

FY 2016 Budget Justification



District of Columbia Courts

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**District of Columbia Courts
FY 2016 Budget Justification
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DISTRICT OF COLUMBIA COURTS
Budget Justification
Summary
Fiscal Year 2016

Comprised of the Court of Appeals, the Superior Court, and the Court System, the District of Columbia Courts constitute the Judicial Branch of the District of Columbia government. The mission of the District of Columbia Courts is to protect rights and liberties, uphold and interpret the law, and resolve disputes peacefully, fairly, and effectively in the District of Columbia. To support the Courts' achievement of its mission in fiscal year 2016, the Courts request \$354,251,000 for operations and capital improvements. Of this amount, \$14,192,000 is requested for the Court of Appeals; \$123,638,000 is requested for the Superior Court; \$73,981,000 is requested for the Court System; and \$142,440,000 is requested for capital improvements for courthouse facilities. In addition, the Courts request \$49,890,000 for the Defender Services account.

The D.C. Courts are submitting a modest operating budget request, due to the economic challenges facing our Nation. The FY 2016 request includes an increase of \$10,591,000 (5%) and 16 full-time equivalent (FTE) positions over the FY 2015 level enacted for operations as well as a capital budget increase of \$99 million to support critical space needs outlined in the Facilities Master Plan and to maintain the Courts' infrastructure of five buildings and 1.2 million gross square feet of space.

Chart 1, at p. 11, provides the organizational structure of the Courts, an overview of the request is provided at Table 1 on p. 12, and a summary is at Table 2, pp. 13-14.

Recent Achievements

In FY 2014 the Court of Appeals and the Superior Court resolved nearly 100,000 cases (1,918 and 96,799 cases, respectively). The Courts look forward to continued success in enhancing our services to families, youth, crime victims, and vulnerable elderly persons in the community; expediting case processing; modernizing and securing our facilities; and ensuring accountability to the public we serve. We are proud of the Courts' recent successes in achieving our strategic goals that include the following:

Goal 1: Fair and timely case resolution

- initiation of staggered schedules, in which Superior Court litigants are scheduled to appear at different times during the day, rather than all being told to report first thing in the morning, to reduce wait times for litigants and enhance efficiency. Staggered schedules have been piloted in some domestic violence, paternity and support, civil, and criminal misdemeanor calendars;
- expansion of alternative dispute resolution to family cases involving intimate partner violence or abuse (IPV/A), which is being studied by Indiana University and the University of Arizona through a grant from the National Institute for Justice to assess whether parties with high degrees of IPV/A can be accommodated in mediation, thereby increasing access to

justice for victims of IPV/A and increasing efficiency for the Court; to guardianship cases to help families reach agreement on the best care for incapacitated adults; and to same-day mediation in civil preliminary injunction cases, usually involving disputes between neighbors, to speed resolution of these cases;

- creation of a Guardianship Assistance Program to improve services provided to incapacitated adults through a collaborative program in which master degree social work students at local universities are appointed by the Probate Court to visit adult wards under court supervision, report on the services being provided, and work with the guardians appointed by the court to address any unmet needs of the wards;
- expansion of the Superior Court's award-winning community court model city-wide, which address quality-of-life crimes through a blend of therapeutic and restorative justice (i.e., solve the underlying issue causing the criminal behavior and restore, or pay back, the community through service hours), after a program evaluation showed the initial community court reduced recidivism rates by as much as 60%;
- operation of the adult Mental Health Community Court to address the special needs of defendants suffering from mental illnesses, including a mental health clinic in the courthouse that served over 1,500 defendants in 2012. A recent study revealed that Mental Health Community Court participants were significantly less likely than their counterparts in traditional courts to be re-arrested during the year after exiting the Mental Health Court;
- operation of specialized courts for families in need: the Fathering Court provides job training and parenting education to fathers re-entering the community from incarceration, helping them pay their child support and become active in their children's lives; and the Family Treatment Court, which was revised and expanded in 2013, provides residential substance abuse treatment to parents in the child welfare system, keeping their children with them during treatment, rather than placing the children in foster care;
- initiation of enhanced case processing opportunities for persons with housing problems, including a Housing Conditions Calendar, where tenants can file expedited actions to enforce remediation of housing code violations and a D.C. Government housing inspector assists the judge;
- enhancement to the Family Court with a Child Welfare Legal Clinic, operated by a local law school, representing parents in abuse and neglect cases;
- implementation of a comprehensive revision of Court of Appeals rules of practice to reduce expenses associated with record preparation;
- continuing conversion from paper to electronic case records, with recent "paper-on-demand" initiatives in civil, criminal, and mental health cases, in which case filings are docketed and scanned into the Court's case management system, and then the hard copy is returned to the individual filing the document to keep, as the document must be produced "on demand" of the court.

Goal 2: Access to justice

- greater assistance to litigants without lawyers through implementation of new judicial ethics rules based on national standards that include a provision on the judge's role in facilitating self-represented litigants' right to be heard. Under the new rules, "judges should make reasonable accommodations" to help these litigants understand court proceedings and be

heard. For example, the judge in a case may consider providing information about the proceedings, asking neutral questions, or explaining the basis for a ruling;

- initiation of live Internet video streaming of oral arguments before the Court of Appeals, building on earlier audio Internet broadcasts and leveraging technology to provide the public greater access to the Court;
- continuation of the Education Outreach Initiative, which brings the Court of Appeals into the community to hear oral arguments at local law schools several times each year;
- operation of self-help centers in partnership with the D.C. Bar, AARP, the Legal Aid Society, and law schools to assist unrepresented litigants in Family Court, Landlord Tenant and Small Claims courts; Consumer Law, Probate and Tax matters; and domestic violence cases;
- development of a Language Access Plan by the Language Access Program Coordinator to assure meaningful access to court proceedings for limited English proficient (LEP) persons in the community;
- recognition of the Crime Victims Compensation Program (CVCP), which was honored by the Congressional Victims Rights Caucus and received an Award of Merit for Group Achievement from the U.S. Navy for assistance provided to victims and survivors following the September 2013 mass shooting at the Washington Navy Yard. The CVCP compensates innocent victims for financial losses related to a crime and, in 2013, paid crime victims in the District nearly \$9 million.

Goal 3: A strong judiciary and workforce

- initiation of “Building a Great Place to Work” initiative to ensure that our employees are highly productive and fully engaged and provide excellent public service. In the 2013 Employee Viewpoint Survey, with 68% of employees responding, 95% of D.C. Courts’ employees indicated they were willing to put in extra effort to get the job done. The Courts will continue to focus on the areas of health and wellness, work/life balance, internal communications, and performance management.
- initiation of a major strategic human resources effort to expand the role of the Human Resources Division from a transaction-based function to a strategic partner in establishing court goals, determining the future workforce, and assuring mission delivery. To assist in this effort, the Courts are in the process of developing and implementing a new integrated human resources information system (HRIS). The new recruiting component of the HRIS has already expanded the applicant pool and facilitated hiring. As part of this process, a five-year Human Resources Strategic Plan was developed, and supervisors and managers were trained on effective performance management;

Goal 4: A sound infrastructure

- expansion of e-filing to probate cases, nearly all civil actions, and several types of family cases, which facilitates access to the court, reduces duplicative data entry thereby improving the quality of court data, and enhances efficiency at the court and other agencies;
- implementation of a new case management system for the Court of Appeals that captures, tracks, processes, and reports case information using a standard web browser and is designed to schedule cases automatically, assign tasks, update case status, and generate documents based on case processing or docketing activity.

- launch of a user-friendly public website that provides ready access to juror services and case docket and calendar information and assists the public in accessing other court information and services, through live chats, video presentations, and other means;
- expansion of Voice Over Internet Protocol (VoIP) technology, which transmits phone calls over the Internet, to the Historic Courthouse, Building A, Building B, and the sixth floor of the Moultrie Courthouse, making phone calls portable, decreasing costs, and simplifying administration;
- completion of the Digital Wills Project, creation of a digital database containing all wills and codicils filed in the District of Columbia since 1802 so the public can easily search and retrieve any will or codicil filed with the court over the past 200 years and so the court has the extra insurance of safely storing and preserving these historical records in the event of a disaster;
- creation of Web-Ex Warrant Process, in conjunction with several partner agencies, which uses technology to streamline the process of issuing warrants, decreasing travel costs and overtime pay for the Metropolitan Police Department: the police officer can scan warrants into the computer system directly from the Police District, the judge reviews the warrant over a web conference with the officer, and, if approved, the court electronically sends the warrant to the officer, who makes an arrest or executes a search;
- commencement of construction of the foundation for an addition to the Moultrie Courthouse, which will provide additional courtrooms and administrative space, making possible the co-location of remaining Family Court functions.
- completion of a multi-year project to improve and modernize adult holding facilities to meet current standards, construct new U.S. Marshals Service administrative space in the Moultrie Courthouse, and construct a new, separate holding facility for juveniles;
- renovation of the arraignment courtroom in the Moultrie Courthouse, including electronic messaging and other technology improvements to enhance operational efficiency and public understanding of and access to proceedings;
- modernization and renovation of Building C, which was built in the late 1930's, to provide up-to-date, energy efficient space for the public visiting the Multi-Door Dispute Resolution Division and for the Information Technology Division. The new space complies with current building codes while preserving key historic elements of the building, which formerly housed the juvenile court;
- restoration of the Historic Courthouse for the D.C. Court of Appeals, a building of importance both to the people of the District of Columbia, due to its historical and architectural significance, and to the Courts to meet critical space shortages in the trial court;
- implementation and updating of a 10-year *D.C. Courts Master Plan for Facilities (Facilities Master Plan)*, resulting in comprehensive space renovation and facilities upgrades; newly renovated space for the Family Court, Civil Division, Domestic Violence Unit, and other offices in the Moultrie Courthouse; new space for the Landlord Tenant and Small Claims courts and juvenile probation in Building B; renovated space in Building A for the Crime Victims Compensation Program and the Probate Division; and renovation of Building C, as noted above;
- development and ongoing updating of a Continuity of Operations Plan (COOP) to ensure the continued administration of justice in an emergency, and upgrading of life safety systems to enhance security and safety of the public and court personnel in the Courts' facilities;

- implementation of physical security enhancements such as installation of additional security cameras and issuance to employees of enhanced access credentials with current photographs and other information;
- training for judges, court staff, and court-based employees of other agencies on steps to take in the event of perils such as an active shooter in the courthouse or a bomb threat;
- implementation of several information technology security measures, such as enhancing the virtual private network infrastructure that permits court employees to access network systems remotely, upgrading Internet content filters that protect against malware on websites, conducting an internal audit, and upgrading equipment at the Courts' disaster recovery site;

Goal 5: Public trust and confidence

- support for efforts to strengthen the rule of law and the development of justice systems around the world by hosting international judicial system delegations sponsored by the U.S. Department of State, the U.S. Agency for International Development (USAID), World Bank, and international cultural exchange organizations, providing educational programs tailored to the needs and interests of each individual delegation (e.g. courtroom or mediation observations, briefings or discussions with judges or court administrators);
- implementation of the iCivics program in D.C. charter schools to teach students about our government and the rights and responsibilities of citizenship, thereby inspiring young people to participate actively in society, and to enhance public trust and confidence in the judicial system;
- participation in area events and festivals to reach out to the community and provide additional avenues for the public to learn about the D.C. Courts; the Courts also sponsor and participate in community meetings;
- introduction of the Courts' third five-year Strategic Plan to ensure strategic alignment of the Courts' goals, functions, and resources in 2013 - 2017, following extensive community input, including a "You Be the Judge" survey of all persons conducting business at the courthouse in which approximately 1,300 court participants provided their views on fairness, timeliness, access, treatment by judges and employees, security, and other issues (nearly 80% were satisfied with their overall court experience); a survey of almost 1,200 attorneys who recently appeared in the Courts; and surveys of D.C. Courts' judges and employees. The new plan presents five strategic goals to guide court services to the public and incorporates a renewed focus on values to inform court culture;
- adoption of courtwide performance measures to monitor and assess case processing activities, court operations and performance and initiation of a multi-year business intelligence initiative to enhance performance analysis, reporting, and public accountability;
- initiation of juvenile probation programs by the Family Court Social Services Division to enhance public safety and rehabilitation of juveniles, including the Juvenile Behavioral Diversion Program to focus on juveniles with serious mental health concerns; the Leaders of Today in Solidarity (LOTS) program to address the needs of female juveniles; the Balanced and Restorative Justice Drop-In Centers in all four quadrants of D.C. to provide community-based juvenile probation supervision and services; the restructuring of supervision for juveniles to a seamless, one youth/family, one probation officer model; and, in collaboration with other juvenile justice system agencies, a "Summer Crime Call In" meeting with high-

risk youth under supervision to encourage them to comply with court-ordered conditions of probation and obey the law, which was considered a success based on data analysis;

- participation in June 2012 in Operation Safe Return for juveniles and Operation Safe Surrender for adults in August 2011, both collaborative programs with other criminal justice and child welfare agencies that allow persons with outstanding warrants (or custody orders, for juveniles) in the District to surrender voluntarily in a safe environment, resulting in enhanced public safety and confidence in the justice system;
- continuation of sound fiscal management, including a transition to Federal financial statements and “unqualified” opinions on the Courts’ annual independent financial audits conducted in accordance with OMB Circular No. A-133 for fiscal years 2000 through 2013.

FY 2016 Request Summary

The D.C. Courts are implementing our third five-year Strategic Plan, which guides court operations from 2013 to 2017. As noted above, the plan reflects input from the community, justice system agencies, and individuals served by the Courts, including litigants and their family members, victims, witnesses, attorneys, jurors, and others who were asked to assess their needs, views, and expectations of the Courts. The Courts’ divisions develop Management Action Plans (MAP’s) which prioritize their activities and align them with courtwide goals and strategies. The FY 2016 budget request incorporates four of the Courts’ five goals and includes performance projections for all core functions. To build on past accomplishments and to enhance service to the public in the District of Columbia during FY 2016, the Courts request additional resources as outlined below.

FY 2016 Operating Budget: Summary by Strategic Goal

Listed below are the Courts’ goals and requested additional operating budget resources to ensure that we perform our mission with quality, professionalism, efficiency, and fiscal integrity:

- **Goal 1:** Fair and timely case resolution
- **Goal 2:** Access to justice
- **Goal 3:** A strong judiciary and workforce
- **Goal 4:** A sound infrastructure
- **Goal 5:** Public trust and confidence

Goal 1: Fair and timely case resolution--\$588,000 and 7 FTEs

Fair and impartial court processes are essential to the just resolution of disputes. We must ensure that cases are resolved on the merits in accordance with the rule of law, while providing due process and equal protection. Court proceedings and treatment of litigants must be free of bias as well as the appearance of bias. At the same time, courts must resolve cases in a timely manner and avoid undue delay. The effective administration of justice requires a careful balancing of the goals of fairness and timeliness.

The FY 2016 request includes \$588,000 and 7 FTEs to address the Courts' goal of fair and timely case resolution, including \$377,000 and 4 FTEs for attorney negotiators to help families with domestic relations cases resolve their disputes and case managers to improve business processes, thereby enhancing timeliness; \$160,000 to replace grant funding for 2 FTEs who provide services to crime victims; and \$51,000 and 1 FTE for a mediation clerk to expedite mediations to help families resolve domestic relations cases.

Goal 2: Access to Justice--\$373,000 and 4 FTEs

Justice must be available to all members of our community. Differences such as culture, economics, language, and physical traits can serve as barriers to justice. Courts must continually strive to identify and eliminate barriers to access, assist personnel in understanding persons with different needs, and provide appropriate information and services to ensure accessibility.

The FY 2016 request includes \$373,000 and 4 FTEs to address the Courts' goal of enhancing access to justice, including \$207,000 and 3 FTEs to increase oversight of guardians appointed to meet the needs of vulnerable, incapacitated adults who are wards of the court and \$166,000 and 1 FTE for a deputy director to provide additional leadership for the Domestic Violence Unit.

Goal 4: Sound Infrastructure--\$518,000 and 2 FTEs

Court facilities must support efficient operations and command respect for the independence and importance of the judicial branch in preserving a stable community. Modern technology must be employed to achieve administrative efficiencies and enhance the public's access to court information and services.

The FY 2016 request includes \$518,000 and 2 FTEs to address the Courts' goal of maintaining a sound infrastructure, including \$350,000 to maintain new court facilities, including utilities, cleaning, maintenance, and upkeep of the grounds and \$168,000 for 2 FTEs to support upgraded courtroom technology used to present evidence and case-related information. In addition, as discussed below, the capital budget request includes resources to enhance the Courts' infrastructure, including physical security.

Goal 5: Public Trust and Confidence--\$2,958,000 and 3 FTEs

Trust and confidence in the courts are essential to maintaining an orderly democratic society. The people must perceive the judicial branch as fair and independent in resolving cases. At the same time, as a public institution courts are accountable for their performance and use of public funds. We must continually strive to be open and accessible to the community, while ensuring the independence of court decisions.

The FY 2016 request includes \$2,958,000 and 3 FTEs to address the Courts' goal of engendering public trust and confidence, including \$2,755,000 to expand to juveniles on probation in interstate cases the successful Balanced and Restorative Justice Drop-in Center model of

intensive supervision and services (interstate cases involve youth who live in the District and have cases in other jurisdictions or who have cases in D.C. but live in nearby suburbs) and \$203,000 and 3 FTEs to assess and conduct home studies for families with disputed child custody cases.

Built-In Increases--\$6,154,000

To maintain the current level of service, the FY 2016 request also includes \$6,154,000 for built-in increases, including cost-of-living, within-grade, and non-pay inflationary increases. The Courts request funding for within-grade increases because we have very little turnover¹ compared to the Federal Government, which can finance within-grade increases through higher turnover (3.9% in 2013 versus 16.1%, respectively).

Capital Budget Request: Infrastructure Investments

To support the Courts' Goal 4: A Sound Infrastructure by addressing the space needs of court operations, ensuring the health and safety of those conducting business in our buildings, maintaining and improving the condition of court facilities, and maintaining the Courts' technology infrastructure, the FY 2016 capital request totals \$142,440,000. This request focuses on the Moultrie Courthouse, safety and security, and building maintenance.

The Courts' capital budget is structured to continue progress in implementing the *Facilities Master Plan*, originally completed by the General Services Administration (GSA) in December 2002, with an update completed in 2013 to address facilities requirements through 2022. The updated *Facilities Master Plan* projects a shortfall of 57,250 occupiable square foot over the next 10 years for court operations, and it documents maintenance requirements and improvements to existing facilities.

With the support of the President and Congress, the Courts have made significant progress in implementing the *Facilities Master Plan*. The restoration of the Historic Courthouse for the Court of Appeals was completed April 15, 2009, and the renovation of Building C was completed February 13, 2012, when the Multi-Door Dispute Resolution and Information Technology Divisions moved into the building. Buildings A and B have been renovated and now house our Landlord Tenant and Small Claims courts and the Probate Division, freeing space in the Moultrie Courthouse for critical trial court functions. A separate Family Court entrance and expanded facilities, including a Central Intake Center and child-friendly waiting area, were constructed in the Moultrie Courthouse on the JM Level, and Family Court clerks' offices moved into adjacent space on the JM Level in February 2011. This space became available in March 2009 when the Civil Division moved to newly-renovated space on the 5th Floor of the Moultrie Courthouse. A new Juvenile Holding Facility was constructed in May 2009. The renovation to the 6th Floor of the Moultrie Courthouse, vacated by the Court of Appeals in 2009, was completed in January 2011 and now houses judicial chambers, the Superior Court Library, the Executive Office, and the General Counsel's Office. The renovation of the Adult Holding facility for prisoners and the U.S. Marshals Service administrative space was completed in 2014.

¹ The turnover figure does not include law clerks, who serve one-year terms, for whom no within-grade funds are requested.

In the next several years, the Moultrie Courthouse, the Courts' largest building and home to the majority of trial court operations and judicial chambers, will be the focus of most capital projects. The Facilities Master Plan addresses the Courts' space shortfall by expanding the Moultrie Courthouse. This new construction will contain six criminal-capable trial courtrooms, 20 judge's chambers, and office space. The Moultrie Courthouse Addition will fulfill the Family Court mandate by accommodating the relocation of juvenile probation from Building B to the Courthouse and consolidating probation services with all other Family Court functions on two levels of the Moultrie Courthouse.

A significant portion of the FY 2016 capital budget request, \$86.99 million, is for the Moultrie Courthouse Addition. This addition will add nearly 100,000 of useable space to the Moultrie Courthouse and expand the building along the south façade at C Street. The full funding request for this project is distributed over seven fiscal years, beginning in FY 2012. Construction began in FY 2013 with the digging of the foundation for the addition.

The Courts, like many public institutions, face security threats to daily operations and individual judges. In addition, the Courts face unique security risks due to the presence of hundreds of prisoners in the Moultrie Courthouse each day. The Courts' request includes \$4.49 million to improve physical safety through perimeter security enhancements, and lighting/signage upgrades.

To replace the Superior Court case management system, which has reached the end of its expected life and is becoming increasingly difficult and costly to maintain, \$10.82 million is requested. The new system will be web-based, enhancing public access to court information and leveraging new technology, such as cloud computing.

The capital budget also includes a request for \$40.14 million to maintain and upgrade the Courts' facilities. Significant public resources have been expended over the past decade to modernize the Courts' older buildings. A recent Facilities Condition Assessment (FCA), which analyzed life cycle and maintenance needs for court buildings, guides this maintenance request. Mechanical systems and structural repairs are necessary to ensure the safety of building occupants and to preserve the integrity of these historic structures. The Courts request \$13.48 million for the HVAC, Electrical, and Plumbing Upgrades project to continue to upgrade electrical systems in the Moultrie Courthouse and provide for the replacement of HVAC equipment as components reach the end of their useful life throughout the campus. To repair restroom exhaust systems, \$400,000 is requested. The \$1.5 million requested for Fire and Security will finance a sprinkler system for the Moultrie Courthouse as part of the ongoing fire sprinkler installation program for the building. In addition, \$20.17 million is requested for General Repair Projects, for, among other things, ADA accessibility, safety enhancements, and continued replacement of fixtures, lighting, flooring, ceiling tiles and other capital investments and replacement of equipment, as required or due to emergency failure in Courts' facilities. To keep elevators and escalators in good working order, \$270,000 is requested. To maintain the Courts' technology infrastructure, \$3.24 million is requested. Finally, \$1.08 million is requested for maintenance of the Historic Courthouse, to protect the public investment in its renovation, which was completed in 2009.

Defender Services Budget Request

To support Strategic Goal 2: Access to Justice, the FY 2016 Defender Services request totals \$49,890,000, unchanged from FY 2015.

Chart 1
DISTRICT OF COLUMBIA COURTS
Organizational Structure

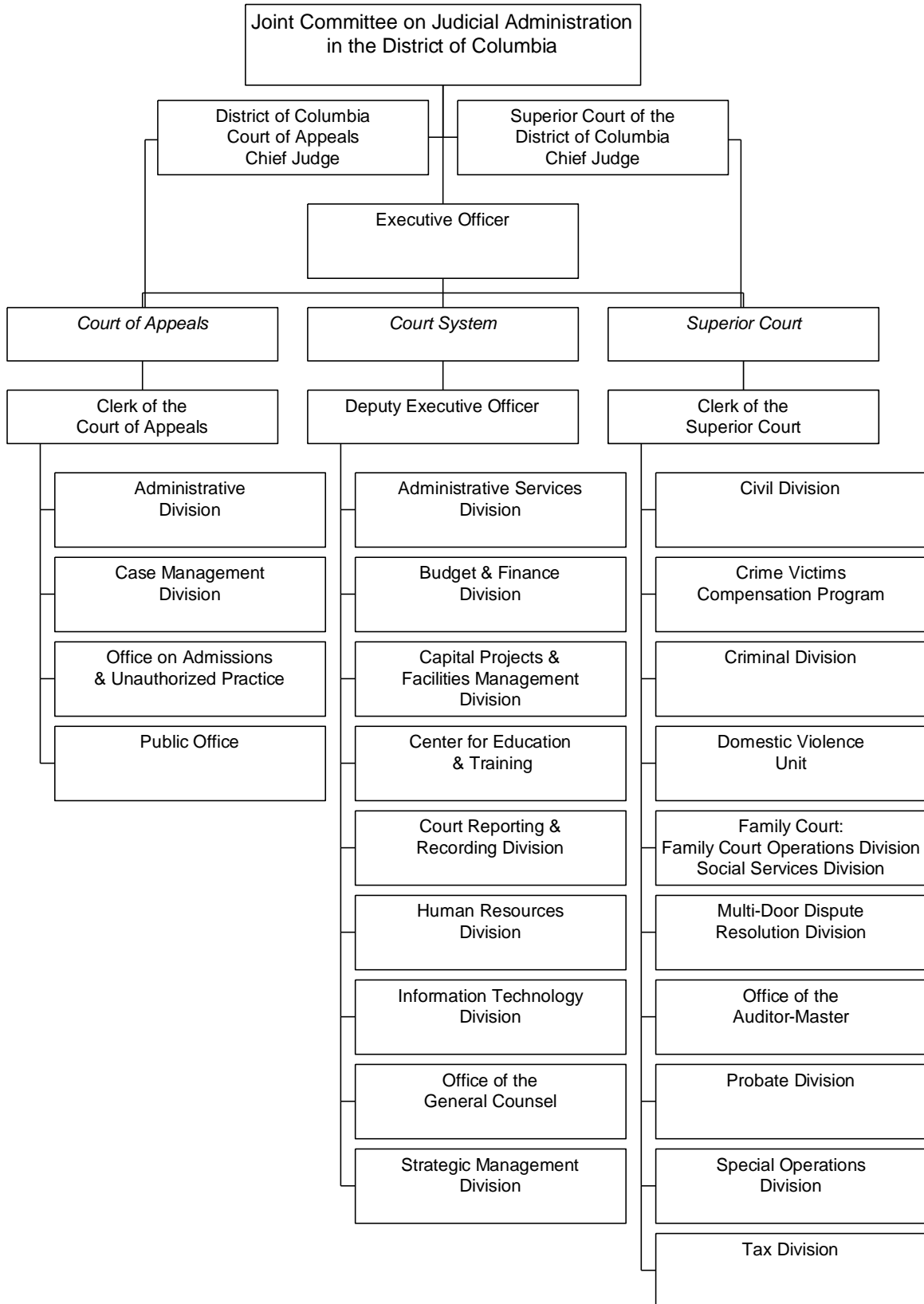


Table 1
DISTRICT OF COLUMBIA COURTS
FY 2016 Budget Justification
Summary of Request
(in dollars)

	<u>FY 2015 Enacted</u>	<u>FY 2016 Request</u>	<u>Difference FY 2015/2016</u>
Court of Appeals	13,622,000	14,192,000	570,000
Superior Court	116,443,000	123,638,000	7,195,000
Court System	<u>71,155,000</u>	<u>73,981,000</u>	<u>2,826,000</u>
Subtotal, Operations	201,220,000	211,811,000	10,591,000
Capital	43,890,000	142,440,000	98,550,000
Total, Federal Payment	245,110,000	354,251,000	109,141,000
Defender Services	49,890,000	49,890,000	0

Table 2
DISTRICT OF COLUMBIA COURTS
FY 2016 Budget Submission
Summary Table
Operating Budget

	<u>Amount</u>	<u>FTE</u>
District of Columbia Court of Appeals		
FY 2015 Level	13,622,000	105
Requested Increases		
A. <i>Built-In Cost Increases:</i>	570,000	-
FY 2016 Budget, Court of Appeals	14,192,000	105
Superior Court of the District of Columbia		
FY 2015 Level	116,443,000	955
Requested Increases		
A. <i>Goal 1: Fair and Timely Case Resolution:</i>		
1. Enhancing Processing of Domestic Matters (Family Court Operations Division)	377,000	4
2. Assistant Legal Claims Examiners (Crime Victims Compensation Program)	160,000	2
3. Family Mediation Improvements (Multi-Door Division)	51,000	1
<i>Subtotal</i>	<u>588,000</u>	<u>7</u>
B. <i>Goal 2: Access to Justice</i>		
1. Guardianship Assistance Program Expansion (Probate Division)	207,000	3
2. Deputy Director (Domestic Violence Unit)	166,000	1
<i>Subtotal</i>	<u>373,000</u>	<u>4</u>
C. <i>Goal 5: Public Trust and Confidence</i>		
1. Interstate BARJ Drop-In Center (Family Court Social Services Division)	2,755,000	-
2. Child Custody Assessment (Family Court Social Services Division)	203,000	3
<i>Subtotal</i>	<u>2,958,000</u>	<u>3</u>
D. <i>Built-In Cost Increases:</i>	3,276,000	-
FY 2016 Budget, Superior Court	123,638,000	969
District of Columbia Court System		
FY 2015 Level	71,155,000	298
Requested Increases		
A. <i>Goal 4: A Sound Infrastructure</i>		
1. Maintenance Services for New Facilities (Capital Projects and Facilities Management Division)	350,000	-
2. Multimedia Specialists (Information Technology Division)	168,000	2
<i>Subtotal</i>	<u>518,000</u>	<u>2</u>
B. <i>Built-In Cost Increases:</i>	2,308,000	-
FY 2016 Budget, Court System	73,981,000	300
FY 2016 Budget, Operations	211,811,000	1,374

Capital Improvements

Renovations, Improvements & Expansions

1. Moultrie Courthouse Addition	86,990,000
2. Campus Security, Signage and Lighting	4,490,000
3. Integrated Web-Based Case Management System	<u>10,820,000</u>
<i>Subtotal, Renovations, Improvements & Expansions</i>	<i>102,300,000</i>

Maintain Existing Infrastructure

1. HVAC Electrical and Plumbing Upgrades	13,480,000
2. Restroom Improvements	400,000
3. Fire and Security Alarm Systems	1,500,000
4. General Repair Projects	20,170,000
5. Elevator and Escalator Repairs and Replacement	270,000
6. Technology Infrastructure	3,240,000
7. Historic Courthouse	<u>1,080,000</u>
<i>Subtotal, Maintain Existing Infrastructure</i>	<i>40,140,000</i>

FY 2016 Budget, Capital Improvements

142,440,000

Defender Services

FY 2015 Level

49,890,000

Requested Increases

-

FY 2016 Budget, Defender Services

49,890,000

**District of Columbia Courts
FY 2016 Budget Justification
Appropriations Language**

FEDERAL PAYMENT TO THE DISTRICT OF COLUMBIA COURTS

For salaries and expenses for the District of Columbia Courts, [\$245,110,000] \$354,251,000 to be allocated as follows: for the District of Columbia Court of Appeals, [\$13,622,000] \$14,192,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the Superior Court of the District of Columbia, [\$116,443,000] \$123,638,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the District of Columbia Court System, [\$71,155,000] \$73,981,000, of which not to exceed \$2,500 is for official reception and representation expenses; and [\$43,890,000] \$142,440,000, to remain available until September 30, [2016] 2017, for capital improvements for District of Columbia courthouse facilities: *Provided*, That funds made available for capital improvements shall be expended consistent with the District of Columbia Courts master plan study and facilities condition assessment: *Provided further*, That notwithstanding any other provision of law, all amounts under this heading shall be apportioned quarterly by the Office of Management and Budget and obligated and expended in the same manner as funds appropriated for salaries and expenses of other Federal agencies: *Provided further*, That 30 days after providing written notice to the Committees on Appropriations of the House of Representatives and the Senate, the District of Columbia Courts may reallocate not more than \$6,000,000 of the funds provided under this heading among the items and entities funded under this heading: *Provided further*, That the Joint Committee on Judicial Administration in the District of Columbia may, by regulation, establish a program substantially similar to the program set forth in subchapter II of chapter 35 of title 5, United States Code, for employees of the District of Columbia Courts. (*District of Columbia Appropriations Act, 2015.*)

FEDERAL PAYMENT FOR DEFENDER SERVICES IN DISTRICT OF COLUMBIA COURTS

For payments authorized under section 11–2604 and section 11–2605, D.C. Official Code (relating to representation provided under the District of Columbia Criminal Justice Act), payments for counsel appointed in proceedings in the Family Court of the Superior Court of the District of Columbia under chapter 23 of title 16, D.C. Official Code, or pursuant to contractual agreements to provide guardian ad litem representation, training, technical assistance, and such other services as are necessary to improve the quality of guardian ad litem representation, payments for counsel appointed in adoption proceedings under chapter 3 of title 16, D.C. Official Code, and payments authorized under section 21–2060, D.C. Official Code (relating to services provided under the District of Columbia Guardianship, Protective Proceedings, and Durable Power of Attorney Act of 1986), \$49,890,000, to remain available until expended: *Provided*, That funds provided under this heading shall be administered by the Joint Committee on Judicial Administration in the District of Columbia: *Provided further*, That, notwithstanding any other provision of law, this appropriation shall be apportioned quarterly by the Office of Management and Budget and obligated and expended in the same manner as funds appropriated for expenses of other Federal agencies. (*District of Columbia Appropriations Act, 2015.*)

DISTRICT OF COLUMBIA COURT OF APPEALS

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2014/2015</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
105	13,374,000	105	13,622,000	105	14,192,000	0	570,000

The District of Columbia Court of Appeals is the highest court for this jurisdiction. The Court consists of a Chief Judge and eight Associate Judges. The Court is assisted by the service of retired judges who have been recommended and approved as Senior Judges. The cases before the Court are decided by randomly selected three-judge panels, unless a hearing or rehearing before the Court sitting *en banc* is ordered.

As the court of last resort for the District of Columbia, the Court of Appeals is authorized (1) to review all final orders and judgments, as well as specified interlocutory orders, of the Superior Court of the District of Columbia; (2) to review decisions of administrative agencies, boards, and commissions of the District government; and (3) to answer questions of law certified by the Supreme Court of the United States, a Court of Appeals of the United States, or the highest appellate court of any state. The Court also: (1) processes attorney admissions to the District of Columbia Bar and attorney discipline; (2) manages the resolution of complaints of unauthorized practice of law; (3) promulgates its own rules and the rules of professional conduct for members of the District of Columbia Bar; and (4) reviews proposed rules of the D.C. Superior Court.

Organizational Structure

The Office of the Clerk of the Court

The Clerk's Office of the Court of Appeals is divided into five components: the public office, case management, the immediate office, the staff of the Committees on Admissions and the Unauthorized Practice of Law, and the administrative staff. Functionally, these components are involved in three major activities: case processing; bar admissions and unauthorized practice of law matters; and court administration.

- **Public Office** - The public office is responsible for receiving all incoming documents, docketing pleadings, maintaining the official case files, receiving and answering public inquiries, providing internal mail service, and supporting courtroom operations. This office currently has 12 FTEs.
- **Case Management Division** - The case management division oversees the processing of cases prior to calendaring for argument or submission without argument. The process includes handling all motions matters, establishing briefing schedules, and overseeing all deadlines and those matters expedited by order of the court. The division reviews all incoming motions and pleadings, and prepares proposed orders, *sua sponte* or in response to motions filed by the parties, for approval by the Clerk, Chief Judge, or a motions division (three judges). Attorneys in the division provide legal analyses (and recommended dispositions) in substantive motions and emergency matters and matters brought under the court's original

(e.g., mandamus) and discretionary jurisdiction (e.g., small claims and interlocutory matters). This division currently has 16 FTEs.

- Immediate Office - The immediate office, which includes the Clerk and the Chief Deputy Clerk, is responsible for the general administration of the Clerk's Office; coordination of the processing of appeals after briefing such as calendaring, case screening, and the processing of motions and orders in calendared matters; coordination of the issuance of opinions and mandates, petitions for rehearing and/or rehearing *en banc*; the processing of bar-related disciplinary, admissions, and unauthorized practice of law matters; and the preparation of court statistics. This office currently has 7 FTEs.
- Committee on Admissions and the Committee on the Unauthorized Practice of Law - The staff of the Committee on Admissions and the Committee on Unauthorized Practice of Law administers the Bar examination; processes applications for admission to the Bar by examination and motion, applications for authorization to practice as special legal consultants, applications by law students to practice under D.C. App. R. 48 and motions to appear *pro hac vice*; collects admissions and related fees; provides staff support for the investigation of complaints against unauthorized persons practicing law; and provides support to the two committees, which ensure that local legal needs are met by properly qualified and licensed attorneys. This office currently has 6 FTEs.
- Administrative Office - The administrative staff is responsible for the provision of budget and accounting, personnel, information technology, telecommunications, library, procurement, and facilities management services for the Court. This office currently has 7 FTEs.

Organizational Objectives

Strategic Goal 1: Fair and Timely Case Resolution

Management Action Plan: Ensure appropriate and timely processing of appeals by developing and implementing practices and internal procedures which enhance and expedite the processing of appeals.

Management Action Plan: To review and revise, as appropriate, time standards for responding to requests for information and documentation, docketing information submitted for appeal purposes, case processing and implementing quality assurance review throughout the operations unit (Intake and File Room) to ensure that new cases, pleadings, motions, records on appeal, transcripts, etc. are all processed accurately and efficiently by staff.

Strategic Goal 3: A Strong Judiciary and Workforce

Management Action Plan: Identify areas of performance for staff improvement, support their participation in training opportunities and provide in-house, on-going training program regarding the legal process, in general, and appellate procedure, in particular.

Strategic Goal 5: Public Trust and Confidence

Management Action Plan: To identify issues of concern to court participants and develop strategies to enhance service to the public.

Workload Data

The Court of Appeals tracks its workload and performance for two major categories of activities: (1) case processing and (2) bar admissions and related activities. Case processing performance indicators include (1) the case clearance rate, or the ratio of cases disposed to cases filed in a given year; and (2) the reduction of cases pending at the end of the year. Factors used to assess staffing needs include the number of case filings, number and type of dispositions, cases pending, time involved in various stages of the case process, and types of cases pending.

Table 1
COURT OF APPEALS
Caseload and Efficiency Measures
Case Processing Activity

Fiscal Year	Cases Filed	Cases Disposed	Case Clearance Rate*	Cases Pending	Motions and Petitions Filed
2012	2,126	1,845	88%	2,191	6,523
2013	1,604	2,049	127%	1,792	6,529

*Ratio of cases disposed to cases filed in a given year. A 100% case clearance rate means one case disposed for each case filed.

Table 2
COURT OF APPEALS
Caseload and Efficiency Measures
Bar Admissions Activity

Fiscal Year	Bar Admission Applications Received	Multistate Bar Exam Score Transfer Requests Processed	Certificates of Good Standing Issued	Wall Certificate Orders Processed
2012	3,414	2,429	11,454	537
2013	3,625	2,359	10,990	580

Case Processing and Operational Efficiency Initiatives and Public Access

The Court of Appeals continues to implement many initiatives to facilitate or expedite case processing, to achieve operational efficiencies, and to enhance service to the public. This year, the Court, for the first time, had a live video stream of an *en banc* oral argument and made it available to the public.

Several of the initiatives implemented during previous fiscal years, but which remain important aspects of court operations, follow:

- 1 The Court of Appeals implemented the Web-based Voucher System which automated the voucher payment process for attorneys appointed under the Criminal Justice Act (“CJA”), resulting in a more cost-efficient operation and enhanced service to attorneys for the Court.

- 2 The Court implemented the first phase of a new case management system (“C-Track”) to enhance case management processes. The system captures, tracks, processes, and reports case information using a standard web browser. It is designed to automatically calendar cases, set scheduled actions, assign tasks, change a case status, and generate documents based on case processing or docketing activity. Since C-Track is highly configurable and built using modern web development technologies, it can adapt readily to the changing needs of the Court.
- 3 The Court of Appeals installed assistive listening devices in the courtroom for attorneys, litigants, judges, and the public and improved quality recording of oral arguments which can be made available on compact disks. The new system permits court staff to hear oral arguments through their desktop PC’s and permits audio-streaming of the oral arguments over the internet for the public.
- 4 The Court developed and conducts annually a continuing legal education course on appellate practice for members of the District Columbia Bar.
- 5 The Court of Appeals continued to enhance the instructional materials available via the internet for litigants and for attorneys seeking admission to the Bar, and to provide internet access to the Court’s rules, forms, and opinions. The Court of Appeals section of the website can be accessed directly at www.dcappeals.gov.
- 6 The *sua sponte* expedition of appeals in cases involving adoption and the termination of parental rights to ensure prompt decisions in cases that affect the stability of the living environment of children who have been subjected to abuse and neglect.
- 7 Annual training of the Court’s CJA attorneys and training of D.C. Superior Court Child Abuse and Neglect attorneys concerning appellate issues.
- 8 Pursuant to its updated plan for furnishing representation to indigent criminal and juvenile appellants under the CJA and subsequent to an extensive application process, the Court established a new list of attorneys to be appointed under the CJA in 2005. Approximately 80 well-qualified attorneys were selected from over 300 applicants. Re-evaluation of members of the panel of attorneys and consideration of new applicants occurred in every year thereafter.
- 9 In bar discipline cases, the Court continued to expedite the imposition of discipline and to authorize negotiated discipline where appropriate.

Table 3
COURT OF APPEALS
Key Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY 2013 Actual	Projection FY 2014	Projection FY 2015	Projection FY 2016
Input	Number appeals filed	Court data	1,604	1,849	1,885	1,921
Output/ Activity	Number of cases disposed	Court data	2,049	1,942	1,971	2,000
Productivity/Efficiency	Cases disposed/cases filed	Court data	127%	105%	104%	108%

FY 2016 Request

In FY 2016, the D.C. Courts request for the Court of Appeals is \$14,192,000, an increase of \$570,000 (4%) above the FY 2015 Enacted Level. The requested increase consists entirely of built-in cost increases.

Table 4
COURT OF APPEALS
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	9,329,000	9,517,000	9,923,000	406,000
12 - Personnel Benefits	2,204,000	2,250,000	2,364,000	114,000
<i>Subtotal Personnel Cost</i>	<i>11,533,000</i>	<i>11,767,000</i>	<i>12,287,000</i>	<i>520,000</i>
21 - Travel, Transp. of Persons	55,000	56,000	59,000	3,000
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	95,000	96,000	99,000	3,000
24 - Printing & Reproduction	79,000	80,000	83,000	3,000
25 - Other Services	884,000	890,000	906,000	16,000
26 - Supplies & Materials	85,000	86,000	89,000	3,000
31 - Equipment	643,000	647,000	669,000	22,000
<i>Subtotal Non-Personnel Cost</i>	<i>1,841,000</i>	<i>1,855,000</i>	<i>1,905,000</i>	<i>50,000</i>
TOTAL	13,374,000	13,622,000	14,192,000	570,000
FTE	105	105	105	0

Table 5
COURT OF APPEALS
Detail Difference, FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Positions COLA	105	163,000	
	Current Positions WIG		243,000	
<i>Subtotal, OC 11</i>				<i>406,000</i>
12 - Personnel Benefits	Current Positions COLA		45,000	
	Current Positions WIG		69,000	
<i>Subtotal, OC 12</i>				<i>114,000</i>
21 - Travel, Transp. of Persons				3,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				3,000
24 - Printing & Reproduction				3,000
25 - Other Services				16,000
26 - Supplies & Materials				3,000
31 - Equipment				22,000
TOTAL				570,000

Table 7
COURT OF APPEALS
Detail of Full-Time Equivalent Employment

Grade	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
JS-5			
JS-6	1	1	1
JS-7	2	2	2
JS-8	2	2	2
JS-9	9	9	9
JS-10	4	4	4
JS-11	55	55	55
JS-12	9	9	9
JS-13	7	7	7
JS-14	3	3	3
JS-15	2	2	2
JS-16			
CES	2	2	2
Ungraded	9	9	9
Total Salaries	9,329,000	9,517,000	9,923,000
Total FTEs	105	105	105

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA

Overview

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
955	114,921,000	955	116,443,000	969	123,638,000	14	7,195,000

Introduction

The Superior Court of the District of Columbia is unique among the nation's trial courts. It accounts for among the highest number of case filings per capita in the United States (as reported by the National Center for State Courts for several years) as it serves all those residing, visiting, and conducting business in the Nation's Capital. It receives its funding directly from the Federal government and operates in the nation's most visible arena. With the support of 113 judicial officers, including 62 active judges, 26 senior judges, and 25 magistrate judges, the Superior Court is the court of general jurisdiction over virtually all local legal matters. Supported by approximately 800 non-judicial personnel, the Court operates six major divisions identified below and the Special Operations Division (including the Tax Division), the Domestic Violence Unit, the Crime Victims Compensation Program, and the Office of the Auditor-Master. The major divisions are –

- **Civil Division**, which has general jurisdiction over any civil action at law or in equity brought in the District of Columbia, regardless of the amount in controversy, including Small Claims and Landlord Tenant cases;
- **Criminal Division**, which has jurisdiction over defendants who are charged with criminal offenses under any law applicable exclusively to the District of Columbia;
- **Family Court**, which serves children and families in the District and is comprised of—
 - **Family Court Operations Division**, which has jurisdiction over the following types of cases: abuse and neglect, juvenile, domestic relations, paternity and support, mental health and habilitation, and adoptions; and
 - **Social Services Division**, which is the juvenile probation system for the District of Columbia and provides information and recommendations to assist the court in decision-making, court-supervised alternatives to incarceration, and support services to youth within the court's purview;
- **Probate Division**, which supervises the administration of all decedents' estates, guardianships of minors, conservatorships and guardianships of adults, certain trusts, and assignments for the benefit of creditors; and
- **Multi-Door Dispute Resolution Division**, which provides a variety of alternative dispute resolution services to assist citizens in resolving their problems without litigation.

Caseload and Efficiency Measures

During FY 2013, more than 95,000 new cases were filed with the Superior Court. Of the total new filings, 53% were civil cases; 22% were criminal cases; 14% were family cases; 8% were domestic violence cases and the remaining 3% were probate and tax cases. Tables 1 and 2 provide Superior Court caseload data.

Table 1
District of Columbia Superior Court Caseload

<u>Fiscal Year</u>	<u>New Cases</u>	<u>Start-of-Year Pending Cases</u>	<u>Total Cases Available for Disposition</u>
2009	115,045	53,876	171,972
2010	103,871	47,977	151,848
2011	101,941	45,562	157,648
2012	99,185	44,077	151,187
2013	95,133	35,398	139,878

Note: Rows may not add because “total cases” includes reactivated and reopened cases.

Table 2
**District of Columbia Superior Court
Efficiency Measures
(Fiscal Year 2013 data)**

	<u>Cases Disposed</u>	<u>Cases Added</u>	<u>Clearance Rate*</u>	<u>Cases Pending</u>		
				<u>01-Oct</u>	<u>30-Sep</u>	<u>Change</u>
Civil	53,761	51,738	104%	15,526	13,503	-13.0%
Criminal**	20,283	26,720	N/A	7,174	7,971	-11.1%
Domestic Violence	8,263	8,194	101%	982	913	-7.0%
Family	13,245	13,213	100%	4,505	4,473	-0.7%
Probate	3,035	3,193	95%	6,892	7,050	2.3%
Tax	<u>253</u>	<u>457</u>	55%	<u>1,284</u>	<u>1,488</u>	-15.9%
Total	98,840	103,515	N/A	36,363	35,398	-2.7%

*Ratio of cases disposed to cases added (filed or reopened) in a given year. A standard efficiency measure is 100% meaning one case disposed for each case added.

**Includes cases temporarily disposed and moved to inactive status (e.g. cases with arrest warrants that have not been served). In addition, due to a pending audit and change in the method of counting D.C. Misdemeanor cases, an overall clearance rate cannot be provided for the Criminal Division or the Superior Court.

FY 2016 Request

The D.C. Courts’ mission is to protect rights and liberties, uphold and interpret the law, and resolve disputes peacefully, fairly and effectively in the District of Columbia. To perform the mission and realize their vision of a court that is open to all, trusted by all, and provides justice for all, the D.C. Courts have identified five strategic goals:

- **Goal 1:** Fair and timely case resolution;

- **Goal 2:** Access to justice;
- **Goal 3:** A strong judiciary and workforce;
- **Goal 4:** A sound infrastructure;
- **Goal 5:** Public trust and confidence.

The Superior Court has aligned its FY 2016 request around three of the five goals— fair and timely case resolution, access to justice, and public trust and confidence.

In FY 2016, the Superior Court requests \$123,638,000 and 969 FTEs, an increase of \$7,195,000 (6%) and 14 FTEs above the FY 2015 Enacted Level. The request includes increases to support the following Court goals:

Goal 1: Fair and timely case resolution, \$588,000, 7 FTEs

The Superior Court's FY 2016 request includes \$588,000 and 7 FTEs to address the Courts' goal of fair and timely case resolution, including \$377,000 and 4 FTEs for attorney negotiators to help families with domestic relations cases resolve their disputes and case managers to improve business processes, thereby enhancing timeliness; \$160,000 to replace grant funding for 2 FTEs who provide services to crime victims; and \$51,000 and 1 FTE for a mediation clerk to expedite mediations to help families resolve domestic relations cases.

Goal 2: Access to Justice, \$373,000, 4 FTEs

The Superior Court's FY 2016 request includes \$373,000 and 4 FTEs to address the Courts' goal of enhancing access to justice, including \$207,000 and 3 FTEs to increase oversight of guardians appointed to meet the needs of vulnerable, incapacitated adults who are wards of the court and \$166,000 and 1 FTE for a deputy director to provide additional leadership for the Domestic Violence Unit.

Goal 5: Public Trust and Confidence, \$2,958,000, 3 FTEs

The Superior Court's FY 2016 request includes \$2,958,000 and 3 FTEs to address the Courts' goal of engendering public trust and confidence, including \$2,755,000 to expand to juveniles on probation in interstate cases the successful Balanced and Restorative Justice Drop-in Center model of intensive supervision and services (interstate cases involve youth who live in the District and have cases in other jurisdictions or who have cases in D.C. but live in nearby suburbs) and \$203,000 and 3 FTEs to assess and conduct home studies for families with disputed child custody cases.

Table 3
SUPERIOR COURT
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 – Compensation	76,966,000	78,980,000	82,118,000	3,138,000
12 – Benefits	18,412,000	18,825,000	19,678,000	853,000
<i>Subtotal Personal Services</i>	<i>95,378,000</i>	<i>97,805,000</i>	<i>101,796,000</i>	<i>3,991,000</i>
21 - Travel, Transp. of Persons	385,000	391,000	401,000	10,000
22 - Transportation of Things	11,000	12,000	13,000	1,000
23 - Rent, Commun. & Utilities	3,120,000	3,568,000	4,049,000	481,000
24 - Printing & Reproduction	558,000	570,000	586,000	16,000
25 - Other Services	13,868,000	12,456,000	15,092,000	2,636,000
26 - Supplies & Materials	893,000	912,000	947,000	35,000
31 – Equipment	708,000	729,000	754,000	25,000
<i>Subtotal Nonpersonal Services</i>	<i>19,543,000</i>	<i>18,638,000</i>	<i>21,842,000</i>	<i>3,204,000</i>
TOTAL	114,921,000	116,443,000	123,638,000	7,195,000
FTE	955	955	969	14

**SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
JUDGES AND CHAMBERS STAFF**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
204	24,128,000	204	25,604,000	204	26,589,000	0	985,000

Organizational Background

The Superior Court of the District of Columbia is the court of general jurisdiction over virtually all local legal matters. The Court is comprised of ten divisions and offices, which provide for all local litigation functions including criminal, civil (e.g., landlord tenant, and small claims), family (including abuse and neglect, juvenile, and domestic relations cases), probate and tax. In CY 2013, Superior Court judges handled more than 95,000 new case filings. The 62 judges of the Superior Court rotate to each division on a scheduled basis, with judges in the Family Court serving renewable three or five year terms. Each Superior Court judge has an administrative assistant and a law clerk.

FY 2016 Request

In FY 2016, the Courts request \$26,589,000 for Judges and Chambers Staff, an increase of \$985,000 (4%) above the FY 2015 Enacted Level. The requested increase consists entirely of built-in cost increases.

Table 1
**JUDGES AND CHAMBERS STAFF
Budget Authority by Object Class**

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	21,518,000	22,802,000	23,623,000	821,000
12 - Personnel Benefits	2,502,000	2,690,000	2,850,000	160,000
<i>Subtotal Personal Services</i>	<i>24,020,000</i>	<i>25,492,000</i>	<i>26,473,000</i>	<i>981,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	7,000	8,000	9,000	1,000
25 - Other Services				
26 - Supplies & Materials	55,000	57,000	59,000	2,000
31 - Equipment	46,000	47,000	48,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>108,000</i>	<i>112,000</i>	<i>116,000</i>	<i>4,000</i>
TOTAL	24,128,000	25,604,000	26,589,000	985,000
FTE	204	204	204	0

Table 2
JUDGES AND CHAMBERS STAFF
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Position WIG	204	455,000	
	Current Position COLA		366,000	
<i>Subtotal 11</i>				<i>821,000</i>
12 - Personnel Benefits	Current Position WIG		77,000	
	Current Position COLA		83,000	
<i>Subtotal 12</i>				<i>160,000</i>
<i>Subtotal Personal Services</i>				<i>981,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increase			1,000
25 - Other Service				
26 - Supplies & Materials	Built-in Increase			2,000
31 - Equipment	Built-in Increase			1,000
<i>Subtotal Nonpersonal Services</i>				<i>4,000</i>
Total				985,000

Table 3
JUDGES AND CHAMBERS STAFF
Detail of Full-Time Equivalent Employment

Grade	2014 Enacted	2015 Enacted	2016 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	75	75	74
JS-11	65	65	66
JS-12	1	1	1
JS-13			
JS-14	1	1	1
JS-15			
JS-16			
Ungraded	62	62	62
Total Salary	21,518,000	22,802,000	23,623,000
Total FTEs	204	204	204

**SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
MAGISTRATE JUDGES AND STAFF**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
48	7,009,000	48	7,080,000	48	7,179,000	0	99,000

Organizational Background

The Superior Court has 25 Magistrate Judges, 16 of whom are assigned to Family Court matters. Magistrate Judges in the Family Court and the Domestic Violence Unit of the Superior Court are responsible for the following: (1) administering oaths and affirmations and taking acknowledgements; (2) conducting hearings, making findings and entering judgments in connection with questions of child support handled by the Family Court and Domestic Violence Unit, including establishing temporary support obligations and entering default orders; (3) making findings and entering interim and final orders or judgments in other contested or uncontested proceedings in the Family Court and Domestic Violence Unit, except for jury trials or felony trials; and (4) ordering imprisonment of up to 180 days for contempt.

The nine Magistrate Judges serving in other areas of the Superior Court are responsible for the following: (1) administering oaths and affirmations and taking acknowledgements; (2) determining conditions of release on bond or personal recognizance, or detention pending trial of persons charged with criminal offenses; (3) conducting preliminary examinations and initial probation revocation hearings in all criminal cases to determine if there is probable cause to believe that an offense has been committed and that the accused committed it; and (4) with the consent of the parties involved, making findings and entering final orders or judgments in other contested or uncontested proceedings in the Civil and Criminal Divisions, except for jury trials or felony trials.

Twelve judicial law clerks, nine secretaries, and one paralegal support the 25 Magistrate Judges and eight part-time members of the Commission on Mental Health (2 FTEs).

FY 2016 Request

In FY 2016, the Courts request \$7,179,000 for Magistrate Judges and Staff, an increase of \$99,000 (1%) above the FY 2015 Enacted Level. The requested increase consists entirely of built-in cost increases.

Table 1
MAGISTRATE JUDGES AND STAFF
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	5,456,000	5,508,000	5,584,000	76,000
12 - Personnel Benefits	1,529,000	1,545,000	1,565,000	20,000
<i>Subtotal Personal Services</i>	<i>6,985,000</i>	<i>7,053,000</i>	<i>7,149,000</i>	<i>96,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	4,000	5,000	6,000	1,000
25 - Other Services				
26 - Supplies & Materials	11,000	12,000	13,000	1,000
31 - Equipment	9,000	10,000	11,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>24,000</i>	<i>27,000</i>	<i>30,000</i>	<i>3,000</i>
TOTAL	7,009,000	7,080,000	7,179,000	99,000
FTE	48	48	48	0

Table 2
MAGISTRATE JUDGES AND STAFF
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Position WIG	48	12,000	
	Current Position COLA		64,000	
<i>Subtotal 11</i>				<i>76,000</i>
12 - Personnel Benefits	Current Position WIG		2,000	
	Current Position COLA		18,000	
<i>Subtotal 12</i>				<i>20,000</i>
<i>Subtotal Personal Services</i>				<i>96,000</i>
21 - Travel, Transp. of Persons	Built-in Increase			
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increase			
24 - Printing & Reproduction	Built-in Increase			1,000
25 - Other Service				
26 - Supplies & Materials	Built-in Increase			1,000
31 - Equipment	Built-in Increase			1,000
<i>Subtotal Nonpersonal Services</i>				<i>3,000</i>
Total				99,000

Table 3
MAGISTRATE JUDGES AND STAFF
Detail of Full-Time Equivalent Employment

Grade	2014 Enacted	2015 Enacted	2016 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9	9	8	8
JS-10	12	13	13
JS-11			
JS-12			
JS-13			
JS-14	2	2	2
JS-15	25	25	25
JS-16			
JS-17			
CES			
Total Salary	5,456,000	5,508,000	5,584,000
Total FTEs	48	48	48

**SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
OFFICE OF THE CLERK OF THE COURT**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
5	673,000	5	686,000	5	704,000	0	18,000

Mission Statement

The Office of the Clerk of the Court manages the day-to-day operations of the Superior Court. The Clerk provides policy guidance, administrative direction, and supervision for ten Superior Court divisions and offices; reviews and issues final decisions in employee disciplinary actions and grievances; approves division requests for staff, equipment, and other resources; plans and monitors the implementation of court improvement projects; and develops the Superior Court's annual budget. The Office of the Clerk of the Court contributes to the Court's strategic goals by providing managerial assistance and support to the operating divisions so they can provide fair, swift and accessible justice, enhance public safety, and ensure public trust and confidence in the justice system.

Organizational Background

The Clerk of the Court has management and supervisory responsibility over all ten operating divisions, programs, special units and their employees. Court divisions and offices under the administrative authority of the Clerk of the Court include the Civil Division, Crime Victim's Compensation Program, Criminal Division, Domestic Violence Unit, Family Court Operations Division, Family Court Social Services Division, Multi-Door Dispute Resolution Division, Probate Division, Special Operations Division, and the Office of the Auditor Master. The Clerk of the Court is responsible for ensuring that each division and program processes all cases in a timely manner and provides timely and accurate customer service to the judicial officers, citizens of the District of Columbia, and persons conducting business with the court. The Clerk of the Court also delegates to each director the responsibility to manage staff, budgetary, and operating resources. The Office of the Clerk is staffed by five FTEs including the Clerk of the Court, two Senior Operations Managers, and two administrative support staff.

FY 2016 Request

For FY 2016, The D.C. Courts request \$704,000 for the Office of the Clerk of the Court, an increase of \$18,000 (3%) above the FY 2015 Enacted Level. The requested increase consists entirely of built-in costs.

Table 1
CLERK OF THE COURT
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	518,000	526,000	540,000	14,000
12 - Personnel Benefits	145,000	148,000	150,000	2,000
<i>Subtotal Personal Services</i>	663,000	674,000	690,000	16,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	7,000	8,000	9,000	1,000
31 - Equipment	3,000	4,000	5,000	1,000
<i>Subtotal Nonpersonal Services</i>	10,000	12,000	14,000	2,000
TOTAL	673,000	686,000	704,000	18,000
FTE	5	5	5	0

Table 2
CLERK OF THE COURT
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Position WIG	5	8,000	
	Current Position COLA		6,000	
<i>Subtotal 11</i>				14,000
12 - Personnel Benefits	Current Position WIG		1,000	
	Current Position COLA		1,000	
<i>Subtotal 12</i>				2,000
<i>Subtotal Personal Services</i>				16,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials	Built-in Increase			1,000
31 - Equipment	Built-in Increase			1,000
<i>Subtotal Nonpersonal Services</i>				2,000
Total				18,000

Table 3
CLERK OF THE COURT
Detail of Full-Time Equivalent Employment

Grade	2014 Enacted	2015 Enacted	2016 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	1	1	1
JS-9			
JS-10			1
JS-11	1	1	
JS-12			
JS-13			
JS-14	2	2	2
JS-15			
JS-16			
JS-17			
CES	1	1	1
Total Salary	518,000	526,000	540,000
Total FTEs	5	5	5

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA CIVIL DIVISION

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
104	8,315,000	104	8,433,000	104	8,674,000	0	241,000

Mission Statement

The mission of the Civil Division is to deliver quality services to all users of the civil case processing system, to support the decision-making role of the judiciary and to facilitate timely dispositions in civil cases, thereby increasing the public's trust and confidence in the Court.

Introduction

The Civil Division has jurisdiction over any civil action at law or in equity (excluding family matters) brought in the District of Columbia, except where jurisdiction is exclusively vested in the Federal court. The Division is comprised of the Director's Office and four branches with 104 full time equivalent employees (FTEs). The Division processed 50,620 civil cases for FY 2013.

Organizational Background

The Division is comprised of a Director's Office, which has five FTEs and four branches described as follows:

1. The Civil Actions Branch processes all new civil cases where the amount in controversy exceeds \$5,000, including cases requesting equitable relief (such as an injunction or temporary restraining order). In FY 2013 there were more than 8,400 civil action cases filed. Branch responsibilities also include providing case and procedural information to the public, reviewing and processing electronically filed documents and in-person filings for compliance with Court Rules, processing all post-judgment execution requests, scanning documents into the case management system, and securely maintaining all civil cases, physically and electronically. This branch has 26 FTEs.
2. The Quality Review Branch monitors compliance with time limits imposed by Court Rules, schedules events, issues notices, reviews and validates case monitoring reports. The Branch manages and assigns Courtroom Clerks who process cases and assist judicial officers and courtroom participants for 18 civil courtrooms. This branch has 30 FTEs.
3. The Landlord Tenant Branch processes all actions for the possession of rental property and violations of lease agreements filed by landlords including writs for the eviction process. The branch handled a caseload in excess of 35,500 filings in fiscal year 2013. This branch has 21 FTEs.
4. The Small Claims and Conciliation Branch oversees the processing, scheduling, and adjudication of cases where the amount in controversy is up to \$5,000. The branch also processes all post-judgment execution requests. In FY 2013, there were over 6,400 small claims cases filed. This branch has 22 FTEs.

Divisional Management Action Plan (MAP) Objectives

The following are key Civil Division MAP objectives, implemented to further the Strategic Plan of the District of Columbia Courts.

- Ensure fair and timely case resolution by providing optimal resources to judicial officers that support efficient courtroom operations, effective case management, and timely judicial decision making with real time availability of dockets and documents (except bulk filings) in the case management system and accurate reporting of Division case activity statistics measures
- Ensure procedural fairness to litigants by providing respectful treatment of customers, impartial case processing, and clear explanations of court procedures
- Enhance efficient and timely case resolution and customer satisfaction by expanding electronic filing to all civil cases from case initiation
- Enhance internal and external customer service by training court personnel on the unique needs of the elderly, self represented persons, individuals with physical and mental health issues, and cultural and generational diversity
- Promote access to legal services for self represented litigants by employing technology such as online chats and fill-able forms

Divisional Restructuring and/or Work Process Redesign

During FY 2013, the Civil Division successfully implemented a same day mediation pilot program to enhance efficient case processing and timely resolution of preliminary injunction cases. The Landlord and Tenant Branch revised the Notice to Tenant of Amount Needed to Avoid Eviction form to provide tenants with a clear explanation of court procedure and the payment required to avoid an eviction. The space in the Landlord and Tenant Branch was redesigned to accommodate work space for two reassigned positions to provide quality assurance for the eviction process and senior volunteers and summer interns who assist the public with branch operations and case information. The Small Claims and Conciliation Branch expanded the use of staggered calendars for Collections and Insurance Subrogation cases to minimize delays for litigants. The Division researched the feasibility of chat lines in FY 2013 and will employ the technology in June 2014 to enhance information-sharing and promote access to court information in addition to providing fill-able forms to the public on the Courts' website.

All Division managers participated in team building, mentoring and coaching skills training and four employees were selected to participate in the Courts' 2014 Management Training program for professional development. Civil Division employees attended division-wide training on the Courts' 2013-2017 Strategic Plan and their role in the Division MAP objectives through work performance and the demonstration of the Courts' values. In July 2014, the Division will implement the paper on demand process (scanning all filings into the case management system in real-time (except bulk filings) and returning documents to the filer) throughout the Division and plan for the expansion of electronic filing for all civil cases to enhance case processing and ensure timely access to case information. These new technology initiatives require the staff to expend more time and greater detail processing documents that are immediately returned to the filer and available to the public online.

Workload Data

As shown in Table 1 below, the Civil Division disposed of 50,620 cases in fiscal year 2013 comprising more than half of the Courts' caseload, including 8,476 civil actions cases, 35,662 landlord and tenant cases, and 6,482 small claims cases. The Division maintains a caseload clearance rate in excess of 100% (with a 110% clearance rate for civil actions cases, 107% clearance rate for small claims cases and 102% clearance rate for landlord and tenant cases). The Civil Division's current caseload and efficiency measures are reflected in Table 1, and the key performance measures are displayed in Table 2.

Table 1
CIVIL DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2013 Data)

	Case Filings	Dispositions	Clearance Rate*	Pending Cases		
				1-Oct	30-Sep	Change
Civil Actions	8,476	9,818	110%	7,551	6,650	-11.9%
Landlord & Tenant	35,662	36,790	102%	5,893	5,213	-11.5%
Small Claims	6,482	7,153	107%	2,082	1,640	-21.2%
Total	50,620	53,761	104%	15,526	13,503	-13.0%

*Ratio of cases disposed to cases filed in a given year. A standard efficiency measure is 100% meaning one case disposed for each case filed.

Table 2
CIVIL DIVISION
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output	Percent of customers rating service good to outstanding	Customer Surveys	90%	92%	90%	90%	90%	90%	90%	90%
Output	Percent of documents available to the public within 1 business day	Management Reports	95%	93%	100%	100%	100%	100%	100%	100%
Output	Percent of staff trained for electronic case filing	Management Reports	50%	65%	75%	75%	95%	95% ¹	100%	100%
Output	Percent of monthly statistical reports reviewed for data quality and submitted to Director's Office by the 5 th day of the month	Management Reports	100%	99%	100%	100%	100%	100%	100%	100%
Output	Percent of monthly statistical reports shared with Civil Division judges by the 15 th of each month	Management Reports	100%	100%	100%	100%	100%	100%	100%	100%
Output	# of staff ideas to improve operations implemented quarterly	Management Reports	1	1.25	1	1	1	1	1	1

FY 2016 Request

In FY 2016, the Courts request \$8,674,000 for the Civil Division, an increase of \$241,000 (3%) above the FY 2015 Enacted Level. The requested increase consists entirely of built-in cost increases.

Table 5
CIVIL DIVISION
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 – Personnel Compensation	6,448,000	6,537,000	6,720,000	183,000
12 – Personnel Benefits	1,802,000	1,828,000	1,883,000	55,000
<i>Subtotal Personal Services</i>	<i>8,250,000</i>	<i>8,365,000</i>	<i>8,603,000</i>	<i>238,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	20,000	21,000	22,000	1,000
25 - Other Services				
26 - Supplies & Materials	22,000	23,000	24,000	1,000
31 – Equipment	23,000	24,000	25,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>65,000</i>	<i>68,000</i>	<i>71,000</i>	<i>3,000</i>
TOTAL	8,315,000	8,433,000	8,674,000	241,000
FTE	104	104	104	0

Table 6
CIVIL DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Positions WIG	104	109,000	
	Current Positions COLA		74,000	
<i>Subtotal 11</i>				<i>183,000</i>
12 – Personnel Benefits	Current Positions WIG		34,000	
	Current Positions COLA		21,000	
<i>Subtotal 12</i>				<i>55,000</i>
<i>Subtotal Personal Services</i>				<i>238,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Services				
26 - Supplies & Materials	Built-in Increases			1,000
31 – Equipment	Built-in Increases			1,000
<i>Subtotal Nonpersonal Services</i>				<i>3,000</i>
TOTAL				241,000

Table 7
CIVIL DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
JS-3			
JS-4			
JS-5			
JS-6	14	6	5
JS-7	15	18	18
JS-8	29	33	33
JS-9	21	22	22
JS-10	9	9	9
JS-11	4	4	5
JS-12	4	4	4
JS-13	6	6	6
JS-14			
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salaries	6,448,000	6,537,000	6,720,000
Total FTEs	104	104	104

**SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
CRIME VICTIMS COMPENSATION PROGRAM**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
9	1,133,000	9	1,151,000	11	1,337,000	2	186,000

Mission Statement

The mission of the Crime Victims Compensation Program is to provide assistance to victims and their families with the financial burden of violent crime. The program provides expedient assistance, in a fair and consistent manner, with sensitivity to the dignity of the victim. The program assists innocent victims of violent crime, survivors of homicide, and their dependent family members with certain statutory expenses made necessary as a result of the crime. Eligible expenses include medical costs, mental health counseling, funeral bills, lost wages and support, the cost of temporary emergency housing and moving expenses for the health and safety of the victim, replacement of clothing held as evidence, and costs associated with cleaning a crime scene. Applications are filed, investigated, and adjudicated by Compensation Program staff. Crime victims are provided with assistance in filing applications, locating other victim service programs, and addressing many of the other quality of life issues that arise after victimization.

Organizational Background

The major activities of the Crime Victims Compensation Program are case processing, record management, outreach, and administrative functions. Case processing, and its associated activities, affect every position and account for the majority of functions. The major tasks associated with case processing include victim interview, input in the case management software, verification, and investigation of the claim, recommendation, review, and approval. This office has 9 FTEs: Director, Accounting Officer, Administrative Assistant, and six Legal Claims Examiners. In addition, three Assistant Legal Claims Examiners are currently financed by grant and administrative funds.

Crime Victims Compensation Program Funding

Payments to victims, nearly \$9 million each year, are made from the Crime Victims Fund, which is financed by court fines, fees, and assessments and an annual grant from the U.S. Department of Justice under the Victims of Crime Act (VOCA).

Operation of the Crime Victims Compensation Program (CVCP) is financed by the requested appropriation, administrative funds from the VOCA grant, and a portion of the unobligated balance in the Fund at the end of each year. The VOCA grant is based upon past payments to victims: the CVCP receives 60% of the amount paid in victims' claims two years prior to the year of the grant award. In accordance with grant guidelines, up to 5% of the grant may be used for administrative expenses including staff, training, and other costs. In addition to the VOCA

grant, administrative costs may be paid from up to 5% of the portion of the unobligated balance of the Crime Victims Fund retained by the CVCP at the end of each year.²

Division MAP Objectives

The management action plan (MAP) objectives of the Crime Victims Compensation Program are as follows:

- Provide timely service to crime victims by processing at least 80% of claims for assistance within 12 weeks.
- Continue to collaborate with other agencies to enhance the coordination of services to victims.
- Effectively administer the CVCP by securing and managing grant awards and examining internal means to ensure the longevity of the Crime Victims Fund to pay crime victim claims and operate the program.
- Promote employee engagement and professional development of staff by requiring each employee to plan and execute an in-service training on a topic that will help the office to perform duties with greater understanding of victim services and the ancillary organizations that can assist with some of the issues created by victimization.
- Encourage professional development through mentoring/coaching of interns and review of their written work product.
- Enhance employee engagement by updating the Employee Handbook to reflect Court values in action as they apply to the CVCP.
- Continue collaboration with victim service providers to ensure that sufficient temporary emergency shelter sites are in place and service protocols are followed.
- Ensure procedural fairness to victims by collaborating with the Information Technology and Criminal Divisions and the Domestic Violence Unit to create a Victim screen in the Court's case management system.

Division Restructuring or Work Process Redesign

The Crime Victims Compensation Program has taken several innovative and collaborative approaches in order to improve inter-agency coordination, enhance public awareness, and improve timely access to information and services.

Outreach Protocols

To strengthen program outreach, the Crime Victims Compensation Program focused its resources to establish protocols with major agencies and organizations that have direct contact with victims. These agencies and organizations include the District of Columbia's Metropolitan

² At the end of each fiscal year, in accordance with statutory requirements, the unobligated balance of the Fund is calculated and one-half is distributed to the Mayor's Office on Victim Services to fund local victim service providers. Of the remaining half retained by the CVCP, 5% is available for administrative expenses and the rest is needed to pay victims.

Police Department, the Children’s Hospital Child and Adolescent Protection Center, U.S. Attorney’s Victim Witness Assistance Unit, the Office of the Attorney General for the District of Columbia, the Survivors and Advocates for Empowerment, the Network for Victim Recovery of D.C., D.C. Forensic Nurses, and the Asian Pacific American Legal Resource Center. These protocols enhance the ability of the Compensation Program to serve greater numbers of victims of violent crime and reach victims that are likely to be eligible for compensation, reducing staff time spent with victims that the Program cannot serve and the effort expended in the denial of a claim. Applications, as well as informational brochures, are provided to victims by these organizations. In addition to the traditional methods of outreach, the Crime Victims Compensation Program has established an in-service training schedule that invites community organizations to attend staff meetings and present information about their organizations and the services that they can offer crime victims, such as food, housing, legal services, and employment referrals to supplement the services provided by the Compensation Program. This has proven to be an invaluable outreach tool because it creates a new point of contact in the organization and leads to many new referrals.

Satellite Office

The Crime Victims Compensation Program has detailed one staff person and a part-time intern to the S.E. Domestic Violence Intake Center, located at the United Medical Center in S.E., Washington (formerly Greater S.E. Community Hospital). This office is a collaborative effort with other victim service providers and agencies in the District of Columbia, including the Superior Court’s Domestic Violence Unit. Petitions for domestic violence protection orders may be filed at this center. Representatives from several different domestic violence organizations and law enforcement agencies share office space in this center. Not only does this provide great wrap-around services for the victim because all of the needed service are provided in one location, but it causes the service provider to have a greater understanding of and compassion for the many challenges faced by victims.

Workload Data

Table 1
CRIME VICTIMS COMPENSATION PROGRAM
Caseload Overview

	Actual FY 2013	FY 2014 Estimated	% Change
New Cases Filed	3,685	3,540	-4%
Determinations Made	3,854	3,860	0%
Number of Cases Pending at End of Fiscal Year	1,151	830	-28%

Key Performance Indicators

Table 2
CRIME VICTIMS COMPENSATION PROGRAM
Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Input	# Of new claims filed	Case Management Software	3,200	3,685	3,550	3,540	3,550	3,550	3,550	3,550
Output	# Of claims processed	Case Management Software	3,200	3,854	3,800	3,860	3,800	3,900	3,900	3,900
Output	# Of payments	Case Management Software	12,300	12,678	12,100	13,100	13,000	13,000	13,000	13,000
Outcome	Dollar amount of payments	Case Management Software	\$9.2M	\$8.7M	\$9.0M	\$8.6M	\$9.0 M	\$8.7M	\$9.0M	\$8.7M
Outcome	Avg. claim processing time	Case Management Software	12 weeks	11 weeks	12 weeks	11 weeks	10 weeks	10 weeks	10 weeks	10 weeks

The Crime Victims Compensation Program's continued partnerships with non-profit organization service providers leads to the consolidation of payments at more affordable costs, which allows the CVCP to provide more efficient and timely financial assistance to victims and their families.

FY 2016 Request

In FY 2016, the D.C. Courts request \$1,337,000 for the Crime Victims Compensation Program, an increase of \$186,000 (16%) above the FY 2015 Enacted Level. The requested increase includes \$160,000 for two FTEs who can no longer be paid from the VOCA grant and \$26,000 for built-in cost increases.

Assistant Legal Claims Examiners, 2 FTEs (JS-9), \$160,000

Problem Statement. The Federal Victims of Crime Act (VOCA) grant can no longer finance the three Assistant Legal Claims Examiner positions currently serving crime victims. The Court needs appropriated funds for this function. The VOCA grant is based on payments to victims in a prior year. As those payments have stabilized, the grant has also stabilized and the portion of the grant that formerly paid for the Assistant Legal Claims Examiners has not kept pace with increasing costs for salaries and benefits. Funding is needed for two of the positions so that the CVCP can continue to compensate thousands of crime victims each year in a timely manner. The Assistant Legal Claims Examiners perform direct client interviews to assist victims in filing their compensation applications; provide information about other programs that assist crime victims; and process the bulk of supplemental payments (payments in cases where there has already been a determination of eligibility) for mental health counseling, temporary emergency shelter, lock changes (security measures), sexual assault examinations, and prophylactic HIV medication. This work frees Legal Claims Examiners to focus on the investigation and approval of pending claims.

Relationship to Courtwide Strategic Goals. This request supports the courtwide strategic goal of Fair and Timely Case Resolution because the positions are critical to processing victims' claims for compensation in a timely manner.

Relationship to Division MAP Objectives. This request is a major element of the Divisional objective to provide timely service to crime victims by processing at least 80% of claims within 12 weeks. The work of the Assistant Legal Claims Examiners has had a significant impact on the reduction of claims pending in the Crime Victims Compensation Program and in processing those claims in a timely fashion.

Relationship to Existing Funding. As discussed above, this request would replace VOCA grant funds that have not kept pace with increasing costs. There are no other resources available to finance these positions. The Superior Court has already reallocated resources to finance two other positions that were formerly paid from the unobligated balance in the Crime Victims Fund, which has dwindled because the CVCP has successfully increased outreach and payments to victims.

Methodology. The grade and classification for the Assistant Legal Claims Examiners will remain at the JS-9 level per court classification policies.

Expenditure Plan. The current Assistant Legal Claims Examiner will continue to do the work of the Compensation Program, just under a different funding source. There will be no interruption in service to victims.

Key Performance Indicators. As demonstrated in Table 1, the key performance indicators for the Assistant Legal Claims Examiners would be the increase in the number of determinations and the decrease in the number of cases pending at the end of the fiscal year.

Table 3
CRIME VICTIMS COMPENSATION PROGRAM
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Cost
Assistant Legal Claims Examiner	JS-9	2	\$124,000	\$36,000	\$160,000

Table 4
CRIME VICTIMS COMPENSATION PROGRAM
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	869,000	879,000	1,020,000	141,000
12 - Personnel Benefits	241,000	246,000	288,000	42,000
<i>Subtotal Personal Services</i>	<i>1,110,000</i>	<i>1,125,000</i>	<i>1,308,000</i>	<i>183,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	17,000	18,000	19,000	1,000
26 - Supplies & Materials	3,000	4,000	5,000	1,000
31 - Equipment	3,000	4,000	5,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>23,000</i>	<i>26,000</i>	<i>29,000</i>	<i>3,000</i>
TOTAL	1,133,000	1,151,000	1,337,000	186,000
FTE	9	9	11	2

Table 5
CRIME VICTIMS COMPENSATION PROGRAM
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Positions WIG	9	7,000	
	Current Position COLA		10,000	
	Assistant Legal Claims Examiner	2	124,000	
<i>Subtotal, OC 11</i>				<i>141,000</i>
12 - Personnel Benefits	Current Position WIG		2,000	
	Current Position COLA		4,000	
	Assistant Legal Claims Examiner		36,000	
<i>Subtotal, OC 12</i>				<i>42,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in Increases			1,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Total				186,000

Table 6
CRIME VICTIMS COMPENSATION PROGRAM
Detail of Full-Time Equivalent Employment

Grade	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			2
JS-10	1	1	1
JS-11			
JS-12	6	6	6
JS-13			
JS-14	1	1	1
JS-15			
CES	1	1	1
Total Salaries	869,000	879,000	1,337,000
Total FTEs	9	9	11

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA CRIMINAL DIVISION

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
126	10,276,000	126	10,430,000	126	10,764,000	0	334,000

Mission Statement

The Criminal Division’s mission is to provide quality administrative and courtroom support services to judicial officers, staff, and the public; to provide efficient case processing without undue delay; and to deliver accurate criminal case information.

Introduction

The Criminal Division’s duties include the processing and trial of all criminal cases prosecuted by the United States Attorney and the District of Columbia Attorney General involving violations of the United States Code, District of Columbia Official Code, and municipal and traffic regulations.

Organizational Background

D.C. Code §11-902 establishes the court’s divisions and creates the Criminal Division. The Superior Court Rules for Criminal Procedure “provide[] for the just determination, secure simplicity in procedures and fairness in administration and the elimination of unjustifiable expense and delay of every criminal proceeding in the District of Columbia”.³

The Criminal Division is responsible for processing criminal cases in the District of Columbia that are not exclusively Federal. The Criminal Division implements judicial assignments to cases; prepares judicial calendars (the list of cases assigned to each judge); docket proceedings and filings; seeks new methods to improve service to the public; recommends changes and improvements to the Criminal Rules and Procedures; automates operations; promotes operational efficiencies; and compiles statistical and public information. The Criminal Division also promotes high standards of professional conduct and excellent public service.

The Criminal Division’s structure includes the Director’s Office, four branches, and two problem solving courts (Drug Court and Mental Health Court). The court has implemented the community court model by restructuring misdemeanor and low level non-violent calendars.

- The Director’s Office is responsible for managing all the administrative, fiscal, and personnel matters for the Criminal Division. The Director’s Office has 9 FTEs.
- The Quality Assurance Branch performs quality review of updates to the electronic case management system and the final disposition of cases, ensures that judges’ orders regarding

³ Superior Court Rules of Criminal Procedures, Rule 1

release and commitment of defendants are followed, and handles matters regarding mental competency and federal designation of prisoners. The Quality Assurance Branch has 26 FTEs.

- The Case Management Branch processes and maintains all felony, misdemeanor, traffic, and District of Columbia cases, motions, appeals, and cases to be expunged and sealed. The branch also provides judicial officers, the public, law enforcement officers, and court staff with access to accurate criminal case information. This branch has 21 FTEs.
- The Courtroom Support Branch manages the courtroom clerks assigned to work with the judges who preside over criminal calendars. The branch also secures court evidence and trains courtroom clerks from other divisions who handle criminal cases. This branch has 42 FTEs.
- The Special Proceedings Branch manages two sections, the Warrant Office and the Criminal Finance Office. The Warrant Office processes and maintains all bench warrants, search warrants, arrest warrants, subpoenas, habeas corpus writs, fugitive cases, out-of-state witness cases, grand jury directives, sex offender registration matters, and contempt of court/show cause orders. The Criminal Finance Office receives court ordered fines, fees, bonds, and restitution payments and processes bond refunds. This branch has 21 FTEs.
- The Criminal Division manages two Problem Solving Courts, the Mental Health and Drug Courts. These courts are novel in that they not only hold offenders accountable for their actions, but also focus on ensuring the defendant receives required drug and mental health treatment.

Recently, the U.S. Misdemeanor Calendars and the DC/Traffic calendars were restructured to create nine community-focused courts, each with a dedicated judge. In each calendar, the judge participates in community meetings and uses community court strategies such as community service in the area of the arrest, linkages to social services and, when appropriate, ongoing judicial monitoring. The Community Court has 7 FTEs.

Criminal Division MAP Objectives

The Criminal Division's strategic objectives for FY 2016 are as follows:

- Ensure procedural fairness for litigants by providing training to Criminal Division courtroom clerks about the potential impact of inappropriate verbal and nonverbal communication on perceptions of fairness.
- Ensure that Criminal Division cases are resolved in a timely and efficient manner by maintaining performance within statutory and administrative requirements that address time standards, trial certainty, staggered schedules, age of pending caseload, and accuracy of court records.
- Enhance assistance to the public by training court personnel on the unique needs of special populations such as the elderly, self-represented persons, and individuals with physical and mental issues and by providing services to meet these needs.

- Encourage professional development through mentoring, coaching, job rotation, and other educational opportunities and actively participate in the interdivisional cross-training program.
- Assure sound fiscal practices and adequate resources by responsibly seeking and managing public funds by enforcing collection of court-ordered fines, fees, and restitution in misdemeanor cases and holding financial review hearings for non compliance.
- Continue to educate the community about the Court's role and authority by participating in public meetings, conducting community forums, and increasing the number of community service sites where defendants will be held accountable for their actions by performing court-supervised community service.
- Ensure that court personnel demonstrate professionalism, exemplify the Courts' values, and provide excellent customer service.

Divisional Restructuring and/or Work Process Redesign

The Criminal Division is currently working with other agencies in the justice system and with the Courts' Information Technology Division (IT) on electronic filing. Expanded e-filing would facilitate file data and document updates to existing cases, including prosecutor assignment information and the filing of indictments after a case has been initiated. The Division is also working to implement e-filing and electronic storage of motions for easier judicial access and action.

Workload Data

The caseload and efficiency table below shows that the Criminal Division disposed of over 20,241 cases in 2013. This includes 1,344, D.C. misdemeanors; 3,325 felony cases; 5,222 traffic cases and 10,350 U.S. misdemeanors.

The Criminal Division's case information and measures are reflected below. These measures reflect the adopted time standards for processing cases and reducing the length of time between filing and final disposition.

Table 1
CRIMINAL DIVISION
Caseload and Efficiency Measures (Calendar Year 2013)

	New Filings	Pending Cases 31-Dec	Dispositions	Clearance Rate*
D.C. Misdemeanor	1,439	272	1,344	n/a**
Felony	3,440	1,746	3,325	95%
Traffic	5,587	1,853	5,222	98%
U.S. Misdemeanors	10,470	3,991	10,350	97%
Total	20,936	7,862	20,241	n/a**

* The clearance rate, a measure of court efficiency, is the total number of cases disposed, divided by the total number of cases added (i.e. new filings/reactivated/reopened) during a given time period. Rates of over 100% indicate that the court disposed of more cases than were added, thereby reducing the pending caseload.

** Due to changes in the method of counting misdemeanor cases, it is not possible to provide a 2013 clearance rate for this caseload nor for the Criminal Division overall.

Key Performance Indicators

Table 2
CRIMINAL DIVISION
Key Performance Indicators
(Calendar Year 2013 data)

Time to Disposition			
Case Type	Key Performance Indicator: Cases Resolved within--	Goal	Actual
Felony I (Murder, Sexual Assault, etc.)	12 months	75%	70%
	18 months	90%	82%
	24 months	98%	87%
Felony II	6 months	75%	77%
	9 months	90%	88%
	12 months	98%	95%
AFTC	6 months	75%	75%
	9 months	90%	86%
	12 months	98%	94%
U.S. Misdemeanor	4 months	75%	80%
	6 months	90%	92%
	9 months	98%	98%
D.C. Misdemeanor	4 months	75%	89%
	6 months	90%	95%
	9 months	98%	99%
D.C. Traffic	3 months	75%	68%
	6 months	90%	91%
	9 months	98%	97%
Trial Certainty: Jury Trials			
Case Type	Key Performance Indicator	Goal	Actual
Felony I (Murder, Sexual Assault, etc.)	Cases resolved by the second trial date	70%	86%
Felony II		70%	84%
AFTC		70%	90%
U.S. Misdemeanor		70%	100%
D.C. Misdemeanor		70%	50%
Traffic		70%	83%
Trial Certainty: Non-Jury Trials			
Case Type	Key Performance Indicator	Goal	Actual
Felony	Cases resolved by the second trial date	80%	97%
U.S. Misdemeanor		80%	92%
D.C. Misdemeanor		80%	100%
Traffic		80%	90%

FY 2016 Request

In FY 2016, the D.C. Courts request \$10,764,000 for the Criminal Division, an increase of \$334,000 (3%) from the FY 2015 Enacted Level. The increase consists entirely of built-in increases.

Table 3
CRIMINAL DIVISION
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11-Personnel Compensation	7,952,000	8,068,000	8,326,000	258,000
12-Personnel Benefits	2,228,000	2,263,000	2,336,000	73,000
<i>Subtotal Personal Services</i>	<i>10,180,000</i>	<i>10,331,000</i>	<i>10,662,000</i>	<i>331,000</i>
21-Travel, Transp. of Persons				
22-Transportation of Things				
23-Rent, Commun. & Utilities				
24-Printing & Reproduction	47,000	48,000	49,000	1,000
25-Other Services				
26-Supplies & Materials	22,000	23,000	24,000	1,000
31-Equipment	27,000	28,000	29,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>96,000</i>	<i>99,000</i>	<i>102,000</i>	<i>3,000</i>
TOTAL	10,276,000	10,430,000	10,764,000	334,000
FTE	126	126	126	0

Table 4
CRIMINAL DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Positions WIG	126	168,000	
	Current Position COLA		90,000	
<i>Subtotal 11</i>				<i>258,000</i>
12 - Personnel Benefits	Current Positions WIG		48,000	
	Current Position COLA		25,000	
<i>Subtotal 12</i>				<i>73,000</i>
<i>Subtotal Personal Services</i>				<i>331,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Services				
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Nonpersonal Services</i>				<i>3,000</i>
Total				334,000

Table 5
CRIMINAL DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
JS-3			
JS-4			
JS-5			
JS-6	6	7	3
JS-7	22	9	9
JS-8	37	39	37
JS-9	29	38	42
JS-10	16	16	17
JS-11	2	3	2
JS-12	6	6	6
JS-13	5	5	7
JS-14	1	1	1
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	7,952,000	8,068,000	8,326,000
Total FTEs	126	126	126

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA DOMESTIC VIOLENCE UNIT

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
28	2,337,000	28	2,376,000	29	2,596,000	1	220,000

The Superior Court's Domestic Violence Unit processes all court cases in which domestic violence is a significant issue before one team of designated judges. The Unit handles civil protection orders, criminal misdemeanors, family child support, custody, visitation, and divorce actions.

Mission Statement

The mission of the Domestic Violence Unit is to resolve domestic violence disputes, protect domestic violence victims, and hold perpetrators accountable.

The Domestic Violence Unit was established as a specialized problem-solving court to serve litigants in cases in which domestic violence is the underlying issue. Some of its key features include:

- “One-stop” intake centers for victims. Victims seeking protection, child support, visitation, custody, or criminal sanctions enter through one door and file the case(s) they need, without traveling from one agency to another.
- A three-track differentiated case processing system in which specially trained judicial officers hear cases involving each family and possess detailed knowledge of other cases and decisions concerning this same family.
- Integration of the adjudication of criminal and civil domestic violence cases so that parties obtain results for separate cases at one judicial hearing, thereby saving time for the court and the victim and involved parties.
- Paternity and child support orders are issued during the same proceeding as the civil protection order.
- Community Intake Center, using technology to bring convenience and services to the public in Anacostia.
- Continued communication to hold batterers accountable for abusive behavior.
- Specialized contempt of court hearing for perpetrators to show why they should not be held in contempt for violating a court order.
- Emergency after-hour access to the judiciary to obtain protection orders after court has closed and on weekends and holidays.

Organizational Background

The Domestic Violence Unit is comprised of 28 employees who support five judicial officers in administering justice and providing services to victims and perpetrators of domestic violence.

Management Action Plan (MAP) Objectives

The program's main objective is to provide increased access, improved convenience, and clear, concise understanding of the court process to litigants while maintaining efficiency and quality of court services.

Other objectives for the Domestic Violence Unit include to:

1. Provide petitioners immediate relief through the temporary protection order process.
2. Hold perpetrators accountable through a deferred sentencing and judicial review process that requires the perpetrator to appear in court throughout the treatment/counseling period.
3. Reduce waiting time for court participants.
4. Enhance access to justice for Spanish-speaking and other non-English-speaking court users by translating all court forms into Spanish and other languages (e.g. Amharic and Chinese), ensuring that interpreters (or bilingual staff) are available during all stages of case processing, and making instructions/processes are understandable.
5. Ensure that case information is processed, updated completely, correctly and within Unit time standards.
6. Enhance and ensure safety to victims by seeking additional tools for enforcement of protection orders, such as updating the Regional and National Register for protection orders.
7. Collaborate with surrounding jurisdictions in Maryland and Virginia regarding enforcement of protection orders and service on their constituents.

Restructuring or Work Process Redesign

The Domestic Violence Unit utilizes the D.C. Court's case management system, CourtView, whereby court orders and papers are immediately scanned into a database system and are made available to law enforcement, prosecutors and advocates. This technology enhances enforcement of orders and serves the victims of domestic violence. Cases involving domestic violence are among the most complex and volatile that the D.C. Courts have to address. Judges and court personnel are tasked with handling cases with the complicated dynamics of abuse in interfamily relationships and those who are not related but share the same residence. Additionally, the Unit serves victims of stalking, sexual abuse, and sexual assault. The Unit, as well as the Southeast Center, specializes in addressing these challenging cases in ways that increase victim safety, perpetrator accountability, and efficient and effective case adjudication, while assisting those affected by abuse and linking them to services and programs in the community that help victims of abuse and their families rebuild their lives free from violence.

Also, the Unit designs and facilitates a process for access to emergency after-hour protection orders; connecting the victim with police, advocates, prosecutor and judge whenever court is closed.

Workload Data

In FY 2013, the Domestic Violence Unit processed 8,740 new filings and reinstated cases and disposed of 8,792 cases. Table 1 below provides caseload data for the Domestic Violence Unit.

Table 2 provides performance data for the Domestic Violence Unit for the Fiscal Years 2013 through 2016.

Table 1
DOMESTIC VIOLENCE UNIT
Caseload and Efficiency Measures
(Fiscal Year 2013 Data)

	Cases Added*	Cases Disposed	Clearance Rate**	Cases Pending		
				1-Oct	30-Sep	Change
Contempt Motions	355	341	96%	87	101	16%
Intrafamily (Protection Orders)	5130	5191	101%	376	315	-16%
Paternity & Child Support	191	188	98%	27	30	11%
U.S. Misdemeanors	3064	3072	100%	606	598	-1%
Total	8,740	8,792	101%	1096	1,044	-5%

* Includes cases filed and reopened cases.

**Ratio of cases disposed to cases filed in a given year. A standard efficiency measure is 100% meaning one case disposed for each case filed.

Table 2
DOMESTIC VIOLENCE UNIT
Key Performance Measures

Type of Indicator	Key Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output/Activity	Hearings/events scheduled	Yearly stats/Random sample	35,500	35,682	35,500	35,600	35,600	35,600	35,700	35,700
Quality	% of cases reviewed & processed within 48 hours in Court's database	Evaluation, survey, and random sample	95%	95%	95%	95%	95%	95%	95%	95%
Quality	% of cases reviewed & processed within 48 hours in MPD's database	Evaluation, survey, and random sample	100%	90%	100%	95%	100%	98%	100%	98%
End Outcome	Domestic Violence dispositions	Daily/Monthly Statistics	8,200	8,792	8,800	8,800	8,800	8,800	8,800	8,800
Productivity/Efficiency	Case clearance rates	Yearly statistics	100%	101%	100%	100%	100%	100%	100%	100%

FY 2016 Request

The D.C. Courts' FY 2016 request for the Domestic Violence Unit is \$2,596,000, an increase of \$220,000 (9%) above the FY 2015 Enacted Level. The requested increase includes \$166,000 for one FTE to help manage the Unit and \$54,000 for built-in cost increases.

Deputy Director, 1 FTE (JS-15), \$166,000

Introduction. The Domestic Violence Unit (D.V. Unit) needs a Deputy Director to assist in the development and implementation of policies and procedures, including those related to abuse of a growing elderly population and other underserved groups. The Deputy Director will also

assume responsibility for coordination, training, and outreach to internal and external stakeholders. This will enhance the public's access to justice at the D.C. Courts.

Problem Statement. The D.V. Unit is the only case processing division without a Deputy Director. This has adversely affected the Unit's ability to manage its operations, run the two domestic violence intake centers, collaborate with numerous stakeholders, meet reporting requirements, react to emerging trends in the domestic violence field and develop creative new procedures to serve the public. Having only one senior manager limits the D.V. Unit's ability to respond to the public's needs and coordinate with partner agencies and other divisions of the Court.

The Deputy Director will collaborate with community stakeholders in the management of the two Domestic Violence Intake Centers that serve domestic violence victims in the District of Columbia. Over the last few years with the expansion of the jurisdiction of the District's statute, the population served by the D.V. Unit has expanded. Currently the D.V. Unit has to deal with organizations that focus on teen dating, elder abuse, and other victims' rights groups in addition to the traditional domestic violence advocacy groups that focus on intimate partner violence. It is very time consuming to coordinate and collaborate with all these interest groups to ensure that their specific needs are served. A Deputy Director would permit the Unit to engage these organizations in a more meaningful way to address emerging concerns and improve the District's response to domestic violence problems.

In addition, as the Courts develop a more sophisticated performance measurement infrastructure to meet the objectives of our strategic plan, the assistance of a Deputy Director is needed to develop and monitor the D.V. Unit's performance measures. The Deputy Director is needed to help develop the dashboards in the Courts' business intelligence system that will highlight key performance indicators to facilitate evidence-based management. The new position will help monitor performance measures to ensure that the Unit meets case processing standards for service to the public.

Furthermore, having a deputy director would assist the D.V. Unit to seek, apply, and manage grant funding that would increase the resources available to serve victims of domestic violence, identify problem areas, and develop new ways to address them. Grant managing and reporting is also time-consuming and currently the D.V. Unit has the capacity to administer only one grant at a time.

Relationship to Courtwide Strategic Issues, Goals or Strategies. The request would support the D.C. Courts' Strategic Goal 2: Access to Justice through the development and implementation of additional policies and procedures to enhance access to the Court for victims of domestic violence, particularly for underserved populations.

Relationship to Divisional MAP Objectives. Service to the public as well as an efficient, complete, and accurate case processing system have been important objectives of the D.V. Unit. The addition of a Deputy Director would enhance each aspect of the Unit's case processing and reduce the time to process cases.

Relationship to Existing Funding. Currently the Director is the only senior manager in the D.V. Unit. The addition of the Deputy Director will assist in the development and implementation of policies and procedures, including those related to abuse of growing elderly and other underserved populations. The Unit can then provide better assistance and anticipate the needs of judges, clients, and other partner agencies.

Methodology. It has been determined that this position should be graded JS-15 based on the D.C. Courts' classification standards and personnel policies

Expenditure Plan. The Unit will recruit for these positions in accordance with D.C. Courts' personnel policies.

Key Performance Indicators. The additional Deputy Director will increase the D.V. Unit's ability to engage other service organizations, develop procedures that are more data driven and, as a result, eliminate barriers that prevent victims of domestic violence from obtaining services in the District of Columbia Superior Court.

Table 3
DOMESTIC VIOLENCE UNIT
New Position Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Cost
Deputy Director	JS-15	1	\$128,000	\$38,000	\$166,000

Table 3
DOMESTIC VIOLENCE UNIT
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 – Compensation	1,818,000	1,846,000	2,015,000	169,000
12 – Benefits	508,000	517,000	566,000	49,000
Subtotal Personal Services	2,326,000	2,363,000	2,581,000	218,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	5,000	6,000	7,000	1,000
31 - Equipment	6,000	7,000	8,000	1,000
Subtotal Nonpersonal Services	11,000	13,000	15,000	2,000
TOTAL	2,337,000	2,376,000	2,596,000	220,000
FTE	28	28	29	1

Table 4
DOMESTIC VIOLENCE UNIT
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Position WIG	28	18,000	
	Current Position COLA		23,000	
	Deputy Director	1	128,000	
<i>Subtotal 11</i>				<i>169,000</i>
12 - Personnel Benefits	Current Position WIG		5,000	
	Current Position COLA		6,000	
	Deputy Director		38,000	
<i>Subtotal 12</i>				<i>49,000</i>
<i>Subtotal Personal Services</i>				<i>218,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Nonpersonal Services</i>				<i>2,000</i>
Total				220,000

Table 5
DOMESTIC VIOLENCE UNIT
Detail of Full-Time Equivalent Employment

Grade	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
JS-3			
JS-4			
JS-5			
JS-6	3		1
JS-7	3	3	1
JS-8	7	10	9
JS-9	8	8	9
JS-10	3	3	4
JS-11			
JS-12	1	1	1
JS-13	2	2	2
JS-14			
JS-15			1
CEMS			
CES	1	1	1
Total Salaries	1,818,000	1,846,000	2,015,000
Total FTEs	28	28	29

**SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
FAMILY COURT OPERATIONS DIVISION**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
173	14,660,000	173	14,869,000	177	15,591,000	4	722,000

Mission Statement

The mission of the Family Court is to protect and support children brought before it, strengthen families in trouble, provide permanency for children, and decide disputes involving families fairly and expeditiously, while treating all parties with dignity and respect.

Organizational Background

The District of Columbia Family Court Act of 2001 (“the Act”) was enacted to ensure the safety and well-being of children and families in the District of Columbia. Pursuant to the Act, specially trained and qualified judges serve on the Family Court at least three years, all family cases remain assigned to judges serving on the Family Court bench, and a one judge/one family case management model is utilized to facilitate more informed decision-making – thus facilitating improvement in service delivery to families, avoiding the risk of conflicting orders, and reducing the number of court appearances for families.

The Family Court has jurisdiction over cases of child abuse and neglect, custody, termination of parental rights, adoption, paternity and support, mental health and mental habilitation, juvenile delinquency, marriage, and divorce. The division is comprised of the Office of the Director, six administrative branches, two support offices, the Family Court Self Help Center, the Family Treatment Court, and the Fathering Court.

1. The Domestic Relations Branch processes divorce, annulment, custody, termination of parental rights, and adoption cases. This Branch operates with 18 FTEs.
2. The Paternity and Child Support Branch processes paternity actions and requests to establish, modify and enforce child support orders. This Branch operates with 24 FTEs.
3. The Juvenile and Neglect Branch is responsible for cases involving children alleged to be delinquent, neglected, abused, or otherwise in need of supervision. This Branch operates with 22 FTEs.
4. The Counsel for Child Abuse and Neglect (CCAN) Office recruits, trains, and assigns attorneys to provide representation for children, eligible parents, and caretakers in proceedings of child abuse and neglect. This Branch operates with 5 FTEs.
5. The Mental Health/Mental Habilitation Branch is responsible for matters involving the emergency hospitalization or detention of individuals in need of mental health services and matters for persons with intellectual disabilities in need of habilitation services. This Branch operates with 10 FTEs.
6. The Courtroom Support and Quality Control Branch provides in-court clerical support to judicial officers presiding over Family Court cases and supports all branches by processing

prisoner transfer requests, preparing daily assignments for courtroom clerks and court aides, reviewing juvenile files post-hearing, and conducting limited reviews of abuse and neglect files to facilitate compliance with the Adoptions and Safe Families Act (ASFA). This Branch operates with 49 FTEs.

7. The Attorney Advisor's Office, created within the Office of the Director in response to the Family Court Act of 2001, assists the Family Court in maintaining compliance with the Federal ASFA, the D.C. ASFA and other child welfare laws applicable to abuse and neglect cases. This Office operates with 3 FTEs.
8. The Central Intake Center (CIC) is an innovation arising from the Family Court's implementation of the Act that serves as the initial point of contact between the public and the Family Court. Its primary mission is to provide comprehensive, timely, and efficient case processing services to the citizens of the District of Columbia and public agencies from one centralized location. The CIC initiates cases and receives all subsequent case filings, as well as the case filing fees. The CIC is the primary location for the dissemination of Family Court case status information to the public. Through the Marriage Bureau, the branch also issues licenses and authorizations for marriages in the District of Columbia and maintains a list of officiants who are authorized to perform civil weddings in the court. This Branch operates with 32 FTEs.
9. The Family Court Self Help Center (SHC), developed in collaboration with the D.C. Bar, provides legal information and assistance to self-represented parties in Family Court cases. This Branch operates with 5 FTEs.
10. The Family Treatment Court, created as a result of a partnership between the Family Court and the Office of the Deputy Mayor for Children, Youth, Families, and Elders, in cooperation with key District health and human services stakeholders, is a voluntary comprehensive residential substance abuse treatment program for parents whose children are the subject of a child neglect case. This specialty court operates with 1 FTE assigned to the Office of the Director.
11. The Fathering Court provides services to non-custodial parents who are unable to pay court-ordered child support and find stable employment that will enable them to become financially supportive of their children. The Fathering Court empowers fathers to maintain a physical and emotional presence in the lives of their children. This specialty court operates with 2 FTEs assigned to the Office of the Director.
12. The Office of the Director is responsible for making policy and managing the division's budget, administrative staff, supplies, and equipment. The Office of the Director oversees implementation of divisional objectives in support of the Courts' Strategic Plan and courtwide performance measures. The office is responsible for preparing all legally mandated reports on divisional operations to the local legislature and the U.S. Congress. This Office operates with 12 FTEs including those in specialized assignments as noted above.

Management Action Plan Objectives

- Ensure division performance by collaborating with judicial leadership to achieve established case processing time standards per the Chief Judge's Administrative Order.

- Enhance the administration of justice through increased monitoring and compliance with the Federal and D.C. Adoption and Safe Families Acts by reaching and maintaining 95% compliance with all hearing deadlines and content requirements.
- Enhance the timely processing of cases by ensuring that 95% of court information, including exhibits, is complete and available for courtroom proceedings.
- Enhance the administration of justice through the development of interfacing capabilities to electronically initiate abuse and neglect cases, receive subsequent pleadings and exchange documents and data through automation with partnering agencies.
- Enhance understanding of the court process by Spanish speaking persons by translating 100% of existing forms/orders identified suitable for translation.
- Promote a competent and well-trained Family Court CCAN Bar by ensuring compliance with Practice Standards and certification requirements and conducting annual and monthly training sessions for attorneys.
- Enhance accountability to the public through the continuation of the Fathering Court programs that were developed to increase compliance with court-ordered child support payments through provision of services, enhanced supervision, and incentives to non-custodial parents.
- Promote efficiency by adopting paperless case processing procedures that eliminate the need for bulky case files in the courtrooms and storage areas.
- Decrease the wait-time for litigants in paternity and support matters by developing a staggered calendar pilot.
- Increase Family Court Operations Courtroom data accuracy through the creation and use of monitoring tools that track the number of cases reviewed and the percentage of errors detected in those cases. The tools will facilitate data correction and highlight areas for training and the creation of performance standards that promote an environment of increased accuracy.

Restructuring or Work Process Redesign

The Family Court Operations Division continues to explore innovative and effective methods of improving and streamlining case processing. The Court, in collaboration with the Child and Family Services Agency, began a project to enhance abuse and neglect case processing through the development of an electronic interface between the Court's case management system and the child welfare agency system. Through grant funds received under the Court Improvement Project from the U.S. Department of Health and Human Services, the Court automated the case initiation process in 2010 and in May 2012 automated the receipt of subsequent filings and the exchange of data and documents electronically between the agencies. This initiative has resulted in improved efficiency for the Family Court and the child welfare agency through the elimination of the manual filing process, improved data quality, and the provision of more timely access to case information for judicial officers and court staff.

The Family Court Central Intake Center (CIC) utilizes Case File Express, a secure web-based browser application that supports the electronic filing and receipt of documents for several Family Court case types; some case types can be initiated electronically, others require the initial petition or complaint be filed in-person but require all subsequent pleadings to be electronically filed. Cases in the Paternity and Support Branch and in the Mental Health/Mental Habilitation

Branch have yet to implement electronic filing. Upon acceptance of the filings, images of the pleadings immediately appear on the Court's docket and are readily available for viewing by judges and court personnel. The Case File Express technology reduces scanning and provides a convenient method of filing for the Office of the Attorney General, reducing their visits to the courthouse to file documents.

Table 1
FAMILY COURT OPERATIONS DIVISION
Caseload and Efficiency Measures
(Calendar Year 2013 Data)

	Cases Added*	Dispositions	Clearance Rate**	Pending Cases		
				1-Jan	31-Dec	Change
Abuse and Neglect	406	368	91%	64	102	59%
Adoption	258	235	91%	166	189	14%
Divorce and Custody	4,373	4,389	100%	1,479	1,463	-1%
Juvenile	3,232	3,054	94%	542	720	33%
Mental Health	2,683	2,658	99%	143	168	18%
Mental Habilitation	3	7	233%	6	2	-67%
Paternity & Child Support	2,446	2,493	102%	1,448	1,401	-3%
Total	13,401	13,204	99%	3,848	4,045	5%

* Includes cases filed and reopened cases.

**Ratio of cases disposed to cases filed in a given year. A standard efficiency measure is 100% meaning one case disposed for each case filed.

Table 2
FAMILY COURT OPERATIONS DIVISION
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	2013		2014		2015		2016	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Time to Disposition	Contested Custody Cases resolved within 270 days	Performance Measure Report	98%	90%	98%	93%	98%	95%	98%	98%
Time to Disposition	Contested Divorce Cases resolved within 270 days	Performance Measure Report	98%	99%	98%	99%	98%	99%	98%	99%
Time to Disposition	Child Support Cases resolved within 18 months	Performance Measure Report	90%	93%	90%	94%	90%	95%	90%	96%
Time to Disposition	Neglect Cases (Removed) resolved within 105 days	Performance Measure Report	100%	82%	100%	85%	100%	90%	100%	95%
Time to Disposition	Neglect Cases (Not Removed) resolved within 45 days	Performance Measure Report	100%	52%	100%	70%	100%	80%	100%	90%
Time to Disposition	Juvenile Cases (Non-secure Detention) resolved within 60 days	Performance Measure Report	100%	82%	100%	85%	100%	90%	100%	95%
Time to Disposition	Juvenile (Released) Cases resolved within 270 days	Performance Measure Report	98%	99%	98%	98%	98%	98%	98%	98%
Persons Assisted	Number of Persons Assisted in the Self Help Center	Monthly Statistics	8,516	8,074	8,564	8,235	8,652	8,400	8,800	8,600

FY 2016 Request

In FY 2016, the Courts request \$15,591,000 for the Family Court Operations Division, an increase of \$722,000 (5%) above the FY 2015 Enacted Level. The increase includes \$377,000 and 4 FTEs for attorney negotiators to help families with domestic relations cases resolve their disputes and case managers to improve business processes, thereby enhancing timeliness, and \$345,000 for built-in cost increases.

Enhancing Processing of Domestic Matters, 4 FTEs, \$377,000

Attorney Negotiator, 2 FTEs (JS-13), \$239,000

Domestic Relations Case Manager, 2 FTEs (JS-9/10), \$138,000

Problem Statement. To address the recommendations of the D.C. Bar Family Law Task Force (“Task Force”) and adopt best practices, two attorney negotiators are required to expand access to justice and promote efficiency and two case managers are needed to improve the administration of justice in two of the Family Court branches where many parties do not have the assistance of counsel. In domestic relations and paternity and child support cases, indigent parties do not have a right to appointed counsel, and the vast majority of the parties are self-represented. The requested attorney negotiators will help the parties resolve disputes, enhancing service to the public by increasing timely case resolution and reducing the amount of in-court time needed. The requested case managers will resolve scheduling issues that lead to delays in case processing and resolution.

The March 2013 Task Force report recommended the creation of attorney negotiator positions to help parties in domestic matters resolve disputes and reach agreements at the initial hearings in divorce, custody, visitation, and support matters. Presently pro bono attorneys coordinate and staff the existing program. Between June 2012 and June 2014, 7,020 initial hearings were set in such matters – an average of 281 hearings per month. Because the existing attorney negotiators are volunteers, staffing is unreliable and many of the nearly 5,000 cases did not receive the assistance of an attorney negotiator. Judges report that when an attorney negotiator is available to assist the parties, at least one-third of the cases are wholly or partially resolved at the initial hearing. Cases are settled, issues are narrowed, and agreements are reached on temporary orders – all of which reduce the judicial time spent on the case, helping with efforts to meet time standards, reduce delay, and enhance service to the public. Without consistently available attorney negotiators, the time standards have not been met. In FY 2014, despite a goal to complete 98% of these cases within 270 days, only 82% of the contested custody cases and 89% of contested divorce cases were completed within the standard. This request would allow more litigants to be assisted by full-time attorney negotiators, supplemented by volunteers, increasing timeliness for the families appearing before the court.

The Task Force also recommended case managers in the Domestic Relations Branch to improve business processes. The Branch is responsible for thousands of contested and uncontested cases—4,285 were filed in FY 2014. Currently, court hearings are automatically scheduled in domestic matters, but oftentimes the case is not ready to proceed due to a variety of procedural issues and/or the lack of completed court-ordered reports. Nevertheless, the matter remains on the calendar consuming valuable judicial time and requiring unnecessary appearances for parties,

which are especially costly for hourly and low-wage earners. This practice also prevents calendar ready cases from proceeding as trial dates are being held by cases not ripe for resolution. Cases not prepared to proceed are then rescheduled for a hearing several months in the future, increasing judicial caseloads, wasting families' time, and delaying case resolution, which negatively impacts the Family Courts' ability to meet time standards. The DR case managers would determine case readiness and reduce wasted resources by rescheduling matters prior to the hearing when they are not in the correct procedural posture or do not have all the required documents (e.g. home studies or mental health exams). Case managers would streamline the business process of the Domestic Relations Branch and enhance service to the public and improve the administration of justice in the Family Court, including fewer court appearances and shorter wait-times for families.

Relationship to Court Mission, Vision and Strategic Goals. The requested positions would support Strategic Goal 1 – fair and timely case resolution by enhancing settlement, minimizing delays, and increasing efficiency.

Relationship to Divisional Objectives. These positions would have a direct impact on divisional objectives of disposing of matters in a timely fashion and would reduce the number of active pending cases on the Domestic Relations calendar.

Relationship to Existing Funding. The division has no excess funding for these positions.

Methodology. The positions are classified based on the Court's classification for comparable staff positions.

Expenditure Plan. The positions will be recruited and hired according to the Court's Personnel Policies.

Performance Indicators. Success of the position will be measured through the division's improved performance measures (time to disposition) and through the employee's performance plan.

Table 3
FAMILY COURT OPERATIONS DIVISION
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Cost
Attorney Negotiator	JS-13	2	\$184,000	\$55,000	\$239,000
Case Manager- Domestic Relations	JS-9	2	\$106,000	\$32,000	\$138,000
TOTAL		4	\$290,000	\$87,000	\$377,000

Table 4
FAMILY COURT OPERATIONS DIVISION
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	10,351,000	10,496,000	11,014,000	518,000
12 - Personnel Benefits	2,900,000	2,940,000	3,110,000	170,000
<i>Subtotal Personal Services</i>	<i>13,251,000</i>	<i>13,436,000</i>	<i>14,124,000</i>	<i>688,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	27,000	28,000	29,000	1,000
25 - Other Services	1,020,000	1,036,000	1,060,000	24,000
26 - Supplies & Materials	35,000	36,000	37,000	1,000
31 - Equipment	327,000	333,000	341,000	8,000
<i>Subtotal Nonpersonal Services</i>	<i>1,409,000</i>	<i>1,433,000</i>	<i>1,467,000</i>	<i>34,000</i>
TOTAL	14,660,000	14,869,000	15,591,000	722,000
FTE	173	173	177	0

Table 5
FAMILY COURT OPERATIONS DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 – Personnel Compensation	Current Position WIG	173	101,000	
	Current Position COLA		127,000	
	Attorney Negotiator	2	184,000	
	Case Manager – Domestic Relations	2	106,000	
<i>Subtotal 11</i>				<i>518,000</i>
12 - Personnel Benefits	Current Position WIG		51,000	
	Current Position COLA		32,000	
	Attorney Negotiator		55,000	
	Case Manager – Domestic Relations		32,000	
<i>Subtotal 12</i>				<i>170,000</i>
<i>Subtotal Personal Services</i>				<i>688,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Services	Built-in Increases			24,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			8,000
<i>Subtotal Nonpersonal Services</i>				<i>34,000</i>
Total				722,000

Table 6
FAMILY COURT OPERATIONS
Detail of Full-Time Equivalent Employment

	2014 Enacted	2015 Enacted	2016 Request
JS-3			
JS-4			
JS-5			
JS-6	8	12	11
JS-7	23	12	9
JS-8	57	63	64
JS-9	37	38	41
JS-10	13	11	12
JS-11	11	11	12
JS-12	7	8	7
JS-13	15	16	18
JS-14			
JS-15			1
CEMS	1	1	1
CES	1	1	1
Total Salary	10,351,000	10,496,000	11,014,000
Total FTEs	173	173	177

**SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
FAMILY COURT SOCIAL SERVICES DIVISION**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
142	20,486,000	142	19,538,000	145	23,021,000	3	3,483,000

Mission Statement

The mission of the Family Court Social Services Division (CSSD) is to assist the District of Columbia Superior Court's Family Court and the city's juvenile justice system in the rehabilitation of youths and, to the maximum extent possible, their families through the provision and coordination of comprehensive services and community supervision to protect communities, enhance public safety, and prevent recidivism.

Organizational Background

As the juvenile probation agency for the District of Columbia, which includes juvenile pre-trial services and post adjudication probation, the CSSD is responsible for all youth involved in the District of Columbia's juvenile justice system who are not committed to the District of Columbia's Department of Youth Rehabilitative Services (DYRS). Responsibilities include 1) screening and assessing each newly referred youth's social service needs and risk to public safety following arrest; 2) making initial detention/release decisions; 3) conducting youth and family assessments; 4) making petition recommendations to the Office of the Attorney General (OAG); 5) advising and making recommendations to the Court throughout all phases of the adjudication process; 6) conducting home, school, and community assessments toward the development of comprehensive pre-trial and post-disposition probation services/supervision plans and alternatives to detention; 7) recommending and facilitating commitment of youth to the DYRS; and 8) coordinating services and monitoring all court-involved youth. The Division is comprised of the Director's office, two units, and four branches:

- The Director's Office is responsible for management and oversight of all goals, objectives, programs, and activities across the Division. The office has 6 FTEs.
- The Juvenile Information Control (JIC) Unit processes all cases through adjudication and disposition using of the Court's case management system, CourtView. The JIC Unit also manages distribution of court reports, oversees the general maintenance of the Division's vehicles, and provides customer service to youth and families reporting to Building B, the central office for CSSD. The unit has 5 FTEs.
- The Contract Monitoring, Data and Financial Analysis Unit coordinates all court-ordered referrals, oversees the procurement of services and coordination of reimbursement for contractual service providers, and compiles CSSD's data. The Unit also coordinates the Division's general internships and staff training. The unit has 5 FTEs.

- The Intake Services and Delinquency and Prevention Branch is comprised of three units, including two units dedicated to day, evening and overnight intake services and one unit responsible for community outreach and education as well as global positioning system (GPS) electronic monitoring. Intake Units I and II are responsible for screening each newly referred youth's risk to public safety, screening and assessing all Truancy referrals, conducting social assessments (youth and family) on all youth referred by law enforcement, coordination of Conner assessments, presenting all referrals before a judicial officer (juvenile equivalent of an adult arraignment), and making pre-trial recommendations. The Delinquency Prevention Unit (DPU) manages the Division's GPS electronic monitoring, coordinates diversion, and facilitates public safety community education presentations and outreach. Intake Units I and II operate 24 hours a day, seven days a week. The branch consists of 25 FTEs.
- The Pre/Post Probation Supervision Branch - Region I provides a seamless set of services, case management, and monitoring/supervision efforts provided by one probation officer of record. The branch consists of: 1) the Southeast Satellite Office (SESO) Balanced and Restorative Justice (BARJ) Drop-In Center, responsible for serving and supervising all youth residing in the historic Anacostia southeast quadrant of the District; 2) the Southwest Satellite Office (SWSO), created to serve youth residing in the southwest and lower northwest quadrants of the city; 3) the Interstate Probation Supervision Office (IPSO), which manages all youth adjudicated in the District who reside outside the city as well as all youth adjudicated outside the District who reside in the city; and 4) Ultimate Transitions Ultimate Responsibilities Now (UTURN), responsible for case management, and the supervision of high-risk pre-and post-adjudicated youth across the city. The branch consists of 46 FTEs.
- The Pre/Post Probation Supervision, Status Offender & Behavioral Health Branch -Region II is responsible for providing seamless services and monitoring/supervision efforts by one probation officer of record. The branch is also complimented by a unit specifically created to respond to the needs of status offenders and youth presenting with mental health needs who are eligible for diversion. The branch consists of: 1) the Northwest Satellite Office (NWSO), responsible for serving and supervising the vast majority of youth residing in the northwest quadrant of the city; 2) the Northeast Satellite Office (NESO) Balanced and Restorative Justice Drop-In Center; 3) the Status Offender and Juvenile Behavior Diversion Program (SOJBDP) responsible for screening, diverting, petitioning, case managing, serving, and supervising all youth referred by the D.C. Public Schools, Charter Schools, private schools and/or a parent/guardian/custodian for alleged habitual truancy (status offense) or as a Person in Need of Supervision (PINS) and all youth participating in the Behavioral Health Court (BHC) diversion or post-disposition program; 4) the Leaders of Today in Solidarity (LOTS), the city's first female gender-specific seamless probation program; and 5) Domestic Relations Unit. This branch consists of 49 FTEs.
- The Child Guidance Clinic (CGC) Branch provides a constellation of court-ordered psychological, psycho-educational, neuro-psychological, competency, forensic evaluations, and Juvenile Behavioral Health initial clinical screenings to determine the needs of youth and families and guide judicial decision-making. Additionally, CGC staff recommends eligible

youth for the Juvenile Behavioral Health Court. The branch also provides psychotherapy to a limited number of uninsured youth and families. The Unit has 9 FTE's and 3 paid interns.

Division Management Action Plan (MAP) Objectives

The Family Court Social Services Division will:

- Use a valid Risk Assessment Instrument and social assessment interviews on all youth within four hours of referral, ensuring sound detention/release and petitioning recommendations (subsequent to consultation), and expeditious case processing initiation by transferring 95% of all cases to appropriate units within three business days of initial hearing.
- Provide high quality screenings, assessments, services, and supervision to all youth determined eligible for diversion and petitioning within 15 calendar days of the petition, as well as post-adjudication supervision.
- Ensure accurate and timely processing of all services requested by probation officers or ordered by the Court by processing all referrals and invoices within three business days of the probation officer of record receiving the case.
- Coordinate and facilitate Family Group Conferences (FGC) on all youth within 18 calendar days of receiving the case to determine the appropriate levels of services and community supervision necessary to achieve the objectives detailed in all pre-trial and post-disposition plans for at least 93% of all juveniles.
- Conduct high-quality, comprehensive home studies for families involved in domestic relations cases by completing 95% of home studies within six weeks of the court order.
- Develop comprehensive strength-based social studies to guide services and supervision of all juveniles (as ordered by the Court) by completing 95% of all social studies due within 15 or 45 days of the court order.
- Ensure comprehensive service delivery and community supervision for all youth referred via Interstate Compact who reside within a 20 mile radius of the city and ensure all cases adjudicated in the District of Columbia involving youth residing outside of the radius are transferred to the appropriate jurisdiction for services and supervision.
- Provide high-quality psychological, neuro-psychological, psycho-sexual, and psycho-educational evaluations for all Court-ordered youth within 25 business days.
- Provide comprehensive screenings for behavioral and emotional disorders, as well as environmental health indicators on 95% of youth assessed at the intake phase.

Restructuring or Work Process Re-Design

Building on major reengineering efforts launched in FY 2006 and augmented in 2008, 2010 and 2012, the Division utilized its strength-based pro-social model to guide its pre-trial and post-disposition juvenile probation efforts. Additionally, the Division continued to enhance its “*One Probation Officer, One Youth/Family Model*” and expanded its Balanced and Restorative Justice (BARJ) Drop-In Center model for youth and families coming before the Family Court on delinquency matters.

In an effort to sustain an engaged workforce, and in concert with the Strategic Plan of the District of Columbia Courts (Strategic Plan Goal 3), a focused effort on Division-wide training with a focus on the Balanced and Restorative Justice (BARJ) Philosophy Principles continued throughout 2013 and 2014. The CSSD ensured that staff had input into the selected trainings and the training opportunities were presented consistently throughout the fiscal year, to include:

- In November of 2013 CSSD collaborated with the Administrative Services Division (ASD) and entered into a contract with *Youth and Families in Crisis (YFIC)*, a local agency nationally trained and recognized in BARJ philosophy, principles, and concepts. The purpose of the YFIC trainings, which will run across several contract years, is to build and expand the knowledge and skills of CSSD staff such that all staff are facilitating services, supports and supervision as well as signature programs, including our BARJ Drop-In Centers, using BARJ Principles.
- In June of 2014, the entire CSSD Division attended the Annual Middle Atlantic States Correctional Association (MASCA) Conference held at the Gallaudet Kellogg Conference Center in Washington, DC. MASCA is the leading regional interdisciplinary organization for professionals in the related fields of criminal and juvenile justice, with a particular focus on probation, parole, and detention/corrections, and the regional affiliate for both the American Correctional Association and the American Probation and Parole Association. The Conference offered attendees an educational forum for networking, problem-solving, and leadership development across state boundaries.
- In July of 2014, CSSD entered into a contractual agreement with the Columbia Heights/Shaw Family Support Collaborative to continue division-wide training in the Family Group Conferencing (FGC) Model. This effort to embrace a solution-focused, strength-based, and family-focused approach to case management and supervision was initiated in 2008 to ensure that youth under CSSD supervision were accorded more targeted services from the providers that they encounter on a day-to-day basis. The FGC Model continues to receive international recognition as a highly effective family engagement, decision-making model.

In June 2014, The Family Court identified the need to ensure all youth screened and assessed by the CSSD for delinquency and status offenses were also screened and assessed for *Human Trafficking and Exploitation*, an emerging population identified internationally, nationally, and locally. Accordingly, the CSSD’s Child Guidance Clinic (CGC) has selected six (6) individuals contracted to provide Targeted Screening Services for youth entering the District Juvenile Justice System through delinquency and status offenses. The resulting increased screening capacity of

the CGC addresses the need for the 24 hour availability of screeners; the expanded numbers of truant young people referred to the D.C. Courts as a result of newly enacted truancy legislation; and the Family Court's focus on the Commercial Sexual Exploitation of Children (CSEC).

In June of 2012, the Office of the Director initiated the Internal Residential Review Committee (IRRC), Co-Chaired by the chief psychologist of the CGC and a senior probation officer. The IRRC's principle responsibilities include reducing the need for commitment to the Department of Youth Rehabilitation Services (DYRS) to aide youth in accessing residential services, and offers probation officers an additional resource to address non-compliant conduct and negative youth behaviors, while remaining on probation. The youth remains on probation, while still afforded the opportunity to be placed in a short-term behavioral treatment residential placement. The IRRC is facilitated by a team of CSSD staff and typically is utilized for those youth under the supervision of CSSD, demonstrating significant non-compliance with court orders, mild to moderate aggressive behaviors, re-arrests and other behaviors that would potentially be considered for revocation and/or commitment. Prior to the initiation of the IRRC, youth in need of residential placement would need to be committed to access that level of care. To date, more than 50 youth have been successfully placed in short-term residential care and monitored and managed through the IRRC, while remaining on probation.

Workload Data

Table 1
FAMILY COURT SOCIAL SERVICES DIVISION
Caseload (Fiscal Year 2013 data)

Case Type	New Cases	Cases Closed	Cases Pending Beginning of Year	Cases Pending End of Year
Juvenile Intake	2,841	2,840	0	1
Pre/ Post Disp. Supervision	2,458	2,463	873	868
Status Offenders	507	493	250	264
Behavior Health Court (effective January 2011)	58	45	17	30
Domestic Relations	260	295	26	24
Child Guidance Clinic	946	952	17	12

Table 2
FAMILY COURT SOCIAL SERVICES DIVISION
Key Performance Indicators

Performance Indicators	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Juveniles under supervision and Domestic Relations monthly cases average of total CSSD cases	Superior Court Data	1,700	1,600	1,700	1,700	1,650	1,650	1,600	1,600
Juveniles under supervision and drug screening conducted	Pretrial Services Data	4,000	4,000	4,000	4,000	4,000	4,000	3,500	3,500
Juvenile probationers screening positive for drugs during probation	Pretrial Services Data	50%	45%	50%	50%	50%	50%	50%	50%
Juveniles successfully completing probation	CSSD Statistical Reports	80%	80%	85%	85%	85%	85%	85%	85%
Juveniles arrested for new offenses during probation	Superior Court Data	15%	8%	8%	10%	6%	6%	6%	6%
Average supervision caseload (national standard: 1:25)	CSSD Statistical Reports	25	25	25	25	25	25	25	25
Average intensive supervision caseload (national standard: 1:14)	CSSD Statistical Reports	14	13	14	14	14	14	14	14
Curfew checks -- face-to-face contact	CSSD Statistical Reports	24,000	22,741	25,500	25,000	25,000	25,000	25,000	25,000
Curfew checks -- telephone calls	CSSD Statistical Reports	36,000	35,012	35,000	34,000	35,000	34,500	34,000	34,000
Compliance among youth with face-to-face and telephone call curfew checks	CSSD Statistical Reports	75%	68%	75%	75%	75%	75%	75%	75%

Division Outcomes and Accomplishments in FY 2013

In FY 2013, with an average daily population of 1,562, of whom 350 or 22% were females and 1,212 or 78% were males, the Division continued its proactive measures and efforts to manage court-involved youth, under the front-end of the city's juvenile justice system.

The CSSD continued to provide comprehensive and timely screenings and assessments of all newly referred youth resulting in approximately 99% of new cases being ready prior to the initial hearing. A total of 2,841 new cases were processed, representing a decrease of 1% from the 2,901 new cases processed in 2013. However, the Division increased face-to-face contact visits (an average of 2,298 per month) with youth and families as part of a division-wide initiative to increase direct supervision efforts. CSSD continued to conduct curfew calls (an average of 3,100 per month), Family Group Conferences (FGC), case staffing, home and school visits, and coordination of services in tandem with sound case management. Comprehensive forensic evaluations and assessments were also provided by the Child Guidance Clinic (CGC), and the Division provided innovative services, including Leaders of Today in Solidarity (LOTS), Ultimate Transitions Ultimate Responsibilities Now (UTURN), the Southeast (SE) Balanced and Restorative Justice (BARJ) Drop-In Center, the Southwest (SW) Balanced and Restorative Justice (BARJ) Center, the Northeast (NE) BARJ Drop-In Center, and the Juvenile Behavioral Diversion Court.

Table 3
FAMILY COURT SOCIAL SERVICES DIVISION
SE BARJ Drop-In Center

Month/Year	Oct 13	Nov 13	Dec 13	Jan 14	Feb 14	Mar 14	April 14
Youth in Program	19/115	20/112	22/124	14/137	20/150	17/144	17/144
% not suspended from school	85%	86%	76%	88%	88%	73%	86%
% not rearrested	95%	98%	96%	94%	96%	94%	96%

Table 3 shows outcomes achieved by the SE BARJ Drop-In Center in FY 2013. The Center houses both BARJ activities for pre-trial youth and post-disposition supervision and services. Among the youth participating in the SE BARJ Drop-In Center, 95% were not re-arrested, 86% were not suspended, and more than 95% of participating youth completed the SE BARJ Drop-In Center program. The average daily population of 30 youth attending the Center represents nearly 20% of the facility's average daily population of 150 post-disposition youth served and supervised at the location.

Table 4
FAMILY COURT SOCIAL SERVICES DIVISION
NE BARJ Drop-In Center

Month/Year	Oct 13	Nov 13	Dec 13	Jan 14	Feb 14	Mar 14	April 14
Youth in Program	22/158	21/148	23/158	22/157	29/155	31/155	30/161
% not suspended from school	84%	81%	78%	81%	94%	84%	83%
% not rearrested	94%	93%	94%	89%	91%	93%	90%

Table 4 shows outcomes achieved by the NE BARJ Drop-In Center in FY 2013. The Center houses both BARJ activities for pre-trial youth and post-disposition supervision and services. Among the youth participating in the NE BARJ Drop-In Center, 92% of the youth were not re-arrested and 83% (an increase of 5% from FY 2013) of participating youth were not suspended from school.

Table 5
FAMILY COURT SOCIAL SERVICES DIVISION
Curfew Checks

Month/Year	Oct 13	Nov 13	Dec 13	Jan 14	Feb 14	Mar 14	Apr 14
Face-to-Face	2,207	2,205	2,160	2,150	2,350	1,845	1,958
Telephone	2,948	2,960	2,740	3,178	2,904	2,721	2,730

Table 5 illustrates that from October 1, 2013 thru April 30, 2014, a total of 14,875 face-to-face curfew checks and 20,181 telephone curfew checks were conducted by probation officers. The population of youth receiving face-to-face curfew checks includes youth residing in the city, D.C. youth adjudicated outside the city, and youth adjudicated in D.C. who reside within a 20-mile radius of the city. The population of youth receiving telephone curfew checks includes all youth supervised by CSSD with court-ordered curfews. In addition, 2,540 face-to-face weekend curfew checks (Friday and Saturday nights) were made during the months of June through August 2013 as a part of the "D.C. Safe Streets" Initiative, which will continue over the summer of 2014.

Table 6
FAMILY COURT SOCIAL SERVICES DIVISION
Parent Participation Orders

Month/Year	Oct 13	Nov 13	Dec 13	Jan 14	Feb 14	Mar 14	Apr 14
Parent Participation Orders	850	804	779	840	856	880	940
Compliance	760	730	740	770	773	828	870
% Compliance among parents	89%	91%	95%	92%	90%	94%	93%

Table 6 illustrates that from October 2013 through April 2014, 92% of parents issued Parent Participation Orders complied. National indicators confirm that parents, guardians, and custodians are the most suitable individuals to supervise and support adolescents involved in juvenile justice systems.

Similar to 2013, in 2014 the CSSD continued to work aggressively with local juvenile and criminal justice as well as child welfare and behavioral health stakeholders throughout the city, resulting in a reduction in recidivism and increased cross-agency initiatives. Among the many initiatives launched by the CSSD or in collaboration with external agencies, the most effective have been those which strategically engage court-involved youth during out-of-school time. Partnerships with local stakeholders, local sports teams, cultural organizations, and other community organizations have provided CSSD youth with unique, structured, positive leisure time activities, including a week of Spring Break Activities.

In April 2014, during the D.C. Public Schools 2014 Spring Break, the CSSD facilitated and hosted a variety of strength-based, pro-social activities for CSSD youth, to help them stay out of trouble while they were out of school. On April 14, 300 CSSD youth completed approximately 1,500 hours of community service by cleaning and maintaining local area neighborhoods. On April 15, 100 CSSD youth traveled to New York City on a historic and cultural awareness one-day tour. The youth were able to participate in guided tours of the historic Apollo Theater, Harlem, Ground Zero, African-American Burial Ground, and Five Points. The CSSD youth were able to experience not only the historic landmarks, but to eat meals from historic and renowned eating establishments. The trip's focus was to encourage youth to achieve life's goals through education, and provide opportunities for them to experience historic and cultural institutions and to travel outside of the District.

On April 17, 75 youth attended the Washington Nationals Game and 75 youth participated in a Movie Viewing Experience that included films focused on the history of African Americans. On April 18, 200 CSSD youth were transported to the historic Oxon Hill Mansion for a full day of activities and workshops that were focused on the exploration of careers. Various guest speakers from a wide range of careers, including firefighting, boxing, and law engaged in robust discussions with CSSD youth on details and requirements of the various careers. The workshop speakers offered motivation and shared life lessons to encourage CSSD youth to engage in law-abiding and productive behaviors. On April 19, 75 CSSD youth participated in a local tour of the historic monuments and landmarks in Washington DC. On April 21st, CSSD staff, in collaboration with other law enforcement and stakeholder agencies, conducted a full scale canvass of the National Zoo for the traditional African-American Family Day festivities, which have been marred by youth violence in recent years, and of the Gallery Place area, popular with area youth.

An enhanced Summer Weekend Curfew, which was initiated during the summer of 2011, continued through the summer of 2014. As in prior years, CSSD mobilized staff and implemented weekend curfew measures, which ensures all high- and medium-risk youth are monitored at a heightened level, with three to four curfew checks per week, rather than the standard one or two. Further, and in response to the city-wide 2014 DC Summer Crime Initiative, local recreation centers remained open and available to young people during later hours. CSSD expanded the hours of summer weekend curfew monitoring on Friday and Saturday nights until midnight.

In June 2014, the Youth Call-In Initiative continued. During the 2013 collaboration between the CSSD, DYRS, and the MPD, the Division facilitated a crime prevention forum, entitled Juvenile Call-In, which brought more than 350 youth (juveniles under CSSD and DYRS supervision) and parents to the D.C. Armory. The gathering was supported by probation officers, case managers, social workers, community-based providers and public agency representatives. Participants were addressed by juvenile and criminal justice agency leaders, whose remarks centered on imploring youth to remain crime free during the 2013 summer and beyond. This year is expected to result in a successful outcome for 400 youth and their families.

In FY 2014, the Division's Child Guidance Clinic (CGC) completed 946 evaluations, most within 25 days. The Child Guidance Clinic (CGC) continued to operate its nationally recognized pre-doctoral psychology internship training program accredited by the American Psychological Association (APA). Welcoming the 2013 new class of interns from universities and colleges across the country, three interns, representing Howard University, Pace University, and The Chicago of Professional Psychology were selected from a pool of over 125 applicants. Because of the CGC's nationally recognized internship program, 946 psychological evaluations (e.g., general psychological, psycho-education, neuropsychological, sex offender, violence risk, competency, and Miranda Rights Competency) were completed during the year.

With the support of interns and externs, the Clinic continued to successfully operate the City's only community-based comprehensive program for juveniles adjudicated for sexual offenses and other serious charges. Additionally, the CGC facilitated a series of presentations to judicial and law enforcement officers, juvenile justice stakeholders, as well as graduate and doctoral students at local universities and colleges.

The Child Guidance Research Lab also authored two publications in the Journal of Forensic Psychiatry and Psychology titled:

- ADHD Symptom Frequency and ADHD Symptom Count Clustering in African American Adolescents with Juvenile Court Contact.
- A Study on the Psychometric Properties of Conners Comprehensive Behavior Rating Scales-Self Report Scores in African Americans with Juvenile Court Contact.

In 2012, CSSD transitioned to a new provider of Global Positioning System (GPS) Equipment with expanded tracking and reporting capability. Building on that successful transition to a new provider, the CSSD was awarded the 2013 Program of Excellence Award for the seamless and

successful GPS program transition from the Contract vendor Satellite Tracking of People (STOP). In 2013, the CSSD completed 1,250 installations and device re-assignments.

FY 2016 Request

In FY 2016, the Courts request \$23,021,000 for the Family Court Social Services Division, an increase of \$3,483,000 (18%) from the FY 2015 Enacted Level. The FY 2016 request includes an increase of \$2,755,000 for an Interstate BARJ Drop-in Center; \$203,000 and 3 FTEs to assess and conduct home studies for families with disputed child custody cases; and \$525,000 for built-in cost increases.

Interstate BARJ Drop-In Center, \$2,755,000

Introduction. The D.C. Courts seek resources for a community-based Balanced and Restorative Justice Drop-In Center for boys who are supervised under the Interstate Compact on Juveniles (ICJ). The ICJ provides for the transfer of juvenile probation and parole supervision across state lines to assure accountability of the juveniles and provide a measure of community safety in the receiving state. Under the federal compact, CSSD must continue to support D.C. court-involved youth residing outside the city until the disposition of probation. The compact requires the supervising state to provide the same services for adjudicated youth who do not live in the host jurisdiction as those residing in and adjudicated in the host jurisdiction. In 2013 CSSD served 464 interstate compact youth. CSSD is seeking to continue the positive de-centralization and community-based focus of service provision by acquiring and building-out a Balanced and Restorative Justice Drop-In Center for boys under the supervision of the Interstate Compact Unit. It is felt that the youth can best be served in a satellite BARJ due to the unique needs of this population. CSSD is requesting a total of \$2,755,000 to provide a state-of-the-art, community-based center to serve the growing and diverse population of youth and families city wide.

Problem Statement. Historically, probation agencies across the country have used government offices to serve youth and families. A body of literature underscores that although this approach may appear “penny wise” it is “pound foolish,” as an analysis of compliance with court conditions, successful completion of probation supervision, and reductions in recidivism rates correlate to the development and utilization of community-based probation services and supervision. In fact, court data compiled since the inception of the SE BARJ Drop-In Center in 2008 reveal an average recidivism rate of 10%, well below the national average rate of 25%. The data also show a reduction in school suspensions among participating youth and an average compliance rate of 92% among parents with court-issued Parent Participation Orders (PPO). Moreover, the data underscore that CSSD can better access a host of public and private agency services, at no cost to the Court, because community-based providers can more easily get to local satellite offices. This reduces the need for the Court to procure certain services, saving time and money.

To relocate the interstate probation office, currently located at the main court campus, to a community-based location and convert it to the BARJ Drop-in Center model, the Courts need funding to support construction, build-out, and ongoing costs for supplies, services, and lease of new space. By offering community-based office locations that provide community-based

services, probation officers are able to become an integral part of the community and create an understanding of the social dynamics facing youth on a daily basis. CSSD has been actively moving to provide a progressive system of engagement and service delivery by “meeting youth and families where they are”. The District of Columbia is a compact jurisdiction, within close proximity to the state lines of Maryland and Virginia, creating an enhanced opportunity for unlawfulness across state boundaries. CSSD seeks to broaden its proactive community-based logic-model for juveniles by further decentralizing operations across the city, as this approach has proven more effective for timely case management, service delivery, and community supervision than the traditional probation model.

Relationship to the Courts’ Vision, Mission and Goals. The Interstate BARJ Drop-In Center supports the D.C. Courts’ Strategic Plan Goal 6 -- Public Trust and Confidence. Establishment of community-based facilities for juveniles and their families creates a positive perception among local communities and demonstrates investment, care, and concern for the youth and families that we serve. A daily presence of D.C. Courts staff in their assigned local communities creates a safe place for youth and families that offers supportive services and guidance and makes the D.C. Courts an integral community member. Court staff develops an increased understanding of the culture of the local communities where they are assigned which allows the staff to better serve their assigned youth and families.

Relationship to Division MAP Objectives. This request is directly connected to supporting the following CSSD MAP Objective: Ensure comprehensive service delivery and community supervision for all youth referred via Interstate Compact who reside within a 20 mile radius of the District and ensure all cases adjudicated in the District of Columbia involving youth residing outside of the radius are transferred to the appropriate jurisdiction for services and supervision.

By building a community-based Interstate BARJ facility, CSSD would be better able to meet the above listed MAP Objective. Locating the facility directly in the community gives youth and their families enhanced access to probation officers and services. Direct service delivery at community-based facilities provides creative supervision opportunities and enhances relationships among probation officers, youth, and families.

Relationship to Existing Funding. This funding request is directly tied to the direction of CSSD since 2007, working to develop and enhance the community-based presence of probation officers. Existing funds are inadequate to create an Interstate BARJ Drop-In Center.

Expenditure Plan. The lease, build-out, and services for the Interstate Balanced and Restorative Justice Drop-In Center will be procured in accordance with Court policies. CSSD is actively researching and reviewing location options for additional community-based BARJ Centers. The development and build-out of the Interstate Balanced and Restorative Justice Drop-In Center will constitute the final phase in creating a city-wide community-based access and presence for the D.C. Courts.

Child Custody Assessments, 3 FTEs, \$203,000
Domestic Relations Case Manager, 3FTEs (JS-9/10)

Problem Statement. The District of Columbia is currently the only jurisdiction that uses Probation Officers to staff domestic relations cases in which child custody is disputed. The Court believes it is essential that CSSD establish Domestic Relations Case Manager (DRCM) positions with the requisite specialized training and expertise to assume responsibility for handling these cases of at-risk youth, instead of utilizing the services of juvenile probation officers whose expertise is working with juvenile offenders and truant.

The DRCM would conduct an initial meeting with both parents, assess the feasibility of mediation (which can resolve disputes without the need for a home study) and, if necessary, conduct home and school visits and interviews with other family members to complete a comprehensive home study which provides recommendations to the judicial officer presiding over the case. On average, the CSSD received 160 new domestic relations cases per year.

The use of Domestic Relations Case Managers to provide this specialized service would free up probation officers to provide critical services to juvenile status offenders referred to CSSD by District schools. Status offender cases have steadily increased since 2012. Due to recent local legislative changes reducing from 25 to 15 the number of unexcused school absences that require a referral to the Family Court, the CSSD anticipates an increase of some 1,300 new truancy referrals each school year. Considerable time and attention will be required to screen and assess each of these referrals to determine which youth require the additional attention of court supervision, which we estimate at 300 additional new cases per year.

Relationship to Court Vision, Mission and Strategic Goals. The additional FTEs to staff Domestic Relations and Contested Custody Cases supports the D.C. Courts' Strategic Goal 5, Public Trust and Confidence, Strategic Goal 1 Fair and Timely Case Resolution, and Strategic Goal 2 Access to Justice.

Relationship to Division MAP Objectives. The additional FTE request is consistent with the essential CSSD MAP objective to conduct high-quality, comprehensive home studies for families involved in DR cases.

Relationship to Existing Funding. Existing funds are not sufficient to support the additional FTEs necessary to ensure the CSSD can continue to staff DR cases and the influx of truancy referrals expected to commence in the fall of the 2015-2016 school year.

Expenditure Plan. Additional FTEs will be recruited consistent with the D.C. Courts' personnel policies.

Performance Indicators. Key performance indicators include 1) increased utilization of mediation; 2) completion of home studies within six weeks of court orders; and 3) expedited screening of truancy and PINS referrals within five business days.

Table 7
FAMILY COURT SOCIAL SERVICES DIVISION
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Cost
Domestic Relations Case Manager	JS-9	3	\$157,000	\$46,000	\$203,000

Table 8
FAMILY COURT SOCIAL SERVICES DIVISION
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	11,593,000	11,746,000	12,234,000	488,000
12 - Personnel Benefits	3,241,000	3,287,000	3,427,000	140,000
<i>Subtotal Personal Services</i>	<i>14,834,000</i>	<i>15,033,000</i>	<i>15,661,000</i>	<i>628,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities		400,000	808,000	408,000
24 - Printing & Reproduction				
25 - Other Services	5,581,000	4,037,000	6,477,000	2,440,000
26 - Supplies & Materials	37,000	33,000	39,000	6,000
31 - Equipment	34,000	35,000	36,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>5,652,000</i>	<i>4,505,000</i>	<i>7,360,000</i>	<i>2,855,000</i>
TOTAL	20,486,000	19,538,000	23,021,000	3,483,000
FTE	142	142	145	3

Table 9
FAMILY COURT SOCIAL SERVICES DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Position WIG	142	200,000	
	Current Position COLA		131,000	
	Domestic Relations Case Manager	3	157,000	
<i>Subtotal 11</i>				<i>488,000</i>
12 - Personnel Benefits	Current Position WIG		56,000	
	Current Position COLA		38,000	
	Domestic Relations Case Manager		46,000	
<i>Subtotal 12</i>				<i>140,000</i>
<i>Subtotal Personal Services</i>				<i>628,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increases		8,000	
	Interstate BARJ Lease		400,000	
<i>Subtotal 23</i>				<i>408,000</i>
24 - Printing & Reproduction				
25 - Other Services	Built-in Increases		90,000	
	Interstate BARJ Build-out		1,600,000	
	Interstate BARJ Security Services		375,000	
	Interstate BARJ Youth Services		375,000	
<i>Subtotal 25</i>				<i>2,440,000</i>
26 - Supplies & Materials	Built-in Increases		1,000	
	Interstate BARJ Start-up Supplies		5,000	
<i>Subtotal 26</i>				<i>6,000</i>
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Nonpersonal Services</i>				<i>2,855,000</i>
Total				3,483,000

Table 10
FAMILY COURT SOCIAL SERVICES DIVISION
Detail of Full-Time Equivalent Employment

	2014 Enacted	2015 Enacted	2016 Request
JS-4			
JS-5			
JS-6	4	6	6
JS-7	5	3	5
JS-8	20	19	17
JS-9	10	10	20
JS-10	1	2	2
JS-11	17	17	8
JS-12	58	57	59
JS-13	19	19	20
JS-14	6	7	6
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	11,593,000	11,746,000	12,234,000
Total FTEs	142	142	145

**SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
MULTI-DOOR DISPUTE RESOLUTION DIVISION**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
25	3,095,000	25	3,139,000	26	3,279,00	1	140,000

Mission Statement

The mission of the Multi-Door Dispute Resolution Division is to provide appropriate dispute resolution services to litigants and promote the fast, efficient, and fair settlement of disputes through the use of alternative dispute resolution (ADR).

Organizational Background

The Multi-Door Dispute Resolution Division provides mediation and other ADR services to assist in the settlement of disputes brought to the D.C. Courts. The individual who serves as the mediator, arbitrator, evaluator, or conciliator is identified as a neutral. The neutral's role is to facilitate negotiations between the parties in an effort to resolve the case. The Division is comprised of the Director's office and three branches, Civil ADR, Family ADR, and Program Assessment and Training.

1. The Civil ADR Branch provides mediation and arbitration for most of the Superior Court's civil cases. Mediation is provided for small claims, landlord tenant, and civil actions cases. This branch also provides mediation services to the Tax and Probate Courts.
2. The Family ADR Branch includes three programs: Child Protection Mediation, Community Information and Referral, and Family Mediation. Child Protection Mediation is a process that includes multiple stakeholders addressing family plans and legal issues in child neglect cases. The Community Information and Referral Program provides resource information, agency referrals, conciliation, and mediation to individuals and families. The program addresses landlord tenant, consumer fraud, contract, domestic relations, and personal injury issues before a case is filed. The Family Mediation Program addresses domestic relations issues of custody, support, visitation, and property distribution. The Family Mediation Program also includes PAC, a Parent Education Seminar for parents and their children involved in contested custody disputes. The Parent Education Seminar provides parents with information regarding the effects and potential consequences of a custody dispute on children, and allows them to participate in a mediated resolution of the dispute in a manner that is in the best interest of the children.
3. The Program Assessment and Training Branch provides quality assurance through the training, evaluation, and support of 300 community-based mediators who are lawyers, social workers, government employees, retirees, and others providing ADR services to the court. Mediators receive a stipend for their services.

International and domestic visitors look to the Multi-Door as a model program upon which to base their own programs. The professional ADR staff of the Multi-Door Division provides program information and technical assistance to judges, lawyers, government officials, and court administrators who seek to establish or improve ADR programs in their own jurisdictions.

Table 1
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Caseload Overview

	Mediation Sessions Scheduled	Mediations Held	*Cases Settled	Settlement Rate
FY 2013	8935	5101	2654	52%
FY 2014	8613	4849	2508	52%

*settlements include both full and partial settlements of family cases.

Division MAP Objectives

Multi-Door Dispute Resolution Division developed a management action plan (MAP) with the following objectives:

- ***Quality*** – ADR services will be of the highest possible quality;
- ***Responsiveness*** – ADR services will meet client needs; and
- ***Settlement*** – ADR services will facilitate settlement of cases filed at Superior Court.

These objectives are quantified through annual target goals that are measured through caseload and qualitative performance measures. The “settlement” objective is measured through quantitative caseload measures (cases scheduled, ADR sessions held, cases settled, and settlement rate); the “responsiveness” and “quality” objectives are measured through quality assurance performance indicators that measure satisfaction with the ADR process, outcome, and neutral performance. The quality indicators measure client satisfaction through participant surveys.

The Multi-Door Division MAP includes objectives that align with and serve both the three division objectives as well as the D.C. Courts’ Strategic Plan. Multi-Door’s MAP objectives follow:

- Further the delivery of justice through effective and appropriate alternative dispute resolution (ADR) in all case types by maintaining settlement and client satisfaction rates.
- Enhance case management by utilizing time standards for processing all cases referred to ADR.
- Enhance data collection and reporting procedures to ensure the integrity of court-wide data and the quality of all mediated agreements.
- Increase understanding of and access to ADR by conducting community outreach and education, and creating high quality written materials in multiple languages and videos that better inform and prepare lawyers, clients and the public about the mediation process.
- Improve public access to Alternative Dispute Resolution by increasing services and options for participation.

- Recruit a well-trained roster of neutrals in all mediation programs by maintaining an open enrollment application process and providing basic and advanced mediation skills training, and maintaining a bi-annual renewal process to assure the quality of mediator performance.
- Enhance current and future delivery of Multi-Door services by initiating a workforce plan that includes position reengineering, cross-training, and organizational and succession planning that aligns all division goals and objectives with individual employee performance plans.
- Promote diversity by outreach efforts to minority groups.

Division Restructuring or Work Process Design

The Multi-Door Dispute Resolution Division continues to explore innovative and effective approaches to resolving disputes and designing dispute systems that resolve cases early in the court process. The Division supports and collaborates with the Family Court and Civil, Probate, and Tax Divisions by exploring new opportunities to mediate when the case is most amenable to settlement and developing new systems to improve the timing of the mediation process and its outcomes.

Civil ADR Branch

As shown in Table 2, the Division's civil referrals decreased slightly in FY 2014, mostly as the result of a reduction of court filings in three areas of previously high volume: Housing Conditions Court, Small Claims Debt-Collection, and Tax and Tax Lien cases. However, in late 2014 and 2015, 300 to 500 foreclosure cases are expected to be filed with the Court, having been diverted from the Foreclosure Mediation Program operated under the District's Department of Insurance, Securities and Banking. The majority of these cases will participate in the civil mediation program.

Additionally, two pilot programs are expanding to full implementation in FY 2014 that will increase caseloads for the Probate and Small Claims Mediation Programs. The Elder Mediation Services for Older Adults and Persons with Disabilities Program addresses issues related to guardianship cases. Community Cases refers to same-day mediation cases scheduled for a preliminary injunction hearing in which Temporary Restraining Orders are sought against another person, typically a neighbor. Although the pilots were successful for both of these programs and produced a combine caseload of approximately 30 cases, it is difficult to accurately project mediation referrals. Therefore, projections for cases referred and cases mediated are steady over the next three years. These new programs are expected to increase settlement rates.

Family ADR Branch

Child Protection Mediation Program. The Child Protection Mediation (CPM) program provides a collaborative problem solving process for pre-and-post trial neglect and abuse cases. The program also resolves custody and visitation matters in cases that are not accepted for family mediation in incidences of abuse and neglect. CPM scheduled 9% more abuse and neglect matters during FY2013 than FY2012 and scheduled 50% more cases requiring permanency

planning for a child. One hundred seven cases were referred to mediation. Of those cases, 84 families (representing 121 children) participated in mediation, 39 families reached full settlement (46%) and 26 families reached partial settlement (31%). As a result, 52 children (a 33% increase) reached an earlier decision about their permanency.

The program also experienced a 25% increase in full settlements. Early full settlement results in the timely delivery of a permanency decision for children and their families. The increase in cases held and settled (as stated above) empowered more families to make decisions in the best interest of their families and children.

Family Mediation Program. The Family Mediation program offers parties an opportunity and setting to discuss issues of communication, separation, divorce, child custody, visitation and support, alimony, debt, divisions of property, and other family matters. During FY 2013, there was a 7% increase in the number of family cases that participated in mediation (339), a 9% increase in the number of mediation sessions scheduled (1,304), and a 7% increase in the number of mediation sessions held (903).

The Family Branch partnered with nationally recognized researchers to conduct a four-year study on intimate partner violence/abuse (IPV/A) and its impact on mediation. The study is supported by a National Institute for Justice Grant and by the Department of Justice Office of Violence Against Women and the Battered Women's Project. In FY 2014, the study will assess whether parties with high degrees of IPV/A can be accommodated in mediation by randomly assigning them to shuttle mediation, mediation via video conferencing, or a judicial determination. The results of this study will increase our understanding and detection of IPV/A and increase access to victims of IPV/A who feel that mediation is the safest option to resolve their dispute. This enhancement in services will expand the type of mediation services provided to families that reside in the District of Columbia and will likely reduce the number of domestic relation cases that require significant judicial time.

The Program for Agreement and Cooperation in Contested Custody Cases (PAC). PAC is a Family Court parent education seminar that operates adults' and children's components for disputed custody cases. During FY 2013, there were 4,306 domestic relations case filings, of which 1,870 were PAC cases. During this period, 913 parents and 204 children participated in PAC educational seminars. There were 382 PAC cases scheduled for mediation (*764 parents*) and 305 actually attended mediation (*610 parents*), an 80% mediation participation rate for those who attended PAC.

Community Information and Referral Program. The Community Information and Referral Program (CIRP) is for people seeking help with all types of disputes before they become court cases. In addition to services provided at the court, CIRP operated the Multi-Door Dispute Resolution Satellite Office at the Central American Resource Center (CARECEN) in Adams Morgan one day per month during FY 2013. During this time 31 Spanish language cases were handled. There was a 7% increase in the family intake cases in FY 2013 (884 in FY 2012 and 945 in FY 2013). During FY 2014 CIRP increased the hours of operation at the Satellite Office to two days per month. The increase in hours of operations, in conjunction with outreach to the

Mexican and Salvadoran Embassies, increased the number of Latinos having access to Multi-Door ADR services by 160% (31 cases in FY 2013 and 81 cases in FY 2014).

Program Assessment and Training Branch

In FY 2014, the Division conducted 20 advanced Alternative Dispute Resolution (ADR) trainings across all programs to enhance the quality of its mediator pool. The division hosted five international groups of judges and attorneys, providing ADR educational sessions and opportunities to observe family and civil mediations. The division gave presentations on ADR and the Courts to third-year law students at George Washington University Law School and the University of the District of Columbia Law School. The division also participated in the federal *pro bono* fair as an education and outreach effort to recruit new mediators for the court.

To enhance training program and provide additional opportunities for mediator professional development, the Division created a DVD Library of ADR trainings for mediators, adding ten new training DVDs to its collection during this fiscal year. The continuing expansion of the DVD library has helped provide better service to mediators by making it more convenient to comply with training requirements. In turn, this should improve the services received by the parties.

The Multi-Door Division utilizes several web-based systems to capture the mediation experience of participants to improve its ADR programs and the performance of mediators (database), the crafting of mediated agreements (web-based agreement writing system), and the efficiency of the stipend payment process (web-based voucher system). The database system assists the Division in improving the quality of the mediator panel by monitoring patterns and trends that will enhance the matching of mediators to disputes and improve mediator performance by informing staff of subject matter upon which to base future specialized trainings. The web-based agreement writing system enhances and improves the quality of family agreements, and the web-based voucher system improves the efficiency and accuracy of stipend payments to mediators.

Workload Data

Table 2
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Civil ADR Programs
Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY 2013 Actual	FY 2014 Estimated	Projection FY 2015	Projection FY 2016
Input	Cases Scheduled	CourtView	7,215	7,033	7,174	7,245
Output	Mediation Sessions Held	CourtView	4,499	4,306	4,392	4,436
Outcome	Case settlement rate	CourtView	56%	55%	58%	58%
Outcome/Quality	Participant Satisfaction w/ ADR Process	SPSS database	89%	90%	90%	91%
Outcome/Quality	Participant Satisfaction w/ Outcome	SPSS database	74%	75%	75%	80%
Outcome/Quality	Neutral Performance Satisfaction	SPSS database	90%	90%	92%	93%

Table 3
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Family ADR Programs
Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY 2013 Actual	FY 2014 Estimated	Projection FY 2015	Projection FY 2016
Input	Mediation Sessions Scheduled	Court view	1,720	1,580	1,655	1,705
Output	Mediation sessions held	CourtView	1,200	1,070	1,145	1,180
Outcome	*Case settlement rate	CourtView	60%	62%	62%	62%
Outcome/Quality	Participant satisfaction w/ process	SPSS database	94%	90%	92%	92%
Outcome/Quality	Participant satisfaction w/outcome	SPSS database	86%	83%	85%	85%
Outcome/Quality	Neutral performance satisfaction	SPSS database	97%	96%	96%	96%

*Case settlement rate reflects both full and partial settlements of family cases.

Caseload projections in the civil ADR program are based on the number of civil cases filed in the court and the number of cases referred to mediation. In the family ADR branch, projections are based on the actual number of sessions held per case during the fiscal year. Family cases typically involve participation in 3-5 mediation sessions; therefore the number of family mediation sessions is larger than the actual number of cases referred. Settlement rate projections are based on continuing improvements to the ADR programs and improving mediator performance.

The caseload statistics in Tables 2 and 3 represent the total number for all programs within that branch of the division. The quality performance elements reported in Tables 2 and 3 are measured through participant surveys distributed to all ADR participants after mediation is completed. The statistics report the percentage of respondents who report being either “satisfied” or “highly satisfied” with the overall ADR process, outcome, and neutral performance.

Key Performance Indicators

Multi-Door will continue to exercise best efforts to achieve its objectives of quality, responsiveness, and settlement in ADR service delivery. The Division has identified performance goals to achieve these objectives. These performance goals are 1) to achieve settlement rates of at least 50% in every ADR program; and 2) to achieve ratings of “highly satisfied” from at least 30% of respondents in each of the three quality performance indicators (ADR process, ADR outcome, and neutral performance) and overall satisfaction rates (a combination of “satisfied” and “highly satisfied” responses) of at least 80%. Key performance indicators drawn from the Multi-Door MAP are as follows:

Table 4
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output	Settlement Rate	IJIS database	50%	58%	50%	58%	50%	62%	50%	62%
Outcome	Overall client satisfaction (ratings of satisfied plus highly satisfied)	SPSS database	80%	88%	80%	88%	80%	88%	80%	90%

FY 2016 Request

In FY 2016, the D.C. Courts request \$3,279,000 for the Multi-Door Dispute Resolution Division, an increase of \$140,000 (4%) above the FY 2015 Enacted Level. The requested increase includes \$51,000 and 1 FTE for a mediation clerk to expedite mediations to help families resolve domestic relations cases and \$89,000 for built-in cost increases.

Family Mediation Improvements, 1 FTE, \$51,000 ***Mediation Clerk, 1 FTE (JS-6/7/8)***

Problem Statement. The Family Program scheduled 704 family mediation cases in 2011 and 818 cases in 2014 (a 16% increase). Current family mediation staffing levels are not adequate to provide continuity of services for family cases or ensure the timely scheduling of mediation sessions. A Family Mediation Clerk is needed to expedite case resolution.

Time standards require that eligibility determinations for referred cases be completed within five business days and, if accepted, a mediation session is to be scheduled within 15 days. Difficulties in scheduling families for mediation and insufficient staffing have resulted in delays of upwards of 40 days for the first mediation session. As a result, the Division struggles to ensure that time standards are met, and families lack timely access to justice.

The Family Mediation Clerk will help to expedite case resolution by providing a range of administrative and clerical support, including coordinating the scheduling of mediation between clients and mediators, providing important case information to mediators, litigants, and court personnel and providing mediation information to litigants in advance of mediation sessions. Currently, one Program Officer conducts case assessments, scheduling, and mediator assignments for all family cases. The Program Officer is also responsible for processing intake information, entering cases in the court's case management system, reviewing mediated agreements, preparing caseload reports, assessing mediator performance, conducting training, and supervising staff.

In FY 2015, the Division expects the number of family cases eligible for mediation to increase because additional mediation services, such as shuttle mediation and video conferencing mediation, will be available in cases that would otherwise not be eligible for mediation due to a history of intimate partner violence. The assistance of a Family Mediation Clerk will be even more critical.

Relationship to Court Mission, Vision, and Strategic Goals. The Family Mediation Clerk position would support the Courts' Strategic Goal 1 fair and timely case resolution and Goal 2 improve access for *pro se* litigants. In particular, it supports Strategy 1.2.1, of using alternative dispute resolution to manage cases.

Relationship to Divisional Objectives. This position directly impacts the success of the Divisions' strategic objective to provide efficient and effective alternative dispute resolution and case management to the families in need of services.

Relationship to Existing Funding. The Division has no excess personnel funding for this position.

Methodology. The position is career ladder grade 6/7/8 based on the Courts' classification policies for comparable staff positions.

Expenditure Plan. A Deputy Clerk III will be recruited and hired according to D.C. Courts' Personnel Policies to serve as the Family Mediation Clerk.

Performance Indicators. Success of the position will be measured through timely family mediations and the employee's performance plan.

Table 5
MULTI-DOOR DISPUTE RESOLUTION DIVISION
New Position Requested

Position	Grade	Number	Annual Salary	Benefits	Total Personnel Costs
Deputy Clerk	6	1	\$39,000	\$12,000	\$51,000

Table 6
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	2,020,000	2,046,000	2,143,000	97,000
12 - Personnel Benefits	562,000	570,000	599,000	29,000
Subtotal Personal Services	2,582,000	2,616,000	2,742,000	126,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	499,000	507,000	519,000	12,000
26 - Supplies & Materials	8,000	9,000	10,000	1,000
31 - Equipment	6,000	7,000	8,000	1,000
Subtotal Nonpersonal Services	513,000	523,000	537,000	14,000
TOTAL	3,095,000	3,139,000	3,279,000	140,000
FTE	25	25	26	1

Table 7
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 – Personnel Compensation	Current Positions WIG	25	35,000	
	Current Positions COLA		23,000	
	Deputy Clerk	1	39,000	
<i>Subtotal 11</i>				<i>97,000</i>
12 – Personnel Benefits	Current Positions WIG		10,000	
	Current Positions COLA		7,000	
	Deputy Clerk		12,000	
<i>Subtotal 12</i>				<i>29,000</i>
<i>Subtotal Personal Services</i>				<i>126,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built in Increase			12,000
26 - Supplies & Materials	Built in Increase			1,000
31 - Equipment	Built in Increase			1,000
<i>Subtotal Nonpersonal Services</i>				<i>14,000</i>
Total				140,000

Table 8
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
JS-3			
JS-4			
JS-5			
JS-6			1
JS-7			
JS-8	1	1	1
JS-9	1	1	1
JS-10	9	9	9
JS-11	5	5	5
JS-12	4	4	4
JS-13	3	3	3
JS-14			
JS-15	1	1	1
CES	1	1	1
Total Salaries	2,020,000	2,046,000	2,143,000
Total FTEs	25	25	26

**SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
OFFICE OF THE AUDITOR-MASTER**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
5	648,000	5	660,000	5	675,000	0	15,000

Mission Statement

The primary mission of the Office of the Auditor-Master is to assist the judiciary and parties in cases by accurately and expeditiously stating financial accounts for fiduciaries appointed by the Court. The Office plays a critical role in assisting the Court in its responsibility to account for, safeguard, and recover assets of incapacitated adults, minors, decedent estates, and trusts, which are under court supervision in the Probate Division. Matters are referred to the Auditor-Master after the Court has determined in a hearing that a fiduciary, or another person having access to assets, has failed to account to the Court or the parties properly. The Office also assists the Court by investigating and resolving controversies involving complex financial computations and numerous convoluted financial transactions in business litigation from the Civil Division and divorce and child support litigation from the Family Court. It is the primary goal of the Office to perform these tasks in an accelerated manner to assist the Court in meeting its time-to-disposition standards in these complex cases.

Organizational Background

D.C. Code § 11-1724 authorizes the creation of the position of the Auditor-Master for the D.C. Superior Court. The Auditor-Master performs duties set forth within orders of reference received from Superior Court judges and magistrates. The Office of the Auditor-Master investigates assigned matters by gathering and compiling all available documentation and evidence, issuing subpoenas for additional documentation and witnesses to supplement the record, and conducting hearings during which evidence is presented and testimony is secured under oath. Following the hearings, the Auditor-Master states the accounts by determining the value of assets, the income, allowable expenses, and liabilities, makes other complex financial calculations in the controversies between parties, and issues proposed findings of fact and conclusions of law, thus conserving judicial time and resources. The report is considered by the Court in a hearing with the parties. The Office of the Auditor-Master has 4 FTEs, consisting of the Auditor-Master, an Attorney Advisor, an Accountant, and a Legal Assistant.

Divisional MAP Objective

The Office of the Auditor-Master developed a management action plan (MAP) with the following objectives:

- Establish aggressively shorter time standards to assist in the timely disposition of cases as mandated by the Superior Court.
- Exceed goals in all identified case-time standards.

Division Restructuring of Work Process

In support of D.C. Courts' goal to increase case processing efficiency, the Office of the Auditor-Master has implemented several initiatives to improve the timeliness of disposition and clearance rate of all assigned matters. Some of these efforts include the following:

- Developing standard case processing forms, and other templates, which promotes intra-office consistency and improves timeliness;
- Adopting trial court case management best practices, such as status hearings, to identify the issues in contention, advance the settlement process, and resolve cases.
- Cultivating institutional knowledge by cross-training staff to independently investigate matters and assist the Auditor-Master.
- Shifting and reassigning duties and responsibilities among the staff to streamline and expedite case-processing.

A major reassignment of duties among personnel has resulted in increased case processing. The Office completed 69 cases in FY 2013. As the result of instituting the new case processing procedures, 63 cases were already been completed as of May 2014, with an expected outcome of 91 cases completed by the end of the fiscal year, a 32% increase in case completions from FY 2013 to FY 2014 that is expected to reduce the pending caseload by 34% and improve the case clearance rate from 74% in FY 2013 to 125% in FY 2014. Closing pending older cases resulted in a temporary reduction in processing time. That statistic is being addressed, and goals for FY 2015 will be met. Despite the influx of increasingly contested and complex cases, the Office maintained its 99.5% report approval rate during FY 2013 and FY 2014.

Workload Data

Table 1
OFFICE OF AUDITOR MASTER
FY 2013 Caseload Overview

Case Activity			Cases Pending		
Reports (Dispositions)	Cases Referred	Clearance Rate	Oct 1	Sep 30	Change
69	94	74%	26	51	+49%

Table 2
OFFICE OF AUDITOR MASTER
Projected FY 2014 Caseload Overview

Case Activity			Cases Pending		
Reports (Dispositions)	Cases Referred	Clearance Rate	Oct 1	Sep 30	Change
91	73	125%	51	34	-34%

Key Performance Indicators

Table 3
OFFICE OF THE AUDITOR-MASTER
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
			Goal	Actual	Goal	Projection	Goal	Estimate	Goal	Estimate
Output	Cases completed within 4 months	Monthly Reports	55%	44%	55%	25%	50%	50%	50%	50%
Output	Cases completed within 6 months	Monthly Reports	75%	66%	75%	40%	65%	65%	65%	65%
Output	Cases completed within 9 months	Monthly Reports	80%	84%	80%	65%	80%	80%	80%	80%
Output	Cases completed within 12 months	Monthly Reports	85%	95%	85%	85%	85%	85%	85%	85%
Output	Cases completed within 18 months	Monthly Reports	95%	99%	95%	99%	95%	95%	95%	95%

FY 2016 Request

In FY 2016, the D.C. Courts request \$675,000 for the Office of the Auditor-Master, an increase of \$15,000 (2%) above the FY 2015 Enacted Level. The requested increase consists entirely of built-in increases.

Table 4
OFFICE OF THE AUDITOR-MASTER
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 – Compensation	494,000	500,000	509,000	9,000
12 – Benefits	135,000	138,000	141,000	3,000
Subtotal Personal Services	629,000	638,000	650,000	12,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	4,000	5,000	6,000	1,000
26 - Supplies & Materials	4,000	5,000	6,000	1,000
31 – Equipment	11,000	12,000	13,000	1,000
Subtotal Nonpersonal Services	19,000	22,000	25,000	3,000
TOTAL	648,000	660,000	675,000	15,000
FTE	5	5	5	0

Table 5
OFFICE OF THE AUDITOR-MASTER
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11- Personnel Compensation	Current Positions WIG	5	3,000	
	Current Positions COLA		6,000	
<i>Subtotal 11</i>				<i>9,000</i>
12- Personnel Benefits	Current Positions WIG		1,000	
	Current Positions COLA		2,000	
<i>Subtotal 12</i>				<i>3,000</i>
<i>Subtotal Personal Services</i>				<i>12,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun & Utilities				
24 - Printing & Reproduction				
25 - Other Service	Built-in Increases			1,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Nonpersonal Services</i>				<i>3,000</i>
Total				15,000

Table 6
OFFICE OF THE AUDITOR-MASTER
Detail of Full-Time Equivalent Employment

Grade	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	1	1	1
JS-11	1	1	1
JS-12	1	1	1
JS-13	1	1	1
JS-14			
JS-15			
CES	1	1	1
Total Salaries	494,000	500,000	509,000
Total FTEs	5	5	5

**SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
PROBATE DIVISION/OFFICE OF THE REGISTER OF WILLS**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
51	4,965,000	51	5,029,000	54	5,330,000	3	301,000

Mission Statement

The mission of the Probate Division/Office of the Register of Wills is to deliver quality services to the public fairly, promptly, and effectively; to record and maintain wills and case proceedings; to monitor supervised estates of decedents, incapacitated and developmentally disabled adults, guardianships of mentally challenged adults, minors and certain trusts; to audit fiduciary accounts to ensure that the funds of disabled persons and other persons under court supervision are handled properly; and to make recommendations to judges on certain matters over which the Superior Court has probate jurisdiction.

Introduction

The Probate Division/Office of the Register of Wills has jurisdiction over decedents' estates, trusts, guardianships of the estates of minors, guardianships of mentally challenged adults, and guardianships and conservatorships of adults otherwise incapacitated. As the population ages, the work of the Probate Division continues to increase, as more adults become incapacitated and need court-appointed fiduciaries to handle their personal, medical, and financial affairs and thereafter as more decedents' estates will be opened. Adult guardianship cases may last for a decade or longer, as needed to protect this vulnerable population. The number of adult guardianship cases newly filed in the Probate Division during FY 2013 was steady, building upon a 16% increase in FY 2012.

The duties of the Probate Division include processing requests to open a decedent's estate, requests to open a small estate when the assets are less than \$40,000, requests to establish a guardianship for a minor's estate, mentally challenged adult or an adult otherwise incapacitated, requests to establish conservatorships to handle the financial affairs of incapacitated adults, requests to establish foreign estates, and requests to establish trusts. The Probate Division also reviews and processes pleadings and accounts as required throughout the duration of the fiduciary case until the case is closed. Generally, the administration of a decedent's estate is closed upon completion. Further, a proceeding for a disabled person is terminated upon death, recovery, or when a minor reaches the age of 18. As a result, the Probate Division processes and maintains many cases that remain under the supervision of the court for many years and sometimes decades. The Probate Division provides direct courtroom support and maintains an extensive computerized system, available to provide public information and to ensure notice and timely disposition of any requests. The Probate Division also provides public access via the web to docket information concerning wills, disclaimers, and major litigation in the Probate Division. The Probate Division developed an extensive webpage, with general information, answers to frequently asked questions, an expanded web library of brochures and videos, the Probate

Division Rules, and approximately 300 publicly accessible Probate Division forms, including new forms on Elder Mediation and Filing a Will, designed to assist members of the public. The Probate Division has substantially expanded its Probate Resource Center, which now assists members of the public needing legal help from volunteer attorneys in preparing pleadings in both adult guardianship/conservatorship cases and administration of estates. The Probate Division continues to seek technological improvements to assist in handling its increasing caseload. During FY 2013, the Probate Division introduced both eFiling and an electronic routing system for documents. In September 2013, the Probate Division also became paperless, with certain limited exceptions.

Organizational Background

The Probate Division consists of the Office of the Register of Wills, Probate Clerk's Office, Quality Assurance Office, Legal Branch, Auditing and Appraisals Branch, and Probate Systems Office.

- The Office of the Register of Wills is responsible for the management and supervision of the Division and the Guardianship Assistance Program. This office has 8 FTEs, consisting of the Register of Wills, the Deputy Register of Wills, one administrative assistant, and for the Guardianship Assistance Program, one Program Manager, one Deputy Program Manager, and three case manager social workers.
- The Probate Clerk's Office is the operational center of the Probate Division and the primary point of contact for the public. This office handles filings, requests for case information and copies, as well as all cashier functions. This central office has 12 FTEs, consisting of a supervisor, two case managers, and nine deputy clerks.
- The Quality Assurance Office provides courtroom support for the Probate Division judges, processes tickler reports, and issues letters of appointment to fiduciaries. It ensures the accuracy of docket entries available to the public and the proper handling of all court orders. This office has 10 FTEs, consisting of one supervisor, one quality assurance specialist, one case manager, five courtroom clerks, and two deputy clerks.
- The Legal Branch reviews pleadings, prepares recommendations for judges on uncontested matters, represents the office in hearings before the Court, and provides information to attorneys and members of the public regarding Probate Division procedures. Additionally, the small estate specialists prepare and process petitions filed, generally by members of the public who do not have legal representation, for estates having assets of \$40,000 or less. This office has 9 FTEs, consisting of the Legal Branch Manager, three attorneys, one legal assistant, one case manager, two small estate specialists, and one deputy clerk.
- The Auditing and Appraisals Branch audits accounts of fiduciaries in large estates, conservatorships, guardianships of minors' estates, and trusts under court supervision, examines requests for compensation, prepares audit reports, informs attorneys and fiduciaries on accounting procedures, monitors the filing of inventories, accounts, and receipts, and conducts appraisals of tangible property. This branch has 12 FTEs, consisting of a branch manager, a supervisory auditor, eight auditors, one appraiser, and one deputy clerk.
- The Probate Systems Office is responsible for all systems of the Probate Division, including CourtView, OnBase, and Court Cases Online. The Probate Systems Office also maintains the file room and original wills stored on site and arranges for the retrieval of off-site records

as needed. This office has 3 FTEs, consisting of the Probate Systems Administrator, one deputy clerk, and one records clerk.

Division MAP Objectives

The Probate Division Management Action Plan (MAP) includes the following objectives:

- Triage eFiled documents within two business days of receipt in the eFiling queue.
- Issue Letters of Administration within 1 day of processing order of appointment or qualifying for appointment as personal representative.
- Identify delinquent filings timely and take appropriate action within 10 days of delinquency.

Divisional Restructuring and/or Work Process Redesign

During FY 2013 the Probate Division:

- Updated its Continuity of Operations Plan (COOP), which is designed to protect the Probate Division's vital records in the event of an emergency or disaster;
- Hosted the Annual Guardianship Conference focused on the age-friendly D.C. initiative, maintaining housing for vulnerable adults and enhancing their quality of life, with speakers from the D.C. Office on Aging, Probate Division judges, and a variety of community and organizational experts in these areas. The conference concluded with an information fair of service providers with information on the services available to guardians;
- Hosted Getting Started seminars to provide information to court-appointed fiduciaries on preparing a base-line inventory when handling the financial affairs of an incapacitated ward or decedent's estate;
- Expanded efforts to improve customer service, including substantial expansion of the services provided by the Probate Resource Center;
- Developed new Probate Division performance standards adjusted to reflect the start of eFiling and electronic transmittal of documents and to reflect a Division-wide perspective;
- Expanded the web-based library of forms and brochures on topics of interest to members of the public, created a new website page on eFiling in the Probate Division, and updated the general information, forms, and answers to frequently asked questions available on the website;
- Provided Guardianship Orientation Seminars to assist new and existing guardians in understanding guardianship plans, guardianship reports, and filing deadlines; and
- Implemented new procedures for digitalizing exhibits to promote paperless transmittals of Probate Division appeals.

Workload Data

As shown in Table 1, below, the Probate Division disposed of 3,035 cases during FY 2013, a slight increase over FY 2012, with a clearance rate of 95% overall for the fiscal year. The lowest clearance rate, 76% for adult guardianships/conservatorships, is to be expected as these cases are often open for many years until the death of the incapacitated ward. Absent these adult guardianship/conservatorship cases, the overall clearance rate in the Probate Division is 99%.

Efforts continue to close out aged decedent estate cases and to handle the increase in the number of cases involving incapacitated adults.

Table 1
PROBATE DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2013 Data)

	Cases Added	Cases Disposed	Clearance Rate*	Cases Pending		
				1-Oct 2012	30-Sept 2013	Change
Cases Involving the Deceased						
Formal Probate (Decedents Estates)	1,729	1,721	100%	4,056	4,064	<1%
Small Estates	723	675	93%	82	130	59%
Foreign Proceedings	153	152	99%	170	171	<1%
Cases Involving the Incapacitated						
Conservatorships (Old Law)	1	3	**	29	27	-7%
Guardianships (of Minors)	35	51	145%	232	216	-7%
Intervention Proceedings (Adult Guardianships/Conservatorships)	534	405	76%***	2,190	2,319	6%
Trusts	18	28	156%	133	123	-8%
Total	3,193	3,035	95%	6,892	7,050	2%
* Ratio of cases disposed to cases added in a given year. A standard efficiency measure is 100%, meaning one case disposed for each case filed.						
** Conservatorships (Old Law) refers to conservatorships created prior to 1989.						
*** The lower clearance rate for Intervention Proceedings reflects the fact that these cases are often held open for many years, generally until the death of the ward.						

Key Performance Indicators

Table 2
PROBATE DIVISION
Key Performance Indicators

Performance Indicator	Data Source	FY 2012		FY 2013		FY 2014		FY 2015	
		Goal	Actual	Goal	Actual	Goal	Estimate	Goal	Projection
Time Standard from Filing to Disposition									
Administration of Decedents Estates	Monthly Reports	30%	41%	30%	41%	30%	30%	30%	30%
Within 395 days		75%	97%	75%	95%	75%	90%	75%	80%
Within 1,125 days		98%	100%	98%	99%	98%	95%	98%	90%
Within 1,490 days									
Appointment of fiduciary or other resolution in guardianship cases (incapacitated adults and minors)	Monthly Reports								
Within 60 days		75%	80%	75%	78%	75%	80%	75%	75%
Within 90 days		98%	94%	98%	91%	98%	95%	98%	95%
Triage eFiled documents w/in 2 business days of receipt in the eFiling queue*	Monthly Reports	N/A	N/A	N/A	N/A	90%	92%	90%	92%
Issue letters of appointment w/in 1 business day of processing order or qualifying event*	Monthly Reports	N/A	N/A	N/A	N/A	90%	92%	90%	92%
Identify and act on delinquent filings w/in 10 days*	Monthly Reports	N/A	N/A	N/A	N/A	90%	98%	90%	98%
Requests for compensation without account and from Guardianship Fund: within 25 days*	Monthly Reports	95%	98%	90%	99%	N/A	N/A	N/A	N/A
Schedule accounts in adult conservatorship cases for hearing within 90 days and submit all other accounts within 90 days, absent summary hearings and objections, or Court approved time extension on requirements*	Monthly Reports	95%	97%	90%	98%	N/A	N/A	N/A	N/A
Process requests for additional court action on existing cases within 30 days*	Monthly Report	95%	97%	90%	95%	N/A	N/A	N/A	N/A

* New performance standards were developed to reflect the adoption of a Division-wide perspective and the start of eFiling in the Probate Division.

FY 2016 Request

In FY 2016, the Courts request \$5,330,000 for the Probate Division, an increase of \$301,000 or 6% above the FY 2015 Enacted Level, including \$207,000 and 3 FTEs to increase oversight of guardians appointed to meet the needs of vulnerable, incapacitated adults who are wards of the court and \$94,000 for built-in cost increases.

Guardianship Assistance Program Expansion, 3 FTEs, \$207,000 ***Case Manager Social Worker, 3 FTEs (JS-9/10)***

Problem Statement. To ensure that the needs of incapacitated adults requiring guardians appointed and monitored by the court are being properly met, complying with best practices and pending legislation, three social workers are required to provide in-depth reviews of cases for 500 individuals each year. New case filings of adult guardianship and conservatorship cases have increased substantially during the past five years, as shown by the table below. The Probate Division expects this increase to continue and accelerate as the “baby boomer” generation ages.

Table 3
PROBATE DIVISION

Increase in new case filings in adult guardianship cases

Fiscal Year	# of new case filings	% increase	# of cases pending as of 9/30	% increase
2009	391		1,841	
2010	426	9%	1,987	8%
2011	460	8%	2,124	7%
2012	535	16%	2,190	3%
2013	534	0%	2,319	6%
2014	570	7%	2,442	5%

The Guardianship Assistance Program (GAP), which was instituted by the Probate Division in August 2008 to provide increased monitoring of guardians and to ensure that needed services are being provided to incapacitated adults under court supervision, has been a notable success. A Program Manager and a Deputy Program Manager serve as field instructors for up to 10 graduate students enrolled in social work programs at local universities. The students volunteer their time (more than 5,000 volunteer hours per fiscal year) to conduct in-depth reviews of the cases of incapacitated adults under court supervision. During FY 2014, the GAP hosted a Guardianship Conference, provided monthly guardianship orientation seminars for court-appointed guardians, reviewed 3,546 guardianship reports (nearly a 15% increase in these filings), informed the court of matters needing court intervention or review, and responded to 277 case inquiries from incapacitated adults and other persons interested in seeking the court protection of a guardianship proceeding.

In addition to these many responsibilities, the GAP conducted in-depth reviews of cases of 98 incapacitated adults under court supervision during FY 2014. The primary goal of the program is to conduct periodic in-depth reviews of all cases involving incapacitated adults who are physically located within the District of Columbia and have been under court supervision for six months or more. These in-depth reviews open an unparalleled window into the condition of wards under court supervision: they identify any unmet needs and report to the court on the current level of care provided, the nature of the incapacity, the medical and/or mental health diagnosis, the medications used, housing conditions, and the intellectual and social functioning of these wards. Furthermore, these critical reports assist the court in identifying possible cases of neglect, elder abuse, exploitation, or fraud.

As noted in the recently revised National Probate Court Standards:

Following appointment of a guardian or conservator, *probate courts have an on-going responsibility to make certain that the respondent is receiving the services and care required*, the estate is being managed appropriately, and the terms of the order remain consistent with the respondent's needs and condition. Standard 3.3.17, Monitoring, at page 71, Van Duisend, R (2013) National Probate Court Standards (emphasis added).

Although the GAP has been in operation since August 2008 and conducts approximately 100 - 150 detailed case reviews per fiscal year, fewer than 20% of the incapacitated adults in the

current caseload have benefitted from these reviews. The most efficient and cost-effective method for increasing the number of in-depth reviews is to hire social worker case managers to augment the work of the student volunteers. Not only is a licensed social worker review of such cases a national best practice, social workers possess the particular knowledge, skills, and training necessary to perform efficient, consistent, and thorough in-depth reviews of cases of incapacitated adults under guardianship. In addition, pending legislation, the Guardianship Amendment Act of 2014 (Act 20-552), requires periodic investigation and report filed by a licensed social worker of the continued need for a guardianship. Based upon the Probate Division's intention to dedicate the new social worker case managers to conducting in-depth reviews, rather than supervising student volunteers, it is estimated that reviews will increase from 150 to 500 each fiscal year.

Relationship to Courtwide Strategic Goals. This request supports Access to Justice, Strategic Goal 2A3, and would enhance assistance to the public by providing these services to address the unique needs of this special population of incapacitated adults, often elderly or otherwise infirm. Public Trust and Confidence, Strategic Goal 5(1), would also be served.

Relationship to Division MAP Objectives. With the requested social worker case managers, the current Probate Division MAP standard would be substantially revised. Rather than seeking to submit GAP reports for 150 wards per fiscal year, the revised MAP would be to submit GAP reports for 500 wards. These social worker case managers would also be available to assist in continuing to meet the Probate Division MAP of reviewing guardianship reports within 35 days, despite the ever-increasing number of guardianship reports filed. Increased monitoring is also in accord with Standard 3.3.17 of the National Probate Court Standards.

Relationship to Existing Funding. The addition of three non-supervisory social worker case managers would complement the services already provided by the two FTEs currently managing the GAP program and supervising the student volunteers. Social workers possess the unique skills and specialized knowledge necessary to conduct these in-depth reviews. They are adept at assessing the needs of the incapacitated adults, and matching these needs to available resources.

Methodology. The grade level for these non-supervisory social worker case managers, grade 9/10, is determined in accordance with the Courts' personnel policies.

Expenditure Plan. The Probate Division will recruit and hire all additional staff according to the Courts' personnel policies.

Key Performance Indicators. As shown in Table 4 below, the key performance indicator would be an increase in the number of in-depth visitor reports submitted due to the addition of three social worker case managers, from a baseline of 98 such reports submitted in FY 2014 to an estimated 500 reports to be submitted in FY 2016.

Table 4

PROBATE DIVISION**Key Performance Indicator for Additional Funding Request**

Key Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
		Goal	Actual	Goal	Actual	Goal	Estimate	Goal	Estimate
Number of GAP in-depth reports submitted	CourtView	150	151	150	98	150	150	500	500

Table 5

PROBATE DIVISION**New Positions Requested**

Positions	Grade	Number	Salary	Benefits	Total Personnel Cost
Case Manager GAP Program	JS-9	3	\$160,000	\$47,000	\$207,000

Table 6

PROBATE DIVISION**Budget Authority by Object Class**

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	3,864,000	3,911,000	4,142,000	231,000
12 - Personnel Benefits	1,077,000	1,092,000	1,160,000	68,000
<i>Subtotal Personal Services</i>	<i>4,941,000</i>	<i>5,003,000</i>	<i>5,302,000</i>	<i>299,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	13,000	14,000	15,000	1,000
31 - Equipment	11,000	12,000	13,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>24,000</i>	<i>26,000</i>	<i>28,000</i>	<i>2,000</i>
TOTAL	4,965,000	5,029,000	5,330,000	301,000
FTE	51	51	54	3

Table 7
PROBATE DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Position WIG	51	24,000	
	Current Position COLA		47,000	
	Case Manager GAP Program	3	160,000	
<i>Subtotal 11</i>				<i>231,000</i>
12 - Personnel Benefits	Current Position WIG		8,000	
	Current Position COLA		13,000	
	Case Manager GAP Program		47,000	
<i>Subtotal 12</i>				<i>68,000</i>
<i>Subtotal Personal Services</i>				<i>299,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Nonpersonal Services</i>				<i>2,000</i>
Total				301,000

Table 8
PROBATE DIVISION
Detail of Full Time Equivalent Employment

Grade	2014 Enacted	2015 Enacted	2016 Request
JS-3			
JS-4			
JS-5	1	1	1
JS-6	5	7	7
JS-7	4	2	3
JS-8	9	6	5
JS-9	2	7	11
JS-10	2	1	1
JS-11	4	5	5
JS-12	16	13	12
JS-13	5	5	5
JS-14	1	2	2
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	3,864,000	3,911,000	4,142,000
Total FTEs	51	51	54

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA SPECIAL OPERATIONS DIVISION

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
35	4,517,000	35	4,588,000	35	4,743,000	0	155,000

The Special Operations Division has administrative oversight for the Tax Division, and provides specialized services within its seven units to litigants, the general public, and court operations.

Organizational Background

The Special Operations Division consists of seven units plus the Director's Office (4 FTEs), as follows:

- The Jurors' Office maintains a listing of potential jurors, processes summons, qualifies jurors, obtains information on the size of the juror panel needed, randomly selects and disperses jurors, and selects and swears-in grand jurors. This office has 11 FTEs.
- The Tax Division is responsible for the daily management of all tax appeals filed in the District of Columbia and for preparing and certifying these records on appeal. This office has 2 FTEs.
- The Superior Court Library houses law books, legal periodicals, and electronic research tools for the use of judges, attorneys, court staff, and the public. This office has 2 FTEs.
- The Child Care Center provides childcare through the use of developmentally appropriate practices for children of jurors, witnesses, other parties appearing in court, and court staff. This office has 2 FTEs.
- The Office of Court Interpreting Services provides foreign language and sign language interpreters to parties and others for judicial and quasi-judicial proceedings as well as court related translations upon request. The Office is also responsible for developing and monitoring the Language Access Plan. This office has 4 FTEs.
- The Judge-in-Chambers is responsible for handling a variety of emergency matters from every division of the Superior Court during normal business hours that require expedited judicial decision-making. Requests include Temporary Restraining Orders; the issuing of arrest, bench, and search warrants; as well as the enforcement of foreign judgments. This office has 4 FTEs.
- The Identity Consolidation Unit is responsible for authenticating and consolidating multiple and disparate identities in cases and records throughout the Court's case processing divisions, as maintained in CourtView, into a single standardized identity. This office has 6 FTEs.

Division MAP Objectives

The Special Operation Division developed a management action plan (MAP) with the following objectives:

- To provide qualified jurors to judges upon request for the purpose of *voir dire* within fifteen minutes of request 100% of the time by maintaining a comprehensive, up-to-date website that

allows potential jurors to qualify themselves for jury service, defer their service dates, and obtain pertinent information regarding their service.

- To grow the jury utilization rate to 90% by matching juror demand more closely with juror availability, which includes information sharing with other court divisions that have access to future trial activity.
- To enhance informed judicial decision-making by maintaining a law library for judges, law clerks, attorneys and court staff that provides up-to-date print and electronic resources on a broad range of subjects relevant to the administration of justice.
- To provide high quality child care services for jurors, witnesses, and other persons attending court proceedings by offering age appropriate play opportunities, supportive adult supervision, and a safe, stress-free environment.
- To ensure access to court proceedings and services by non-English speaking and deaf/hard of hearing persons by providing, upon request, certified foreign language and sign language interpreters for defendants and other parties for court hearings within ten minutes of receipt of a “ready” request from a courtroom at least 95% of the time. To provide interpreting related training to court employees and judges in order to improve efficiency in providing language access services.
- To expand access to court services for non-English and deaf/hard of hearing persons conducting business with or litigating matters at the courthouse by assisting in the implementation of remote interpreting systems and developing and monitoring the Language Access Plan.

Restructuring and Work Process Redesign

Several restructuring efforts are underway in the Special Operations Division.

The Jurors’ Office continues to improve operational efficiencies through enhanced reporting and related analysis that enable the Court to monitor and implement improvements related to the effective use of jurors who are summoned to appear for service.

The Jurors’ Office has restructured the business process used to convey information between Criminal and Civil Division courtroom clerks and Jurors’ Office staff once jurors are sent for the *voir dire* process. All courtroom communications regarding the initial selection of a jury panel, daily attendance of jurors, the release of alternate jurors, and trial completion are now transmitted electronically to the Jurors’ Office staff. This enhanced communication between the Jurors’ Office and courtroom staff has increased the efficiency by which jurors can be dispatched to courtrooms for service.

Other restructuring efforts underway include implementing methods to enhance accessibility and improve the jury experience for jurors with disabilities. These include the use of a shared electronic calendar between the Office of Court Interpreting Services (OCIS) and the Jurors’ Office. This calendar, available on the Courts’ Intranet, is used to schedule and match contract interpreters with Deaf and Hard of Hearing jurors. Additionally, staff from both offices will be trained on the use of a device called the Optelec Viewer, which can be used to enhance printed documents electronically for jurors with low-vision and may eventually eliminate the need for readers during the deliberative phase of jury trials.

Additionally, the Jurors' Office continues in its efforts to convey to the citizens of the District of Columbia, the importance of juror service through the production of a new Juror Orientation video, as well as through plans to increase community outreach and engagement around this important matter.

To enhance the timely availability of foreign and sign language interpreters for court proceedings, the Office of Court Interpreting Services (OCIS) continues to collaborate with the operating divisions on procedures to identify cases requiring interpreting services early so they can prioritize the scheduling of these cases. The office staff provides training modules for courtroom clerks, law clerks, judges, and frontline staff on the use of interpreters. New software has been implemented to schedule interpreter services more efficiently. Attorneys are the primary users of the Court's new website where they are now able to request interpreting services electronically. Additionally, the OCIS is working to leverage the use of technology to streamline the process through which contract interpreters and translators are compensated for services provided to court participants.

The Child Care Center staff continues to collaborate with the Information Technology Division to enhance its computerized registration and admission system to expand ways for customers to pre-register, as well as submit other registration forms (e.g. health, and dental) in advance of arriving to Court. This is designed to reduce the amount of time customers have to spend on the child care registration process after arriving to Court, and to make registration and document tracking more efficient for staff.

Workload Data

In FY 2013, the Special Operations Division's Jurors' Office sent 158,239 summonses to District of Columbia citizens to appear on juries; the Office of Court Interpreting Services received and fulfilled over 9,000 requests for courtroom interpreting services; the Tax Division heard and disposed of 234 tax petitions; and 759 children used the Child Care Center. Tables 1 through 4 provide performance data for the Jurors' Office, the Office of Court Interpreting Services, the Tax Division, and the Library respectively.

Table 1
SPECIAL OPERATIONS DIVISION
Jurors' Office
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
			Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Output/Activity	# of summons sent to jurors to serve on jury duty	Courts' Information Technology Division	250,000	158,239	248,000	248,000	246,000	246,000	245,000	245,000
Output/Activity	Jurors qualified to serve on <i>voir dire</i> panels	IT Division	67,000	32,579	50,000	50,000	51,000	51,000	60,000	60,000
Outcome	Judicial requests for <i>voir dire</i> panels met	Courts' Strategic Mgt Division	90%	80%	86%	80%	90%	80%	90%	80%
Outcome	Jury Yield	IT Division	30%	21%	28%	25%	28%	25%	28%	25%

Table 2
SPECIAL OPERATIONS DIVISION
Office of Court Interpreting Services
Key Performance Indicators

Type of Indicator	Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
			Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Input	Requests for interpreters	OCIS statistics	9,080	9,024	9,534	9,439	10,011	9,911	10,511	10,601
Outcome	Requests for interpreters met	OCIS statistics	100%	98%	100%	98%	100%	98%	100%	98%

Table 3
SPECIAL OPERATIONS DIVISION
Tax Division
Key Performance Indicators

Type of Indicator	Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
			Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Input	Number of tax petitions filed	Court data	1,100	471	1,200	500	1,200	600	1,350	700
Output/Activity	Number of cases prepared for hearing	Court data	1,300	1,672	1,200	1,100	1,100	1,000	1,000	900
End Outcome	Cases disposed	Court data	450	234	400	300	550	350	450	400
Productivity/Efficiency	Cases disposed/cases filed	Court data	41%	50%	33%	60%	42%	58%	33%	57%

Table 4
SPECIAL OPERATIONS DIVISION
Library
Key Performance Indicators

Type of Indicator	Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
			Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Output	Research Assistance Provided	Library Staff Data	2,791	2,743	2,958	2,958	3,000	3,000	3,500	3,500
Outcome	Users	Library Staff Data	14,165	15,586	15,015	15,015	16,500	16,500	17,000	17,000

FY 2016 Request

In FY 2016, the Courts request \$4,743,000 for the Special Operations Division, an increase of \$155,000 (3%) above the FY 2015 Enacted Level. The request consists entirely of built-in cost increases.

Table 5
SPECIAL OPERATIONS DIVISION
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 – Personnel Compensation	2,369,000	2,404,000	2,495,000	91,000
12 – Personnel Benefits	662,000	674,000	701,000	27,000
<i>Subtotal Personal Services</i>	<i>3,031,000</i>	<i>3,078,000</i>	<i>3,196,000</i>	<i>118,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	146,000	148,000	152,000	4,000
25 - Other Services	1,099,000	1,116,000	1,142,000	26,000
26 - Supplies & Materials	233,000	237,000	243,000	6,000
31 - Equipment	8,000	9,000	10,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>1,486,000</i>	<i>1,510,000</i>	<i>1,547,000</i>	<i>37,000</i>
TOTAL	4,517,000	4,588,000	4,743,000	155,000
FTE	35	35	35	0

Table 6
SPECIAL OPERATIONS DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Positions WIG	35	64,000	
	Current Positions COLA		27,000	
<i>Subtotal 11</i>				<i>91,000</i>
12 - Personnel Benefits	Current Positions WIG		20,000	
	Current Positions COLA		7,000	
<i>Subtotal 12</i>				<i>27,000</i>
<i>Subtotal Personal Services</i>				<i>118,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing and Reproduction	Built-in Increase			4,000
25 - Other Services	Built-in Increase			26,000
26 - Supplies & Materials	Built-in Increase			6,000
31 - Equipment	Built-in Increase			1,000
<i>Subtotal Nonpersonal Services</i>				<i>37,000</i>
Total				155,000

Table 7
SPECIAL OPERATIONS DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
JS-4			
JS-5			
JS-6	3	3	3
JS-7	5	5	5
JS-8	5	5	6
JS-9	10	10	9
JS-10	1	1	1
JS-11	2	2	
JS-12	5	5	6
JS-13	2	2	3
JS-14	1	1	1
JS-15			
CES	1	1	1
Total Salaries	2,369,000	2,404,000	2,495,000
Total FTEs	35	35	35

**SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
MANAGEMENT ACCOUNT**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
0	12,679,000	0	12,860,000	0	13,156,000	0	296,000

To capitalize on centralization of function and economies of scale, a variety of enterprise-wide expenses are consolidated in a “management account.” This account provides support for procurement and contract services; safety and health services; and general administrative support in the following areas: space, telecommunications, office supplies, printing and reproduction, mail payments to the U.S. Postal Service, payment for juror and witness services, and publications as well as courtwide personnel costs such as subsidies for employee use of mass transit, juror fees, and witness fees. The fund also includes replacement of equipment.

FY 2016 Request

In FY 2016, the Courts request \$13,156,000 for the Management Account, an increase of \$296,000 (2%) from the FY 2015 Enacted Level. The increase is comprised entirely of built-in cost increases.

Table 1
MANAGEMENT ACCOUNT
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	1,696,000	1,711,000	1,753,000	42,000
12 - Personnel Benefits	880,000	887,000	902,000	15,000
<i>Subtotal Personal Services</i>	<i>2,576,000</i>	<i>2,598,000</i>	<i>2,655,000</i>	<i>57,000</i>
21 - Travel, Transp. of Persons	385,000	391,000	401,000	10,000
22 - Transportation of Things	11,000	12,000	13,000	1,000
23 - Rent, Commun. & Utilities	3,120,000	3,168,000	3,241,000	73,000
24 - Printing & Reproduction	307,000	312,000	319,000	7,000
25 - Other Services	5,648,000	5,737,000	5,869,000	132,000
26 - Supplies & Materials	438,000	445,000	456,000	11,000
31 - Equipment	194,000	197,000	202,000	5,000
<i>Subtotal Nonpersonal Services</i>	<i>10,103,000</i>	<i>10,262,000</i>	<i>10,501,000</i>	<i>239,000</i>
TOTAL	12,679,000	12,860,000	13,156,000	296,000
FTE	0	0	0	0

Table 2
MANAGEMENT ACCOUNT
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Built-in Increase			42,000
12 - Personnel Benefits	Built-in Increase			15,000
<i>Subtotal Personal Services</i>				<i>57,000</i>
21 - Travel, Transp. of Persons	Built-in Increase			10,000
22 - Transportation of Things	Built-in Increase			1,000
23 - Rent, Commun. & Utilities	Built-in Increase			73,000
24 - Printing & Reproduction	Built-in Increase			7,000
25 - Other Services	Built-in Increase			132,000
26 - Supplies & Materials	Built-in Increase			11,000
31 - Equipment	Built-in Increase			5,000
<i>Subtotal Nonpersonal Services</i>				<i>239,000</i>
TOTAL				296,000

DISTRICT OF COLUMBIA COURT SYSTEM

Overview

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
298	69,155,000	298	71,155,000	300	73,981,000	2	2,826,000

Introduction

The District of Columbia Court Reform and Criminal Procedure Act of 1970 created a unified court system. The Act assigns responsibility for the administrative management of the District of Columbia Courts to the Executive Officer, who oversees nine Court divisions: 1) Administrative Services; 2) Budget and Finance; 3) Capital Projects and Facilities Management; 4) Center for Education and Training; 5) Court Reporting and Recording; 6) Office of the General Counsel; 7) Human Resources; 8) Information Technology; and 9) Office of Strategic Management.

FY 2016 Request

The D.C. Courts' mission is to protect rights and liberties, uphold and interpret the law, and resolve disputes peacefully, fairly and effectively in the District of Columbia. To perform the mission and realize their vision of a court that is open to all, trusted by all, and provides justice for all, the Courts have identified five strategic goals:

- **Strategic Goal 1:** Fair and timely case resolution;
- **Strategic Goal 2:** Access to justice;
- **Strategic Goal 3:** A strong judiciary and workforce;
- **Strategic Goal 4:** A sound infrastructure;
- **Strategic Goal 5:** Public trust and confidence.

The Court System has aligned its FY 2016 request around one of the five strategic goals—a sound infrastructure. In FY 2016, the D.C. Courts request \$73,981,000 for the Court System, an increase of \$2,826,000 (4%) above the FY 2015 Enacted Level. The request includes increases to support the following Court goal:

Strategic Goal 4: A Sound Infrastructure--\$518,000 and 2 FTEs

The FY 2016 request includes \$518,000 and 2 FTEs to address the Courts' goal of maintaining a sound infrastructure, including \$350,000 to maintain new court facilities, including utilities, cleaning, maintenance, and upkeep of the grounds and \$168,000 for 2 FTEs to support upgraded courtroom technology used to present evidence and case-related information.

Table 1
DISTRICT OF COLUMBIA COURT SYSTEM
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	28,002,000	28,481,000	29,217,000	736,000
12 - Personnel Benefits	7,991,000	8,147,000	8,375,000	228,000
<i>Subtotal Personal Services</i>	35,993,000	36,628,000	37,592,000	964,000
21 - Travel, Transp. of Persons	394,000	404,000	414,000	10,000
22 - Transportation of Things	3,000	4,000	5,000	1,000
23 - Rent, Commun. & Utilities	8,906,000	9,079,000	9,353,000	274,000
24 - Printing & Reproduction	78,000	81,000	84,000	3,000
25 - Other Services	20,423,000	20,583,000	21,230,000	647,000
26 - Supplies & Materials	661,000	681,000	702,000	21,000
31 - Equipment	2,697,000	3,695,000	4,601,000	906,000
<i>Subtotal Nonpersonal Services</i>	33,162,000	34,527,000	36,389,000	1,862,000
TOTAL	69,155,000	71,155,000	73,981,000	2,826,000
FTE	298	298	300	2

DISTRICT OF COLUMBIA COURT SYSTEM EXECUTIVE OFFICE

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
18	2,684,000	18	2,727,000	18	2,806,000	0	79,000

Introduction

The Executive Office is responsible for the administration and management of the District of Columbia Courts, including the District of Columbia Court of Appeals and the Superior Court of the District of Columbia. The Executive Officer supervises all Court System divisions that provide support to the two courts: Administrative Services; Budget and Finance; Capital Projects and Facilities Management; Center for Education and Training; Court Reporting and Recording; Human Resources; Information Technology; Office of the General Counsel; and Strategic Management.

There are a variety of matters handled in the Executive Office, including public information, press and government relations, security, internal audits, and court access.

In a continuing effort to strengthen the Courts' strategic management and performance focus, in March 2014, a new Strategic Management Division was created, merging the Courts' strategic planning and management function, which had been located within the Executive Office, and research and performance evaluation functions formerly housed in the Research and Development Division. The new Strategic Management Division will focus on courtwide strategic goal planning, execution, and performance measurement. It will also continue the Courts' long tradition of supporting research and evaluation to test and develop new approaches to delivering service to the public. More information on the new division is available under "Strategic Management Division" later in this document.

Mission Statement

The Executive Office supports the mission of the D.C. Courts by fostering leadership, supporting staff, and shaping the direction of the organization to ensure courtwide success in the delivery of justice.

Management Action Plan (MAP) Objectives

- Ensure the D.C. Courts provide a safe environment for the administration of justice by coordinating security planning, conducting assessments and training, and implementing procedures that enhance personal safety at the Courts.
- Ensure that the Courts function during emergencies by maintaining a Continuity of Operations Plan (COOP) in coordination with all justice system partners.

- Ensure the effectiveness of security operations by developing and operationalizing a database for CSO incident reports in order to establish security performance measures, monitor results, and evaluate programs and services.
- Ensure the Courts provide access to court services for all persons by operating a Supervised Visitation Center that provides non-custodial parents a safe and secure place to spend time with their children and serves as a neutral third party between individuals involved in domestic violence or custody issues.
- Promote effective and efficient court operations by providing essential administrative services for judges, court staff, and external customers, such as information and referral, parking and transportation, conference room scheduling, special events staffing, and special mailings.
- Ensure that the Courts are accessible to the public and persons with disabilities by coordinating access initiatives and monitoring compliance.
- Promote effective operations by reengineering business processes, optimizing process documentation, and implementing court improvement projects that reflect best practices and enhance accountability.
- Maintain fiscal integrity and an appropriate level of funding by preparing the Courts' budget requests, monitoring budget execution, and managing public funds.
- Promote effective and efficient court operations by providing essential administrative services for judges, court staff, and external customers, such as information and referral, parking and transportation, conference room scheduling, special events staffing, and special mailings.
- Enhance employee well-being by developing and promoting employee engagement initiatives, and work-life balance and wellness initiatives.
- Enhance employee engagement, reinforcing the Courts' Great Place to Work culture, and improve work processes by creating internal communications programs and providing change management support.
- Promote transparency, financial accountability, and effective operations by conducting internal audits, risk assessments, and program evaluations.
- Provide information to the public on court services and programs by managing media outreach, and online channels disseminating court information.
- Promote understanding of the courts and educate the public about the courts' services and programs by participating in forums and events and conducting outreach initiatives.

- Enhance public and inter-governmental understanding of the judicial branch through government relations, legislative analysis, and outreach.

FY 2016 Request

In FY 2016, the Courts request \$2,806,000 for the Executive Office, an increase of \$79,000 (3%) above the FY 2015 Enacted Level. The requested increase consists entirely of built-in cost increases.

Table 1
EXECUTIVE OFFICE
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	2,087,000	2,120,000	2,180,000	60,000
12 - Personnel Benefits	587,000	595,000	612,000	17,000
<i>Subtotal Personal Services</i>	<i>2,674,000</i>	<i>2,715,000</i>	<i>2,792,000</i>	<i>77,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	6,000	7,000	8,000	1,000
31 - Equipment	4,000	5,000	6,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>10,000</i>	<i>12,000</i>	<i>14,000</i>	<i>2,000</i>
TOTAL	2,684,000	2,727,000	2,806,000	79,000
FTE	18	18	18	0

Table 2
EXECUTIVE OFFICE
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY2015/2016
11 - Personnel Compensation	Current Position WIG	18	39,000	
	Current Position COLA		21,000	
<i>Subtotal 11</i>				<i>60,000</i>
12 - Personnel Benefits	Current Position WIG		11,000	
	Current Position COLA		6,000	
<i>Subtotal 12</i>				<i>17,000</i>
<i>Subtotal Personal Services</i>				<i>77,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Nonpersonal Services</i>				<i>2,000</i>
Total				79,000

Table 4
EXECUTIVE OFFICE
Detail of Full-Time Equivalent Employment

	2014 Enacted	2015 Enacted	2016 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	1	1	1
JS-8	1	1	1
JS-9	1	1	
JS-10			
JS-11	2	2	2
JS-12	3	3	3
JS-13	2	2	2
JS-14	3	3	3
JS-15	3	3	3
CEMS			1
CES	1	1	1
Ungraded	1	1	1
Total Salary	2,087,000	2,120,000	2,180,000
Total FTEs	18	18	18

**DISTRICT OF COLUMBIA COURT SYSTEM
ADMINISTRATIVE SERVICES DIVISION**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
46	6,025,000	46	6,130,000	46	6,270,000	0	140,000

Organizational Structure

The Administrative Services Division consists of the Office of the Administrative Officer and three branches.

- The Information & Telecommunications Branch is responsible for providing telecommunications services, public information services regarding daily court proceedings, court directory services, and mailroom operations.
- The Procurement and Contracts Branch is responsible for small purchases, major contract acquisitions, graphics and reproduction services, as well as sponsoring acquisition training and maintaining the Courts' Procurement Guidelines.
- The Office Services Branch is responsible for the warehouse and supply room operations, furniture and furnishings inventory, fixed and controllable assets, property disposal, receipt of delivery orders, special occasion room/function set-ups, staff relocation services, Help-Desk operations, records management, and vehicle fleet management.

MAP Objectives

- Develop, encourage, and support the workforce by developing a highly skilled, professional, and competent team to increase overall efficiencies and effectiveness of the Information, Telecommunications, Supply Management, and Acquisition operations.
- Increase the utilization of technology to streamline the acquisition process and improve customer support at the Information Window, the Help Desk, Supply Store, and Warehouse, and in Records Management, and to improve the overall efficiency of accounting for fixed and controllable assets.
- Maintain and update, on an annual basis, the Courts' Procurement Guidelines to reflect best practices, industry standards and recommended changes by the Office of Federal Procurement Policy, as deemed necessary by the Courts.

- Plan, develop, and implement a strategy for on-going procurement training of the D.C. Courts' acquisition workforce, including contracting officer technical representatives (COTRs), contract administrators, technical officers, project managers, source selection team members, and those individuals involved in the payment and close-out process.
- Provide convenient, safe, and secure off-site storage for storing vital court records and other critical documents, supplies and equipment.
- Provide on-going monitoring and consistent oversight to prevent waste, fraud, and abuse in the Courts' SmartPay Purchase and Fleet Card Programs.
- Develop, implement, and maintain a fixed asset inventory control system for all property assets acquired, maintained, transferred, and disposed of throughout the assets life cycle.

Workload Data

Information & Telecommunications Branch

In FY 2016, the mailroom expects to process approximately 80,000 juror checks, 265,000 juror summonses, 245,000 subpoenas, and 305,000 other outgoing pieces of mail. The Information Center expects to assist an estimated 52,000 members of the public per month (624,000 persons per year) at the Information Window in the courthouse and to respond to over 15,000 incoming calls per month (or 180,000 calls per year). This number is expected to remain constant in the near future and eventually to decline as more members of the public utilize the Courts' Internet site, on-line chat, and social media outlets to access court information and data.

Procurement and Contracts Branch

In FY 2016, the Procurement and Contracts Branch expects to process approximately 1,000 small purchases (< \$100,000) within 15 days of receipt and 75 large contracts (> \$100,000) within 120 days of receipt. It is expected that there will be over 600 modifications processed as well. The complexity of major acquisitions and changing technology require the Courts to maintain a knowledgeable and experienced acquisition workforce with the required critical thinking and business expertise to support the needs of the Courts. The Procurement and Contracts Branch established "Acquisition Training Institute" to provide internal training to the procurement staff and to court personnel with acquisition and contract management responsibilities. In 2016, the Procurement and Contract Branch expects to establish an intranet/on-line version of the Institute allowing Court employees to take courses and course exams from the convenience of their own offices. The Institute will continue to enhance the training experience with refresher courses and course highlights on the ASD intranet page.

The Graphics and Reproduction Unit will continue to revamp its business process and operational procedures to produce high quality professional documents for our internal customers within a 24 to 48 hour response time. This unit handles approximately 400 to 500 requisitions annually, totaling over 1.5 million copied pages as well as the production of the Annual Report, programs, brochures, and posters.

Office Services Branch

In FY 2016, the Help-Desk expects to receive approximately 10,000 calls from court personnel, which represents a decrease of 2,000 calls from FY 2013. In FY 2013, the Office Services Branch implemented an enhanced Call Management System which tracks incoming help desk calls more efficiently. With this new system, the Division can capture historical data, streamline business practices, establish performance measures, and improve customer service.

The Records Management Unit expects to process over 40,000 cases of records and files for storage or disposal. This number has decreased as the Courts have digitized older records, and current records are available in electronic format in the case management system. As the public demands greater access to information, digital imaging will facilitate public access to court records, increase the preservation of historical data, and reduce the cost associated with maintaining records in storage facilities.

Table 1
ADMINISTRATIVE SERVICES DIVISION

Key Performance Indicators

Telecommunications Branch									
Performance Indicator	Data Source	FY2013		FY2014		FY2015		FY2016	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Number of Calls monthly	Call Accounting Reports	17,000	14,000	15,000	15,000	15,000	15,000	15,000	15,000
Jury Checks processed by mailroom yearly	Electronic Database	65,000	65,000	70,000	70,000	75,000	75,000	80,000	80,000
Jury Summons processed by mailroom yearly		230,000	250,000	255,000	255,000	260,000	260,000	265,000	265,000
Subpoenas processed by mailroom yearly		210,000	230,000	235,000	235,000	240,000	240,000	245,000	245,000
Outgoing Metered Mail (Pieces) yearly		280,000	290,000	295,000	295,000	300,000	300,000	305,000	305,000
Telecommunications additions, moves and changes yearly	Internal Audit	25,000	14,000	15,000	15,000	15,000	15,000	15,000	15,000
% of Internal Customers Satisfied	Customer survey and feedback	93%	95%	95%	95%	95%	95%	95%	95%

Procurement Branch									
Performance Indicators	Data Source	FY2013		FY2014		FY2015		FY2016	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Number of Small Purchases Processed yearly (\leq \$100,000)	Automated Financial System and Manual Accounting	900	900	1,000	1,000	1,000	1,000	1,000	1,000
Number of Large Purchases Processed yearly ($>$ \$100,000)		100	100	75	75	75	75	75	75
Number of Modifications Processed yearly		1,000	1,000	800	800	700	700	600	600
% of Small Purchases Processed within 15 days		95%	95%	95%	95%	95%	95%	95%	95%
% of Large Purchases Processed within 90-120 Days after receipt of SOW		90%	90%	95%	95%	95%	95%	95%	95%
Number of Acquisition Training Courses conducted yearly	Internal Records	12	12	12	12	12	12	12	12
% of Internal Customers Satisfied	Customer Survey & feedback	93%	92%	93%	93%	94%	94%	95%	95%

Office Services Branch									
Performance Indicators	Data Source	FY2013		FY2014		FY2015		FY2016	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Number of Help Desk Calls Received and Processed yearly	Automated Tracking System	12,000	10,751	10,000	10,000	10,000	10,000	10,000	10,000
Number of days to conduct physical inventory and account for and reconcile discrepancies for all fixed assets	Electronic Data Base	55	50	45	50	45	45	45	45
Records Center requests for Court records filled yearly	Electronic Data Base	2,000	1,745	2,000	2,000	2,000	2,000	2,000	2,000
Records for Storage yearly (cases)	Electronic Data Base	50,000	60,650	50,000	50,000	45,000	45,000	40,000	40,000
% of Internal Customers Satisfied	Customer Survey & feedback	93%	90%	93%	92%	94%	93%	94%	94%

FY 2016 Request

In FY 2016, the Courts request \$6,270,000 for the Administrative Services Division, an increase of \$140,000 (2%) above the FY 2015 Enacted Level. The request consists entirely of built-in cost increases.

Table 2
ADMINISTRATIVE SERVICES DIVISION
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	3,639,000	3,699,000	3,784,000	85,000
12 - Personnel Benefits	1,016,000	1,034,000	1,061,000	27,000
<i>Subtotal Personal Services</i>	<i>4,655,000</i>	<i>4,733,000</i>	<i>4,845,000</i>	<i>112,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	1,261,000	1,285,000	1,310,000	25,000
26 - Supplies & Materials	82,000	84,000	86,000	2,000
31 - Equipment	27,000	28,000	29,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>1,370,000</i>	<i>1,397,000</i>	<i>1,425,000</i>	<i>28,000</i>
TOTAL	6,025,000	6,130,000	6,270,000	140,000
FTE	46	46	46	0

Table 3
ADMINISTRATIVE SERVICES DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Position WIG	46	48,000	
	Current Position COLA		37,000	
<i>Subtotal 11</i>				<i>85,000</i>
12 - Personnel Benefits	Current Position WIG		17,000	
	Current Position COLA		10,000	
<i>Subtotal 12</i>				<i>27,000</i>
<i>Subtotal Personal Services</i>				<i>112,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service	Built-in increase			25,000
26 - Supplies & Materials	Built-in increase			2,000
31 - Equipment	Built-in increase			1,000
<i>Subtotal Nonpersonal Services</i>				<i>28,000</i>
TOTAL				<i>140,000</i>

Table 4
ADMINISTRATIVE SERVICES DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
JS-3			
JS-4			
JS-5	5	5	4
JS-6	6	6	7
JS-7	4	4	5
JS-8	2	1	1
JS-9	5	6	4
JS-10			
JS-11	4	3	4
JS-12	4	5	5
JS-13	11	11	10
JS-14	3	3	4
JS-15	1	1	1
JS-16			
JS-17			
CES	1	1	1
Total Salaries	3,639,000	3,699,000	3,784,000
Total FTEs	46	46	46

**DISTRICT OF COLUMBIA COURT SYSTEM
BUDGET AND FINANCE DIVISION**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
38	5,104,000	38	5,199,000	38	5,332,000	0	133,000

Mission Statement

The Budget and Finance Division will shape an environment in which officials of the D.C. Courts have high quality financial information to make and implement effective policy, management, stewardship, and programs.

Organizational Background

The Budget and Finance Division is comprised of the Director's Office and four branches, and employs 38 FTEs.

<u>Branch</u>	<u>FTE</u>
Director's Office	12
Budget Branch	4
Financial Operations Branch	11
Banking & Collections Branch	6
Defender Services Branch	<u>5</u>
DIVISION TOTAL	38

Director's Office

The Director's Office has a mission "to serve as the Executive Officer's chief financial policy advisor, promote responsible resource allocation through the D.C. Courts' annual spending plan, and ensure the financial integrity of the D.C. Courts." The primary responsibilities of this office are to--

- Develop appropriate fiscal policies to carry out the D.C. Courts' programs.
- Prepare, enact, administer, and monitor the D.C. Courts' annual spending plan (budget).
- Prepare fiscal impact statements on proposed federal and local legislation that impact the D.C. Courts.
- Develop and maintain the accounting and financial reporting systems of the D.C. Courts.
- Monitor and audit expenditures by D.C. Court divisions to ensure compliance with applicable laws, regulations, standards, and policies.
- Enhance the collection of financial data to refine methodologies for efficient forecasting and distribution of limited resources.
- Ensure the development and implementation of internal controls and mechanisms that maximize the accounting and safeguarding of funds, while also ensuring proper segregation of duties within the Courts.

Budget Branch

The Budget Branch's mission is to support officials of the D.C. Courts in maintaining and improving the Courts' fiscal health and services through evaluation and the execution of a balanced budget.

Financial Operations Branch

The Financial Operations Branch's primary mission is to ensure timely and accurate processing and payment of valid invoices within 30 days of being received and accepted by the Courts in accordance with the *Prompt Pay Act*, as well as to post and account accurately resulting transactions and to report on any accounts payable that remain outstanding.

Defender Services Branch

The Defender Services Branch's mission is to administer the three funds through which the D.C. Courts by law appoint and compensate attorneys to represent persons who are financially unable to obtain such representation. In addition to legal representation, these programs offer indigent persons access to experts to provide services such as transcription of court proceedings, expert witness testimony, foreign and sign language interpretation, and genetic testing.

Banking and Collections Branch

The Banking and Collection Branch's mission is to ensure that payments received at various locations throughout the D.C. Courts are received, accounted, and deposited accurately and securely and that resulting transactions are posted and accounted accurately and to report on any accounts receivable that remain outstanding.

Budget and Finance Division MAP Objectives

- Ensure the accurate and timely receipt, safeguarding and accounting of fines, fees, costs, payments, and deposits of money or other negotiable instruments by preparing and completing monthly reconciliations of all D.C. Courts' bank accounts for 100% compliance with established Federal and District government statutes and regulations and generally accepted accounting principles.
- Provide for the timely and accurate payment processing of valid invoices within 30 days of being received and accepted by the Courts in accordance with the *Prompt Pay Act*.
- Generate timely and accurate accounts and reports of all collections, disbursements, escrows, deposits and fund balances under the Courts' stewardship for internal control purposes that are in compliance with generally accepted accounting practices/principles (GAAP) and audit standards.
- Enhance efficient use of resources and the availability of accurate and current financial information by preparing monthly division-level financial reports for division directors.
- Ensure the prudent use of the Courts' fiscal resources by managing the Courts' operating budget in compliance with law and the Courts' financial and contracting policies and regulations, ensuring that expenditures do not exceed budgetary limits, and maximizing achievement of strategic objectives and performance targets.
- Enhance the Courts' ability to reconcile defender services accounts, project defender services obligations, and, at the same time, improve customer service to attorneys and reduce the

cycle time for payments on vouchers that have been correctly prepared and submitted with the Web Voucher System.

- Ensure prudent fiscal management of the Courts' training resources and the timely processing of training and travel requests and reimbursements for the Courts' judicial and non-judicial personnel by managing with streamlined yet well-defined policies and procedures.
- Ensure the continued development of sound financial business processes that enable the routine reconciliation of the Courts' general ledger accounts, as well as for the preparation of the Courts' financial statements, including the Courts' annual financial statements due 45 days from the end of the fiscal year (e.g. by November 15th of each successive year).
- Ensure prudent fiscal management of the D.C. Courts' resources by continuing to develop sound financial management and reporting systems that result in "no material weaknesses" in annual audits.
- Implement management controls sufficient to ensure the maximum collection of court-ordered restitution payments and the accurate and timely disbursement of restitution funds with uniform policies/procedures and an automated tracking and reporting mechanism through the Courts' integrated justice information system (CourtView).
- Enhance the Courts' compliance with grant requirements with improved procedures for preparing timely and accurate financial reports.
- Enhance the ability of the Courts' executive management to make informed decisions regarding the allocation of court resources and comply with appropriations law, by developing timely, accurate, and meaningful annual spending plans and monthly reports for the operating and capital budgets and maintaining a high level of monitoring through effective financial policy documentation.

Budget and Finance Division Accomplishments

To foster the Strategic Plan goals of accountability to the public and responsiveness to the community, the Courts' Budget and Finance Division (B&F Division) implemented a number of improvements in recent years. The Division upgraded the financial system to Pegasys 6.1, which is web-based and more user-friendly. The Division created a position control system to track more closely FTE levels and strengthen financial controls. In collaboration with the Information Technology Division, the B&F Division fully implemented the Web-based Voucher System to track defender services vouchers and streamline the payment process. The Division also implemented a more secure electronic process to combat fraudulent activities in our bank accounts. To enhance customer service, the Division expanded options for paying Court obligations to include credit cards, as well as ACH and wire payments. The division also introduced debit cards as an efficient means to compensate subpoenaed witnesses.

Restructuring and Work Process Redesign

The Budget and Finance Division has re-engineered the D.C. Courts' financial reporting systems, including its related business processes, to enhance efficiency. The division worked with the General Services Administration (GSA) to revise the Courts' personal services budget structure. The new structure emulates the management structure of each division. Now, each division's budget is built by position, branch, and division.

The B&F Division reengineered the way the D.C. Courts report their financial performance. New business processes resulted in the division's issuing the D.C. Courts' Federal Financial Statements, which include the Courts' audited financial statements and accompanying financial reports as prescribed by the Federal Accounting Standards Advisory Board (FASAB). Further, in an effort to augment controls over the Courts' accounting, safeguarding of funds, and proper segregation of duties, the Reporting and Controls Unit was developed under the Office of the Chief Financial Officer.

In an effort to provide more cost-efficient operations, the B&F Division analyzed its paper-based voucher payment processing and labor-intensive processes, such as paper tracking, mailing, and photocopying, and initiated an automated system to enhance tracking of CJA and CCAN vouchers from submission through payment. The continued development and enhancement of the Courts' Web-based Voucher System is a result of a collaborative effort of the B&F Division's Defender Services Branch, the Information Technology Division, the Probate Division, the Criminal Division, and the Family Court. The B&F Division's cost benefit analysis of the Web-based Voucher System revealed the following potential cost-saving features and areas of efficiency gains: (1) reduction of staff time on the telephone with clients/customers; (2) increase in staff productivity because data entered online with appropriate links to the Defender Services internal accounting system reduces data entry, permitting staff to concentrate on quality control and auditing functions; (3) reduction of time judicial officers and attorneys expend performing administrative tasks related to voucher review; (4) reduction in expenses and time for postage and handling; and (5) reduction in paper consumption and cost. Except for petitions for compensation under the Guardianship program, the process for issuing vouchers, as well as for filing and processing all claims for services under the Defender Services programs, is fully automated (see Table 1). This technology has been leveraged to support other Court operations that require processing of invoices for services as well.

To support the implementation of the Superior Court's case management system (CourtView), the B&F Division collaborated with the Information Technology, Probate, Civil, and Criminal Divisions as well as the Family Court to institute shared service operations throughout the Court. These one-stop centers provide the public a central location in each area to conduct financial transactions. The Courts implemented a new fund accounting software package (SAGE MIP Fund Accounting software) that has been customized to integrate with the current CourtView system and to enhance the development of the Courts' financial statements. In addition, the Courts began accepting credit cards for payment of fines and fees due to the U.S. Treasury and expect to expand the program to include on-line payments.

Table 1
BUDGET AND FINANCE DIVISION
Key Performance Indicators

Key Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Number of material weaknesses or reportable conditions noted by external auditors	Annual Financial Audit Report	0	0	0	0	0	0	0	0
Percentage of valid vendor invoices processed within 30 days (Prompt Pay Act) of being received and accepted by the Courts.	Payment Accounting Invoice Tracking	98%	99%	98%	99%	100%	99%	100%	99%
Complete and accurate payment of vouchers within 45 days of receipt in the Defender Services Branch.	Voucher Tracking System	100%	96%	100%	97%	100%	98%	100%	100%
Percentage of vouchers filed and processed on line	Voucher Tracking System	100%	100%	100%	100%	100%	100%	100%	100%
Accurate completion of the monthly bank reconciliations of the D.C. Courts' bank accounts within 15 days of each month's end.	Courts' Financial System of Record	100%	100%	100%	99%	100%	100%	100%	100%

FY 2016 Request

In FY 2016, the Courts request \$5,332,000 for the Budget and Finance Division, an increase of \$133,000 (3%) above the FY 2015 Enacted Level. The increase consists entirely of built-in cost increases.

Table 2
BUDGET AND FINANCE DIVISION
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	3,420,000	3,479,000	3,569,000	90,000
12 - Personnel Benefits	955,000	974,000	1,000,000	26,000
<i>Subtotal Personal Services</i>	<i>4,375,000</i>	<i>4,453,000</i>	<i>4,569,000</i>	<i>116,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Communication & Utilities				
24 - Printing & Reproduction	8,000	9,000	10,000	1,000
25 - Other Services	700,000	714,000	728,000	14,000
26 - Supplies & Materials	13,000	14,000	15,000	1,000
31 - Equipment	8,000	9,000	10,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>729,000</i>	<i>746,000</i>	<i>763,000</i>	<i>17,000</i>
TOTAL	5,104,000	5,199,000	5,332,000	133,000
FTE	38	38	38	0

Table 3
BUDGET AND FINANCE DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Position WIG	38	55,000	
	Current Position COLA		35,000	
<i>Subtotal 11</i>				<i>90,000</i>
12 - Personnel Benefits	Current Position WIG		16,000	
	Current Position COLA		10,000	
<i>Subtotal 12</i>				<i>26,000</i>
<i>Subtotal Personal Services</i>				<i>116,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Service	Built-in Increases			14,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Nonpersonal Services</i>				<i>17,000</i>
Total				133,000

Table 4
BUDGET AND FINANCE DIVISION
Detail of Full-Time Equivalent Employment

	2014 Enacted	2015 Enacted	2016 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	2	2	2
JS-8	1	1	
JS-9	4	4	6
JS-10	1	1	1
JS-11	6	6	6
JS-12	6	6	5
JS-13	11	9	10
JS-14	5	7	6
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	3,420,000	3,479,000	3,569,000
Total FTEs	38	38	38

**DISTRICT OF COLUMBIA COURT SYSTEM
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
28	8,101,000	28	8,260,000	28	8,685,000	0	425,000

Mission Statement

The mission of the Capital Projects and Facilities Management Division (CPFMD) is to provide a high-quality facilities environment for the public, the Courts' employees and judicial staff, and detainees by creating and maintaining structural facilities that are clean, healthy, functional, and safe. In completing this mission, the CPFMD shall be responsible stewards of public funds.

Division Organizational Structure

The Capital Projects and Facilities Management Division is responsible for capital projects, building operations, and facilities support functions. CPFMD is responsible for planning, developing, implementing, managing, and directing capital construction projects; real property and facilities management; and related environmental programs. The Capital Projects and Facilities Management Division is comprised of the Office of the Director and two branches:

- The Director's Office is responsible for providing safe, clean, efficiently managed modern facilities which support the D.C. Courts delivery of services by directing and administering the modernization of the Courts' facilities. The Director has the authority to negotiate, administer, and/or terminate capital construction and lease contracts, Integrated Justice Information System (IJIS) contractual matters, landscaping contracts, housekeeping/custodial contract and to make related determinations and findings on behalf of the D.C. Courts. Contracts in excess of \$1,000,000 must have prior approval by the Executive Officer.
- The Building Operations Branch is responsible for facilities management and maintenance of court-owned as well as leased space; lease management; building maintenance and repair including heating, ventilation and air conditioning, mechanical, electrical, and plumbing. This Branch also provides oversight for housekeeping/custodial and landscaping services on behalf of the D.C. Courts and visitors so they can operate in a clean and well maintained environment.
- The Capital Projects Branch is responsible for budget preparation, planning, implementation, and management of all new construction, expansion, renovation or replacement to the Courts' infrastructure pursuant to the D.C. Courts' Facilities Master Plan and in accordance with ADA requirements. The 2002 Facilities Master Plan (updated in November 2013) addressed the Courts' long term space needs, required improvements to infrastructure and the physical environment, and the planned consolidation of the newly mandated Family Court. This document helps the Capital Projects Branch develop realistic and comprehensive project schedules while efficiently completing construction and maintenance on its 1.26 million sq. ft. Judiciary Square

complex providing new, high quality space and services to the D.C. Courts' employees and visitors.

Division Strategic Plan/MAP Objectives

Several of the Capital Projects and Facilities Management Division's objectives follow:

Program Area	Objective
Building Operations	Provide oversight for housekeeping/custodial and landscaping services on behalf of the D.C. Courts' employees and visitors so they can operate in a clean and well maintained environment.
Building Operations	Develop and maintain a quality control system for ensuring that customer building operational concerns are addressed expeditiously.
Building Operations	Ensure mechanical systems (i.e. HVAC, elevators, plumbing) and building shell conditions are maintainable with assigned preventive maintenance schedules (PMS) based on industry standards and manufacturer recommendations.
Building Operations	Expand the CPFMD's routine replacement program to all of the D.C. Courts' buildings to maximize longevity of assets and reduce annual operating and repair costs.
Building Operations	Institute quality assurance programs that establish thresholds for conducting scheduled services for the preservation of the D.C. Courts' upgraded facilities and grounds.
Capital Projects	Define, assess and plan a responsible facility ADA initiative to ensure the D.C. Courts' infrastructure is effectively designed and constructed, and are efficiently operated and maintained in accordance with ADA requirements.
Capital Projects	Implement the D.C. Courts' Facilities Master Plan, updated in November 2013, to develop a realistic, comprehensive Capital Project schedule for FY 2014 and beyond.
Capital Projects	Efficiently complete construction on major court building projects to provide new and high quality services to the D.C. Courts' visitors and employees.
Capital Projects	Complete pre-design, design and construction projects on the D.C. Courts' campus to maximize space and modernize space planning standards to provide an open and collaborative work environment that is flexible to the evolving needs of the Courts' visitors, judicial officers, and staff.

The Courts' capital funding requirements are significant because they finance projects critical to maintaining, preserving, and constructing, in a timely manner, safe and functional courthouse facilities essential to meeting the significant demands of the administration of justice in our Nation's Capital. To meet these demands effectively, the Courts' facilities must be both functional and emblematic of their public significance and character.

The D.C. Courts occupy over 1.2 million gross square feet of space in Judiciary Square, which is one of the original significant green spaces in the District of Columbia as designated in the L'Enfant Plan for the Nation's Capital. The Courts are responsible for the Historic Courthouse at 430 E Street, NW (designed and constructed to a LEED Silver standard); the Moultrie

Courthouse at 500 Indiana Avenue, NW; 449 5th Street, NW; 515 5th Street, NW; 510 4th Street, NW and 410 E Street, NW which is LEED Gold certified.

Capital improvements are an integral part of the D.C. Courts' Strategic Plan. In recognition of the need for court facilities to support efficient court operations "A Sound Infrastructure" was identified as a Strategic Goal in the D.C. Courts 2013-2017 Strategic Plan.

Capital Projects and Facilities Management Division Achievements and Highlights

The Capital Projects and Facilities Management Division has advanced the implementation of the D.C. Courts' Facilities Plan on multiple fronts. Significant progress was made during FY 2013. With construction of the historic campus buildings largely complete with the opening of the 410 E Street public space, CPFMD has shifted its attention to the Moultrie Courthouse and the Courthouse Addition, building systems and infrastructure upgrades, refurbishment of existing court and public facilities, and the completion of the Family Court consolidation. Significant milestones were achieved but most importantly foundation permits were secured, contractors selected, and construction initiated on Phase I of the C Street Addition. Construction Documents for the superstructure were advanced with the intention of securing building permits for the Phases 2A and 2B (the Addition superstructure) before the end of Calendar 2014.

CPFMD continues to work to achieve the D.C. Courts' objective of full consolidation of the Family Court and to meet its long term space needs. The following is a summary of CPFMD's recent major activities in the Moultrie Courthouse to advance the consolidation.

- Adult holding facilities renovations are 98% complete. This was a phased construction project which modernized USMS holding facilities within the courthouse.
- CPFMD continued the phased renovation of the Criminal Division on the 4th Floor of the Courthouse, completing the first five phases of an eight phase project.
- Completed the renovation of the 5th Floor for Court Reporting, Associate Judge Chambers, and Senior Judge Chambers.
- Upgrade of electrical systems is ongoing.
- The Domestic Water Upgrade construction was initiated and is expected to be complete during the fall of 2014. This infrastructure project supports the C Street Addition.
- Construction documents were completed to 70% for C Street Addition. Foundation permits were secured and construction is underway. The foundation is 50% complete and is expected to be completed in January 2015. The Addition will include six courtrooms, Family Court related offices and support spaces, juror facilities, and 21 judicial chambers. The Courts have directed the design team to seek a LEED Platinum rating for this project.
- Construction is 95% complete on the fourth Balanced and Restorative Justice Drop-In Center (BARJ) and 100% complete on the fifth BARJ. BARJ is an innovative, non-traditional juvenile rehabilitation program developed by the Family Court Social Services Division. The BARJ Drop-In Centers are multi-faceted satellite facilities that include space for counseling and social activities such as tutoring, mentoring, education and prevention groups, peer mediation, and recreation.

- Upgrade of safety within the Moultrie Courthouse continues. This project includes ongoing installation of a new fire protection system with a new sprinkler system as part of a multi-year improvement plan.

The D.C. Courts have continuously coordinated all projects with the Facilities Master Plan. An update of the Master Facilities Plan was issued November 15, 2013 to reflect changes in court technology, organization and operations, and the growth of the District of Columbia's population.

Workload Data

The Capital Projects and Facilities Management Division recognized the need to baseline the results of Congressional investment in the Courts' campus. With the completion of multiple construction projects, infrastructure upgrades and enhancements, the D.C. Courts are committed to protecting the public's investment in court facilities. Baselines were established in a Facilities Conditions Assessment (FCA) completed in March 2013. This document provided the Courts with a detailed lifecycle analysis and replacement values for all facility assets. Projected replacements and continued maintenance were identified and costs estimated for future funding requirements.

In addition to the Facilities Conditions Assessment, CPFMD has procured and initiated the use of a Computerized Maintenance Management System (CMMS). This software provides CPFMD with a tool to efficiently manage the Court's facilities, property, and services by tracking work orders, work requests and recurring preventive maintenance tasks.

The CMMS software also provides an inventory management system that allows CPFMD to monitor and track inventory supplies and repair materials. The ability to track inventory allows for better use of storage by ordering on an as needed basis and examining trends in the quality of certain manufacturers to determine the need for new products. This inventory visibility allows CPFMD to monitor supplies and to predict the annual supplies needed per fiscal year.

In FY 2016, the Capital Projects & Facilities Management Division will continue to manage housekeeping/custodial services for the Courts' 1.2 million sq. ft. of net floor area (430 E Street, NW; 449 5th Street, NW; 500 Indiana Ave. NW; 515 5th Street, NW; 510 4th Street, NW; 410 E Street, NW; Gallery Place; 2041 Martin Luther King Jr. Avenue, SE; 2575 Reed Street, NE; 920 Rhode Island, NE; 1215/1201 South Capitol, SW; 118 Q Street, NE and 4211 9th Street, NW) in a cost-effective manner at approximately \$8.50/sq. ft. In addition, the division manages the vertical transportation maintenance contract to ensure all elevators, escalators and lifts are functioning properly and to code, and the landscape maintenance contract for lawn cutting, tree pruning and irrigation maintenance for the Courts' 4.2 acres of green space.

In 2016, CPFMD will continue to provide services to all of the divisions of the D.C. Courts for infrastructure maintenance, repair, and operations to *"Ensure that facilities are accessible and support efficient and effective operations"* (Strategic Goal 4B A Sound Infrastructure). The facilities maintenance, repair, and operations (MRO) costs for the entire D.C. Courts' complex in FY 2016 are projected to be \$10.00/sq. ft.

Table 1
CAPITAL PROJECTS AND FACILITIES MANAGEMENT
Key Performance Indicators

Performance Indicator	Data Source	FY2014		FY2015		FY2016	
		Goal	Estimate	Goal	Estimate	Goal	Estimate
Percent of contracts which ensure contractor compliance with at least 95% of the terms and conditions	Contract Reports	100%	100%	100%	100%	100%	100%
Percent of Help Desk calls resolved in two (2) business days	CPFMD Help-Desk Reports	98%	98%	98%	98%	98%	98%
Percent of preventive maintenance work completed in accordance with CPFMD PMS	PM Schedule	99%	99%	99%	99%	99%	99%
Percent of CPFMD's routine replacement program to all of the D.C. Courts' buildings to maximize longevity of assets and reduce annual operating and repair costs	Project Schedule	94%	94%	96%	96%	97%	97%
Percent of responsible facilities management program associated with each court building's infrastructure that includes: roof, exterior finish, interior finish, plumbing, mechanical, HVAC, electrical, and conveyance (elevators and escalators.) implemented at a rate of 100% annually	PM Schedule	93%	93%	95%	95%	96%	96%
Percent of the D.C. Courts' staff satisfied with Court managed facilities and grounds	Court Surveys	98%	98%	98%	98%	98%	98%
Percent of CPFMD projects that are 100% ADA compliant annually and ensure the D.C. Courts are 100% compliant with ADA requirements annually	DCRA Permits; Certificate of Occupancy	100%	100%	100%	100%	100%	100%
Percent of Capital projects completed on-time and within budget	CPFMD Budget Reports	100%	100%	100%	100%	100%	100%
Percent of construction projects completed within 10% of original project budget	CPFMD Budget Reports	100%	100%	100%	100%	100%	100%
Percent of design and construction projects completed within 10% of allotted time for each project's phases	Progress Meeting Minutes	100%	100%	100%	100%	100%	100%

FY 2016 Request

In FY 2016, the Courts request for the Capital Projects & Facilities Management Division is \$8,685,000, an increase of \$425,000 (5%) above the FY 2015 Enacted Level. The requested increase includes \$350,000 to maintain new court facilities, including utilities, cleaning, maintenance, and upkeep of the grounds and \$75,000 for built-in cost increases.

Maintenance Services for New Court Facilities, \$350,000

Problem Statement. With the renovation and occupancy of three additional court facilities, the amount of site area to be maintained by the Capital Projects and Facilities Management Division (CPFMD) has increased by approximately 60,000 square feet, thereby requiring the Courts to procure additional cleaning, maintenance and repair, and landscaping services and has resulted in increased utility and steam costs. In addition, as warranty periods expire on equipment in renovated buildings, the Courts' must assume maintenance costs.

Relationship to Court Mission, Vision and Strategic Goals. This request supports the Courts' strategic goal of ensuring that court facilities are accessible to the public and support effective operations.

Relationship to Divisional Objectives. This increase in funding is crucial to ensuring that CPFMD is able to carry out its mission of providing a clean, healthy, functional, safe, and secure environment for the public, judicial staff, and court employees.

Relationship to Existing Funding. With the completion of Building C and creation of BARJ Drop-In Centers for juvenile probation, additional contract support is necessary. Funding for the increased contractual services currently does not exist. Prior to its renovation, Building C was occupied and maintained by the Executive Branch of the District Government, so facilities services are not in the Courts' budget. In CPFMD's budget \$250,000 is requested for cleaning, maintenance, repair, and landscaping. The remaining \$100,000 is requested for utility costs in the Management Account, where other court utility costs are paid.

Expenditure Plan. The CPFMD will contract for additional services for cleaning, landscaping, specialized equipment repair, and environmental services as needed, in accordance with the Courts' procurement and contracting guidelines.

Key Performance Indicators. The Courts' facilities and grounds will be maintained to a level that matches the aesthetic precision and consistency of their federal neighbors, including the National Park Service and the United States Court of Appeals for the Armed Forces. A reduction in service repair calls, and the enhanced maintenance and cleanliness of court facilities are performance indicators.

Table 2
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	2,433,000	2,480,000	2,537,000	57,000
12 - Personnel Benefits	680,000	694,000	710,000	16,000
<i>Subtotal Personal Services</i>	<i>3,113,000</i>	<i>3,174,000</i>	<i>3,247,000</i>	<i>73,000</i>
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	4,960,000	5,056,000	5,406,000	350,000
26 - Supplies & Materials	23,000	24,000	25,000	1,000
31 - Equipment	5,000	6,000	7,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>4,988,000</i>	<i>5,086,000</i>	<i>5,438,000</i>	<i>352,000</i>
TOTAL	8,101,000	8,260,000	8,685,000	425,000
FTE	28	28	28	0

Table 3
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Position WIG	28	32,000	
	Current Position COLA		25,000	
<i>Subtotal 11</i>				<i>57,000</i>
12 - Personnel Benefits	Current Position WIG		9,000	
	Current Position COLA		7,000	
<i>Subtotal 12</i>				<i>16,000</i>
Subtotal Personal Services				73,000
21 - Travel and Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Maintenance Services for New Facilities			350,000
26 - Supplies and Materials	Built-in			1,000
31 - Equipment	Built-in			1,000
Total				352,000

Table 4
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	4	4	4
JS-9	10	10	9
JS-10	2	2	2
JS-11	1	1	2
JS-12	1	1	1
JS-13	5	5	5
JS-14	3	3	3
JS-15			
JS-16			
CEMS	1	1	1
CES	1	1	1
Total Salaries	2,433,000	2,480,000	2,537,000
Total FTEs	28	28	28

DISTRICT OF COLUMBIA COURT SYSTEM CENTER FOR EDUCATION AND TRAINING

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
7	2,093,000	7	2,134,000	7	2,176,000	0	42,000

Mission Statement

The District of Columbia Courts' Center for Education and Training (the Center) provides comprehensive learning opportunities to enhance the knowledge, skill, ability, and engagement of all levels of personnel, thus improving the D.C. Courts' capacity to provide exceptional service to internal and external constituencies.

Organizational Background

The Center's staff of seven FTEs provides judicial training mandated by statute as well as judicial branch education in the Court of Appeals and Superior Court, and education and training opportunities for all court personnel. The Center offers classes in current legal issues, judicial procedure, executive leadership skills, supervision and performance management, effective communication and grammar, customer service, cultural diversity, and a variety of technology classes on various software programs used by the Courts such as Microsoft Office, Oracle Discoverer and 10G, Business Intelligence, Microsoft Publisher, Adobe Photoshop, and CourtView for use with the Integrated Justice Information System. The Center also trains all newly hired Court employees with a year-long series of sessions that pertain to their employment at the Courts, such as Sexual Harassment, Understanding Courts, Ethics, Court Security, Personnel Policies, and the Courts' Strategic Plan. Newly appointed Associate and Magistrate Judges receive 3 weeks of individualized training arranged by the Center. Community conferences for lawyers, social workers, educators and other justice system professionals are held several times per year. All training is aligned with the Strategic Plan and complements procedural and technical training provided by operating and support divisions. Based upon needs assessments and employee development plans, a Training Plan is developed annually. The Center also develops and provides educational programs for court visitors, including many delegations of international guests visiting to learn about the rule of law and to help develop the justice systems in their countries.

Division MAP Objectives

- **Courtwide Training Plan** – Develop an annual training plan that is aligned with the Courts' strategic goals and offers comprehensive job-related programs including judicial, leadership, management, supervisor, technology, soft skills, cross-training, and various conferences. Ensure an efficient use of resources and a successful learning experience for all.
- **Judicial Institute** – Enhance the effectiveness of the judiciary by providing a myriad of judicial education opportunities to all the judicial officers in the D.C. Courts, including

leadership, current issues, legal topics, roundtable discussions for appellate judges, training specific to Court Divisions, annual community conferences for several Divisions, comprehensive orientation and mentoring for all new judges, and opportunities to attend national trainings.

- **Leadership Institute** –Maximize effectiveness of the Executive Team and Senior Managers in achieving the highest levels of court performance by establishing a Leadership Institute that will offer teambuilding, leadership courses, individual assessments, coaching, enhanced orientation to new Court Executive Service (CES) employees, and personal and professional development activities. Support positive organizational change through extensive involvement of executives and senior leadership in the “Building a Great Place to Work” initiative and the Values Council.
- **Management Institute and Strategic Training** – Maximize the effectiveness of the Courts’ managers and supervisors and increase the pool of future managers and leaders through the Management Institute to include the Management Training Program (MTP) and the Supervisors Training Program (STP.) Focus the training of managers, supervisors, and employees on issues relevant to achieving the goals outlined in the Strategic Plan of the District of Columbia Courts (2013-2017), including values, special populations, and cultural competency. Position managers and supervisors as change agents and role models in these efforts.
- **Visitors Program** – Provide a quality educational experience for international, national, and local delegations visiting the D.C. Courts, thereby increasing access and understanding of the justice system at many levels. Provide campus tours for all new employees.

Restructuring or Work Process Redesign

The Center has institutionalized a variety of structural and work process changes over the last decade. The staff of seven has been completely restructured and works well together to achieve the Division’s goals. These changes are a result of feedback received through a myriad of assessment tools, including an internal needs assessment, direct interaction, and questionnaires completed by employees, both judicial and non-judicial. Most recently, in FY 2013 and FY 2014, an external *Strategic Training Needs Assessment* and an internal independent review process were conducted. The rich information garnered from the two projects is feeding a strategic redesign of the training curricula offered by the Center. Thus far, the Center has made significant progress in developing and implementing many new and creative training opportunities for the entire employee population of the Courts. The Center has implemented additional programs and initiatives such as the Leadership Institute, the Management Institute, the Judicial Leadership Initiative, the Roundtable Series for the Court of Appeals judges, and the biennial Courtwide Employee Conference.

The Leadership Institute is currently focused on team efforts to improve the D.C. Courts as a “Great Place to Work” and to offer opportunities and challenges for senior management in areas such as values-based management, coaching, and skills development. Based on the results of the 2009, 2011 and 2013 Employee Viewpoint Surveys (formerly named Federal Human Capital

Surveys), initiatives and teams were established in the areas of health and wellness, work/life balance, internal communications, performance management, cross-training and *Living Our Values*. Employee Engagement is now a courtwide performance metric. The Judicial Leadership Team attends two meetings each year. The Executive Team holds monthly leadership meetings, and a joint Judicial/Executive meeting is held annually. In 2014, the first *Leadership Summit* for judicial and executive leaders of Superior Court operating divisions was held. The efforts of court leadership and senior management are aligned with the goals outlined in the Strategic Plan.

The judges of the D.C. Court of Appeals continue to enjoy a series of educational roundtable discussions with nationally recognized legal experts that have been extremely well-received. The Center and the Court of Appeals will continue this innovative effort and offer additional staff training to meet the unique needs of the Court of Appeals.

In light of a pending wave of retirements and the need for better development and retention of talented employees, the Center and the Management Training Committee initiated a Management Training Program (MTP) in 2007 for 20 competitively employees selected from each division within the Courts. The MTP offers a very successful 12-month series of classes taught by nationally recognized experts and in-house leaders. Many of the graduates from the Program have received promotions and increased responsibility. The Courts take seriously the importance of succession planning and continue to move in a proactive direction toward recruiting and retaining excellent employees. Similarly, the D.C. Courts have established a seven-day, four-segment training program for supervisors. Based on the Supervisory Leadership Program offered by the U.S. Office of Personnel Management and using some of the same faculty, this training program was initially completed by all 100 court supervisors. All new supervisors are similarly trained. Graduates of the programs participate in advanced courses on leadership, performance management, employee development, and cultural competence.

Technology classes are a priority training need. Utilizing two computer labs, there is dedicated focus on technology training. The Center offers not only basic but also intermediate and advanced levels of computer classes such as Microsoft Office, Excel, PowerPoint, Adobe, Project Management and others. The Center offers Microsoft Office Specialist (MOS) Certification training and testing. There is an ongoing need for the Center to offer technology classes on other more sophisticated, court-focused programs such as CourtView (the software for the Integrated Justice Information System) and Oracle Discoverer. The Center has developed alternative learning methods such as computer-based training, blended learning, flipped classrooms, and cross-training. The Center is developing the capacity among a group of employees to author in-house E-Learning courses utilizing special software applications. In addition to on-line tutorials, the new focus is on classes that teach operating processes unique to courts. As part of the Strategic Human Resources redesign and implementation of the Talent Management System, the Center offers an E-learning Library from SkillPort and will transfer all on-line courses and training databases to the National Business Center Learning Management System in 2015.

Training has increased dramatically in terms of the number of classes offered by the Center annually, the number of participants, the number of training hours received, the subject matters

covered as well as the level of satisfaction. The Center offers approximately 150 classes each year. Training hours completed by court employees and judicial officers for each year have consistently been over 10,000 hours and the most recent indicators point to increased training activity levels approaching 15,000 hours.

Finally, another very important program administered by the Center is the International Visitors Program, which supports efforts to strengthen the rule of law and the development of justice systems around the world. More than 30 international delegations visit each year, most of them very high-level representatives from other nations' justice systems. Providing educational experiences for international visitors is an important function unique to the trial court of the Nation's Capital. Many of these visiting groups are sponsored by the U.S. Department of State, USAID, World Bank, or international cultural exchange organizations, and each educational program is tailored to the needs and interests of the individual delegation. Recently, the number of international delegations and the number of visitors hosted by the D.C. Courts has increased to about 50 groups and 1,000 visitors per year.

Workload Data

The workload data for the Center includes the number and types of courses offered, the number of staff and judicial officers registered for the training, the delivery of support to other divisions' training efforts, and the number of visitors attending educational programs.

Table 1
CENTER FOR EDUCATION AND TRAINING
Workload Data

Data Measure	FY 2013 Actual	FY 2014 Estimate	FY 2015 Projected	FY 2016 Projected
Courses Offered	169	140	160	160
Judicial Participants ⁴	613	500	500	500
Employee Participants ¹	1,929	1,600	2,000	2,000
Divisions Supported	5	5	5	5
Number of Official Visitors	1,156	1,000	1,000	1,000

⁴ A judicial officer or employee may participate in multiple training programs during the year.

Key Performance Measures

Table 2
CENTER FOR EDUCATION AND TRAINING
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Outcome	Program Quality	Participant Evaluations	80% >3.5	95% >4.0	80% >3.5	94% >4.0	80% >3.5	90% >4.0	80% >3.5	90% >4.0
Outcome	Judges and Employees Total Training Hours Completed	Training Database and Sign-in Sheets	16,500	14,199	16,500	14,000	15,000	15,000	15,000	15,000
Output	Visitors Tours & Programs	Visitors Schedule	30	52	30	50	50	50	50	50
Outcome	Bi-Annual Management Training Program Graduates	Training Schedule & Participant List	NA	NA	15	17	NA	NA	15	15
Output	Management Training Institute Courses Offered	Training Schedule	18	10	18	16	10	10	18	16
Output	Executive/Senior Leadership Development Sessions	Training & Meeting Schedules and N-H Reports	6	2	6	5	6	6	6	6
Outcome	Judicial Leadership Team Retreats	Meeting Schedule	2	1	2	2	2	2	2	2
Output	Court of Appeals Programs Offered	Training Schedule	6	6	6	4	6	6	6	6

FY 2016 Request

In FY 2016, the Courts request \$2,176,000 for the Center for Education and Training, an increase of \$42,000 (2%) from the FY 2015 Enacted Level. The requested increase consists entirely of built-in cost increases.

Table 3
CENTER FOR EDUCATION AND TRAINING
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	795,000	809,000	823,000	14,000
12 - Personnel Benefits	224,000	227,000	231,000	4,000
<i>Subtotal Personal Services</i>	<i>1,019,000</i>	<i>1,036,000</i>	<i>1,054,000</i>	<i>18,000</i>
21 - Travel, Transp. of Persons	269,000	275,000	281,000	6,000
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	798,000	814,000	830,000	16,000
26 - Supplies & Materials	4,000	5,000	6,000	1,000
31 - Equipment	3,000	4,000	5,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>1,074,000</i>	<i>1,098,000</i>	<i>1,122,000</i>	<i>24,000</i>
TOTAL	2,093,000	2,134,000	2,176,000	42,000
FTE	7	7	7	0

Table 4
CENTER FOR EDUCATION AND TRAINING
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Positions WIG	7	6,000	
	Current Positions COLA		8,000	
<i>Subtotal 11</i>				<i>14,000</i>
12 - Personnel Benefits	Current Positions WIG		2,000	
	Current Positions COLA		2,000	
<i>Subtotal 12</i>				<i>4,000</i>
<i>Subtotal Personal Services</i>				<i>18,000</i>
21 - Travel and Transportation	Built-in increase			6,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in increase			16,000
26 - Supplies and Materials	Built-in increase			1,000
31 - Equipment	Built-in increase			1,000
<i>Subtotal Nonpersonal Services</i>				<i>24,000</i>
TOTAL				42,000

Table 5
CENTER FOR EDUCATION AND TRAINING
Detail of Full-Time Equivalent Employment

Grade	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
JS-5			
JS-6			
JS-7			
JS-8			
JS-9	1		
JS-10		1	1
JS-11			
JS-12			
JS-13	4	4	4
JS-14			
JS-15	1	1	1
CES	1	1	1
Total Salaries	795,000	809,000	823,000
Total FTEs	7	7	7

DISTRICT OF COLUMBIA COURT SYSTEM COURT REPORTING AND RECORDING DIVISION

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
55	5,964,000	55	6,080,000	55	6,170,000	0	90,000

Mission

The Court Reporting and Recording Division (CRRD) prepares verbatim records of proceedings in D.C. Superior Court trials, produces transcripts for filing in the D.C. Court of Appeals and the Superior Court, and prepares transcripts ordered by attorneys, litigants, and other interested parties. Emphasis is placed on accurate and timely production of transcripts to ensure exceptional service. CRRD provides realtime translation to members of the judiciary to aid in decision making and to any party requesting realtime to facilitate access to the Courts and compliance with the Americans with Disabilities Act (ADA).

Organizational Background

The Division is comprised of the Director's office and four branches: Court Reporting Branch, Case Management Branch, Transcription Branch, and Administrative Branch.

1. The Office of the Director is responsible for developing initiatives, overseeing project management, as well as leading division-wide operational and administrative initiatives in furtherance of the Strategic Plan and other D.C. Courts' programs as they relate to the Court Reporting and Recording Division.
2. The Court Reporting Branch is comprised of stenotype reporters and voice writers who are responsible for taking verbatim trial proceedings and preparing official transcripts.
3. The Transcription Branch is responsible for transcribing verbatim transcripts of recorded proceedings in D.C. Superior Court that were not taken by an Official Court Reporter.
4. The Case Management Branch is responsible for handling all Criminal Justice Act, *in forma pauperis*, domestic violence, civil, and juvenile appeal transcript requests. This includes maintaining transcripts in the division for all appellate cases and forwarding them to the Court of Appeals when all transcripts have been completed in that appeal. This Branch is also responsible for maintaining statistics on appellate cases.
5. The Administrative Branch is responsible for processing incoming and outgoing transcript requests from various agencies and the public. In addition to entering relevant data into the Web Transcript Tracking System (WTTs) for the Court Reporting and Recording Division, this branch is responsible for maintaining statistics on non-appellate cases.

Division MAP Objectives

The Court Reporting and Recording Division provides transcripts for judges, lawyers, and other parties. The Division provides state-of-the-art court reporting services to the judiciary and the public, including ADA requests. The objective of the Division is to produce accurate and timely

transcripts of court proceedings. The Court Reporting and Recording Division's Management Action Plan (MAP) objectives follow:

- Provide realtime to the judiciary, which in turn will assist in making judicial rulings.
- Enhance efficient operations and the quality of service provided to persons conducting business with the Court Reporting and Recording Division by developing a plan to reengineer processes through technology and increased automation.
- Ensure the timely availability of transcripts of court proceedings for judges, attorneys, litigants, and other parties by producing 100% of appeal transcripts within 60 days and 100% of non-appeal transcripts within 30 days.
- Ensure the production of accurate transcripts by performing quarterly random audits to verify that transcripts are a verbatim record of court proceedings.

Work Process Redesign

During FY 2013, the Court Reporting and Recording Division expanded the realtime program to include an additional two judges, expanding to 19 the number of judges that receive realtime services. With this expansion, the 27 reporters who currently provide realtime adequately cover 19 realtime courtrooms. Realtime provides instant translation of the proceedings on a computer screen, which assists the court in achieving the strategic goals of fair and timely case resolution and access to justice for all. In addition to aiding the judiciary, the program continues to provide realtime translation for all ADA requests.

The CRRD continues to enhance and streamline processes and procedures. In 2012, the United States Attorney's Office, the Public Defender Service, and CJA attorneys started receiving transcripts electronically. As a result of going paperless, it was necessary for all official court reporters to have the ability to place an electronic signature on all of their transcripts. This requirement was implemented in April 2013.

Workload Data

Table 1
COURT REPORTING AND RECORDING DIVISION
Workload Measures

Type of Indicator	Performance Indicator	Data Source	FY2013 Actual	FY2014 Estimate	FY2015 Estimate	FY2016 Estimate
Input	Transcription Branch orders received	Division Records	4,850	5,700	5,800	5,900
Input	Court Reporting Branch orders received	Division Records	3,430	4,300	4,400	4,500
Output	Pages of court transcripts produced (appeal/non-appeal)	Division Records	446,652	450,000	452,000	454,000

Table 2
COURT REPORTING AND RECORDING DIVISION
Key Performance Indicators

Type of Indicator	Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
			Goal	Actual	Goal	Estimate	Goal	Projection	Goal	Projection
Timeliness	Average time (in days) to complete transcripts of taped appellate proceedings	Division Records	22	19	11	11	11	11	10	10
Timeliness	Average time (in days) to complete transcripts of taped <i>non</i> -appellate proceedings	Division Records	8	7	6	6	6	6	6	6
Timeliness	Average time (in days) to complete appellate transcripts by court reporters *	Division Records	46	44	43	43	43	43	42	42
Timeliness	Average time (in days) to complete <i>non</i> -appellate transcripts by court reporters *	Division Records	12	10	11	11	11	11	11	11

* Although CRRD guidelines require appeal transcripts to be completed in at most 60 days and non-appeal transcripts to be completed in at most 30 days from the date the request is received, the table reflects more ambitious performance goals to enhance customer service.

FY 2016 Request

In FY 2016, the Courts request \$6,170,000 for the Court Reporting and Recording Division, an increase of \$90,000 (2%) above the FY 2015 Enacted Level. The increase consists entirely of built-in cost increases.

Table 3
COURT REPORTING & RECORDING DIVISION
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	4,592,000	4,679,000	4,747,000	68,000
12 - Personnel Benefits	1,284,000	1,310,000	1,329,000	19,000
<i>Subtotal Personal Services</i>	<i>5,876,000</i>	<i>5,989,000</i>	<i>6,076,000</i>	<i>87,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	24,000	25,000	26,000	1,000
26 - Supplies & Materials	42,000	43,000	44,000	1,000
31 - Equipment	22,000	23,000	24,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>88,000</i>	<i>91,000</i>	<i>94,000</i>	<i>3,000</i>
TOTAL	5,964,000	6,080,000	6,170,000	90,000
FTE	55	55	55	0

Table 4
COURT REPORTING & RECORDING DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Position WIG	55	22,000	
	Current Position COLA		46,000	
<i>Subtotal 11</i>				<i>68,000</i>
12 - Personnel Benefits	Current Position WIG		6,000	
	Current Position COLA		13,000	
<i>Subtotal 12</i>				<i>19,000</i>
Subtotal Personal Services				87,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service	Built-in			1,000
26 - Supplies & Materials	Built-in			1,000
31 - Equipment	Built-in			1,000
Subtotal Nonpersonal Services				3,000
TOTAL				90,000

Table 5
COURT REPORTING & RECORDING DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	1	1	
JS-8	6	5	4
JS-9	2	3	5
JS-10	6	6	6
JS-11	5		1
JS-12	32	37	36
JS-13	1	1	1
JS-14			
JS-15	1	1	1
CES	1	1	1
Total Salaries	4,592,000	4,679,000	4,747,000
Total FTEs	55	55	55

**DISTRICT OF COLUMBIA COURT SYSTEM
HUMAN RESOURCES DIVISION**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
27	3,559,000	27	3,629,000	27	3,722,000	0	93,000

Mission

As a strategic partner, the Human Resources Division supports the District of Columbia Courts' overall mission and is committed to developing and administering comprehensive programs grounded in recruiting, retaining, and supporting a diverse, highly-qualified, and talented workforce. The Division promotes a work environment characterized by fairness and accountability while providing exemplary customer service.

Organizational Background

The Human Resources Division is responsible for consistent, uniform implementation of the personnel policies adopted by the Joint Committee on Judicial Administration. The Division maintains systems to enhance staff development and employee accountability and to promote effective employee-management relations. In addition, the Division provides guidance to management staff by establishing and maintaining work environments that promote service to the public, productivity, and professionalism. The Division also serves as the focal point for compliance with Federal and local statutes prohibiting discrimination in employment by promoting equal employment opportunity for women and members of minority groups who seek employment with the Courts or participation in court programs.

The Office of the Director sets and aligns the strategic direction of the Division with court-wide human capital initiatives. The Office is responsible for developing, interpreting, and implementing personnel policies. The Office of the Director also administers and manages position and classification management actions. Residing within the Office of the Director, the Deputy Director oversees the day-to-day operations of the Division and implementation of the Division's strategic initiatives. Also in the Office of the Director are the HR Attorney Advisor and the Equal Employment Opportunity (EEO) Officer. The EEO Officer is responsible for the administration of the Courts' EEO program. This includes investigating, conciliating, and analyzing complaints. In addition, the EEO Officer is responsible for reporting staff diversity statistics, conducting EEO related training, and overseeing the Anti-Bullying policy and complaint process (5 positions).

The Office of Human Resources Strategic Planning is responsible for the administration of the Division's Strategic Plan, internal program analysis and continuous process improvement functions, workforce planning, and project management for various human resources related initiatives (3 positions).

The Benefits and Compensation Branch is responsible for the administration of the Federal benefit programs including health, life, and long-term care insurance programs; retirement programs; transportation subsidy; flexible spending accounts programs; and Workers' Compensation. The Branch also administers the Courts' voluntary dental and vision insurance program, and long and short term disability insurance programs and serves as Contract Administrator for the Courts' Health Unit and Employee Assistance Program. The Branch is responsible for payroll, time and attendance, new employee orientation, compensation studies and retirement and financial literacy training (7 positions).

The Talent Acquisition Branch is responsible for recruiting highly qualified talent for all competitive court positions. This includes performing job analyses; developing announcements, crediting plans and other performance and ability measurements; conducting computer testing for clerical and other positions; developing referral and recommendation panels; and making job offers. The Branch ensures that all selection measures are valid, job-related, fair, non-discriminatory, and compliant with federal and professional guidelines (7 positions).

The Performance and Employee Relations Unit is responsible for the strategic management and administration of the D.C. Courts' employee performance management and employee relations programs. Performance management involves using coaching, feedback, and basic management tools to maintain and improve individual performance of job duties and requirements. Employee Relations focuses on the employer-employee relationship and workplace conduct to ensure compliance with applicable laws, regulations, rules, and policies (3 positions).

The Human Resources Information Systems Unit is responsible for providing analytical support in the pursuit of maintaining and advancing the Human Resources Division's technical systems. This support involves ensuring quality and consistency of HR's electronic information; serving as liaison and providing HR-related technical support within the division and court-wide. In addition, this unit is responsible for assessing and making recommendations for technical enhancements to all HR functional areas. The unit is currently responsible for the implementation of the comprehensive integrated payroll and personnel system which will automate and improve HR processes. Post implementation, the unit will manage all HR information systems and provide support for courtwide access, processing, and training (2 positions).

Human Resources Accomplishments - FY 2013/2014

The Human Resources Division (HRD) implemented several initiatives outlined in the comprehensive Five-Year Human Resources Strategic Plan. The Plan is comprised of five strategic themes, including: Leading through Strategic Human Resources Management; Employee Engagement and Workplace Culture; Talent Acquisition and Development; Performance Management and Accountability; and Human Resources Competence and Compliance Management. Under the plan, the HRD accomplished the following:

- Developed HR Core Competencies for HR Assistants, Specialists, Managers, and Executives and Individual Career Development Plans to address competency skills gaps.

- Instituted the new Applicant Tracking System as a part of the overall Human Resources Information System (HRIS). All recruitments are now developed through the Monster and announced on USAJOBS. To date, HRD has processed close to 8,500 applications from individuals nationwide. This new system has enabled the Courts to have a much wider visibility beyond the Washington metropolitan area and attract an increasingly diverse and highly qualified applicant pool.
- Trained Courts' division directors, managers, and supervisors on the applicant tracking system. HRD staff has also developed training manuals and instructional videos to help all staff who will be using the system as Subject Matter Experts learn how the system can best assist them in choosing highly qualified candidates to fill their positions.
- Conducted an in-depth review of the D.C. Courts' Comprehensive Personnel Policy manual to identify potential inconsistencies and proposed solutions to ensure the new human resources information and payroll systems from the Department of Interior integrate with D.C. Courts policy and operations.
- Developed training and desk guides and provided support to staff for accurately inputting data into current HR systems to ensure seamless transition of employee data post-implementation of the new HRIS.
- Revised and developed organization codes in alignment with labor cost codes to strengthen payroll accountability and internal control over creating, assigning, and updating these codes to improve communication and management between the Human Resource Division and the Budget & Finance Division.
- Coordinated with D.C. Courts' Information Technology Division and the Department of Interior to develop, configure and customize the HRIS platform for the seamless migration of data and business processes for HR and payroll operations.
- Conducted Time and Attendance system development and training assessments to ensure development of business processes and employee acceptance of new technology for entering and approving time and attendance.
- Conducted data crosswalks, identified data migration risks, and developed solutions for a successful migration of data into the newly-acquired human resources information system.
- Led the D.C. Courts' Flexplace Pilot Project, initiated in May 2014 to determine whether telework can advance strategic objectives for employee engagement and public service.
- Trained supervisors and managers and provided individual consultations on performance management principles, best practices, and the performance management process. To date, leaders and managers in every area of the D.C. Courts have been briefed and/or trained on effective performance management.

- Currently updating the D.C. Courts’ “Corrective Action Guidebook” to assist supervisors and managers in effectively managing employee relations issues. In addition to the Guidebook, supervisor training on Leave and Time and Attendance will be offered in 2014.
- Assumed the responsibility of all HR functions for the D.C. Court of Appeals. These new responsibilities include Benefits, Payroll, Staffing, and Performance Management.
- Conducted Financial Literacy and Retirement Seminars that complied with the “Thrift Savings Plan Open Elections Act of 2004 (Public Law 108-469)” that requires agencies to develop and implement retirement, financial literacy, and education strategies for employees. During this program, employees are educated on the need for retirement savings and investment and provided information on how to plan for retirement.
- Prepared for July 2014 introduction of Disability FLEX, a non-occupational Short Term Disability plan that pays a weekly benefit to employees if they cannot work because of a disabling illness or injury.

Division MAP Objectives

Several of the Division MAP Objectives follow:

- Support efficient operations by performing targeted HR activities within established timeframes and/or in accordance with Standard Operating Procedures.
- Maximize staff productivity and applicant convenience by implementing and administering an automated talent acquisition and applicant tracking system.
- Ensure a diverse workplace reflective of the community it serves by conducting audits of recruiting, hiring, retention, promotion practices, and demographics throughout the D.C. Courts.
- Maximize staff productivity and increase employee knowledge of and access to their benefits through electronic access to personal information and records.
- Ensure a strong workforce by enhancing the quality of the Court’s Performance Management Program by conducting data analyses and presenting recommendations to address consistency in application and perceptions of fairness of the program.
- Ensure a strong future workforce by collaborating with the Center for Education and Training to develop an action plan for succession planning program implementation.

Divisional Restructuring and /or Work Process Design

As a result of stakeholder focus group sessions, *Employee Viewpoint Survey* findings, analysis of best practices in human resources management, and emerging demographics and trends in the

workplace, the Human Resources Division developed a challenging and comprehensive Five-Year Human Resources Strategic Plan (HRSP). The Plan is comprised of five strategic themes: Leading through Strategic Human Resources Management; Employee Engagement and Workplace Culture; Talent Acquisition and Development; Performance Management and Accountability; and Human Resources Competence and Compliance Management. Key to all *HRSP* goals and objectives is the explicit link between the *HRSP* and the Courts' strategic plan.

Employment of strategic human resources management has required the Division to reorganize its internal workforce structure, improve its processes and procedures, and leverage new technology to proactively manage people, forecast and plan ways for the Courts better to meet the needs of its employees, while simultaneously preparing employees better to meet the needs of the Courts and their customers.

Workload Data

During FY 2013, the Human Resources Division processed 96 Family Medical Leave Act requests, 15 Workers' Compensation claims, and approximately 1,964 employment applications. The HRD staff is projected to process over 6,000 electronically filed employment applications in FY 2014. Over 8,000 individual employee benefit consultations were conducted via telephone and walk-ins and 9 benefit workshops, seminars, fairs, etc. Approximately 824 Performance Evaluations were received and processed for FY 2013. To date, 12 training courses on performance management to approximately 120 supervisors and managers have been conducted and approximately 59 performance management consultations and briefings have been held.

Table 1
HUMAN RESOURCES DIVISION
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2013		FY 2014		FY 2015		FY 2016	
			Goal	Actual	Goal	Estimate	Goal	Projection	Goal	Projection
Output	# of employees attending benefit seminars, retirement workshops, Wellness fairs, etc.	Registration & attendance documents	600	600	600	650	700	700	750	750
Output	# of employees attending Performance Management Training and Briefing	Registration & attendance documents	100	118	100	170	250	250	300	300
Output	Process Performance Evaluations	Rec'd Evals	800	824	824	900	900	900	900	900
Output	# of employees with access to eOPF application	HR Data Reports	1,300	1,300	1,300	1,300	1,300	1,300	1,300	1,300
Output	# of electronically filed applications	ATS/TAB Logs	1,000	1,964	5,000	6,242	6,000	6,000	6,000	6,000

FY 2016 Request

In FY 2016, the Courts request \$3,722,000 for the Human Resources Division, an increase of \$93,000 (3%) above the FY 2015 Enacted Level. The increase consists entirely of built-in cost increases.

Table 2
HUMAN RESOURCES DIVISION
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	2,771,000	2,819,000	2,889,000	70,000
12 - Personnel Benefits	768,000	787,000	807,000	20,000
Subtotal Personal Services	3,539,000	3,606,000	3,696,000	90,000
21 - Travel, Transp. of Persons	7,000	8,000	9,000	1,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	7,000	8,000	9,000	1,000
31 - Equipment	6,000	7,000	8,000	1,000
Subtotal Nonpersonal Services	20,000	23,000	26,000	3,000
TOTAL	3,559,000	3,629,000	3,722,000	93,000
FTE	27	27	27	0

Table 3
HUMAN RESOURCES DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Position WIG	27	42,000	
	Current Position COLA		28,000	
<i>Subtotal 11</i>				<i>70,000</i>
12 - Personnel Benefits	Current Position WIG		12,000	
	Current Position COLA		8,000	
<i>Subtotal 12</i>				<i>20,000</i>
Subtotal Personal Services				90,000
21 - Travel, Transp. of Persons	Built-in Increases			1,000
22 - Transportation of Things	Built-in Increases			
23 - Rent, Commun. & Utilities	Built-in Increases			
24 - Printing & Reproduction	Built-in Increases			
25 - Other Service	Built-in Increases			
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Subtotal Nonpersonal Services				3,000
Total				93,000

Table 4

HUMAN RESOURCES DIVISION
Detail of Full-Time Equivalent Employment

	2014 Enacted	2015 Enacted	2016 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9	5	5	5
JS-10			
JS-11			
JS-12	6	6	6
JS-13	7	7	7
JS-14	6	6	6
JS-15	2	2	2
CEMS			
CES	1	1	1
Total Salary	2,771,000	2,819,000	2,889,000
Total FTEs	27	27	27

DISTRICT OF COLUMBIA COURT SYSTEM INFORMATION TECHNOLOGY DIVISION

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
63	11,123,000	63	11,314,000	65	11,689,000	2	375,000

The Information Technology (IT) Division acquires, develops, implements, administers, and secures the D.C. Courts' information and technology systems. Its responsibilities are carried out under the direction of the Chief Information Officer by a program management office and quality assurance and operations branches that develop applications, administer computer networks, administer databases and applications, oversee information security, provide customer service support to end users, and ensure continuity of operations.

Mission Statement

The mission of the Information Technology Division is to provide quality services, cost-effective technology solutions, and accessible information to assist judicial and administrative decision-making and timely case resolution.

Vision Statement

To achieve its mission, the Information Technology Division will be leaders in innovation, partners in service, and contributors to justice.

Introduction

The Information Technology Division delivers information systems services and support to all other court divisions. Some of the Division's major services include:

- Designing, developing, implementing, and maintaining information systems to enable case processing for the D.C. Courts' divisions.
- Supporting the D.C. Courts' jury management, case management, financial/payroll management, procurement management, and human resources management through automation of business processes.
- Enabling computer-based data exchange among District of Columbia criminal and juvenile justice agencies.
- Managing court-wide, computer-based office automation and Internet connectivity through a wide-area network.
- Maintaining and supporting web-based and client/server information systems.
- Identifying new technologies to assist the continuous improvement of the Courts' operations.

- Overseeing the D.C. Courts' Integrated Justice Information System (IJIS) and case management workflow improvements.
- Maintaining and supporting courtroom and enterprise-wide audio and video applications.
- Managing and supporting the Courts' website, intranet, and Internet applications.

The Information Technology Division assists business process improvement through the automation of workflow, knowledge sharing through the use of the intranet, and strategic management through the information technology architecture.

Organizational Background

The Information Technology Division has seven primary responsibilities in support of court operations:

- *General Workstation and End-User Support* consists of selecting, configuring, ordering, implementing, and maintaining desktop and portable computers, software, and all peripherals that support the Courts' end-user community.
- *Servers and Group Services Support* consists of server management, operating system maintenance, optimization of servers that deliver the court-wide applications and data storage repository services that host the Courts' critical case data. Additional areas include maintaining and monitoring e-mail, calendaring, mass data storage, web hosting, database hosting, streaming video services, and backup services throughout the Courts' campus.
- *Courts' Case Management Applications Support* involves the daily tasks associated with court case management systems. User access is managed, notices and calendars are printed, judicial proceedings are recorded, and management reports are produced.
- *Other Office Automation Support and Development* require the provision of automation tools, hardware and software, networks, servers and gateways, database administration, application development, training, and assistance for all judicial and non-judicial staff.
- *Information Exchange* consists of providing automated information tools, such as the Internet and specialized research services; tools providing data exchange with other justice agencies; and tools to disseminate court information to the public through reports, public use terminals, kiosks, and the Internet.
- *Information Security* involves the daily tasks of protecting the Courts' information and information systems from unauthorized access, use, disclosure, disruption, modification, or destruction.
- *Courtroom Technology* enhances the legal process through the use of electronic equipment, electronic documentation display, enhanced sound systems, integrated audio, multimedia presentations, teleconferencing, video evidence presentation, video recordings, and videoconferencing.

Operational Effectiveness

To improve its operational effectiveness, the IT Division manages all major IT operations and projects following industry best practices, including the Software Engineering Institute's Capability Maturity Model – Integration (CMMI) Level Two (ML-2) guidelines, and the Information Technology Infrastructure Library (ITIL v3) methodology.

A new five-year IT strategic plan (FY2013-FY2017) has been rolled out to support the D.C. Courts' mission. This strategic plan serves as a valuable management tool and an effective communication vehicle. The IT Division will use this plan to guide budget planning, prioritize initiatives, control execution, and communicate with the IT Division and its customers and stakeholders in the next five years.

Governing these complex initiatives, the IT Division's policies and initiatives are approved through an IT Steering Committee with the participation of the Courts' judiciary and senior management. The IT Steering Committee provides general reviews of major IT projects and policies regarding business alignment, effective IT strategic planning and oversight of IT performance.

The IT Enterprise Architecture Board (EAB) consists of a cross-section of technology experts who assess, evaluate, and recommend new technologies that will meet the D.C. Courts' current and future needs and that will result in measurable return on investments. The EAB complements the Information Technology Steering Committee (ITSC) by providing advice in establishing technology standards, planning IT investments, and evaluating new technologies.

The IT Change Control Board (CCB) consists of a cross-section of IT Division professionals who assess, evaluate, and recommend a course of action (i.e. approval or rejection) for requested changes to the configuration of the Courts' production information systems. The CCB operates with the goal of maintaining the quality of service provided to the Courts' end users, adhering to the Courts' IT architecture, and maximizing the interoperability, reliability, availability, and security of the Courts' information systems. The CCB operates within the parameters set by the Courts' policies for Information Technology Management and directives supporting the implementation and effectiveness of these policies.

Recent Achievements and Highlights

1. Case Management and Jury Management Software Implementation

- Implemented the CourtView OnBase Document Management and Workflow System in mid-October 2013

The OnBase Document Management System (DMS) replaced the unsupported legacy VisiFlow DMS. The OnBase DMS manages all scanned and electronically-consumed documents. Over 10 million existing images were converted to a new imaging system format and integrated within the existing CourtView case management system allowing end-users to view and scan images associated with cases throughout the Superior Court. Although the

previous VisiFlow DMS provided similar functionality, the OnBase platform is an enterprise solution requiring a complex security configuration based on Court-defined rules and procedures.

Utilizing the OnBase DMS platform, the Court has designed and implemented a sophisticated rules-based document routing workflow process for the Probate Court. Expanding on the capabilities previously implemented using the VisiFlow DMS platform, this workflow allows the Probate Division to process the majority of its electronic filings prior to submitting recommendations to judicial officers. Judicial officers and staff work within electronic queues to review, approve, and if necessary create orders associated with Probate cases. Probate personnel are able to monitor workflow assignments as well as collect statistics to inform Court reporting and performance initiatives.

- Implemented a Jury Management System (JMS) Payment Card Interface in May 2014.

The Superior Court Jurors Office is replacing their existing ATM machine with pre-ordered payment cards that will allow Jurors to be paid Jury fees that are preloaded with the amount owed. All the payments due to the jurors are now processed within the JMS and transmitted to JP Morgan Chase (JPMC) through a secured FTP protocol. The Jurors Office sends a file to JPMC daily containing the number of cards and amounts to be paid. The Jurors collect their payments using any bank's ATM machine.

2. Software Applications for Business Processes Automation and Productivity

- Implemented a Grant Management System (GMS) in May 2014

As a primary functional area, the Strategic Management Division (SMD) provides oversight of all grant-related activity at the Courts and coordinates grant activities, including grant development, monitoring, and administration. The GMS is a web-based tool developed by in-house IT staff to facilitate the tracking and monitoring of all grant-related activity. The GMS is composed of three major modules: a Grant seeking (Prospect) module that initiates the grant process and lists funding opportunity announcements disseminated to court officials and judicial officers based on the Courts' strategic plan and operational program areas; a Proposal Development (Proposal) module that records application development activities and any pre-award requirements; and a Grant Award Monitoring (Grant) module that tracks the progression of grants through the post-award process, including compliance with grant requirements, modifications and special conditions. The GMS also generates routine status and performance reports based on court-wide grant related activities.

- Implemented a Panel Selection System in May 2014

The Criminal Justice Act (CJA) Panel Implementation Committee received 345 applications from attorneys seeking to be members of the CJA Panel. Under the Committee procedures, the attorneys were to be evaluated by the entire bench. The previous evaluation forms were not user friendly and did not collect all of the information required by the Committee. The IT staff developed, tested, and implemented an evaluation form for the Committee to

incorporate essential information from the application forms. Court staff incorporated photos of each applicant enabling judges to provide recommendations about panel membership for each applicant. Recommendations were ranked by the following criteria: (strong recommendation in favor, recommendation in favor, recommendation against, and strong recommendation against). The system enables Judges to provide opinions about the case level that each applicant was capable of handling (felony 1, felony 2, misdemeanors, and no appointments) and to provide additional comments about the applicants.

Base-lining the work done on the CJA Panel, the IT staff re-used the components efficiently and effectively to design, develop and deploy a robust application for all other panels that will go into application, evaluation, and selection process in the next few months.

- Implemented Transcript Transaction System Enhancements in February 2014

The Transcript Tracking System (TTS) is a web-based application that tracks orders for transcripts of court proceedings from submission, to transcript production, to receipt by ordering parties. The IT in-house staff developed an automated payment tracking functionality in the TTS which works as an interface between TTS and the Courts' financial system. This enhancement provides the Courts a mechanism for receipting, accounting, and reporting non-appropriated funds that are collected.

- Developed a new Web Voucher System (WVS) in May 2014 - Scheduled for production in September 2014

The goal and scope of this project is to integrate processing of payment vouchers issued by several different court divisions by integrating several disparate implementations of the same programming code set, enhancing usability, and providing a voucher system that affords easy access to financial information for all stakeholders. IT staff have been successful in the design and development of a robust workflow engine that helps integrate various organizational levels and roles. The Court IT staff has implemented a state-of-the-art service/ Enterprise Java Beans (EJB) layer that helps to decouple business logic and data. A robust and scalable web services layer has been designed and developed to help serve the consumer and provide a framework for future support of mobile applications.

- Implemented an E-lobby for Marriage Bureau of the Family Court Operations Division in May 2014

The E-lobby application provides an electronic sign-in capability for the general public who are visiting a court office. Originally deployed in the Probate Division Legal Branch, E-lobby is currently being customized and redeployed for use in other Court divisions. E-lobby was implemented in the Marriage Bureau of the Family Court Operations Division in May 2014 to provide better service to the public.

- Implemented Various Enterprise-wide Reports and Dashboards Using the Business Intelligence (BI) Platform in May 2014

Superior Court-wide Motion Tracking Reports with automated notifications were implemented in November 2013. Performance Measure Reports for the Domestic Violence, Family, and Tax Divisions were greatly enhanced in early 2014. Caseload Reports for the Civil and Family Divisions were implemented in May 2014. Caseload Reports for the Criminal Division were scheduled to go live in June 2014. The IT staff completed Divisional Dashboards for the Criminal and Civil Divisions. Dashboards for the Domestic Violence Unit and Crime Victims Compensation Program are scheduled for implementation no later than July 2014. Additionally, the IT staff automated the Probate Division Dashboard to populate the Key Performance Indicators with actual data in April 2014.

3. IT Security and Compliance

- Enhanced Virtual Private Network (VPN) Infrastructure in April 2014

To increase security of remote employee access to the Courts' networks, the IT staff implemented the Duo Security software application in early 2014. This security software product provides a two-factor authentication solution for VPN connectivity and ensures validation of the identity of the Court's remote users. The remote users are required to use both network login credentials and a security PIN that is generated dynamically on their mobile devices for authentication. Additionally, the VPN platform is configured to conduct a posture assessment of any remote PC before connecting to the Courts' network. The posture assessment scan checks for the latest service pack of approved operating systems and updated anti-virus software signatures within a seven day time period.

- Replacement of a content filter on the Wireless Network Infrastructure in November 2013

The IT staff upgraded the Courts' legacy content filtering appliance for the wireless network to a more effective Cisco Web Security Appliance (WSA). The new content filtering appliance prevents users from accessing malware and unauthorized sites.

- Conducted an Internal Audit in March 2014

To enhance our information security posture and minimize security risks, the IT Division conducted an internal system accounts audit for ActiveDirectory and other applications by comparing all active employees with current system accounts. Findings were documented and security risks were mitigated.

- Developed Four Additional Information Security Directives in April 2014

Revised the D.C. Courts' Information Security Directive in accordance with the guidelines contained in the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-18 Rev.1, Guide for Developing Security Plans for Information Technology Systems, and applicable risk mitigation guidance and standards. The D.C. Courts' IT Security Directives consist of the following 15 directives: Acceptable Encryption Directive, Acceptable Use Directive (which has been signed by each employee and contractor of the Courts authorized to access the Courts' computer systems), Audit Directive, Information

Sensitivity Directive, Password Directive, Patch Management Directive, Physical Access Directive, Removable Media Directive, Security Awareness Training Directive, Security Incident Response Directive, Segregation of Duties Directive, User Access Control Directive, Virtual Private Network Access Directive, Vulnerability Assessment Directive, and Wireless Communication Directive.

The purpose of the Information Security Directive is to protect physical and IT assets, to provide guidance to employees on best practices in keeping computer systems safe, to provide IT professionals the authority to safeguard the Courts' assets and to increase awareness of security threats and vulnerabilities.

- Launched the FY 2014 IT Security Awareness Training Program in July 2014

The D.C. Courts' IT Security Awareness Training Program for FY 2014 consists of an in-house developed webinar by the IT Division and the Center for Education & Training Division. This training program includes a mandatory 10-question quiz.

4. IT Infrastructure Upgrade

- VoIP (Voice Over Internet Protocol) Expansion

Efforts are underway to expand the D.C. Courts' VoIP technology, which transmits phone calls over the Internet, to the Historic Courthouse, Building A, Building B, the sixth floor of Moultrie, and the fifth floor of Gallery Place. VoIP has numerous benefits, including the portability of phone calls, reduced capital costs, decreased telecommunications costs, and simplified administration efforts. The expected completion date for all locations except for the fifth floor of Gallery Place is August 30, 2014.

- Upgraded the Disaster Recovery (DR) Site Equipment in March 2014

The enterprise storage system at the Courts' DR site was successfully upgraded in early 2014. Since March 2014, all data from the Courts' main data center (in Building C) was—and continues to be—replicated/synchronized. In addition, efforts are underway to upgrade hardware in the existing DR servers. Upgrading the existing equipment in lieu of purchasing new servers will result in measurable cost savings and continue to meet the Courts' IT disaster recovery objectives. The target completion date for this upgrade is September 30, 2014.

In addition, efforts are underway to procure greater enterprise storage capacity to add to the existing system and to accommodate automated, off-site backups of CourtSmart's audio data. The target completion date is September 30, 2014.

- Completed Active Directory Cleanup and Implemented Active Administrator in June 2014

The IT Division is in the process of deleting all disabled objects from the Active Directory (AD) management console to comply with IT Security Directives. The IT staff has

developed a more efficiently managed AD Divisional structure that enables better interfacing within the current production systems. The server team has also implemented a Dell Active Administer tool that provides AD audit capabilities. This tool will provide more effective management of Active Directory accounts and allow for reporting to management any attempted security breaches from within the Court enterprise. The Active Administrator tool will also be utilized to create reports for the Courts' financial auditors.

IT Strategic Goals and Objectives

The IT Division released a new five-year IT Strategic Plan 2013-2017 in December 2012. The Plan aligns IT priorities with the Courts' strategic goals and defines how we will achieve our goals of fair and timely case resolution, access to justice, a strong judiciary and workforce, a sound infrastructure, and public trust and confidence in the courts. The goals follow: 1) Provide Customer-Focused Service; 2) Deliver Enterprise Business Solutions; 3) Enhance Technological Capabilities; 4) Secure Courts' Information and IT Investments from External and Internal Threats; and 5) Attract, Recruit and Retain a Skilled Workforce.

Performance Indicators

Table 1, IT Metrics, shows the Division's "readiness" to meet the strategic goals. Table 2 contains detailed information on performance measurements that have been developed to assess the accomplishment of IT strategic goals and objectives.

Table 1: IT Metrics

A. IT Division Management Action Plan for FY 2014 for Q2		
Goal and MAP to Complete the Goal	Progress	Rating
<p>Goal 1: Fair and Timely Case Resolution</p> <p>MAP 1: Support the Courts' flexwork initiative and enhance IT customer support by implementing an enterprise Chat tool</p> <p>MAP 2: Adopt ITIL v3 best practices by acquiring ITIL lifecycle certifications for managerial staff and preparing a SOW for the implementation</p> <p>MAP 3: Continuously provide timely and high quality issue resolution to all Courts' customers</p> <p>MAP 4: Employ technologies that optimize operations while reducing costs by implementing end-user computing solutions for the Courts' employees and by initiating a pilot to provide a certification program for attorneys and court staff in the utilization of multimedia equipment used in the courtrooms</p> <p>MAP 5: Employ technologies that optimize operations while reducing costs by implementing eFax and Printing Management solutions</p> <p>MAP 6: Provide technological solutions to streamlining and automating business processes by implementing web-based solutions</p> <p>MAP 7: Enhance technologies to reduce long-term maintenance costs by implementing architectural redesign of the Web Voucher System and Web Transcript Tracking System</p>		
<p>Goal 2: Access to Justice</p> <p>MAP 8: Enhance access to justice by implementing Court of Appeals eFiling and Public Access</p> <p>MAP 9: Enhance access to justice by expanding Superior Court's eFiling capability to case initiation</p> <p>MAP 10: Continuously enhance and modernize Superior Court's Case Management System by implementing OnBase workflows and documenting business requirements to meet current and future needs</p> <p>MAP 11: Provide accurate, timely and useful information to judicial officers, court personnel and other court participants by expanding Business Intelligence to all business units</p>		
<p>Goal 3: A Strong Judiciary and Workforce</p> <p>MAP 12: Advise on and support the functional business units in moving non-case processing core-mission systems to the Federal LoB SSCs and other approved providers</p> <p>MAP 13: Enhance access to justice by implementing mobile applications</p> <p>MAP 14: Employ new technologies to reduce Court cost, increase employee productivity and provide better access to justice by installing Radvision multipoint control unit and Scopia Desktop</p> <p>MAP 15: Rollout VoIP to Building A, B, D and Moultrie 6th floor</p> <p>MAP 16: Support the Courts' mission, and maximize staff productivity by ensuring the availability, reliability, and optimal performance of production systems</p> <p>MAP 17: Establish state-of-the-art data centers by migrating all business services to the new data center (Building C) and by refreshing infrastructure technologies in DCCA data center (Building D)</p>		
<p>Goal 4: A Sound Infrastructure</p> <p>MAP 18: Implement safeguards and provide IT security awareness training program to prevent attacks on IT assets and operations</p> <p>MAP 19: Continuously validate disaster recovery and high-availability capabilities</p>		

Table 2: FY 2014 Performance Measurements

The performance scorecard displays the goals for the IT Division and the MAP (strategy) that the IT Division has developed to complete these goals. The progress scale displays the quarterly progress as an average of each performance target's current completion or success rate. The rating graphic is designed to display the overall performance of the strategy with regard to completion of the overall strategic goal. The rating may appear as red, yellow, or green based on progress and overall performance of the ongoing strategy. Below, are the defined metrics that have been aligned to meet the overall strategy for meeting the IT strategic goals. Each goal has a performance target to be met by the end of FY 2014, and current performance is relative to the date at the top of this scorecard.					
MAP 1: Support the Courts' flexwork initiative and enhance IT customer support by implementing an enterprise Chat tool	Target Goal	Q1	Q2	% Complete	Notes
# of users utilizing chat daily	20	0%	10	50%	Qn/20 = %goal in index
# of business processes built / augmented to utilize chat	5	0%	0%	0%	Qn/5 = %goal in index
Total Composite Index:		0%	50%	25%	(50/200)
MAP 2: Adopt ITIL v3 best practices by acquiring ITIL lifecycle certifications for managerial staff and preparing a SOW for the implementation	Target Goal	Q1	Q2	% Complete	Notes
% of IT managerial staff ITIL certified	80%	6/12	8/12	94%	Q%/80 = %goal in index
% of SOW developed for ITIL implementation	100%	NA	NA		
Total Composite Index:		63%	94%	94%	
MAP 3: Continuously provide timely and high quality issue resolution to all Courts' customers	Target Goal	Q1	Q2	% Complete	Notes
% of customer satisfaction with IT overall services	80%	85%	85%	50%	Recurring = (Qn/80)/4 + previous
% of customer satisfaction with IT overall products	80%	85%	85%	50%	Recurring = (Qn/80)/4 + previous
% of calls answered	90%	94%	91%	50%	Recurring = (Qn/80)/4 + previous
% of tickets resolved within SLAs	90%	90%	90%	50%	Recurring = (Qn/80)/4 + previous
Total Composite Index:		25%	50%	50%	(200/400)
MAP 4: Employ technologies that optimize operations while reducing costs by implementing an end-user computing solutions for the Courts' employees and by initiating a pilot to provide a certification program for attorneys and court staff in the utilization of multimedia equipment used in the courtrooms	Target Goal	Q1	Q2	% Complete	Notes
% of solution design complete	90%	0%	50%	56%	Q%/90 = %goal in index
# of stakeholder buy-in and/or approval sessions held	4	0%	2	50%	Qn/4 = %goal in index
# of Courtroom Clerks, Legal Assistants and other staff trained.	10	0	2	20%	Qn/10 = %goal in index
# of attorneys trained	10	0	3	30%	Qn/10 = %goal in index
Total Composite Index:		0%	39%	39%	(156/400)
MAP 5: Employ technologies that optimize operations while reducing costs by implementing eFax and Printing Management solutions	Target Goal	Q1	Q2	% Complete	Notes
% of eFax solution implemented	100%	0%	0%	0%	
% of Printing Management solution implemented	100%	0%	0%	0%	
Total Composite Index:		0%	0%	0%	(0/200)
MAP 6: Provide technological solutions to streamlining and automating business processes by implementing web-based solutions	Target Goal	Q1	Q2	% Complete	Notes
% of Web Interpreter System implemented	100%	0%	0%	0%	
% of Web Panel Selection System implemented	100%	0%	90%	90%	
% of customer satisfaction with delivered solutions	90%	NA	NA	NA	Q%/90 = %goal in index
Total Composite Index:		0%	45%	45%	(90/200)

MAP 7: Enhance technologies to reduce long-term maintenance costs by implementing architectural redesign of the Web Voucher System and Web Transcript Tracking System	Target Goal	Q1	Q2	% Complete	Notes
% of the new Web Voucher System implemented	90%	0%	75%	83%	Q%/90 = %goal in index
% of the new Web Transcript Tracking System implemented	100%	0%	75%	75%	
% of customer satisfaction with delivered solutions	90%	NA	NA	NA	Q%/90 = %goal in index
Total Composite Index		0%	79%	79%	(158/200)
Total Goal 1 Index:		27%	53%	53%	(898/1700)
MAP 8: Enhance access to justice by implementing Court of Appeals eFiling and Public Access	Target Goal	Q1	Q2	% Complete	Notes
% of Court of Appeals eFiling and Public Access solution completed	90%	NA	NA	NA	Q%/90 = %goal in index
Total Composite Index:		NA	NA	NA	NA
MAP 9: Enhance access to justice by expanding Superior Court's eFiling capability to case initiation	Target Goal	Q1	Q2	% Complete	Notes
# of business units where case initiation eFiling capability is implemented	1	0	0	0%	
Total Composite Index:		0%	0%	0%	
MAP 10: Continuously enhance and modernize Superior Court's Case Management System by implementing OnBase workflows and documenting business requirements to meet current and future needs	Target Goal	Q1	Q2	% Complete	Notes
# of new document workflows deployed	2	1	1	50%	
# of acquired CV 2 plug-ins implemented	2	0	0	0%	
# of requirements collection/JAD sessions with actionable outcomes held	6	0	1	17%	Qn/6 = %goal in index
% of customer satisfaction with delivered workflow solutions	90%	NA	NA	NA	Q%/90 = %goal in index
Total Composite Index:		0%	22%	22%	(67/300)
MAP 11: Provide accurate, timely and useful information to judicial officers, court personnel and other court participants by expanding Business Intelligence to all business units	Target Goal	Q1	Q2	% Complete	Notes
% of approved PM reports delivered exclusively by the BI solution	100%	90%	90%	90%	
# executive dashboards delivered	7	0	4	57%	Qn/7 = %goal in index
% of customer satisfaction with delivered solution	80%	NA	NA	NA	Q%/80 = %goal in index
# of court operating divisions accepting their corresponding subject areas into production use	3	0%	0%	0%	Qn/3 = %goal in index
Total Composite Index		30%	49%	49%	(147/300)
Total Goal 2 Index:		20%	31%	31%	(214/700)
MAP 13: Enhance access to justice by implementing mobile applications	Target Goal	Q1	Q2	% Complete	Notes
% of Mobile Apps SOW developed	100%	0%	0%	0%	
% of high level business requirements complete	100%	0%	0%	0%	
% of technical architecture complete	90%	0%	0%	0%	Q%/90 = %goal in index
Total Composite Index:		0%	0%	0%	(0/300)
MAP 14: Employ new technologies to reduce Court cost, increase employee productivity and provide better access to justice by installing Radvision multipoint control unit and Scopia Desktop	Target Goal	Q1	Q2	% Complete	Notes
% of video conference systems configured for IP video conferencing	100%	0%	5%	5%	
# of divisions using videoconferencing	6	0%	4	67%	Qn/6 = %goal in index
Pilot group trained to use video conferencing	100%	0%	0%	0%	
% of designated staff trained	100%	0%	0%	0%	
Total Composite Index:		0%	18%	18%	(72/400)
MAP 15: Rollout VoIP to Building A, B, D and Moultrie 6th floor	Target Goal	Q1	Q2	% Complete	Notes
% of buildings/floors to which VoIP has been deployed	100%	0%	0%	0%	
Total Composite Index:		0%	0%	0%	
MAP 16: Support the Courts' mission, and maximize staff productivity by ensuring the availability, reliability, and optimal performance of production systems	Target Goal	Q1	Q2	% Complete	Notes

% of uptime of case management related services	98%	95%	99%	49%	Recurring = (Qn/80)/4 + previous
% of uptime of non-case management related services	95%	85%	98%	47%	Recurring = (Qn/80)/4 + previous
% of uptime of messaging related services	98%	100%	99%	50%	Recurring = (Qn/80)/4 + previous
% of uptime of infrastructure	99%	100%	95%	49%	Recurring = (Qn/80)/4 + previous
Total Composite Index:		24%	25%	49%	(195/400)
MAP 17: Establish state-of-the-art data centers by migrating all business services to the new data center (Building C) and by refreshing infrastructure technologies in DCCA data center (Building D)	Target Goal	Q1	Q2	% Complete	Notes
% of business applications being migrated to the new infrastructure	100%	90%	99%	99%	
% of project closing actives complete	100%	0%	0%	0%	
Total Composite Index:		45%	50%	50%	(99/200)
Total Goal 3 Index:		33%	36%	36%	Average of individual items in Goal 3
MAP 18: Implement safeguards and provide IT security awareness training program to prevent attacks on IT assets and operations	Target Goal	Q1	Q2	% Complete	Notes
# of IT security directives completed	4	0%	0%	0%	Qn/4 = %goal in index
% of security vulnerability assessment SOW completed	100%	0%	100%	100%	
% of ActiveDirectory audit/assessment SOW completed	100%	0%	100%	100%	
% of internal ActiveDirectory user accounts audited	99%	0%	100%	100%	Q%/99 = %goal in index
# of courtwide IT security awareness training conducted	1	0%	0%	0%	
Total Composite Index:		0%	60%	60%	(300/500)
MAP 19: Continuously validate disaster recovery and high-availability capabilities	Target Goal	Q1	Q2	% Complete	Notes
% of mission critical systems DR and COOP plans tested according to the enterprise policy biannually	75%	0%	0%	0%	Q%/75 = %goal in index
% of CourtSmart equipment refresh technical design complete	100%	0%	0%	0%	
% of mission critical systems mirrored to the secondary site according to enterprise policy	100%	0%	0%	0%	
% of mission critical systems backed up to tape according to enterprise policy	100%	0%	99%	99%	
Total Composite Index:		0%	25%	0%	(0/400)
Total Goal 4 Index:		0%	44%	44%	Average of individual items in Goal 4

FY 2016 Request

In FY 2016, the Courts request \$11,689,000 for the Information Technology Division, an increase of \$375,000 (3%) above the FY 2015 Enacted Level. The request includes \$168,000 for 2 FTEs to support courtroom technology equipment and \$207,000 for built-in cost increases.

Multimedia Specialists, 2 FTEs (JS-11), \$168,000

Problem Statement. To enhance court proceedings and better serve the needs of jurors, attorneys, and judicial officers, the Courts are investing in courtroom technology required for modern case presentation. As courtrooms undergo renovation, state-of-the-art equipment is being installed to facilitate presentation of evidence and other case-related information. For example, video monitors, DVD players and other professional presentation equipment make it easier for jurors to see and understand the evidence in a case. According to surveys of jurors in our first high-tech courtroom, PowerPoint presentations of juror instructions help them understand the legal issues they must consider during case deliberations. Technology equipped

courtrooms eliminate the need for attorneys to bring their own equipment to the courthouse, a cumbersome and inefficient process as well as a potential security risk. The Information Technology Division is responsible for maintaining and operating all audiovisual and courtroom technology equipment. With an increased number of better-equipped courtrooms, greater usage of such equipment during proceedings, and more service requests, the IT Division lacks adequate personnel and expertise to meet these demands. To make optimal use of the equipment in the courtroom, the IT Division is in need of two Multimedia Specialists.

Relationship to Court Mission, Vision and Strategic Goals. The hiring of two Multimedia Specialists will help the D.C. Courts meet Strategic Goal 1, Fair and Timely Case Resolution, particularly Goal B.4 to enhance case resolution by leveraging technology, and Goal 4, A Sound Infrastructure, by using technology to enhance case management and information sharing.

Relationship to Divisional Objectives. The core function of the D.C. Courts' IT Division is to provide computing capabilities critical to the administration of justice. Hiring two Multimedia Specialists will allow the IT Division to meet three of its strategic goals, which are to:

- Devise and provide a means of developing, coordinating and implementing courtroom technology and its usage to improve and streamline court management and operation in a multi-site environment.
- Maximize staff productivity by providing up-to-date, stable, and reliable technology
- Continuously improve customer support for a multi-location and multi-platform environment.

Expenditure Plan. Two employees at the JS-11 level will be hired in accordance with court personnel policies.

Performance Indicators. Success of the initiative will be measured by the utilization, stability, and reliability of the courtroom technology equipment, as well as customer satisfaction with the equipment and technical support services.

Table 3
INFORMATION TECHNOLOGY DIVISION
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Costs
Multimedia Specialist	JS-11	2	129,000	39,000	168,000

Table 4
INFORMATION TECHNOLOGY DIVISION
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	6,582,000	6,688,000	6,934,000	246,000
12 - Personnel Benefits	1,840,000	1,872,000	1,946,000	74,000
<i>Subtotal Personal Services</i>	<i>8,422,000</i>	<i>8,560,000</i>	<i>8,880,000</i>	<i>321,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	418,000	426,000	435,000	9,000
24 - Printing & Reproduction				
25 - Other Services	1,716,000	1,749,000	1,783,000	34,000
26 - Supplies & Materials	164,000	168,000	172,000	4,000
31 - Equipment	403,000	411,000	419,000	8,000
<i>Subtotal Nonpersonal Services</i>	<i>2,701,000</i>	<i>2,754,000</i>	<i>2,809,000</i>	<i>55,000</i>
TOTAL	11,123,000	11,314,000	11,689,000	375,000
FTE	63	63	65	2

Table 5
INFORMATION TECHNOLOGY DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Position WIG	63	50,000	
	Current Position COLA		67,000	
	Multimedia Specialist	2	129,000	
<i>Subtotal 11</i>				<i>246,000</i>
12 - Personnel Benefits	Current Position WIG		16,000	
	Current Position COLA		19,000	
	Multimedia Specialist		39,000	
<i>Subtotal 12</i>				<i>74,000</i>
<i>Subtotal Personal Services</i>				<i>320,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Comm. & Utilities	Built-in Increases			9,000
24 - Printing & Reproduction				
25 - Other Service	Built-in Increases			34,000
26 - Supplies & Materials	Built-in Increases			4,000
31 - Equipment	Built-in Increases			8,000
<i>Subtotal Nonpersonal Services</i>				<i>55,000</i>
Total				375,000

Table 6
INFORMATION TECHNOLOGY DIVISION
Detail of Full-Time Equivalent Employment

	2014 Enacted	2015 Enacted	2016 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	8	8	8
JS-9	2	2	2
JS-10	2	2	2
JS-11	2	2	4
JS-12	1	1	1
JS-13	36	36	36
JS-14	8	8	8
JS-15	1	1	1
CEMS	2	2	2
CES	1	1	1
Total Salary	\$6,582,000	\$6,688,000	\$6,934,000
Total FTEs	63	63	65

**DISTRICT OF COLUMBIA COURT SYSTEM
OFFICE OF THE GENERAL COUNSEL**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
4	645,000	4	663,000	4	674,000	0	11,000

Mission and Organizational Background

The Office of the General Counsel performs a broad spectrum of advisory legal functions, including analysis of pending legislation, drafting proposed legislation, contract and inter-agency agreement review, legal research, and policy interpretation. The Office is charged with protecting the statutorily confidential records of the D.C. Courts from improper and unnecessary disclosure. Staff serves as legal advisor to the Superior Court's Rules Committee, various Division advisory committees, and the Board of Judges on all matters concerning revision of the Superior Court's rules. Office employees serve, as assigned by the management of the D.C. Courts, on a number of other committees in a legal advisory capacity. In addition, the Office assists trial counsel (the Office of the Attorney General for the District of Columbia) in the preparation of materials and advice on legal proceedings involving the Courts or matters in which the Courts have an interest. The ability to meet the changing needs of the Courts for legal advice and related services is the top expectation of the Division's principal stakeholders (management of the Courts) and as such is the most important priority of the Office.

Objectives and Key Performance Indicators

The Office's objectives are (1) the provision of timely and accurate legal advice, accurate analysis and drafting of memoranda of law, pending or proposed legislation, memoranda of understanding, policies and contracts, (2) the provision of legal and administrative support for the drafting, approval, and promulgation of the rules of the Superior Court and their prompt dissemination to the Bar and the general public, and (3) the provision of responsive legal advice and assistance to court managers and employees in cases where such personnel are subpoenaed to testify or provide documentation as to court-related matters. Performance indicators consist of the provision of timely and accurate oral and written legal advice and related services.

Relationship to Courtwide Strategic Goals

The Office's timely and accurate provision of legal advice and related services accomplish the Courts' goal of promoting public trust and confidence in the judicial system by ensuring that: (a) court rules and procedures are promptly inaugurated or amended, (b) proposed legislation and court policy are drafted, (c) court management receives effective representation in administrative hearings involving employee discipline, (d) the Courts' interests are protected in contractual agreements, (e) statutory confidentiality of court records and proceedings is preserved, (f) employment and pay issues involving legal questions are fairly and swiftly resolved, (g) limited funds available to compensate investigators for indigent criminal defendants are protected from fraudulent claims, and (h) liaison contacts are established and maintained with the

Government Accountability Office, Department of the Treasury, General Services Administration, and the Office of the Attorney General of the District of Columbia on legal matters affecting the administration of the D.C. Courts.

FY 2016 Request

In FY 2016, the Courts request \$674,000 for the Office of the General Counsel, an increase of \$11,000 (2%) above the FY 2015 Enacted Level. The requested increase consists entirely of built-in cost increases.

Table 1
OFFICE OF THE GENERAL COUNSEL
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	496,000	508,000	516,000	8,000
12 - Personnel Benefits	139,000	143,000	144,000	1,000
<i>Subtotal Personal Services</i>	<i>635,000</i>	<i>651,000</i>	<i>660,000</i>	<i>9,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	7,000	8,000	9,000	1,000
31 - Equipment	3,000	4,000	5,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>14,000</i>	<i>12,000</i>	<i>14,000</i>	<i>2,000</i>
TOTAL	645,000	663,000	674,000	11,000
FTE	4	4	4	0

Table 2
OFFICE OF THE GENERAL COUNSEL
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Positions WIG	4	3,000	
	Current Positions COLA		5,000	
<i>Subtotal 11</i>				<i>8,000</i>
12 - Personnel Benefits	Current Positions WIG		0	
	Current Positions COLA		1,000	
<i>Subtotal 12</i>				<i>1,000</i>
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies and Materials	Built-in			1,000
31 - Equipment	Built-in			1,000
Total				11,000

Table 3
OFFICE OF THE GENERAL COUNSEL
Detail of Full-Time Equivalent Employment

Grade	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	1	1	1
JS-11			
JS-12			
JS-13			
JS-14	1	1	1
JS-15	1	1	1
CES	1	1	1
Total Salaries	496,000	508,000	516,000
Total FTEs	4	4	4

DISTRICT OF COLUMBIA COURT SYSTEM STRATEGIC MANAGEMENT DIVISION

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/FY 2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
12	1,539,000	12	1,566,000	12	1,618,000	0	52,000

Introduction

In 2014, the D.C. Courts established a new Strategic Management Division to build the Courts' capacity to develop, execute, and evaluate strategy and performance of their mission to serve the public. The Strategic Management Division provides strategic planning and development, research and evaluation, performance measurement, policy and data analysis, and business analytics services that enable judges and court administrators to make decisions based on evidence and best practices and facilitate the Courts' performance monitoring and accountability to the public as the District's judicial branch.

The Strategic Management Division was created through a re-organization and consolidation of the D.C. Courts' former Office of Strategic Management and Research and Development Division, and the addition of research staff from Superior Court. With this merger, the Courts have integrated planning, analysis, research, and performance measurement in one division, enabling all functions to interface seamlessly with one another and to maintain a strategic focus. This re-structuring represents an important step in the Courts' continuing efforts to deliver the highest quality of justice to the community we serve and to deliver high performance in all aspects of our services and operations as a public institution.

The Strategic Management Division directly supports Goal 5 of the Courts' Strategic Plan, *Public Trust and Confidence*. The Plan identifies the following strategies to enable the Courts to be accountable to the public, thereby fostering trust and confidence in the Judicial Branch:

1. Ensure that appropriate programs and services are available to the public by monitoring changing demographics, seeking community input, and implementing best practice strategies.
2. Ensure the effectiveness of court operations by establishing performance measures, monitoring results, and evaluating programs and services.
3. Operate transparently by making caseload information, financial reports, budgets, and program assessments readily available.

The Strategic Management Division supports the first strategy by conducting research on local and national social, demographic, economic, technological, justice system and other trends and issues affecting the Courts. The Division also collaborates with court divisions and committees to seek grants and to conduct surveys, focus groups and other outreach to gather input from court

users and stakeholders that can be used to develop new projects and to evaluate and improve court services and inter-agency collaboration.

The Strategic Management Division supports the second strategy by working with court leadership to identify organizational performance measures that align with the Strategic Plan, to ensure that measures are meaningful and focused on outcomes of importance to the public, and to assist divisions in developing data collection procedures that adhere to quality standards and are cost-effective. The Strategic Management Division also designs and implements rigorous research studies, program evaluations, and data, policy, and business process analyses to develop or evaluate court programs, services and operations.

The Strategic Management Division supports the third strategy, to operate transparently, by working to promote the availability and use of data to inform decision-making and by preparing statistical reports, performance reports, research and evaluation reports, and other information that can be shared and analyzed by decision-makers and others. The Division is co-leading a business intelligence program with the Information Technology Division which will expand the ready availability of data through an enterprise data warehouse.

Division MAP Objectives

The Strategic Management Division is a new division established in March 2014. The Division is currently developing objectives, which will be reported in the next budget year. For this fiscal year, the following preliminary objectives are under review by the staff and stakeholders of the Strategic Management Division:

- To lead the D.C. Courts' strategic planning process and work with divisions to develop division-level strategic objectives and performance measures that align with the Courts' Strategic Plan;
- To design, recommend, and coordinate and/or implement systems and practices to promote effective strategy execution at the D.C. Courts;
- To facilitate strategy/performance planning sessions among court leaders by providing data, information, analyses, and recommendations regarding strategic goals, performance measures, and results;
- To work collaboratively with other divisions in ongoing efforts to develop strategic and performance solutions to enhance the delivery of justice;
- To coordinate strategic development and grant-seeking activities for the D.C. Courts, working with court leadership to identify potential development opportunities, craft proposals, develop project and evaluation plans, and conduct grant administration activities;
- To expand the role and use of research and evaluation in court planning, operations, and administration, and to advance the Courts' mission and strategic goals;

- To implement a proactive research program that is aligned with the Courts' strategic agenda and that meets the needs of court divisions;
- To deliver just-in-time analyses and evaluation results that support executive decision-making and appropriately communicate results to the diverse range of recipients in the court environment;
- To foster collaborative partnerships with and advise independent research organizations to support research and evaluation initiatives that will enhance the Courts' mission and goals;
- To develop and implement an organizational performance management function that systematically assesses information about court performance, reports results, and makes recommendations to court leadership designed to enhance court performance and service to the public;
- To support decision-making through the use of analytics/metrics and the sharing of evidence-based practices;
- To enable the allocation of court resources based on need and the use of evidence and best practices; and
- To promote a performance-based culture including the institutionalization of performance standards and monitoring the achievement of performance standards.

Accomplishments

Accomplishments, including activities undertaken prior to the re-organization, include the following:

- Developed analytical reports on performance measures for operating divisions and identified functional requirements for performance measure reports to support their migration to the Courts' Business Intelligence software platform;
- Analyzed D.C. Courts' 2013 Employee Viewpoint Survey, developed multiple enterprise- and division-level reports, and facilitated discussions with senior managers on survey results to identify themes for action planning as part of Courts' Great Place to Work initiative;
- Developed protocols for the exchange of data between partner agencies to enhance the feasibility of conducting court-funded program evaluations;
- Collaborated with the Information Technology Division to implement a Grants Management System (GMS) to track and monitor progress of grant applications and grants-in-progress at the Courts;

- Worked with court auditors to implement procedures to enhance courtwide compliance with federal assurances and regulations contained in the Office of Management and Budget's (OMB's) grant guidelines;
- Continued teaching classes for new employees and providing briefings to judges to integrate strategic management as a core business process;
- Supported courtwide efforts to launch a values implementation initiative following the release of the Courts' 2013-2017 Strategic Plan;
- Continued to implement and refine court performance measures, supporting the Chief Judge's monthly Performance Standards Committee meetings, developing procedures and reports to track judicial post-disposition workload, working with pilot divisions to develop case management plans, and assisting divisions with developing performance data presentations;
- In collaboration with the Information Technology Division, continued implementation of a multi-year Business Intelligence program designed to enhance information and data management, performance analysis, executive decision-making, and public accountability; and
- Implemented four business intelligence dashboards for division directors that display key performance indicators.

Restructuring

The Strategic Management Division is presently undertaking a review of its mission and goals. Once this is completed, staff and work processes will be restructured as needed to accomplish the Division's goals.

Workload and Performance Measures

In alignment with the Division's MAP objectives, it is anticipated that performance measures will be reported in the next budget year in the following functional areas: 1) strategic planning and development; 2) research and evaluation; 3) organizational performance management.

FY 2016 Request

For FY 2016, the Courts request \$1,618,000 for the Strategic Management Division, an increase of \$52,000 (3%) above the FY 2015 Enacted Level. The request consists entirely of built-in cost increases.

Table 1
STRATEGIC MANAGEMENT DIVISION
Budget Authority by Object Class

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation	1,187,000	1,200,000	1,238,000	38,000
12 - Personnel Benefits	315,000	326,000	337,000	11,000
<i>Subtotal Personal Services</i>	<i>1,502,000</i>	<i>1,526,000</i>	<i>1,575,000</i>	<i>49,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	30,000	31,000	32,000	1,000
26 - Supplies & Materials	3,000	4,000	5,000	1,000
31 - Equipment	4,000	5,000	6,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>37,000</i>	<i>40,000</i>	<i>43,000</i>	<i>3,000</i>
TOTAL	1,539,000	1,566,000	1,618,000	52,000
FTE	12	12	12	0

Table 2
STRATEGIC MANAGEMENT DIVISION
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation	Current Position WIG	12	26,000	
	Current Position COLA		12,000	
<i>Subtotal 11</i>				<i>38,000</i>
12 - Personnel Benefits	Current Position WIG		8,000	
	Current Position COLA		3,000	
<i>Subtotal 12</i>				<i>11,000</i>
<i>Subtotal Personal Services</i>				<i>49,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service	Built-in Increases			1,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Nonpersonal Services</i>				<i>3,000</i>
Total				52,000

Table 3
STRATEGIC MANAGEMENT DIVISION
Detail of Full-Time Equivalent Employment

	2014 Enacted	2015 Enacted	2016 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	1	1	1
JS-8			
JS-9			
JS-10	1	1	1
JS-11			1
JS-12	5	3	3
JS-13	3	5	2
JS-14	1	1	3
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	1,187,000	1,200,000	1,238,000
Total FTEs	12	12	12

**DISTRICT OF COLUMBIA COURT SYSTEM
MANAGEMENT ACCOUNT**

<u>FY 2014 Enacted</u>		<u>FY 2015 Enacted</u>		<u>FY 2016 Request</u>		<u>Difference FY 2015/FY 2016</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
0	22,318,000	0	23,453,000	0	24,839,000	0	1,386,000

This fund supports courtwide contracts, services, and systems, including accounting, payroll, and financial services; procurement and contract services; safety and health services; maintenance and operation of the Courts' four buildings as well as courtwide personnel costs such as subsidies for employee use of mass transit. The Courts' management account also provides general administrative support in the following areas: space and telecommunications, property and supplies, printing and reproduction, energy management, mail payments to the U.S. Postal Service, utilities, and contractual security services.

FY 2016 Request

In FY 2016, the D.C. Courts request \$24,839,000 for the Management Account, an increase of \$1,386,000 (6%) over the FY 2015 Enacted Level. The requested increase consists entirely of built-in cost increases.

Table 1
**MANAGEMENT ACCOUNT
Budget Authority by Object Class**

	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Request	Difference FY 2015/2016
11 - Personnel Compensation				
12 - Personnel Benefits	183,000	185,000	198,000	13,000
<i>Subtotal Personal Services</i>	<i>183,000</i>	<i>185,000</i>	<i>198,000</i>	<i>13,000</i>
21 - Travel, Transp. of Persons	118,000	121,000	124,000	3,000
22 - Transportation of Things	3,000	4,000	5,000	1,000
23 - Rent, Comm. & Utilities	8,488,000	8,653,000	8,918,000	265,000
24 - Printing & Reproduction	70,000	72,000	74,000	2,000
25 - Other Services	10,934,000	10,909,000	11,115,000	206,000
26 - Supplies & Materials	310,000	316,000	323,000	7,000
31 - Equipment	2,212,000	3,193,000	4,082,000	889,000
<i>Subtotal Nonpersonal Services</i>	<i>22,135,000</i>	<i>23,268,000</i>	<i>24,641,000</i>	<i>1,373,000</i>
TOTAL	22,318,000	23,453,000	24,839,000	1,386,000
FTE	0	0	0	0

Table 2
MANAGEMENT ACCOUNT
Detail, Difference FY 2015/2016

Object Class	Description of Request	FTE	Cost	Difference FY 2015/2016
11 - Personnel Compensation				
12 - Personnel Benefits	Built in increase			13,000
21 - Travel and Transportation	Built in increase			3,000
22 - Transportation of Things	Built in increase			1,000
23 - Rent, Comm. & Utilities	Built in increase			265,000
24 - Printing & Reproduction	Built in increase			2,000
25 - Other Services	Built in increase			206,000
26 - Supplies and Materials	Built in increase			7,000
31 - Equipment	Built in increase			889,000
TOTAL				1,386,000

**District of Columbia Courts
FY 2016 Budget Justification
New Positions Requested by Grade**

Position	Division	Grade	Number	Annual Salary	Benefits	Total Personnel Cost
SUPERIOR COURT						
Deputy Clerk	Multi-Door	JS-6	1	39,000	12,000	51,000
Assistant Legal Claims Examiner	Crime Victims Compensation Program	JS-9	2	124,000	36,000	160,000
Case Manager-Domestic Relations	Family Court Operations	JS-9	2	106,000	32,000	138,000
Domestic Relations Case Manager	Family Court Social Services	JS-9	3	157,000	46,000	203,000
Case Manager, GAP Program	Probate	JS-9	3	160,000	47,000	207,000
Attorney Negotiator	Family Court Operations	JS-13	2	184,000	55,000	239,000
Deputy Director	Domestic Violence Unit	JS-15	1	128,000	38,000	166,000
<i>Superior Court Subtotal</i>			<i>14</i>	<i>898,000</i>	<i>266,000</i>	<i>1,164,000</i>
COURT SYSTEM						
Multimedia Specialist	Information Technology Division	JS-11	2	129,000	39,000	168,000
<i>Court System Subtotal</i>			<i>2</i>	<i>129,000</i>	<i>39,000</i>	<i>168,000</i>
D.C. COURTS TOTAL			16	\$1,027,000	\$305,000	\$1,332,000

**DISTRICT OF COLUMBIA COURTS
CAPITAL BUDGET**

District of Columbia Courts - Fiscal Year 2016 Budget Justification Summary (dollars in millions)	PY-1 and earlier*	PY 2014	CY 2015	BY 2016	BY +1 2017	BY+2 2018	2019 and beyond*	Total, unfunded amounts (sum 2016 - beyond)
Renovations, Improvements & Expansions								
Moultrie Courthouse Addition	26.54	13.90	26.19	86.99	32.61	15.21	0.00	134.81
Campus Security, Signage & Lighting	9.15	0.00	0.00	4.49	18.68	12.28	0.00	35.45
Integrated Web-Based Case Management System	0.00	0.00	0.00	10.82	2.92	0.94	2.24	16.92
Subtotal	107.62	13.90	26.19	102.30	54.21	28.43	2.24	187.18
Maintain Existing Infrastructure								
HVAC, Electrical and Plumbing Upgrades*	7.15	5.43	6.42	13.48	6.57	11.34	14.17	45.56
Restroom Improvements*	2.46	0.00	1.21	0.40	0.45	0.47	0.56	1.88
Fire and Security Alarm Systems*	1.29	1.36	0.27	1.50	4.59	2.34	0.00	8.43
General Repair Projects*	13.57	12.67	5.97	20.17	13.91	11.32	9.40	54.80
Elevator and Escalator Repairs and Replacement*	0.49	0.00	0.25	0.27	0.28	0.29	1.82	2.66
Technology Infrastructure*	2.6	1.50	2.00	3.24	3.37	3.51	4.21	14.33
Historic Courthouse*	0	0.50	0.45	1.08	1.12	1.17	1.40	4.77
Subtotal	27.56	21.46	17.70	40.14	30.29	30.44	31.56	132.43
Projects Not Requiring Funding in FY 2016								
H. Carl Moultrie I Courthouse								
Adult Holding Facilities/USMS Space Renovation	66.49	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Renovation & Reorganization	32.39	0.00	0.00	0.00	11.48	5.71	1.51	18.70
Courtrooms and Judges Chambers	39.54	0.00	0.00	0.00	11.82	17.42	108.33	137.57
Building C Modernization*	43.54	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Building A Modernization*	0.00	0.00	0.13	0.00	2.32	9.45	0.00	11.77
Building B Modernization*	0.00	0.00	1.00	0.00	2.04	19.13	0.00	21.17
Northeast Garage	0.00	0.00	0.00	0.00	1.97	1.75	42.08	45.80
Subtotal	110.03	0.00	0.00	0.00	29.63	53.46	151.92	235.01
Total	245.21	35.36	43.89	142.44	114.13	112.33	185.72	554.62

* For projects to Maintain Existing Infrastructure, amounts listed under "PY-1 and earlier" and "2019 and beyond" represent one year of funding, as these are ongoing projects.

Introduction

The District of Columbia Courts process over 100,000 cases each year and employ a staff of 1,300 who directly serve the public, process the cases, and provide administrative support. The Courts' capital funding requirements are significant because they include funding for projects critical to maintaining and preserving safe and functional courthouse facilities essential to meeting the heavy demands of the administration of justice in our Nation's Capital. To meet these demands effectively, the Courts' facilities must be both functional and emblematic of its public significance and character. The FY 2016 Capital Budget seeks to address these issues comprehensively.

In preparing the FY 2016 capital budget request, the Courts carefully assessed the capital requirements essential to performing our statutory and constitutionally mandated functions. The Courts' request for capital funding is particularly critical in FY 2016 because of the need: (1) to meet the Courts' growing space requirements for conducting their business, which includes the Family Court established by Congress; (2) to address essential public health and safety conditions in our busy court buildings, including our main building, the H. Carl Moultrie Courthouse, to which some 10,000 people come each day; and (3) to avoid interruption of ongoing projects, which almost certainly results in substantially increased costs.

The Courts presently maintain 1.2 million gross square feet of space in Judiciary Square. The Courts are responsible for five buildings in the square: the Historic Courthouse at 430 E Street N.W., the Moultrie Courthouse at 500 Indiana Avenue, N.W., Building A at 515 5th Street N.W., Building B at 510 4th Street N.W. and Building C, the old Juvenile Court, at 410 E Street N.W. The District government vacated 410 E Street N.W., returning this building to the D.C. Courts' inventory; renovation is complete and the building is fully occupied.

The D.C. Courts strive to enhance the Courts' physical image and environment within both public and workplace settings. Recent capital projects have demonstrated exemplary stewardship of public funds through successful completion of multiple projects on time and within budget. These projects implement safety, security, accessibility, and energy efficiency goals while proactively addressing growth of the Court system that has ongoing and anticipated organizational changes. All capital projects are coordinated within the framework of the D.C. Courts Master Plan for Facilities. The D.C. Courts are also committed to fair procurement practices and have strived, in Capital Projects, to contract with small and minority businesses.

Historic Judiciary Square

The D.C. Courts are primarily located in Judiciary Square, with some satellite offices and field units in other locations. The historical and architectural significance of Judiciary Square lends dignity to the important business conducted by the Courts and, at the same time, complicates efforts to upgrade or alter the structures within the square. Great care was exercised in designing the restoration of the Historic Courthouse, the centerpiece of the square, to preserve the character not only of the building, but also of Judiciary Square. As one of the original and remaining historic green spaces identified in Pierre L'Enfant's plan for the Capital of a new nation, Judiciary Square remains a key component of the Nation's Capital.

Buildings at 515 5th (Building A), 510 4th (Building B), and 410 E Streets (Building C), dating from the 1930's, are situated symmetrically along the view corridor comprised of the National Building Museum, the Historic Courthouse, and John Marshall Park and form part of the historic, formal composition of Judiciary Square. The Moultrie Courthouse, although not historic, is also located along the view corridor and reinforces the symmetry of Judiciary Square through its similar form and material to the municipal building located across the John Marshall Plaza.

Judiciary Square Master Plan

In 2001, the National Capital Planning Commission (NCPC) required that the D.C. Courts develop a Judiciary Square Master Plan – essentially an urban design plan – before any construction by the Courts and others could be commenced in the area. The D.C. Courts worked with all stakeholders on the Plan, including the United States Court of Appeals for the Armed Forces, the National Law Enforcement Officers Memorial Fund (Memorial Fund), the Newseum, and the Metropolitan Police Department. The Judiciary Square Master Plan was approved in August 2005 and last updated in July 2011.

The Judiciary Square Master Plan resolves important technical issues related to access, service, circulation, and security within a rapidly changing and publicly oriented area of the District, while re-establishing the importance of this historic setting in the “City of Washington.” It provides a comprehensive framework for capital construction for all local entities, and it lays the groundwork for the regulatory approval process with the National Capital Planning Commission, the U.S. Commission of Fine Arts, the District of Columbia Office of Historic Preservation, the District of Columbia Office of Planning, and the District of Columbia Department of Transportation, among others. The Judiciary Square Master Plan will ensure the preservation and restoration of one of the last green spaces in the District of Columbia awaiting revitalization, incorporating areas where the public can gather and relax, and creating a campus-like environment where citizens can feel safe and secure.

The intent of the site design for the D.C. Courts Campus is to restore or protect the open spaces with native or adapted vegetation to provide habitat and promote biodiversity. The plans also limit or eliminate the use of potable water or other natural surface or subsurface water resources available on or near the project site for landscape irrigation.

Master Plan for D.C. Courts Facilities

In 2001, the D.C. Courts developed the Master Plan for D.C. Courts Facilities, which delineated the Courts' space requirements and provided a blueprint for optimal space utilization, both in the near and long term. An update of the Facilities Master Plan was completed November 2013 to review the recommendations of previous versions of the plan while taking into account the significant facility improvements completed by the D.C. Courts as well as operational changes that have taken place since 2002.

The District of Columbia Courts Master Plan for Facilities November 2013 (Facilities Master Plan), incorporates significant research, analysis, and planning by experts in architecture, urban design and planning. The Master Plan addresses the following:

1. Accommodation of space needs through 2022 for all Court components and Court related agencies, including expansion of the trial courtroom capacity and consolidation of the Family Court as per the D.C. Family Court Act of 2001 (Public Law Number 107-114);
2. The Courts' continued enhancement of the environment within public and workplace settings;
3. Delineation of total capital requirements, schedule and phasing approach for master plan implementation;
4. Realignment of Courts' functions within the existing and proposed new Courts' facilities;
5. Continued implementation of new building code, life safety, security upgrades;
6. Accommodation of new technologies, particularly in courtrooms.

The Plan identified a space shortfall for the Courts of 57,250 square feet of space and provided recommendations for meeting this shortfall.

Of the three mechanisms to meet the Courts' space needs identified in the original 2002 Facilities Master Plan, two are already complete: (1) renovation of the Historic Courthouse for the District of Columbia Court of Appeals, to free critically needed space in the Moultrie Courthouse for trial court operations (completed in 2009) and (2) the reoccupation and renovation of 410 E Street (Building C completed in 2012). The November 2013 Facilities Master Plan continues to recommend the third mechanism: (3) construction of an addition to the Moultrie Courthouse. The project has been partially funded, and construction to dig the foundation of the addition began in 2013. In addition, the Plan determined that all court facilities must be modernized and upgraded to meet health and safety standards and to function with greater efficiency.

Overview of the D.C. Courts' Facilities

The Courts' are committed to protecting the significant public investment that has been made in its facilities. As noted in prior budget submissions, the D.C. Courts recognized the need to preserve the results of taxpayer investment in the Courts' campus. With the completion of multiple construction projects, infrastructure upgrades and enhancements, D.C. Courts' facilities are at a current level of good repair. Baselines were established in a Facilities Condition Assessment (FCA), which the Courts completed in March 2013. This document provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected replacements were identified and costs estimated for future funding requirements.

Using the Facilities Conditions Index (FCI) method, which measures the condition of an asset (building, site element, portfolio, etc) relative to its replacement value, the D.C. Courts facilities rated good overall. Notably the Moultrie Courthouse received a fair to poor rating reflective of the yet to be completed upgrades to building infrastructure and physical environment. Cost data findings of the FCA have been used in the development of future funding requests.

Historic Courthouse

The restoration of the Historic Courthouse for use by the District of Columbia Court of Appeals, pivotal to meeting the growing space needs of the court system, was completed April 15, 2009, thanks to the support of the President and Congress. This \$130 million dollar capital project involved approval of external stakeholders including National Capital Planning Commission, Commission for Fine Arts, and D.C. State Historic Preservation Office. Numerous complex technical challenges were met with state of the art solutions bringing the project to successful conclusion on time and within budget.

Investment in this restoration has not only improved efficiencies by co-locating the offices that support the Court of Appeals, but also provided 37,000 square feet of space for renovation and reorganization in the Moultrie Courthouse. This vacated space has been renovated for the Superior Court and Court System. The restoration of the Historic Courthouse for use as a functioning court building has also preserved an historic treasure of our nation and imparted new life to one of the most significant historic buildings and precincts in Washington, D.C. The transformation of a nearly 200-year-old building into a 21st century courthouse required the integration of expanded facilities and modern systems with minimal disruption to the historic structure.

Moultrie Courthouse

The Moultrie Courthouse is uniquely designed to meet the needs of a busy trial court. It has three separate and secure circulation systems – for judges, the public, and the large number (200 - 400) of prisoners brought to the courthouse each day. Built in 1978 for 44 trial judges, today it is strained beyond capacity to accommodate 62 trial judges and 25 magistrate judges in the trial court, as well as the steady increase in the number of judges seeking senior status and more than 1,000 support staff members. Currently, the Moultrie Courthouse provides space for most Superior Court and Family Court operations and clerk's offices. Essential criminal justice and social service agencies also occupy office space in the Moultrie Courthouse. The Courts have clearly outgrown the space available in the Moultrie Courthouse. The space is inadequate for this high volume court system to serve the public in a safe, appropriately dignified, and well-maintained setting. The Courts require well-planned and adequate space to ensure efficient operations in a safe and healthy environment.

Building A (515 5th Street N.W)

Building A, dating from the 1930's, has been renovated and currently houses the Probate Division, Crime Victims Compensation, courtrooms and chambers. The building has been brought up to current codes with all new HVAC, lighting, fire sprinklers, and the building

exterior has been refurbished to include restoration of the historic windows, replacement of exterior doors, new signage, and landscape improvements. As a result, future interior reconfigurations required by the master plan will need demolition and reconstruction funds.

Building B (510 4th Street N.W.)

Building B, also dating from the 1930's, has been renovated and currently houses the Landlord and Tenant and Small Claims branches of the Civil Division, and the Social Services Division. The building has been brought up to current codes with all new HVAC, lighting, fire sprinklers, and the building exterior has been refurbished to include restoration of the historic windows, replacement of exterior doors, new signage, and landscape improvements. Future interior reconfigurations required by the master plan will address final occupancy fit out and relocation of Budget and Finance, Administrative Services Division, Capital Projects and Facilities Management from leased space.

Building C (410 E Street N.W.)

The Building C restoration project is complete and the building is fully occupied. Occupants of 410 E Street include the D.C. Courts' Information Technology Division and Multi-Door Dispute Resolution Division. The restoration provides modern office space and brings the building into compliance with all current building, mechanical, electrical, fire, life safety, health, and accessibility codes. The restoration also preserves significant and contributing historic elements of the building. The restoration project restored 27,300 square feet of space and relocated IT and Multi-Door employees. The Courts have received a Leadership in Energy and Environmental Design (LEED®) Gold certification for this building.

Infrastructure in the Courts' Strategic Plan

The capital projects included in this request are an integral part of the Courts' Strategic Plan. The Strategic Plan articulates the mission, vision, and values of the Courts in light of current initiatives, recent trends, and future challenges. It addresses issues such as increasing cultural diversity, economic disparity, complex social problems of court-involved individuals, the increasing presence of litigants without legal representation, rapidly evolving technology, the competitive funding environment, emphasis of public accountability, competition for skilled personnel, and increased security risks.

“A Sound Infrastructure” is the Plan's Goal 4. Court facilities must support efficient operations and command respect for the independence and importance of the judicial branch in preserving a stable community. Modern technology must be employed to achieve administrative efficiencies and enhance the public's access to court information and services. Goal 4 of the Strategic Plan states--

Just as courts preserve and enforce the rule of law, so must our courthouses provide physical facilities and technology that serve as an appropriate foundation for a modern judicial system. Court buildings must provide sufficient, functional space for the administration of justice. Technology must meet the present and future needs of court users and the workforce. We must

have proper security procedures, technology, personnel, and architectural features to protect not only the safety of the people and property within and around the courts, but also the integrity of the judicial process.

The capital budget supports this strategic goal through facilities and technology enhancements by implementing projects that meet the three objectives of Goal 4. The strategic plan states the three objectives of Goal 4 as the following:

- A. The D.C. Courts will use technology to enhance case management and information sharing.
 - 1. Enhance case processing, information management, and performance measurement and reporting through targeted technology investments;
 - 2. Employ technology to readily communicate with the public and court personnel by expanding the use of electronic and social media;
 - 3. Utilize technology to ensure timely access to court documents, proceedings, and services by expanding video and web conferencing opportunities, providing internet and online services, and employing other means to broaden accessibility of court information and services.
- B. The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.
 - 1. Ensure that court facilities are physically accessible to all persons and are easily navigable by the public through effective signage, information displays, and other means;
 - 2. Assure that capital investments are cost-effective and that the physical environment is appropriate for operations and functional for personnel and the public through continued implementation of the Courts' Facilities Master Plan.
- C. The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.
 - 1. Ensure the safety of persons in the courthouse by performing ongoing reviews of physical security, conducting a comprehensive annual Security Assessment, and implementing security enhancements based on risk levels and best practices;
 - 2. Protect the Courts' records by implementing best practices, employing technology to secure information, and conducting annual security-awareness training.

Implementing the Facilities Master Plan

Thanks to the support of the President and Congress, the Courts have made significant progress in implementing the Facilities Master Plan. Through past funding, the D.C. Courts have successfully completed the full restoration of 410 E Street, (Building C) the U.S.M.S. Adult Holding, and are initiating renovation of space on the C Street Level of the Moultrie Courthouse.

The Moultrie Courthouse Addition represents the majority of the funding request for FY2016 budget. Previous funding for this project has supported design and the start of construction. The D.C. Courts have responded to partial funding in FY2015 and has phased the project into multiple activities. The D.C. Courts are now prepared to begin the Moultrie Courthouse above ground construction. Construction documents have been submitted for permit. Foundations are in progress and scheduled to be completed January 2015. Full funding will allow the Courts to proceed with above ground construction without costly interruption.

Renovation & Reorganization and Courtrooms and Chambers have not received funding for the last three years. This has required prioritization of a series of interdependent projects that must be completed prior to construction of the Moultrie Courthouse Addition. These include, but are not limited to, security systems upgrades and expansion of the Central Control Center, the C-Level Interior Improvements and the Third Floor Courtroom Renovations. These critical path projects are now fully integrated into the phased construction schedule for the new addition.

The D.C. Courts have a successful record of accomplishment in completing large and complex projects. The restoration of the Historic Courthouse was completed on time and within budget. In addition, the project received numerous notable design and construction awards. The recently renovated LEED® Gold D.C. Courts' building at 410 E Street (Building C) was also completed on time and within the budget as approved by Congress. The D.C. Courts have been diligently engaged in effective management of the facilities portfolio. Through implementation of the Facilities Master Plan, past renovations have resulted in improved utilization of existing facilities.

In addition, the D.C. Courts have continued to improve space efficiencies by implementing several initiatives such as right-sizing space provided to partner organizations, initiating hoteling, and leveraging joint community programs to source offsite space for integrated support personnel.

Notwithstanding the success of these efforts, the D.C. Courts are over capacity. To meet this challenge the D.C. Courts have explored multiple temporary options to satisfy this need, including co-locating with city agencies, transferring assets to the Courts' portfolio and relying on market rate leased space to meet program demands. The cost of leased space is an uncontrollable long-term expense, as new rental rates for a renegotiated lease are subject to increases to meet current market rates. In addition, many property owners will put restrictions on Court usage as part of the lease terms. The strategic requirement of being co-located on a central campus can only be met with expansion of existing facilities.

H. Carl Moultrie I Courthouse

Moultrie Courthouse Addition

The D.C. Courts have completed planning and pre-design services for the Moultrie Courthouse Addition. Solicitation for architect of record services is complete and design is underway. This is a six-story addition to the south face of the Courthouse starting at the C level and rising to the 4th floor. The Addition will add and renovate approximately 175,000 GSF of space to the

Courts' inventory offsetting the future loss of leased space at Gallery Place and providing for Courts' growth. The design program includes six criminal-capable courtrooms, twenty associate judge chambers, social services and family court related offices and juror facilities. The Courts will be seeking LEED® Platinum Certification of the project. This project will address security issues, energy efficiency, and environmental principles in a cost effective manner.

The Moultrie Courthouse Addition is included in the National Capital Planning Commission (NCPC) and United States Commission of Fine Arts (CFA) approved Judiciary Square Master Plan. The Concept Design for the project was approved by the CFA in 2011.

Family Court

The final phases of Family Court consolidation will begin with the Moultrie Courthouse Addition. The Addition is planned to house the remaining Social Services branches currently located in 510 4th Street (Building B). The completion of these projects will satisfy the requirements of the Family Court mandate.

Courtrooms and Judges Chambers

Due to budget constraints, these projects have been deferred and no major milestones have been achieved.

Life Safety

The D.C. Courts continue to make significant progress in addressing life safety upgrades in the Moultrie Courthouse. The Moultrie Courthouse, built in the 1970's, does not meet today's life safety building standards, such as the inadequate fire sprinkler system. With each renovation project, sprinkler systems are being installed and overall building coverage has increased, improving life safety and bringing the building closer to the goal of current code compliance.

In March 2013, the D.C. Courts completed the Moultrie Courthouse - Occupant Load Survey. This Survey identified life safety and egress concerns within the Moultrie Courthouse. The Courts have addressed Survey findings by correcting non-code compliant conditions related to paths of egress. This work is complete.

U.S. Marshals Service

The multi-phased U.S. Marshals Service (U.S.M.S.) projects include the Administrative Office Space, the renovation of the Arraignment Court with associated holding cells and the Adult Cellblock renovation that are now complete. The renovation of courtroom holding cells, adjacent to all existing criminal courtrooms, is also complete.

These renovation projects are a partnership between the D.C. Courts and the U.S.M.S. Renovations have improved security, health and safety of the U.S. Marshals, prisoners, and for the entire D.C. Courts. The D.C. Courts are grateful for the continued active participation of the U.S.M.S. in every aspect of the design and construction.

Infrastructure

The HVAC, electrical, and plumbing upgrade project will ensure that health and safety concerns for the public and the Courts' personnel are addressed in all of the Courts' buildings, and will enable the Courts to make much needed heating, ventilation, air conditioning, mechanical, plumbing and electrical improvements. The D.C. Courts have purchased new switchgear equipment and emergency generators that will service the Moultrie Courthouse. This multiyear installation has commenced and includes both new equipment and distribution systems and the replacement of panels throughout the building.

Improved Energy Efficiency

Implementation of the Facilities Master Plan has resulted in numerous improvements to the energy efficiency of existing Court buildings and building systems. The Historic Courthouse has been designed and renovated to meet LEED® Silver standards for sustainability. In 515 5th Street (Building A) and 510 4th Street, (Building B) the replacement of exterior doors and windows has improved their building enclosures, resulting in significant reduction of energy loss. The replacement of mechanical systems in these same buildings has resulted in more efficient energy use as well. Building 410 E Street (Building C) was designed, constructed and achieved LEED® Gold certification.

Recent and current projects in the Moultrie Courthouse will improve energy efficiency. Additional equipment replacements, such as replacement of all the air handler units for the Moultrie Courthouse and the U.S. Marshals Service HVAC improvement project have both resulted in more efficient energy consumption. Replacement of the steam station system that provides hot water and heat is also conserving energy. Also in the Moultrie Courthouse, all perimeter windows and glass doors have been re-gasketed to dramatically reduce energy loss. In addition, in the Moultrie Courthouse, a new solar reflective and insulated roof has improved energy efficiency and reduced solar heat gain. The adjacent skylight replacement project has also improved energy efficiency by significantly reducing solar heat gain and loss of conditioned air through exfiltration. Notably, this project was completed on schedule, within budget and with minimal disruption to Courts' operations.

The D.C. Courts continue to hold greater energy efficiency as a goal as future projects are implemented. The Moultrie Courthouse Addition will also seek LEED® Platinum certification. The Moultrie Courthouse renovation and reorganization project includes re-design and replacement of all lighting fixtures with energy efficient fixtures. Planned replacement of electrical switchgear and related distribution equipment with high efficiency units will contribute to improved energy performance. In addition, energy conservation measures will be the standard in upcoming courtrooms and chambers renovations.

Capital Funding in FY 2016

As the Courts progress through implementation of the Facilities Master Plan, the Courts' older buildings in Judiciary Square—the Historic Courthouse, 515 5th Street (Building A), 510 4th Street, (Building B) and 410 E Street (Building C) — have all been renovated. Currently and

over the next several years, the Moultrie Courthouse, the Courts' largest building by far, will be the focus of most of the Courts' capital projects.

The Moultrie Courthouse Addition Project, now underway, will address this shortfall by adding 99,690 usable square feet of space. The new construction will contain six criminal capable trial courtrooms, twenty judge's chambers, and Court office space. The Moultrie Courthouse Addition will fulfill the Family Court mandate by consolidating Social Services and all other Family Court functions on the John Marshall level and First Floor of the Moultrie Courthouse.

The D.C. Courts have coordinated renovations required by the D.C. Courts' Facilities Master Plan with activities related to the maintenance of existing infrastructure, in order to minimize disruption to the Courts. The D.C. Courts are committed to maintaining Court operations during construction activities. For example, renovation and re-organization activities related to Family Court consolidation are coordinated with HVAC, Electrical, and Plumbing Upgrades, Restroom Improvements and Fire and Security Systems budget line items.

Exhibit 300: Capital Asset Plan and Business Case Summaries are divided into three sections. The first section includes projects to renovate, improve, and expand court facilities, as specified in the Master Plan for Facilities. The second section includes projects necessary to maintaining the existing infrastructure. The final section, containing projects not requiring funding in FY 2016, provides an update on projects financed in previous years and plans for future projects. Projects have been divided into phases to the extent practicable.

The FY 2016 capital request focuses on the Moultrie Courthouse, safety and security, and building maintenance. The Courts' capital budget request totals \$142.44 million.

A significant portion of the FY 2016 capital budget request, \$86.99 million, is for the Moultrie Courthouse Addition. This addition will add nearly 100,000 of useable space to the Moultrie Courthouse and expand the building along the south façade at C Street. The full funding request for this project is distributed over seven fiscal years, beginning in FY 2012. Construction began in FY 2013 with the digging of the foundation for the addition.

The Courts, like many public institutions, face security threats to daily operations and individual judges. In addition, the Courts face unique security risks due to the presence of hundreds of prisoners in the Moultrie Courthouse each day. The Courts' request includes \$4.49 million to improve physical safety through perimeter security enhancements, and lighting/signage upgrades.

To replace the Superior Court case management system, which has reached the end of its expected life and is becoming increasingly difficult and costly to maintain, \$10.82 million is requested. The new system will be web-based, enhancing public access to court information and leveraging new technology, such as cloud computing.

The capital budget also includes a request for \$40.14 million to maintain and upgrade the Courts' facilities. Significant public resources have been expended over the past decade to modernize the Courts' older buildings. The Facilities Condition Assessment (FCA) analyzed life cycle and

maintenance needs for court buildings providing information for the maintenance request. Mechanical systems and structural repairs are necessary in order to ensure the safety of building occupants and to preserve the integrity of these historic structures. The Courts request \$13.48 million for the HVAC, Electrical, and Plumbing Upgrades to continue to upgrade electrical systems in the Moultrie Courthouse and provide for the replacement of HVAC equipment as components reach the end of their useful life throughout the campus. To repair restroom exhaust systems, \$400,000 is requested. The \$1.50 million requested for Fire and Security will finance a sprinkler system for the Moultrie Courthouse as part of the ongoing fire sprinkler installation program for the building. In addition, \$20.17 million is requested for General Repair Projects, for, among other things, ADA accessibility, safety enhancements, and continued replacement of fixtures, lighting, flooring, ceiling tiles and other capital investments and replacement of equipment, as required or due to emergency failure in Courts' facilities. To keep elevators and escalators in good working order, \$270,000 is requested. In addition, \$3.24 million is requested for technology infrastructure enhancements. Finally, \$1.08 million is requested for maintenance of the Historic Courthouse, to protect the public investment in its renovation, which was completed in 2009.

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Moultrie Courthouse Addition (C Street Expansion)

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2016?

(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

Planning

Full Acquisition

 X

Operations and Maintenance

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB? 2005
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The project goal is to fully consolidate the Family Court and build upon the work completed as part of the John Marshall Level Interim Renovation, and to meet court wide space needs. The Addition will double the number of large criminal courtrooms in the courthouse and accommodate both high profile and multi-defendant trials. This expansion proposes an addition to the Moultrie Courthouse on the south side, facing C Street. This approach builds upon several projects, including the restoration and expansion of the Old D.C. Courthouse, acquisition of Building C, and existing building renovations. The project is coordinated and interdependent with the Moultrie Courthouse Renovation and Reorganization and is fully coordinated with the long-range recommendations of the D.C. Courts Facilities Master Plan. This project must be conducted in carefully planned phases to accommodate full court operations in the Moultrie Courthouse as the construction proceeds.

To complete the full consolidation required, the D.C. Courts propose expansion of the Moultrie Courthouse. In November 2013, the D.C. Courts completed their Facilities Master Plan Update documenting system-wide space needs and addressing alternatives for meeting these needs.

The creation of additional space provided by the Moultrie Courthouse Addition has become an absolute requirement due to the mandated transfer of space in the Moultrie Courthouse from the D.C. Courts to the U.S. Marshals Service for their administrative functions. In addition to replacing space lost from this transfer, additional space is needed to meet space requirements documented in the Master Plan for Facilities. Furthermore, it will aid in offsetting the future loss of leased space at Gallery Place. The Moultrie Courthouse Addition will increase the number of trial courtrooms,

chambers, and general office space. It would also further Family Court Consolidation by allowing Social Services Division Juvenile Probation functions that are currently in Building B to be relocated into the Moultrie Courthouse with the Family Court.

In addition, a series of interdependent projects must occur prior to construction of the Moultrie Courthouse Addition. These include, but are not limited to, security systems upgrades and expansion of the Central Control Center, the C-Level Interior Improvements and the Third Floor Courtroom Renovations.

The Moultrie Courthouse Addition will require coordination with activities included under the Moultrie Courthouse Renovation and Reorganization budget line. The Moultrie Courthouse Renovation and Reorganization budget line has gone unfunded in recent budget cycles. Further absence of funding may result in schedule delays related to the Moultrie Courthouse Addition.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA

9. a) Did the Agency's Executive/Investment Committee approve this request Yes X No _____
- b) Provide the date of the most recent or planned approved project charter 2005

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

- b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name _____

Phone Number _____

E-mail _____

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

- | | |
|---|---------------|
| (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. | PMP Certified |
| (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. | |
| (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. | |
| (4) Project manager assigned but qualification status review has not yet started. | |
| (5) No project manager has yet been assigned to this investment. | |

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s) _____
- ii. System acronym _____
- iii. Unique Project Identifier (UPI) number _____
 - a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):
 - computer system security requirement; _____
 - internal control system requirement; _____
 - core financial system requirement according to FSIO standards; _____
 - Federal accounting standard; _____
 - U.S. Government Standard General Ledger at the Transaction Level; _____
 - this is a core financial system, but does not address a FFMIA compliance area; _____
 - Not a core financial system; does not need to comply with FFMIA _____

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Moultrie Courthouse Addition

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunded (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	26.54	13.90	26.19	86.99	32.61	15.21	0.00	134.81
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	26.54	13.90	26.19	86.99	32.61	15.21	0.00	134.81
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	26.54	13.90	26.19	86.99	32.61	15.21	0.00	134.81
TOTAL (including FTE costs)	26.54	13.90	26.19	86.99	32.61	15.21	0.00	134.81
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

- | | |
|--|---|
| 1. Insert the number of years covered in the column “PY-1 and earlier” | 3 (2010, 2011, 2012) |
| 2. Insert the number of years covered in column “BY+3 and beyond” | 0 |
| 3. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes: | Partially funded in FY2014 & FY2015 budgets |

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2009-Pre-Design	2010-Design	2010-Construction
Contract Status	Awarded	Awarded	Pre-award Pre-Solicitation
Procurement Instrument Identifier (PIID)	CPFMD-10-0527	CO-0013482	TBD
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	CPFMD-10-0527	CPFMD-12-0802	TBD
Alternative financing	No	No	No
EVM Required	NA	NA	YES, Courts' Standard
Ultimate Contract Value	\$2.7 M	\$3.6M	NA
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	Yes	Yes	No
Effective Date	Quarter 1 FY 2010	Quarter 4 FY 2012	Quarter 1 FY 2014
Actual or expected end date of Contract/Task Order	Complete Quarter 4 2012	Quarter 4 FY 2013	Quarter 1 FY 2018
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	E	D	A

Field	Contract 4		
Short description of acquisition	2016-Foundation		
Contract Status	Awarded		
Procurement Instrument Identifier (PIID)	CPFMD-13-0712		
Indefinite Delivery Vehicle (IDV) Reference ID	NA		
Solicitation ID	CPFMD-13-0712		
Alternative financing	No		
EVM Required	YES, Courts' Standard		
Ultimate Contract Value	\$6.92 M		
Type of Contract/Task Order (Pricing)	Fixed		
Is this contract a Performance Based Service Acquisition (PBSA)?	No		
Effective Date	Quarter 1 FY 2014		
Actual or expected end date of Contract/Task Order	Quarter 2 FY 2015		
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	A		

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1
- c) Was the Acquisition Plan approved in accordance with agency requirements
- d) If "yes," enter the date of approval?
- e) Is the acquisition plan consistent with your agency Strategic

Yes X No _____

Yes X No _____

Yes X No _____

2011

Yes NA No _____

Sustainability Performance Plan?

- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?

Yes NA No _____

- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?

Yes, in the D.C. Courts Master Plan for Facilities 2002
and updated in 2013

2. If an Alternatives Analysis was conducted, answer the following questions.

- a) What is the date of the analysis?

November 2013

- b) How many alternatives were considered?

Three

- c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?

Yes

- d) Briefly summarize the rationale for the selected alternative.

Consolidating the Family Court within the Moultrie Courthouse – The D.C. Courts are proceeding with this alternative because it has the greatest quantitative as well as qualitative return on investment. An underlying assumption of this alternative includes the use of existing courtrooms and circulation systems within the Moultrie Courthouse.

3. If an Alternatives Analysis was not conducted, provide a brief explanation.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan

must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No
2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
 - f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____
3. If a Risk Management Plan has not been developed, provide a brief explanation. Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 1, B2: Fair & Timely Case Resolution Goal 4, B1: Sound Infrastructure	Facilities have not been updated in 35 years.	Six additional criminal courtrooms	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B1: Sound Infrastructure	Facilities underserviced	Complying with current building code.	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4A: Sound Infrastructure	Facilities have late 1970's technology	Improved judicial control of technologies in the courtroom	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	Grade level air intake	Roof level air intake	N/A

Courts				
2013-2017 Strategic Plan of the D.C. Courts	Goal 4: Sound Infrastructure	NA	LEED® Certification for the Addition	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	Existing courthouse not designed for progressive collapse prevention.	Structure of the addition will be designed to prevent progressive structural collapse.	N/A

Section D: Earned Value Management – Design

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$M		\$3.70
Planned Value (PV)	\$M		\$2.33
Earned Value (EV)	\$M		\$2.35
Actual Costs (AC)	\$M		\$2.35
Cost Variance (CV)	\$M	$CV = EV - AC$	\$0.00
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	0%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	1.00
Schedule Variance (SV)	\$M	$SV = EV - PV$	\$0.02
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	1%
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.0
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$3.70
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$0.00
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	0%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	64%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	64%
Estimated Completion Date	Date	mm/dd/yy	October 31, 2014

Section D: Earned Value Management – Foundation

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$M		\$6.95
Planned Value (PV)	\$M		\$1.88

Earned Value (EV)	\$M		\$1.89
Actual Costs (AC)	\$M		\$2.10
Cost Variance (CV)	\$M	$CV = EV - AC$	-0.2
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	-11%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	0.90
Schedule Variance (SV)	\$M	$SV = EV - PV$	\$0.01
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	1%
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.0
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$7.72
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$-0.77
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	-11%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	27%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	30%
Estimated Completion Date	Date	mm/dd/yy	March 30, 2015

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

- Has an Operational Analysis been performed within the last 18 months? No
- If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - What was the date of the analysis
 - Briefly summarize the results of the analysis
- If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation This investment does not include O&M activity.
- Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance			
Milestone	Planned	Actual	Variance

	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Campus Security, Signage, and Lighting

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2016?

(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

Planning

Full Acquisition

X

Operations and Maintenance

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB? 2007
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The location of many high profile buildings within and around Judiciary Square required a comprehensive physical security plan, which serves to protect both the occupants and the users of court buildings and the Courts' property. This project will integrate new security features into landscaped property surrounding Judiciary Square to provide the greatest standoff distances between vehicles at the curb and building facades. Per the recommendation of the U.S. Marshals Service, the D.C. Courts, in connection with the U.S. Court of Appeals for the Armed Forces, have begun to implement an integrated security camera system throughout Judiciary Square. These security features will, to the greatest extent possible, meet current U.S.M.S. standards and preserve the open landscape treatment of Judiciary Square. The project includes perimeter security for Judiciary Square (bounded by 4th and 5th Streets, Indiana Avenue, and F Street), new lighting, and street furnishings. It will also include new exterior signage to direct people to various Court buildings including the Moultrie Courthouse, the Historic Courthouse and Buildings A, B & C.

The Courts also plan to construct a secure mail screening facility to replace the current practice of screening 1.8 million pieces of incoming mail each year at public entrances used by 10,000 people each day.

The number of people who would benefit from Campus Security, Lighting, and Signage in Judiciary Square is enormous. These include residents and visitors in the District of Columbia and all those

b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA

- b) Provide the date of the most recent or planned approved project charter 2007

- | | |
|--------------|-------------------------|
| Name | Joseph E. Sanchez |
| Phone Number | 202-879-2801 |
| E-mail | Joseph.Sanchez@dcsc.gov |

- Name _____
Phone Number _____
E-mail _____

- | | |
|---|---------------|
| (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. | PMP Certified |
| (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. | |
| (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. | |
| (4) Project manager assigned but qualification status review has not yet started. | |
| (5) No project manager has yet been assigned to this investment. | |

system then select the primary FFMIA compliance area that this investment addresses (choose only one):

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Campus Security, Signage, and Lighting

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+ 2 2018	BY+3 and beyond	Total unfunde d (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	9.15	0.00	0.00	4.49	18.68	12.28	0.00	35.45
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	9.15	0.00	0.00	4.49	18.68	12.28	0.00	35.46
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	9.15	0.00	0.00	4.49	18.68	12.28	0.00	35.45
TOTAL (including FTE costs)	9.15	0.00	0.00	4.49	18.68	12.28	0.00	35.45
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier”

4 years (2009)

3. Insert the number of years covered in column “BY+3 and beyond”

1 year (2018)

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

Partially funded in FY2013 budget.

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2010-2 E Street Corridor	2010-3 Campus-wide Visual Security	2013-1 Perimeter Security North of E Street
Contract Status (1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation	Pre-award Pre-Solicitation	Pre-award Pre-Solicitation	Pre-award Pre-Solicitation
Procurement Instrument Identifier (PIID)	TBD	TBD	TBD
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	TBD	TBD	TBD
Alternative financing	NA	NA	NA
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	NA	NA	NA
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	No
Effective Date	Quarter 1 FY 2015	Quarter 1 FY 2015	Quarter 1 FY 2015
Actual or expected end date of Contract/Task Order	Quarter 1 FY 2016	Quarter 1 FY 2016	Quarter 1 FY 2016
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not	A	D & E	A

competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			
--	--	--	--

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes X No _____
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No _____
- d) If "yes," enter the date of approval? 2011
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? Yes, Judiciary Square Master Plan
2. If an Alternatives Analysis was conducted, answer the following questions.
- a) What is the date of the analysis? July, 2005
- b) How many alternatives were considered? Two
- c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? Yes

- d) Briefly summarize the rationale for the selected alternative.
-
- Implement improvements through an integrated project that includes security, lighting, signage and landscape.
-
- This is the most cost effective alternative-coordinated improvements eliminate duplication of efforts.
-

3. If an Alternatives Analysis was not conducted, provide a brief explanation.
-

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?
-
- No
2. If a Risk Management Plan has been developed, answer the following questions.
- a) What is the date of the plan?
-
- b) Does the plan include a list of risks (yes/no)?
-
- c) Does the plan include the probability of occurrence for each risk (yes/no)?
-
- d) Does the plan include the impact of each risk (yes/no)?
-
- e) Does the plan include a mitigation strategy for each risk (yes/no)?
-
- f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?
-
3. If a Risk Management Plan has not been developed, provide a brief explanation.
-
- Management of investment risk is initiated upon obligation of individual project funding.
-

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of	Goal 4, B1: Sound Infrastructure	Judiciary Square has minimal perimeter	Install NCPC approved	N/A

the D.C. Courts		security. Existing campus signage does not adequately reflect current court program changes. Current lighting is inadequate for the safety of court personnel and participants as they move between Court buildings.	campus security, signage, and lighting.	
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	Judiciary Square has minimal perimeter security. Existing campus signage does not adequately reflect current court program changes. Current lighting is inadequate for the safety of court personnel and participants as they move between Court buildings.	Install NCPC approved campus security, signage, and lighting.	N/A

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis
 - b) Briefly summarize the results of the analysis
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation This investment does not include O&M activity.
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned – Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2014
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Integrated Web-Based Case Management System

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2016?

(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

Planning

Full Acquisition

 X

Operations and Maintenance

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB? 2013
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Integrated Web-Based Case Management System initiative is a multi-year effort to replace the existing decade old case management system with a web-based case management system. The current system is a COTS package that was coded in an older computer language that is increasingly becoming difficult for the vendor to identify staff that has the specialized knowledge required to make changes to the system. As a result, any critical modifications add significantly to the cost of maintaining and operating the legacy system. Scarce technical resources cause delays in implementing needed system changes that impact the efficiency and effectiveness of Court business operations. These delays consequently have a measurable impact on the scheduling of other critical IT implementations and in turn cause an aggregate cost increase in terms of hardware, software, and consulting services funding. This requested web-based case management system would eliminate many of these concerns and provide the Court with a current technology platform that could utilize newer cost-saving technologies such as cloud computing and allow for internet web access benefitting the Courts' end user community. This request aligns with a replacement schedule that promotes cost effectiveness and cost predictability and is consistent with industry best practice and the Federal E-Government initiative (OMB 300 guidance).

This major IT investment will additionally provide core benefits from migrating to a web-based application. The migration would result in easier access to justice by utilizing Internet web technologies to deliver information and services to the Courts' end-user community and criminal justice agency partners. This initiative will maximize the integration of Court data successfully

accomplished in the existing system with a web-based solution that provides cross platform compatibility with the leading web browsers and operating systems, increase manageability of system updating and maintenance and provide ease of web access deployment allowing wider access to Court systems. The new system will secure Court data by providing another layer of security and lowering costs due to reduced support resulting from lower end user system requirements and a simplified architecture. The successful full lifecycle implementation of the existing legacy system has resulted in Court staff having a significant knowledge base and experience in all phases of full system lifecycle implementation from requirements analysis through system deployment. The Court will utilize the successes, challenges, and lessons learned from the previous system implementation to support and ensure the success of this initiative.

This initiative will advance and support three major strategic goals of the Court. The benefits in support of these goals (Fair and Timely Case Resolution, Access to Justice, Ensuring a Strong Infrastructure) are highlighted as follows:

Fair and Timely Case Resolution

- Reduce Delays
- Provide and better enable management, flexibility and improvement of Court operations
- Effectively schedule and coordinate the use of Judiciary
- Enable better-informed decision making

Access to Justice

- Improve support to litigants
- Reduce barriers to access (language, education etc.)
- Enable easy access from any location at any time

Ensuring a Strong Infrastructure

- Increase information sharing within the Court system and justice partners
- Advance information technology interoperability with justice agency partners
- Enable more rapid dissemination of Court orders

In conclusion, this Integrated Web-Based Case Management System initiative will comprehensively enhance the capabilities of the existing aging legacy system with web-based accessibility and position the Court with access to current and future technologies in support of providing the fair administration of justice to the constituents of the District of Columbia.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA

9. a) Did the Agency's Executive/Investment Committee approve this request Yes X No
b) Provide the date of the most recent or planned approved project charter N/A New Initiative

10. a) Contact information of Project Manager?

Name	<u>Yuan Burns</u>
Phone Number	<u>202-879-1102</u>
E-mail	<u>Yuan.Burns@dcsc.gov</u>

b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name	<u>Anne Wicks</u>
Phone Number	<u>202-879-1700</u>
E-mail	<u>Anne.Wicks@dcsc.gov</u>

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. PMP Industry Certified
- (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. _____
- (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. _____
- (4) Project manager assigned but qualification status review has not yet started. _____
- (5) No project manager has yet been assigned to this investment. _____

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s) _____
- ii. System acronym _____
- iii. Unique Project Identifier (UPI) number _____
- a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):
 - computer system security requirement; _____
 - internal control system requirement; _____
 - core financial system requirement according to FSIO standards; _____
 - Federal accounting standard; _____
 - U.S. Government Standard General Ledger at the Transaction Level; _____
 - this is a core financial system, but does not address a FFMIA compliance area; _____
 - Not a core financial system; does not need to comply with FFMIA _____

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Integrated Web-Based Case Management System

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunded (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	00.0	0.00	10.82	2.92	0.94	2.24	16.92
Planning & Acquisition Government FTE Costs								
Subtotal Planning & Acquisition (DME):	0.00	00.0	0.00	10.82	2.92	0.94	2.24	16.92
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs								
Subtotal O&M and								

Disposition Costs (SS)								
TOTAL FTE Costs								
TOTAL (not including FTE costs):	0.00	0.00	0.00	10.82	2.92	0.94	2.24	16.92
TOTAL (including FTE costs)								
Total number of FTE represented by Costs:								

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

- Insert the number of years covered in the column “PY-1 and earlier” 0 year
- Insert the number of years covered in column “BY+3 and beyond” 2 years (2019)
- If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes: N/A

Section C: Acquisition/Contract Strategy (All Capital Assets)

- Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table				
Field	Data Description	Contract 1	Contract 2	Contract 3
Short description of acquisition	See www.usaspending.gov/learn?tab=FAQ#2	N/A		
Contract Status	(1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation	Pre-solicitation		
Procurement Instrument	See www.usaspending.gov/learn?tab=FAQ#2	N/A		

Identifier (PIID)	rn?tab=FAQ#2			
Indefinite Delivery Vehicle (IDV) Reference ID	Required only for IDVs. See www.usaspending.gov/learn?tab=FAQ#2	N/A		
Solicitation ID	See www.fbo.gov	TBD		
Alternative financing	(ESPC, UESC, EUL or N/A)	No		
EVM Required	Y/N	Y		
Ultimate Contract Value	Total Value of Contract including base and all options. Complete using dollars to two decimal places.	N/A		
Type of Contract/Task Order (Pricing)	See FAR Part 16 . Can be fixed price, cost, cost plus, incentive, IDV, time and materials, etc	Fixed Price		
Is this contract a Performance Based Service Acquisition (PBSA)?	Y/N Indicates whether the contract is a PBSA as defined by FAR 37.601 . A PBSA describes the requirements in terms of results rather than the methods of performance of the work.	Y		
Effective Date	MM/DD/YYYY Actual or expected Start Date of Contract/Task Order, the date that the parties agree will be the starting date for the contract's requirements.	Quarter 1 FY2016		
Actual or expected end date of Contract/Task Order	MM/DD/YYYY	Quarter 4 FY2019		
Extent Competed	(A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not	A		

	competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non- competitive Delivery Order			
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2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes _____ No X
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes _____ No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes _____ No _____
- d) If "yes," enter the date of approval? N/A
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes _____ No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes _____ No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Section A: General

1. a) Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. (yes/no)

X Yes _____ No

- b) If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education. (yes/no)

_____ Yes _____ No

2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. This technology is currently being reviewed and assessed for feasibility in satisfying the security and privacy requirements of the D.C. Courts using private

cloud and or federal cloud deployments.

3. Provide the date of the most recent or planned Quality Assurance Plan. 11/23/2012

4. a) Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment.
(comma delimited)

b) If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).
(comma delimited)

5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 08/19/2013

6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 05/01/2012

Section B: Cost and Schedule Performance

Agencies should be measuring the performance of assets against the baseline established during the planning or full acquisition phase, or, where approved, the current baseline, and be properly operating and maintaining the asset to maximize its useful life.

Agencies should represent the same timeframe and costs in the “Cost and Schedule table” as indicated in the “Summary of Funding” table. Activities planned beyond the budget year are expected to be less well defined and should be updated once the baseline is approved to a greater level of detail, typically via an Integrated Baseline Review.

Complete the following table on activities used to measure cost and schedule performance, representing only one level of the investment’s Work Breakdown Structure. The activities represented in the table should be a natural derivative of the schedule maintained in the agency performance management system. Activity descriptions should follow a format including a description of the work performed and the product achieved. This should generally show Level 3 of the Work Breakdown Structure. Agencies should avoid reporting activities at a level where they span more than one fiscal year. Key activities should be apparent including planning, development iterations, deployment and decommission. For Operations and Maintenance work, provide activities used to track cost and schedule performance in the same format used for development activities in this same table. The percentages complete should relate to the value of the work planned and actually completed.

NOTE: The exhibit 300 schema includes an optional Work Breakdown Structure (WBS) field that is not depicted in the table below.

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Complete the following table to compare actual performance against the current performance baseline. For all activities listed, you should provide both the planned and actual completion dates (e.g., "03/23/2003"/"04/28/2004"), planned and actual start dates, planned and actual total costs (in \$ Millions), and planned and actual percent complete. Note that all fields are required with the exception of "Agency EA Transition Plan Milestone Identifier". This table should be kept current on the IT Dashboard on a monthly basis, at a minimum.

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier (optional)	Total Cost		Current Baseline (mm/dd/yyyy)				Percentages Complete	
			Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
N/A										

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements.

The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

____ Yes ____ No

Section C: Financial Management Systems

If this investment funds one or more financial systems, please list each system and complete the table. These systems should also have been reported in the most recent Financial Management Systems Inventory (FMSI). "Type of financial system" should be one of the following per [OMB Circular A-127](#): core financial system, procurement system, loan system, grant system, payroll system, budget formulation system, billing system, or travel system. Budget Year (BY) funding should include both contract and government costs requested for the Budget Year via this investment.

Table II.C.1: Financial Management Systems			
System(s) Name	Systems Acronym	Type of Financial System	BY Funding

N/A			
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Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Multi-agency Collaborations, such as E-Gov and LoB initiatives, should develop a joint exhibit 300. Partner agencies that provide contributions to a multi-agency collaboration do not complete Section C.

Table II.D.1. Customer Table: As a joint exhibit 300, please identify all the agency customers. Customers are not limited to agencies with financial commitment. All agency customers should be listed regardless of approval. If the partner agency has approved this joint exhibit 300 please provide the date of approval.	
Customer Agency	Joint exhibit approval date
N/A	

Only Managing partners of Legacy E-Gov initiatives should complete the “Shared Services Providers” Table (Table II.C.2).

Table II.D.2. Shared Service Providers Only Managing partners of Legacy E-Gov initiatives should complete this table.		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
N/A		

Provide in the "Partner Funding Strategies" Table (Table II.D.3) the name(s) of partner agencies; the UPI of the partner agency investments; and the partner agency contributions for CY and BY.

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions): Please indicate partner contribution amounts (in-kind contributions should also be included in this amount) and fee-for-service amounts. (Partner Agency Asset UPIs should also appear on the Partner Agency's exhibit 53. All fee-for-service reimbursements for Shared Service Providers should be included in this table. For non-IT fee-for-service amounts the Partner exhibit 53 UPI can be left blank) (IT migration investments should not be included in this table)							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
N/A							

Does this investment replace any legacy systems investments for either the Managing Partner or partner agencies? Disposition costs for the Managing partner (costs of retirement of legacy systems) may be included as a category in, Summary of Funding, or in separate investments, classified as major or non-major. For legacy system investments being replaced by this investment, include the following data on these legacy investments.

Table II.D.4. Legacy Systems Being Replaced
--

Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
N/A		

Section E: Performance Information

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan, Information Resource Management plan, and Agency Strategic Plan. The investment must discuss its performance measures in support of the agency's mission and strategic goals. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 20xx, etc.). They should include the expected measurable outcomes of the investment, including both customer and business objectives. A minimum of one measure should indicate primary customer satisfaction with the investment. Agencies shall maintain records for each indicator that includes the source of measurement date, the measurement method and who is responsible for collection.

The unit of measure should describe denomination counted (e.g. hours of processing time, inquiries received from stakeholders). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as "significant," "better," "improved," that do not have a quantitative measure. Performance Measure reporting frequency should be chosen from one of four frequencies: monthly, quarterly, semi-annually, or annually. Performance Measure Direction should be reported indicating whether the performance is expected to increase or decrease. For each measure complete Tables I.D.1.a and I.D.1.b. Maintain historical performance by adding appropriate historical fiscal year measurements in Table I.D.1.b. At a minimum, performance targets should extend to the BY. The table can be extended to include performance measures for years beyond the next President's Budget. OMB has no requirement for how an agency should display the information described in their internal systems.

Specific to IT investments, agencies must report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (Mission & Business Results, Customer Results, Processes & Activities, and Technology), for each fiscal year. Operational IT investments should include at least one measure of unit cost. Unit cost measures should be for major inputs, align with how the input is procured, and reflect commodity or near commodity hardware, software or managed services. Specific to Infrastructure Investments, 4 performance measures are required; however, measures are only expected in the technology measurement area. The PRM is available at <http://www.whitehouse.gov/omb/e-gov/>.

These are new initiatives. We will adopt the FEA Performance Reference Model according to the guidelines in measuring performance goals for these initiatives.

This initiative directly supports the Strategic Goal 4 of the District of Columbia Courts Strategic Plan 2013–2017, specifically The D.C. Courts will use technology to enhance case management and information sharing. The strategies to support this goal linked to these initiatives are as follows:

Strategy 4.1 – Enhance case processing, information management, and performance measurement and reporting through targeted technology investments.

Strategy 4.2 – Employ technology to readily communicate with the public and court personnel by expanding the use of electronic and social media.

Strategy 4.3 – Utilize technology to ensure timely access to court documents, proceedings, and services by expanding video and web conferencing opportunities, providing internet and online services, and employing other means to broaden accessibility of court information and services.

Table I.E.1a. Performance Metric Attributes	
<i>Agency Measurement Identifier</i>	
Measurement Area (For IT Assets)	
Measurement Grouping (For IT Assets)	
Measurement Indicator	
Reporting Frequency	
Unit of Measure	
Performance Measure Direction	
Baseline	
Year Baseline Established for this measure (Origination Date)	
Measure Status (active, or deactivated)	
Reason Deactivated (only if deactivated)	

Table 1.E.1.b. Performance Metric Targets and Results				
Agency Measurement Identifier				
Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Date Actuals Last Updated (auto populated)
2015				
2016				
2017				
2018				

Part III: Non-IT Capital Investments
<i>Part III should be completed only for Non- IT capital investment.</i>

Not Applicable

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

HVAC, Electrical and Plumbing Upgrades

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2016?

(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

Planning

Full Acquisition

 X

Operations and Maintenance

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB? 1999
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The HVAC, electrical, and plumbing upgrade project will ensure that health and safety concerns for the public and the Courts' personnel are addressed in all of the Courts' buildings and will enable the Courts to make much needed heating, ventilation, air conditioning, mechanical, plumbing and electrical improvements. Analysis of the condition of the Courts' HVAC, electrical and plumbing systems indicated that it was imperative that this ongoing project be continued to eliminate identified safety and health hazards and restore adequate lighting and ventilation in the Courts' buildings. Frequent breakdowns of the aging systems negatively impact Court operations and employee productivity and morale. Recent funding has been directed to:

1. Installation of stairwell pressurization system;
2. Fire protection sprinklers for approximately 85% of the H. Carl Moultrie Courthouse office space and non public circulation space;
3. New electrical switchgear and emergency generators.

Updating its inefficient, outdated infrastructure continues to be an important and ongoing project for the Courts. The D.C. Courts continue to address life safety and power distribution shortcomings identified in a Power Distribution Study in February 2007 which initiated the electrical switchgear and emergency generator project. In March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected replacements were identified and costs estimated for

future funding requirements. HVAC, Electrical and Plumbing upgrades will require additional capital investment per the FCA Report.

The Courts' FY 2016 request includes the following HVAC, Electrical and Plumbing upgrades:

1. Continue to upgrade the HVAC systems in the Moultrie Courthouse. Ductwork and VAV changes will be needed to properly distribute air within the Courthouse and in particular as it interfaces with the Moultrie Courthouse Addition;
2. Replace other equipment due to the failure of systems that are functioning beyond their useful lives;
3. Continue the cycle of replacement for HVAC equipment, air handlers, chillers and cooling towers throughout the campus;
4. Upgrade Moultrie Courthouse garage systems for energy efficiency.

HVAC, Electrical and Plumbing Upgrade activities will require coordination with activities included under the Renovation and Reorganization and Courtrooms and Chambers budget lines. As the Courts continue to implement the Facilities Master Plan renovations the design and construction process will allow for extensive building system and life safety upgrades. Addressing program re-alignment and building infrastructure simultaneously will minimize operational impacts to the Courts.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA
9. a) Did the Agency's Executive/Investment Committee approve this request Yes X No
- b) Provide the date of the most recent or planned approved project charter 1999
10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

- b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name _____

Phone Number _____

E-mail _____

- | | |
|---|---------------|
| 11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA) | |
| (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. | PMP Certified |
| (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. | |
| (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. | |
| (4) Project manager assigned but qualification status review has not yet started. | |

(5) No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)

ii. System acronym

iii. Unique Project Identifier (UPI) number

a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):

- ☐ computer system security requirement;
- ☐ internal control system requirement;
- ☐ core financial system requirement according to FSIO standards;
- ☐ Federal accounting standard;
- ☐ U.S. Government Standard General Ledger at the Transaction Level;
- ☐ this is a core financial system, but does not address a FFMIA compliance area;
- ☐ Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the

investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: HVAC, Electrical and Plumbing Upgrades

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunded (sum 2016 -beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	7.15	5.43	6.42	13.48	6.57	11.34	14.17	45.56
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	7.15	5.43	6.42	13.48	6.57	11.34	14.17	45.56
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	7.15	5.43	6.42	13.48	6.57	11.34	14.17	45.56
TOTAL (including FTE costs)	7.15	5.43	6.42	13.48	6.57	11.34	14.17	45.56
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

- Insert the number of years covered in the column “PY-1 and earlier”
1 year (2012)
- Insert the number of years covered in column “BY+3 and beyond”
1 year (2018)
- If the summary of funding has changed from the FY 2014
No Change.

President's Budget request, briefly explain those changes:

Section C: Acquisition/Contract Strategy (All Capital Assets)

Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2012-02 Moultrie Electrical and Mechanical Upgrade	2014-01 Moultrie Courthouse Garage Systems Upgrade	2014-01 Moultrie Courthouse Cooling Towers
Contract Status	Awarded	Pre-Solicitation, Pre-Award	Pre-Solicitation, Pre-Award
Procurement Instrument Identifier (PIID)	CBFMD-11-0809	TBD	TBD
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	CBFMD-11-0809	TBD	TBD
Alternative financing	No	No	No
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	\$ 24,968,000	NA	NA
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	Yes	Yes	Yes
Effective Date	Quarter 1 FY 2012	Quarter 2 FY 2015	Quarter 2 FY 2015
Actual or expected end date of Contract/Task Order	Quarter 1 FY 2015	Quarter 1 FY 2016	Quarter 4 FY 2015
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under	D	D	D

simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			
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2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes X No _____
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No _____
- d) If "yes," enter the date of approval? 2011
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? No _____
2. If an Alternatives Analysis was conducted, answer the following questions.
- a) What is the date of the analysis? _____
- b) How many alternatives were considered? _____

- c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
- d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. HVAC, Electrical and Plumbing Projects are required to maintain current capital assets and meet life safety and environmental standard. _____

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No _____
2. If a Risk Management Plan has been developed, answer the following questions.
- a) What is the date of the plan? _____
- b) Does the plan include a list of risks (yes/no) _____
- c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
- d) Does the plan include the impact of each risk (yes/no)? _____
- e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
- f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____
3. If a Risk Management Plan has not been developed, provide a brief explanation. Management of investment risk is initiated upon obligation of individual project funding. _____

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	Building is currently served by 35 year old	Bring switchgear and main power distribution up to	In progress.

		switchgear, transformers, etc.	current code requirements	
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B1: Sound Infrastructure	Building is currently served by 35 year old switchgear, transformers, etc.	Upgrade emergency generators and distribution systems to meet codes and allow portions of the courthouse to remain functional.	In progress.

Section D: Earned Value Management – Moultrie Electrical and Mechanical Upgrade

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$M		\$ 26.83
Planned Value (PV)	\$M		\$ 21.20
Earned Value (EV)	\$M		\$ 21.18
Actual Costs (AC)	\$M		\$ 22.46
Cost Variance (CV)	\$M	$CV = EV - AC$	-1.28
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	-6%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	0.94
Schedule Variance (SV)	\$M	$SV = EV - PV$	\$-0.02
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	0.00
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.00
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$ 28.45
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$ -1.62
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	-6%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	79%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	84%
Estimated Completion Date	Date	mm/dd/yy	December 15, 2014

1. Explanations:

Construction completion delayed due to project re-scoping and coordination issues related to equipment pre-order.

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the

investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Conditions Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis Baseline March 2013, Validation Annually
 - b) Briefly summarize the results of the analysis The report confirmed that the ongoing attention to our infrastructure has proven beneficial.
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Restroom Improvements

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2016?

(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

Planning

Full Acquisition

 X

Operations and Maintenance

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB? 1999
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The ongoing Restroom Improvement project will enhance ADA accessibility and rebuild the aging infrastructure of the Courts' restroom facilities by making plumbing, electrical and design improvements. Approximately 15,000 persons use the multiple D.C. Courts' buildings each day, placing heavy use on the restroom facilities, many of which now require rebuilding. This is a steady state project that began in November 1999. Past project funding was used to:

1. Design of new restrooms to increase number of fixtures to replace fixtures lost during ADA upgrades and bring total count up to code;
2. Replace plumbing fixtures in Building A (515 5th Street), Building B (510 4th Street) and the Moultrie Courthouse.

In March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected replacements were identified and costs estimated for future funding requirements. Restroom Improvements will require additional capital investment per the FCA Report. The FY 2016 funding request includes funding to clean ductwork and repair or replace exhaust fan motors, fans, etc. to return exhaust systems to full operation.

Restroom Improvement activities will require coordination with activities included under the Renovation and Reorganization budget line. As the Courts continue to implement the Facilities Master Plan, the design and construction process will allow for extensive building system and life

b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA

10. a) Contact information of Project Manager?

b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

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addresses (choose only one):

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Restroom Improvements

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunde d (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	2.46	0.00	1.21	0.40	0.45	0.47	0.56	1.88
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	2.46	0.00	1.21	0.40	0.45	0.47	0.56	1.88
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	2.46	0.00	1.21	0.40	0.45	0.47	0.56	1.88
TOTAL (including FTE costs)	2.46	0.00	1.21	0.40	0.45	0.47	0.56	1.88
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

- Insert the number of years covered in the column “PY-1 and earlier”
1 year (2012)
- Insert the number of years covered in column “BY+3 and beyond”
1 year (2018)
- If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes: Partially funded in FY2015 budget.

Section C: Acquisition/Contract Strategy (All Capital Assets)

- Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or

planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2010-01 New Restrooms	2010-02 Exhaust System Repair/Replacement	2014-01 Restroom Improvements
Contract Status	Pre-award Pre-Solicitation	Pre-award Pre-Solicitation	Awarded
Procurement Instrument Identifier (PIID)	TBD	TBD	CO0013996
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	TBD	TBD	TBD
Alternative financing	No	No	No
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	NA	NA	\$973,588.00
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	No
Effective Date	Quarter 3 FY 2016	Quarter 4 FY 2015	Quarter 2 FY 2014
Actual or expected end date of Contract/Task Order	Quarter 2 FY 2018	Quarter 2 FY 2016	Quarter 4 FY 2014
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D	D	D

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes X No _____
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No _____
- d) If "yes," enter the date of approval? 2011
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? No _____
2. If an Alternatives Analysis was conducted, answer the following questions.
- a) What is the date of the analysis? _____
- b) How many alternatives were considered? _____
- c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
- d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. Restroom Improvements are required to maintain current capital assets and meet ADA and environmental _____

standards.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No
2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
 - f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____
3. If a Risk Management Plan has not been developed, provide a brief explanation. Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B1: Sound Infrastructure	Currently functioning with a deficit of fixtures due to ADA renovations and a decrease in fixture count in the Moultrie Courthouse.	New public restrooms on Indiana Avenue Level and the Second Floor to meet plumbing fixture count requirements.	In design.
2013-2017	Goal 4C1: Sound	Currently	New public	In design.

Strategic Plan of the D.C. Courts	Infrastructure & Safe Environment	functioning with a deficit of fixtures due to ADA renovations and a decrease in fixture count in the Moultrie Courthouse.	restrooms on Indiana Avenue Level and the Second Floor to meet plumbing fixture count requirements.	
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Section D: Earned Value Management – Improvements at 515 5th Street and 510 4th Streets N.W.

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$M		\$0.95
Planned Value (PV)	\$M		\$0.85
Earned Value (EV)	\$M		\$0.85
Actual Costs (AC)	\$M		\$0.89
Cost Variance (CV)	\$M	$CV = EV - AC$	\$(0.04)
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	-5%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	0.95
Schedule Variance (SV)	\$M	$SV = EV - PV$	\$0.00
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	0%
Schedule Performance Index	Ratio	$SPI = EV / PV$	1
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$1.00
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$(0.05)
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	-5%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	89%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	94%
Estimated Completion Date	Date	mm/dd/yy	05/30/14

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

- Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Condition Assessment
- If an Operational Analysis was performed

within the last 18 months, answer the following questions:

- a) What was the date of the analysis
- b) Briefly summarize the results of the analysis

March 2013

The report confirmed that the ongoing attention to our infrastructure has proven beneficial.

3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Fire and Security Alarm Systems

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2016?

(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

Planning

Full Acquisition

 X

Operations and Maintenance

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB? 1999
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Fire and Security Alarm System project includes the phased implementation of a comprehensive upgrade to security and life safety systems within Court buildings. In March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected replacements were identified and costs estimated for future funding requirements. Fire and Security Alarm Systems will require additional capital investment per the FCA Report.

The security systems upgrades and expansion of the Central Control Center is another critical priority project associated with the Moultrie Courthouse Addition, due to the scope of the project and its impact on the entire courthouse. The advancements in security technology and the increase in the number of devices, such as cameras, monitors, card readers, panic switches and hardware, servers, and the additional HVAC equipment and wiring required to support this equipment has the D.C. Courts' current Central Control Center at capacity. The resulting expansion of the Central Control Center will accommodate the security systems upgrades necessary for the Moultrie Courthouse Addition.

In FY 2016 the project will include the following:

1. Upgrade and expansion of the Central Control Center;
2. Upgrading the fire alarm system to monitor the valves and flow switches in the expanded

sprinkler system.

Fire and Security Alarm System upgrades will require coordination with activities included under the Renovation and Reorganization and Courtrooms and Chambers budget lines. As the Courts continue to implement the Facilities Master Plan, the design and construction process will allow for extensive building system and life safety upgrades. Addressing program re-alignment and building infrastructure simultaneously will minimize operational impacts to the Courts.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA

9. a) Did the Agency's Executive/Investment Committee approve this request Yes X No

- | | |
|--|------|
| b) Provide the date of the most recent or planned approved project charter | 2004 |
|--|------|

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

- b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name _____
Phone Number _____
E-mail _____

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

- | | |
|---|---------------|
| (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. | PMP Certified |
| (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. | |
| (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. | |
| (4) Project manager assigned but qualification status review has not yet started. | |
| (5) No project manager has yet been assigned to this investment. | |

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- | | | | |
|------|--|---------|--|
| i. | Financial management system | name(s) | |
| ii. | System acronym | | |
| iii. | Unique Project Identifier (UPI) number | | |

- a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):
- ☐ computer system security requirement;
 - ☐ internal control system requirement;
 - ☐ core financial system requirement according to FSIO standards;
 - ☐ Federal accounting standard;
 - ☐ U.S. Government Standard General Ledger at the Transaction Level;
 - ☐ this is a core financial system, but does not address a FFMIA compliance area;
 - ☐ Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Fire and Security Alarm Systems

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunde d (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	1.29	1.36	0.27	1.50	4.59	2.34	0.00	8.43
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	1.29	1.36	0.27	1.50	4.59	2.34	0.00	8.43
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	1.29	1.36	0.27	1.50	4.59	2.34	0.00	8.43
TOTAL (including FTE costs)	1.29	1.36	0.27	1.50	4.59	2.34	0.00	8.43
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier”

1 year (2012)

3. Insert the number of years covered in column “BY+3 and beyond”

1 year (2018)

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or

planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2015-01 Fire Alarm Campus Wide Connectivity		
Contract Status	Awarded		
Procurement Instrument Identifier (PIID)	CO 0013953		
Indefinite Delivery Vehicle (IDV) Reference ID	NA		
Solicitation ID	TBD		
Alternative financing	No		
EVM Required	YES, Courts' Standard		
Ultimate Contract Value	\$300,000.00		
Type of Contract/Task Order (Pricing)	Fixed		
Is this contract a Performance Based Service Acquisition (PBSA)?	No		
Effective Date	Quarter 2 FY 2014		
Actual or expected end date of Contract/Task Order	Quarter 2 FY 2015		
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D		

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes X No _____
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No _____
- d) If "yes," enter the date of approval? 2011
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? No _____
2. If an Alternatives Analysis was conducted, answer the following questions.
- a) What is the date of the analysis? _____
- b) How many alternatives were considered? _____
- c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
- d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. Fire and Security Alarm Systems are required to maintain current capital assets and meet life safety

requirements.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No
2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
 - f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____
3. If a Risk Management Plan has not been developed, provide a brief explanation. Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	No existing sprinkler system.	Installation of a sprinkler system throughout the Moultrie Courthouse.	In progress.
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	35 year old building was constructed prior to new security requirements	Complete upgrade of fire alarm system	In progress.

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Condition Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis March 2013
 - b) Briefly summarize the results of the analysis The report confirmed that the ongoing attention to our infrastructure has proven beneficial
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

General Repair Projects

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2016?

(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

Planning

Full Acquisition

 X

Operations and Maintenance

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB? Steady State
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The General Repair Projects line item provides capital improvements that protect the public investment in the infrastructure of the Courts' facilities by making various necessary improvements to the Historic Courthouse at 430 E Street N.W., the Moultrie Courthouse at 500 Indiana Avenue, N.W., Building A at 515 5th Street N.W., Building B at 510 4th Street N.W., and Building C at 410 E Street N.W. It also includes replacing interior sign systems in the buildings, providing accessibility for the handicapped, painting, and, general enhancements and restoration of these facilities.

In March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected replacements were identified and costs estimated for future funding requirements. General Repairs will require additional capital investment per the FCA Report.

The General Repair Projects for FY 2016 will include both exterior and interior projects:

1. Replacing fixtures, lighting, flooring, ceiling tiles and other capital investments in office areas in all Courts' Buildings;
2. Replacing finishes court-wide as needed or at the end of their useful life;
3. Replacing equipment, as required or due to emergency failure;
4. Continuing the Courts' interior way finding and signage program as the interface to the Moultrie Courthouse Addition comes on line;

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- according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: General Repair Projects

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunded (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	13.57	12.67	5.97	20.17	13.91	11.32	9.40	54.80
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	13.57	12.67	5.97	20.17	13.91	11.32	9.40	54.81
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs								

(optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	13.57	12.67	5.97	20.17	13.91	11.32	9.40	54.80
TOTAL (including FTE costs)	13.57	12.67	5.97	20.17	13.91	11.32	9.40	54.80
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier”

1 year (2012)

3. Insert the number of years covered in column “BY+3 and beyond”

1 year (2018)

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

No Change.

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	
Short description of acquisition	2015-1 General Projects		
Contract Status	Pre-award Pre-Solicitation		
Procurement Instrument Identifier (PIID)	TBD		
Indefinite Delivery Vehicle (IDV)	NA		

Reference ID			
Solicitation ID	TBD		
Alternative financing	NA		
EVM Required	YES, Courts' Standard		
Ultimate Contract Value	NA		
Type of Contract/Task Order (Pricing)	Fixed		
Is this contract a Performance Based Service Acquisition (PBSA)?	No		
Effective Date	Quarter 1 FY 2015		
Actual or expected end date of Contract/Task Order	Quarter 2 FY 2016		
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	A, D & E		

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:

Yes X No _____

b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1

Yes X No _____

c) Was the Acquisition Plan approved in accordance with agency requirements

Yes X No _____

d) If "yes," enter the date of approval?

2011

e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?

Yes NA No _____

f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?

Yes NA No _____

g) If an Acquisition Plan has not been developed, provide a brief explanation.

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? No
2. If an Alternatives Analysis was conducted, answer the following questions.
 - a) What is the date of the analysis? _____
 - b) How many alternatives were considered? _____
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
 - d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. General Repairs are required to maintain current capital assets and meet life safety, code compliance and environmental standards.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No
2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
 - f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____

3. If a Risk Management Plan has not been developed, provide a brief explanation. Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 5.1: The D.C. Courts will provide a safe & secure environment for the administration of justice and ensure continuity of operations in the event of emergency or disaster.	The D.C. Courts inventory includes 645,000 OSF of space. All Court buildings are continually used and require ongoing capital refurbishment.	To maintain safe and functional facilities.	N/A

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	

Estimated Completion Date	Date	mm/dd/yy	
---------------------------	------	----------	--

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Condition Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis March 2013
 - b) Briefly summarize the results of the analysis The report confirmed that the ongoing attention to our infrastructure has proven beneficial
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Elevator and Escalator Repairs and Replacement

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2016?

(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

Planning

Full Acquisition

Operations and Maintenance

Mixed Life Cycle

X

7. What was the first budget year this investment was submitted to OMB? 1999
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Elevator and Escalator Repairs and Replacement Project has rebuilt the majority of nearly all the 35-year-old escalator equipment in the Moultrie Courthouse and much of the aging elevator equipment in all D.C. Courts' buildings, including peripheral equipment and controls in Buildings A and B. In the Moultrie Courthouse, there are public elevators and escalators, secure elevators for judges, freight elevators and prisoner elevators. The Moultrie Courthouse accommodates 10,000 daily visitors and the largest prisoner control facility in the nation for the U.S. Marshals Service. This multi-year project began in December 1999 and has greatly improved the vertical circulation for the public by reducing the downtime for repair and maintenance. Funds maintain the value of this investment as necessary.

In June 2012 the D.C. Courts Elevator and Escalator Maintenance Audit (EEMA) was completed. This report confirmed that the ongoing attention to our infrastructure has proven beneficial. In addition in March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected replacements were identified and costs estimated for future funding requirements. Elevators and Escalators will require additional capital investment per these reports.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA

- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Elevator and Escalator Repairs and Replacement

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunded (sum 2016 –beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Operations & Maintenance:	0.49	0.00	0.25	0.27	0.28	0.29	1.82	2.66
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00

Subtotal O&M and Disposition Costs (SS)	0.49	0.00	0.49	0.27	0.28	0.29	1.82	2.66
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.49	0.00	0.49	0.27	0.28	0.29	1.82	2.66
TOTAL (including FTE costs)	0.49	0.00	0.49	0.27	0.28	0.29	1.82	2.66
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier”
1 year (2012)
3. Insert the number of years covered in column “BY+3 and beyond”
1 year (2018)
4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:
Revised funding request per the FCA and
EEMA Reports

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table			
Field	Contract 1		
Short description of acquisition	2013-1 Elevator / Escalator Refurbishment (Service)		
Contract Status	Awarded		
Procurement Instrument Identifier (PIID)	CO-011868		
Indefinite Delivery Vehicle (IDV) Reference ID	N/A		
Solicitation ID	CPFMD-12-0821		

Alternative financing			
EVM Required	Y		
Ultimate Contract Value	400,910.57		
Type of Contract/Task Order (Pricing)	Fixed Price		
Is this contract a Performance Based Service Acquisition (PBSA)?	Y		
Effective Date	Quarter 4 FY 2012		
Actual or expected end date of Contract/Task Order	Quarter 4FY 2014		
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	E		

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes X No _____
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No _____
- d) If "yes," enter the date of approval? 2011
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? No
2. If an Alternatives Analysis was conducted, answer the following questions.
 - a) What is the date of the analysis? _____
 - b) How many alternatives were considered? _____
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
 - d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. Elevator and Escalator Equipment Replacement is required to maintain current capital assets.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No
2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
 - f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____

3. If a Risk Management Plan has not been developed, provide a brief explanation. Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B1: Sound Infrastructure	Heavily used elevators and escalators require service calls that inconvenience the public.	Reduction in out-of-service calls	Upgrade of prisoner elevators.

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, Elevator and Escalator Maintenance Audit and the Facilities Condition Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis June 2012 and March 2013
 - b) Briefly summarize the results of the analysis Reports confirmed that the ongoing attention to our infrastructure has proven beneficial
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2014
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Technology Infrastructure

5. Unique Project (Investment) Identifier: (For IT investment only, see section [53.9](#). For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY2016?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2016 should not select O&M)

Planning	_____
Full Acquisition	_____X_____
Operations and Maintenance	_____
Mixed Life Cycle	_____

7. What was the first budget year this investment was submitted to OMB? 2010
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Information Technology (IT) Technology Infrastructure Modernization initiative is a multi-year effort to modernize IT infrastructure and align routine replacement of equipment with a replenishment schedule that promotes cost effectiveness and cost predictability and is consistent with industry best practice. This initiative covers shared IT infrastructure and equipment dedicated to operate the D.C. Courts.

This ongoing initiative will improve the technical quality of the D.C. Courts' integrated case management system and its most critical information asset. D.C. Courts successfully completed the integrated case management system implementation in 2006. This project standardized the Family Court, Civil Division, Criminal Division and other Superior Court components on a single integrated system. Typically, organizations that migrate to an integrated information system on the scale of the Courts' case management system make significant investment in consolidating IT infrastructure, automating IT management tasks, and improving their information security risk posture.

This investment will reduce costs and improve efficient operations in four ways. First, it will improve efficiency and lower indirect costs by reducing the impact of unreliable performance and unplanned outages negatively affecting the productivity of the D.C. Courts' operations. Second, it will increase the efficiency of IT personnel responsible for supporting the Courts' case management and other mission-critical information systems. Third, standardizing replacement cycles for equipment will reduce component failure rates and the impact of high failure rates on employee

productivity and cost predictability. Finally, investing in this initiative will mitigate the risk of a disaster rendering the Courts' critical systems non-operational for an extended and unacceptable period of time.

Technology Infrastructure activities require coordination with activities included under the Facilities Master Plan. As the Courts continue to implement Facilities Master Plan renovations, the design and construction process will allow for extensive building system upgrades. Addressing program re-alignment and technology upgrades simultaneously will minimize operational impacts to the Courts.

b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link.

9.

a) Did the Agency's Executive/Investment Committee approve this request? Yes X No _____

b) Provide the date of the most recent or planned approved project charter. 2014

10. a) Contact information of Project Manager?

Name	Yuan Burns
Phone Number	202-879-1102
E-mail	Yuan.Burns@dcsc.gov

b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name	_____
Phone Number	_____
E-mail	_____

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.

PMP Industry Certified

(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.

(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.

(4) Project manager assigned but qualification status review has not yet started.

(5) No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)

ii. System acronym

iii. Unique Project Identifier (UPI) number

a) If this investment is a financial management system AND the investment is part of

the [core financial system](#) then select the primary FFMIA compliance area that this investment addresses (choose only one):

- ☐ computer system security requirement;
- ☐ internal control system requirement;
- ☐ core financial system requirement according to FSIO standards;
- ☐ Federal accounting standard;
- ☐ U.S. Government Standard General Ledger at the Transaction Level;
- ☐ this is a core financial system, but does not address a FFMIA compliance area;
- ☐ Not a core financial system; does not need to comply with [FFMIA](#)

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Technology Infrastructure

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunded (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	2.60	1.50	2.00	3.24	3.37	3.51	4.21	14.34
Planning & Acquisition Government FTE Costs								

Subtotal Planning & Acquisition (DME):	2.60	1.50	2.00	3.24	3.37	3.51	4.21	14.34
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs								
Subtotal O&M and Disposition Costs (SS)								
TOTAL FTE Costs								
TOTAL (not including FTE costs):	2.60	1.50	2.00	3.24	3.37	3.51	4.21	14.34
TOTAL (including FTE costs)								
Total number of FTE represented by Costs:								

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column “PY-1 and earlier”

1 year (2013)

3. Insert the number of years covered in column “BY+3 and beyond”

4 years (2019)

4. If the summary of funding has changed from the FY 2012 President’s Budget request, briefly explain those changes:

NA

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at

www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table				
Field	Data Description	Contract 1	Contract 2	Contract 3
Short description of acquisition	See www.usaspending.gov/learn?tab=FAQ#2			

Contract Status	(1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation			
Procurement Instrument Identifier (PIID)	See www.usaspending.gov/learn?tab=FAQ#2			
Indefinite Delivery Vehicle (IDV) Reference ID	Required only for IDVs. See www.usaspending.gov/learn?tab=FAQ#2			
Solicitation ID	See www.fbo.gov			
Alternative financing	(ESPC, UESC, EUL or N/A)			
EVM Required	Y/N			
Ultimate Contract Value	Total Value of Contract including base and all options. Complete using dollars to two decimal places.			
Type of Contract/Task Order (Pricing)	See FAR Part 16 . Can be fixed price, cost, cost plus, incentive, IDV, time and materials, etc			
Is this contract a Performance Based Service Acquisition (PBSA)?	Y/N Indicates whether the contract is a PBSA as defined by FAR 37.601 . A PBSA describes the requirements in terms of results rather than the methods of performance of the work.			
Effective Date	MM/DD/YYYY Actual or expected Start Date of Contract/Task Order, the date that the parties agree will be the starting date for the contract's requirements.			
Actual or expected end date of Contract/Task Order	MM/DD/YYYY			
Extent Competed	(A) Full and open competition (B) Not available for competition (C) Not competed (D)			

	Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			
--	---	--	--	--

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:

Yes No

b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1

Yes No

c) Was the Acquisition Plan approved in accordance with agency requirements

Yes No

d) If "yes," enter the date of approval?

e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?

Yes No

f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?

Yes No

g) If an Acquisition Plan has not been developed, provide a brief explanation.

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Section A: General

1. a) Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. (yes/no)

X Yes No

b) If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education. (yes/no)

Yes No

2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. This technology is currently being reviewed and assessed for feasibility in satisfying the security and privacy requirements of the D.C. Courts using private cloud and or federal cloud deployments.

3. Provide the date of the most recent or planned Quality Assurance Plan. 11/23/2010

4. a) Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment.
(comma delimited)

b) If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).
(comma delimited)

5) An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 12/01/2011

6) Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 05/01/2011

Section B: Cost and Schedule Performance

Agencies should be measuring the performance of assets against the baseline established during the planning or full acquisition phase, or, where approved, the current baseline, and be properly operating and maintaining the asset to maximize its useful life.

Agencies should represent the same timeframe and costs in the “Cost and Schedule table” as indicated in the “Summary of Funding” table. Activities planned beyond the budget year are expected to be less well defined and should be updated once the baseline is approved to a greater level of detail, typically via an Integrated Baseline Review.

Complete the following table on activities used to measure cost and schedule performance, representing only one level of the investment’s Work Breakdown Structure. The activities represented in the table should be a natural derivative of the schedule maintained in the agency performance management system. Activity descriptions should follow a format including a description of the work performed and the product achieved. This should generally show Level 3 of the Work Breakdown Structure. Agencies should avoid reporting activities at a level where they span more than one fiscal year. Key activities should be apparent including planning, development iterations, deployment and decommission. For Operations and Maintenance work, provide activities used to track cost and schedule performance in the same format used for development activities in this same table. The percentages complete should relate to the value of the work planned and actually completed.

NOTE: The exhibit 300 schema includes an optional Work Breakdown Structure (WBS) field that is not depicted in the table below.

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Complete the following table to compare actual performance against the current performance baseline. For all activities listed, you should provide both the planned and actual completion dates (e.g., "03/23/2003"/ "04/28/2004"), planned and actual start dates, planned and actual total costs (in \$ Millions), and planned and actual percent complete. Note that all fields are required with the exception of "Agency EA Transition Plan Milestone Identifier". This table should be kept current on the IT Dashboard on a monthly basis, at a minimum.

Description of Activity	DM E or SS	Agency EA Transition Plan Milestone Identifier (optional)	Total Cost		Current Baseline (mm/dd/yyyy)				Percentages Complete	
			Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
N/A										

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements.

The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

____ Yes ____ No

Section C: Financial Management Systems

If this investment funds one or more financial systems, please list each system and complete the table. These systems should also have been reported in the most recent Financial Management Systems Inventory (FMSI). "Type of financial system" should be one of the following per [OMB Circular A-127](#): core financial system, procurement system, loan system, grant system, payroll system, budget formulation system, billing system, or travel system. Budget Year (BY) funding should include both contract and government costs requested for the Budget Year via this investment.

Table II.C.1: Financial Management Systems			
System(s) Name	Systems Acronym	Type of Financial System	BY Funding
N/A			

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Multi-agency Collaborations, such as E-Gov and LoB initiatives, should develop a joint exhibit 300. Partner agencies that provide contributions to a multi-agency collaboration do not complete Section C.

Table II.D.1. Customer Table:	
As a joint exhibit 300, please identify all the agency customers. Customers are not limited to agencies with financial commitment. All agency customers should be listed regardless of approval. If the partner agency has approved this joint exhibit 300 please provide the date of approval.	
Customer Agency	Joint exhibit approval date
N/A	

Only Managing partners of Legacy E-Gov initiatives should complete the “Shared Services Providers” Table (Table II.C.2).

Table II.D.2. Shared Service Providers		
Only Managing partners of Legacy E-Gov initiatives should complete this table.		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
N/A		

Provide in the "Partner Funding Strategies" Table (Table II.D.3) the name(s) of partner agencies; the UPI of the partner agency investments; and the partner agency contributions for CY and BY.

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Please indicate partner contribution amounts (in-kind contributions should also be included in this amount) and fee-for-service amounts. (Partner Agency Asset UPIs should also appear on the Partner Agency's exhibit 53. All fee-for-service reimbursements for Shared Service Providers should be included in this table. For non-IT fee-for-service amounts the Partner exhibit 53 UPI can be left blank) (IT migration investments should not be included in this table)							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
N/A							

Does this investment replace any legacy systems investments for either the Managing Partner or partner agencies? Disposition costs for the Managing partner (costs of retirement of legacy systems) may be

included as a category in, Summary of Funding, or in separate investments, classified as major or non-major. For legacy system investments being replaced by this investment, include the following data on these legacy investments.

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
N/A		

Section E: Performance Information

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan, Information Resource Management plan, and Agency Strategic Plan. The investment must discuss its performance measures in support of the agency's mission and strategic goals. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 20xx, etc.). They should include the expected measurable outcomes of the investment, including both customer and business objectives. A minimum of one measure should indicate primary customer satisfaction with the investment. Agencies shall maintain records for each indicator that includes the source of measurement date, the measurement method and who is responsible for collection.

The unit of measure should describe denomination counted (e.g. hours of processing time, inquiries received from stakeholders). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as "significant," "better," "improved," that do not have a quantitative measure. Performance Measure reporting frequency should be chosen from one of four frequencies: monthly, quarterly, semi-annually, or annually. Performance Measure Direction should be reported indicating whether the performance is expected to increase or decrease. For each measure complete Tables I.D.1.a and I.D.1.b. Maintain historical performance by adding appropriate historical fiscal year measurements in Table I.D.1.b. At a minimum, performance targets should extend to the BY. The table can be extended to include performance measures for years beyond the next President's Budget. OMB has no requirement for how an agency should display the information described in their internal systems.

Specific to IT investments, agencies must report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (Mission & Business Results, Customer Results, Processes & Activities, and Technology), for each fiscal year. Operational IT investments should include at least one measure of unit cost. Unit cost measures should be for major inputs, align with how the input is procured, and reflect commodity or near commodity hardware, software or managed services. Specific to Infrastructure Investments, 4 performance measures are required; however, measures are only expected in the technology measurement area. The PRM is available at <http://www.whitehouse.gov/omb/e-gov/>.

These are new initiatives. We will adopt the FEA Performance Reference Model according to the guidelines in measuring performance goals for these initiatives.

Both initiatives directly support the Strategic Goal 4.2 of the District of Columbia Courts Strategic Plan 2008-2012, specifically The D.C. Courts will employ technology to support efficient operations and informed judicial decision-making. The strategies to support this goal linked to these initiatives are as follows:

Strategy 4.2.1 – Ensure that technology investments are aligned with the Courts’ strategic goals are cost-effective.

Strategy 4.2.2 – Maximize staff productivity by providing up-to-date, stable and reliable technology and customer support.

Table I.E.1a. Performance Metric Attributes	
<i>Agency Measurement Identifier</i>	
Measurement Area (For IT Assets)	
Measurement Grouping (For IT Assets)	
Measurement Indicator	
Reporting Frequency	
Unit of Measure	
Performance Measure Direction	
Baseline	
Year Baseline Established for this measure (Origination Date)	
Measure Status (active, or deactivated)	
Reason Deactivated (only if deactivated)	

Table 1.E.1.b. Performance Metric Targets and Results				
Agency Measurement Identifier				
Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Date Actuals Last Updated (auto populated)
200x				
2010				
2011				
2012				

Part III: Non-IT Capital Investments
<i>Part II should be completed only for Non- IT capital investment.</i>

Not Applicable

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Historic Courthouse Maintenance

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2016?

(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

Planning

Full Acquisition

Operations and Maintenance

Mixed Life Cycle

X

7. What was the first budget year this investment was submitted to OMB? 1997
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The renovation of the Historic Courthouse has been widely recognized for its successful execution. In addition to providing appropriate and much-needed space for the Court of Appeals, the renovation project has won eighteen awards for architecture, construction, lighting, and historic preservation.

As custodians of this recent multi-million dollar restoration investment to the third oldest public building in Washington D.C., the D.C. Courts are requesting operations and maintenance funding for the Historic Courthouse.

In March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected Operations and Maintenance replacements were identified and costs estimated for future funding requirements.

Resources are required to maintain the historic fabric of the building, which requires constant care, and to protect the significant public investment in its restoration, particularly in light of a planned major construction project adjacent to the Historic Courthouse that poses significant risk to the structure.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content

found at that link. NA

9. a) Did the Agency's Executive/Investment Committee approve this request Yes X No

- | | |
|--|-------------|
| b) Provide the date of the most recent or planned approved project charter | <u>2011</u> |
|--|-------------|

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

- b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name _____
Phone Number _____
E-mail _____

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

- | | |
|---|---------------|
| (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. | PMP Certified |
| (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. | |
| (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. | |
| (4) Project manager assigned but qualification status review has not yet started. | |
| (5) No project manager has yet been assigned to this investment. | |

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- | | | | |
|------|---|---------|--|
| i. | Financial management system | name(s) | |
| ii. | System acronym | | |
| iii. | Unique Project Identifier (UPI) number | | |
| a) | <p>If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):</p> <p>○ computer system security requirement;</p> <p>○ internal control system requirement;</p> | | |

- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Historic Courthouse Maintenance

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunded (sum 2016 –beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.0	0.00	0.00	0.00	0.00	0.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Operations & Maintenance:	0.00	0.50	0.45	1.08	1.12	1.17	1.40	4.77
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.50	0.45	1.08	1.12	1.17	1.40	4.77
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.00	0.50	0.45	1.08	1.12	1.17	1.40	4.77
TOTAL (including FTE costs)	0.00	0.50	0.45	1.08	1.12	1.17	1.40	4.77
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier”

1 year (2012)

3. Insert the number of years covered in column “BY+3 and beyond”

1 year (2018)

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition			
Contract Status			

Procurement Instrument Identifier (PIID)			
Indefinite Delivery Vehicle (IDV) Reference ID			
Solicitation ID			
Alternative financing			
EVM Required			
Ultimate Contract Value			
Type of Contract/Task Order (Pricing)			
Is this contract a Performance Based Service Acquisition (PBSA)?			
Effective Date			
Actual or expected end date of Contract/Task Order			
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____
3. a) Has an Acquisition Plan been developed? If yes, please answer the _____ questions that follow: Yes _____ No _____
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes _____ No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes _____ No _____
- d) If "yes," enter the date of approval? _____
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes _____ No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes _____ No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?

2. If an Alternatives Analysis was conducted, answer the following questions.

a) What is the date of the analysis?

b) How many alternatives were considered?

c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?

d) Briefly summarize the rationale for the selected alternative.

3. If an Alternatives Analysis was not conducted, provide a brief explanation.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?

2. If a Risk Management Plan has been developed, answer the following questions.

a) What is the date of the plan?

b) Does the plan include a list of risks (yes/no)

c) Does the plan include the probability of occurrence for each risk (yes/no)?

d) Does the plan include the impact of each risk (yes/no)?

e) Does the plan include a mitigation strategy

- for each risk (yes/no)?
- f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?

3. If a Risk Management Plan has not been developed, provide a brief explanation.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Condition Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis March 2013
 - b) Briefly summarize the results of the analysis The report confirmed that the ongoing attention to our infrastructure has proven beneficial.
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Adult Holding Facilities / U.S.M.S. Space Renovation

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY2016?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)
Planning _____
Full Acquisition _____
Operations and Maintenance _____
Mixed Life Cycle _____
7. What was the first budget year this investment was submitted to OMB? 2007
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The United States Marshals Service (U.S.M.S.) provides security and protection for the judicial officers and in the courtrooms. The U.S.M.S. facilities in the Moultrie Courthouse, the location of the largest and busiest U.S.M.S. operation nationwide, were in need of significant expansion and upgrade to meet the current U.S.M.S. standards, and the growing demands of the D.C. Courts. Built over 35 years ago, the adult prisoner holding area is inadequate to hold the hundreds of prisoners daily, and is not in compliance with many of the current security standards for detention facilities. Similarly, the U.S.M.S. administrative and support office space was significantly below U.S.M.S. standards, and was located in a decentralized configuration which was inefficient. Major upgrades were required to address health, safety and functionality concerns, and the Courts are addressing the needs of the U.S.M.S. This project addresses the following areas: the adult prisoner holding unit, arraignment courtroom, prisoner holding areas adjacent to the courtrooms, the sally port, and U.S.M.S. administrative and support space.

Since project initiation, the D.C. Courts completed the following work:

1. Initial HVAC Upgrade to provide 100% air exchange five times per day;
2. Created U.S.M.S. West Administrative Area;
3. Renovated U.S.M.S. East Administrative Area;
4. Expanded and renovated the arraignment holding areas;
5. Renovated the arraignment courtroom;

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA

b) Provide the date of the most recent or planned approved project charter 2007

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

Name _____
Phone Number _____
E-mail _____

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

i.	Financial management system name(s)	
ii.	System acronym	
iii.	Unique Project Identifier (UPI) number	

- a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):
- computer system security requirement; _____
 - internal control system requirement; _____
 - core financial system requirement according to FSIO standards; _____
 - Federal accounting standard; _____
 - U.S. Government Standard General Ledger at the Transaction Level; _____
 - this is a core financial system, but does not address a FFMIA compliance area; _____
 - Not a core financial system; does not need to comply with FFMIA _____

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Adult Holding Facilities / U.S.M.S. Space Renovation

**Table 1.B.1: Summary of Funding
(In millions of dollars)**

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunded (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	66.49	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	66.49	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	66.49	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (including FTE costs)	66.49	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier” 5 years (2008)
3. Insert the number of years covered in column “BY+3 and beyond” NA
4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes: No Change.

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table	
Field	Contract 1
Short description of acquisition	2010-3 Cellblock Modifications
Contract Status	(1) Awarded
Procurement Instrument Identifier (PIID)	CPFMD-10-0412
Indefinite Delivery Vehicle (IDV) Reference ID	NA
Solicitation ID	
Alternative financing	No
EVM Required	Yes
Ultimate Contract Value	21,113,322
Type of Contract/Task Order (Pricing)	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	No
Effective Date	Quarter 2 FY 2010
Actual or expected end date of Contract/Task Order	Quarter 4 FY 2014
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes X No _____
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No _____

- d) If "yes," enter the date of approval? 2011
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? No
2. If an Alternatives Analysis was conducted, answer the following questions.
 - a) What is the date of the analysis? _____
 - b) How many alternatives were considered? _____
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
 - d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. The U.S. Marshal's Service Facilities Feasibility Study, May 2007 developed the plan that most closely aligns with U.S.M.S. Pub 64.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No
2. If a Risk Management Plan has been

developed, answer the following questions.

- a) What is the date of the plan? _____
- b) Does the plan include a list of risks (yes/no) _____
- c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
- d) Does the plan include the impact of each risk (yes/no)? _____
- e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
- f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____

3. If a Risk Management Plan has not been developed, provide a brief explanation. Risk is managed through weekly project progress meetings and monthly scheduling meetings. Strict cost control procedures are followed.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B1: Sound Infrastructure	Existing sally port, adult holding unit arraignment courtroom, and courtroom prisoner holding units have not been significantly altered or upgraded since the opening of the courthouse in 1976.	Renovate existing cellblock with handicap accessible cells.	Sally port, arraignment court and arraignment holding areas are now accessible.
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	Existing sally port, adult holding unit arraignment courtroom, and courtroom prisoner holding units have not been significantly altered or	Change widths at all cellblock access doors. Relocate U.S.M.S. administrative functions to a location outside the cellblock and complete a phased	U.S.M.S. administrative functions have been relocated outside the cellblock.

		upgraded since the opening of the courthouse in 1976.	renovation of the cell block while keeping it operational.	
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Section D: Earned Value Management – Adult Holding Facilities / U.S.M.S. Space Renovation

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$M		\$66.49
Planned Value (PV)	\$M		\$65.16
Earned Value (EV)	\$M		\$64.96
Actual Costs (AC)	\$M		\$66.01
Cost Variance (CV)	\$M	$CV = EV - AC$	-1.1
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	-2%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	0.98
Schedule Variance (SV)	\$M	$SV = EV - PV$	\$0.20
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	0%
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.0
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$67.56
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$1.07
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	-2%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	98%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	99%
Estimated Completion Date	Date	mm/dd/yy	June 30, 2014

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Condition Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis March 2013
 - b) Briefly summarize the results of the analysis The report confirmed that the ongoing attention to our

3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Moultrie Courthouse Renovation and Reorganization

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY2016?

(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

Planning

Full Acquisition

Operations and Maintenance

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB? 2005
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Moultrie Courthouse Renovation and Reorganization Project will further the Family Court renovations plus upgrade and modernize the nearly 35-year-old Moultrie Courthouse to provide more efficient space for the Superior Court and Court System divisions. This project will meet the current and projected needs of the District of Columbia Courts, as described in the District of Columbia Courts Facilities Master Plan, while keeping the Courts fully operational and minimally disturbed while construction takes place in the Moultrie Courthouse. Renovation and reorganization of the interior of the Moultrie Courthouse is necessary to shift operations to vacate some of the space required to fully consolidate the Family Court within Moultrie and to upgrade and make efficient use of existing space as envisioned in the Facilities Master Plan.

The project is coordinated and interdependent with the Moultrie Courthouse Addition and is fully coordinated with the long-range recommendations of the D.C. Courts Facilities Master Plan. This project must be conducted in carefully planned phases to accommodate full Court operations in the Moultrie Courthouse as the construction proceeds. The Moultrie Courthouse Renovation and Reorganization budget line has gone unfunded in recent budget cycles. Further absence of funding may result in schedule delays related to the Moultrie Courthouse Addition.

This project's coordination and completion directly relates to the Courts' establishment of the Family Court. Due to the U.S.M.S. initiative, the Court has had to re-plan the relocation of Social Service

Juvenile Intake functions from Building B to the JM Level of the Moultrie Courthouse. The relocation of the remaining Social Services functions needed to complete the Family Court consolidation requirements have been rescheduled for 2018 when the Moultrie Courthouse Addition is complete.

Funding for FY 2016 also includes upgrades in the public circulation and general waiting areas on multiple floors of the H. Carl Moultrie Courthouse, Health Unit, and Interpreter Services. In FY 2016, funds will be required for consolidation activities that will include Public Circulation and General Waiting Areas, Health & Safety Upgrades.

Renovation and re-organization activities will require coordination with activities included under the HVAC, Electrical & Plumbing Upgrades, Restroom Improvements and Fire and Security budget lines. As the Courts continue to implement the Facilities Master Plan renovations the design and construction process will allow for extensive building system and life safety upgrades. Addressing program re-alignment and building infrastructure simultaneously will minimize operational impacts to the Courts.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA

9. a) Did the Agency's Executive/Investment Committee approve this request Yes X No
- b) Provide the date of the most recent or planned approved project charter 2005

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

- b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name _____
Phone Number _____
E-mail _____

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

- | | |
|---|---------------|
| (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. | PMP Certified |
| (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. | |
| (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. | |
| (4) Project manager assigned but qualification status review has not yet started. | |
| (5) No project manager has yet been assigned to this investment. | |

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s)

- ii. System acronym

- iii. Unique Project Identifier (UPI) number

- a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):
 - computer system security requirement;

 - internal control system requirement;

 - core financial system requirement according to FSIO standards;

 - Federal accounting standard;

 - U.S. Government Standard General Ledger at the Transaction Level;

 - this is a core financial system, but does not address a FFMIA compliance area;

 - Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the

congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: H. Carl Moultrie Courthouse Renovation & Reorganization

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunded (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	32.39	0.00	0.00	0.00	11.48	5.71	1.51	18.70
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	32.39	0.00	0.00	0.00	11.48	5.71	1.51	18.70
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	32.39	0.00	0.00	0.00	11.48	5.71	1.51	18.70
TOTAL (including FTE costs)	32.39	0.00	0.00	0.00	11.48	5.71	1.51	18.70
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

- Insert the number of years covered in the column “PY-1 and earlier”

3 years (2011)
- Insert the number of years covered in column “BY+3 and beyond”

1 year (2019)
- If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

Partially funded in 2012 and unfunded in

2013, 2014 & 2015, planned projects
continue to require funding.

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table			
Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2010-3 Family Court/ Marriage Bureau	2010-7 Public Circulation and General Waiting Areas, Health & Safety Upgrades	2011-1 Domestic Violence Unit Construction
Contract Status	Pre-award Pre-Solicitation	Pre-award Pre-Solicitation	Awarded
Procurement Instrument Identifier (PIID)	TBD	TBD	CPFMD-11-0721
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	TBD	TBD	CPFMD-11-0721
Alternative financing	NA	NA	NA
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	NA	Multiple Contracts/Contractors	\$ 2,791,000
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	No
Effective Date	Quarter 2 FY 2015	Quarter 1 FY 2015	Quarter 3 FY 2011
Actual or expected end date of Contract/Task Order	Quarter 4 FY 2015	Quarter 4 FY 2019	Quarter 3 FY 2013
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not	D	D	D

competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			
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Table I.C.1 Contracts Table			
Field	Contract 4	Contract 5	Contract 6
Short description of acquisition	2013-1 C Street Level Reconfiguration	2014-1 IT AV Support & Court wide Conference Center	2012-1 Criminal Division without Final Phase*
Contract Status	Pre-award Pre-Solicitation	Pre-award Pre-Solicitation	Awarded
Procurement Instrument Identifier (PIID)	TBD	TBD	CO-0013300
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	TBD	TBD	CPMFD-12-0627
Alternative financing	NA	NA	NA
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	NA	NA	\$3.06M
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	No
Effective Date	Quarter 1 FY 2015	Quarter 2 FY 2016	Quarter 4 FY 2012
Actual or expected end date of Contract/Task Order	Quarter 4 FY 2016	Quarter 1 FY 2017	Quarter 3 FY 2015
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D	D	D

* Criminal Division Final Phase to be completed in Phase 1 of the Moultrie Courthouse Addition Project.

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes X No _____
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No _____
- d) If "yes," enter the date of approval? 2011
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? Yes _____
2. If an Alternatives Analysis was conducted, answer the following questions.
- a) What is the date of the analysis? May 2009/November 2013
- b) How many alternatives were considered? Three
- c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? Yes _____
- d) Briefly summarize the rationale for the selected alternative. The D.C. Courts are proceeding with the selected alternative, Consolidating the Family Court within the Moultrie Courthouse, because it has the greatest return on investment. An underlying assumption

of this alternative includes the use of existing courtrooms and circulation systems within the Moultrie Courthouse. Using and augmenting existing resources has a major cost benefit, made even greater by the high cost of constructing new specialized Court facilities. The consolidation of secure holding facilities within the Moultrie Courthouse for use by the Family Court and the Superior Court is also a benefit of this alternative because it eliminates the duplication of physical space for adult and juvenile detainees that would be needed in two separate facilities and has major operational cost benefits associated with the transport of prisoners.

3. If an Alternatives Analysis was not conducted, provide a brief explanation.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?

No

2. If a Risk Management Plan has been developed, answer the following questions.

- a) What is the date of the plan?
b) Does the plan include a list of risks (yes/no)
c) Does the plan include the probability of occurrence for each risk (yes/no)?
d) Does the plan include the impact of each risk (yes/no)?
e) Does the plan include a mitigation strategy for each risk (yes/no)?
f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?

3. If a Risk Management Plan has not been developed, provide a brief explanation.

Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance

measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B1: Sound Infrastructure, Accessibility	Facilities have not been updated in 35 years.	All public spaces and counter will be ADA compliant. Centrally locate public division functions. Improve all public corridors and facilities.	All new public counters are ADA compliant.
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B2: Sound Infrastructure, Appropriate Physical Work Environment	Facilities have not been updated in 35 years.	Consolidate and/or relocate related divisions to improve efficiency and upgrade facilities to current workplace standards.	Family Court consolidation is ongoing. Court reporting consolidation is in progress.

Section D: Earned Value Management – Domestic Violence Unit Construction

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		\$3.60
Planned Value (PV)	\$M		\$2.80
Earned Value (EV)	\$M		\$3.60
Actual Costs (AC)	\$M		\$3.60
Cost Variance (CV)	\$M	$CV = EV - AC$	\$0.00
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	0%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	1.00
Schedule Variance (SV)	\$M	$SV = EV - PV$	\$ 0.80
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	29%
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.3
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$3.60
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$0.00
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	0%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	100%

Percent Spent	%	% Spent = AC / BAC x 100	100%
Estimated Completion Date	Date	mm/dd/yy	September 30, 2013

Section D: Earned Value Management – Criminal Division Renovation

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		\$3.02
Planned Value (PV)	\$M		\$2.91
Earned Value (EV)	\$M		\$1.48
Actual Costs (AC)	\$M		\$1.37
Cost Variance (CV)	\$M	CV= EV-AC	\$0.10
Cost Variance (CV %)	%	CV% = CV/EV x 100	7%
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	1.07
Schedule Variance (SV)	\$M	SV = EV – PV	\$-1.44
Schedule Variance (%)	%	SV% = SV / PV x 100	-49%
Schedule Performance Index	Ratio	SPI = EV / PV	0.51
Estimate at Completion (EAC)	\$M	EAC = BAC / CPI	\$2.81
Variance at Completion (VAC)	\$M	VAC = BAC – EAC	\$0.21
Variance at Completion (VAC %)	%	VASC% = VAC / BAC	7%
Percent Complete	%	% Complete = EV / BAC x 100	49%
Percent Spent	%	% Spent = AC / BAC x 100	45%
Estimated Completion Date	Date	mm/dd/yy	June 30, 2015

1. Explanations:

Schedule extended due to required courtroom use.

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis

- b) Briefly summarize the results of the analysis
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

This investment does not include O&M activity.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

4. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Courtrooms and Judges Chambers

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY2016?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)
Planning _____
Full Acquisition _____
Operations and Maintenance _____
Mixed Life Cycle _____
7. What was the first budget year this investment was submitted to OMB? 1999
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

Past funding for the Courtrooms and Chambers projects were directed to John Marshall Level and Second Level hearing rooms and the creation of a new civil courtroom, renovation of nine senior judges chambers, and the creation of five new associate judge's chambers.

Due to lack of funding in prior years this project was deferred. FY 2016 funding for the Courtrooms and Chambers projects will include renovation of two large courtrooms, creation of one new criminal courtroom and replacement of courtroom seating that has far exceeded its useful life. Since the renovation of existing courtrooms will continue into 2022 the requested funding for seating will allow courtrooms scheduled for out year renovation to continue to function until fully renovated.

Future budget years will include the following: (1) Renovate senior judge's chambers to meet current ADA and Courts' standards, (2) Renovate hearing/courtrooms, including architectural modifications to accommodate technology, such as additional space for computers, printers and staff, and power upgrades to support the aforementioned, (3) Install new fire sprinkler system in courtrooms, (4) Replace courtroom finishes that have far exceeded their useful life, (5) Upgrade chambers, including installation of standardized furniture systems, ADA restroom upgrades, and installation of fire sprinkler system.

Courtrooms and Chambers activities will require coordination with activities included under HVAC, Electrical & Plumbing Upgrades and Fire and Security Alarm Systems budget lines. As the Courts

b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA

10. a) Contact information of Project Manager?

b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- Capital - 310

system then select the primary FFMIA compliance area that this investment addresses (choose only one):

- ☐ computer system security requirement;
- ☐ internal control system requirement;
- ☐ core financial system requirement according to FSIO standards;
- ☐ Federal accounting standard;
- ☐ U.S. Government Standard General Ledger at the Transaction Level;
- ☐ this is a core financial system, but does not address a FFMIA compliance area;
- ☐ Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Courtrooms and Judges Chambers

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunde d (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	39.54	0.00	0.00	0.00	11.82	17.42	108.33	137.57
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	39.54	0.00	0.00	0.00	11.82	17.42	108.33	137.57
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	39.54	0.00	0.00	0.00	11.82	17.42	108.33	137.57
TOTAL (including FTE costs)	39.54	0.00	0.00	0.00	11.82	17.42	108.33	137.57
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier”

14 years (1999)

3. Insert the number of years covered in column “BY+3 and beyond”

5 years (2022)

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

No change

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or

planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2010-1 Chamber Renovations	2016-1 Courtroom Renovations, Second Floor (Construction)	2011-1 New Courtrooms
Contract Status	Pre-award Pre-Solicitation	Awarded	Pre-award Pre-Solicitation
Procurement Instrument Identifier (PIID)	TBD	CPFMD xx-xxxx	TBD
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	TBD	CPFMD xx-xxxx	TBD
Alternative financing	NA	NA	NA
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	NA	\$M	NA
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	No
Effective Date	Quarter 2 FY 2015	Quarter 3 FY 2014	Quarter 1 FY 2015
Actual or expected end date of Contract/Task Order	Quarter 1 FY 2022	Quarter 4 FY 2016	Quarter 3 FY 2017
Extent Competed A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D	D	D

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes X No _____
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No _____
- d) If "yes," enter the date of approval? 2011
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? Yes, D.C. Courts Master Plan for Facilities _____
2. If an Alternatives Analysis was conducted, answer the following questions.
- a) What is the date of the analysis? May 2009, updated November 2013
- b) How many alternatives were considered? Three
- c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? Yes
- d) Briefly summarize the rationale for the selected alternative. The planned Courtrooms and Chambers Project was selected to align with the ongoing Master Plan implementation

3. If an Alternatives Analysis was not conducted, provide a brief explanation.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?

No

2. If a Risk Management Plan has been developed, answer the following questions.

a) What is the date of the plan?

b) Does the plan include a list of risks (yes/no)

c) Does the plan include the probability of occurrence for each risk (yes/no)?

d) Does the plan include the impact of each risk (yes/no)?

e) Does the plan include a mitigation strategy for each risk (yes/no)?

f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?

3. If a Risk Management Plan has not been developed, provide a brief explanation.

Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	Existing Chambers have had no major renovation in 15 years. Existing courtrooms have had no major electrical upgrades and improvements to public spectator areas. Public is underserved due to shortage of courtrooms.	Create and renovate chambers per Master Plan realignment. Renovate courtrooms per Master Plan realignment. Create new courtrooms per Master Plan realignment.	New chambers on the fifth floor & new courtroom on the fourth floor have been completed.

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

- Has an Operational Analysis been performed within the last 18 months? No
- If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - What was the date of the analysis
 - Briefly summarize the results of the analysis
- If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation This investment does not include O&M activity.
- Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

410 E Street, NW Modernization (Building C)

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2016?

(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

Planning

Full Acquisition

Operations and Maintenance

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB? 2004

8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

Building C construction was completed in February 2012 and the building has received LEED® Gold Certification. No Capital Funding is requested for FY 2016.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA

9. a) Did the Agency's Executive/Investment Committee approve this request Yes X No ____

- b) Provide the date of the most recent or planned approved project charter 2004

10. a) Contact information of Project Manager?

Name	<u>Joseph E. Sanchez</u>
Phone Number	<u>202-879-2801</u>
E-mail	<u>Joseph.Sanchez@dcsc.gov</u>

- b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name _____

Phone Number _____

E-mail _____

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.

PMP Certified _____

(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.

(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.

(4) Project manager assigned but qualification status review has not yet started.

(5) No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s) _____

ii. System acronym _____

iii. Unique Project Identifier (UPI) number _____

a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):

○ computer system security requirement; _____

○ internal control system requirement; _____

○ core financial system requirement according to FSIO standards; _____

○ Federal accounting standard; _____

○ U.S. Government Standard General Ledger at the Transaction Level; _____

○ this is a core financial system, but does not address a FFMIA compliance area; _____

○ Not a core financial system; does not need to comply with FFMIA _____

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Building C Modernization

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunded (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	43.54	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including	43.54	0.00	0.00	0.00	0.00	0.00	0.00	0.00

FTE costs):								
TOTAL (including FTE costs)	43.54	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier”

8 years (2005)

3. Insert the number of years covered in column “BY+3 and beyond”

NA

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

No Change.

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table	
Field	
Short description of acquisition	
Contract Status	
Procurement Instrument Identifier (PIID)	
Indefinite Delivery Vehicle (IDV) Reference ID	
Solicitation ID	
Alternative financing	
EVM Required	
Ultimate Contract Value	
Type of Contract/Task Order (Pricing)	
Is this contract a Performance Based Service Acquisition (PBSA)?	

Effective Date	
Actual or expected end date of Contract/Task Order	
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

Construction Complete

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1
- c) Was the Acquisition Plan approved in accordance with agency requirements
- d) If "yes," enter the date of approval?
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?
- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Yes _____ No _____

Yes _____ No _____

Yes _____ No _____

Yes _____ No _____

Yes _____ No _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted Yes, D.C. Courts Building C Prospectus

(yes/no)?

Development
Study

2. If an Alternatives Analysis was conducted, answer the following questions.

- a) What is the date of the analysis?
b) How many alternatives were considered?
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?
d) Briefly summarize the rationale for the selected alternative.

April 2005

Three

Yes

3. If an Alternatives Analysis was not conducted, provide a brief explanation.

The selected alternative allowed for flexible open office plan while maintaining the historic fabric of the building.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?

No

2. If a Risk Management Plan has been developed, answer the following questions.

- a) What is the date of the plan?
b) Does the plan include a list of risks (yes/no)
c) Does the plan include the probability of occurrence for each risk (yes/no)?
d) Does the plan include the impact of each risk (yes/no)?
e) Does the plan include a mitigation strategy for each risk (yes/no)?
f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?

3. If a Risk Management Plan has not been developed, provide a brief explanation.

Risk is managed through weekly project progress meetings and monthly scheduling meetings. Strict cost control procedures are followed.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B1: Sound Infrastructure	Building C is not accessible to all.	Upgrade of 27,000 OSF of Class D office space into Class A office space.	Upgrade complete.
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	Building C is currently suffering from extensive lack of maintenance and requires major upgrades in order to house court personnel in Class A office space that is functional and habitable.	A fully renovated building completed within budget and within the scheduled timeframe	Renovation complete within budget and on schedule.

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the

investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? _____
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis _____
 - b) Briefly summarize the results of the analysis _____
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

515 5th Street NW Modernization (Building A)

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2016?

(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

Planning

Full Acquisition

Operations and Maintenance

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB? 2003
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

This project is fully coordinated with the long-range recommendations of the D.C. Courts Facilities Master Plan and the Judiciary Square Master Plan. The Building A interior renovation, which was necessary to clear space in the Moultrie Courthouse for the Family Court, was complete and occupied in July 2007 on time and within budget. The Building A exterior renovation including masonry restoration, masonry cleaning, refurbishment of the existing windows to improve energy efficiency, replacement of all doors and entry modifications to provide ADA accessibility, improved lighting and upgrade of the security perimeter and lead abatement was completed in 2010.

In FY 2016, space in 515 5th Street NW will be designed and constructed to accommodate expansion of the Probate Division and the Crime Victims Compensation Program. The FY2017 funding request will support design and construction for consolidation of the Office of the Auditor Master from leased space to the D.C. Courts facilities.

In March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected Operations and Maintenance replacements were identified and costs estimated for future funding requirements.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content

found at that link. NA

9. a) Did the Agency's Executive/Investment Committee approve this request Yes X No _____
- b) Provide the date of the most recent or planned approved project charter 2003

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

- b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name _____
Phone Number _____
E-mail _____

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

- | | |
|---|---------------|
| (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. | PMP Certified |
| (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. | |
| (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. | |
| (4) Project manager assigned but qualification status review has not yet started. | |
| (5) No project manager has yet been assigned to this investment. | |

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- | | | | |
|------|---|---------|--|
| i. | Financial management system | name(s) | |
| ii. | System acronym | | |
| iii. | Unique Project Identifier (UPI) number | | |
| a) | <p>If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):</p> <ul style="list-style-type: none"> ○ computer system security | | |

- requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: 515 5th Street NW Modernization

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunded (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.13	0.00	2.32	9.45	0.00	11.77
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00

Subtotal Planning & Acquisition (DME):	0.00	0.00	0.13	0.00	1.11	0.00	0.00	1.11
Operations & Maintenance:	0.00	0.00	0.13	0.00	1.21	9.45	0.00	10.66
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.13	0.00	1.21	9.45	0.00	10.66
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.00	0.00	0.13	0.00	2.32	9.45	0.00	11.77
TOTAL (including FTE costs)	0.00	0.00	0.13	0.00	2.32	9.45	0.00	11.77
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier”

8 years (2005)

3. Insert the number of years covered in column “BY+3 and beyond”

4 years (2021)

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

No Change.

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table			
Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2011-01 Building A		

	Reorganization		
Contract Status	Pre-award Pre-Solicitation		
Procurement Instrument Identifier (PIID)	TBD		
Indefinite Delivery Vehicle (IDV) Reference ID	NA		
Solicitation ID	TBD		
Alternative financing	NA		
EVM Required	YES, Courts' Standard		
Ultimate Contract Value	NA		
Type of Contract/Task Order (Pricing)	Fixed		
Is this contract a Performance Based Service Acquisition (PBSA)?	No		
Effective Date	Quarter 4 FY 2016		
Actual or expected end date of Contract/Task Order	Quarter 4 FY 2017		
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D		

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1
- c) Was the Acquisition Plan approved in accordance with agency requirements
- d) If "yes," enter the date of approval?
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?
- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Yes X No _____

Yes X No _____

Yes X No _____

2011

Yes NA No _____

Yes NA No _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? Yes
2. If an Alternatives Analysis was conducted, answer the following questions.
 - a) What is the date of the analysis? _____
 - b) How many alternatives were considered? Two
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? Yes
 - d) Briefly summarize the rationale for the selected alternative. Building A re-organization was selected to align with the ongoing Master Plan implementation.
3. If an Alternatives Analysis was not conducted, provide a brief explanation. _____

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No
2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy _____

- for each risk (yes/no)?
- f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?

3. If a Risk Management Plan has not been developed, provide a brief explanation.

Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B1: Sound Infrastructure	Probate Division, Crime Victims Compensation and Bar Counsel are undersized for their program requirements.	Probate Division, Crime Victims Compensation and Bar Counsel to be re-organized and expanded.	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B1: Sound Infrastructure	The Office of the Auditor Master is currently in leased space.	The Office of the Auditor Master will be relocated into Building A from leased space.	N/A

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	

Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

- Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Condition Assessment
- If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - What was the date of the analysis March 2013
 - Briefly summarize the results of the analysis The report confirmed that the ongoing attention to our infrastructure has proven beneficial.
- If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
- Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

- List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

510 4th Street NW Modernization (Building B)

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2016?

(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

Planning

Full Acquisition

Operations and Maintenance

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB? 2007
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

Operations and Maintenance funding is requested for FY2016. In March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected Operations and Maintenance replacements were identified and costs estimated for future funding requirements. The 510 4th Street NW asset was renovated in 2005 and will require additional capital investment per the FCA Report.

The 510 4th Street NW Modernization Project is a long-term project that includes three phases of work. Phases I and II are complete.

FY 2015 funding will be directed to Phase III design, commencement of abatement activities and funding for heating and cooling equipment replacement and new plumbing distribution based on the D.C. Courts' Facilities Condition Assessment (FCA).

FY 2016 funding will be directed to a consolidation project for the Self Help Center for unrepresented litigants which is currently located in non contiguous space within the Civil Division. This will allow the Civil Division administrative offices to reclaim space and more efficiently meet program requirements.

Phase III scheduled to commence in 2018 will address final occupancy fit out and relocation of

Budget and Finance, Administrative Services Division, Capital Projects and Facilities Management from leased swing space. These renovations respond to the Family Court Act of 2001, and are fully coordinated with the long-range recommendations of the D.C. Courts' Facilities Master Plan and the Moultrie Courthouse Addition.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA
9. a) Did the Agency's Executive/Investment Committee approve this request Yes X No
- b) Provide the date of the most recent or planned approved project charter 2007

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

- b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name _____
Phone Number _____
E-mail _____

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.

PMP Certified

- (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.

- (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.

- (4) Project manager assigned but qualification status review has not yet started.

- (5) No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s)

- ii. System acronym

- iii. Unique Project Identifier (UPI) number

- a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):

- computer system security requirement;
- internal control system requirement;

- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: 510 4th Street NW Modernization

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunded (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	1.00	0.00	2.04	19.13	0.00	21.17
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	1.00	0.00	2.04	19.13	0.00	21.17
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs								

(optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.00	0.00	1.00	0.00	2.04	19.13	0.00	21.17
TOTAL (including FTE costs)	0.00	0.00	1.00	0.00	2.04	19.13	0.00	21.17
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier”

10 years (2003)

3. Insert the number of years covered in column “BY+3 and beyond”

4 years (2021)

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

No Change.

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2011-1 Building B Phase III	2013-1 Transitional Phase – Pro Se & Civil Division	
Contract Status	3) Pre-award Pre-solicitation	(3) Pre-award Pre-solicitation	

Procurement Instrument Identifier (PIID)	TBD	TBD	
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	
Solicitation ID			
Alternative financing	No	No	
EVM Required	YES, Courts' Standard	YES, Courts' Standard	
Ultimate Contract Value	NA	NA	
Type of Contract/Task Order (Pricing)	Fixed	Fixed	
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	
Effective Date	Quarter 1, FY 2017	Quarter 2, FY 2015	
Actual or expected end date of Contract/Task Order	Quarter 4, FY 2018	Quarter 1, FY 2016	
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	A	A	

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1
- c) Was the Acquisition Plan approved in accordance with agency requirements
- d) If "yes," enter the date of approval?
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?
- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Yes X No _____

Yes X No _____

Yes X No _____

2011

Yes NA No _____

Yes NA No _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? Yes, D.C. Courts Master Plan for Facilities
2. If an Alternatives Analysis was conducted, answer the following questions.
 - a) What is the date of the analysis? May, 2009
 - b) How many alternatives were considered? Two
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? Yes
 - d) Briefly summarize the rationale for the selected alternative. Building B re-organization was selected to align with the ongoing Master Plan implementation.
3. If an Alternatives Analysis was not conducted, provide a brief explanation. _____

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No
2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____

e) Does the plan include a mitigation strategy for each risk (yes/no)?

f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?

3. If a Risk Management Plan has not been developed, provide a brief explanation.

Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B2: Sound Infrastructure, Appropriate Physical Work Environment	Budget and Finance, Administrative Services Division, Education & Training are currently in leased swing space.	Relocation of Budget and Finance, Administrative Services Division, Education & Training to Courts' space.	NA

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	

Estimated Completion Date	Date	mm/dd/yy	
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1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Condition Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis Baseline March 2013, Validation Annually
 - b) Briefly summarize the results of the analysis The report confirmed that the ongoing attention to our infrastructure has proven beneficial.
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Northeast Garage

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY2016?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)
Planning _____
Full Acquisition _____
Operations and Maintenance _____
Mixed Life Cycle _____
7. What was the first budget year this investment was submitted to OMB? 2009
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

This project will provide secure, underground parking for judges and court staff and replace surface parking with green space to return Judiciary Square to a park-like setting for public enjoyment. The D.C. Courts currently have parking adjacent to 515 5th Street NW, on the west side of the building, and adjacent to 510 4th Street NW, on the east side of the building. This project is detailed in the Judiciary Square Master Plan and meets goals of the D.C. Courts as well as the District of Columbia. The project is included in the DDOT Judiciary Square Transportation and Security Study. With high terror and security concerns, security of judicial and non-judicial D.C. Courts' staff is critical, and the Northeast Garage will provide a safe and secure environment for judges and staff.

Preliminary meetings between the U.S. Marshals Service (U.S.M.S.) and the D.C. Courts have taken place with respect to partnering on this project. The U.S. Marshals Service would benefit from this project through better controlled, secured parking in a single location connecting to Court facilities. The Northeast Garage will also reduce costly leased parking and street parking required by U.S.M.S. It will enhance operational efficiency for U.S.M.S. and return street parking to the public.

In addition, numerous public events requiring Secret Service coverage would benefit from underground, secured parking that is connected to the Pension Building. This garage would reduce the amount of security presence needed to monitor the surrounding areas and allow for a more secure transport of VIP personnel.

b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA

10. a) Contact information of Project Manager?

b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

- PMP Certified

-

-

- i. Financial management system name(s)

- ii. System acronym

- iii. Unique Project Identifier (UPI) number

- a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):

- computer system security requirement;
- internal control system requirement;
- core financial system requirement

- according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Northeast Garage

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2014	CY 2015	BY 2016	BY+1 2017	BY+2 2018	BY+3 and beyond	Total unfunded (sum 2016 – beyond)
Planning:	0.00	0.00	0.00	0.00	1.97	1.75	42.08	45.80
Acquisition :	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	0.00	0.00	1.97	1.75	42.08	45.80
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs								

(optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.00	0.00	0.00	0.00	1.97	1.75	42.08	45.80
TOTAL (including FTE costs)	0.00	0.00	0.00	0.00	1.97	1.75	42.08	45.80
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier”

NA

3. Insert the number of years covered in column “BY+3 and beyond”

1 year (2018)

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

No Change

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2015 -1 Northeast Garage Pre-Design	2015 -2 Northeast Garage Design	
Contract Status (1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation	Pre-award Pre-Solicitation	Pre-award Pre-Solicitation	
Procurement Instrument Identifier (PIID)	TBD	TBD	
Indefinite Delivery Vehicle	NA	NA	

(IDV) Reference ID			
Solicitation ID	TBD	TBD	
Alternative financing	NA	NA	
EVM Required	YES, Courts' Standard	YES, Courts' Standard	
Ultimate Contract Value	NA	NA	
Type of Contract/Task Order (Pricing)	Fixed	Fixed	
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	
Effective Date	Quarter 1 FY 2018	Quarter 1 FY 2019	
Actual or expected end date of Contract/Task Order	Quarter 4 FY 2018	Quarter 4 FY 2019	
Extent Completed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D	D	

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1
- c) Was the Acquisition Plan approved in accordance with agency requirements
- d) If "yes," enter the date of approval?
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?
- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Yes X No _____

Yes X No _____

Yes X No _____
2011

Yes NA No _____

Yes NA No _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? Yes, Judiciary Square Master Plan
2. If an Alternatives Analysis was conducted, answer the following questions.
 - a) What is the date of the analysis? August 2005 (Revised July 2011)
 - b) How many alternatives were considered? Two
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? Yes
 - d) Briefly summarize the rationale for the selected alternative. Alternative garage locations were studied in the Judiciary Square Master Plan and the northeast location was selected based on access, road network and functional adjacencies.
3. If an Alternatives Analysis was not conducted, provide a brief explanation. _____

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No
2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____

- e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
- f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____
3. If a Risk Management Plan has not been developed, provide a brief explanation. Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure and Safe Environment	The D.C. Courts currently have parking adjacent to Building A, on the west side of the building and adjacent to Building B, on the east side of the building.	Replace the unsecured surface lots with secure underground parking.	N/A

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times$	

		100	
Percent Spent	%	% Spent = AC / BAC x 100	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis
 - b) Briefly summarize the results of the analysis
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation This investment does not include O&M activity.
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

DISTRICT OF COLUMBIA COURTS
FY 2016 Budget Justification
Grant-funded Activities and Reimbursements

For Fiscal Year 2014, the District of Columbia Courts secured over \$5 million in Federal and local grant funds to: (1) provide services to victims of crime; (2) expedite permanent placement of children as required by ASFA legislation; and (3) provide specialized training to judicial officers, court staff, and stakeholders to enhance the delivery of services to the elderly. The Courts currently receive funds through 10 active grants secured from various Federal and local sources. Of these, 4 grants, totaling approximately \$332,000 are scheduled to expire the end of FY 2014. Table 1 lists the Courts' grants and reimbursement funding for Fiscal Years 2014 and projected through 2016, while Table 2 lists grants scheduled to expire at the end of FY 2014. A brief description of the Courts' grant-funded projects follows.

I. FEDERAL GRANTS

(a) Abused and Neglected Children

- ***Court Improvement Program (CIP)***. U.S. Department of Health and Human Services, Administration for Children and Families.

To assess and improve judicial proceedings that handle child abuse and neglect and related foster care and adoption litigation. The Superior Court continues collaboration with District child welfare agencies in examining the effectiveness of current practices and procedures, adequacy of resources, and coordination among key agencies in order to enhance the representation for children and families in the District of Columbia. With grant funds, the Courts will continue to provide books for children, the *Preparing Youth for Adulthood Initiative*, sponsor a Legal Clinic and provide skills-building and information-training workshops for advocates and the legal community, and enhance data sharing among partnering agencies to more effectively monitor family treatment court program participants.

(b) Crime Victims

- ***Crime Victims Compensation Program (Claims)***. U.S. Department of Justice, Office of Victims of Crime.

To provide funds from the Crime Victims Compensation Fund for District of Columbia victim compensation payments to eligible crime victims.

(c) Victims of Domestic Violence

- ***Judicial Education and Training Project to Enhance the Courts' Response to Elderly Victims of Domestic Violence.*** U. S. Department of Justice, Office on Violence Against Women, Court Training and Improvements Program.

To plan and implement a judicial education and training conference and stakeholders' workshops in an effort to provide an improved, comprehensive legal response for individuals aged 60 years or older seeking protection from the Courts in cases involving domestic violence. The primary goals are to identify gaps and training needs of judicial officers, court staff, and stakeholders to develop an appropriate training and education curriculum to address issues involving elderly victims of domestic violence seeking a protection order; train judicial officers, court staff and stakeholders on the issues involved with handling such cases; and to develop protocols and standard procedures. Grant funds are used to convene a half-day conference of judicial officers, court staff, and stakeholders; conduct training workshops; and develop a bench card.

II. D.C. FEDERAL BLOCK GRANTS

For each of the grants listed in this section, the District of Columbia Courts are a sub-grantee of the District of Columbia.

(a) Victims of Domestic Violence

- ***Supervised Child Visitation Center.*** Office of the Attorney General (U.S. Department of Health and Human Services, Access and Visitation Grant).

To support the Court's supervised visitation center through a grant from the Health and Human Services agency. The Center serves as a safe, neutral location in which non-custodial parents in domestic violence cases may visit their children.

- ***Domestic Violence Project.*** D.C. Office of Victim Services on behalf of the U.S. Department of Justice, Office of Violence Against Women, STOP Grant Program.

To enhance the safety and improve services of domestic violence victims residing in Wards 7 and 8. Grant funds are used to support operations at the Southeast Domestic Violence Center and support domestic violence and sexual assault training for judicial officers and staff in the Domestic Violence Unit and Family Court.

Table 1
DISTRICT OF COLUMBIA COURTS
Amounts Available for Obligation: Grants and Reimbursements
(\$ in thousands)

Grant or Reimbursement	Source	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
I. FEDERAL GRANTS:				
Abused and Neglected Children				
Court Improvement Program	U.S. Department of Health and Human Services	462*	280	280
Crime Victims				
Crime Victims Compensation Payments	U.S. Department of Justice	3,255	3,200	3,200
Domestic Violence				
Judicial Education and Training	U.S. Department of Justice, Office on Violence Against Women	10	40	--
<i>Subtotal, Federal Grants</i>		<i>3,727</i>	<i>3,520</i>	<i>3,480</i>
II. D.C. FEDERAL BLOCK GRANTS:				
Domestic Violence				
Supervised Child Visitation Center	U.S. Department of Health and Human Services	111	111	111
Domestic Violence Project	U.S. DOJ VAWA STOP Grants	33	33	33
<i>Subtotal, D.C. Federal Block Grants</i>		<i>144</i>	<i>144</i>	<i>144</i>
GRANTS TOTAL		3,871	3,664	3,624
REIMBURSEMENTS:				
Child Support Enforcement	D.C. Title IV-D Agency	1,096	1,100	1,100
Miscellaneous Reimbursements	Pretrial Services Agency	77	77	77
REIMBURSEMENTS TOTAL		1,173	1,177	1,177
GRAND TOTAL		5,044	4,841	4,801

* Includes carry over funds from multiple awards with extended grant periods.

Table 2
DISTRICT OF COLUMBIA COURTS
Grants that Expired in FY 2014
(\$ in thousands)

Grant	Source	Grant Period (Includes Extensions)	Original Grant Award
Domestic Violence Project	U.S. DOJ VAWA STOP Grants	Oct. 2013 – Sept. 2014	33
Court Improvement Program (FY13 includes two grants.)	U.S. Department of Health & Human Services	Apr. 2013 – Sept. 2014	188
Supervised Visitation	U.S. Department of Health and Human Services	Oct. 2013 – Sept. 2014	111
Total			\$332

DISTRICT OF COLUMBIA COURTS
FY 2016 Budget Justification
PROGRAM EVALUATION

The District of Columbia Courts have implemented a systematic approach to evaluating new initiatives and ongoing programs. Such assessments are essential in identifying program operations that more effectively serve the citizens of the District. The Courts provide oversight of program assessments by independent research firms to ensure that appropriated funds are utilized prudently and to enhance accountability and transparency. Below is a description of the program evaluations in progress at the Courts in 2014:

1. Community Court Expansion Project Evaluation

Westat, an independent research firm, was selected through a competitive bidding process to undertake a 30-month program evaluation of the Community Court Expansion Project. The program evaluation is comprised of two phases: a process evaluation and an outcome evaluation. The process evaluation tasked Westat with examining the fidelity of the actual implementation of the program in all U.S. Misdemeanor calendars operating in Superior Court compared to traditional community court models, as well as assessing the operational procedures and processes, including case volume and flow in the new community courts. Upon completion of the process evaluation, Westat is to provide the Courts with a report outlining the current operation of the Expansion Project and include any recommendations for modification, if suggested by the study's findings. Also expected is a recommendation and plan for the second phase of the evaluation which, if approved, will examine the effect that participation in the community court has on defendants while under supervision by the court. The specific focus of the outcome study would be the community court's impact on defendant experiences in the program, including any re-offending activities.

During the summer of 2014, a draft process evaluation report was provided to the Courts for review. Once the initial review of the draft report has been completed, Westat will meet with program judicial officers and managers, as well as other court officials to discuss the results of the process evaluation and the utility and feasibility of an outcome evaluation.

2. Superior Court Drug Intervention Program (Adult Drug Court)

Based on 2011 recommendations from an independent assessment of current practices, the Pretrial Services Agency (PSA) for the District of Columbia began implementing enhancements to make the Adult Drug Court more consistent with national drug court principles and evidenced-based practices of a problem-solving court. The Adult Drug Court, managed by PSA, is designed to reduce recidivism among defendants charged with misdemeanor and non-violent felony offenses, whose substance abuse or dependence heightened the risk of future re-arrest. In consultation with stakeholders, some of the program enhancements being implemented by PSA include a daily pre-hearing staff meeting with the Adult Drug Court Team, expansion of program length to a minimum of 24 weeks, assignment of a dedicated defense attorney to handle all cases, attendance of PSA case managers at defendant review hearings, random drug testing, and enhanced incentives and sanctions.

The Courts contracted with an independent research firm, NPC Research, to assess the effects of the enhancements and a 30-month two-phased evaluation is underway. The first phase of the evaluation, the process evaluation, will determine if program modifications have been implemented as designed; to what extent the program is meeting its objectives, including reaching the intended target population; and how participants perceive their treatment by the judicial officer and program staff, or their “procedural justice” experiences in the program. The second phase of the full evaluation consists of an outcome evaluation that includes a defendant follow-up period of up to 12 months after completion of the program, or at case disposition. The outcome evaluation will assess whether the program services are delivered as planned and document participant graduation characteristics (who, how long, rate, differences compared to those who do not graduate) and any re-arrest activity of defendants who participated in the program compared to those who did not participate. The process evaluation is expected to be completed in mid-FY 2015 once all program enhancements have been fully implemented and the new program model has been in operation for an appropriate time period. At that time, NPC is to provide the Courts with a report outlining the program changes, their effects on operations and program participants, and any additional program modifications suggested by the study findings.

**District of Columbia Courts
FY 2016 Budget Justification
Defender Services**

As required by the Constitution and statute, the District of Columbia Courts appoint and compensate attorneys to represent persons who are financially unable to obtain representation under three Defender Services programs. The Criminal Justice Act (CJA) program provides court-appointed attorneys to indigent persons who are charged with criminal offenses.⁵ The Counsel for Child Abuse and Neglect (CCAN) program provides the assistance of a court-appointed attorney in family proceedings in adoptions, where 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.⁶ The Guardianship program provides for compensation to service providers in guardianship and protective proceedings for incapacitated adults.⁷ In addition to legal representation, these programs provide indigent persons access to services such as: transcripts of court proceedings; expert witness testimony; investigations; and genetic testing.

Defender Services attorneys and service providers submit vouchers to the D.C. Courts' Budget and Finance Division detailing the time and expenses involved in working on a case. Following administrative review and approval by the judge or magistrate judge presiding over the case, the voucher is processed for payment by the General Services Administration (GSA), which remits funds from the Defender Services appropriation.

Estimating FY 2016 Resource Requirements

In its required reports and filings with the Office of Management and Budget and Congress, the Courts historically recognized Defender Services obligations at the time of payment (outlays), maintaining a carryover balance from year to year to cover those vouchers that were issued in prior years (at the time an attorney was appointed to a case) but not yet submitted to the court for payment. In contrast, however, generally accepted accounting principles require that the Courts disclose the value of these outstanding vouchers, or liabilities, on their annual financial statements. This outstanding liability was calculated by multiplying the total number of vouchers in each case type by the computed average cost paid by case type.

Predicting program obligations has historically been difficult because attorneys submit claims for reimbursement only after the conclusion of a case, or the termination of legal representation associated therewith, which may be years after their appointment to a case. In 2000 a study conducted by independent accountants found that it took seven years from the time an attorney was appointed to a case for all vouchers to be submitted to the court for payment. The Courts' budget submissions since FY 2000 have included a projection of the value of issued vouchers as a liability ("obligation") each fiscal year over and above projected outlays. Although the stated dollar value of the obligations was not posted into the financial system of record in the past, these projected obligations became the basis of each budgetary request for resources, which has

⁵ See D.C. Code §11-2601 *et seq.*

⁶ See D.C. Code §16-2304.

⁷ See D.C. Code §21-2060.

also included a narrative on accrued and unpaid liabilities. Due to enhanced program management, operational changes (including the establishment of guideline vouchers), administrative efficiencies and business process reengineering in recent years, the time between attorney appointment to a case and payment of the voucher has been drastically reduced. Today, nearly all vouchers are paid within 3 years of the attorney appointment to a case.

In light of the foregoing, the Courts contracted with an independent accounting firm during FY 2009 to 1) analyze the current liability stream of the Defender Services programs; 2) develop a sound methodology to recognize program obligations (e.g. accounting treatment of vouchers issued under the programs); and 3) project future resource requirements. The goal of these activities was to better align the outstanding liabilities of the Defender Services programs reflected on annual financial statements with Federally required (monthly, quarterly, and annual) reports and filings, and with the Courts' budget submissions.

The accounting firm gave its recommendations, which included—

- 1) the obligation of vouchers upon issuance (i.e. at the time of attorney appointment) instead of upon submission for payment; and
- 2) the formal recognition of the financial liability of outstanding vouchers from prior years by establishing the obligation in the financial system of record through a journal entry beginning with FY 2010 going forward (the outstanding liability is now compiled and recorded monthly).

The firm's recommendations were based in large part on a decision issued by the Comptroller General – *50 Comp. Gen. 589 (1971)*, which noted that “[i]t is clear that from the time of the attorney's appointment a contractual obligation exists on the part of the Government to pay the reasonable costs of the representation, and that the subsequent court review of the voucher is only for the purpose of determining that the actual costs claimed to have been incurred were necessarily incurred and are in fact reasonable.”

The Courts adopted the firm's recommendations. The liabilities in the account (which were carried in the financial system as an unobligated balance) were converted into obligations. This action also reduced the large unobligated carryover balance in the account, which had increased steeply in FY 2008 and FY 2009 when hourly rate increases were fully funded but not in effect at the start of those fiscal years. FY 2014 represents the fourth full year that the Courts routinely accrued and posted voucher obligations (representing vouchers issued but not paid) to the financial system of record.

Given administrative efficiencies and business process re-engineering, the Courts' ability to project future resource requirements has been greatly enhanced. Moreover, implementation of the current methodology for accounting for prior year obligations has provided a more systematic process for ensuring sufficient funding. The Courts are confident that sufficient funding has been reserved for obligations from prior years, thereby enabling a reduction in projected future funding needs. This reduction has been reflected in the Courts' budget requests since FY 2013, which are approximately \$5 million below the appropriation previously enacted for FY 2012.

FY 2016 Request

The Courts request \$49,890,000 for Defender Services in FY 2016, the same as the FY 2015 Enacted Level.