued areas of strength for PSA. Over 90 percent of staff agreed that PSA accomplishes its mission, that their individual work relates to agency goals and priorities and that their work was important. PSA’s work/life balance continued to rank highly (91 percent) as did staff’s willingness to put in extra effort to get the job done (97 percent). PSA also saw gains in several categories from 2012 over 2011, including staff perceptions that workloads were reasonable (84 percent in 2012 compared to 70 percent in 2011), supervisors providing opportunities to staff to demonstrate leadership skills (78 percent compared to 72 percent) and the overall quality of unit work (87 percent compared to 82 percent).

However, similar to 2011 results, the 2012 FEVS showed areas for improvement. Staff still perceived the Agency as not dealing well with “poor performers” (only 40 percent believed this occurred adequately in their work units), expressed dissatisfaction with their chances for upward mobility within PSA, and did not believe that current pay raises or awards were tied to individual performance. The 2012 FEV also showed declines from the 2011 results in several satisfaction areas, including managers promoting communication among different work groups (57 percent in 2012 compared to 69 percent in 2011), managers’ support of cross-unit collaboration (60 percent compared to 71 percent), organization leadership maintaining high standards of honesty and integrity (69 percent to 76 percent), leadership generating high levels of motivation and commitment within the workforce (61 percent to 68 percent), and the job performance of upper managers (66 percent to 73 percent).

LINK TO THE HUMAN CAPITAL MANAGEMENT PLAN

PSA’s Human Capital Plan (HCP) guides the Agency’s internal management and human capital functions in support of mission accomplishment for the same four-year period covered by the Strategic Plan. PSA developed the HCP in concert with the Strategic Plan to ensure support of the Agency’s strategic direction. For the FY 2012 – 2016 planning cycle, OHCM staff participated in strategic planning interviews with stakeholders and in developing the Strategic Plan. OHCM staff then crafted the HCP to respond to the human capital management issues identified by stakeholders and to address changes needed to support each strategic enhancement. In addition, the goals identified in the HCP focus on responding to issues identified in the Employee Viewpoint Survey. Human capital management activities over the next four years include, but are not limited to:

- fully developing the supervisory and management development plans and other resources for supervisors to ensure that employees are managed effectively and rewarded appropriately for good performance;
- ensuring that workforce performance is aligned to mission, goals and outcomes;
- identifying and eliminating recruitment and retention barriers;
- fostering employee development;
- hiring or reassigning staff to meet changing needs; and
- identifying and addressing skill gaps for employees in mission-critical positions.

A copy of the HCP is available on PSA's internal and public web sites.

LINK TO THE DIVERSITY AND INCLUSION STRATEGIC PLAN

Executive Order 13583 mandates all Federal agencies to develop and implement a strategic plan for diversity and inclusion. The Order emphasizes the Administration's commitment to promoting the Federal workplace as a model of equal opportunity, diversity and inclusion. The CSOSA/PSA *FY 2012-2014 Diversity and Inclusion Strategic Plan* is specifically aligned with both agency's human capital management strategic objectives to "recruit, develop, and retain a competent, committed, and diverse workforce that reflects the communities we serve; cultivate a flexible, inclusive and equitable work environment that promotes inclusiveness; and foster a culture that values diversity and empowers individuals in the workforce."¹³ The Plan is designed to achieve three major goals:

- Workforce Diversity - through the recruitment and retention of a workforce that represents all segments of American society;
- Workplace Inclusion - by cultivating a culture that encourages fairness and a level playing field for all employees; and
- Sustainability of a diverse and inclusive workforce.

To support building and sustaining an organization where persons of diverse geographic backgrounds, abilities, cultures, races, religions, and ethnicities are fully included, valued and respected, the *FY 2014-2018 Strategic Plan* includes several Management-related priority and performance goals tied to specific diversity objectives and targets.

¹³ CSOSA/PSA *FY 2012-2014 Diversity and Inclusion Strategic Plan, Introduction*.

FY 2014-2018 STRATEGIC INITIATIVES

Based on feedback from its criminal justice and community-based partners, results from its previous strategic and objectives, and anticipated challenges and opportunities over the next four years, PSA has adopted the following strategic and management objectives and corresponding priority goals and performance goals for fiscal years 2014 through 2018. Two strategic goals—use of evidence-based practices in defendant risk assessment, supervision and treatment and using innovative approaches in technology and organizational learning—cross-cut PSA’s Strategic Goals regarding risk assessment, supervision and treatment integration. The strategic objective of leveraging strategic partnerships links to Strategic Goal 4 while management objectives link to the Agency’s Management Goal.

Consistent with GPRAMA requirements, each priority and performance goal has a “Goal Leader,” an official named by the PSA Director and accountable to lead overall efforts to achieve the enhancement. The Goal Leader will lay out strategies to achieve the initiative, manage execution, regularly review performance, engage others as needed, and make course corrections as appropriate.¹⁴

Given the complexity of the underlying issues and the estimated time and resource needed for their success, several priority and performance goals have a “Planning Lead” and “Implementation Lead.” The Planning Lead will coordinate all activities needed to better clarify goal elements and to make realistic and appropriate recommendations for development and integration to the PSA Director or his designee. As official Goal Leader, the Implementation Lead will oversee all activities to implement PSA Director-approved initiatives under each goal. The Implementation Lead will be involved in all planning activities to identify and mitigate potential operational issues before actual implementation. As mentioned earlier, OHCM will estimate the human capital resource needs for each goal.

¹⁴ Office of Management and Budget, *Memorandum to Heads of Executive Departments and Agencies: Delivering an Efficient, Effective and Accountable Government*. M-11-31, August 17, 2011.

STRATEGIC OBJECTIVE I: USE EVIDENCE-BASED PRACTICES IN DEFENDANT RISK ASSESSMENT, SUPERVISION AND TREATMENT

*The application of evidence-based practices (EBPs) could potentially revolutionize the field of pretrial services. Pretrial services programs across the country are looking to apply these practices in hopes of seeing tangible results in the form of increased release rates, while maintaining or improving appearance and safety rates.*¹⁵

Over the past decade, practitioners and researchers have identified “evidence-based practices” for the criminal justice field. Evidence-based practices, or EBPs, are processes and tools shown through the breadth of research and knowledge to improve community supervision and correctional outcomes, such as reduced recidivism.¹⁶ Several EBP’s are applicable at the pretrial stage:¹⁷

1. Using an actuarial risk assessment to gauge an individual’s risk of recidivism and other misconduct.
2. Targeting supervision and interventions to match individual risk and needs. This includes:
 - a. Prioritizing supervision and treatment resources for higher risk individuals (*risk principle*),
 - b. Targeting interventions to criminogenic needs (*need principle*),
 - c. Being responsive to temperament, learning style, motivation, culture, and gender when assigning supervision programming (*responsivity principle*),
 - d. Integrating treatment into supervision.
3. Increasing the use of positive reinforcements.
4. Measuring relevant processes and practices.
5. Providing measurement feedback.

¹⁵ Cadigan, T. (2008). “Evidence-based Practices in Federal Pretrial Services” *Federal Probation*. p. 87.

¹⁶ Criminal Justice Institute. (2004). *Implementing Evidence-Based Practice in Community Corrections: The Principles of Effective Intervention*. Washington, DC: National Institute of Corrections. Van Nostrand, M. and Keebler, G. (2007). “Our Journey Toward Pretrial Justice.” *Federal Probation*, Volume 71, Number 2 pp. 20-25. The Pew Center on the States. (2008). *Putting Public Safety First: 13 Strategies for Successful Supervision and Reentry*. Washington, D.C.: The Pew Charitable Trust. Evidence-based practices include: using actuarial risk and needs assessments; incorporating enhanced intrinsic motivation in community supervision; targeting supervision interventions to assessed risk and needs levels; prioritizing supervision and treatment resources for higher risk offenders; responsiveness to defendant/offender temperament, learning style, motivation, culture, and gender; structuring 40-70 percent of high-risk individual’s time for three to nine months; using Cognitive Behavioral treatment methods; increasing positive reinforcement; engaging ongoing support in natural communities; measuring relevant processes and practices; and providing measurement feedback.

¹⁷ Van Nostrand, M. (2007). *Legal and Evidence-based Practices: Application of Legal Principles, Laws and Research*. Washington, D.C.: National Institute of Corrections.

PSA is committed to adopting evidence-based principles in all mission critical and work management areas. During the strategic period, PSA will strengthen or develop functioning in selected EBP areas, particularly the use of validated actuarial assessment, targeted supervision interventions, and improved and more frequent use of positive reinforcements.

PRIORITY GOALS

Impact Review of the Validated Actuarial Risk Assessment Instrument

PLANNING LEAD: Strategic Development Senior Analyst

IMPLEMENTATION LEAD: Court Services Program Director

Consistent with research showing that risk assessment and supervision assignment are best achieved through the use of a validated actuarial instrument,¹⁸ PSA incorporated an empirically validated risk assessment instrument (RAI) into its diagnostic protocols in FY 2014. This helped ensure that assigned risk levels were based on factors shown to be predictive of pretrial misconduct, improving PSA's identification of defendants that require little or no supervision and those needing higher levels of supervision and services while awaiting trial. This permits better targeting of supervision and treatment resources to defendants who are not eligible for detention by statute, but who present a greater probability of failure to appear or rearrest. In addition, the actuarial assessment's background design and programming allows PSA to add and test the predictive power of newly-identified variables against failure to appear and rearrest.¹⁹

During the strategic period, OSD will conduct an impact review of the new risk assessment to gauge the instrument's effect on assignment of defendants into supervision and non-supervision categories, subsequent Agency recommendations, court-ordered defendant assignments to supervision and non-supervision categories, failure rates, and staff and

¹⁸ Van Nostrand, M. (2007). Bonta, J., & Hanson, R. (1995). *Violent recidivism of men released from prison*. Paper presented at the 103rd Annual Convention of the American Psychological Association, New York, NY. Brizer, D. (1989). Grove, W.M., Zald, D.H., Lebow, B.S., Snitz, B.E. and Nelson, C.. (2000). Clinical versus mechanical prediction: A meta-analysis. *Psychological Assessment*, 12:19-30. "Introduction: Overview of current approaches to the prediction of violence." In D. Brizer & M. Crowner (Eds.), *Current approaches to the prediction of violence*. Washington, D.C.: American Psychiatric Press, Inc. Cormier, R. B. (1997). Gottfredson, S. (1987). "Prediction: An overview of selected methodological issues." In Gottfredson, D. & Tonry, M. (Eds.), *Prediction and Classification* (pp. 21-51). Chicago, IL: University of Chicago Press. Howe, E. (1994). "Judged person dangerousness as weighted averaging," *Journal of Applied Social Psychology*, 24(14), 1270-1290. Litwack, T., Kirschner, S., and Wack, R. (1993). "The assessment of dangerousness and predictions of violence: Recent research and future prospects," *Psychiatric Quarterly*, 64(3), 245-271. Wolfe, R. (2007). *Expanding the Use of Problem Solving*. Washington, D.C.: Center for Court Innovation. p. 3. Andrews, D.A., Bonta, J. and Hoge, R.D. (1990). *Classification for effective rehabilitation: Rediscovering psychology*. *Criminal Justice and Behavior*, 17(1): 19-52.

¹⁹ For example, MPD has created a "gang affiliation" designation for persons who are verified as street gang members or as having affiliations to these gangs. The Department believes this is a strong indicator of individuals likely to be involved in future homicides.

stakeholder opinions about the new assessment procedure. The milestone under this goal will be an impact review report to PSA Management in FY 2015.

PERFORMANCE GOALS

Explore Evidence-based Supervision Techniques to Reduce Recidivism among Youthful Defendants

PLANNING LEAD: Strategic Development Analyst

IMPLEMENTATION LEAD: Supervision Program Director

Defendants under the age of 21 (“youthful defendants”) made up 12 percent of PSA’s supervised population in Fiscal Years 2011-2012. Typically, these defendants had high rates of felony-filed charges (30 percent), charges involving victims (38 percent) and those involving weapons (22 percent). Youthful defendant’s rates of rearrest (16.1 percent) and failure to appear for scheduled court appearances (14.2 percent) are much higher than the averages recorded in FY 2011-2012 for all defendants. According to findings from PSA’s risk assessment instrument, youthful defendants tend to exhibit several dynamic factors associated with future recidivism—such as suspected alcohol abuse (76 percent of those assessed in FY 2011-2012) and suspected drug use (30 percent)—as well as more *static* factors, such as current probation or parole status (23 percent), previous pending charges (34.2 percent), previous felony convictions (18 percent) and previous misdemeanor convictions (24 percent).²⁰

Addressing dynamic criminogenic factors early in an individual’s development can reduce future recidivism by 10 to 30 percent.²¹ During the strategic period, PSA will identify evidence-based strategies to add to its current case management of youthful defendants that can help reduce future criminality and be employed within the relatively short time frame of pretrial supervision.

During the strategic period, the Planning Lead will present a report to the PSA Director, Deputy Director and Supervision Program that provides an overview of youthful defendant demographics, risk characteristics, criminal history, and pretrial outcomes compared to other pretrial defendants and identifies factors most associated with pretrial failure and continued criminality following case disposition. Using these and other data, the Implementation Lead will submit project plans on integrating appropriate recidivism reduction techniques into

²⁰ Kainu, M. (2013). PSA Data on Youthful Defendants. Pretrial Services Agency for the District of Columbia internal report.

²¹ Bonta, J., and Hanson, R. (1995). Andrews, D.A., Zinger, I., Hoge, R.D., Bonta, J., Gendreau, P. and Cullen, F.T. (1990). *Does correctional treatment work? A psychologically informed meta-analysis*. *Criminology*, 28:369-404. Bureau of Justice Statistics. (2003). *Reentry trends in the United States*. Washington, D.C.: U.S. Department of Justice. Gendreau, P., French, S.A. and Gionet, A. (2004). *What works (what doesn’t work): The principles of effective correctional treatment*. *Journal of Community Corrections*, 13:4-30. Wormith, J.S. (1984). *Attitude and behavior change of correctional clientele*. *Criminology*, 22:595-618.

current PSA supervision and treatment protocols. Each plan will detail the training, policy, and human capital revisions needed for each new technique.

Investigate Effective Supervision Options for Special Populations

PLANNING LEAD: Strategic Development Analyst

IMPLEMENTATION LEAD: Supervision Program Director

Stakeholders identified several defendant populations they believed will need additional PSA supervision or support over the next four years, including veterans and defendants charged with domestic violence, prostitution or felony sex offenses. Unfortunately, there is little existing information on these populations or about how best to supervise them pretrial. For example, PSA only recently has tracked the number of veterans under its supervision, with 1,063 veterans identified from FY 2011 and FY 2013. Internal Agency data show that defendants charged with domestic violence offenses have similar rearrest rates to other supervised defendants, but tend to be rearrested faster and more often for victim-related crimes. However, there are no recognized “best practices” for managing these defendants pretrial. This also is true of strategies to manage defendants charged with sex offenses.

During the strategic period, the Planning Lead will determine the proportion of PSA-supervised defendants that are charged with domestic violence or sex offenses as well those identified as veterans or transgendered, gauge their levels of risk and need, and compare these levels to current PSA diagnostic, supervision, and treatment options. Using these and other data, the Supervision Program Director will submit to the PSA Director and Deputy Director project plans on integrating appropriate supervision options into current PSA supervision and treatment protocols. Each plan will detail the training, policy, and human capital revisions needed for each new supervision option.

Assess the Efficacy of Treatment Program Enhancements

PLANNING LEAD: Strategic Development Analyst

IMPLEMENTATION LEAD: Treatment Program Director

During the strategic period, PSA will evaluate the outcomes of implementing recommended changes to its Drug Court program. The evaluation design will include a process component to determine whether recommended enhancements actually were implemented according to the original assessment team’s recommendations and an evaluation component to measure changes in Drug Court enrollment and participant composition, defendant compliance to treatment requirements, program completion rates, and rearrests and recidivism. The evaluation will measure changes from the previous Drug Court program under the following:

- Number and type of defendants entering Drug Court
- Eligibility and screening results
- Frequency and type of drug use while in Drug Court
- Frequency of and compliance with treatment session requirements
- Frequency and duration of Drug Court hearings

- Types and frequency of responses to defendant compliance and noncompliance
- Failure to appear rate
- Rearrest rate while in Drug Court
- Number of graduations and other successful outcomes
- Participant characteristics related to successful outcomes (e.g., program completion and decreased re-offending)
- Success of bringing defendants to program completion within an expected time frame
- Recidivism rate one year from Drug Court exit
- Defendant, staff and stakeholder opinions of Drug Court operations

The assessment will be completed in FY 2015.

STRATEGIC OBJECTIVE II: USE INNOVATIVE APPROACHES IN TECHNOLOGY AND ORGANIZATIONAL LEARNING

As several stakeholders noted when interviewed, making greater use of technology and encouraging innovation would help PSA offset funding decreases and reductions in local services. PSA already has implemented or is studying several new technologies, including automated risk assessment calculation, computerized diagnostic interviews, text messaging and E-mail for court notification, enhanced electronic surveillance, and off-site defendant reporting through mobile kiosks. Moreover, while we do not anticipate significant changes in the local defendant population during the strategic period, PSA recognizes that certain trends—such as new “designer drugs” and changes in the city’s overall demographic makeup—could affect defendant behavior and patterns of crime.

PSA has been a consistent leader in the use of new technologies in the pretrial field. To continue its leadership role and to realize potential cost savings through increased automation, PSA will take a more proactive approach during the strategic period to identify, assess, and incorporate emerging and field-appropriate technologies. The Agency also will develop mechanisms to keep PSA Management aware of emerging local and national trends that may impact our ability to assess, manage and treat pretrial defendants effectively.

PRIORITY GOALS

Create a Technology Advisory Committee to Assess and Recommend Emerging Technologies in Mission Critical and Work Management areas

LEAD: Policy and Program Development Manager

The Technology Advisory Committee, created in FY 2013 and comprised of Office of Information Technology, Strategic Development, and Operations staff, investigates and recommends to PSA Management the latest diagnostic, supervision, treatment and work

management technologies to help the Agency meet its mission, goals and objectives more efficiently and less expensively. Priorities here will be technologies that foster:

- Speed and accuracy of risk assessment results;
- Alternatives to urinalysis drug testing, particularly techniques that are less invasive or noninvasive;
- Random drug testing techniques;
- Biometric and fingerprint identification of defendants;
- Geographically-based reporting options for lower risk defendants;
- Detection of emerging drugs of abuse within the defendant population;
- State-of-the-art forensic techniques and practices;
- Effective cross-agency and cross-jurisdictional sharing of defendant information;
- Expansion of staff telework options;
- Faster and more accurate logging of Agency operational data;
- Use of Agency data for research, evaluation and strategic decision-making;
- Use of social media for defendant supervision;
- Supervision of higher-risk conditions such as curfews and stay away orders; and
- Automated communication with partner agencies regarding defendant compliance.

The Evidence to Practice Series

LEAD: Office of Strategic Development Director

In FY 2013, PSA instituted two procedures to introduce evidence-based operational and business practices to management and staff. The *Evidence-to-Practice Lecture Series* showcases a particular evidence-based practice in a set of lectures by leading authorities in that area. The FY 2013 lecture series centered on using outcome and performance measurement to achieve organizational results. The series presentation was instrumental in PSA's revision of its mission statement and in the logic modeling of all Agency office and programs activities to PSA's outcomes.

The Evidence to Practice website will create a real-time mechanism to present information on evidence-based practices regularly to PSA Management for use in decision-making and development. The website will describe the latest research and news about EBPs in risk assessment, risk management, treatment and organizational development and will feature links to other EBP resources. PSA created an "Evidence-to-Practice Committee" to produce and maintain the website and will make the site operational by the end of FY 2014.

PERFORMANCE GOALS

Investigate Dynamic Drug Use Trends within the Defendant Population

LEAD: Director of Forensic Toxicology

In 1984, PSA became the first pretrial services program in the country to use immunoassay drug testing to assess risk and supervise defendants. Regular testing for illicit drugs has reduced this

risk factor within the defendant population and improved significantly PSA's supervision and treatment functions. Over past two years, the rate of drug use among supervised defendants has averaged 28 percent. Defendants placed into sanctions-based treatment—which includes random drug testing, regular staffings with a case manager, and appropriate treatment placements—averaged an 85 percent reduction in drug use while under supervision over the past three fiscal years.

These outcomes are especially encouraging since drug use is a major factor associated with continued criminality. To ensure the continued effectiveness of this risk management technique, PSA will introduce procedures to investigate possible changes in drugs of choice within the defendant population. This will include periodically adding tests for newly-discovered drugs (such as “synthetic cannabinoids,” and buprenorphine etc.) in arrest and supervision drug screens and collaborating with research with partners such as the University of Maryland's Center for Substance use disorder Research.

STRATEGIC OBJECTIVE III: LEVERAGE STRATEGIC PARTNERSHIPS

PRIORITY GOALS

Collaboration with the District's Department of Behavioral Health to Improve Community-based Substance Dependence and Mental Health Services and Support

LEAD: Treatment Program Director

Illicit drug use and mental health issues are closely associated with pretrial failure. PSA outcome measure data from fiscal years 2010 to 2013 show that drug-using defendants have two to three times higher rates of FTA and rearrest than non-users. Defendants identified with mental health issues have seven percent higher FTA rates and eight percent higher rearrest rates than other defendants. PSA's efforts during the current strategic period were aimed at strengthening the Agency's internal assessment, supervision and service provision to better address these dynamic factors. These efforts have yielded success not only in reducing drug usage among supervised defendants but also in controlling rates of pretrial failure. For example, performance measure data for FY 2013 show that 84 percent of defendants placed into substance dependence treatment experienced a reduction in drug use while supervised. Treatment-supervised defendants recorded lower FTA (nine percent versus 11 percent) and rearrest (six percent versus 11 percent) rates than other supervised defendants. The FTA rates for supervised mentally ill defendants dropped by four percent from FY 2008 to FY 2013.

During the strategic period, PSA will focus on enhancing partnerships with the District's substance dependence and mental health services coordinating agency through the CJCC Substance use disorder Treatment and Mental Health Services Integration Taskforce (the Taskforce) to improve community-based services and support. The objective here will be to adopt a “behavioral treatment client” approach that treats the whole person, not just individual

issues. This approach would promote better coordination of assessment and treatment resources, communication among PSA, the Department of Behavioral Health, and data sharing on treatment vendor compliance with local certification standards, and contract obligations.

Through work with its Taskforce partners, PSA will define the following objectives to improve collaboration:

- Development of a joint “report card” of substance dependence and mental health services providers’ performance in managing pretrial defendants and adhering to local treatment and service provision standards.
- Establishment of agreements among partner agencies to use each other’s substance dependence and mental health assessments for treatment placements, where appropriate.
- Continuation of treatment and services following case disposition, particularly through the Department of Behavioral Health’s Recovery Support Services.
- Greater use of private and public health insurance options.
- Increased data sharing between partner agencies, especially on the defendant’s status with the criminal justice system and treatment compliance.
- Identifying and addressing statutory or procedural barriers to better collaboration.

PERFORMANCE GOALS

Improve Monitoring of Dually-Supervised Defendants

PLANNING LEAD: Policy and Program Development Manager

IMPLEMENTATION LEAD: Associate Director, Operations

Nearly 18 percent of PSA-supervised defendants also are on probation or parole, usually monitored by CSOSA.²² In addition, nearly half the youths under supervision to the District of Columbia Department of Youth Rehabilitation Services (DYRS) are at least 18 years old, making them eligible, if arrested again, for adult supervision.²³ To ensure better compliance by dually-supervised defendants and reduce the likelihood of technical violations due to duplicative conditions, PSA will coordinate its supervision and services, primarily with CSOSA, DYRS, Court Social Services and the Department of Child and Family Services. Objectives here will be reduction of duplicate supervision and service provision, better communication between case managers, regular reporting of defendant compliance to all supervising agencies, and improved management of all agencies’ resources. Milestones under this strategic goal include:

- Implementation of procedures outlined under a Memorandum of Agreement between PSA and dual supervision agencies on supervising defendants under multiple agency supervision. These include convening of regular meetings between the agencies to improve collaboration, annual cross training of staff, and permissible information exchange.
- Revising the PSA/CSOSA’s joint Policy Statement on dual supervision of pretrial defendants and supervised offenders.

²² Information taken from the data set used for PSA’s risk assessment validation research.

²³ From strategic planning interview with the District of Columbia Deputy Mayor for Public Safety.

- Improved data sharing between PSA's PRISM and CSOSA's SMART systems and regular case planning conferencing between case managers sharing supervision.
- Coordination of identical supervision requirements among multiple supervision agencies, such as drug testing, case manager reporting, and electronic surveillance.

MANAGEMENT OBJECTIVE I: ENHANCE PERFORMANCE-BASED MANAGEMENT

PRIORITY GOALS

Establish Agency-wide Quality Control/Quality Assurance Procedures

LEAD: Office of Strategic Development Director

PSA approved a policy statement mandating each Agency office and program area to draft a quality assurance (QA) plan to cover all identified mission critical work. Each *QA Plan* will:

- Identify each office and program area's core work functions.
- Verify that standards for acceptable quality of work within these functions are well defined in office or program area policy and procedure.
- Identify the staff within the office or program area responsible for all aspects of quality assurance.

In the next strategic period, each Agency office and program area will submit in FY 2014 an updated QA Plan for the PSA Director's approval. In addition, the Goal Leader will investigate and recommend to PSA Management other appropriate quality assurance and quality control techniques.

PERFORMANCE GOALS

Improve Outcome and Performance Measurement

LEAD: Strategic Development Senior Analyst

GPRAMA requires Federal agencies to review outcome and performance measure targets regularly and when appropriate, suggest revisions to OMB. Recommended measures and targets must be ambitious, but reasonable and linked to the agency's strategic mission and objectives. Consistent with these guidelines, PSA will recommend to OMB in its FY 2015 and FY 2016 budget requests revisions to our outcome and performance measure definitions and targets for Fiscal Years 2014-2016. These will be based on PSA's performance over the past five fiscal years as well as our expectation of appropriate and quality performance in our critical success factor areas of risk assessment, supervision, substance use disorder treatment and mental health treatment integration, and partnerships. Suggested targets also will reflect improvements in data collection under our operational information system and our enhanced

capacity to track, report, and analyze data and trends. Revisions also will better align outcome and performance measurement with PSA's updated mission and strategic and management goals.

PSA's FY 2016 budget submission will request two new performance measures to track judicial satisfaction of PSA performance and products and staff satisfaction as measured by the FEVS. These would be PSA's first qualitative measures of stakeholder opinion of Agency performance in its mission critical areas. We selected judicial officers since the Court is our principle criminal justice partner and because of the significance of the initial pretrial release/detention decision on all other case decisions and outcomes. Staff satisfaction and support of PSA mission and strategic goals is critical to our Management Goal of a results-driven culture. The suggested measures also conform to OMB's directive for Federal agencies to ground performance measures in research and evaluation.

Milestones under this goal include submission to OMB in the FY 2015 budget request of suggested revised and new outcome and performance measures and targets; upon approval, adoption of these new metrics by FY 2014; identification of appropriate data elements and manual and automated tracking techniques; and reporting of new metrics in the FY 2016 OMB and Congressional budget submissions.

MANAGEMENT OBJECTIVE II: MAXIMIZE WORKFORCE PRODUCTIVITY

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.

Pretrial Services Agency for the District of Columbia Vision Statement

Research in organizational management shows that customer satisfaction and organizational outcomes are enhanced when employees believe they have the opportunity every day to do what they do best, that their opinions matter, that co-workers are committed to quality, and there is a direct connection between their work and the organization's mission.²⁴ PSA's commitment to a diverse, inclusive and empowered staff drives the Agency's vision. During the strategic period, Agency Management will undertake several initiatives to improve employee satisfaction and enhance diversity, inclusion and workplace fairness.

²⁴ Impact of Employee Satisfaction on Customer Satisfaction of T Mobile United Kingdom. *StudyMode.com*. Retrieved April 2011, from <http://www.studymode.com/essays/Impact-Of-Employee-Satisfaction-On-Customer-652636.html>. Harter, J. K., Schmidt, F. L., Agrawal, S., and Plowman, S. K. (2013). *The relationship between engagement at work and organizational outcomes: 2012 Q12 meta-analysis*. Omaha, NE: Gallup.

PRIORITY GOALS

Emphasize Diversity and Inclusion as Agency-wide Core Values

LEAD: Office of Human Capital Management Director

During the strategic period, PSA will focus on recruitment and retention efforts to address workforce underrepresentation of Hispanic American, Asian American, White and employees with targeted disabilities. Established targets here will be averages of the National Civilian Labor Force for these groups as of FY 2013 as represented in Table 3.

Table 3 – Workforce Representation Comparison, PSA and NCFL FY 2013 Figures

GROUP	PSA Rate of Representation	NCFL Average
Hispanic American Employees	4.4%	10.7%
Asian Americans Employees	1.5%	3.6%
Employees with Targeted Disabilities	0.6%	5.9%

Specific activities under this goal will include:

Hispanic American recruitment and retention:

- Establish a targeted recruitment plan to increasing the number of Hispanic applicants and new hires.
- Establish partnership agreements with a wide variety of Hispanic organizations and colleges and universities with a high percentage of Hispanic students.
- Educate managers and supervisors on the Agency's lower than expected participation rate of Hispanic employees.
- Utilize Hispanic Employment Program Manager for recruitment efforts at colleges and universities with a high percentage of Hispanic students.

White recruitment and retention:

- Establish partnership agreements with professional organizations and major institutions of higher learning.
- Conduct targeted recruitment, to increase the number of White applicants and new hires for positions in the Agency's major occupations
- Educate managers and supervisors on the Agency's lower than expected participation rate for White males and females.

Asian American recruitment and retention:

- Establish a targeted recruitment plan to increase the number of Asian American applicants and new hires.
- Establish partnership agreements with a wide variety of Asian American organizations and colleges and universities with a high percentage of Asian American students.
- Utilize internal and external recruitment resources to identify Asian Americans for potential employment opportunities
- Educate managers and supervisors on the Agency's lower than expected participation rate of Asian Americans during monthly staff meetings and through the annual State of EEO Briefing.

Staff with Targeted Disabilities recruitment and retention:

- Educate supervisors and managers on Schedule A appointments and stress the importance of utilizing this special hiring authority to successfully recruit Schedule A new hires.
- Provide training for recruiting and hiring officials and staffing personnel about working with persons with disabilities, reasonable accommodation, and accessibility issues.
- Establish recruitment Goal of 2 percent for employees with Targeted Disabilities.
- Utilize internal and external resources to identify qualified individuals with targeted disabilities. This will include utilizing the Disability Program Manager to develop strategies to identify, recruit and hire the intended group.
- Expand and establish partnerships with disability services coordinators at various colleges and universities to encourage students to apply for positions in the Agency.
- Enhance relationships with organizations representing target groups.

Milestones here will be increases in the representation rate of the select groups and greater adherence to NCFL averages. Progress under this goal will be monitored through PSA and CSOSA's Diversity and Inclusion Council, headed by the CSOSA and PSA Directors and composed of both agencies' Executive staffs.

PERFORMANCE GOALS

FEVS "Lessons Learned"

PLANNING LEAD: Office of Human Capital Management Senior Analyst

The 2010-2013 FEV surveys give PSA trend data on significant employee satisfaction areas. The 2012 and 2013 surveys confirm that PSA staff overwhelmingly know and support agency mission and goals and understand the significance of the work they accomplish. Work/life balance is a high mark for staff as is willingness to "get the job done." However, PSA consistently has ranked more poorly in staff perception of how poor performance is handled, career advancement opportunities with the agency, and the connection between pay raises and job performance. Also disturbing were declines in 2012 and 2013 from previous surveys in areas such as managers promoting communication among different work groups management

support of cross-unit collaboration organization leadership maintaining high standards of honesty and integrity, leadership generating high levels of motivation and commitment within the workforce, and upper manager job performance.

During the strategic period, the Office of Human Capital Management will report on trends in employee satisfaction findings from 2010-2013. The report will include FEVS data as well as feedback from PSA staff through focus groups and smaller select surveys and show areas of continued strength, increases over reporting periods, and areas of decreases and continued low ratings. The report also will contain recommendations to PSA Management on how best to take advantage of identified strengths and address continued deficits and new challenges.

CONCLUSION

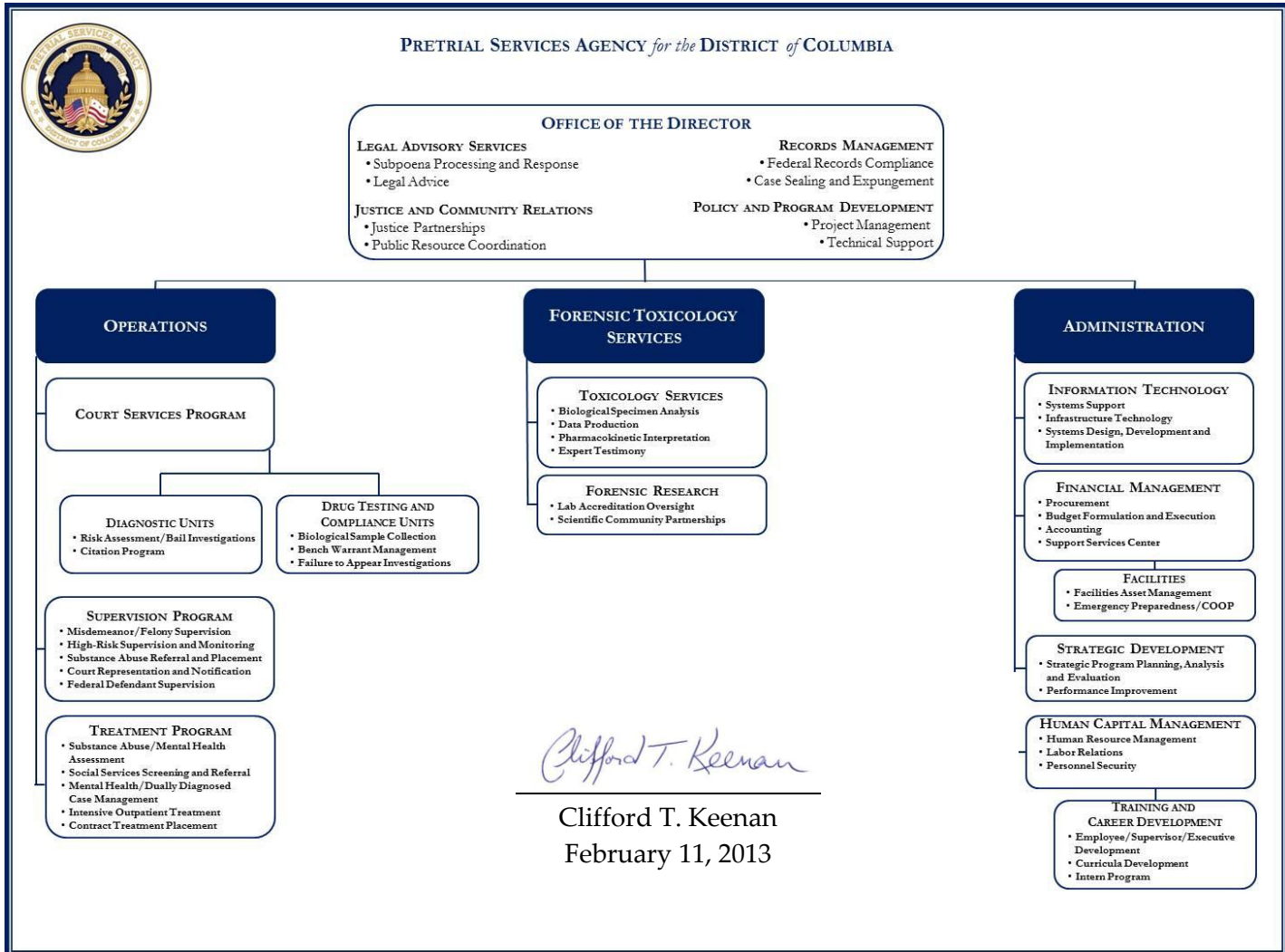
An evidence-based organization consistently develops and uses processes for systematically identifying, appraising and acting on objective data as the basis for effective problem solving, decision-making and concurrent outcomes assessment. This approach combines benchmarks, judgment and organizational values as the basis for demonstrating improved outcomes... What makes an evidence-based organization stand out among its competitors is the clarity among all members about the organization's purpose, vision and operations, as well as a commitment from each member to help reduce gaps between current and desired outcomes. An evidence-based organization is about making it real as well as getting it right.²⁵

The FY 2014-2018 strategic period presents clear challenges. PSA may have fewer resources available—either direct or through its community-based partners—to manage not only the current defendant population, but future defendant groups with potentially more varied risks and needs. PSA must continue to make effective supervision of higher-risk defendants a priority, but better refine its risk assessment, supervision, and treatment protocols to identify and manage this group. Substance dependence and mental health issues will remain major risk and needs factors and demand more collaborative and innovative responses from PSA and its treatment partners. However, the future also offers several potential opportunities. The Agency has the chance to better target its focus and resources towards truly mission-critical areas. New technologies may allow more effective and efficient risk assessment, supervision, and treatment at costs that are more reasonable. Finally, PSA's stakeholders and partners are committed to improving the quality of pretrial justice in the District of Columbia and are willing to continue and enhance meaningful collaborations in this area.

Most importantly, PSA brings to bear the strength of nearly 50 years of excellent service to the District of Columbia, a strong sense of mission and purpose, a dedicated and professional staff, and a reputation for collaboration and cooperation with other justice partners. Since becoming a Federal agency, PSA has sharpened its mission and vision and has focused on being driven by performance and measured by results. PSA's strategic initiatives will be the catalysts with which to focus the Agency's strengths and opportunities to meet future challenges and issues and to continue PSA's continuing development as an evidence-based organization.

²⁵ Walter, M. (2008). "Evidence-Based Organization: Using Alignment and Affiliation to Create Excellence in Outcomes." *Trustee Magazine*, April 2008.

APPENDIX A: AGENCY ORGANIZATIONAL CHART



APPENDIX B: OUTCOME AND PERFORMANCE MEASURE DIAGRAM

OUTCOMES

- 1: Percentage of Defendants that Remain on Pretrial Release without being Arrested on a New Criminal Offense**
- 2: Percentage of Defendants that Make All Scheduled Court Appearances during the Pretrial Period**
- 3: Percentage of Defendants Who Remain on Release at the Conclusion of Their Pretrial Status Without a Pending Request for Removal or Revocation Due to Noncompliance**

GOAL 1: ASSESSMENTS AND RELEASE RECOMMENDATIONS	GOAL 2: MONITORING AND SUPERVISION OF RELEASED DEFENDANTS	GOAL 3: INTEGRATING TREATMENT INTO SUPERVISION	GOAL 4: PARTNERSHIPS
1.1: Percentage of defendants who are assessed for risk of failure to appear and rearrest. 1.2: Percentage of defendants for whom PSA identifies eligibility for appropriate appearance and safety-based detention hearings	2.1: Percentage of defendants who are in compliance with release conditions at the end of supervision. 2.2: Percentage of defendants whose noncompliance is addressed by PSA either through the use of an administrative sanction or through recommendation for judicial action.	3.1: Percentage of referred defendants who are assessed for substance use disorder treatment 3.2: Percentage of eligible assessed defendants placed in substance use disorder treatment programs 3.3: Percentage of defendants who have a reduction in drug usage following placement in a sanction-based treatment program 3.4: Percentage of referred defendants who are assessed or screened for mental health treatment 3.5: Percentage of service-eligible assessed defendants connected to mental health services	4.1: Number of agreements established and maintained with organizations and/or agencies to provide education, employment, or treatment related services or through which defendants can fulfill community service requirements

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