

**DISTRICT OF COLUMBIA COURTS  
FY 2005 Budget Initiative**

**INVESTING IN INFORMATION TECHNOLOGY**

<b>Initiative Element</b>	<b>Requested Increase</b>
Desktop Computer Operating Systems Upgrade	\$ 250,000
Mainframe Upgrade	460,000
IT Performance Improvement and Quality Assurance	1,300,000
Business Continuity Management	225,000
Information Security Management	237,000
Information Technology Additional Staffing	198,000
Testing Lab for New Information Systems	125,000
Facilitating Public Access to Courts Information Over the Internet	213,000
Leadership, Compliance and IT Capital Planning	120,000
Web-Based Interoperability of Court Information Systems	151,000
Help Desk Software Upgrade	100,000
IT Training Facility	135,000
High Tech Courtroom	<u>385,000</u>
<b>TOTAL</b>	<b>\$3,899,000</b>

The District of Columbia Courts request \$3,899,000 in the FY 2005 budget for an information technology initiative in the Information Technology Division. The initiative would improve the Courts' capacity to meet their information needs, thereby supporting the Courts' strategic goal of fair, swift, and accessible justice. Of the total, \$250,000 is requested to upgrade the desktop computer operating systems and \$460,000 is requested to upgrade the mainframe. To establish a continuous improvement program for IT administration and management practices \$1,300,000 is needed; and \$225,000 is requested to ensure the continuity of information technology services. Also requested is \$237,000 for an information security management system; and \$198,000 for skilled staff to support IJIS and the ongoing implementation of the engineering lifecycle. The request includes \$125,000 for a testing laboratory for new information systems; \$213,000 to facilitate public access to the Courts through the Internet; and \$120,000 to institute leadership, compliance and capital planning measures. The Courts request \$151,000 to web-enable the legacy information systems; \$100,000 to upgrade the help desk software; \$135,000 to equip an IT training facility; and \$385,000 to implement a high tech courtroom.

**Initiative: Desktop Computer Operating Systems Upgrade**

<b>Initiative Elements</b>	<b>Requested Increase</b>
Operating System and Personal Productivity Software (Microsoft Windows XP and Microsoft Office) Licensing Costs	\$200,000
Installation Costs	\$50,000

Problem Statement. Many Courts desktop computers use Windows 98 as an operating system and run an antiquated version of Microsoft Office. The operating system is vulnerable to information security exploits, and it will not support the Integrated Justice Information System

(IJIS). To improve the performance, security, and interoperability of its desktop computers, the Court needs to upgrade from Windows 98 to Windows 2000 or Windows XP. As part of the upgrade process, the Court needs to develop a licensing system to minimize the cost of upgrading desktop computer operating systems.

Relationship to Court Mission and Goals. Upgrading operating systems will help the Court to:

- Provide swift, fair and accessible justice by making desktop computers interoperable with IJIS and thereby supporting the efficiency of Court operations.
- Inspire public trust and confidence in the justice system by eliminating vulnerabilities that persons could exploit to compromise Court information and information systems.

Relationship to Divisional Objectives. The core function of the Information Technology Division is to process, collect, and transfer information critical to the Courts. According to the Gartner Group and other technology analysts, desktop computer support is a determinant of high total cost of ownership, if an organization does not employ standard, interoperable systems. Establishing a licensing system and upgrading desktop operating systems should assist standardization of information technology support processes and improve the cost-effectiveness and responsiveness of desktop support services. It will also support full use of IJIS by all end users at Court facilities.

Expenditure Plan. Current funding supports maintenance of desktop computers and replacement of outdated hardware. Requested funding will finance Court-wide migration of desktop computers to a current secure operating system.

Methodology. The Court will acquire an appropriate site-wide license from Microsoft after establishing a license management system and selecting the appropriate operating system version. The license management system will define steps for performing cost/benefit analysis, establishing technology deployment procedures, and administering agreements with vendors. After establishing a license management system and selecting an operating system, the Court will purchase a license and upgrade desktop computers. The migration will adhere to standards for hardware maintenance.

Performance Indicators. The success of the initiative will be measured by the cycle time for upgrading desktop computers, compliance with standards for operating system security, the frequency of desktop-computer performance problems, and the declivity of post-migration levels of operating system-related desktop support.

Legislative Analysis. The Government Information Security Reform Act (GISRA), Office of Management and Budget (OMB) Circular A-130, and the Computer Security Act of 1987 set minimum standards for the security of information technology assets. The Clinger/Cohen Act requires interoperability of information systems that support critical operations. Upgrading desktop computer operating systems will enhance information security controls and create interoperability with IJIS.

## **Initiative: Mainframe Upgrade**

<b>Initiative Elements</b>	<b>Requested Increase</b>
Hardware Costs	\$400,000
Hardware Installation Costs	\$60,000

Problem Statement. The Courts’ mainframe computer is an IBM 2003/107. The current machine is not adequate for performance measurement software that the Court will implement to support strategic management or executive information/decision support tools that the Court will deploy with IJIS. To run these applications, the Court needs to upgrade its mainframe with at least 200 MIPS of processing power.

Relationship to Court Mission and Goals. Upgrading the mainframe will help the Court provide swift, fair and accessible justice, enhance public safety, and inspire public trust and confidence in the justice system by enabling the full use of IJIS and deployment of performance measurement software – a key initiative underway as part of the Court’s strategic planning process.

Relationship to Divisional Objectives. The core function of the Information Technology Division is to process, collect, and transfer information critical to the Courts. Without adequate processing power, the Information Technology Division will not be able to support the processing of information associated with IJIS and performance measurement software that the Court will implement.

Expenditure Plan. Requested funding will finance the upgrade of the mainframe and the cost of installing a new mainframe computer.

Methodology. The Court will upgrade its mainframe, supervise installation, and undertake data migration through a structured systems engineering lifecycle. The upgrade will be documented in the Court’s information technology architecture. The systems engineering lifecycle and information technology architecture are consistent with commonly accepted best practices (e.g., National Institutes of Standards and Technology) and requirements in the Clinger/Cohen Act.

Performance Indicators. Success of the initiative will be measured by the cycle time for upgrading the mainframe; the integrity of data migration; and the degree of disruption to Court operations during the installation and data migration process.

**Initiative: Information Technology Performance Improvement and Quality Assurance**

<b>Initiative Elements</b>	<b>Requested Increase</b>	<b>Requested FTE</b>
Performance Improvement Program Manager (GS-14)	\$107,000	1
Business Systems Analyst (GS-11)	\$63,000	1
Annual Performance Planning and Measurement Software and Services	\$200,000	
Annual Staff Training and Certification	\$30,000	
Capability Maturity Model Implementation Services	\$750,000	
Capability Maturity Compliance Assessment Services	\$150,000	

Problem Statement. The General Accounting Office (GAO) has recommended that the Court implement disciplined information technology (IT) management processes to improve performance and lower Integrated Justice Information System (IJIS) project risk. The Court is preparing an IT strategic plan, documenting its enterprise technology architecture, and reengineering its information technology management processes to achieve a Level 2 and then Level 3 maturity rating on the SEI’s Capability Maturity Model Integration (CMMI) for Software/Systems Engineering. To maintain these achievements and the compliance with GAO recommendations and Federal regulations that they will deliver, the Court needs to implement a continuous improvement program for its IT capabilities. The continuous improvement program will require the Court to hire a Performance Improvement Program Manager and a Configuration Management Analyst; acquire annual performance planning and measurement software and services; fund staff training in continuous improvement disciplines; and acquire capability maturity compliance audit services. Establishing a continuous improvement program for IT will help the Court link budgeting and financial management with performance management, and contribute to improving operational effectiveness.

Relationship to Court Mission and Goals. Establishing a continuous improvement program for IT administration and management practices will support the Court’s goals to provide swift, fair and accessible justice, to enhance public safety, and to inspire public trust and confidence in the justice system by improving the level of performance and lowering the rate of problems with IT assets.

Relationship to Divisional Objectives. The core function of the Information Technology Division is to process, collect, and transfer information critical to the Courts. Without an adequate, explicit continuous improvement process, the Information Technology Division cannot exert seamless control over efforts to adhere to standards, deliver acceptable service, and ensure satisfaction with IT services delivered to Courts personnel and the public.

Expenditure Plan. Requested funding will finance staffing to support continuous improvement; software and services to enable performance measurement; staff training and certification to ensure adequate skills exist; and capability maturity compliance assessment services to certify CMMI maturity.

Methodology. To undertake continuous improvement, the Information Technology Division will hire a Performance Improvement Program Manager to oversee the program and a Configuration

Management Analyst to maintain the Court’s information technology architecture. Execution of the process will adhere to and integrate with performance standards that the Information Technology Division is implementing as part of developing an enterprise technology architecture and achieving CMMI Level 2 and 3 ratings.

Performance Indicators. The success of the initiative will be measured by the achievement of key success factors and performance indicators defined in the Court’s IT strategic plan, which will be released in October 2002.

Legislative Analysis. GPRA, the Clinger/Cohen Act, and guidance from OMB require development of performance measures and adherence to them. They also link the budget process to performance management and stress the need for continuous improvement of IT asset utilization and management. A continuous improvement process for the Information Technology Division will support compliance with these regulations, as well as ongoing alignment of IT services with the Court’s mission, goals, and objectives.

**Initiative: Business Continuity Management**

<b>Initiative Elements</b>	<b>Requested Increase</b>
Business Continuity Plan Development	\$150,000
Business Continuity Plan Testing	\$75,000

Problem Statement. External audits recommended that the Courts take steps to ensure continuity of services provided by the Information Technology Division in the event of a disaster. Current Court capabilities are limited to procedures for restoring data from storage devices. The Court has not taken other necessary steps to ensure recoverability of information technology assets, which include defining mission-critical resources; establishing infrastructure to operate information systems when normal facilities are not available; developing procedures to restore information systems; and implementing a quality assurance program to test and maintain capabilities. The importance of court applications and the spate of recent computer outages underscore the need for developing business continuity management capabilities. OMB Circular A-130, Presidential Decision Directives 63 and 67, and General Accounting Office (GAO) computer auditing guidelines, as well as emerging homeland defense best practices, address the need to develop and maintain capabilities for business continuity and disaster recovery. At a minimum, these capabilities should enable effective response to incidents, temporary recovery of information systems using alternative infrastructure, and a return to normal operations after the conclusion of a crisis.

Relationship to Court Mission and Goals. Establishing and maintaining capabilities to recover mission-critical information systems will support the Court’s goals to provide swift, fair and accessible justice, to enhance public safety, and to inspire public trust and confidence in the justice system by supporting the availability and timely recoverability of Court operations during a crisis or in the event of a disaster.

Relationship to Divisional Objectives. The core function of the Information Technology Division is to process, collect, and transfer information critical to the Courts. Without adequate

capabilities to restore information systems in a timely manner, the Information Technology Division cannot provide assurance about the continuity of its operations.

Expenditure Plan. Requested funding will finance the development and testing of business continuity plans, training of Information Technology Division personnel, and creation of standards for maintaining business continuity plans, periodically reassessing risk, and complying with relevant federal regulations.

Methodology. To develop business continuity management capabilities, the Court will seek the assistance of a consultant organization and adopt a methodology consistent with National Institutes of Standards and Technology (NIST) Special Publication 800-34, PDD 63, Federal Information Processing Standards, Federal Emergency Management Agency (FEMA) Incident Command System (ICS), the Government Information System Reform Act (GISRA), OMB Circular A-130, and standards for homeland defense that emerge in the near future.

Performance Indicators. Success of the measure will be measured by the identification of mission-critical applications and their recovery time objectives; stakeholders’ awareness of their roles and responsibilities; and test-based demonstration of the ability to recover essential technology services within defined recovery time objectives.

Legislative Analysis. Various laws, regulations, and guidance identify or infer the need for business continuity plans that cover mission-critical information systems. They include OMB Circular A-130, GISRA, PDD 63, GISRA, and the Computer Security Act of 1987. In addition, best practices from NIST, the International Standards Organization, and other widely respected groups define business continuity management as a critical component of information security. The Federal Information Systems Controls Audit Manual (FISCAM), which auditors use to conduct reviews of information technology systems as part of financial statement audits, includes audit techniques for service continuity. Finally, trends to develop homeland defense capabilities throughout the government are raising awareness of the need for maintaining effective business continuity management capabilities (see GAO-02-621T, *National Preparedness: Integration of Federal, State, Local, and Private Sector Efforts is Critical to an Effective National Strategy for Homeland Security*).

**Initiative: Information Security Management**

<b>Initiative Elements</b>	<b>Requested Increase</b>	<b>Requested FTE</b>
Information Security Program Manager (GS-14)	\$107,000	1
Intrusion Detection System Assessment and Design Services	\$45,000	
Intrusion Detection System Hardware, Software, Installation, Training and Support Services	\$70,000	
Information Security Management Training	\$15,000	

Problem Statement. The Court has infrastructure, such as firewalls, for information security management and is developing an information security policy that is based on International Standards Organization (ISO) 17799 and consistent with the Government Information Security Reform Act (GISRA), Office of Management and Budget (OMB) Circular A-130, and related

regulations and guidance. The configuration of the Court's information security infrastructure offers pockets of protection, but it does not enable a defense-in-depth approach. For instance, quarterly vulnerability scans have uncovered both easily fixed vulnerabilities and architectural issues, such as an inadequate ability to monitor network activity and detect intrusion attempts. To fully implement its updated information security policy, the Court needs to enhance its infrastructure, standard operating procedures, and incident response capabilities, as well as fully staff its information security management function and train key personnel. This will require hiring an information security manager, implementing an intrusion detection system, and training Information Technology Division staff.

Relationship to the Court Mission and Strategic Goals. Enhancing information security management by improving technical controls, staffing needed positions, and complying with various Federal regulations will help the Court meet its goals:

- To provide fair, swift and accessible justice by providing assurance about the confidentiality.
- To enhance public safety by enabling an efficient, effective response to an information-security incident that threatens the Court and its constituents.
- To inspire public trust and confidence in the justice system by assuring the public about the privacy and security of Court information.

Relationship to Divisional Objectives. The core function of the Information Technology Division is to process, collect, and transfer information critical to the Court. Without adequate information security management, the Information Technology Division cannot ensure the integrity of the Court's information systems, the privacy of Court records, and compliance with laws and regulations.

Expenditure Plan. Requested funding will finance hiring an Information Security Program Manager, procuring an intrusion detection system, and training Information Technology Division staff in requisite areas.

Methodology. When carrying out this initiative, the Court will adhere to its information security policy. The policy establishes standards for areas such as but not limited to asset classification, business continuity planning, compliance with laws and regulations, electronic mail, end user computing, firewalls, Internet, laptop and remote computing, security operations, acceptable use, training and awareness, management control, privacy, IT resource monitoring, personnel, physical and environmental controls, certification and accreditation, due care by third parties, periodic risk assessment, performance measurement and reporting, and periodic risk assessment. Implementation of the information security policy will adhere to the Court's systems engineering lifecycle, which is based on the SEI Capability Maturity Model standards for software and systems engineering (and will enable Level 2 and 3 maturity over the next twelve to eighteen months).

Performance Indicators. The success of the initiative will be measured by information security policy-based performance measures linked to the confidentiality, integrity, and availability of the Court's information assets.

Legislative Analysis. The Computer Security Act of 1987, the Privacy Act of 1974, GISRA, OMB Circular A-130, and other guidance require minimum standards for information systems security. Achieving these standards in an open systems environment requires a defense-in-depth, entity-wide approach to information security management. The Court’s security posture, which is currently component-based, will mature to this level through the execution of this initiative.

**Initiative: Information Technology Division Staffing**

<b>Initiative Elements</b>	<b>Requested Increase</b>	<b>Requested FTE</b>
Applications Manager (GS-14)	\$107,000	1
Rational Systems Analyst (GS-13)	\$91,000	1

Problem Statement. With the implementation of IJIS, a new financial management system, and disciplined processes for systems engineering, the Court is beginning the process of transforming its IT capabilities. To sustain these achievements, fully support new IT services, and institute proper segregation of duties, the Court needs to staff two positions. The Applications Manager will assist with technical administration of IJIS and other client/server systems. The Rational Systems Analyst will support ongoing implementation of the Court’s systems engineering lifecycle through the use of tools from Rational, the software company. Current Information Technology Division cannot fully support the Court’s needs in these areas because of existing workload and skills gaps.

Relationship to the Court Mission and Strategic Goals. Staffing these new positions with skilled specialists will help the Court meet its goal to provide fair, swift and accessible justice by equipping the Information Technology Division with resources necessary to support new applications, and maintain disciplined processes. In addition, improving segregation of duties will help the Court to inspire public trust and confidence in the justice system by lowering the risk of improper, defective or unauthorized technology changes moving into a production mode and impacting adversely Court operations.

Relationship to Divisional Objectives. The core function of the Information Technology Division is to process, collect, and transfer information critical to the Courts. Without adequate staffing, the Information Technology Division cannot provide high quality, productive, adequately controlled services to the Court.

Methodology. When carrying out this initiative, the Court will follow established Human Resources Management policies and procedures for hiring new staff.

Performance Indicators. The success of this initiative will be measured by the quality of personnel hired and the skills sets provided by the personnel.

**Initiative: Testing Lab for New Information Systems**

<b>Initiative Elements</b>	<b>Requested Increase</b>
Computer Hardware and Software	\$110,000
Facility Renovations	\$10,000

Furniture and Hardware Racks	\$5,000
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Problem Statement. A recent audit of the Court identified information technology areas in need of enhancement related to improper configuration management and change control. These issues are due in part to the Information Technology Division not having a test environment with equipment that mirrors the platforms and configuration used in the production environment. The absence of a test environment puts the Court at risk of deploying software changes that are not adequately tested prior to release. Furthermore, it compromises compliance with various federal regulations (e.g., OMB Circular A-130) and best practices from NIST and SEI. To ameliorate this issue, the Court should install a test lab with computers that mimic the equipment, configuration, and platforms in its production environment.

Relationship to the Court Mission and Strategic Goals. Installing a test lab will help the Court meet its goal to provide fair, swift and accessible justice by reducing the risk of software changes being released into production that have defects and could compromise the integrity of the Court’s information systems.

Relationship to Divisional Objectives. The core function of the Information Technology Division is to process, collect, and transfer information critical to the Courts. Without a proper test environment to perform quality assurance of technology changes, the Information Technology Division cannot consistently provide assurance to the Court that technology changes (e.g., new applications, updates, patches) will be free of errors and ready for deployment.

Methodology. When carrying out this initiative, the Court will follow its IT strategic plan, adhere to appropriate policies, and follow its systems engineering lifecycle. These standards are being developed to achieve compliance with the Clinger/Cohen Act, OMB Circular A-130, and other relevant laws and regulations. In particular, the Information Technology Division will create a test lab from a blueprint that adequately mirrors the Court’s production environment and focuses on the most critical platforms and systems.

Performance Indicators. The success of the initiative will be measured by the time to install the test lab and the rate of defects in technology changes after its installation.

Legislative Analysis. OMB Circular A-130 requires Federal agencies to maintain an adequate level of control over IT assets. The Clinger/Cohen Act requires Federal agencies to consider information security in the management of their IT assets. Having a properly segregated IT environment is a key success factor in maintaining an adequate level of internal control and managing information security-related risks.

**Initiative: Facilitating Public Access to Court Information over the Internet**

<b>Initiative Elements</b>	<b>Requested Increase</b>	<b>Requested FTE</b>
Website Administrator (GS-11)	\$63,000	1
Website Software and Engineering Services	\$100,000	
Website Hardware	\$50,000	

Problem Statement. The Court's website, originally provided through the D.C. Bar Association, is relatively small and static. In its current configuration, the Website does not make significant information available to the public – an essential element of e-government and regulations that mandate its implementation. The fiscal year 2001 budget allowed the Court to transition the hosting of its Website from the D.C. Bar Association to an in-house server. Having equipment under internal control will assist the Court in providing timely information to the public. However, to succeed, the Court needs to redesign its Website to improve usability by the public. The Court also needs to add hardware to the infrastructure that runs its Website to improve its capacity, stability, and security.

Relationship to the Court Mission and Strategic Goals. Enhancing public access to Court information and hiring a staff member to maintain the enhancement will help the Court meet its goals:

- To provide fair, swift and accessible justice by providing a cost-effective, real-time mechanism for delivering information to the public.
- To enhance public safety by enabling delivery of information in a crisis. Lessons learned from events following the September 11, 2001 terrorist attacks point out the robustness of the Internet as a communications medium and the effectiveness of Websites as a tool for disseminating information to the public.
- To inspire public trust and confidence in the justice system by making documents, forms and other information more accessible, facilitating public interaction with the Court, and improving public knowledge of Court operations.

Relationship to Divisional Objectives. The core function of the Information Technology Division is to process, collect, and transfer information critical to the Courts. According to the National Center for State Courts' Trial Court Performance Standards, disseminating data to the public, with sensitivity to the confidential nature of certain court data, is an important technology function. This initiative will also enhance efforts to use the Internet for interactive transactions such as CJA Voucher Processing and Payment, Juror Qualification/Deferment, and payment of court fines and fees remotely.

Expenditure Plan. Current funding provides hardware that runs the Court's Website. Requested funding will finance redesign of the Court's Website to improve information delivery, acquisition of additional hardware to minimize exposure to unplanned downtime, and staffing to administer the redesigned Website.

Methodology. The Court needs to develop a model for delivering information through its Website; redesign its Website in a manner consistent with its information delivery model; test and deploy the new Website according adopted best practices for systems engineering; and support ongoing administration of the Website through allocation of responsibilities to existing staff. Since the Court's Website is a potential target for hackers, redesign, testing, and deployment must include steps for determining information security risks and mitigating them through proper controls. Under the methodology, the Court should have case schedule information from two divisions on the Internet within six months; a schedule for adding the remaining systems and features will be developed.

Performance Indicators. Success of the initiative will be measured by the amount of Website activity each month (measured as “hits” on the Website, number of unique site visits, etc.) the level of availability each month (measured as the amount of uptime during periods of demand, satisfaction of Website visitors (measured by a mechanism for collecting feedback from Website visitors), and the efficiency of information updates (measured by the cycle time to approve, prepare, test and deploy new information, features, or enhancements to the Court’s Website).

Legislative Analysis. The requested funds will help the Court comply with the Government Paperwork Elimination Act (GPEA).

**Initiative: Web-Based Interoperability of Court Information Systems**

<b>Initiative Elements</b>	<b>Requested Increase</b>
Distributed Printing Software	\$11,000
Middleware Application Software	\$125,000
Software Installation Services	\$15,000

Problem Statement. Several mainframe applications that the integrated justice information system (IJIS) will not immediately replace support court operations. Legacy criminal, civil and probate systems support mission-critical operations, and personnel throughout the Court use these systems. Due to their age and reliance on outdated standards, access to these systems is limited to special terminals, and the Court cannot effectively share information with the public. Enabling these systems to share information and provide access through a Web interface will improve the efficiency of Court operations and should assist satisfaction of requirements in GPEA. Procuring and installing software that will enable end users to print on networked printers rather than request jobs through computer operations staff will also improve the efficiency of Court operations and facilitate compliance with GPEA.

Relationship to Court Mission and Goals. By improving the accessibility of its legacy systems and the flow of data that will result, the Court will improve the efficiency of its information-sharing practices and support the achievement of its goal to provide swift, fair and accessible justice.

Relationship to Divisional Objectives. The core function of the Information Technology Division is to process, collect, and transfer information critical to the Courts. Web-enabling legacy information systems will improve the efficiency of transaction-oriented business practices and the accessibility of information to Courts personnel and the public. The initiative will also assist efforts to comply with regulations, guidance, and best practices covering paperwork elimination and e-government modernization.

Expenditure Plan. Requested funding will finance the acquisition of software necessary for Web interoperability and services to install the software.

Methodology. To achieve Web interoperability of legacy information systems, the Court must procure and install software according to adopted best practices for software acquisition and

engineering. These practices are based on Software Engineering Institute (SEI) Capability Maturity Model Integration (CMMI) standards for software and systems engineering. Specifically, the Court will need to define requirements for Web-enabling legacy systems; identify alternative software packages and select the best candidate; implement the package with the assistance of a software services firm; test and deploy the new functionality; and train Courts personnel to support the package in a production mode.

Performance Indicators. The success of the initiative will be measured by the ease of accessing legacy systems, the security of Web access to legacy systems, and the satisfaction of computer users with the new functionality.

Legislative Analysis. The requested funds will expedite compliance with GPEA. The initiative will also support business process improvement, a requirement under the Clinger/Cohen Act.

**Initiative: Help Desk Software Upgrade**

Initiative Elements	Requested Increase
Helpdesk Software, Installation Services and Training	\$100,000

Problem Statement. The Court relies on an in-house developed application to support help desk trouble ticket logging, problem ticket distribution, and problem resolution. The currently used software does not support end-to-end trouble ticket tracking, performance measurement, management reporting, and critical problem escalation. Various off-the-shelf software packages that support these functions are available. A helpdesk package is necessary to improve end-user support and permit performance-based help desk monitoring.

Relationship to Court Mission and Goals. Establishing a continuous improvement process for IT administration and management practices will support the Court’s goals to provide swift, fair and accessible justice by supporting timely resolution of problems with the IT infrastructure on which Court operations depend.

Relationship to Divisional Objectives. The core function of the Information Technology Division is to process, collect, and transfer information critical to the Courts. Without adequate helpdesk software, the Information Technology Division cannot systematically log, track and report on the resolution of problems with IT infrastructure, thus impeding the Court's ability to resolve issues in a timely, satisfactory manner.

Expenditure Plan. Requested funding will finance the acquisition and installation of an off-the-shelf helpdesk software package.

Methodology. To automate its Help Desk using a standard, supported commercial off the shelf (COTS) package, the Court must procure and install software according to adopted best practices for software acquisition and engineering. These practices are based on Software Engineering Institute (SEI) Capability Maturity Model standards for software and systems engineering. Specifically, the Court will need to define requirements for a new helpdesk package; identify alternative software packages; select the best candidate; implement the package test and

implement a new package; and train Courts personnel to support the package in a production mode.

Performance Indicators. The success of the initiative will be measured by the improved usability of a new help desk system and the cycle time for resolving problems under a new help desk system.

Legislative Analysis. OMB Circular A-130 requires adherence to minimum standards for information systems security and quality. As the interface to end users, the help desk plays a central role in user account management, problem resolution, critical problem escalation, and other activities that impact the integrity of information systems.

### **Initiative: IT Training Facility**

<b>Initiative Elements</b>	<b>Requested Increase</b>
Facility renovation and furniture	\$65,000
Computer hardware and software	\$55,000
Facility networking equipment and servers	\$15,000

Problem Statement. Because of the implementation of IJIS and a new financial management system, as well as the deployment of new tools within the Information Technology Division, the Court has an ongoing, pressing need to train its personnel to use new information systems. The lack of a facility to conduct training, however, impacts the Court's ability to provide timely instruction to its personnel in an on-the-job setting. The Court should equip a training facility, where end users, IT personnel, and senior management can receive training on a variety of computer-related topics that will affect their individual performance and the Court's operational effectiveness.

Relationship to the Court Mission and Strategic Goals. Establishing an IT training facility will help the Court meet its goals:

To provide fair, swift and accessible justice by providing a facility to train personnel, so they fully understand how to use the technology that should streamline operations.

To enhance public safety by facilitating regular, ongoing training in computer security.

To inspire public trust and confidence in the justice system by making better, more cost-effective use of Court resources in the development, acquisition, management, and use of IT assets.

Relationship to Divisional Objectives. The core function of the Information Technology Division is to process, collect, and transfer information critical to the Courts. Establishing a training facility will help the Information Technology Division fulfill its core function by promoting the development of expertise among IT staff and awareness about critical issues among the end user population.

Expenditure Plan. Requested funding will finance the installation of an IT training facility at the Court.

Methodology. The Court will contract with hardware, software, and facilities engineering vendors to install the IT training facility.

Performance Indicators. Success of this initiative will be measured by the use of the IT training facility, feedback on the quality of internal courses and instruction, and the decline in expenditures for similar training from organizations outside the Court.

**Initiative: High Tech Courtroom**

<b>Initiative Elements</b>	<b>Requested Increase</b>
System Design	\$22,000
Audio System	\$25,000
Video System	\$106,000
Communications	\$12,000
Control Systems	\$14,000
Millwork	\$72,000
Infrastructure (including raised floor)	\$66,000
Installation and Project Management	\$68,000

Problem Statement. The Court relies on technology to share information among interested parties and make its operations more efficient. New methods of integrating technology into the Court, such as the Courtroom 21 Project’s McGlothlin Courtroom, affiliated with the National Center for State Courts and the College of William and Mary, has the potential to dramatically transform legal proceedings. To adopt best-of-breed solutions in the future, the Court should implement a high tech courtroom that will take advantage of state-of-the-art audio, video, and communications technology and provide a roadmap for larger-scale modernization in the future.

Relationship to the Court Mission and Strategic Goals. Implementing a high tech courtroom will help the Court achieve its goal to provide fair, swift and accessible justice by providing infrastructure, where court proceedings can take advantage of state-of-the-art technology to improve efficiency and effectiveness.

Relationship to Divisional Objectives. The core function of the Information Technology Division is to process, collect, and transfer information critical to the Courts. Implementing a high tech courtroom will allow the Information Technology Division to support enhanced use of information systems to assist in the administration of justice.

Expenditure Plan. Requested funding will finance the implementation of a single high-tech courtroom modeled after the Courtroom 21 Project’s McGlothlin Courtroom.

Methodology. The Court will contract with a qualified vendor to design and install the high tech courtroom.

Performance Indicators. Success of the initiative will be measured by the impact the high tech courtroom has on the efficiency of the Court’s operations and the return on investment from the initiative.

### **Initiative: Leadership, Compliance and Capital Planning**

<b>Initiative Elements</b>	<b>Requested Increase</b>
IT Capital Planning Software	\$75,000
Annual Performance Planning and Reporting Services	\$45,000

Problem Statement. The Court is undergoing a period of rapid transformation in how it develops, acquires, deploys, manages, and uses IT assets. Commitment to implementing new systems, such as IJIS, and response to GAO criticisms of current IT management practices are driving the transformation. To succeed and comply with various laws and regulations, the Court needs to institute leadership, compliance, and capital planning measures. In the current fiscal year, the Court is updating its IT strategic plan, forming an IT steering committee that is akin to an IT investment review board, and reengineering its IT processes. To carry these initiatives forward, the Court needs to implement IT capital planning software and undertake annual strategic planning and performance reporting.

Relationship to the Court Mission and Strategic Goals. Instituting these compliance and capital planning measures will help the Court meet its goals:

- To provide fair, swift and accessible justice by better aligning the flexibility of the Information Systems Division with the Court’s organizational strategy and performance goals.
- To inspire public trust and confidence in the Justice System by making better, more cost-effective use of Court resources in the development, acquisition, management, and use of IT assets.

Relationship to Divisional Objectives. The core function of the Information Technology Division is to process, collect, and transfer information critical to the Courts. To carry out its activity in a manner that complies with various laws and regulations (e.g., the Clinger/Cohen Act, GISRA), the Information Systems Division needs to upgrade the current Director and Assistant Director positions to CIO and CTO, respectively, implement IT capital planning software and undertake annual performance planning and reporting.

Methodology. When carrying out this initiative, the Court will follow its IT and procurement policies.

**DISTRICT OF COLUMBIA COURTS**  
**FY 2005 Budget Initiative**

**ENHANCING PUBLIC SECURITY**

<b>Initiative Element</b>	<b>Requested Increase</b>
Increase number of Court Security Officers (Contractual Services -14 Court Security Officers)	\$ 956,000
Security and Fire Alarm Equipment*	6,000,000
<b>TOTAL</b>	<b>\$ 6,956,000</b>

\*Included in the FY 05 Capital Budget Request

Problem Statement. The September 11<sup>th</sup> terrorist attacks provided the impetus for a long overdue review of security at the D.C. Courts. As part of efforts to enhance security, the Courts requested that the U.S. Marshal Service conduct a physical security survey. Utilizing the United States Court Design Guide, which establishes standards for security measures and equipment used in federal court facilities, the U.S. Marshal Service conducted a review and identified a number of needed security upgrades. In addition, through a contract with the General Services Administration, a Preliminary Engineering Report (PER) was conducted that examined the existing security and fire alarm systems.

The District of Columbia Courts are housed in one of the busiest courthouses in the country. On a daily basis, approximately 10,000 persons visit the Courts, and between 250 and 550 prisoners are transported to the Court. The equipment in the Court's Security Control Center, which is over 15 years old, is beyond its useful life and in need of replacement. The current equipment exposes the Courts to potential security breaches. Similarly, the Courts' current complement of Court Security Officers (CSOs) has remained unchanged for over 10 years, despite the increase in court visitors and the addition of offices and hearing rooms. Compounding the need for additional security officer coverage is the relocation of Small Claims and Landlord and Tenant Courts from the Moultrie Building to Building B to accommodate the Family Court space needs. Small Claims and Landlord and Tenant Courts are the highest volume courts, totaling over 77,000 filings per year. Currently, Building B is staffed by five Court Security Officers; however, it is projected that 14 additional CSOs will be needed in Building B once Small Claims and Landlord and Tenant Courts are relocated to the building.

Relationship to the Courts' vision, mission, and goals. The enhancement of courthouse security would support the Courts' goal of improving court facilities by providing personnel and court participants with a safe and secure environment. A secure environment is essential to the Courts' mission of protecting rights and liberties and upholding the law.

Proposed Solution. The Courts propose to enhance their security and fire alarm equipment and services based on the findings of the Physical Security Survey conducted by the U.S. Marshal Service and the Preliminary Engineering Report. Also proposed is the addition of 23 Court Security Officers. The proposed project includes: a detailed study and survey; upgrade monitors

and audio/video devices with current state of the art equipment; upgrade judges' chambers with two-way intercom, door strikes, cameras and monitors; provide additional duress alarms; replace all card readers with current equipment and upgrade the Control Center TV System.

Methodology. The cost estimate for courthouse security enhancements would provide equipment and expert services.

Expenditure Plan. The equipment and consulting services would be procured in accordance with the Courts' Procurement Policies.

Performance Indicators. Performance indicators would include a reduction in the incident reports, increase in the court security officer coverage, and an increase in the compliance rate with federal courthouse security standards.

**DISTRICT OF COLUMBIA COURTS  
FY 2005 Budget Initiative**

**SELF-REPRESENTATION SERVICE CENTER**

<b>Initiative Elements</b>	<b>Requested Increase</b>	<b>Requested FTE</b>
Design and Construct Space	\$ 263,000	
Consulting Services	443,000	
Equipment	473,000	
Staff: (1) Project Director, (2) Attorneys, (7) Paralegals*	624,000	10
Printing	67,000	
Travel/Training	<u>14,000</u>	
<b>Total</b>	<b>\$ 1,884,000</b>	<b>10</b>

\*Bilingual staff positions required.

Problem Statement. The Courts seek to provide assistance to the large number of litigants who represent themselves in court, particularly in Family Court, Civil Division cases, especially in Landlord and Tenant and Small Claims matters. The Courts estimate that more than 50,000 self-represented litigants come to the courthouse each year. In several types of cases, for example, probate, domestic violence, small claims, landlord & tenant, domestic relations, and child support, one or both parties typically represent themselves. Self-represented litigants, who come to court without an attorney, present a special challenge to the Courts as they strive to provide fair and equal access to the justice system. Basic knowledge of the procedures and principles in the District's justice system is essential for these litigants. Many face additional language or literacy barriers. In addition, national trends indicate that some litigants represent themselves because they believe the matter is simple and should be within their capabilities. Although judges and court staff attempt to assist these self-represented litigants, they cannot provide legal advice or assist with completion of legal documents. The Courts would like to have a facility equipped, staffed, and dedicated to serving the widely varied needs of self-represented litigants.

Relationship to the Courts' vision, mission, and goals. The Self-Representation Service Center would enhance the Courts' vision of a court that is open to all and support the strategic issue of broadening access to justice and service to the public by improving services to litigants without lawyers. In addition, establishment of the Self-Representation Service Center has been identified as one of the twenty priority actions toward implementation of the strategic plan (Priority Action #9). When the Courts offer self-represented litigants assistance with their cases and explanations of the judicial process, the Courts make justice more accessible to these litigants.

Proposed Solution. The Courts propose to establish a Self-Representation Service Center to assist litigants without lawyers. A project director would (1) engage expert consultants to develop policies and procedures for the service center, (2) bring it into operation, and (3) manage it. The service center would have bilingual staff available to assist the public. Receptionists would provide basic directions and information, currently provided by the Courts' information

desk. Paralegal staff would assist litigants in filling out forms, provide procedural assistance, screen completed documents, and make referrals to the Courts' alternative dispute resolution program. Attorney staff would provide limited legal services and make referrals for more complex matters. Computers would be available for viewing orientation and instruction videos and using specialized software to fill out forms. Additional kiosks in the Courthouse would also be available, building on an a small initiative in fiscal year 2003. In addition, litigants could take information packages to guide them through the process. The Courts also hope to augment the services of court staff with pro bono legal providers (one pro bono program already provides some assistance to litigants in Family Court and Landlord and Tenant cases). The service center would occupy a central location in the Moultrie Building visible to and easily accessible by the general public, and it would operate smaller "satellite offices" in other areas, such as the Family Court and the Landlord and Tenant Branch, with particularly high rates of self-represented litigants.

Methodology. The cost estimate for the service center would provide space, staff, equipment, expert services, printing of information packages, and travel and training for staff.

Expenditure Plan. The Court would hire a project director and engage experts in service to self-represented litigants to develop detailed policies and procedures for the Center, to draft customer satisfaction surveys, and to create orientation and instructional videos. Space would be designed and constructed and additional staff would be hired according to court policies.

Performance Indicators. The main performance indicator of this initiative would be increased customer satisfaction, as measured by customer surveys. More generally, the service center will enhance the quality of justice in the District.

**DISTRICT OF COLUMBIA COURTS  
FY 2005 Budget Initiative**

**STRATEGIC PLANNING AND MANAGEMENT**

Initiative Element	Requested Increase	Requested FTE
Personnel - (2) Strategic Management Analysts	\$181,000	2
Training and Travel	15,000	
Contractual Services	75,000	
Performance Measurement Software	300,000	
<b>TOTAL</b>	<b>\$571,000</b>	<b>2</b>

Problem Statement. Since 2002, the Courts have been engaged in an intensive strategic planning process to determine priorities and develop clear organizational goals for the future. To lead this effort, the Courts appointed a full-time Director of Strategic Planning and a Strategic Planning Leadership Council, a joint planning group comprised of judges from the Court of Appeals and Superior Court, the Courts' Executive Officer and Clerks of Court, and Division Directors. The Council sought input through focus groups and surveys from over 1,500 justice system stakeholders, including litigants, attorneys, jurors, members of the public, judges, court employees, and representatives of government agencies and nonprofit organizations that interface with the judicial system. Utilizing this extensive pool of data addressing key areas of court performance such as access, timeliness, equality and fairness, independence, accountability, and public trust and confidence, the Council developed a five-year Strategic Plan that was adopted by the Courts' Joint Committee on Judicial Administration in December 2002. Entitled *Committed to Justice in the Nation's Capital, Strategic Plan of the District of Columbia Courts 2003 - 2007*, the Courts' Strategic Plan identifies five key strategic issues to be addressed over the next five years: 1) Enhancing the Administration of Justice; 2) Broadening Access to Justice and Service to the Public; 3) Enhancing Competence, Professionalism and Civility; 4) Improving Court Facilities and Technology; and 5) Building Trust and Confidence. Within each of these areas, the Plan identifies 18 goals and 67 strategies to achieve these goals.

In 2003, the Courts began implementing their Strategic Plan by requiring all divisions and units to develop action plans detailing how they would contribute to the achievement of the Courts' strategic goals. These divisional Management Action Plans, or MAPS, are two-year plans that identify specific objectives linked to a goal or strategy in the Plan, performance indicators, timeframes, and the names of responsible persons. Divisions will be required to update their MAPs every two years to ensure that objectives are achievable and realistic, and can be linked to budget requests and expenditures. In addition to division-level efforts, the Courts are establishing cross-functional work teams to implement certain goals and strategies of the Plan.

Presently, the Courts have only a Director of Strategic Planning, supported by an Administrative Assistant, dedicated on a full-time basis to coordinating court-wide strategic planning implementation activities. The Director of Strategic Planning works with the Courts' Strategic Planning Leadership Council, which meets once a month, to plan and discuss the Courts' implementation of the Strategic Plan. As the Courts' strategic planning process has progressed to include implementation activities by all court divisions, the development of a court-wide performance measurement system, and on-going assessment and monitoring of strategic initiatives, the Courts must enhance the resources committed to this effort and develop strategic management as a core business process throughout the organization. Accordingly, funds are requested for additional FTEs, training and travel for staff, expert consulting services, and performance measurement software as detailed below.

Proposed Solution. In 2005, the Courts plan to establish an Office of Strategic Management to guide the long-term implementation of their Strategic Plan and develop an organizational performance measurement system to assess, monitor and report on the Courts' progress in achieving strategic goals. This office will build the Courts' capacity to conduct effective long-range planning and strategic management of the organization by:

- ◆ Utilizing strategic planning tools and techniques, including environmental scanning, customer and stakeholder feedback surveys, and futures research to identify emerging strategic issues, trends and best practices;
- ◆ Developing an organizational performance measurement system, based on the Courts' adoption of nationally-recognized court performance standards (Strategy 5.2.1 of the Plan) and voluntary implementation of GPRA principles;
- ◆ Assessing the Courts' capacity to achieve strategic goals and performance targets and developing strategies to enhance capacity and mitigate risk in these areas (e.g., development of contingency plans);
- ◆ Leading and coordinating court-wide strategic planning and performance assessment activities;
- ◆ Providing technical assistance to court divisions on how to develop action plans designed to achieve the Courts' strategic goals and measure their performance;
- ◆ Coordinating court-wide strategic initiatives to ensure alignment with Courts' strategic goals and promote effective implementation.
- ◆ Monitoring the Courts' progress in achieving strategic goals and objectives and recommending remedial actions or alternate approaches to ensure continuous strategic management of the Courts' resources.
- ◆ Working with the Courts' Fiscal Officer to align strategic initiatives with the Courts' budgeting process and produce performance-based budgets.

- ◆ Working with the Courts' Director of Human Resources to develop and align the Courts' Senior Executive, managerial and staff performance management systems with the Courts' Strategic Plan;
- ◆ Preparing the Courts' long-range strategic plans, annual performance plans and reports, and periodic status reports on court strategic initiatives;

The Courts are requesting two additional FTEs, Strategic Management Analysts, to assist the Office of Strategic Management in developing effective approaches to implementing the Courts' strategic goals, working with court divisions and cross-functional teams to develop performance measures, tracking progress on strategic initiatives, analyzing performance data, and writing reports. Training and travel funds are requested to enable staff to attend professional training conferences on topics related to strategic planning, such as court performance standards, building performance-based organizations, budget and performance integration, and strategic management of human capital, as well as to conduct site visits to observe and learn about innovative practices and court improvement projects in other jurisdictions. Funding for contractual services is requested to retain an expert consultant to provide technical assistance to the Strategic Planning Leadership Council and court divisions in developing action plans and performance measures and procedures. To support organization-wide performance measurement, funds are requested to purchase performance measurement analysis and reporting software compatible with the Courts' computer system.

Relationship to Court Mission and Goals. The Office of Strategic Management supports Strategy 1.1.6 of the Courts' Strategic Plan, to *implement a management structure that directs, aligns and coordinates court activities to ensure achievement of strategic goals*. The requested funding for personnel, training and travel, expert services, and performance measurement software for the Office of Strategic Management will enhance the Courts' ability to implement the Strategic Plan throughout all divisions and units of the organization, and build the Courts' capacity to undertake effective strategic planning and performance assessment.

Methodology. The cost estimate for the Office of Strategic Management would provide staff, expert services, performance measurement analysis and reporting software, and travel and training for staff.

Expenditure Plan. The new FTEs would be recruited and hired in accordance with the Courts' personnel policies and procedures.

Performance Indicators. Performance indicators include: (1) enhance the effective delivery of court services, (2) enhance the effective and efficient use of court resources, (3) improve the quality and usefulness of information provided to the Courts' publics, and (4) increase public confidence in the Courts by improving accountability.

**DISTRICT OF COLUMBIA COURTS  
FY 2005 Budget Initiative**

**INVESTING IN HUMAN RESOURCES**

<b>Initiative Element</b>	<b>Requested Increase</b>
Succession Planning	300,000
Tuition Assistance	500,000
Senior Court Executive Leadership Development Program	80,000
Enhanced Employee Benefits	250,000
<b>TOTAL</b>	<b>\$ 1,130,000</b>

To assist the Courts attract, develop and retain excellent employees and address the risks of high retirement eligibility, the Courts request \$1,130,000. Of that total, \$300,000 is for succession planning; \$500,000 is for tuition assistance; \$80,000 is for a Senior Court Executive Leadership Development Program; and \$250,000 is for enhanced employee benefits.

**Succession Planning - \$300,000**

Problem Statement. One quarter of the Courts' personnel is eligible to retire within the next five years. This represents a significant potential loss of human capital. Further, 10 % of retirement eligible employees occupy upper management positions. The Courts must prepare to fill these positions with highly competent individuals who possess excellent managerial skills and abilities as well as organizational, operational, and historical knowledge of the Courts. Without proper planning, the skill mix of the Courts' workforce will not support the Courts' mission in the future.

Relationship to Court Mission and Strategic Goals. This request supports the Courts' strategic goal to promote competence, professionalism, and civility by employing a highly skilled workforce. Specifically, succession planning incorporated in the Courts' Strategy 3.1.4 to develop and maintain appropriate compensation, succession planning and position classification systems.

Proposed Solutions. The Courts propose to contract with an expert management company that will identify employees with leadership and managerial potential and design and implement a comprehensive succession development program. The experts will develop a project plan that provides an overview of key steps, timelines, and responsibilities. In conjunction with court managers, the contractor will define expectations for leaders at all levels and develop a leadership competency model. An assessment of the leadership population will be conducted to provide information regarding the current and target proficiency levels of the workforce against the competencies. An analysis of the gaps of the current workforce against the competencies will provide a baseline for designing a program to meet the competency needs of the Courts leadership cadre. Following the assessment and gap analysis, recommendations for the leadership program design will be provided with the goal of closing the gaps with targeted,

competency based tools for development. Employees will be identified and trained to fill managerial positions.

Methodology. The management consultant will be selected through competitive sourcing to identify and train management potential employees in accordance with the D.C. Courts Procurement Policies and Guidelines.

Performance Indicators. Performance indicators include the successful accomplishment of the following:

- Project Management Support
- Development of Competency Models
- Assessment of Leaders
- Strategy for Leadership Development
- Strategy for Succession Planning
- Identification and Training of Staff to Fill Key Managerial Positions

### **Tuition Assistance Program - \$500,000**

Problem Statement. Effective organizations have at their foundation a skilled and competent workforce capable of adapting to technological advances and new business requirements. An employee tuition assistance program would be highly beneficial as the Courts move aggressively into a technology-based environment and increasingly competitive job market. Tuition assistance has proven to be an effective recruitment and retention tool in a number of Federal agencies and the private sector. Additionally, it would support the Courts' strategic goal to promote the professionalism and competence of the workforce.

The Courts' employees require specialized training and additional skills in order to fully utilize and function within a technological environment. The implementation of the Integrated Justice Information System (IJIS) requires computer literacy and facility by all staff. To retain the institutional knowledge of the Courts' current employees while meeting the demands of the new environment, the Courts must support employee efforts to develop the necessary skills to handle more complex and difficult tasks. The Courts' workforce requirements have changed. We now require more "knowledge workers" with the skills and abilities that will enable them to adapt to new requirements and handle new assignments. University-level courses will not only provide much-needed skills, particularly technical skills, but also enhance employee ability to excel in the changing environment.

Relationship to Court Mission and Strategic Goals. The tuition assistance program would promote the Courts' goal of promoting competence and professionalism by employing a highly skilled and well-trained workforce. It would support the Courts' Strategy 3.1.2 to encourage and support the professional judgement of court personnel to enhance their service to the Courts and the public.

Proposed Solutions. The Courts propose a tuition assistance program, similar to the federal program, to encourage and assist employees in developing their talents, improving their effectiveness, and enhancing their career potential. Accordingly the Courts will provide

financial assistance to employees taking academic courses related to their current or potential future jobs at the Courts and courses in Court-related degree programs, with the expectation that these employees will become more valuable, knowledgeable, and productive.

Methodology. The Human Resources Division will monitor the program and will ensure that all eligible employees are provided with the necessary procedures for meeting the Courts' requirements and rules governing acceptance into the program. Employees must receive a passing grade of "C" or better in order to receive full payment for each course taken.

Expenditure Plan. Courses taken as part of a degree program must be either job-related or meet the general education requirements of the court-related degree program. Any courses that are part of a degree program must contribute directly to the employee's ability to function effectively in the work environment. The Courts will reimburse employees for these courses according to detailed program rules to be developed by the Human Resources Division.

Performance Indicators. The Courts will evaluate the program to ensure that all policies are met and that employee performance is meeting expectations. Supervisors will be queried and employees will be sent questionnaires after each course completion to ensure that course work has been completed satisfactorily.

### **Senior Court Executive Leadership Development Program - \$80,000**

Problem Statement. The District of Columbia Courts recognize the critical need for a senior leadership development program. Senior court managers lead the Courts to fulfill their mission to protect rights and liberties, uphold and interpret the law, and resolve disputes peacefully, fairly and effectively in the Nation's Capital. A leadership development program modeled upon that of the Federal Senior Executive Service (SES) would support court leaders to achieve high performance. This Senior Court Executive program, linked with the National Association for Court Management (NACM) core competencies, will address the need to acquire new leadership knowledge, skills, and abilities required to be effective in an ever-changing work environment. The leadership training program will contribute to creating a learning environment where skill enhancement is linked to performance and tied to the measurement of performance levels.

Relationship to Court Mission and Strategic Goals. A well-supported Senior Court Executive training program will align with the Courts' mission and vision, of a court that is open to all, trusted by all, and provides justice for all. Specifically, it would promote the Courts' goal of promoting competence and professionalism by employing a highly skilled and well-trained workforce. The Senior Court Executive Leadership Development Program would support the Courts' Strategy 3.1.2 to encourage and support the professional judgement of court personnel to enhance their service to the Courts and the public.

Methodology. The current training budget is distributed among general skills training, automation training, procedural training, and management courses. The Courts have selected the federal government's Senior Executive Service (SES) core qualifications as the model for its leadership training initiative because of its performance-based impact. Estimates for major expenses are as follows: \$12,000, to conduct a needs assessment and \$2,500 to \$5,000 per

leadership training session for instructor fees. Accordingly, \$80,000 is requested to cover the needs assessment, fees for faculty, program evaluation linked to performance, instructional tools, and a leadership library.

Expenditure Plan. The Courts' Management Training Committee would work with the Center for Education, Training and Development to develop a Senior Court Executive training plan. It will include executive core qualifications, aims, concepts, principles, and application. The training will focus on individual development, organizational improvement, and public accountability. In addition, a series of executive core qualification training would be developed from a bank of requisite courses and competencies, for example, Strategic Leadership, Leadership in a Changing Environment, and Leading Change. Upon successful completion, each manager would be awarded a leadership certificate of completion. Each leadership session will be planned, designed, developed, tested, and conducted consistent with other federal agencies' leadership-based models, showing direct linkages to each of the Ten Core Competencies of the National Association for Court Management (NACM).

Performance indicators. The NACM core competencies provide the framework in which leadership training performance can be measured. Performance indicators will include—

- Level of senior management participation
- Increase leadership offerings by 50% over FY 2002 levels
- 3.8 program evaluation scores on a 5-point scale

### **Enhanced Employee Benefits - \$250,000**

Problem Statement. With over a quarter (26%) of the Courts' workforce reaching eligibility for retirement within the next five years, it is imperative that the Courts attract, recruit, and retain highly qualified personnel from a labor pool in which competition for top-rated applicants is extremely high. Additional employee benefits would help the Courts maintain a competitive position in a tight labor market, aiding in the recruitment and retention of highly qualified workers.

Relationship to Court Mission and Goals. This request supports the Courts' goal of promoting competence, professionalism, and civility by employing a highly skilled and well-trained workforce. It would further the Courts' Strategy 3.1.1 to recruit personnel who possess the education, skills, and experience to provide effective services.

Proposed Solutions. To provide improved benefits to enhance recruitment and retention, the Courts request funding for Vision & Dental and Long Term Disability plans.

Methodology. Cost estimates are derived from the employer's share of the benefit plans, as follows: Vision and Dental Plan, \$150,000 (employer-paid premiums) and Long Term Disability Plan, \$100,000 (employer and employee share cost of premium evenly).

Expenditure Plan. Vision and Dental, will be provided by a vendor to be selected in accordance with the Courts' Procurement Guidelines.

Performance Indicators. The Courts anticipate an increase in the number of highly qualified candidates referred to selection officials for consideration.

**DISTRICT OF COLUMBIA COURTS  
FY 2005 Budget Initiative**

**ENSURING ADEQUATE COMPENSATION FOR DEFENDER SERVICES**

<b>Initiative Elements</b>	<b>Requested Increase</b>
Increase in Hourly Rate – CJA Attorneys	7,100,000
Increase in Hourly Rate – CCAN Attorneys	1,800,000
Increase in Hourly Rate – Guardianship Attorneys	100,000
<b>Total</b>	<b>9,000,000</b>

Problem Statement. Attorneys who participate in the District’s Criminal Justice Act (CJA) and Counsel for Child Abuse and Neglect (CCAN) programs are compensated at an hourly rate of \$65. This rate was increased in FY 2002, financed through a reserve in the Defender Services account. The CCAN program provides the assistance of a court-appointed attorney in family proceedings in which child abuse or neglect is alleged or where the termination of the parent-child relationship is under consideration and the parent, guardian, or custodian of the child is indigent. Attorneys representing the indigent defendants in similar matters at the U.S. District Court across the street are paid \$90 an hour. The increasing disparity in compensation makes it increasingly difficult for the D.C. Courts to secure competent representation for these most vulnerable residents. Recent Court reforms to the CJA program, including revision of the CJA plan and the creation of CJA attorney “panels” based on a comprehensive review of qualifications and experience, must be accompanied by an increase in compensation. In addition, it should be noted that attorneys providing service under the Guardianship, Protective Proceedings, and Durable Power of Attorney Act of 1986 (Guardianship), are currently compensated at the disparate hourly rate of \$80 per hour.

Relationship to Court Mission and Goals. By ensuring quality services for indigent clients under the CJA, CCAN, and Guardianship programs, this initiative would promote the Courts’ goal of broadening access to justice by promoting the availability of quality legal services to court users without regard to economic status.

Relationship to Divisional Objectives. The Courts, through the Budget and Finance Division, process some 42,000 attorney and expert services vouchers and court orders for compensation annually under the Defender Services programs. Major efforts to reform all of the Defender Services programs have included revised attorney eligibility criteria, a streamlined attorney assignment process, major revisions to the CJA Plan, automated tracking of CJA, CCAN, and Guardianship vouchers from receipt to payment, automated issuance of CCAN vouchers, assumption of responsibility for CJA voucher issuance. The Courts have also developed a web-enabled system that will permit the electronic filing, review, and approval of vouchers.

Methodology. In FY 2002, the modest increase in the hourly rate for attorneys and investigators was financed through a reserve in the Defender Services account. In addition, \$16,400,000 of the FY 2003 enacted level was similarly financed from the remaining reserve balance. Appropriated funding is necessary to ensure the financial integrity of the account once the

account reserve is exhausted. Because a large number of vouchers are submitted for payment during fiscal years following appointment, additional funds would be required in FY 2005 and FY 2006 to fully implement the hourly rate increase, as well as to provide funding for this initiative. Table 1 contains estimates for costs in FY 2004 through FY 2006, based on a proposed implementation of the increased hourly rate effective October 1, 2004.

Expenditure Plan. The projections provided in Table 1 below are based on implementation of the increase from \$65 to \$90 per hour on October 1, 2004.

Performance Indicators. It is envisioned that this initiative would promote equity in the quality of legal services provided to all District of Columbia residents, regardless of economic status, and would also ensure that highly qualified, adequately compensated attorneys and investigators represent abused and neglected children, their families, mentally incapacitated individuals and indigent defendants under all of the Defender Services programs. It is also envisioned that efficiencies would be realized by maintaining the best qualified representation for indigent clients.

Legislative Analysis. The Courts' administer the CJA program under *Title 11, sections 2601 – 2609* of the District of Columbia Code. The Joint Committee on Judicial Administration is responsible for providing a plan for furnishing representation to any defendant in the District of Columbia who is financially unable to do so. Responsibility for the administration of the CCAN program is provided under *Title 16 sections 2301 – 2372*, while responsibility for the Guardianship program is prescribed under *Title 21 sections 2001-2098*.

Because the D.C. Code prescribes the hourly rate for CJA and CCAN attorneys (Under *Title 11 section 2604*), the initiative would require enactment of legislation to (1) increase the hourly compensation rate to \$90; and (2) increase the maximum compensation per case. Requested language changes follow:

Administrative Provisions:

- SEC. \_\_\_\_\_. (a) Section 11-2604, District of Columbia Code, is amended --
- (1) in subsection (a), by striking "65" and inserting "90";
  - (2) in subsection (b) –
    - a. by striking "1900" each time it appears and inserting "2,340";
    - b. by striking "3600" each time it appears and inserting "4,410".
- (b) Section 16.2326.01(b), District of Columbia Code is amended --
- (1) by striking "1,600" each time it appears and inserting "1,980";
  - (2) in paragraph (3), by striking "2,200" and inserting "2,700";
  - (3) in paragraph (4), by striking "1,100" and inserting "1,350".

Compensation from the Guardianship fund is paid pursuant to *Title 21-2060* of the D.C. Code, and the Chief Judge of the Superior Court of the District of Columbia sets the hourly rate.

**Table 1**  
**CJA, CCAN, and Guardianship Hourly Rate Increase**  
**(based on projected obligations)**

	<b>Estimated FY 2004</b>	<b>Requested FY 2005</b>	<b>Estimated FY 2006</b>
<b>Base Program (@ \$65/hour)</b>			
CJA	\$28,200,000	\$28,600,000	\$28,600,000
CCAN	11,200,000	11,600,000	11,600,000
Guardianship	<u>1,300,000</u>	<u>1,300,000</u>	<u>1,300,000</u>
<b><i>Subtotal, Base program</i></b>	<b><i>40,700,000</i></b>	<b><i>41,500,000</i></b>	<b><i>41,500,000</i></b>
<b>Hourly Rate Increase (to \$90/hour)</b>			
CJA	---	7,100,000	9,400,000
CCAN	---	1,800,000	2,400,000
Guardianship	---	<u>100,000</u>	<u>200,000</u>
<b><i>Subtotal, Hourly Rate (cumulative)</i></b>	<b><i>---</i></b>	<b><i>9,000,000</i></b>	<b><i>12,000,000</i></b>
<b>Total, Defender Services</b>	<b>\$40,700,000</b>	<b>\$50,500,000</b>	<b>\$53,500,000</b>