

# **FY 2019 Budget Justification**



## **District of Columbia Courts**

**Open to All ♦ Trusted by All ♦ Justice for All**

**District of Columbia Courts  
FY 2019 Budget Justification  
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**DISTRICT OF COLUMBIA COURTS**  
**Budget Justification**  
**Summary**  
**Fiscal Year 2019**

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.

Many of the Administration's budget priorities are related to the Courts' function. The D.C. Courts are vital to public safety in the Nation's Capital. The Courts are crucial to the adult criminal and juvenile justice systems, as well as the child welfare system and protections for vulnerable elderly persons. The Courts help fight criminal recidivism and illicit drug use. As a repository of vast personal data on litigants, cybersecurity is crucial to protect these individuals. The Courts' multi-year Facilities Master Plan reflects an infrastructure plan to modernize our facilities that also creates numerous jobs as it is implemented.

To meet the Courts' mission of administering justice in the community, the D.C. Courts request \$349,693,000 for operations and capital improvements in FY 2019. Of this amount, \$14,796,000 is requested for the Court of Appeals; \$127,035,000 is requested for the Superior Court; \$79,112,000 is requested for the Court System; and \$128,750,000 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' FY 2019 request includes an increase of \$14,443,000 (7%) and 7 full-time equivalent (FTE) positions over the FY 2018 level for operations<sup>1</sup>. Our capital budget request represents an increase of \$69,850,000 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. 10, provides an overview of the Courts' budget, Chart 2 at p. 15 provides the organizational structure of the Courts; an overview of the request is provided at Table 1 on p. 16, and a summary is at Table 2, pp. 17-18.

**Recent Achievements**

In FY 2016, the Court of Appeals and the Superior Court resolved more than 90,000 cases (1,564 and 92,962 cases, respectively). The Courts look forward to continued success in enhancing our services to youth and self-represented litigants; expediting case processing; enhancing technology and training; and managing operations. We are proud of the Courts' recent successes in achieving our strategic goals that include the following:

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<sup>1</sup> Throughout this document, references to the FY 2018 level reflect the funding level and language in the House Appropriations Bill (H.R. 3280), the Senate Appropriations Committee Chairman's Mark, and the President's Recommendation, which are identical to one another, because no FY 2018 appropriation had been enacted at the time this submission was prepared.

## **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 being told to report first thing in the morning, to reduce wait times for litigants and enhance efficiency. Staggered schedules are used in some domestic violence, paternity and support, landlord tenant, civil, and criminal misdemeanor calendars;
- completion in July 2015 of an Operational Assessment of the D.C. Court of Appeals conducted by the National Center for State Courts to examine management structure, workflow processes, staffing, and application of technology to streamline internal operations to better support judicial decision-making and operational efficiency;
- expansion of alternative dispute resolution to family cases involving intimate partner violence or abuse (which is being studied by Indiana University and the University of Arizona to assess whether parties with high degrees of violence can be accommodated in mediation) thereby increasing access to justice for victims; to guardianship cases to help families reach agreement on the best care for incapacitated adults; to tax appeal cases to expedite resolution; and to same-day mediation in civil preliminary injunction cases, usually involving disputes between neighbors, to speed resolution of these cases;
- implementation of a new process in civil action cases to assure procedural fairness in cases where a default has been entered against a defendant who failed to respond to a suit, whereby the court holds an initial scheduling conference to give the defendant an additional opportunity to be heard;
- development of a mechanism to address fraudulent practices relating to service of process, in collaboration with the Consumer Protection Unit of the Office of the Attorney General;
- development of a more evidence-based approach to summoning jurors, which resulted in better use of jurors' time (80% of jurors are now sent to a courtroom compared to 66% before the new approach) and reductions in the number of citizens called to serve as jurors;
- implementation of an on-call jury system to more closely align juror demand with the number of jurors that report to service;
- 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, report on the services being provided, and work with the guardians appointed by the court to address any unmet needs of the wards;
- initiation of a new procedure for the public to bring complaints about adult guardianship cases to the attention of the court;
- expansion of the Superior Court's Community Court city-wide, which addresses 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. A recent study revealed that Mental Health Community Court participants were significantly less likely than defendants 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, ensuring that they pay their child support and become active in their children's lives; and the Family Treatment Court, 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;
- enhancement of 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 Foreclosure Calendar with specially trained mediators, counselors, and *pro bono* attorneys;
- implementation of new procedures to establish guardianships for abused and neglected children, thereby more efficiently creating permanent families for these vulnerable young people;
- cultivation of quality representation for families through a Child Welfare Legal Clinic, operated by a local law school, that represents parents in abuse and neglect cases, thereby training law students in this area of law and encouraging them to specialize in it as attorneys;
- 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 paperless initiatives in civil actions, landlord tenant, domestic violence, juvenile, neglect, mental health, mental habilitation, paternity and support, and criminal matters.

## **Goal 2: Access to justice**

- translation of commonly-used court forms into many of the languages spoken in the community: Spanish, Amharic, Arabic, Chinese, French, Korean, Russian, and Vietnamese; nearly 400 translated documents are now available as the Courts implement their Language Access Plan, developed to assure meaningful access to court proceedings for limited English proficient (LEP) persons in the community;
- expansion of e-filing to appellate matters, 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;
- 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. 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 video streaming of arguments before the Court of Appeals on the Internet, leveraging technology to provide the public greater access to the Court;
- continuation of the Public Education Outreach Initiative, in which the Court of Appeals holds oral arguments at local law schools several times each year;
- operation of self-help centers in partnership with the D.C. Bar, several law firms, 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;

- implementation of a call center in the Family Court to enhance customer service;
- issuance of a court order whereby lawyers not licensed to practice law in the District may represent clients in domestic relations, landlord tenant, and domestic violence cases to facilitate representation of individuals of modest means by the D.C. Affordable Law Firm;
- work with the Legal Aid Society to support limited scope representation by providing audio recordings to attorneys handling a portion of landlord tenant or small claims cases so they have a better understanding of what transpired in the case prior to their representation;
- implementation of a new user-friendly website to enhance access to court information and services, including enhanced search features, translation of information into the commonly used languages, and a new section for self-represented litigants;
- establishment of a new electronic information board in the Moultrie Courthouse lobby that lists cases to be heard in the courthouse that day organized by party name, including the judge, courtroom and time of hearing;
- launch of a public access portal in the D.C. Court of Appeals where the public can view docket information, and enhanced public access in the Superior Court by allowing online access to criminal, probate and civil case dockets, as well as images of documents in all civil cases and lower level criminal cases;
- establishment of the Veterans Navigator Program to link veterans to court serves and community resources.

### **Goal 3: A strong judiciary and workforce**

- mandatory training to strengthen leadership and management at the D.C. Courts for all supervisors, managers, and executives through a nine-module program to provide management tools centered on court values and leadership principles, and a two-day session on strategic performance management to foster collaboration, employee input, and consistency in the Courts' performance management system;
- development of the Living Our Values initiative, an employee-driven effort to integrate the values in the Courts' strategic plan into day-to-day operations. The initiative includes additional employee feedback and training for executives, managers, and front line supervisors on the Courts' culture, leadership principles, and values;
- creation of leadership principles for the D.C. Courts: (1) Establish a vision and goals for the future; (2) Create an environment that is a great place to work; (3) Collaborate across the organization; (4) Encourage innovation; (5) Develop employees to contribute their full potential; and (6) Promote excellence in services and the administration of justice;
- development of a Judicial Coaching Program in the Superior Court in which experienced judges participate in several days of skills-based training to become coaches and mentors for their colleagues;
- operation of a robust training program, including online and classroom training; approximately 150 classes are held each year on technology, customer service, and other skills; a management training program to develop and retain talented employees; specialized judicial training; and a biennial Courtwide Employee Conference;
- development of a succession management action plan to identify and mitigate risks associated with the anticipated loss of executive leadership as more and more employees approach retirement;

- ongoing strategic human resources initiative 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 implemented an 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;
- implementation of telework to enhance productivity and work flexibility and increase job retention;
- establishment of a Buddy Program pairing new employees with veteran employees to help them understand court processes, navigate the court, and integrate into the court culture;
- ongoing “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 2015 Employee Viewpoint Survey, with 75% 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.

#### **Goal 4: A sound infrastructure**

- expansion of the use of Voice Over Internet Protocol (VoIP) technology for telephone service, making phone calls portable, decreasing costs, and simplifying administration;
- creation of Web-Ex Warrant Process, in collaboration with other justice system agencies to streamline the process of issuing warrants and decrease travel costs and overtime pay for the Metropolitan Police Department: police officers scan warrants into the computer system at the Police District, a judge reviews the warrant with the officer via web conference, and, if approved, the court electronically sends the warrant to the officer, who makes an arrest or executes a search;
- implementation of a service management tool that permits court staff to request technology and facilities services, thereby enhancing customer service by streamlining the service request process;
- construction of the foundation and the western portion of the Moultrie Courthouse Addition, which will provide additional courtrooms and administrative space, addressing space shortages and making possible the co-location of remaining Family Court functions;
- completion of a multi-year project to improve and modernize adult and juvenile holding facilities and to construct new U.S. Marshals Service administrative space in the Moultrie Courthouse;
- renovation of the criminal arraignment courtroom in the Moultrie Courthouse, including electronic messaging and other technology improvements to enhance operations and public access;
- modernization and renovation of Building C to provide up-to-date, energy efficient space for the public visiting the Multi-Door Dispute Resolution Division and for the Information Technology Division;
- implementation of physical security enhancements such as installation of an access control system and additional security cameras, issuance to employees of enhanced access credentials with current photographs and other information, and upgrading of life safety systems;

- training for judges, court staff, and court-housed employees of other agencies on steps to take in the event of an active shooter or a bomb threat in the courthouse;
- upgrade of information technology equipment at the Courts' disaster recovery site;
- implementation of a computerized intake system, electronic scheduling, and an automated check-in system to enhance customer service and operational efficiencies.

### **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;
- participation in community events and festivals to provide opportunities for the public to learn about the D.C. Courts; the Courts also sponsor and participate in community meetings;
- implementation of the Courts' third Strategic Plan to ensure strategic alignment of our goals, functions, and resources in 2013 - 2017, following extensive community input, including surveys of 1,300 persons conducting business at the courthouse, 1,200 attorneys who recently appeared in the Courts, and all D.C. Courts' judges and employees; development of the Courts' fourth Strategic Plan (2018-2022) is underway;
- recognition of the critical role jurors play in the justice system during Jurors Appreciation Week in which the judicial and executive leadership hosted daily "meet and greet" sessions with prospective jurors and discussed the importance of jury service;
- 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;
- operation 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 the implementation of activities to engage youth in productive activities during their spring and summer breaks from school;
- hosting of Safe Surrender, a program that allows persons with outstanding warrants for non-violent felonies or misdemeanors to surrender in a safe environment, appear before a judge, and put the matter behind them;
- 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 2016.



## **Management Practices**

Although the D.C. Courts are not an executive agency, many management and operational initiatives and practices coincide with the Administration's focus on restructuring, improving organizational efficiency, and workforce management.

### **Strategic and Performance Planning**

The DC Courts have employed strategic management practices in the District's Judicial Branch for the past 15 years. This process starts with the creation of a Strategic Plan, every five years, that sets broad goals for the Courts consistent with their mission and vision for the organization's



future. The Courts' Strategic Planning Leadership Council, a planning group comprised of judicial officers, court executives, managers, and employees, develops the Strategic Plan following an extensive outreach effort to gather input from a broad array of individuals and groups served by the Courts, as well as those who work within the court community. Once adopted by the Joint Committee on Judicial Administration, the Strategic Plan is implemented throughout the organization, with each court division developing its own strategic objectives, called Management Action Plans (MAPs), that are aligned to the goals of the Strategic Plan. In

addition, the Courts have developed courtwide and division-level performance metrics that are tracked throughout the year to measure progress against goals and enable court leaders to make data-informed decisions to enhance operations. Division directors are held accountable for achievement of their Division MAP objectives through the annual performance review process. The Courts' Strategic Management Division provides strategic planning and development, research, evaluation, and organizational performance analysis and management services in support of strategic management of the Courts.

The Courts have realized a number of benefits as a result of adopting strategic management practices. Courts by necessity operate with much autonomy, as judicial officers must have independent decision-making authority. Further, court divisions handling criminal matters operate very differently from divisions handling family cases, or civil cases. Yet, all judicial officers and all court divisions fulfill a critical mission to serve the public and the Courts are a public institution, which must use resources prudently. The Strategic Plan emphasizes to all who work within the Courts their shared mission and goals, and provides a foundation from which to make decisions for the good of the institution reflecting its mission. The Courts also continually communicate goals and progress to the public through the Strategic Plan, thereby enhancing public accountability and trust and confidence in the Judicial Branch. Finally, the Courts continually work to instill in every court employee the link between their job and the Courts' mission and goals, so that every employee understands their contribution to the Strategic Plan.

As noted above, the Courts are operating under our third five-year strategic plan, “Open to All, Trusted by All, Justice for All: Strategic Plan of the District of Columbia Courts 2013 – 2017”, which is available on our website.<sup>2</sup> The plan delineates the Courts’ mission to protect rights and liberties, uphold and interpret the law, and resolve disputes peacefully, fairly and effectively in the District of Columbia. It describes the vision of the court system we aspire to be and that guides development of goals and priorities, resource allocation, decision-making, and day-to-day work. The plan sets five strategic goals as well as objectives and strategies to achieve them: 1) fair and timely case resolution, 2) access to justice, 3) a strong judiciary and workforce, 4) a sound infrastructure, and 5) public trust and confidence. In addition, the Courts are finalizing our fourth Strategic Plan, which sets the direction for the judiciary for 2018-2022.

## Reform

In developing our strategic plans, the Courts evaluate the changing needs of the community, and refine operations to meet those needs. On an ongoing basis, court leaders seek means of improving efficiency and effectiveness to meet performance goals. For example, in response to reduced criminal caseloads, the court redeployed staff. In the Probate Division, an aging population has increased caseloads, so employees were moved to the Probate Division and an additional judicial officer was assigned, branches within the division were consolidated, and staff was cross-trained to provide more flexibility to meet the emerging needs of the community. In the Multi-Door Dispute Resolution Division, the civil alternative dispute resolution program received additional staff and reorganized to double the mediation sessions offered to the public and to initiate mediation in the Judge-in-Chambers office. The Appeals Coordinator’s Office was disbanded when technology could fulfill the function, and the telecommunications function was moved from the Administrative Services Division to the Information Technology Division, reflecting the increasingly technology-based nature of telecommunications.

## Workforce Management

In recent years, the Courts have focused on workforce management and strategic human resources management. As detailed below under “Recent Achievements” and in the Human Resources and Center for Education and Training divisional sections of the budget, numerous initiatives strive to implement our third strategic goal: “A strong judiciary and workforce.” For example, the



<sup>2</sup> The Strategic Plan is available at [https://www.dccourts.gov/sites/default/files/matters-docs/Open-to-All-Trusted-by-All-Justice-for-All-Strategic-Plan-of-the-District-of-Columbia-Courts-2013-2017\\_internet\\_0.pdf](https://www.dccourts.gov/sites/default/files/matters-docs/Open-to-All-Trusted-by-All-Justice-for-All-Strategic-Plan-of-the-District-of-Columbia-Courts-2013-2017_internet_0.pdf).

“Building a Great Place to Work” initiative seeks to build employee engagement and service to the public. Court values and leadership principles guide court personnel as they conduct their duties. The Courts have trained supervisory staff to provide better leadership to front line workers. Succession planning efforts are underway to ensure continuity and successful operations as more and more court personnel become eligible for retirement.

## **Evidence and Evaluation**

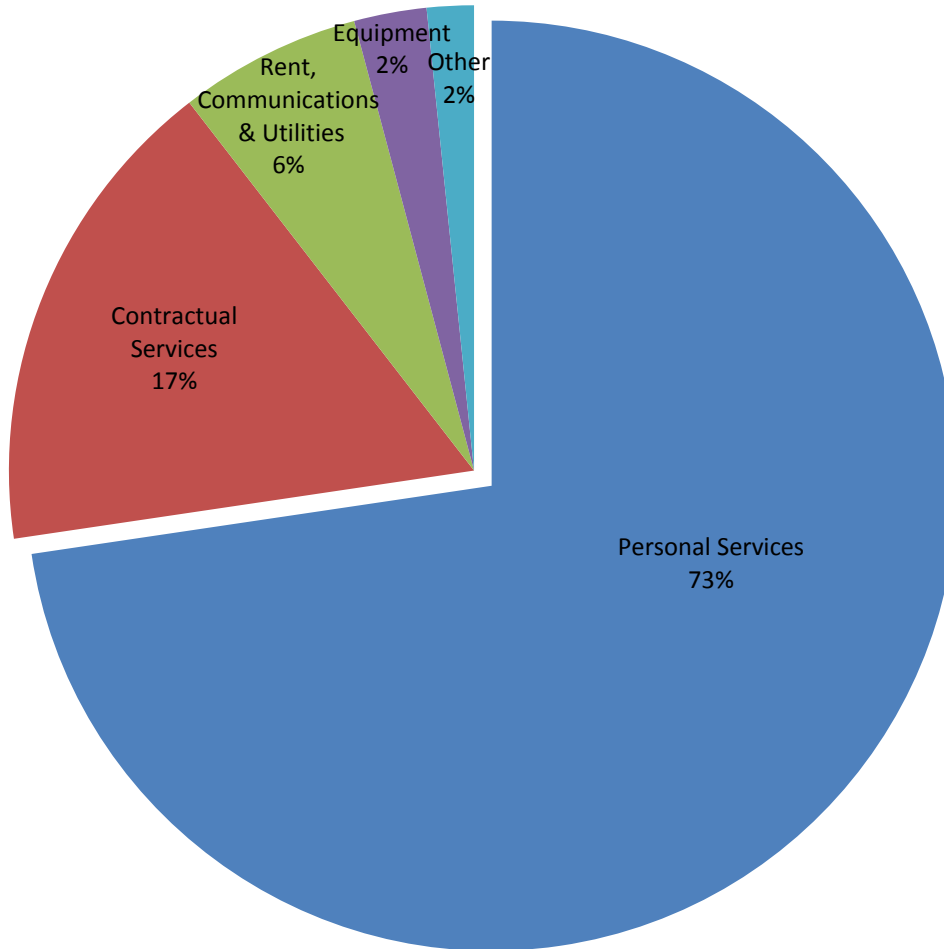
The Courts routinely utilize independent program evaluations and the analytic capacity in our Strategic Management Division. The Program Evaluations section of this Justification describes current formal independent evaluations of court programs. The research professionals in the Courts’ Strategic Management Division administer these evaluations and contribute their expertise to the development and implementation of performance measures courtwide. These studies are undertaken to assess program efficacy and assist court leadership in making decisions related to program structure, function, and continuation.

One example of a recent evidence-based decision is the Courts’ expansion of the community court model citywide, following a program evaluation that showed significantly reduced recidivism rates for defendants whose cases were processed in the East of the River Community Court, compared to a group of similar defendants processed using traditional methods. Community courts aim to reduce recidivism and break the cycle of crime by combining elements of therapeutic justice (connecting defendants with needed services like drug treatment or job training) and restorative justice (paying back the community for the harm caused by the offense through community service to enhance defendant accountability).

## **D.C. Courts Budget Overview**

To carry out our mission to administer justice for all persons in the Nation’s Capital, the D.C. Courts rely on our personnel—judges in courtrooms hearing cases, clerks at public counters processing cases, probation officers supervising juvenile offenders, and numerous other critical workers. As illustrated in Chart 1, nearly three-quarters of the Courts’ operating budget (73%) finances court personnel.

Chart 1  
**Composition of D.C. Courts' Operating Budget  
 (FY 2017 Data)**



The remaining budget finances necessary operations and support. For example, under contractual services the Courts finance interpreters for persons with hearing impairments and limited English proficiency, and special security officers to protect the public and court personnel by providing security in the courthouse. To help support juveniles on probation and their rehabilitation, the Courts contract for services for youth and lease and maintain community-based drop-in centers/probation offices. In addition,

the Courts' budget includes basic support functions, such as information technology, housekeeping, electricity, water, steam, telecommunications, and office rental.

Summaries of the operating budget request by strategic goal, the capital request, and the defender services request follow. Operating budget requests are described in detail in the respective division section, where detailed performance data for each division are also located. In the capital budget, funding to complete the Moultrie Courthouse Addition, which commenced in FY 2013 with foundation construction, is critical. The capital budget section of this request contains detailed information on the Courts' capital projects, their management, and the funding needed to protect recent capital investments and to maintain the Courts' infrastructure.

## **FY 2019 Request Summary**

The D.C. Courts have recently developed our fourth five-year Strategic Plan, which will guide court operations from 2018 to 2022. The plans reflect input from several thousand members of 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.

### **Operating Budget by Strategic Goal**

To build on past accomplishments and to continue to serve the public in the District of Columbia during FY 2019, the Courts require adequate resources. Listed below are the Courts' strategic goals and requested additional operating budget resources, arranged by goal, to ensure that we adapt to the changing needs and perform our mission with 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

The FY 2019 budget request enhances two of the five strategic goals and includes performance projections for all core functions.

#### ***Goal 1: Fair and timely case resolution--\$670,000 and 2 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 request includes \$101,000 for 1 FTE to expedite resolution of cases on appeal; \$57,000 for 1 FTE to serve the substantially increased number of applicants for admission to the Bar; and \$512,000 to serve the public by increasing payments to jurors.

#### ***Goal 4: Sound Infrastructure--\$2,407,000, 5 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 request includes \$1,900,000 for a new digital video system to enhance public safety and provide a secure environment for the administration of justice; \$101,000 for 1 FTE to manage the increasingly sophisticated technology platform in the Court of Appeals; \$122,000 for 1 FTE in the Information Technology Division to ensure compliance with security requirements; \$141,000 for 2 FTEs to increase the responsiveness of the Courts' Information Technology Help Desk; and \$143,000 for 1 FTE to manage VOiP telecommunications technology.

### ***Built-In Increases--\$6,055,000***

The request also includes \$6,055,000 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 a lower turnover rate compared to the Federal government, which can finance within grade increases through higher turnover (12% in 2016 versus 16.3%, respectively).

### ***Partial Restoration of Funding – \$5,311,000***

The District of Columbia Courts play a key role in public safety in the District of Columbia. In addition to serving as the venue for impartial trials, the Courts utilize best practices to improve public safety by reducing recidivism and addressing drug-related crime. With nearly three quarters of our budget financing staff, the budget cuts reflected in the FY 2018 budget recommendation negatively impact the staff who carry out these case functions. To fund court operations adequately, the request includes \$5,311,000 to restore a portion of the funding cut from the FY 2017 level.

### **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 2019 capital request totals \$128,750,000. This request focuses on the Moultrie Courthouse, information technology, and building maintenance.

The Courts' capital budget is structured to continue progress in implementing the *Facilities Master Plan*, which addresses facilities requirements through 2022. The updated *Facilities Master Plan* projects a shortfall of 57,250 occupiable square feet over the next 10 years for court operations, which is addressed through an addition to the Moultrie Courthouse. The Facilities Conditions Assessment Report documents maintenance requirements and improvements needed in 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. Buildings A and B have been renovated and now house our Landlord Tenant and Small Claims courts and the Probate Division. 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

administrative offices moved to the JM Level in February 2011. A new Juvenile Holding Facility was constructed in May 2009. The renovation to the 6<sup>th</sup> 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.

For the past several years, the Moultrie Courthouse, the Courts' largest building and home to the majority of trial court operations and judicial chambers, has been the focus of most capital projects, as it undergoes expansion to address the space shortfall. The Moultrie Courthouse Addition will add 57,250 occupiable square feet of space to the courthouse and expand the building along the south façade at C Street. The construction of an addition will include 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 all Family Court functions on two levels of the Moultrie Courthouse.

A significant portion of the FY 2019 capital budget request, \$27.06 million, finances the completion of the Moultrie Courthouse Addition. Construction of the foundation for the addition was completed in March 2015, and, thanks to the support of the President and Congress, funds to complete the western half of the addition and a portion of the eastern half of the addition were included in the FY 2016 and FY 2017 budgets.

The Superior Court case management system has reached the end of its expected life and is becoming increasingly difficult and costly to maintain. The case management system is the foundation of court operations –fundamental to fair and timely case resolution and required to ensure public trust and confidence in the justice system. The Courts' budget request includes \$16.1 million to replace the system with a web-based system to enhance public access to court information, improve cybersecurity, and leverage new technology, such as cloud computing.

The migration of all D.C. Courts operations from Gallery Place is essential to reducing dependency on high-cost leasing and to relocating support functions to court buildings in Judiciary Square. The FY 2019 request of \$21.40 million will fund the migration of court offices from leased space to Judiciary Square, including design, hazardous material abatement and construction activities in court buildings at 515 5<sup>th</sup> Street N.W. and 510 4<sup>th</sup> Street N.W.

Included in the capital budget request is \$4.97 million to continue renovation of the Superior Court's courtrooms and chambers through a multi-year renewal program. The renovation program will accommodate modern technology, improve life safety, enhance access for the disabled, and replace worn surfaces, and furnishings originally installed in the mid-1970s.

Also, \$8.91 million is requested for the Northeast Garage, which will provide safe and secure underground parking for judges and staff. This project is detailed in the Judiciary Square Master Plan and is included in the DDOT Judiciary Square Transportation and Security Study.

The FY 2019 Capital Budget also includes a request for \$50.31 million to maintain and upgrade the D.C. Courts' facilities infrastructure. Significant taxpayer resources have been expended over the past decade to modernize the D.C. Courts' older buildings (four of the Courts' five buildings were built 85-195 years ago). According to the D.C. Courts' Facilities Conditions Assessment, mechanical systems and structural repairs are necessary to ensure the safety of building occupants and to preserve the integrity of these historic structures. The D.C. Courts request \$19.86 million for the HVAC, Electrical, and Plumbing Upgrades to continue to upgrade electrical systems in the H. Carl Moultrie Courthouse and replace HVAC equipment as components reach the end of their useful life throughout the campus. The \$3.64 million requested for Fire and Security Alarm Systems will finance a sprinkler system for the H. Carl Moultrie Courthouse as part of the fire sprinkler installation program for the building. In addition, \$18.96 million is requested for General Repair Projects to continue (1) accessibility and safety improvements, (2) replacement of fixtures, lighting, flooring, and ceiling tiles, and (3) replacement of equipment, as required, or due to emergency failure. To keep elevators and escalators in good working order, \$260,000 is requested. A total of \$260,000 is requested for Restroom Improvements to maintain public restrooms in the H. Carl Moultrie Courthouse. In the area of technology, the D.C. Courts are requesting \$3.43 million to provide resilient and responsive technology that will result in the highest level of service to the public. The technology request will focus primarily on (1) the development of mobile applications (Access to Information to ensure access to justice and fair and timely case resolution), (2) cloud computing, workspace virtualization and network infrastructure enhancements (Enhancing Technology Capabilities to promote operational effectiveness by seeking innovative technology solutions), and (3) ongoing cybersecurity enhancements (Information Security that protects court information and assets from cyber threats and other risks). Finally, \$3.9 million is requested to maintain the Historic Courthouse and protect the public investment in the renovated building delivered in 2009.

### **Defender Services Budget Request**

To support Strategic Goal 2: Access to Justice, the FY 2019 Defender Services request totals \$49,890,000, unchanged from FY 2018.



Chart 2  
DISTRICT OF COLUMBIA COURTS  
Organizational Structure

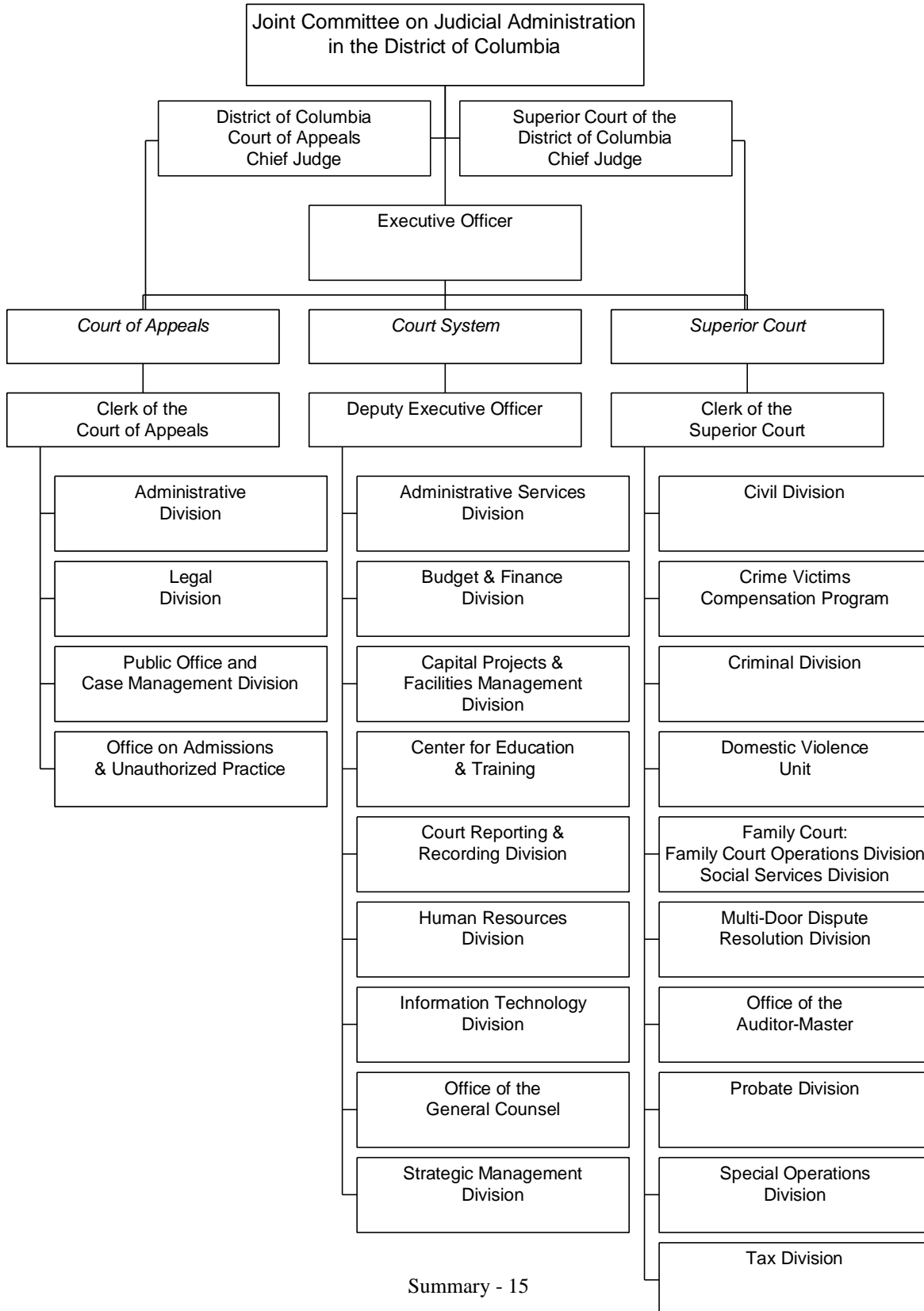


Table 1  
**DISTRICT OF COLUMBIA COURTS**  
**FY 2019 Budget Justification**  
 Overview of Request  
 (in dollars)

	FY 2018 <u>Level</u>	FY 2019 <u>Request</u>	Difference <u>FY 2018/2019</u>
Court of Appeals	14,000,000	14,796,000	796,000
Superior Court	121,000,000	127,035,000	6,035,000
Court System	<u>71,500,000</u>	<u>79,112,000</u>	<u>7,612,000</u>
<b>Subtotal, Operations</b>	<b>206,500,000</b>	<b>220,943,000</b>	<b>14,443,000</b>
Capital	58,900,000	128,750,000	69,850,000
<b>Total, Federal Payment</b>	<b>265,400,000</b>	<b>349,693,000</b>	<b>84,293,000</b>
<b>Defender Services</b>	<b>49,890,000</b>	<b>49,890,000</b>	<b>0</b>

Table 2  
**DISTRICT OF COLUMBIA COURTS**  
**FY 2019 Budget Justification**

**Summary Table**  
(in dollars)

**Operations**

	Amount	FTE
<b>District of Columbia Court of Appeals</b>		
<b>FY 2018 Level</b>	<b>14,000,000</b>	<b>105</b>
FY 2019 Requested Increases		
<i>A. Goal 1: Fair and Timely Case Resolution:</i>		
1. Staff Attorney (Enhancing Case Resolution)	101,000	1
2. Staff Assistant (Bar Admissions Process)	57,000	1
<i>Subtotal</i>	158,000	2
<i>B. Goal 4: A Sound Infrastructure</i>		
1. IT Technology Specialist (Enhancing IT Functions)	101,000	1
<i>Subtotal</i>	101,000	1
<i>C. Built-In Cost Increases</i>	345,000	-
<i>D. Partial Restoration of FY 17 Funding Level</i>	192,000	-
<b>FY 2019 Budget, Court of Appeals</b>	<b>14,796,000</b>	<b>108</b>
<b>Superior Court of the District of Columbia</b>		
<b>FY 2018 Level</b>	<b>121,000,000</b>	<b>988</b>
FY 2019 Requested Increases		
<i>A. Goal 1: Fair and Timely Case Resolution:</i>		
1. Juror Fee Increase (Initiatives Section)	512,000	-
<i>Subtotal</i>	512,000	-
<i>B. Built-In Cost Increases</i>	2,885,000	-
<i>C. Partial Restoration of FY 17 Funding Level</i>	2,638,000	-
<b>FY 2019 Budget, Superior Court</b>	<b>127,035,000</b>	<b>988</b>
<b>District of Columbia Court System</b>		
<b>FY 2018 Level</b>	<b>71,500,000</b>	<b>301</b>
FY 2019 Requested Increases		
<i>A. Goal 4: A Sound Infrastructure</i>		
1. New Digital Security Video Management System (Initiatives Section)	1,900,000	-
2. Security Compliance Officer (Information Technology Division)	122,000	1
3. Network and Telecom Manager (Information Technology Division)	143,000	1
4. Customer Service Technicians (Information Technology Division)	141,000	2
<i>Subtotal</i>	2,306,000	4
<i>B. Built-In Cost Increases</i>	2,825,000	-
<i>C. Partial Restoration of FY 17 Funding Level</i>	2,481,000	-
<b>FY 2019 Budget, Court System</b>	<b>79,112,000</b>	<b>305</b>
<b>Total FY 2019 Budget, D.C. Courts Operations</b>	<b>220,943,000</b>	<b>1,401</b>

### Capital Improvements

	Amount
Renovations, Improvements & Expansions	
1. Moultrie Courthouse Addition	27,060,000
2. Trial Court Case Management System	16,100,000
3. Migration from Gallery Place	21,400,000
4. Courtrooms and Chambers	4,970,000
5. Northease Garage Study	8,910,000
<i>Subtotal, Renovations, Improvements &amp; Expansions</i>	<u>78,440,000</u>
Maintain Existing Infrastructure	
1. HVAC, Electrical and Plumbing Upgrades	19,860,000
2. Fire and Security Alarm Systems	3,640,000
3. General Repair Projects	18,960,000
2. Elevator and Escalator Repairs and Replacement	260,000
5. Restroom Improvements	260,000
3. Technology Infrastructure	3,430,000
7. Historic Courthouse	3,900,000
<i>Subtotal, Maintain Existing Infrastructure</i>	<u>50,310,000</u>
<b>FY 2019 Budget, Capital Improvements</b>	<b>128,750,000</b>

### Defender Services

<b>FY 2018 Level</b>	<b>49,890,000</b>
FY 2019 Requested Increases	0
<b>FY 2019 Budget, Defender Services</b>	<b>49,890,000</b>

**District of Columbia Courts  
FY 2019 Budget Justification  
Appropriations Language**

**Language**

FEDERAL PAYMENT TO THE DISTRICT OF COLUMBIA COURTS

For salaries and expenses for the District of Columbia Courts, [\$265,400,000] \$349,693,000 to be allocated as follows: for the District of Columbia Court of Appeals, [\$14,000,000] \$14,796,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the Superior Court of the District of Columbia, [\$121,000,000] \$127,035,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the District of Columbia Court System, [\$71,500,000] \$79,112,000, of which not to exceed \$2,500 is for official reception and representation expenses; and [\$58,900,000] \$128,750,000, to remain available until September 30, [2019]2020, 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, in addition to the amounts appropriated herein, fees received by the District of Columbia Courts for administering bar examinations and processing District of Columbia bar admissions may be retained and credited to this appropriation, to remain available until expended, for salaries and expenses associated with such activities, notwithstanding section 450 of the District of Columbia Home Rule Act (D.C. Official Code, sec. 1-204.50): *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] \$9,000,000 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. (H.R. 3280)

FEDERAL PAYMENT FOR DEFENDER SERVICES IN DISTRICT OF COLUMBIA COURTS

(INCLUDING TRANSFER OF FUNDS)

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 not more than \$20,000,000 in unobligated funds provided in this account may be transferred to and merged with funds made available under the heading "Federal Payment to the District of Columbia Courts," to be available for the same period and purposes as funds made available under that heading for capital improvements to District of Columbia courthouse facilities: *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: (H.R. 3280<sup>3</sup>)

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<sup>3</sup> This request includes retention of the Defender Services proviso authorizing transfer of funds to the Courts' capital budget because, at the time this submission was prepared, the FY 2018 appropriation had not been finalized so it was unclear whether the proviso would be included. If the FY 2018 appropriation act includes the provision, then the Courts request its deletion in the FY 2019 appropriation act, as it was based on a one-time unobligated balance in the account.

## **Justification**

<b>ACCOUNT: FEDERAL PAYMENT TO THE DISTRICT OF COLUMBIA COURTS</b>	
<b>Proposed change</b>	Added language: <i>“Provided further, That, in addition to the amounts appropriated herein, fees received by the District of Columbia Courts for administering bar examinations and processing District of Columbia bar admissions may be retained and credited to this appropriation, to remain available until expended, for salaries and expenses associated with such activities, notwithstanding section 450 of the District of Columbia Home Rule Act (D.C. Official Code, sec. 1–204.50):”</i>
<b>Purpose</b>	Permits the courts to retain fees collected for bar admissions to help cover related administrative costs.
<b>Justification</b>	<p>Faced with steeply increasing applications to take the District of Columbia Bar Examination, the D.C. Courts require adequate resources to administer the examination and process the applications. The District of Columbia Court of Appeals is responsible to assure that attorneys licensed to represent the public possess the competence, fitness, and character required to discharge their duties. The Court uses the bar exam to determine applicants’ competence and an extensive background report to evaluate character and fitness. Since the Court adopted the Uniform Bar Examination (UBE) in 2016, applications to take the D.C. Bar Exam have increased by nearly four-fold, and the numbers are expected to continue to grow. The cost of administering the examination has already increased by \$124,000, and this request includes \$57,000 for one additional employee to process the applications. Additional resources will be required to examine aspiring attorneys effectively and to process their applications in a timely manner, as the numbers continue to increase.</p> <p>Since the adoption of the UBE, bar admissions fees collected by the Court have increased by \$638,000. Retention of the fees is necessary to provide resources for the Court to address the increasing number of applications.</p>

**ACCOUNT: FEDERAL PAYMENT TO THE DISTRICT OF COLUMBIA COURTS**

<b>Proposed change</b>	<i>Provided further</i> , 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] <i>\$9,000,000</i> of the funds provided under this heading among the items and entities funded under this heading:
<b>Purpose</b>	Changes the amount that may be reallocated among appropriations in the Federal Payment to the District of Columbia Courts from \$6,000,000 to \$9,000,000.
<b>Justification</b>	The District of Columbia Courts require additional flexibility to reallocate funds to carry out our mission of administering justice in the District of Columbia, in the face of increasingly restricted budgets. The three entities of the District of Columbia Courts, the Court of Appeals, the Superior Court, and the Court System comprise a unified court system. As the three entities work together to serve the public, advance administrative efficiencies, and maintain our aging and heavily-used infrastructure, they require adequate authority to shift resources among themselves.



**District of Columbia Courts  
FY 2019 Budget Request  
Initiative**

**ENHANCING PUBLIC SECURITY**

<b>Initiative Element</b>	<b>Requested Increase</b>
Acquire and Install New Digital Video Management System	\$1,900,000

**Problem Statement.** Increasing incidents of violence in courthouses throughout the country have made the enhancement of courthouse security a top priority nationwide. Studies conducted by the Center for Judicial and Executive Security found that the number of violent incidents in state courthouses has gone up every decade since 1970. Locally the U.S. Marshals Service has reported an increase in threats against judicial officers at the District of Columbia Courts.

The D.C. Courts operate one of the busiest courthouse complexes in the country. On a daily basis, between 10,000 and 15,000 persons visit the D.C. Courts, and between 150 and 350 prisoners are processed in the Moultrie Courthouse. With progress being made on the Master Plan for the D.C. Courts Facilities, court proceedings are now occurring in all buildings on the Courts' Campus, including the Moultrie Courthouse, Historic Courthouse, Buildings A, B, and C. The Courts also have support offices located in Gallery Place and provide juvenile probation services in five centers located in all quadrants of the community.

Central to ensuring that the Courts provide a safe and secure environment for the administration of justice is an up to date, functional video management system which allows for continuous video monitoring of public as well as secure courthouse space. The video management system serves as an initial line of defense, enabling the Courts to manage real time threats, provide incident responses and document criminal activities occurring in court buildings.

The Courts' current video management system was installed in 2004 and is at the end of its useful life. The current system is an analog-based system and a significant portion of the marketplace has ceased production of analog components, with the remaining vendors planning to cease production within the next three to seven years. All support for analog-based systems will terminate after 2022. In the event of a system malfunction, replacement parts will not be available, rendering the system inoperable. The limited availability of parts has already begun to affect the repair of the current systems. To ensure the safety and security of court facilities, it is critical that the Courts replace the existing video management system prior to its discontinuation or a system-wide failure. The proposed enhancements are in compliance with the Federal Courthouse standards.

**Relationship to Court Vision, Mission and Strategic Goals.** The replacement of the video management system supports the Courts' Strategic Objective 4.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.” A secure environment is essential to the Courts' mission of protecting rights and liberties and upholding the law.

Proposed Solution. The Courts plan to procure and install a new video management system in all court facilities to match the current configuration in the Moultrie Courthouse.

Methodology. The cost estimate is based on responses to a Request for Information issued by the Courts.

Expenditure Plan. The video management system will be procured in accordance with the Courts' Procurement Guidelines.

Performance Indicators. Performance indicators include the conversion of all analog systems to Internet Protocol (IP) based solutions that are compatible with the new system installed in the Moultrie Courthouse. This compatibility will subsequently provide more real time alarm and threat management for court security personnel. In addition, transition to a fiber infrastructure will allow for expanded capabilities and sustainment in the future, as all analog systems are being phased out of production within the next three to seven years.

Ultimately, in the area of security, the best measure of performance is the avoidance of harm to individuals and facilities. Since the precise level and nature of the risks cannot be known, it is difficult, at best, to prove the efficacy of any security enhancement. The approach taken here is to identify known risks and gaps in existing security and to address them proactively.

## JUROR FEE ADJUSTMENT

Initiative Element	Requested Increase
Increase Juror Travel Allowance and Attendance Fees	\$512,000

Problem Statement. Pursuant to D.C. Code §11-1912(a), the fees and expenses paid to Superior Court jurors may not exceed the respective rates paid to such jurors in the Federal system. The U.S. District Court for the District of Columbia currently compensates jurors who are not government employees at a daily rate of \$40 and provides all jurors a \$7 daily transportation allowance. The Superior Court juror attendance fee was set at \$30 a day in 1994 and has not been increased in 23 years. The current travel allowance is \$4 a day.

The Courts are seeking to increase the attendance fee to \$40 and the travel allowance to \$5. The proposed increase will partially address the historical effect of inflation on the dollar in the 23 years since the last increase. The Bureau of Labor Statistics data on inflation in the Consumer Price Index indicates that a \$30 juror attendance fee in 1994 would equate to \$49.78 in 2017 dollars. Jurors have expressed dissatisfaction with the current juror fees, as they do not adequately reimburse for costs associated with jury duty. This modest rate adjustment would directly address their concerns, and the travel allowance would more closely track the cost of commuting for many jurors based on Metro costs.

To demonstrate the Court's appreciation for jurors and the important civic duty they perform, we are also seeking funding to pay attendance fees to jurors for the day they are summoned and report for jury duty. Currently, jurors in Superior Court are not paid an attendance fee unless they are selected to serve as a juror for a trial (i.e., empanelled). A juror can report for duty, be sent to a courtroom and participate in voir dire, spend the better part of a day at the courthouse, and if not selected for a jury panel, go home with \$4 to partially offset travel expenses. This proposal is consistent with the practice used in Federal Courts and neighboring jurisdictions in Maryland and Virginia, and would benefit non-salaried persons whose employers do not pay them when on jury duty, often those employees in lower paying jobs. As a matter of best practices, paying all jurors an attendance fee for reporting to jury duty and updating these allowances for the effects of inflation demonstrates that the Superior Court values the service performed by jurors. The proposed juror fee adjustment would result in an annual cost increase of \$512,000.

Relationship to Court Vision, Mission and Strategic Goals. The adjustment of juror travel allowance and attendance fees supports the Courts' Strategic Goal of "Fair and Timely Case Resolution" by enhancing fairness in jury trials by establishing mechanisms to increase citizens' response to juror summonses.

Proposed Solution. The proposed solution is to increase the juror attendance fee to \$40, the daily travel allowance to \$5, and to pay all jurors reporting for duty an attendance fee of \$40.

Methodology. The cost estimate is based on the FY 2016 juror fee payments and travel allowances adjusted to reflect the proposed allowance rate increases as well as the attendance fee

cost for unempanelled jurors. It is projected that the full annual cost of implementation is approximately \$512,000.

Expenditure Plan. Purchases will be made in accordance with the Courts' Procurement Guidelines, and all other expenditures will be in accordance with existing program administration procedures.

Performance Indicators. A performance indicator for this initiative is an increase in the juror satisfaction score on the juror survey.

## DISTRICT OF COLUMBIA COURT OF APPEALS

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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	14,359,000	105	14,000,000	108	14,796,000	3	796,000

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 entire 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 receives incoming documents, docketed pleadings, maintains official case files, receives and answers public inquiries, provides internal mail service, and supports courtroom operations. This office 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 motions matters, briefing schedules, deadlines, and those matters expedited by order of the court. The division reviews incoming motions and pleadings and prepares proposed orders, *sua sponte* (initiated by the court) or in response to motions filed by the parties, for approval by the Clerk, Chief Judge, or a motions division (comprised of three judges). Attorneys in the division provide legal analyses (and recommended dispositions) in substantive motions, emergency matters, and matters brought under the court's original and discretionary jurisdictions. This division has 16 FTEs.

- Immediate Office - The Immediate Office, which includes the Clerk and the Chief Deputy Clerk, handles the general administration of the Clerk's Office; coordinates the processing of appeals after briefing (calendarizing, case screening, and processing motions and orders in calendared matters); coordinates the issuance of opinions and mandates, petitions for rehearing and/or rehearing *en banc*; processes bar-related disciplinary, admissions, and unauthorized practice of law matters; and prepares court statistics. This office 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 practice law *pro hac vice* (in a particular case); 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 has 6 FTEs.
- Administrative Office - The administrative staff are responsible for information technology, telecommunications, and library services for the Court of Appeals. This office 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 that 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**

<b>Fiscal Year</b>	<b>Cases Filed</b>	<b>Cases Disposed</b>	<b>Case Clearance Rate*</b>	<b>Cases Pending</b>	<b>Motions and Petitions Filed</b>
2015	1,523	1,584	104%	1,468	5,358
2016	1,356	1,564	115%	1,266	5,137

\*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**

<b>Fiscal Year</b>	<b>Bar Examination Admission Applications Received</b>	<b>Multistate Bar Exam Score Transfer Requests Processed</b>	<b>Certificates of Good Standing Issued</b>	<b>Wall Certificate Orders Processed</b>
2015	647	2,915	3,562	9,809
2016	1,132	2,680	3,812	9,604

## **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.

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

- To enhance public access to court proceedings, the Court audio-streams oral arguments over the Internet. The court also video-streams selected oral arguments.
- The Court 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.
- The Court implemented 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.

- The Court piloted e-filing to enhance service to the public and eliminate the manual case initiation process, thereby resulting in operational efficiencies.
- A staff reorganization was initiated to streamline the Courts' internal operations based on the recommendations provided in an operational assessment study conducted by the National Center for State Courts.
- The Court 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.
- The Court developed and conducts annually a continuing legal education course on appellate practice for members of the District Columbia Bar.
- The Court 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](http://www.dcappeals.gov).
- Adoption and the termination of parental rights case appeals were expedited to ensure prompt decisions in cases that affect the stability of the living environment of children who have been subjected to abuse and neglect.
- The Court conducted annual training of the CJA and CCAN attorneys concerning appellate issues.
- Pursuant to its plan for furnishing representation to indigent criminal and juvenile appellants under the CJA, the Court evaluated members of the panel of attorneys and considered new applicants each year.
- 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**

<b>Type of Indicator</b>	<b>Performance Indicator</b>	<b>Data Source</b>	<b>FY 2015 Actual</b>	<b>FY 2016 Actual</b>	<b>Projection FY 2017</b>	<b>Projection FY 2018</b>
Input	Number appeals filed	Court data	1,523	1,356	1,189	1,022
Output/ Activity	Number of cases disposed	Court data	1,584	1,564	1,544	1,524
Productivity/Efficiency	Clearance Rate	Court data	104%	115%	130%	149%

### **FY 2019 Request**

In FY 2019, the D.C. Courts request for the Court of Appeals is \$14,796,000, an increase of \$796,000 (6%) above the FY 2018 Level. The requested increase includes \$259,000 for three new FTEs to enhance case processing and enterprise-wide technology initiatives, \$345,000 for built-in cost increases, and \$192,000 for partial restoration of the FY 2017 funding level.

### ***Enhancing Case Resolutions, 1 FTE, \$101,000, Attorney (JS-12/13)***

**Problem Statement.** To improve case processing time for the public with cases before one of the nation's busiest appellate courts and to handle an anticipated increased workload of discretionary



appeals due to the expanded jurisdiction of the Small Claims Branch to \$10,000, the recent change in case law to permit interlocutory appeals in certain neglect cases, and increased emergency motions to stay actions of both the trial court and District agencies, an additional attorney for the Court's Central Legal Staff is required.

The District of Columbia Court of Appeals consistently has one of the highest population-adjusted appellate caseloads among jurisdictions without an intermediate appellate court, according to statistics compiled by the National Center for State Courts. The Court's heavy and complex caseload makes timely case resolution a challenge. The continuing judicial vacancy further strains the Courts' efforts to reduce the length of time it takes to resolve cases. The Court has worked to expedite time on appeal by increasing efficiencies in case processing. Some of these improvements include the summary resolution of most disciplinary matters by a motions panel; the summary resolution of appropriate appeals by cross-motions for resolution by a motions panel; and the determination of jurisdiction upon receipt of an appeal with quick dismissals where the court lacks jurisdiction. The average time a case is on appeal has been steadily decreasing due to improvements and staffing increases in the Central Legal Division. Between 2015 and 2016, the time on appeal for all cases decreased from an average of 423 days to 405. The requested attorney is critical to continuing this effort.

An efficiency study and operational assessment conducted by the National Center for State Courts (NCSC) made a number of recommendations regarding management structure, workflow processes, and allocation and utilization of staff to better support judicial decision-making. Specifically, the NCSC report recommended additional Central Legal Staff to enhance the timely disposition of matters pending before the court. These attorneys serve as counsel to judges and to court staff during all stages of the appeal process. Their primary function is to provide research memos and accompanying draft orders on substantive motions filed in cases on appeal. Staff attorneys also perform a number of other important functions, such as: screening new cases for jurisdiction; handling attorney discipline matters; making dispositional recommendations on substantive motions; reviewing the chief judge's orders; writing research memos and drafting orders for original jurisdiction matters; providing research support for judicial committees; and preparing appellate manuals. These functions facilitate the judicial decision-making process and reduce the judges' workload.

The NCSC recommended that the Court hire at least one additional attorney to assist with motions. The number of motions filed has increased substantially; for example, the number of motions for summary affirmance increased by 70% over the last five years. The limited staff and the increased workload have resulted in a four to five month delay in motions rulings, far beyond the Court's one-month goal. An additional attorney is critically needed to help the Court of Appeals achieve its goal of fair and timely case resolution.

Relationship to the D.C. Courts' Vision, Mission and Goals. The requested position supports the D.C. Courts' Strategic Goal 1, fair and timely case resolution.

Relationship to Court of Appeals MAP Objectives. The position is critical to the success of the Court of Appeals' strategic objective of ensuring appropriate and timely processing of appeals.

Relationship to Existing Funding. The Court has implemented the NCSC recommendations to the extent possible within existing resources. Additional funds are required to support this position.

Methodology. The grade level and salary for the requested FTE is classified in accordance with the D.C. Courts' personnel policies.

Expenditure Plan. Staff will be recruited and hired according to the D.C. Courts' Personnel Policies.

Key Performance Indicators. Key performance measures include a reduction in the Court's time on appeal, an increase in the clearance rate, and feedback from judicial officers and court staff.

***Enhancing IT Functions, 1 FTE, \$101,000, Information Technology Specialist (JS-12/13)***

Problem Statement. To manage effectively the increasingly sophisticated technology platform on which the Court of Appeals relies for effective and efficient operations, an Information Technology Specialist is required. The D.C. Courts' enterprise-wide solutions for information technology, and increasing the complexity of the Court of Appeals' network is beyond the expertise of existing staff.

The Court of Appeals currently has two IT staff that is responsible for the planning, development, and management of the technology systems that support the Court's case flow, office automation, special programs, and management operations. These staff design and administer system configuration and architecture, network operations, desktop systems, the Court's case management system and related software projects, and serve as network engineers.

As the Court expands its information technology program to help resolve cases more quickly and efficiently, an additional IT Specialist is critical to manage these enterprise projects. The new specialist will provide the Court with an in-depth knowledge of network engineering, virtual local area network (VLAN) design and implementation, layered routing, and core and access switch configuration to support the following projects:

1. Active Directory Initiative: creating a global single sign-on for court-wide systems
2. Improvement of in-house network performance
3. Addressing load balancing

Relationship to the D.C. Courts' Vision, Mission and Goals. The requested position supports the D.C. Courts' goal of timely administration of justice through effective and efficient support of technology, thereby increasing the efficiency of court operations.

Relationship to Court of Appeals MAP Objectives. The position is critical to the success of the Court's strategic objective of ensuring appropriate and timely processing of appeals.

Relationship to Existing Funding. The current budget can support only the two existing IT positions. Additional resources are required to support this position.

Methodology. The grade level and salary for the requested FTE is classified in accordance with the D.C. Courts' Personnel Policies.

Expenditure Plan. Staff will be recruited and hired according to the D.C. Courts' Personnel Policies.

Key Performance Indicators. Key performance measures include a reduction in the Court's time on appeal, an increase in the clearance rate, and feedback from judicial officers and court staff.

***Enhancing Bar Admissions Process and Unauthorized Practice of Law Case Resolutions, 1 FTE, \$57,000, Staff Assistant (JS-7/8)***

Problem Statement. To ensure that the public is represented by qualified attorneys with fit character, protect the public from individuals engaged in the unauthorized practice of law, reduce the processing time of applications for admissions to the District of Columbia Bar, address a substantially increased workload, and implement the best practices recommended by the National Conference of Bar Examiners, an additional position in the Office of the Committee on Admissions and the Unauthorized Practice of Law (Office) is required. The Office is responsible for processing applications for admission to the Bar to assure that the Court licenses skilled attorneys with strong character to represent the public and for investigating complaints concerning individuals engaged in the unauthorized practice of law (UPL).

To maintain a high level of performance, the Court has re-evaluated its staffing structure, made technological improvements, and adopted organizational and operational changes designed to maximize resources and improve efficiency. As recommended in the assessment conducted by the National Center for State Courts, the Court has implemented a new web-based paperless application system, an automated tracking system, and a reorganization of staff. The requested position is critically needed to help the Court of Appeals achieve its goal of efficient and timely admissions to the D.C. Bar.

The District of Columbia Bar is one of the largest in the country and the Court of Appeals is responsible for determining the eligibility and admission of individuals seeking to practice law in the District of Columbia. An individual can gain admission to the Bar by either sitting for the exam in the District or by waiving in from another jurisdiction. Effective March 2016, the Court adopted the Uniform Bar Exam (UBE), a standardized test of legal knowledge and skills that is portable and can be used to apply for the Bar in a number of jurisdictions. The adoption of the UBE has resulted in a 214% increase in the number of individuals sitting for the exam. The number of applications for admission to the Bar via waiver also has increased substantially.

The increased number of applications for admission to the Bar has directly increased the workload of this small office due to the greater number and complexity of character and fitness issues and UPL matters. As a result, there is a significant delay in processing applications for admission to the Bar. Similarly delayed are staff recommendations to the Standing Admissions

Committee for applicants with character and fitness issues that must be investigated and resolved before the applicant can be admitted. These delays are far beyond the Court's goal to process applications in three to five months.

In addition to processing applications, staff perform other important functions to include: (1) administering the bar exam twice each year; (2) processing certificates of good standing; (3) processing requests concerning verification of reciprocity; (4) coordinating the monthly swearing-in of 200-250 new attorneys; and (5) drafting memoranda for the Standing Committee and the UPL Committee. The additional staff assistant position is critical.

Relationship to the D.C. Courts' Vision, Mission and Goals. The requested position supports the D.C. Courts' Strategic Goals of fair and timely case resolution and public trust and confidence by ensuring qualified attorneys represent the public.

Relationship to Court of Appeals MAP Objectives. The position is critical to the success of the Court of Appeals' strategic objective of ensuring appropriate and timely processing of matters filed with the Court.

Relationship to Existing Funding. The Court would like to implement the National Center for State Courts recommendations to the extent possible within existing resources. However, the current budget can only support the six existing positions in the Office of the Committee on Admissions and Unauthorized Practice of Law. Additional resources are required to support this position.

Methodology. The grade level and salary for the requested FTE is classified in accordance with the D.C. Courts' personnel policies.

Expenditure Plan. Staff will be recruited and hired according to the D.C. Courts' Personnel Policies.

Key Performance Indicators. Key performance measures include a reduction in the amount of time to process an application for admission, an increase in the admission rate, and feedback from judicial officers and court staff.

Table 4  
**COURT OF APPEALS**  
**New Positions Requested**

<b>Positions</b>	<b>Grade</b>	<b>Number</b>	<b>Salary</b>	<b>Benefits</b>	<b>Total Personnel Cost</b>
Staff Attorney	JS-12	1	80,000	21,000	101,000
IT Specialist	JS-12	1	80,000	21,000	101,000
Staff Assistant	JS-7	1	45,000	12,000	57,000
<b>Total</b>		<b>3</b>	<b>205,000</b>	<b>54,000</b>	<b>259,000</b>

Table 5  
**COURT OF APPEALS**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	10,071,000	9,854,000	10,438,000	584,000
12 - Personnel Benefits	2,399,000	2,348,000	2,498,000	150,000
<b>Subtotal Personnel Cost</b>	<b>12,470,000</b>	<b>12,202,000</b>	<b>12,936,000</b>	<b>734,000</b>
21 - Travel, Transp. of Persons	61,000	60,000	63,000	3,000
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	101,000	99,000	102,000	3,000
24 - Printing & Reproduction	85,000	83,000	86,000	3,000
25 - Other Services	869,000	850,000	879,000	29,000
26 - Supplies & Materials	91,000	89,000	93,000	4,000
31 - Equipment	682,000	617,000	637,000	20,000
<b>Subtotal Non-Personnel Cost</b>	<b>1,889,000</b>	<b>1,798,000</b>	<b>1,860,000</b>	<b>62,000</b>
<b>TOTAL</b>	<b>14,359,000</b>	<b>14,000,000</b>	<b>14,796,000</b>	<b>796,000</b>
FTE	105	105	108	3

Table 6  
**COURT OF APPEALS**  
**Detail Difference, FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Current Positions COLA	105	197,000	
	Current Positions WIG		47,000	
	Staff Attorney	1	80,000	
	IT Specialist	1	80,000	
	Special Assistant	1	45,000	
	Partial Restoration FY 2017 Funding Level		135,000	
<b>Subtotal, OC 11</b>				<b>584,000</b>
12 - Personnel Benefits	Current Positions COLA	105	52,000	
	Current Positions WIG		12,000	
	Staff Attorney	1	21,000	
	IT Specialist	1	21,000	
	Special Assistant	1	12,000	
	Partial Restoration FY 2017 Funding Level		32,000	
<b>Subtotal, OC 12</b>				<b>150,000</b>
21 - Travel, Transp. of Persons	Built-in Increases			3,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increases			3,000
24 - Printing & Reproduction	Built-in Increases			3,000
25 - Other Services	Built-in Increases			29,000
26 - Supplies & Materials	Built-in Increases			4,000
31- Equipment	Built-in Increases			20,000
<b>TOTAL</b>				<b>796,000</b>

Table 7

**COURT OF APPEALS**  
**Detail of Full-Time Equivalent Employment**

<b>Grade</b>	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-6	1	1	1
JS-7	2	2	3
JS-8	2	2	2
JS-9	9	9	9
JS-10	4	4	4
JS-11	55	55	55
JS-12	9	9	11
JS-13	7	7	7
JS-14	3	3	3
JS-15	2	2	2
CES	2	2	2
Associate Judge	8	8	8
Chief Judge	1	1	1
<b>Total Salaries</b>	<b>9,923,000</b>	<b>9,854,000</b>	<b>10,438,000</b>
Total FTEs	105	105	108

## SUPERIOR COURT OF THE DISTRICT OF COLUMBIA

### Overview

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
976	125,380,000	988	121,000,000	988	127,035,000	0	6,035,000

### **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 24 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 operating 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 2016, more than 88,000 new cases were filed with the Superior Court. Slightly more than half of the caseload (55%) was civil matters. The remainder of the new filings was 19% criminal, 14% family, 9% domestic violence matters, and 3% probate. 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>
2011	101,941	45,562	157,648
2012	99,185	44,077	151,187
2013	95,133	36,363	139,878
2014	92,274	35,095	136,381
2015	88,039	32,955	128,622
2016	89,506	33,698	135,216

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

Table 2  
**District of Columbia Superior Court Efficiency Measures**  
**(Fiscal Year 2016 data)**

	Cases Disposed	Cases Added	Clearance Rate*	Cases Pending		
				1-Oct	30-Sep	Change
Civil	48,409	49,178	98%	12,919	13,688	6.0%
Criminal**	20,586	28,475	95%	6,477	7,905	22.0%
Domestic Violence***	8,596	8,467	102%	1,127	998	-11.4%
Family	11,973	11,392	105%	3,745	3,164	-15.5%
Probate	2,877	3,337	86%	7,600	8,060	6.1%
Tax	521	669	78%	1,830	1,978	8.1%
<b>Total</b>	<b>92,962</b>	<b>101,518</b>	<b>92%</b>	<b>33,698</b>	<b>35,793</b>	<b>6.2%</b>

\*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).

\*\*\*Figures adjusted after a manual caseload audit.

## **FY 2019 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.

In FY 2019, the Courts request \$127,035,000 and 989 FTEs for the Superior Court, an increase of \$6,035,000, (5%) above the FY 2018 Level. The requested increase consists of \$512,000 to serve the public by increasing payments to jurors and built-in cost increases.

Table 3  
**SUPERIOR COURT**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 – Compensation	84,515,000	81,671,000	85,899,500	4,228,500
12 – Benefits	20,276,000	19,595,000	20,563,500	968,500
<b><i>Subtotal Personal Services</i></b>	<b><i>104,791,000</i></b>	<b><i>101,266,000</i></b>	<b><i>106,463,000</i></b>	<b><i>5,197,000</i></b>
21 - Travel, Transp. of Persons	412,000	398,000	415,000	17,000
22 - Transportation of Things	14,000	14,000	15,000	1,000
23 - Rent, Commun. & Utilities	4,126,000	3,987,000	4,150,000	163,000
24 - Printing & Reproduction	603,000	582,000	613,000	31,000
25 - Other Services	13,543,000	12,916,000	13,450,000	534,000
26 - Supplies & Materials	976,000	944,000	989,000	45,000
31 – Equipment	916,000	893,000	940,000	47,000
<b><i>Subtotal Nonpersonal Services</i></b>	<b><i>20,589,000</i></b>	<b><i>19,734,000</i></b>	<b><i>20,572,000</i></b>	<b><i>838,000</i></b>
<b>TOTAL</b>	<b>125,380,000</b>	<b>121,000,000</b>	<b>127,035,000</b>	<b>6,035,000</b>
FTE	988	988	988	0

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

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
250	34,458,000	250	33,300,000	250	35,683,000	0	2,383,000

**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, family, probate and tax. In FY 2016, Superior Court judges handled more than 88,000 new case filings. There are 61 Associate Judges in the Superior Court and one Chief Judge. The Associate Judges rotate to each division on a scheduled basis, with judges in the Family Court serving renewable three year terms. Each Superior Court judge has two support staff (typically an administrative assistant and a law clerk or two law clerks).

The Superior Court also has 24 Magistrate Judges, 15 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 24 Magistrate Judges and eight part-time members of the Commission on Mental Health (2 FTEs).

## **FY 2019 Request**

In FY 2019, the Courts request \$35,683,000 for Judges and Chambers Staff, an increase of \$2,383,000 (7%) above the FY 2018 Level. The requested increase consists of built-in costs and partial restoration of the FY 2017 funding level.

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

	<b>FY 2017 Enacted Budget</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	29,719,000	28,720,000	30,227,000	1,507,000
12 - Personnel Benefits	4,517,000	4,365,000	5,230,000	865,000
<b><i>Subtotal Personnel Services</i></b>	<b><i>34,236,000</i></b>	<b><i>33,085,000</i></b>	<b><i>35,457,000</i></b>	<b><i>2,372,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	30,000	29,000	31,000	2,000
25 - Other Services				
26 - Supplies & Materials	131,000	127,000	133,000	6,000
31 - Equipment	61,000	59,000	62,000	3,000
<b><i>Subtotal Non-Personnel Services</i></b>	<b><i>222,000</i></b>	<b><i>215,000</i></b>	<b><i>226,000</i></b>	<b><i>11,000</i></b>
<b>TOTAL</b>	<b>34,458,000</b>	<b>33,300,000</b>	<b>35,683,000</b>	<b>2,383,000</b>
FTE	250	250	250	0

Table 2  
**JUDGES AND CHAMBERS STAFF**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Current Position WIG	250	40,000	
	Current Position COLA		574,000	
	Partial Restoration of FY 2017 Funding Level		893,000	
<b><i>Subtotal 11</i></b>				<b><i>1,507,000</i></b>
12 - Personnel Benefits	Current Position WIG	250	11,000	
	Current Position COLA		161,000	
	Partial Restoration of FY 2017 Funding Level		693,000	
<b><i>Subtotal 12</i></b>				<b><i>865,000</i></b>
<b><i>Subtotal Personnel Services</i></b>				<b><i>2,372,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increase			2,000
25 - Other Service				
26 - Supplies & Materials	Built-in Increase			6,000
31 - Equipment	Built-in Increase			3,000
<b><i>Subtotal Non-Personnel Services</i></b>				<b><i>11,000</i></b>
<b>Total</b>				<b>2,383,000</b>

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

<b>Grade</b>	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	98	98	98
JS-11	58	58	58
JS-12	1	1	1
JS-13	1	1	1
JS-14	3	3	3
JS-99 (Mag. Judge)	27	27	27
JS-20 (Assoc. Judge)	61	61	61
JS-21 (Chief Judge)	1	1	1
<b>Total Salary</b>	<b>29,719,000</b>	<b>28,720,000</b>	<b>30,227,000</b>
Total FTEs	250	250	250

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

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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	720,000	5	697,000	5	758,000	0	61,000

**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 10 Superior Court divisions and offices; reviews and issues final recommendations 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 10 Superior Court 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 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 2019 Request**

For FY 2019, the D.C. Courts request \$758,000 for the Office of the Clerk of the Court, an increase of \$61,000 (9%) above the FY 2018 Level. The requested increase consists of built-in costs and partial restoration of FY 2017 funding level.

Table 1  
**CLERK OF THE COURT**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	549,000	531,000	583,000	52,000
12 - Personnel Benefits	154,000	149,000	156,000	7,000
<b><i>Subtotal Personnel Services</i></b>	<b><i>703,000</i></b>	<b><i>680,000</i></b>	<b><i>739,000</i></b>	<b><i>59,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	11,000	11,000	12,000	1,000
31 - Equipment	6,000	6,000	7,000	1,000
<b><i>Subtotal Non-Personnel Services</i></b>	<b><i>17,000</i></b>	<b><i>17,000</i></b>	<b><i>19,000</i></b>	<b><i>2,000</i></b>
<b>TOTAL</b>	<b>720,000</b>	<b>697,000</b>	<b>758,000</b>	<b>61,000</b>
FTE	5	5	5	0

Table 2  
**CLERK OF THE COURT**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Current Position WIG	5	2,000	
	Current Position COLA		11,000	
	Partial Restoration of FY 2017 Funding Level		39,000	
<b><i>Subtotal 11</i></b>				<b><i>52,000</i></b>
12 - Personnel Benefits	Current Position WIG	5	1,000	
	Current Position COLA		3,000	
	Partial Restoration of FY 2017 Funding Level		3,000	
<b><i>Subtotal 12</i></b>				<b><i>7,000</i></b>
<b><i>Subtotal Personnel Services</i></b>				<b><i>59,000</i></b>
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
<b><i>Subtotal Non-Personnel Services</i></b>				<b><i>2,000</i></b>
<b>Total</b>				<b>61,000</b>

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

<b>Grade</b>	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-6			
JS-7			
JS-8			
JS-9	1	1	1
JS-10			
JS-11	1	1	1
JS-12			
JS-13			
JS-14	2	2	2
JS-15			
JS-16			
JS-17			
CES	1	1	1
<b>Total Salary</b>	<b>549,000</b>	<b>531,000</b>	<b>583,000</b>
Total FTEs	5	5	5

**SUPERIOR COURT OF THE DISTRICT OF COLUMBIA  
CIVIL DIVISION**

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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	8,965,000	105	8,663,000	105	9,452,000	0	789,000

**Mission Statement**

The mission of the Civil Division is to provide access to justice in civil matters by processing cases and providing courtroom support to ensure fair and timely case resolution and information to our customers.

**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 105 full time equivalent employees (FTEs). The Division processed 49,169 civil cases in FY 2016.

**Organizational Background**

The Division is comprised of a Director's Office, which has seven FTEs and the following branches:

1. The Civil Actions Branch processes all new civil cases where the amount in controversy exceeds \$10,000, including cases requesting equitable relief (such as an injunction or temporary restraining order). In FY 2016, there were more than 10,000 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 in compliance with Court Rules, processing all post-judgment execution requests, scanning documents into the case management system, and securely maintaining all civil cases electronically. This branch has 23 FTEs.
2. The Quality Review Branch monitors compliance with time limits imposed by Court Rules, schedules events, issues notices, and reviews and validates case monitoring reports. The Branch manages and assigns Courtroom Clerks who process cases and assist judicial officers and courtroom participants for 21 civil courtrooms. This branch has 36 FTEs.
3. The Landlord Tenant Branch processes all actions for the possession of real property and violations of lease agreements filed by landlords including writs for the eviction process. The branch handled a caseload in excess of 33,000 filings in fiscal year 2016. 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 \$10,000. The branch also processes all post-judgment execution requests. In FY 2016, there were over 5,500 small claims cases filed. This branch has 18 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 supporting efficient courtroom operations, effective case management, and timely judicial decision making with real time availability of case information and documents in the case management system and accurate reporting of case activity;
- 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;
- 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 fillable forms.

## **Divisional Restructuring and/or Work Process Redesign**

In March 2016, a new process was implemented to hold, and not cancel, initial scheduling conferences for all civil actions cases, except collections cases, when a default has been entered against the defendant. This new process ensures procedural fairness and an opportunity for litigants to be heard.

In May 2016, the Landlord and Tenant Branch implemented a new calendaring system to increase staggered calendars and utilize additional judicial resources to hear cases in a second full time courtroom. This new calendaring system has reduced the wait time for court participants.

In July 2016, the Division published case management plans for all case types (civil actions, small claims and conciliation and landlord and tenant) to support with the efficiency of case processing.

The Division responded to more than 1,300 internet chat requests regarding civil matters from the public and all online forms are fillable to promote access to justice.

## **Workload Data**

As shown in Table 1, the Civil Division disposed of 48,429 cases in fiscal year 2016, comprising more than half of the Courts' caseload, including 9,390 civil actions cases; 33,791 landlord tenant cases; and 5,248 small claims cases. The Division maintains a caseload clearance rate of 99% (with a 91% clearance rate for civil actions cases, a 93% clearance rate for small claims cases and a 102% clearance rate for landlord 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 2016 Data)**

	Case Filings	Dispositions	Clearance Rate*	Pending Cases		
				1-Oct	30-Sep	Change
Civil Actions	10,302	9,390	91%	6,666	7,586	14%
Landlord & Tenant	33,221	33,791	102%	4,764	4,207	-12%
Small Claims	5,646	5,248	93%	1,489	1,895	27%
Total	49,169	48,429	99%	12,919	13,688	6%

\*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 2016		FY 2017		FY 2018		FY2019	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Outcome	Customers rating service good to outstanding	Customer Surveys	90%	92%	95%	95%	95%	95%	95%	95%
Input	Staff trained for electronic case filing	Management Reports	90%	77%	90%	90%	95%	95%	95%	95%
Input	Case processing activities performed within established time standards and SOPs	Management Reports	90%	96%	90%	96%	90%	90%	90%	90%
Output	Fillable forms available to the public via internet	Management Reports	75%	100%	90%	90%	100%	100%	100%	100%
Output	Staff attending special population and diversity training	Management Reports	15%	46%	20%	50%	25%	25%	30%	30%

### **FY 2019 Request**

In FY 2019, the Courts request \$9,452,000 for the Civil Division, an increase of \$789,000 (9%) above the FY 2018 Level. The requested increase consists of built-in costs and partial restoration of FY 2017 funding level.

Table 2  
**CIVIL DIVISION**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 – Personnel Compensation	6,920,000	6,687,000	7,381,000	694,000
12 – Personnel Benefits	1,938,000	1,873,000	1,962,000	89,000
<b><i>Subtotal Personnel Services</i></b>	<b><i>8,858,000</i></b>	<b><i>8,560,000</i></b>	<b><i>9,343,000</i></b>	<b><i>783,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	46,000	44,000	46,000	2,000
25 - Other Services				
26 - Supplies & Materials	35,000	34,000	36,000	2,000
31 – Equipment	26,000	25,000	27,000	2,000
<b><i>Subtotal Non-Personnel Services</i></b>	<b><i>107,000</i></b>	<b><i>103,000</i></b>	<b><i>109,000</i></b>	<b><i>6,000</i></b>
<b>TOTAL</b>	<b>8,965,000</b>	<b>8,663,000</b>	<b>9,452,000</b>	<b>789,000</b>
FTE	105	105	105	0

Table 3  
**CIVIL DIVISION**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Current Positions WIG	105	35,000	
	Current Positions COLA		134,000	
	Partial Restoration of FY 2017 Funding Level		525,000	
<b><i>Subtotal 11</i></b>				<b><i>694,000</i></b>
12 - Personnel Benefits	Current Positions WIG	105	10,000	
	Current Positions COLA		38,000	
	Partial Restoration of FY 2017 Funding Level		41,000	
<b><i>Subtotal 12</i></b>				<b><i>89,000</i></b>
<b><i>Subtotal Personnel Services</i></b>				<b><i>783,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			2,000
25 - Other Services				
26 - Supplies & Materials	Built-in Increases			2,000
31 - Equipment	Built-in Increases			2,000
<b><i>Subtotal Non-Personnel Services</i></b>				<b><i>6,000</i></b>
<b>TOTAL</b>				<b>789,000</b>

Table 4

**CIVIL DIVISION****Detail of Full-Time Equivalent Employment**

<b>Grade</b>	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-6	17	17	17
JS-7	6	6	6
JS-8	30	30	30
JS-9	21	21	21
JS-10	8	8	8
JS-11	8	8	8
JS-12	4	4	4
JS-13	8	8	8
JS-14	1	1	1
JS-15			
CEMS	1	1	1
CES	1	1	1
<b>Total Salaries</b>	<b>6,920,000</b>	<b>6,687,000</b>	<b>7,381,000</b>
Total FTEs	105	105	105

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

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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	1,375,000	12	1,329,000	12	1,501,000	0	172,000

**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 expenses made necessary as a result of the crime. Statutorily 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 system, verification and investigation of the claim, recommendation, review, and approval. This office has 12 FTEs: Director, Accounting Officer, Administrative Assistant, seven Legal Claims Examiners, three Assistant Legal Claims Examiners, and an Accounting Technician. Two positions, a Legal Claims Examiner and an Assistant Legal Claims Examiner, are currently financed by grant and administrative funds.

**Crime Victims Compensation Program Funding**

Payments to victims, nearly \$8 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: 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 CVCP at the end of each year.<sup>4</sup>

### **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.
- Offer enhanced processing, customer service, and case management through the use of electronic sign-in for claimants who visit the office.
- Enhance performance measurement and grant reporting through updates to the case management system.
- Continue to collaborate with other agencies to enhance the coordination of services to victims.
- Effectively administer the CVCP by securing and managing grant awards to ensure the viability and longevity of the Crime Victims Fund to pay crime victim claims and operate the program.
- Promote employee engagement and professional development by offering in-service trainings on topics that will help staff to perform their duties with greater understanding of victim services and the ancillary organizations that can assist with some of the issues created by victimization.
- Enhance employee engagement by updating the Employee Handbook to reflect Court values in action as they apply to CVCP.
- Continue collaboration with victim service providers to ensure that sufficient temporary emergency shelter sites are in place and service protocols are followed.

### **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 include the District of Columbia's Metropolitan Police Department, the Children's Hospital Child and Adolescent Protection Center, U.S. Attorney's Victim Witness

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<sup>4</sup> 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 half retained by the CVCP, 95% is needed to pay victims and 5% is available for administrative expenses.

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 this Program to serve greater numbers of victims of violent crime and reach victims who 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 this 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 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 wrap-around services for the victim because all of the needed services are provided in one location, it creates among the service providers greater understanding of and compassion for the many challenges faced by victims.

### **Workload Data**

Table 1  
**CRIME VICTIMS COMPENSATION PROGRAM**  
**Caseload Overview**

	Actual FY 2016	FY 2017 Estimated	% Change
New Cases Filed	4,049	3,624	-10.50%
Determinations Made	4,002	4,064	1.55%
Number of Cases Pending at End of Fiscal Year	597	157	-73.70%

## **Key Performance Indicators**

Table 2  
**CRIME VICTIMS COMPENSATION PROGRAM**  
**Performance Measurement Table**

Type of Indicator	Performance Indicator	Data Source	FY 2016		FY 2017		FY 2018		FY 2019	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Input	New claims filed	Case Management Software	3,550	4,049	4,000	3,624	4,000	3,800	4,000	3,800
Output	Claims processed	Case Management Software	3,800	4,002	4,150	4,064	4,150	4,100	4,150	4,100
Output	Payments	Case Management Software	13,000	13,664	13,000	11,762	13,000	12,000	13,000	12,000
Outcome	Amount of payments	Case Management Software	\$9.0M	\$7.5M	\$8.0M	\$7.2M	\$8.0M	\$7.4M	\$8.0M	\$7.4M
Outcome	Avg. claim processing time	Case Management Software	10 weeks	7 weeks	7 weeks	6 weeks	7 weeks	6 weeks	6 weeks	6 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 2019 Request**

In FY 2019, the D.C. Courts request \$1,501,000 for the Crime Victims Compensation Program, an increase of \$172,000 (13%) above the FY 2018 Level. The requested increase consists of built-in costs and partial restoration of the FY 2017 funding level.

Table 3  
**CRIME VICTIMS COMPENSATION PROGRAM**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	1,045,000	1,010,000	1,158,000	148,000
12 - Personnel Benefits	292,000	282,000	302,000	20,000
<b><i>Subtotal Personnel Services</i></b>	<b><i>1,337,000</i></b>	<b><i>1,292,000</i></b>	<b><i>1,460,000</i></b>	<b><i>168,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	2,000	2,000	3,000	1,000
25 - Other Services	21,000	20,000	21,000	1,000
26 - Supplies & Materials	9,000	9,000	10,000	1,000
31 - Equipment	6,000	6,000	7,000	1,000
<b><i>Subtotal Non-Personnel Services</i></b>	<b><i>38,000</i></b>	<b><i>37,000</i></b>	<b><i>41,000</i></b>	<b><i>4,000</i></b>
<b>TOTAL</b>	<b>1,375,000</b>	<b>1,329,000</b>	<b>1,501,000</b>	<b>172,000</b>
FTE	12	12	12	0



Table 4  
**CRIME VICTIMS COMPENSATION PROGRAM**  
**Detail, Difference FY 2018/2019**

Object Class	Description of Request	FTE	Cost	Difference FY2018/2019
11 - Personnel Compensation	Current Positions WIG	12	7,000	
	Current Position COLA		20,000	
	Partial Restoration of FY 2017 Funding Level		121,000	
<i>Subtotal, OC 11</i>				<i>148,000</i>
12 - Personnel Benefits	Current Position WIG	12	2,000	
	Current Position COLA		6,000	
	Partial Restoration of FY 2017 Funding Level		12,000	
<i>Subtotal, OC 12</i>				<i>20,000</i>
<b><i>Subtotal Personnel Services</i></b>				<b><i>168,000</i></b>
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			1,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<b><i>Subtotal Non-Personnel Services</i></b>				<b><i>4,000</i></b>
<b>Total</b>				<b>172,000</b>

Table 5  
**CRIME VICTIMS COMPENSATION PROGRAM**  
**Detail of Full-Time Equivalent Employment**

Grade	FY 2017 Enacted	FY 2018 Level	FY 2019 Request
JS-6			
JS-7			
JS-8			
JS-9	3	3	3
JS-10	2	2	2
JS-11			
JS-12	5	5	5
JS-13			
JS-14	1	1	1
JS-15			
CEMS			
CES	1	1	1
<b>Total Salaries</b>	<b>1,045,000</b>	<b>1,010,000</b>	<b>1,158,000</b>
Total FTEs	12	12	12

## SUPERIOR COURT OF THE DISTRICT OF COLUMBIA CRIMINAL DIVISION

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
123	10,933,000	123	10,566,000	123	11,327,000	0	761,000

### **Mission Statement**

The Criminal Division's mission is to provide efficient case processing; quality administrative and courtroom support services to judicial officers, staff, and the public; and, 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**

The Criminal Division promotes high standards of professional conduct and excellent public service. The 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's structure includes the Director's Office and four branches. Additionally, the Division also operates nine community court misdemeanor calendars (low-level non-violent offenses).

- 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 release and commitment of defendants are followed, and handles matters regarding mental competency and federal designation of prisoners. The Quality Assurance Branch has 18 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 25 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 23 FTEs.
- The Criminal Division manages nine community focused problem-solving courts. These Community Courts are novel in that they not only hold offenders accountable for their actions, but also focus on ensuring the defendant receives needed drug and mental health treatment, linkages to social services and, when appropriate, ongoing judicial monitoring. The Community Court currently has 7 FTEs

### **Criminal Division MAP Objectives**

The Criminal Division's strategic objectives for FY 2019 are as follows:

- Enhance public trust by ensuring cordial and professional relationships between judges, court staff, and other courtroom participants. Conduct two civility sessions with the group to promote a Great Place to Work, and improve employee engagement. Several studies have shown that increased levels of civility and communication can result in increases in efficiency, due process, and procedural justice in the courtroom.
- 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, other educational opportunities, and active participation in the interdivisional cross-training program.
- 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.

- Enhance the effectiveness and efficiency of the misdemeanor Community Courts by identifying programming and social service needs of defendants, and connecting them to the appropriate services and programming to reduce recidivist behavior. Develop a Veteran's Coordinator position to help justice-involved veterans connect to services. Cross train the Veteran's Coordinator to assist in navigating other defendants to needed city-provided social services.
- Continue to work with MPD on Warrant Exchange to automate and relocate warrant responsibilities from the Court to MPD through the augmentation of the computer interface.
- Enhance the availability of key court documents by working with IT staff on an Electronic Signature to eliminate the need for scanning.

### **Divisional Restructuring and/or Work Process Redesign**

The Criminal Division, in conjunction with the Metropolitan Police Department (MPD) and the Criminal Justice Coordinating Council, received a grant to return the responsibility of entering, updating and clearing warrants in the Washington Area Law Enforcement System (WALES) back to MPD. The funding received for this project eliminates duplicate manual entry by ensuring that MPD's and the Court's case management systems are in sync and enabling the Court to electronically deliver warrants in WALES. This project is continuing and is expected to be completed by December 2018.

### **Workload Data**

The Criminal Division's case disposition information and performance 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.

The caseload and efficiency table below shows that the Criminal Division disposed of over 20,914 cases in 2016. This includes 1,801 D.C. misdemeanors; 3,930 felony cases; 7,450 traffic cases and 8,918 U.S. misdemeanors.

Table 1  
**CRIMINAL DIVISION**  
**Caseload and Efficiency Measures (Calendar Year 2016)**

	New Filings	Pending Cases 31-Dec	Dispositions	Clearance Rate*
D.C. Misdemeanor	1,314	317	1,801	105%
Felony	4,520	2,778	3,930	87%
Traffic	4,097	1,580	7,450	103%
U.S. Misdemeanors	9,213	3,630	8,918	98%
Total	19,144	8,305	20,914	98%

\* 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.

## **Key Performance Indicators**

Table 2  
**CRIMINAL DIVISION**  
**Key Performance Indicators**  
**(Calendar Year 2016 data)**

Time to Disposition			
Case Type	Key Performance Indicator: Cases Resolved within--	Goal	Actual
Felony I (Murder, Sexual Assault, etc.)	12 months	75%	85%
	18 months	90%	92%
	24 months	98%	95%
Felony II	6 months	75%	72%
	9 months	90%	85%
	12 months	98%	92%
AFTC	6 months	75%	74%
	9 months	90%	87%
	12 months	98%	93%
U.S. Misdemeanor	4 months	75%	75%
	6 months	90%	89%
	9 months	98%	97%
D.C. Misdemeanor	4 months	75%	89%
	6 months	90%	93%
	9 months	98%	98%
D.C. Traffic	3 months	75%	71%
	6 months	90%	93%
	9 months	98%	99%
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%	78%
Felony II		70%	71%
AFTC		70%	58%
U.S. Misdemeanor		70%	60%
Traffic		70%	67%
Trial Certainty: Non-Jury Trials			
Case Type	Key Performance Indicator	Goal	Actual
Felony	Cases resolved by the second trial date	80%	67%
U.S. Misdemeanor		80%	89%
D.C. Misdemeanor		80%	88%
Traffic		80%	82%

## **FY 2019 Request**

In FY 2019, the D.C. Courts request \$11,327,000 for the Criminal Division, an increase of \$761,000 (7%) above the FY 2018 Level. The requested increase consists of built-in costs and partial restoration of the FY 2017 funding level.

Table 3  
**CRIMINAL DIVISION**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11-Personnel Compensation	8,438,000	8,154,000	8,776,000	622,000
12-Personnel Benefits	2,363,000	2,284,000	2,415,000	131,000
<b><i>Subtotal Personnel Services</i></b>	<b><i>10,801,000</i></b>	<b><i>10,438,000</i></b>	<b><i>11,191,000</i></b>	<b><i>753,000</i></b>
21-Travel, Transp. of Persons				
22-Transportation of Things				
23-Rent, Commun. & Utilities				
24-Printing & Reproduction	71,000	69,000	73,000	4,000
25-Other Services				
26-Supplies & Materials	31,000	30,000	32,000	2,000
31-Equipment	30,000	29,000	31,000	2,000
<b><i>Subtotal Non-Personnel Services</i></b>	<b><i>132,000</i></b>	<b><i>128,000</i></b>	<b><i>136,000</i></b>	<b><i>8,000</i></b>
<b>TOTAL</b>	<b>10,933,000</b>	<b>10,566,000</b>	<b>11,327,000</b>	<b>761,000</b>
FTE	123	123	123	0

Table 4  
**CRIMINAL DIVISION**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Current Positions WIG	123	29,000	
	Current Position COLA		163,000	
	Partial Restoration of FY 2017 Funding Level		326,000	
	1 FTE from SSD		104,000	
<b><i>Subtotal 11</i></b>				<b><i>622,000</i></b>
12 - Personnel Benefits	Current Positions WIG	123	8,000	
	Current Positions COLA		46,000	
	Partial Restoration of FY 2017 Funding Level		50,000	
	1 FTE from SSD		27,000	
<b><i>Subtotal 12</i></b>				<b><i>131,000</i></b>
<b><i>Subtotal Personnel Services</i></b>				<b><i>753,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			4,000
25 - Other Service				
26 - Supplies & Materials	Built-in Increases			2,000
31 - Equipment	Built-in Increases			2,000
<b><i>Subtotal Non-Personnel Services</i></b>				<b><i>8,000</i></b>
<b>Total</b>				<b>761,000</b>

Table 5  
**CRIMINAL DIVISION**  
**Detail of Full-Time Equivalent Employment**

<b>Grade</b>	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-3			
JS-4			
JS-5			
JS-6	1	1	1
JS-7			
JS-8	6	6	6
JS-9	11	11	11
JS-10	32	32	32
JS-11	36	36	36
JS-12	18	18	18
JS-13	3	3	3
JS-14	5	5	5
JS-15	7	7	7
CEMS	2	2	2
CES	1	1	1
<b>Total Salary</b>	<b>8,438,000</b>	<b>8,154,000</b>	<b>8,776,000</b>
Total FTEs	123	123	123

## SUPERIOR COURT OF THE DISTRICT OF COLUMBIA DOMESTIC VIOLENCE UNIT

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
29	2,661,000	29	2,573,000	29	2,800,000	0	227,000

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.
- Attorney negotiators available to meet with the parties in Civil Protection Order cases to provide basic information and help them come to an agreement.
- 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 that uses technology to allow judges to hear cases via teleconferencing, bringing convenience and services to the public in Anacostia.
- Continued communication to hold batterers accountable for abusive behavior.
- Pro bono attorneys available to provide legal advice to any respondent who seeks their services in Civil Protection Order cases.
- Specialized contempt of court hearing for perpetrators to show why they should not be held in contempt for violating a court order.
- Emergency after-hours access to the judiciary to obtain protection orders outside of business hours.



## **Organizational Background**

The Domestic Violence Unit is comprised of 29 employees who support six judicial officers in administering justice and providing services to victims and perpetrators of domestic violence.

## **Management Action Plan (MAP) Objectives**

The Unit'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--

- Provide petitioners immediate relief through the temporary protection order process.
- Hold perpetrators accountable through a deferred sentencing and judicial review process that requires the perpetrator to appear in court throughout the treatment/counseling period.
- Reduce wait time for court participants by ensuring timely case processing with the enforcement of time standards.
- 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 and processes understandable.
- Ensure that case information is processed and updated completely, correctly, and within Unit time standards.
- Enhance and ensure safety of victims by seeking additional tools for enforcement of protection orders, such as updating the Regional and National Register for protection orders.
- Collaborate with surrounding jurisdictions in Maryland and Virginia regarding enforcement of protection orders and service on their residents.
- Enhance the Domestic Violence Unit case management system by implementing new technology to improve data collection and ensuring the Division is meeting its performance standards.
- Enhance informed judicial decision-making by ensuring that related cases are identified in domestic violence cases so that judicial officers have all necessary information available prior to the hearing.
- Continue to monitor and update the Domestic Violence Unit web page to ensure the public has access to information, forms, and resources.
- Expand availability of video conferencing equipment in more than one courtroom to increase access to Courts for litigants filing at the Southeast Intake Center.
- Collaborate with an area law school to assist litigants with the service of process of cases to ensure orders and notices of hearings are properly served.
- Update the Domestic Violence Unit Rules in collaboration with the judiciary, Office of the Attorney General, defense bar, and advocacy groups using plain language.
- Provide a video presentation (with audio and text) to litigants prior to court that will inform them of the process.

## **Restructuring or Work Process Redesign**

The Domestic Violence Unit utilizes the D.C. Court's case management system, CourtView, whereby court orders and documents are immediately scanned into a database system and are made available to law enforcement, prosecutors, and advocates. This technology enhances the enforcement of orders and the safety of domestic violence victims. Cases involving domestic violence are among the most complex and volatile that the D.C. Courts 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 2016, the Domestic Violence Unit processed 8,467 new filings and reinstated cases and disposed of 8,596 cases. Table 1 below provides caseload data for the Domestic Violence Unit. Table 2 provides performance data for the Domestic Violence Unit.

Table 1  
**DOMESTIC VIOLENCE UNIT**  
**Caseload and Efficiency Measures**  
(Fiscal Year 2016 Data)

	Cases Added*	Cases Disposed	Clearance Rate**	Cases Pending		
				1-Oct	30-Sep	Change
Criminal Contempt Cases	140	130	93%	60	70	17%
Intrafamily (Protection Orders)	5,994	6,023	100%	353	324	-5%
Paternity & Child Support	54	56	104%	23	21	21%
U.S. Misdemeanors	<u>2,279</u>	<u>2,383</u>	99%	<u>691</u> <sup>5</sup>	<u>583</u>	-16%
<b>Total</b>	<b>8,467</b>	<b>8,596</b>	<b>102%</b>	<b>1,127</b>	<b>998</b>	<b>-11%</b>

\* 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.

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<sup>5</sup> Previously reported pending caseload as of October 1, 2015 was 1298, but after a study it was discovered that a category of disposed cases had not been deducted from that number which reduced that pending caseload to 691.

Table 2  
**DOMESTIC VIOLENCE UNIT**  
**Key Performance Measures**

Type of Indicator	Key Performance Indicator	Data Source	FY 2016		FY 2017		FY 2018		FY 2019	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output/Activity	Hearings/events scheduled	Yearly stats/Random sample	39,700	41,242	39,800	39,800	39,900	39,900	40,000	40,000
Quality	Cases reviewed & processed within 48 hours in Court's database	Evaluation, survey, and random sample	95%	95%	95%	95%	95%	95%	95%	95%
Quality	Cases reviewed & processed within 48 hours in MPD's database	Evaluation, survey, and random sample	100%	98%	100%	98%	100%	98%	100%	98%
End Outcome	Domestic Violence dispositions	Daily/Monthly Statistics	8,200	8,596	8,200	8,200	8,200	8,200	8,200	8,200
Productivity/Efficiency	Case clearance rates	Yearly statistics	100%	100%	100%	100%	100%	100%	100%	100%

### **FY 2019 Request**

The D.C. Courts' FY 2019 request for the Domestic Violence Unit is \$2,800,000, an increase of \$227,000 (9 %) above the FY 2018 Level. The requested increase consists of built-in costs and partial restoration of the FY 2017 funding level.

Table 3  
**DOMESTIC VIOLENCE UNIT**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 – Compensation	2,063,000	1,994,000	2,191,000	197,000
12 – Benefits	578,000	559,000	587,000	28,000
<b><i>Subtotal Personnel Services</i></b>	<b><i>2,641,000</i></b>	<b><i>2,553,000</i></b>	<b><i>2,778,000</i></b>	<b><i>225,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	11,000	11,000	12,000	1,000
31 - Equipment	9,000	9,000	10,000	1,000
<b><i>Subtotal Non-Personnel Services</i></b>	<b><i>20,000</i></b>	<b><i>20,000</i></b>	<b><i>22,000</i></b>	<b><i>2,000</i></b>
<b>TOTAL</b>	<b>2,661,000</b>	<b>2,573,000</b>	<b>2,800,000</b>	<b>227,000</b>
FTE	29	29	29	0

Table 4  
**DOMESTIC VIOLENCE UNIT**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2017/2018</b>
11 - Personnel Compensation	Current Position WIG	29	6,000	
	Current Position COLA		40,000	
	Partial Restoration of FY 2017 Funding Level		151,000	
<i>Subtotal 11</i>				<i>197,000</i>
12 - Personnel Benefits	Current Position WIG	29	2,000	
	Current Position COLA		11,000	
	Partial Restoration of FY 2017 Funding Level		15,000	
<i>Subtotal 12</i>				<i>28,000</i>
<b>Subtotal Personnel Services</b>				<b>225,000</b>
21 - Travel, Transp. of Persons	Built-in Increases			
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increases			
24 - Printing & Reproduction	Built-in Increases			
25 - Other Services	Built-in Increases			
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<b>Subtotal Non-Personnel Services</b>				<b>2,000</b>
<b>Total</b>				<b>227,000</b>

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

<b>Grade</b>	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-6	2	2	2
JS-7			
JS-8	9	9	9
JS-9	10	10	10
JS-10	3	3	3
JS-11			
JS-12	1	1	1
JS-13	2	2	2
JS-14			
JS-15	1	1	1
CEMS			
CES	1	1	1
<b>Total Salaries</b>	<b>2,063,000</b>	<b>1,994,000</b>	<b>2,191,000</b>
Total FTEs	29	29	29

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

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
177	15,866,000	177	15,332,000	177	16,017,000	0	685,000

**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 allowing for an 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 has 21 FTEs.
2. The Paternity and Child Support Branch processes paternity actions and requests to establish, modify, and enforce child support orders. This branch has 23 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 has 20 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 has 4 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 has 9 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 courtrooms, 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 has 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 has 2 FTEs.
  8. The Central Intake Center (CIC) 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 has 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. This branch has 5 FTEs.
  10. The Family Treatment Court, 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 office has 2 FTEs.
  11. The Fathering Court provides services to non-custodial fathers who are unable to pay court-ordered child support. The program helps fathers 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 office has 2 FTEs.
  12. The Office of the Director is responsible for making policy and managing the Division's budget and administrative staff. The Office of the Director oversees implementation of divisional objectives in support of the Courts' Strategic Plan and court-wide performance measures. The office is responsible for preparing all legally mandated reports on divisional operations required by the local legislature and the U.S. Congress. This office has 8 FTEs.
  13. The Attorney Negotiator's Office, created within the Office of the Director, helps parties, at the initial hearings of all domestic relations cases, to resolve disputes and reach agreements (temporary and permanent) in divorce, custody, visitation and support matters. This office has 2 FTEs.

### **The Family Court Operations Division Management Action Plan Objectives**

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

- Increase the timely processing of cases by ensuring that 95% of court information, including exhibits, is complete and available for courtroom proceedings.
- Promote the administration of justice through the development of interfaces to electronically initiate abuse and neglect cases, receive subsequent pleadings, and exchange documents and data through automation with partner 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 Fathering Court programs that were developed to increase compliance with court-ordered child support payments through the provision of services, enhanced supervision, and incentives to non-custodial parents.
- Promote efficiency by adopting paperless case processing procedures that increase access to case information and 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 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**

*Maximizing Technology.* 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 in-person filing of the initial petition or complaint but require the electronic filing of all subsequent pleadings. In February 2016, cases in the Paternity and Support Branch and in the Mental Health/Mental Habilitation Branch implemented mandatory electronic filing of all subsequent pleadings. 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. In the coming year, the Family Court hopes to implement case initiation in the remaining case types. The Case File Express technology reduces scanning and provides a convenient method of filing for the Office of the Attorney General by reducing their visits to the courthouse to file documents.

The Family Court Operations Division continues to enhance its business processes by utilizing technology. The division will become 100% jacketless in 2018.

## **Workload Data**

As shown in Table 1, there were 3,290 pending pre-disposition cases in the Family Court on January 1, 2016. During calendar year 2016, there were a total of 10,909 new cases filed and 250 cases reopened in the Family Court. During the same period, 11,428 cases were disposed. As a result, there were 3,021 cases pending in the Family Court on December 31, 2016. The Family Court Operations Division's current caseload and efficiency measures are reflected in Table 1 and the key performance measures are displayed in Table 2.

Table 1  
**FAMILY COURT OPERATIONS DIVISION**  
**(2016 Data)**

	New Case Filings	Pending Cases Jan. 1 <sup>6</sup>	Reopened	Total Available for Disposition	Dispositions <sup>7</sup>	Pending Dec. 31	Percent Change in Pending	Clearance Rate <sup>8</sup>
Abuse & Neglect	453	160	1	614	466	148	-7.5%	103%
Adoption	217	167	5	389	230	159	-4.8%	104%
Divorce & Custody	4,671	1,423	64	6,158	4,929	1,229	-13.6%	104%
Juvenile <sup>9</sup>	1,715	627	21	2,363	1,799	564	-10%	104%
Mental Health	2,016	224	135	2,375	2,256	119	-46.9%	105%
Mental Habilitation	2	1	0	3	2	1	0%	100%
Paternity & Child Support	1,835	688	24	2,547	1,746	801	16.4%	94%
<b>TOTAL</b>	<b>10,909</b>	<b>3,290</b>	<b>250</b>	<b>14,449</b>	<b>11,428</b>	<b>3,021</b>	<b>-8.2%</b>	<b>102%</b>

<sup>6</sup> Figures for Abuse & Neglect, Adoption, Divorce & Custody, Juvenile, Mental Health and Paternity & Child Support were adjusted after an audit of these caseloads.

<sup>7</sup> A Family Court case is considered disposed when a permanent order has been entered except for Paternity and Child Support (P&S) cases. A P&S cases is disposed when a temporary order is entered.

<sup>8</sup> 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/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.

<sup>9</sup> Includes cases involving Delinquency, PINS (Persons in Need of Supervision), and Interstate Compact



Table 2  
**FAMILY COURT OPERATIONS DIVISION**  
**Key Performance Indicators**

Type of Indicator	Key Performance Indicator	Data Source	2016		2017		2018		2019	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Time to Disposition	Contested Custody Cases: 98% within 270 days	Performance Measure Report	98%	98%	98%	98%	98%	98%	98%	98%
Time to Disposition	Contested Divorce Cases: 98% within 270 days		98%	99%	98%	99%	98%	98%	98%	98%
Time to Disposition	Child Support: 90% within 18 months		90%	92%	90%	96%	90%	90%	90%	90%
Time to Disposition	Neglect (Child Removed): 100% with 105 days		100%	90%	100%	90%	100%	100%	100%	100%
Time to Disposition	Neglect (Child Not Removed): 100% with 45 days		100%	90%	100%	90%	100%	100%	100%	100%
Time to Disposition	Juvenile (Released): 98% with 270 days		98%	98%	98%	90%	100%	100%	100%	100%
Persons Assisted	Number of Persons Assisted in the Self Help Center	Monthly Statistics	8,800	9,660	8,800	8,800	9,000	9,000	9,200	9,200

### **FY 2019 Request**

In FY 2019, the D.C. Courts' request for the Family Court Operations Division is \$16,017,000, an increase of \$685,000 (5%) above the FY 2018 Level. The requested increase consists of built-in costs and partial restoration of the FY 2017 funding level.

Table 3  
**FAMILY COURT OPERATIONS**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	11,171,000	10,795,000	11,281,000	486,000
12 - Personnel Benefits	3,127,000	3,022,000	3,158,000	136,000
<b><i>Subtotal Personnel Cost</i></b>	<b><i>14,298,000</i></b>	<b><i>13,817,000</i></b>	<b><i>14,439,000</i></b>	<b><i>622,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	91,000	88,000	92,000	4,000
25 - Other Services	1,082,000	1,046,000	1,089,000	43,000
26 - Supplies & Materials	47,000	45,000	47,000	2,000
31 - Equipment	348,000	336,000	350,000	14,000
<b><i>Subtotal Non-Personnel Cost</i></b>	<b><i>1,568,000</i></b>	<b><i>1,515,000</i></b>	<b><i>1,578,000</i></b>	<b><i>63,000</i></b>
<b>TOTAL</b>	<b>15,866,000</b>	<b>15,332,000</b>	<b>16,017,000</b>	<b>685,000</b>
FTE	177	177	177	0

Table 4  
**FAMILY COURT OPERATIONS**  
**Detail, Difference FY 2018/FY 2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/FY 2019</b>
11 - Personnel Compensation	Current Position WIG	177	35,000	
	Current Position COLA		216,000	
	Partial Restoration of FY 2017 Funding Level		235,000	
<b><i>Subtotal 11</i></b>				<b><i>486,000</i></b>
12 - Personnel Benefits	Current Position WIG	177	10,000	
	Current Position COLA		60,000	
	Partial Restoration of FY 2017 Funding Level		66,000	
<b><i>Subtotal 12</i></b>				<b><i>136,000</i></b>
<b><i>Subtotal Personnel Services</i></b>				<b><i>622,000</i></b>
21 - Travel, Transp. of Persons	Built-in Increases			
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increases			
24 - Printing & Reproduction	Built-in Increases			4,000
25 - Other Service	Built-in Increases			43,000
26 - Supplies & Materials	Built-in Increases			2,000
31 - Equipment	Built-in Increases			14,000
<b><i>Subtotal Non-Personnel Services</i></b>				<b><i>63,000</i></b>
<b>Total</b>				<b>685,000</b>

**Table 5**  
**FAMILY COURT OPERATIONS**  
**Detail of Full-Time Equivalent Employment**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-3			
JS-4			
JS-5			
JS-6	20	20	20
JS-7	13	13	13
JS-8	48	48	48
JS-9	38	38	38
JS-10	21	21	21
JS-11	10	10	10
JS-12	8	8	8
JS-13	16	16	16
JS-14	1	1	1
JS-15			
CEMS	1	1	1
CES	1	1	1
<b>Total Salary</b>	<b>11,171,000</b>	<b>10,795,000</b>	<b>11,281,000</b>
Total FTEs	177	177	177

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

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
148	22,046,000	148	21,305,000	148	22,243,000	0	938,000

**Mission Statement**

The mission of the Family Court Social Services Division - CSSD is to assist the Superior Court of the District of Columbia's Family Court and the city's juvenile justice system in the screening, assessment, and 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 nation's capitol, which includes pre-trial services and post-adjudicated 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. CSSD responsibilities primarily include 1) screening and assessing each newly referred youth's social service needs and risk to public safety following arrest for delinquency or referral as a status offender or Person In Need of Supervision (PINS); 2) making initial detention/release decisions when court is not in session; 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) facilitating Family Group Conferences (FGC); 8) coordinating youth commitment to the DYRS; and 9) coordinating services and supervision to 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, co-located Absconder oversight and activities across the Division in accordance with the District of Columbia Municipal Code. The office has 6 FTEs.
- The Juvenile Information Control - JIC Unit processes all cases through adjudication and disposition of the Court's case management system, CourtView. The JIC Unit also manages the 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 administrative office for CSSD. The unit has 5 FTEs.
- The Contract Monitoring, Data and Financial Analysis - COMDAF 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 COMDAF Unit is also responsible for developing Statements of Work (SOWs) and convening Source Solicitation Evaluation Boards (SSEB) that enable the CSSD to procure services for youth and families via solicitations managed by the Administrative Services Division (ASD). The Unit also coordinates the Division's general internships and staff training. The unit has 5 FTEs.

- The Intake Services and Delinquency Prevention Branch - ISDP is comprised of three (3) units, including two (2) units dedicated to day, evening and overnight intake services and one (1) 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 on all youth referred by law enforcement; coordinating Conner assessments; presenting all referrals before a judicial officer presiding over the juvenile new referrals calendar; and making pre-trial recommendations. The Delinquency Prevention Unit (DPU) manages the Division's GPS electronic monitoring, coordinates detention diversion transportation, and facilitates public safety community education presentations and outreach throughout the city. Intake Units I and II operate 24 hours a day, seven days a week. The branch consists of 26 FTEs.
- The Pre/Post Probation Supervision Branch - Region I provides a seamless set of services, comprehensive case management, and community monitoring/supervision provided by one probation officer of record throughout the life of the case. 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. UTURN also provides an alternative to commitment to the DYRS. The branch consists of 44 FTEs.
- The Pre/Post Probation Supervision, Status Offender & Behavioral Health Branch -Region II is responsible for providing seamless comprehensive case management services and community monitoring/supervision by one probation officer of record throughout the life of the case. The branch is also complimented by a unit, specifically created to respond to the needs of status offenders and youth presenting with Axis I mental health needs, determined 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 responsible for serving male youth residing in the Northeast quadrant of the city; 3) the Status Offender and Juvenile Behavior Diversion Program (SOJBDP) charged with assessing, 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 diversion or post-disposition program; 4) the Leaders of Today in Solidarity (LOTS), the city's first female gender-specific seamless probation program (created in 2006). Region II is also responsible for domestic relations services, which includes home studies as ordered during contested custody hearings. This branch consists of 52 FTEs.

- The Child Guidance Clinic (CGC) Branch provides a constellation of court-ordered psychological, psycho-educational, neuro-psychological, competency, forensic evaluations, and 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, and provides psychotherapy to a limited number of uninsured youth and families. The CGC also serves on the city's residential Level of Care Committee; oversees Conner screenings for all youth; coordinates the Juvenile Behavioral Health Court's Suitability Committee; oversees the designated Therapeutic Shelter Home; and coordinates use of Residential Treatment Center (RTC) placements. The Unit has 10 FTE's and 3 paid interns.

### **Division Management Action Plan (MAP) Objectives**

The Family Court Social Services Division - CSSD will:

- Use a valid Risk Assessment Instrument and social assessment interviews on all youth within four (4) hours of referral, ensuring sound detention/release and petitioning recommendations (subsequent to consultation with the OAG), and expeditious case processing initiation by transferring 99% of all cases to appropriate units within three business days of initial hearing.
- Ensure Conner and Sex Trafficking Assessment Review (STAR) screening tools are utilized on all youth as well as the newly developed Environment Screening tool to assess for exploitation and human trafficking on 99% of all youth assessed during the intake phase of adjudication.
- Provide high quality screenings, assessments, individualized services, and supervision to all youth determined eligible for pre-plea and post-disposition diversion and petitioning within 15 calendar days of the petition, as well as post-adjudication supervision.
- Ensure accurate and timely processing of all services designated by Probation Officers - POs and/or Court ordered by processing all referrals and invoices within seven (7) 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 98% of all juveniles.

- Conduct high-quality, comprehensive home studies for families involved in domestic relations cases by completing 98% of home studies within six (6) 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 97% of all social studies 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 within 30 days of the disposition.
- Provide high-quality psychological, neuro-psychological, psychosexual, and psycho-educational evaluations for all court-ordered youth within 25 business days.
- Maintain use of the Graduated Rewards/Sanctions Response Matrix, guided by a behavioral modification token economy, detailing incentives for youth in compliance with court conditions, and the imposition of consequences/sanctions for youth who fail to maintain compliance, consistent with Balanced and Restorative Justice (BARJ) principles.

### **Restructuring or Work Process Re-Design**

Building on major reengineering efforts launched more than one decade ago, and refined annually, the Court Social Services Division - CSSD continues to enhance its strength-based positive youth development philosophy to guide all aspects of the Division's pre-trial and post-disposition population. Working in collaboration with the Capitol Projects and Facilities Management Division, the Superior Court continued work specific to Phase I construction for the Courts' Balanced and Restorative Justice (BARJ) Drop-In Center, located in Ward 4 and designed to serve adolescent males residing in the Northwest area. Similar to existing BARJ Drop-In Centers, throughout the city, the NW BARJ will focus on education, therapeutic services, nutrition, and the pro-social development of youth served.

Maintaining its commitment to retain a progressive workforce, ensure timely delivery of services to youth and families, while educating the public on the role of the CSSD's within city's juvenile justice system, and securing a sound infrastructure consistent with the Strategic Plan of the District of Columbia Courts (Strategic Plan Goals 1, 2, 3, and 4), the Division continued enhanced major components of its logic-model. In the spring of FY 2017, working with the Administrative Services Division - ASD, the CSSD, secured six (6) new contractors responsible for administering baseline behavioral health Conner Screening, augmented by an Environmental Screening Tool the *STAR*, validated by the Child Guidance Clinic in FY 2016. The CSSD continued to identify youth victimized by exploitation and trafficking, and referred youth to highly trained, specialized service providers to address their needs.

In 2017, the CSSD continued to utilize its newly developed Balanced and Restorative Justice (BARJ) Graduated Rewards and Sanctions Matrix (GRSM), developed to guide youth, increase

compliance with Court-ordered conditions and enable timely responses for non-compliant youth. The GRSM has been printed in poster form mounted in each facility, and is available in a laminated (hip-pocket) companion document. Youth and families are educated on the GRSM, and advised they have a great stake in their process and progress. Qualitative data shows utilization of GRSM is yielding favorable outcomes, correlated by reductions in rearrests and revocations filed by Probation Officers. In FY 2017, the CSSD began sharing the GRSM with local child and adolescent stakeholders.

### **Workload Data**

Table 1  
**FAMILY COURT SOCIAL SERVICES DIVISION**  
**Caseload (Fiscal Year 2017 Data)**

<b>Case Type</b>	<b>New Cases</b>	<b>Cases Closed</b>	<b>Cases Pending Beginning of Year</b>	<b>Cases Pending End of Year</b>
Juvenile Intake	3,243	3,243	0	0
Pre/ Post Disp. Supervision	1,811	1,887	688	614
Status Offenders	292	356	207	143
Behavioral Health Court	59	45	29	43
Domestic Relations	132	149	31	14
Child Guidance Clinic	608	520	5	5

Table 2  
**FAMILY COURT SOCIAL SERVICES DIVISION**  
**Key Performance Indicators**

Performance Indicators	Data Source	FY 2017		FY 2018		FY 2019		FY 2020	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Juveniles under supervision and Domestic Relations monthly cases average of total CSSD cases	Superior Court Data	1,450	1,350	1,450	1,425	1,450	1,425	1,425	1,400
Juveniles under supervision and drug screening conducted (youth screened at lockup)	Pretrial Services Data	3,000	2,860	3,200	2,900	3,100	2,800	3,000	2,700
Juvenile probationers screening positive for drugs during probation	Pretrial Services Data	600	850	650	650	625	625	600	600
Juveniles successfully completing probation	CSSD Statistical Reports	90%	84%	90%	89%	90%	90%	90%	92%
Juveniles arrested for new offenses during probation	Superior Court Data	10%	18%	18%	15%	17%	15%	15%	15%
Average supervision caseload (national standard: 1:25)	CSSD Statistical Reports	25	22	25	24	25	24	24	23
Average intensive supervision caseload (national standard: 1:14)	CSSD Statistical Reports	14	14	14	14	14	14	14	14
Curfew checks -- face-to-face home contact	CSSD Statistical Reports	21,354	22,000	23,000	22,500	22,500	21,500	21,500	20,000
Curfew checks -- telephone calls	CSSD Statistical Reports	27,266	32,040	32,000	31,500	31,500	31,000	30,500	30,000
Compliance among youth with face-to-face and telephone call curfew checks	CSSD Statistical Reports	75%	78%	79%	79%	81%	81%	82%	82%



## **Division Outcomes and Accomplishments in FY 2017**

In FY 2017, with an average daily population of 1,360 (8.4% increase over FY 2016), of whom 351 or 25.8% were females ( 7.8% decrease among adolescent girls in FY 2016) and 1,009 or 74.2% were males ( 6.7% increase among adolescent males over the past year), the CSSD continued its innovative and comprehensive measures to serve and supervise court-involved youth. The Division also enhanced several successful prevention measures.

Additionally, the CSSD continued to administer timely Risk Assessment Instrument - RAI screenings, Social Assessments, Conner Baseline Behavioral Health and STAR to newly referred youth resulting in 100% of all new cases certified and ready for presentment prior to the initial hearing. A total of 3,243 new juvenile cases were processed, representing a 9.6% increase over the 3,120 in FY 2016. The CSSD also successfully screened roughly 814 status offender referrals, the vast majority of which were truancy referrals, for which 75% were not petitioned and returned to the referring schools. There were 355 referrals this academic year, representing a 44% reduction in referrals compared to the past school year. The Division also continued face-to-face curfew visits (an average of 2,000 per month) with youth and families, conducted curfew calls (an average of 2,833 per month), and coordinated sound case management resulting in an increased services youth for under the CSSD's eight (8) distinct satellite offices: the Northwest Satellite Office; the Ultimate Transitions Ultimate Responsibilities Now (intensive supervision); the Interstate Probation Office; the Northeast, Southwest, and Southeast Balanced and Restorative Justice Drop-In Centers, the Leaders of Today in Solidarity; and the Status Offender/Juvenile Behavioral Health Office.

Table 3  
**FAMILY COURT SOCIAL SERVICES DIVISION**  
**Southeast (SE) BARJ Drop-In Center**

<b>Month/Year</b>	<b>Oct 16</b>	<b>Nov 16</b>	<b>Dec 16</b>	<b>Jan 17</b>	<b>Feb 17</b>	<b>Mar 17</b>
Youth in Program (Daily/Monthly)	11/76	11/91	20/100	16/87	19/93	32/103
% Not suspended from school	90.9%	90.9%	90%	91%	93%	93%
% Not rearrested	90.9%	90.0%	100%	62.5%	78.9%	93.8%

Table 3 shows average outcomes achieved, by the SE BARJ Drop-In Center from October 2016 through March 2017. This Center houses BARJ services and activities for pre-trial and post-disposition youth. Among the youth attending the SE BARJ Drop-In Center, 86% were not re-arrested and 92% were not suspended from school.

Table 4  
**FAMILY COURT SOCIAL SERVICES DIVISION**  
**Northeast (NE) BARJ Drop-In Center**

<b>Month/Year</b>	<b>Oct 16</b>	<b>Nov 16</b>	<b>Dec 16</b>	<b>Jan 17</b>	<b>Feb 17</b>	<b>Mar 17</b>
Youth in Program (Daily/Monthly)	21/159	17/144	15/144	22/130	20/130	27/134
% Not suspended from school	58.3%	63.6%	76.9%	78.6%	94.7%	70.4%
% Not rearrested	100%	100%	100%	95.5%	78.9%	100%

Table 4 shows outcomes achieved by the NE BARJ Drop-In Center from October 2016 through March 2017. 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, 96% were not re-arrested and 74% were not suspended from school.

Table 5  
**FAMILY COURT SOCIAL SERVICES DIVISION**  
**Southwest (SW) Drop-In Center**

<b>Month/Year</b>	<b>Oct 16</b>	<b>Nov 16</b>	<b>Dec 16</b>	<b>Jan 17</b>	<b>Feb 17</b>	<b>Mar 17</b>
Youth in Program (Daily/Monthly)	21/99	18/86	17/86	19/85	20/78	26/79
% Not suspended from school	92.9%	92.3%	85.7%	85.7%	93.8%	95%
% Not rearrested	100%	84.6%	85.7%	100%	93.8%	90.5%

Table 5 shows outcomes achieved by the SW BARJ Drop-In Center participants from October 2016 through March 2017. This Center houses BARJ activities for pre-trial and post-disposition youth. Among the youth participating in the SW BARJ Drop-In Center, 92% were not re-arrested and 91% were not suspended.

Table 6  
**FAMILY COURT SOCIAL SERVICES DIVISION**  
**Leaders Of Today In Solidarity (LOTS) BARJ Drop-In Center**  
(Note: The LOTS BARJ commenced operation in Feb 2017)

<b>Month/Year</b>	<b>Oct 16</b>	<b>Nov 16</b>	<b>Dec 16</b>	<b>Jan 17</b>	<b>Feb 17</b>	<b>Mar 17</b>	<b>April 17</b>
Youth in Program (Daily/Monthly)	N/A	N/A	N/A	20/149	30/154	35/158	41/144
% Not suspended from school	N/A	N/A	N/A	83.3%	88.9%	84.6%	85.7%
% Not rearrested	N/A	N/A	N/A	88.9%	83.3%	86.7%	94.7%

Table 6 shows outcomes achieved by the LOTS BARJ Drop-In Center for a portion of FY 2016 as LOTS began programming in January 2017. The Center houses both BARJ activities for pre-trial youth and post-disposition supervision and services. Among the youth participating in the LOTS BARJ Drop-In Center, 88% were not re-arrested and 86% were not suspended from school.

Table 7  
**FAMILY COURT SOCIAL SERVICES DIVISION**  
**Status Offender & Behavioral Health BARJ Drop-In Center**

<b>Month/Year</b>	<b>Oct 16</b>	<b>Nov 16</b>	<b>Dec 16</b>	<b>Jan 17</b>	<b>Feb 17</b>	<b>Mar 17</b>
Youth in Program (Daily/Monthly)	51/175	52/188	48/192	55/183	40/198	42/195
% Not suspended from school	100%	96%	94%	91%	85%	83%
% Not rearrested	94%	98%	98%	98%	97%	95%

Table 7 shows outcomes achieved by the PINS BARJ Drop-In Center in for a portion of FY 2016. PINS began programming in May 2016. The Center houses both BARJ activities for pre-trial youth and post-disposition supervision and services. Among the youth participating in the PINS BARJ Drop-In Center, 97% were not re-arrested and 92% were not suspended from school.

Table 8  
**FAMILY COURT SOCIAL SERVICES DIVISION**  
**Curfew Checks**

Month/Year	Oct 16	Nov 16	Dec 16	Jan 17	Feb 17	Mar 17	Apr 17
Face-to-Face	1,439	1,225	1,286	1,528	1,132	1,531	1021
Telephone	1,901	2,249	2,152	2,105	1,947	2,062	1,544

Table 8 illustrates that from October 1, 2016 through April 30, 2017, 9,162 face-to-face curfew checks (a decrease of 7.1% over the past year), and 13,960 telephone curfew checks (a decrease of 7.8% over the past year) 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.

Table 9  
**FAMILY COURT SOCIAL SERVICES DIVISION**  
**Parent Participation Orders**

Month/Year	Oct 16	Nov 16	Dec 16	Jan 17	Feb 17	Mar 17	Apr 17
Parent Participation Orders	695	692	656	604	672	644	617
Compliance	632	636	609	543	630	601	573
% Compliance among parents	90.2%	88.8%	91.3%	95.4%	91.3%	90.2%	92.1%

Table 9 indicates that from October 2016 through April 2017, 91% of parents complied with Parent Participation Orders. National indicators confirm parents, guardians, and custodians are the most suitable individuals to supervise and support adolescents involved in juvenile justice systems. Parental involvement has enabled youth supervised to maintain higher degrees of compliance with court-ordered conditions.

Table 10  
**FAMILY COURT SOCIAL SERVICES DIVISION**  
**Curfew Checks**

Month/Year	Oct 16	Nov 16	Dec 16	Jan 17	Feb 17	Mar 17	Apr 17
Face-to-Face	1,718	1,659	1,805	1,753	1,766	1,652	2,583
Telephone	1,718	2,565	2,177	2,366	2,920	2,369	3,843

Table 10 illustrates that from October 1, 2016 thru April 30, 2017, 12,936 face-to-face curfew checks (a decrease of 9.2% over the past year), and 17,958 telephone curfew checks were (an increase of 9.4% over the past year) 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.

Building on the successful outcomes consistently achieved annually, and in FY 2016, in FY 2017 the Court Social Services Division - CSSD maintained its partnerships with local, regional and national juvenile and criminal justice, child welfare, health and behavioral health stakeholders as well as public schools and public chartered schools professionals, and criminal justice agencies across the city. Through collaborative meetings, convened weekly, monthly and quarterly among partners, the scope of innovative activities and programs targeting at-risk youth were increased. The CSSD received additional recognition and commendations from local and regional stakeholders.

Discussions are underway between the Courts, the Department of Human Services (DHS), and the Department of Youth Rehabilitative Services (DYRS) to enter into a Memorandum of Agreement (MOA) permitting both agencies to utilize the Sex Trafficking Assessment Review (STAR) tool. The local Child and Family Services Agency (CFSA) have also expressed an interest in utilizing the tool and the CSSD hopes the school system will embrace the tool as well.

Expanding on successful outcomes achieved during the summer of 2016, the CSSD enhanced its engagement with youth during the hours of 4:00 pm to 8:30 pm from Monday thru Thursday, and from 6:30 pm to 11:00 pm on Friday and Saturday. The Summer Safety initiatives concluded with a back-to-school banquet, during which more than 30% of CSSD youth were provided certificates of appreciation, backpacks and school supplies. The CSSD also expanded access to educational, recreational, entertainment and cultural venues, for which many CSSD would not have otherwise experienced. In October 2016, the CSSD resurrected its Halloween crime prevention measure, "*Fright Night*." The Southwest and Northeast BARJ Drop-In Centers were decorated as haunted houses. CSSD youth were treated to an evening offering movies, digital games and tabletop competitions, and a variety of nutritional refreshments. Youth also participated in a scavenger hunt, created using historic clues and information and educational incentives were provided to winning youth. Subsequently, staffs were deployed to the U Street and Gallery Place corridors to engage in public safety measures in partnership with the Metropolitan Police Department (MPD) to reduce juvenile crime.

In FY 2017, the CSSD in partnership with its community-based service providers, the East of the River and Far Southeast Collaborative and the MPD hosted the "*Spring Fling*," crime prevention measure, encompassing a full week of multi-faceted educational, recreational and nutritional activities. This year's *Spring Fling* commenced with a carnival at the RISE Center, located on the grounds of St. Elizabeth's Hospital. The event, attended by roughly 1,000 individuals, the vast majority of whom were CSSD youth, featured outdoor athletic activities, game trucks, and a disk jockey. Also attending were many individuals residing in the surrounding neighborhood. The *Spring Fling* week continued with a movie day and two educational pro-social days for CSSD youth, during which youth authored essays, which were scored and rated by their peers, and attended lectures on the following topics: Restorative Justice and Mediation, Health and Wellness, and Overcoming Trauma. A full day of community service enabled CSSD youth to continue restoring their communities and the CSSD youth also assisted staff in hosting a public safety Block Party. The *Spring Fling* concluded with an old-school barbeque, during which youth participated in portrait art and created tie-dyed tee shirts.

Also during the fiscal year, Child Guidance Clinic completed roughly 575 evaluations. The CGC continued to operate its nationally recognized pre-doctoral psychology Internship training program accredited by the American Psychological Association (APA). The CGC's Clinical Research Lab received recognition for the following publications:

### **PUBLISHED MANUSCRIPTS**

Andretta, J.R., Watkins, K.M., Barnes, M.E., & Woodland, M.H. (2016). Towards the discreet identification of commercial sexual exploitation of children (CSEC) victims and individualized interventions: Science to practice. *Psychology, Public Policy, and Law*.

Andretta, J.R., Worrell, F.C., Ramirez, A.M, Barnes, M.E., Odom, T., & Woodland, M.H. (2016). A pathway model for emotional distress and implications for therapeutic jurisprudence in African American juvenile court respondents. *Cultural Diversity and Ethnic Minority Psychology*, 22, 341-349. doi: 10.1037/cdp0000053

Andretta, J.R., Ramirez, A.M., Barnes, M.E., Odom, T., Roberson-Adams, S., & Woodland, M.H. (2015). Perceived parental security profiles in African American adolescents involved in the juvenile justice system. *Journal of Family Psychology*, 29, 884-894. doi: 10.1037/fam0000105

Andretta, J.R., Worrell, F.C., Ramirez, A.M., Barnes, M.E., Odom, T., Brim, S., & Woodland, M.H., (2015). The effects of stigma priming on forensic screening in African American youth. *The Counseling Psychologist*, 43, 1162-1189. doi: 10.1177/0011000015611963

### **FY 2019 Request**

In FY 2019, the Courts request \$22,243,000 for the Family Court Social Services Division, an increase of \$938,000 (4%) from the FY 2018 Level. The requested increase consists of built-in costs and partial restoration of the FY 2017 funding level.

Table 11  
**FAMILY COURT SOCIAL SERVICES DIVISION**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	12,665,000	12,239,000	12,791,000	552,000
12 - Personnel Benefits	3,546,000	3,427,000	3,582,000	155,000
<b><i>Subtotal Personal Services</i></b>	<b><i>16,211,000</i></b>	<b><i>15,666,000</i></b>	<b><i>16,373,000</i></b>	<b><i>707,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	823,000	795,000	827,000	32,000
24 - Printing & Reproduction				
25 - Other Services	4,918,000	4,753,000	4,948,000	195,000
26 - Supplies & Materials	57,000	55,000	57,000	2,000
31 – Equipment	37,000	36,000	38,000	2,000
<b><i>Subtotal Nonpersonal Services</i></b>	<b><i>5,835,000</i></b>	<b><i>5,639,000</i></b>	<b><i>5,870,000</i></b>	<b><i>231,000</i></b>
<b>TOTAL</b>	<b>22,046,000</b>	<b>21,305,000</b>	<b>22,243,000</b>	<b>938,000</b>
<b>FTE</b>	<b>148</b>	<b>148</b>	<b>148</b>	<b>0</b>

Table 12  
**FAMILY COURT SOCIAL SERVICES DIVISION**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Current Position WIG	148	40,000	
	Current Position COLA		245,000	
	Partial Restoration of FY 2017 Funding Level		267,000	
<b><i>Subtotal 11</i></b>				<b><i>552,000</i></b>
12 - Personnel Benefits	Current Position WIG	148	11,000	
	Current Position COLA		69,000	
	Partial Restoration of FY 2017 Funding Level		75,000	
<b><i>Subtotal 12</i></b>				<b><i>155,000</i></b>
<b><i>Subtotal Personal Services</i></b>				<b><i>707,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increases			32,000
24 - Printing & Reproduction				
25 - Other Services	Built-in Increases			195,000
26 - Supplies & Materials	Built-in Increases			2,000
31 – Equipment	Built-in Increases			2,000
<b><i>Subtotal Nonpersonal Services</i></b>				<b><i>231,000</i></b>
<b>Total</b>				<b>938,000</b>

Table 13

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

<b>Grade</b>	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-6	12	12	12
JS-7	3	3	3
JS-8	17	17	17
JS-9	19	19	19
JS-10	2	2	2
JS-11	8	8	8
JS-12	59	59	59
JS-13	20	20	20
JS-14	6	6	6
JS-15			
CEMS	1	1	1
CES	1	1	1
<b>Total Salary</b>	<b>\$12,665,000</b>	<b>\$12,239,000</b>	<b>12,791,000</b>
<b>Total FTEs</b>	<b>148</b>	<b>148</b>	<b>148</b>

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

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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	3,430,000	28	3,308,000	28	3,520,000	0	212,000

**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. Superior Court. 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 Divisions.
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. This 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 150 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 ADR professionals of the Multi-Door Division provide 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.

### **Division MAP Objectives**

The 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 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.
- Promote the “Living Our Values” initiative by developing and implementing a “Values” divisional plan.

- Foster employee engagement by seeking employee input and encouraging innovation and collaboration in the development of court processes and procedures.

### **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 mediations remain stable with the largest volume of civil cases stemming from Small Claims and Landlord Tenant Courts. Due to the increase in the jurisdictional limit in Small Claims Court from \$5,000 to \$10,000, the division anticipates the overall civil caseload will increase through FY 2017. In addition, Judicial Sale, Debt Collection and Judge in Chambers (community cases) provide an additional steady stream of cases suitable for mediation.

### **Family ADR Branch**

*Child Protection Mediation.* The Child Protection Mediation (CPM) program provides a collaborative problem solving process for pre-and-post trial neglect and abuse cases. Child protection mediation continues to provide an expeditious and efficient court process that resolves the court case quickly, thus reducing the number of contested court matters.

In FY 2016, CPM scheduled 322 families for mediation, representing 504 children. Of those 322 families, 228 cases were mediated. Two hundred and thirteen families completed the mediation process. Two hundred families (94%) that completed mediation reached an agreement on substantive issues and family services. These settlements impacted 332 children that reached an earlier decision about their permanency status.

*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, division of property, and other family matters. In FY 2016, the family program experienced a 30% increase in case settlements (166 in FY 2015 and 216 in FY 2016). The family program experienced a 14% increase in the number of sessions scheduled (1,576 in FY 2015 and 1,804 in FY 2016). Of the 1,804 sessions scheduled, 65% (1,180) were held. The program continues to reach 100% compliance with case processing standards.

The Family Mediation Program is in the final year of a partnership with nationally recognized experts to study intimate partner violence/abuse (IPV/A) and its impact on mediation. The study is supported by a National Institute for Justice (NIJ) Grant and by the Department of Justice

Office of Violence Against Women and the Battered Women's Project. 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 has expanded the type of mediation services provided to families that reside in the District of Columbia and has reduced the number of domestic relation cases that require significant judicial time. To date, the program screened and identified 340 cases with IPV/A that were eligible to participate in the study. Of those 340 cases, 211 consented to participate in the study and 199 completed mediation. One-year follow-up with the participants is underway and a final report will be completed and submitted to NIJ in the fall of 2018.

*Program for Agreement and Cooperation in Contested Custody Disputes (PAC).* PAC is a Family Court parent education seminar that operates adults' and children's seminars for disputed custody cases twice a month. During FY 2016, there were 4,699 domestic relations case filings, of which 1,708 were contested custody disputes (PAC cases). During this period, 475 parents and 93 children participated in PAC educational seminars provided by the Multi-Door Dispute Resolution Division. The Division scheduled 579 PAC cases for mediation, representing 1,158 parents. Of those cases, 452 (78%) participated in mediation, representing 904 parents.

*The Community Information and Referral Program (CIRP).* The Community Information and Referral Program (CIRP) is for people seeking help with all types of disputes before they file a court case and for screening family Domestic Relations Branch (DRB) cases for mediation. In FY 2016, DRB referrals for intake/screenings at Multi-Door increased by 13% (1,806 in FY 2015 and 2,035 in FY 2016).

In addition, CIRP operates the Multi-Door Dispute Resolution Satellite Office at the Central American Resource Center (CARECEN) in Adams Morgan two Wednesdays per month. In FY-2016 CARECEN opened 128 Spanish language cases, 80 of those cases reached resolution. Fifty-nine cases mediated at CARECEN resulting in a 69% settlement rate (41 cases) and twenty-one cases participated in a conciliation process that resulted in a 100% settlement rate.

### **Program Assessment and Training Branch**

In FY 2017, the Division conducted 21 advanced Alternative Dispute Resolution (ADR) trainings across all programs to enhance the quality of its mediator pool. The division hosted ten groups of international judges, government officials, law professors and attorneys, providing ADR educational sessions and opportunities to observe civil mediations. The division director and staff gave presentations on mediation and the division's programs at the University of the District of Columbia (UDC) Law School, George Washington Law School and Catholic University and provided mediation observation opportunities for a group of students from the University of Maryland. 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 programs and provide additional opportunities for mediator professional development, the Division continues to add to its DVD Library of ADR trainings for mediators, adding 8 new training DVDs to its collection during this fiscal year. The continued 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 division delivered its first in-house training program in mediation for staff only, to provide those who have not had basic mediation training with a better understanding of the process and the Division's expectations for mediators. This 9-session training course will increase staff members' ability to respond to questions from participants and to support and evaluate the work of our mediators. It may also increase staff promotional opportunities, expand succession planning, and improve morale.

The Multi-Door Division in conjunction with the IT Division continues to refine improvements to its web-based systems to capture the mediation experience of participants, to improve its ADR programs and the performance of mediators (mediator management 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 subjects for 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. The web-based voucher system has been redesigned to increase its user-friendliness and efficiency, which is expected to enhance the timeliness of payments.

## **Workload Data**

Table 1  
**MULTI-DOOR DISPUTE RESOLUTION DIVISION**  
**Caseload Overview**

	Mediation Sessions Scheduled	Mediations Held	*Cases Settled	**Settlement Rate
FY 2016 Actual	9,186	4,493	2,346	52%
FY 2017 Estimated	9,568	4,533	2,476	55%

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

\*\*settlement rate reflects number of civil and family "cases" settled as reflected in Table 2 and Table 3.

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

Type of Indicator	Performance Indicator	Data Source	FY 2016 Actual	FY 2017 Estimated	Projection FY 2018	Projection FY 2019
Input	Cases Scheduled	CourtView	7,021	7,668	7,821	7,900
Output	Mediation Sessions Held	CourtView	3,804	3,953	4,032	4,037
Outcome	Case Settlement Rate	CourtView	51%	53%	53%	53%
Outcome/Quality	Participant Satisfaction w/ ADR Process	SPSS database	90%	91%	91%	91%
Outcome/Quality	Participant Satisfaction w/ Outcome	SPSS database	75%	76%	76%	76%
Outcome/Quality	Neutral Performance Satisfaction	SPSS database	96%	97%	97%	97%

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

Type of Indicator	Performance Indicator	Data Source	FY 2016 Actual	FY 2017 Estimated	Projection FY 2018	Projection FY 2019
Input	Mediation Sessions Scheduled	Court view	2,165	1,900	1,950	1,975
Output	Mediation Sessions Held	CourtView	1,421	1,290	1,325	1,345
Outcome	*Case Settlement Rate	CourtView	61%	65%	67%	68%
Outcome/Quality	Participant satisfaction w/ process	SPSS database	91%	91%	93%	95%
Outcome/Quality	Participant satisfaction w/outcome	SPSS database	85%	87%	89%	90%
Outcome/Quality	Neutral performance satisfaction	SPSS database	92%	95%	96%	97%

\*Case settlement rate reflects both full and partial settlements of all 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 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 reflect 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 2016		FY 2017		FY 2018		FY 2019	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output	Settlement Rate	IJIS database	50%	54%	50%	58%	50%	58%	50%	58%
Outcome	Overall client satisfaction (ratings of satisfied plus highly satisfied)	SPSS database	80%	88%	80%	90%	80%	90%	80%	91%

### **FY 2019 Request**

In FY 2019, the D.C. Courts request \$3,520,000 for the Multi-Door Dispute Resolution Division, an increase of \$212,000 (6%) above the FY 2018 Level. The requested increase consists of built-in costs and partial restoration of the FY 2017 funding level.

Table 5  
**MULTI-DOOR DISPUTE RESOLUTION DIVISION**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	2,247,000	2,169,000	2,318,000	149,000
12 - Personnel Benefits	628,000	606,000	645,000	39,000
<b><i>Subtotal Personnel Services</i></b>	<b><i>2,875,000</i></b>	<b><i>2,775,000</i></b>	<b><i>2,963,000</i></b>	<b><i>188,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	2,000	1,000	2,000	1,000
25 - Other Services	530,000	511,000	532,000	21,000
26 - Supplies & Materials	14,000	13,000	14,000	1,000
31 – Equipment	9,000	8,000	9,000	1,000
<b><i>Subtotal Non-Personnel Services</i></b>	<b><i>555,000</i></b>	<b><i>533,000</i></b>	<b><i>557,000</i></b>	<b><i>24,000</i></b>
<b>TOTAL</b>	<b>3,430,000</b>	<b>3,308,000</b>	<b>3,520,000</b>	<b>212,000</b>
FTE	28	28	28	0

Table 6  
**MULTI-DOOR DISPUTE RESOLUTION DIVISION**  
**Detail, Difference FY 2018/2019**

Object Class	Description of Request	FTE	Cost	Difference FY 2018/2019
11 – Personnel Compensation	Current Positions WIG	28	48,500	
	Current Positions COLA		42,000	
	Partial Restoration of FY 2017 Funding Level		58,500	
<i>Subtotal 11</i>				<i>149,000</i>
12 – Personnel Benefits	Current Positions WIG	28	15,500	
	Current Positions COLA	28	22,000	
	Partial Restoration of FY 2017 Funding Level		1,500	
<i>Subtotal 12</i>				<i>39,000</i>
<b><i>Subtotal Personnel Services</i></b>				<b><i>188,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increase			1,000
25 - Other Services	Built-in Increase			21,000
26 - Supplies & Materials	Built-in Increase			1,000
31 – Equipment	Built-in Increase			1,000
<b><i>Subtotal Non-Personnel Services</i></b>				<b><i>24,000</i></b>
<b>Total</b>				<b>212,000</b>

Table 7  
**MULTI-DOOR DISPUTE RESOLUTION DIVISION**  
**Detail of Full-Time Equivalent Employment**

Grade	FY 2017 Enacted	FY 2018 Level	FY 2019 Request
JS-6	2	2	2
JS-7			
JS-8	1	1	1
JS-9	1	1	1
JS-10	10	10	10
JS-11	5	5	5
JS-12	4	4	4
JS-13	3	3	3
JS-14			
JS-15	1	1	1
CEMS			
CES	1	1	1
<b>Total Salaries</b>	<b>2,247,000</b>	<b>2,169,000</b>	<b>2,318,000</b>
Total FTEs	28	28	28

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

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
6	698,000	6	676,000	6	859,000	0	183,000

**Mission Statement**

The primary mission of the Office of the Auditor-Master is to assist the Judiciary in its oversight and protection of assets under its jurisdiction. The Office is charged with the responsibility of accurately and expeditiously investigating and stating financial accounts as directed by the Judiciary. 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 the supervision of 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, and when assets are reportedly being misappropriated. The Office also assists the Court by investigating and resolving controversies involving complex financial computations and numerous convoluted financial transactions in business and real property related litigation in the Civil Division and in divorce and child support litigation in the Family Court. It is the primary goal of the Office to perform these tasks in a timely 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. Through the hearing process, 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. After any objections are filed, the report is considered by the Court in a hearing before the parties. The Office of the Auditor-Master has 6 FTEs: the Auditor-Master, the Assistant Auditor-Master, an Attorney Advisor, a Legal Assistant, an Accountant, and an Administrative Assistant. The Office also relies heavily upon interns from local law schools and universities who are pursuing degrees in law, business, accounting, or related fields.



## **Divisional MAP Objectives**

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

- Establish aggressively shorter time standards under which no case remains in the office for a period longer than 360 days to assist in the timely disposition of cases as mandated by the Superior Court. Currently, 30% of Office cases are more than 360 days old. The Office will reduce that to 15% by July 1, 2018, and to 0% by July 1, 2019.
- 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:

- Adopting trial court case management best practices, such as more frequent status hearings to identify and narrow the issues in contention; to more quickly identify and secure necessary documentation; and to advance the settlement process so that cases may be more expeditiously resolved.
- Shifting and reassigning duties and responsibilities among the staff to streamline and expedite case processing.
- Investigating and adopting methodology to digitize bank and other financial statements so that financial transactions are electronically, rather than manually, imported into excel or other accounting software in the preparation of accounts.

With the active professional and effective assistance and guidance of the Clerk of the Court and his staff, it is anticipated that all goals set forth within this budget request will be met. Despite the influx of increasingly contested and complex cases, the Office maintains a 98% report approval rate.

## **Workload Data**

Table 1  
**OFFICE OF AUDITOR MASTER**  
**FY 2016 Caseload Overview**

Case Activity			Cases Pending		
Reports (Dispositions)	Cases Referred	Clearance Rate	Oct 1	Sep 30	Change
70	97	72%	44	71	+61%

Table 2  
**OFFICE OF AUDITOR MASTER**  
**Projected FY 2017 Caseload Overview**

Case Activity			Cases Pending		
Reports (Dispositions)	Cases Referred	Clearance Rate	Oct 1	Sep 30	Change
78	73	107%	71	66	-7%

## **Key Performance Indicators**

Table 3  
**OFFICE OF THE AUDITOR-MASTER**  
**Key Performance Indicators**

Type of Indicator	Key Performance Indicator	Data Source	FY 2016		FY 2017		FY 2018		FY 2019	
			Goal	Actual	Goal	Projected	Goal	Estimate	Goal	Estimate
Output	Cases completed within 6 months	Monthly Reports	65%	71%	65%	55%	65%	65%	65%	65%
Output	Cases completed within 9 months	Monthly Reports	80%	81%	80%	70%	80%	80%	80%	80%
Output	Cases completed within 12 months	Monthly Reports	85%	87%	85%	85%	85%	85%	85%	85%
Output	Cases completed within 18 months	Monthly Reports	95%	99%	95%	95%	95%	95%	95%	95%

## **FY 2019 Request**

In FY 2019, the D.C. Courts request \$859,000 for the Office of the Auditor-Master, an increase of \$183,000 (27%) above the FY 2018 Level. The requested increase consists of built-in cost increases and partial restoration of FY 2017 funding level.

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

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 – Compensation	520,000	503,000	653,000	150,000
12 – Benefits	146,000	141,000	170,000	29,000
<b><i>Subtotal Personal Services</i></b>	<b><i>666,000</i></b>	<b><i>644,000</i></b>	<b><i>823,000</i></b>	<b><i>179,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	3,000	3,000	4,000	1,000
25 - Other Services	7,000	7,000	8,000	1,000
26 - Supplies & Materials	8,000	8,000	9,000	1,000
31 – Equipment	14,000	14,000	15,000	1,000
<b><i>Subtotal Non-Personnel Services</i></b>	<b><i>32,000</i></b>	<b><i>32,000</i></b>	<b><i>36,000</i></b>	<b><i>4,000</i></b>
<b>TOTAL</b>	<b>698,000</b>	<b>676,000</b>	<b>859,000</b>	<b>183,000</b>
FTE	6	6	6	0

Table 5  
**OFFICE OF THE AUDITOR-MASTER**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11- Personnel Compensation	Current Positions WIG		5,000	
	Current Positions COLA		10,000	
	Partial Restoration of FY 2017 Funding Level		135,000	
<i>Subtotal 11</i>				<i>150,000</i>
12- Personnel Benefits	Current Positions WIG		1,000	
	Current Positions COLA		3,000	
	Partial Restoration of FY 2017 Funding Level		25,000	
<i>Subtotal 12</i>				<i>29,000</i>
<b><i>Subtotal Personnel Services</i></b>				<b><i>179,000</i></b>
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			1,000
26 - Supplies & Materials	Built-in Increases			1,000
31 – Equipment	Built-in Increases			1,000
<b><i>Subtotal Non-Personnel Services</i></b>				<b><i>4,000</i></b>
<b>Total</b>				<b>183,000</b>

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

<b>Grade</b>	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
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		1	1
JS-15	1	1	1
CEMS			
CES – 96	1		
<b>Total Salaries</b>	<b>520,000</b>	<b>503,000</b>	<b>653,000</b>
Total FTEs	6	6	6

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

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
69	6,752,000	69	6,393,000	69	6,995,000	0	602,000

**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 continues to age, the work of the Probate Division continues to increase, with more incapacitated adults under court supervision and needing court-appointed fiduciaries to handle their personal, medical, and financial affairs and thereafter more decedents' estates. Adult guardianship cases are especially challenging and may require multiple court hearings, as needed to protect this vulnerable population.

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. A proceeding for a disabled person is terminated upon death, recovery, transfer to another jurisdiction, 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, sometimes for 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, decedents' estates, 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 now more than 350 publicly accessible Probate Division

forms designed to assist members of the public. The Probate Division continues to seek technological improvements to assist in handling its increasing caseload.

### **Organizational Background**

The Probate Division consists of the Office of the Register of Wills, Probate Operations, Legal Branch, Auditing and Appraisal Branch, Guardianship Assistance Program, Self-Help Center, 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 5 FTEs, consisting of the Register of Wills, the Deputy Register of Wills, Program Analyst, Quality Assurance Specialist, and one administrative assistant.
- The Probate Operations Branch is the operational center of the Probate Division and the primary point of contact for the public. This office provides courtroom support, handles filings, requests for case information and copies, ensures the accuracy of docket entries and the proper handling of court orders, creates ticklers and processes reports, issues letters of appointment to fiduciaries, and provides all cashier functions. This central office is the largest office in the Probate Division, with 28 FTEs, consisting of a branch chief, two supervisors, four case managers, six courtroom clerks, and fifteen 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. This office has 5 FTEs, consisting of the legal branch manager, three attorneys, and one legal assistant.
- 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 Guardianship Assistance Office provides support to the public, guardians, persons under guardianship, and care providers through educational training, referrals to community resources, and information regarding guardianship and alternatives to guardianship. This program also conducts in-depth reviews of the needs of those incapacitated adults under court supervision and whether or not there is a continued need for guardianship. This office has 9 FTEs, consisting of a program manager, deputy program manager, six case manager social workers, and one deputy clerk.
- The Self-Help Center is a new, innovative program that is designed to provide information and assistance to members of the public on all probate matters. The work of the center will include assisting and processing small estate filings for estates valued at \$40,000 or less. Small estate filings are handled expeditiously and are generally filed by members of the public who do not have legal representation. The center will also provide a roadmap to estate administration for family members serving as personal representatives and assist other members of the public to open a guardianship for an incapacitated adult or a guardianship for the estate of a minor child. This office has 7 FTEs, consisting of a self-help center manager,

a small estates supervisor, two small estate specialists, two paralegal assistants, 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 one business day 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 2016 the Probate Division:

- Processed 8,311 court orders and held 1,872 court hearings.
- Reviewed nearly 5,000 guardianship reports submitted to provide the court with information about incapacitated adults under court supervision.
- Partnered with three local universities and received nearly 3,000 volunteer hours from students pursuing their master's degree in social work to assist in the review of incapacitated adults under court supervision and hosted the eighth annual guardianship conference entitled *Wellbeing: Addressing Issues Affecting Healthy Living in Guardianship* in March 2016.
- Collaborated in the Working Interdisciplinary Network of Guardianship Stakeholders (WINGS) in the District of Columbia, a court-community effort involving a wide range of persons, agencies and organizations working on guardianship issues within the District of Columbia. During the fiscal year, WINGS held a series of trainings on *Decision-making & Guardianship: Exploring the Least Restrictive Alternatives* to educate the public on services, support systems, and alternative programs available in the District and designed and publicized a user-friendly process for members of the public to bring guardianship complaints to the attention of the courts.
- Continued to provide public seminars for new guardians and for persons handling the finances of incapacitated adults or the estates of trust beneficiaries, minor children, and decedents' estates under court supervision.
- Refined the new process for criminal background checks for all new guardians, including the posting of additional information on the website to assist family members serving as guardians and the designing streamlined procedure for fiduciary panel members serving in multiple guardianship cases.
- As a joint effort with the Estates, Trusts and Probate Law section of the D.C. Bar, assisted in the publication of a second District of Columbia Probate Digest, a research manual which now contains nearly 1,000 case summaries of significant decisions issued by the District of

Columbia courts in the areas of decedents' estates, trusts, guardianships of minors, and adult guardianships in the District of Columbia to promote access to justice and provide valuable insights on past decisions to the court, the bar, and members of the public.

- Prepared for the implementation of changes in the District of Columbia guardianship law requiring in depth periodic reviews by licensed social workers, personal service of filings upon the ward, and numerous additional court hearings for consideration of the guardianship and powers of the guardian upon request by a persons under guardianship.
- Continued to promote technical training, cross training, and values training throughout the Probate Division.

### **Workload Data**

As shown in Table 1, below, the Probate Division disposed of 2,877 cases during FY 2016, with an overall clearance rate of 86% for the fiscal year. The lowest clearance rate, 72% for adult guardianships/conservatorships, is to be expected, as these cases are often open for many years until the death, recovery, or transfer of the incapacitated ward. Absent these adult guardianship/conservatorship and trust cases, the overall clearance rate in the Probate Division is 89%. Efforts continue to close out aged decedent and reopened decedent estate cases.

Table 1  
**PROBATE DIVISION**  
**Caseload and Efficiency Measures**  
**(Fiscal Year 2016 Data)**

	Cases Added	Cases Disposed	Clearance Rate*	Cases Pending		
				1-Oct 2015	30-Sept 2016	Change
Cases Involving the Deceased						
Formal Probate (Decedents Estates)	1,959	1,683	86%	4,371	4,647	6%
Small Estates	665	633	95%	122	154	26%
Foreign Proceedings	158	146	92%	154	166	8%
Cases Involving the Incapacitated						
Conservatorships (Old Law) **	0	0	**	21	21	0%
Guardianships (of Minors)	25	33	132%	183	175	-4%
Intervention Proceedings (Adult Guardianships/Conservatorships)	513	369	72%***	2,646	2,790	5%
Trusts	17	13	76%	103	107	4%
Total	3,337	2,877	86%	7,600	8,060	6%
* 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 until the death of the ward.						

## **Key Performance Indicators**

Table 2  
**PROBATE DIVISION**  
**Key Performance Indicators**

Performance Indicator	Data Source	FY 2016		FY 2017		FY 2018		FY 2019	
		Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Time Standard from Filing to Disposition									
Administration of Decedents Estates	Monthly Reports								
Within 395 days		30%	40%	30%	30%	30%	30%	30%	30%
Within 1,125 days		75%	95%	75%	80%	75%	75%	75%	75%
Within 1,490 days		98%	99%	98%	90%	98%	98%	98%	98%
Appointment of fiduciary or other resolution in guardianship cases (incapacitated adults and minors)	Monthly Reports								
Within 60 days		75%	83%	75%	75%	75%	75%	75%	75%
Within 90 days		98%	93%	98%	95%	98%	98%	98%	98%
Triage eFiled documents w/in 1 business day of receipt in the eFiling queue	Monthly Reports	90%	98%	90%	92%	90%	90%	90%	90%
Issue letters of appointment w/in 1 business day of processing order or qualifying event	Monthly Reports	90%	95%	90%	92%	90%	90%	90%	90%
Identify and act on delinquent filings w/in 10 days	Monthly Reports	90%	90%	90%	90%	90%	90%	90%	90%
Requests for compensation without account and from Guardianship Fund: within 25 days	Monthly Reports	90%	87%	90%	92%	90%	90%	90%	90%
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	90%	98%	90%	98%	90%	90%	90%	90%
Number of GAP in-depth reports submitted	Monthly Report	500	172	500	500	500	500	500	500

## **FY 2019 Request**

In FY 2019, the Courts request \$6,995,000 for the Probate Division an increase of \$602,000 (9%) above the FY 2018 Level. The requested increase consists of built-in costs and partial restoration of the FY 2017 funding level.



Table 3  
**PROBATE DIVISION**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	5,073,000	4,902,000	5,448,000	546,000
12 - Personnel Benefits	1,419,000	1,371,00	1,418,000	47,000
<i>Subtotal Personnel Services</i>	<i>6,492,000</i>	<i>6,273,000</i>	<i>6,866,000</i>	<i>593,000</i>
21 - Travel, Transp. of Persons	14,000	14,000	15,000	1,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	7,000	7,000	8,000	1,000
25 - Other Services	56,000	54,000	57,000	3,000
26 - Supplies & Materials	23,000	22,000	23,000	1,000
31 - Equipment	160,000	23,000	26,000	3,000
<i>Subtotal Non-Personnel Services</i>	<i>260,000</i>	<i>120,000</i>	<i>129,000</i>	<i>9,000</i>
<b>TOTAL</b>	<b>6,752,000</b>	<b>6,393,000</b>	<b>6,995,000</b>	<b>602,000</b>
FTE	69	69	69	0

Table 4  
**PROBATE DIVISION**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Current Position WIG	69	18,000	
	Current Position COLA		98,000	
	Partial Restoration of FY 2017 Funding Level		430,000	
<i>Subtotal 11</i>				<i>546,000</i>
12 - Personnel Benefits	Current Position WIG	69	5,000	
	Current Position COLA		12,000	
	Partial Restoration of FY 2017 Funding Level		30,000	
<i>Subtotal 12</i>				<i>47,000</i>
<i>Subtotal Personnel Services</i>				<i>593,000</i>
21 - Travel, Transp. of Persons	Built-in Increases			1,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Services	Built-in Increases			3,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			3,000
<i>Subtotal Non-Personnel Services</i>				<i>9,000</i>
<b>Total</b>				<b>602,000</b>

Table 5

**PROBATE DIVISION**  
**Detail of Full Time Equivalent Employment**

<b>Grade</b>	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-5	1	1	1
JS-6	8	8	8
JS-7	7	7	7
JS-8	5	5	5
JS-9	15	15	15
JS-10	3	3	3
JS-11	7	7	7
JS-12	11	11	11
JS-13	7	7	7
JS-14	3	3	3
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	5,073,000	4,902,000	5,448,000
Total FTEs	69	69	69

## SUPERIOR COURT OF THE DISTRICT OF COLUMBIA SPECIAL OPERATIONS DIVISION

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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	5,041,000	35	4,873,000	35	5,100,000	0	227,000

### **Mission**

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 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 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 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 using 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 D.C. Courts' 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 issuance of arrest, bench, and search warrants; as well as the enforcement of foreign judgments. This office has 5 FTEs.
- The Identity and Analysis 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 5 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 15 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 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 10 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.
- To provide fair, timely, and efficient resolution of emergency matters requiring expedited judicial decision-making during the Court’s normal business hours.

### **Restructuring and Work Process Redesign**

Several restructuring efforts are underway in the Special Operations Division.

The Judge-in-Chambers, in collaboration with the Multi-Door Dispute Resolution Division, implemented a Mediation Initiative that focuses on civil cases involving interpersonal disputes where a Temporary Restraining Order has been requested. The program offers professional mediation services three days a week at no cost to the parties. In the first six months after implementation, the Mediation Initiative held 50 mediations, with 33 settlements (a 66% settlement rate). The settlements reached allowed parties to resolve their cases and clear the matters from the Civil Division caseload.

Case and work flow management in Judge-in-Chambers was further enhanced with the assignment of an attorney-advisor tasked to: address complex procedural issues; create a benchbook to support judicial officers assigned to Judge-in-Chambers; review forms to ensure they are written in plain language, available online in a fillable PDF format; and recommend improvements to business practices to improve staff performance and enhance operational efficiencies.

In FY2016, the Jurors’ Office laid the groundwork for the implementation of a call-in system for

jurors. While the *One Trial or One Day* summoning system remains in place, the call-in system allows jurors to phone one business day in advance of the service date to determine if they need to report for jury service. Preparations included a redesign of the jury summons, as well as a reconfiguring of the Interactive Voice Response system. The goal of the call-in system is to reduce juror inconvenience and to enhance juror utilization. A critical factor in the success of the call-in system will be collaboration with the Criminal and Civil Divisions of the Court to determine trial readiness within one business day in advance of the juror's report date.

The Jurors' Office and the Office of Court Interpreting Services continue to fine-tune procedures for providing accommodations to jurors with disabilities, including making American Sign Language interpreters available starting at 8:00 a.m. to provide more timely support to Deaf/Hard of Hearing jurors who, in the past, would wait until 10:30 a.m. to start their service.

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. An improved data management and scheduling program called Web Interpreter System was implemented to more efficiently schedule interpreter services and enable a paperless environment to receive invoices from and process payments to contract interpreters, reducing the payment processing time from four weeks to two.

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 court participants 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.

The Tax Division worked collaboratively with the Tax Rules Committee to implement business process changes that enhance timely disposition of tax cases by instituting a Show Cause Calendar to resolve cases pending for more than 36 months.

### **Workload Data**

In FY 2016, the Special Operations Division handled the following:

- Jurors' Office issued over 160,000 summonses to District of Columbia residents to appear for jury service;
- The Office of Court Interpreting Services fulfilled over 9,500 requests for interpreting services;
- The Tax Division disposed of 519 petitions;
- The Judge-in-Chambers held 1,614 hearings and processed 17,641 pleadings, orders, and warrants;
- The Identity and Analysis Consolidation Unit researched 117,582 identities entered into the Court's case management system and consolidated 26,702 duplicate party entries into 10,134 single entries; and

- 728 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 2016		FY 2017		FY 2018		FY 2019	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Output / Activity	# of summons issued to jurors for jury duty	Courts' Information Technology (IT) Division	245,000	161,852	200,000	183,182	120,000	120,000	115,000	115,000
Output / Activity	# of jurors qualified to serve on <i>voir dire</i> panels	Xerox Jury Management System (JMS)	60,000	31,729	40,000	33,172	40,000	40,000	40,000	40,000
Outcome	Judicial requests for <i>voir dire</i> panels met	JMS	90%	61%	65%	52%	65%	65%	65%	65%
Outcome	Jury Yield	JMS	28%	20%	25%	19%	28%	28%	28%	28%

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

Type of Indicator	Key Performance Indicator	Data Source	FY 2016		FY 2017		FY 2018		FY 2019	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Input	Requests for interpreters	Web Interpreter System (WIS)	10,000	9,516	10,000	8,797	9,157	9,157	9,316	9,316
Outcome	Requests for interpreters met	WIS	10,000	9,468	10,000	8,753	8,699	9,111	8,850	9,269
Efficiency	Clearance rate	WIS	95%	99.5%	95%	99.5%	95%	99.5%	95%	99.5%

Table 3  
**SPECIAL OPERATIONS DIVISION**  
**Tax Division**  
**Caseload and Efficiency Measures**  
**(Fiscal Year 2016 Data)**

	Case Filings	Dispositions	Clearance Rate*	Pending Cases		
				1-Oct	30-Sep	Change
Civil Tax	777	519	68%	1827	2057	11%

\*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 4  
**SPECIAL OPERATIONS DIVISION**  
**Library**  
**Key Performance Indicators**

Type of Indicator	Key Performance Indicator	Data Source	FY 2016		FY 2017		FY 2018		FY 2019	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Output	Research Assistance Provided	Library Data	3,500	3,346	3,650	2,208	3,700	3,700	3,750	3,750
Outcome	# Library Users	Library Data	8,000	7,078	7,250	9,658	7,500	7,500	7,575	7,575

### **FY 2019 Request**

In FY 2019, the Courts request \$5,100,000 for the Special Operations Division, an increase of \$227,000 (5%) above the FY 2018 Level. The requested increase consists of built-in costs and partial restoration of the FY 2017 funding level.

Table 5  
**SPECIAL OPERATIONS DIVISION**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 – Personnel Compensation	2,703,000	2,612,000	2,739,000	127,000
12 – Personnel Benefits	756,000	731,000	767,000	36,000
<b><i>Subtotal Personnel Services</i></b>	<b><i>3,459,000</i></b>	<b><i>3,343,000</i></b>	<b><i>3,506,000</i></b>	<b><i>163,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	156,000	151,000	157,000	6,000
25 - Other Services	1,164,000	1,125,000	1,172,000	47,000
26 - Supplies & Materials	251,000	243,000	253,000	10,000
31 – Equipment	11,000	11,000	12,000	1,000
<b><i>Subtotal Non-Personnel Services</i></b>	<b><i>1,582,000</i></b>	<b><i>1,530,000</i></b>	<b><i>1,594,000</i></b>	<b><i>64,000</i></b>
<b>TOTAL</b>	<b>5,041,000</b>	<b>4,873,000</b>	<b>5,100,000</b>	<b>227,000</b>
FTE	35	35	35	0

Table 6  
**SPECIAL OPERATIONS DIVISION**  
**Details, Difference FY2018/FY2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/FY 2019</b>
11 - Personnel Compensation	Current Position WIG	35	18,000	
	Current Position COLA		52,000	
	Partial Restoration of FY 2017 Funding Level		57,000	
<i>Subtotal 11</i>				<i>127,000</i>
12 - Personnel Benefits	Current Position WIG	35	5,000	
	Current Position COLA		15,000	
	Partial Restoration of FY 2017 Funding Level		16,000	
<i>Subtotal 12</i>				<i>36,000</i>
<b>Subtotal Personnel Services</b>				<b>163,000</b>
21 - Travel, Transp. of Persons	Built-in Increases			
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increases			
24 - Printing & Reproduction	Built-in Increases			6,000
25 - Other Service	Built-in Increases			47,000
26 - Supplies & Materials	Built-in Increases			10,000
31 - Equipment	Built-in Increases			1,000
<b>Subtotal Non-Personnel Services</b>				<b>64,000</b>
<b>Total</b>				<b>227,000</b>

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

<b>Grade</b>	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-6	1	1	1
JS-7	1	1	1
JS-8	10	10	10
JS-9	10	10	10
JS-10	1	1	1
JS-11			
JS-12	6	6	6
JS-13	4	4	4
JS-14	1	1	1
JS-15			
CEMS			
CES	1	1	1
<b>Total Salaries</b>	<b>2,703,000</b>	<b>2,612,000</b>	<b>2,739,000</b>
<b>Total FTEs</b>	<b>35</b>	<b>35</b>	<b>35</b>



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

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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	12,435,000	0	11,985,000	0	13,012,000	0	1,027,000

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, payments to the U.S. Postal Service, payment for juror and witness services, and publications as well as enterprise personnel costs such as subsidies for employee use of mass transit. The fund also includes replacement of equipment.

**FY 2019 Request**

In FY 2019, the Courts request \$13,012,000 for the Management Account, an increase of \$1,027,000 (9%) above the FY 2018 Level. The requested increase consists of \$512,000 to serve the public by increasing payments to jurors and \$515,000 for built-in cost increases and partial restoration of the FY 2017 funding level.

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

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	1,402,000	1,355,000	1,944,000	589,000
12 - Personnel Benefits	812,000	785,000	816,000	31,000
<b><i>Subtotal Personnel Services</i></b>	<b>2,214,000</b>	<b>2,140,000</b>	<b>2,760,000</b>	<b>620,000</b>
21 - Travel, Transp. of Persons	397,000	384,000	400,000	16,000
22 - Transportation of Things	14,000	14,000	15,000	1,000
23 - Rent, Commun. & Utilities	3,303,000	3,192,000	3,323,000	131,000
24 - Printing & Reproduction	195,000	188,000	196,000	8,000
25 - Other Services	5,765,000	5,400,000	5,623,000	223,000
26 - Supplies & Materials	348,000	336,000	350,000	14,000
31 – Equipment	199,000	331,000	345,000	14,000
<b><i>Subtotal Nonpersonnel Services</i></b>	<b>10,221,000</b>	<b>9,845,000</b>	<b>10,252,000</b>	<b>407,000</b>
<b>TOTAL</b>	<b>12,435,000</b>	<b>11,985,000</b>	<b>13,012,000</b>	<b>1,027,000</b>
FTE	0	0	0	0

Table 2  
**MANAGEMENT ACCOUNT**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Built-in Increase			77,000
	Juror Fee Increase			512,000
12 - Personnel Benefits	Built-in Increase			31,000
21 - Travel, Transp. of Persons	Built-in Increase			16,000
22 - Transportation of Things	Built-in Increase			1,000
23 - Rent, Commun. & Utilities	Built-in Increase			131,000
24 - Printing & Reproduction	Built-in Increase			8,000
25 - Other Services	Built-in Increase			223,000
26 - Supplies & Materials	Built-in Increase			14,000
31 – Equipment	Built-in Increase			14,000
<b>TOTAL</b>				1,027,000

## DISTRICT OF COLUMBIA COURT SYSTEM

### Overview

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
301	75,184,000	301	71,500,000	305	79,112,000	4	7,612,000

### **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. The following nine Court System divisions are managed by the Executive Office and provide administrative support to both the Court of Appeals and the Superior Court: 1) Administrative Services; 2) Budget and Finance; 3) Capital Projects and Facilities Management; 4) Center for Education and Training; 5) Court Reporting; 6) Office of the General Counsel; 7) Human Resources; 8) Information Technology; and 9) Office of Strategic Management.

### **FY 2018 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 2019 request around one of the five strategic goals—a sound infrastructure. In FY 2019, the D.C. Courts request \$79,112,000 for the Court System, an increase of \$7,612,000 (11%) above the FY 2018 Level. The request includes an increase to support the following Court goal:

#### ***Strategic Goal 4: A Sound Infrastructure--\$2,306,000***

The FY 2019 request includes \$2,306,000 to address the Courts' strategic goal of a sound infrastructure, including \$1,900,000 for a new digital video management system to provide a safe and secure environment for the administration of justice, \$122,000 for 1 FTE in the Information Technology Division to ensure compliance with Payment Card Industry (PCI) security requirements, \$141,000 for 2 FTEs to increase the responsiveness of the Courts' Information Technology Help Desk, and \$143,000 for 1 FTE to manage VOiP telecommunications technology.

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

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	30,000,000	28,635,000	31,894,000	3,259,000
12 - Personnel Benefits	8,598,000	8,207,000	8,967,000	760,000
<b><i>Subtotal Personal Services</i></b>	<b><i>38,598,000</i></b>	<b><i>36,842,000</i></b>	<b><i>40,861,000</i></b>	<b><i>4,019,000</i></b>
21 - Travel, Transp. of Persons	424,000	405,000	431,000	26,000
22 - Transportation of Things	6,000	6,000	7,000	1,000
23 - Rent, Commun. & Utilities	9,532,000	9,099,000	9,637,000	538,000
24 - Printing & Reproduction	110,000	105,000	114,000	9,000
25 - Other Services	21,097,000	19,875,000	22,578,000	2,703,000
26 - Supplies & Materials	721,000	683,000	729,000	46,000
31 - Equipment	4,696,000	4,485,000	4,755,000	270,000
<b><i>Subtotal Nonpersonal Services</i></b>	<b><i>36,586,000</i></b>	<b><i>34,658,000</i></b>	<b><i>38,251,000</i></b>	<b><i>3,593,000</i></b>
<b>TOTAL</b>	<b>75,184,000</b>	<b>71,500,000</b>	<b>79,112,000</b>	<b>7,612,000</b>
FTE	301	301	305	4

## DISTRICT OF COLUMBIA COURT SYSTEM EXECUTIVE OFFICE

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
17	2,852,000	17	2,722,000	17	2,870,000	0	148,000

### **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 oversees all administrative functions of the Courts and has delegated responsibility for the supervision of the Court System divisions to the Deputy Executive Officer. The Court System divisions provide support to the two courts and include: Administrative Services; Budget and Finance; Capital Projects and Facilities Management; Center for Education and Training; Court Reporting; 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.

### **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**

- Foster 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 judiciary functions during emergencies by maintaining a Continuity of Operations Plan (COOP) in coordination with all District justice system partners.
- Provide access to court services by operating a Supervised Visitation Center that provides non-custodial parents in domestic violence or custody matters a neutral place to spend time with their children.
- 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.
- Enhance employee well-being by developing and promoting employee engagement, work-life balance, and wellness initiatives, reinforcing the Courts' Great Place to Work culture.
- 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.
- Enhance public and inter-governmental understanding of the judicial branch through government relations, legislative analysis, and community outreach activities.

### **FY 2019 Request**

In FY 2019, the Courts request \$2,870,000 for the Executive Office Division, an increase of \$148,000 (5%) above the FY 2018 Level. The requested increase consists of built-in cost increases and partial restoration of FY 2017 funding level.

Table 1  
**EXECUTIVE OFFICE**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	2,213,000	2,112,000	2,225,000	113,000
12 - Personnel Benefits	620,000	592,000	625,000	33,000
<b><i>Subtotal Personnel Services</i></b>	<b><i>2,833,000</i></b>	<b><i>2,704,000</i></b>	<b><i>2,850,000</i></b>	<b><i>146,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	12,000	11,000	12,000	1,000
31 - Equipment	7,000	7,000	8,000	1,000
<b><i>Subtotal Non-personnel Services</i></b>	<b><i>19,000</i></b>	<b><i>18,000</i></b>	<b><i>20,000</i></b>	<b><i>2,000</i></b>
<b>TOTAL</b>	<b>2,852,000</b>	<b>2,722,000</b>	<b>2,870,000</b>	<b>148,000</b>
FTE	17	17	17	

Table 2  
**EXECUTIVE OFFICE**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY2018/2019</b>
11 - Personnel Compensation	Current Position WIG	18	32,000	
	Current Position COLA	18	42,000	
	Partial Restoration of FY 2017 Funding Level		39,000	
<i>Subtotal 11</i>				<i>113,000</i>
12 - Personnel Benefits	Current Position WIG	18	9,000	
	Current Position COLA	18	12,000	
	Partial Restoration of FY 2017 Funding Level		12,000	
<i>Subtotal 12</i>				<i>33,000</i>
<b><i>Subtotal Personnel Services</i></b>				<b><i>146,000</i></b>
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	1,000
31 – Equipment	Built-in Increases		1,000	1,000
<b><i>Subtotal Non-personnel Services</i></b>				<b><i>2,000</i></b>
<b>Total</b>				<b>148,000</b>

Table 3  
**EXECUTIVE OFFICE**  
**Detail of Full-Time Equivalent Employment**

	<b>2017 Enacted</b>	<b>2018 Level</b>	<b>2019 Request</b>
JS-6			
JS-7			
JS-8			
JS-9	3	3	2
JS-10			
JS-11	2	2	2
JS-12	3	3	3
JS-13	1	1	1
JS-14	5	5	5
JS-15	2	2	2
CEMS			
CES	1	1	1
Other	1	1	1
<b>Total Salary</b>	<b>2,213,000</b>	<b>2,112,000</b>	<b>2,225,000</b>
Total FTEs	17	17	17

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

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
44	6,437,000	44	6,144,000	44	\$6,640,000	0	496,000

**Organizational Structure**

In FY 2017, the Administrative Services Division (ASD) was reorganized as the telecommunications function was transferred from the Administrative Services Division to the Information Technology Division due to the increasingly technology-based nature of telecommunications. Currently, ASD consists of the Office of the Administrative Officer and two branches, the Procurement and Contracts Branch and the Office Services Branch.

- The Procurement and Contracts Branch is responsible for small purchases, major contract acquisitions, as well as sponsoring acquisition training and maintaining the Courts' Procurement Guidelines.
- The Office Services Branch is responsible for the mailroom, records management, reproduction and graphics, the information center, warehouse and supply room operations, furniture and furnishings inventory, fixed and controllable assets, property disposal, receipt of delivery orders, room and function set-ups, staff relocation services, help-desk operations 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, supply management, and acquisition operations.
- Increase the utilization of technology to streamline the acquisition process and improve customer service at the Information Window, the Help Desk, Supply Store, the Warehouse, and in Records Management.
- Maintain and update, on an annual basis, the Courts' Procurement Guidelines to reflect best practices, industry standards, 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, project managers, source selection team members, and those individuals involved in the payment and closeout process.
- Provide convenient, safe, and secure off-site storage for 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.
- Implement and maintain a fixed asset inventory control system for all property assets acquired, maintained, transferred, and disposed throughout the asset's life cycle, and to improve the overall efficiency of accounting for fixed and controllable assets.

## **Workload Data**

### **Office Services Branch**

In FY 2019, the mailroom expects to process approximately 135,000 juror summonses, 120,000 subpoenas, and 175,000 other outgoing pieces of mail. It is anticipated that reductions in the Courts' output of mail will continue due to advancements in technology, online forms, and electronic communications methods.

The Information Center expects to assist an estimated 100,000 members of the public per year at the Information Window in the Courthouse and to respond to approximately 240,000 incoming calls per year. This number is expected to decline in the long term as more members of the public utilize the Courts' Internet site, on-line chats, mobile applications, and social media outlets to access court information and data.

The Help Desk expects to receive approximately 6,000 calls from the Courts' personnel. This number represents a decrease of approximately 2,000 calls annually. In 2017, the Courts implemented the D.C. Courts' Service Portal to process service requests online. It is expected that the service request automated system will result in a reduction in Help Desk calls as personnel can now request services through this system. In addition, the Courts' Call Management System tracks and captures all incoming calls more efficiently. With these enhancements, the Courts can streamline business practices and improve customer service.

The Records Management Unit expects to process 20,000 individual case records for storage and 1,600 requests for records. It is anticipated that the number of case records prepared for storage and transferred to the Record Center will continue to decrease in FY 2019 due to the implementation of electronic records, the completion of a mass storage initiative, the online availability of case information to the public, and the digitizing of older case records. In FY 2016 and 2017 the Courts processed a higher volume of case records (65,305) due to an initiative to decrease the number of case records currently in the divisions file rooms.

The Graphics and Reproduction Unit will continue to revamp its business process and operational procedures to produce high quality professional documents for 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, budgets, programs, brochures, and posters.

### **Procurement and Contracts Branch**

In FY 2019, the Procurement and Contracts Branch expects to process approximately 1,200 small purchases (< \$150,000) within 20 days of receipt, and 100 large contracts (> \$150,000) within 120 days of receipt. The increased threshold for large contracts will increase the number of small purchase actions processed. The number of large procurements will increase substantially due to the transfer of the capital projects' procurement function to the Administrative Services Division. The Procurement and Contracts Branch expects that the number of micro-purchases (< \$3,500) it processes will continue to decrease due to an ongoing emphasis on decentralized small procurements in which each division uses its purchase card as well as the FY 2017 increase of the micro-purchase limit to \$3,500 per purchase.

The complexity of major acquisitions and changing technology requires the Courts to maintain a knowledgeable and experienced acquisition workforce with the required critical thinking skills and business expertise to support the needs of the Courts. The Procurement and Contracts Branch established an "Acquisition Training Institute" to provide internal training to the procurement staff and to court personnel with acquisition and contract management responsibilities. The Acquisition Training Institute has provided one-on-one classes as well as some formal training sessions to the Courts' personnel. Due to robust participation in the Acquisition Institute in previous fiscal years, the demand for courses has decreased. Going forward, the Acquisition Institute will implement a full curriculum designed to certify Contracting Officer Technical Representatives (COTR) to handle procurement actions. These courses will include Statement of Work Writing, Contracting Officer's Technical Representative Training, and Procurement Fraud and Ethics. In FY 2019 the Procurement and Contracts Branch expects to offer a full complement of courses and enhance the online presence of the Institute, allowing court employees to take courses and course exams from the convenience of their own offices.

Table 1  
**ADMINISTRATIVE SERVICES DIVISION**  
**Key Performance Indicators**

<b>Office Services Branch</b>									
Performance Indicator	Data Source	FY 2016		FY 2017		FY 2018		FY 2019	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Monthly calls	Call Accounting Reports	20,000	19,800	20,000	20,000	18,000	18,000	18,000	18,000
Jury summons processed yearly	Database	155,000	145,804	135,000	135,000	135,000	135,000	135,000	135,000
Subpoenas processed yearly		140,000	124,393	120,000	120,000	120,000	120,000	120,000	120,000
Outgoing metered mail (pieces) yearly		185,000	210,603	185,000	185,000	175,000	175,000	175,000	175,000
Help Desk Calls received and processed yearly	Automated Tracking System	12,000	10,062	10,000	10,000	8,000	8,000	6,000	6,000
Days to conduct physical inventory and account for and reconcile discrepancies for all fixed assets	Electronic Data Base	45	45	45	45	45	45	45	45
Records Center requests filled yearly	Electronic Data Base	2,000	2,039	1,700	1,700	1,600	1,600	1,600	1,600
Records for storage yearly (individual case records)	Electronic Data Base	35,000	65,305	70,000	70,000	30,000	30,000	20,000	20,000

<b>Procurement Branch</b>									
Performance Indicator	Data Source	FY 2016		FY 2017		FY 2018		FY 2019	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Small purchases processed yearly	Automated Financial System and Manual Accounting	1,000	1,100	1,200	1,200	1,200	1,200	1,200	1,200
Large purchases processed yearly		80	75	75	75	100	100	100	100
Modifications processed yearly		900	1,200	1,000	1,000	900	900	900	900
Small purchases processed within 20 days		95%	97%	95%	95%	95%	95%	95%	95%
Large purchases processed within 90-120 days after receipt of SOW		95%	98%	95%	95%	95%	95%	95%	95%
Acquisition courses conducted yearly	Internal Records	12	5	4	4	6	6	6	6

### **FY 2019 Request**

In FY 2019, the D.C. Courts request \$6,640,000 for the Administrative Services Division, an increase of \$496,000 (8%) above the FY 2018 Level. The requested increase consists of built-in cost increases and partial restoration of FY 2017 funding level.

Table 2  
**ADMINISTRATIVE SERVICES DIVISION**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	3,840,000	3,665,000	3,985,000	320,000
12 - Personnel Benefits	1,075,000	1,026,000	1,114,000	88,000
<b>Subtotal Personnel Services</b>	<b>4,915,000</b>	<b>4,691,000</b>	<b>5,099,000</b>	<b>408,000</b>
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	67,000	64,000	69,000	5,000
25 - Other Services	1,335,000	1,274,000	1,350,000	76,000
26 - Supplies & Materials	90,000	86,000	91,000	5,000
31 - Equipment	30,000	29,000	31,000	2,000
<b>Subtotal Non Personnel Services</b>	<b>1,522,000</b>	<b>1,453,000</b>	<b>1,541,000</b>	<b>88,000</b>
<b>TOTAL</b>	<b>6,437,000</b>	<b>6,144,000</b>	<b>6,640,000</b>	<b>496,000</b>
FTE	44	44	44	0

Table 3  
**ADMINISTRATIVE SERVICES DIVISION**  
**Detail, Difference FY 2018/FY 2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/FY 2019</b>
11 - Personnel Compensation	Current Position WIG	44	55,000	
	Current Position COLA	44	73,000	
	PS Personnel Move from EO		45,000	
	Partial Restoration of FY 2017 Funding Level		147,000	
<b>Subtotal 11</b>				<b>320,000</b>
12 - Personnel Benefits	Current Position WIG	44	15,000	
	Current Position COLA	44	20,000	
	PS Personnel Move from EO		12,000	
	Partial Restoration of FY 2017 Funding Level		41,000	
<b>Subtotal 12</b>				<b>88,000</b>
<b>Subtotal Personnel Services</b>				<b>408,000</b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases		5,000	
25 - Other Service	Built-in Increases		76,000	
26 - Supplies & Materials	Built-in Increases		5,000	
31 - Equipment	Built-in Increases		2,000	
<b>Subtotal Non-personnel Services</b>				<b>88,000</b>
<b>Total</b>				<b>496,000</b>

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

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-3			
JS-4			
JS-5	4	4	4
JS-6	6	6	6
JS-7	6	6	6
JS-8	2	2	2
JS-9	4	4	4
JS-10			
JS-11	3	3	3
JS-12	7	7	7
JS-13	7	7	7
JS-14	3	3	3
JS-15	1	1	1
CEMS			
CES	1	1	1
<b>Total Salary</b>	<b>3,840,000</b>	<b>3,665,000</b>	<b>3,985,000</b>
Total FTEs	44	44	44

## DISTRICT OF COLUMBIA COURT SYSTEM BUDGET AND FINANCE DIVISION

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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	5,501,000	38	5,249,000	38	5,651,000	0	402,000

### **Background**

The Budget and Finance Division of the District of Columbia Courts is responsible for using high quality financial and performance information to make and implement effective policy, management, stewardship, and program decisions. This Division prepares, enacts, and administers the D.C. Courts' annual spending plan (budget); develops and maintains the accounting and reporting system of the D.C. Courts; receives and processes payments (i.e. court fees, fines, and forfeitures) made in the D.C. Courts; and issues, audits, reviews, tracks and pays vouchers for the Criminal Justice Act (CJA) and Counsel for Child Abuse and Neglect (CCAN) programs as well as makes payments for court-ordered compensation to legal and expert service providers under the D.C. Courts' Guardianship program.

Title 11-1723 (a)(3) of the District of Columbia Code states "The Fiscal Officer (Chief Financial Officer) shall be responsible for the approval of vouchers and shall arrange for an annual independent audit of the accounts of the courts." With the approval of the Courts' Joint Committee on Judicial Administration, the Courts' financial statements for each fiscal year, beginning with FY 2008, have been prepared in accordance with Generally Accepted Accounting Principles (GAAP) and other statements promulgated by the Federal Accounting Standards Advisory Board (FASAB) and, as appropriate, by the Governmental Accounting Standards Board (GASB) and the Financial Accounting Standards Board (FASB). Although no findings of material weakness have been found in the Courts' internal controls for a number of years, the Courts remain committed to strengthening fiscal management and accountability by enhancing internal controls, complying with financial management laws and regulations, and taking timely corrective actions on any auditors' recommendations concerning reportable conditions or potential areas of material weaknesses or non-conformance.

### **Organizational Structure**

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

- The Director's Office (7 FTEs) 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 involve the D.C. Courts.
  - Develop and maintain the accounting and reporting system of the D.C. Courts.
  - Monitor expenditures by the various divisions and operations of the D.C. Courts to ensure compliance with applicable laws and regulations, approved standards, and policies.
  - Enhance the collection of financial data to refine methodologies for the most efficient forecasting and distribution of scarce resources.
  - Ensure the development, implementation, and management of internal controls and business processes that provide for the 1) routine reconciliation of the Courts' accounts; 2) safeguarding of Court assets and accounts; and 3) appropriate segregation of duties.
  - Prepare and issue the Courts' financial statements in accordance with applicable laws, guidelines, circulars, industry practices, and generally accepted accounting principles.
- The Budget Branch (5 FTEs) has a mission 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. This branch is also responsible to provide timely, accurate, and useful financial information for making decisions, monitoring performance day-to-day, and maintaining accountability and stewardship to support the Courts' divisions and other users of court financial information.
  - The Financial Operations Branch (10 FTEs) has a mission to provide for the timely and accurate payment of valid and approved invoices to vendors for goods and services received by the Courts. This branch also has responsibility for distribution of funds (usually by an order of the Court) that are maintained under the stewardship of the Courts (e.g. escrows and other sums deposited in the registry of the Courts).
  - The Defender Services Branch (6 FTEs) has a mission to administer the funds through which the District of Columbia 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 transcripts of court proceedings, expert witness testimony, foreign and sign language interpretations, and genetic testing.
  - The Reporting and Controls Branch (10 FTEs) has as its mission to ensure the accurate accounting, safeguarding and reporting of the Courts' financial resources. As part of this effort, this branch works collaboratively with the Courts' operating divisions in providing quality assurance for the receipting, accounting and banking (daily deposits) of payments received at various locations throughout the D.C. Courts.

The D.C. Courts currently have an Interagency Agreement (shared service provider arrangement) with the Department of Interior's Internal Business Center (IBC) to provide critical financial systems and reporting services that support our ability to meet Federal requirements.

## **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 (within 15 days of the end of each month) 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 (45 days for claim submissions under the Defender Services Programs) 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' 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 (i.e. by November 15<sup>th</sup> of the next 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 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 and jurors.

## **Restructuring and Work Process Redesign**

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.

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 recurring services as well.

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 2016		FY 2017		FY 2018		FY 2019	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Material weaknesses or reportable conditions noted by external auditors	Annual Financial Audit Report	0	0	0	0	0	0	0	0
Valid vendor invoices processed within 30 days (Prompt Pay Act) of being received and accepted by the Courts.	Payment Accounting Invoice Tracking	100%	99%	100%	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%	98%	100%	98%	100%	99%	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%	99%	100%	100%	100%	100%	100%	100%

### **FY 2019 Request**

In FY 2019, the D.C. Courts request \$5,651,000 for the Budget and Finance Division, an increase of \$402,000 (8%) above the FY 2018 Level. The requested increase consists of built-in cost increases and partial restoration of FY 2017 funding level.

Table 2  
**BUDGET AND FINANCE DIVISION**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	3,686,000	3,518,000	3,793,000	275,000
12 - Personnel Benefits	1,033,000	986,000	1,067,000	81,000
<b><i>Subtotal Personnel Services</i></b>	<b>4,719,000</b>	<b>4,504,000</b>	<b>4,860,000</b>	<b>356,000</b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Communication & Utilities				
24 - Printing & Reproduction	11,000	10,000	11,000	1,000
25 - Other Services	742,000	708,000	750,000	42,000
26 - Supplies & Materials	18,000	17,000	19,000	2,000
31 - Equipment	11,000	10,000	11,000	1,000
<b><i>Subtotal Non-Personnel Services</i></b>	<b>782,000</b>	<b>745,000</b>	<b>791,000</b>	<b>46,000</b>
<b>TOTAL</b>	<b>5,501,000</b>	<b>5,249,000</b>	<b>5,651,000</b>	<b>402,000</b>
FTE	38	38	38	0

Table 3  
**BUDGET AND FINANCE DIVISION**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Current Position WIG	38	53,000	
	Current Position COLA	38	81,000	
	Partial Restoration of FY 2017 Funding Level		141,000	
<i>Subtotal 11</i>				<i>275,000</i>
12 - Personnel Benefits	Current Position WIG	38	15,000	
	Current Position COLA	38	27,000	
	Partial Restoration of FY 2017 Funding Level		39,000	
<i>Subtotal 12</i>				<i>81,000</i>
<b>Subtotal Personnel Services</b>				<b>356,000</b>
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			42,000
26 - Supplies & Materials	Built-in Increases			2,000
31 - Equipment	Built-in Increases			1,000
<b>Subtotal Non-Personnel Services</b>				<b>46,000</b>
<b>Total</b>				<b>402,000</b>

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

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-6			
JS-7	1	1	1
JS-8	1	1	1
JS-9	5	5	5
JS-10			
JS-11	4	4	4
JS-12	10	10	10
JS-13	10	10	10
JS-14	5	5	5
JS-15			
CEMS	1	1	1
CES	1	1	1
<b>Total Salary</b>	<b>3,686,000</b>	<b>3,518,000</b>	<b>3,793,000</b>
Total FTEs	38	38	38

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

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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	8,874,000	28	8,471,000	28	9,336,000	0	865,000

### **Mission Statement**

The mission of the Capital Projects and Facilities Management Division (CPFMD) is to provide a high-quality facilities environment for the public, judicial staff, the Courts' employees, and others working in the courthouse 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 maintenance 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 that support the D.C. Courts delivery of services by directing and administering the modernization of the Courts' facilities. The Director has the authority to administer capital construction and lease contracts.
- 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 10-year 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 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**

In recognition of the need for court facilities to support efficient operations, “A Sound Infrastructure” was identified as a Strategic Goal in the D.C. Courts’ 2013-2017 Strategic Plan. Several of the Capital Projects and Facilities Management Division’s objectives in support of this strategic goal are as follows:

<b>Program Area</b>	<b>Objective</b>
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 upon 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 is 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 personnel.
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’ facilities must be both functional and emblematic of their public significance and character. The D.C. Courts occupy over 1.26 million gross square feet of space in Judiciary Square, which is one of the original significant green spaces in the District of Columbia as designed 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; the Southwest Garage at 449 5<sup>th</sup> Street, NW; Building A at 515 5<sup>th</sup> Street, NW; Building B at 510 4<sup>th</sup> Street, NW and Building C at 410 E Street, NW which is LEED Gold certified.

## **Capital Projects and Facilities Management Division Achievements and Highlights**

CPFMD has advanced the implementation of the D.C. Courts' Facilities Plan across the spectrum with significant progress being made during FY 2017. Major milestones were achieved but most importantly upon completion of the Moultrie Courthouse C Street Addition foundation construction, the Contractor for Phase 2A and 2B was selected and construction of Phase 2A started. Demolition of portions of the existing building is complete and steel framing and decking are well underway. The C Street Addition was "topped off" in May 2017, which is a major milestone. At the same time, CPFMD continued work on various precursor tasks required to implement the C Street Addition including:

1. Initiated construction of the expanded Security Control Center on Indiana Avenue required to accommodate the security equipment and personnel supporting the enlarged courthouse.
2. Continued work on the C Level NW renovations including cable clean up.
3. Completed construction of new Marriage Bureau facilities.
4. Finalized design and began construction on new public rest rooms and contiguous areas replacing facilities affected by the construction of the Addition.
5. Finalized design on the Interim Security Office and Wellness Center
6. Initiated construction of all secure corridors abutting the Addition.
7. Initiated Design of USMS spaces to be relocated due to scheduled future construction activities.

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

1. Completed the phased renovation of the Criminal Division on the 4th Floor of the Courthouse
2. Advanced Court Infrastructure projects: Continued upgrade of electrical systems. Planned and implemented multiple code and life safety upgrades. All infrastructure projects are sized to support the Moultrie Courthouse Addition when complete.
3. Continued construction on the newest BARJ (Balanced and Restorative Justice) facility. 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.

4. Upgrade of security 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.
5. CPFMD substantially completed the renovation of reconfigured courtrooms and related prisoner circulation improvements on the 2nd Floor West of the Moultrie Courthouse. This effort included extending the prisoner corridor to CR 200 creating additional criminal court capacity.

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

The Courts have also continuously updated its Facilities Standards to reflect changing technologies, products, and energy efficiency. These changes affect all aspects of the Court including Family Court Operations and Social Services as well as support functions.

### **Workload Data**

The Capital Projects and Facilities Management Division recognized the need to maintain the significant Congressional investment in the Courts' Infrastructure. With the completion of multiple construction projects, infrastructure upgrades and enhancements, the D.C. Courts are committed to maintaining and leveraging the public's investment in court facilities. Baselines were established in a Facilities Conditions Assessment (FCA) completed in March 2013. This document provided a detailed lifecycle analysis and replacement values for all Courts' 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 platform 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.

CMMS also provides an inventory management database 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 material 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 2019, the Capital Projects & Facilities Management Division will continue to manage housekeeping/custodial services for the Courts' 1.26 million sq. ft. of net occupiable space (430 E Street, NW; 449 5<sup>th</sup> Street, NW; 500 Indiana Ave. NW; 515 5<sup>th</sup> Street, NW; 510 4<sup>th</sup> 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 4209 9<sup>th</sup> 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 compliant to safety code, and the landscape maintenance contract for lawn cutting, tree pruning and irrigation maintenance for the Courts' 4.2 acres of green space.

In 2019, 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 2018 are projected to remain \$10.00/sq. ft.

Table 1  
**CAPITAL PROJECTS AND FACILITIES MANAGEMENT**  
**Key Performance Indicators**

Performance Indicator	Data Source	Evaluation Frequency	FY2017		FY2018		FY2019	
			Goal	Estimate	Goal	Estimate	Goal	Estimate
Number of Help Desk calls resolved in two (2) business days	CPFMD CMMS Reports	Monthly	92%	92%	93%	93%	95%	95%
Number of capital projects completed on-time and within budget according to the Earn Value Management Process	CPFMD Project Pay Applications and PM Schedule Monitoring	Semi-Annually	96%	96%	98%	98%	99%	99%
Number of CPFMD projects that are DCRA code compliant	DCRA Permits	Annually	100%	100%	100%	100%	100%	100%
Number of building inspections completed in accordance with internal established guidelines	Building Inspection Checklist	Monthly	91%	91%	93%	93%	95%	95%
Preventive maintenance work completed in accordance with Manager Plus Equipment Matrix Schedule.	Manager Plus Equipment PM Schedule	Monthly	95%	95%	96%	96%	97%	97%

### **FY 2019 Request**

In FY 2019, the D.C. Courts request \$9,336,000 for the Capital Projects & Facilities Management Division, an increase of \$865,000 (10%) above the FY 2018 Level. The requested increase consists of built-in cost increases and partial restoration of the FY 2017 funding level.



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

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	2,602,000	2,484,000	2,959,000	475,000
12 - Personnel Benefits	728,000	695,000	772,000	77,000
<b>Subtotal Personnel Services</b>	<b>3,330,000</b>	<b>3,179,000</b>	<b>3,731,000</b>	<b>552,000</b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	5,509,000	5,258,000	5,568,000	310,000
26 - Supplies & Materials	27,000	26,000	28,000	2,000
31 - Equipment	8,000	8,000	9,000	1,000
<b>Subtotal Non-personnel Services</b>	<b>5,544,000</b>	<b>5,292,000</b>	<b>5,605,000</b>	<b>313,000</b>
<b>TOTAL</b>	<b>8,874,000</b>	<b>8,471,000</b>	<b>9,336,000</b>	<b>865,000</b>
FTE	28	28	28	0

Table 3  
**CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Current Position WIG	28	38,000	
	Current Position COLA	28	50,000	
	Partial Restoration of FY 2017 Funding Level		387,000	
<b>Subtotal 11</b>				<b>475,000</b>
12 - Personnel Benefits	Current Position WIG	28	11,000	
	Current Position COLA	28	14,000	
	Partial Restoration of FY 2017 Funding Level		52,000	
<b>Subtotal 12</b>				<b>77,000</b>
<b>Subtotal Personnel Services</b>				<b>552,000</b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in Increases			310,000
26 - Supplies & Materials	Built-in Increases			2,000
31 - Equipment	Built-in Increases			1,000
<b>Subtotal Non-personnel Services</b>				<b>313,000</b>
<b>Total</b>				<b>865,000</b>

Table 4

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

<b>Grade</b>	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	4	4	4
JS-9	9	9	9
JS-10	2	2	2
JS-11	2	2	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
<b>Total Salaries</b>	<b>2,602,000</b>	<b>2,484,000</b>	<b>2,959,000</b>
Total FTEs	28	28	28

## DISTRICT OF COLUMBIA COURT SYSTEM CENTER FOR EDUCATION AND TRAINING

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
8	2,226,000	8	2,126,000	8	2,391,000	0	265,000

### **Mission Statement**

The Center for Education and Training provides for the D.C. Courts' judicial officers, employees and professional community the training that is the bridge to a bright future for the organization as a whole and the individuals serving in it. Training opportunities provided by CET develop the skilled workforce needed for tomorrow. Strategic offerings support and sustain the organizational values and leadership principles of our evolving court system. A pipeline of future supervisors, managers and leaders are well-prepared to step-up when called. New employees receive a welcome and orientation that allows them to be engaged from their first days on the job. The judicial officers are versed in the very latest science, social science and legal trends, providing the best possible justice for our citizens. Hosting dozens of delegations from around the world each year, the CET shares the best of American justice with the global community.

### **Organizational Background**

The Center's staff of eight 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, procedural fairness and implicit bias, special populations, and a variety of technology classes on various software programs used by the Courts, such as Microsoft Office, Prezi, Oracle Discoverer and 10G, Business Intelligence, Microsoft Publisher, Webpage Creation, Adobe Photoshop, Adobe InDesign, 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 4 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 and improve 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 plus extensive onboarding for new employees. 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 judicial officers in the D.C. Courts, including leadership, current issues, legal topics, roundtable discussions for appellate judges, training specific to Court Divisions, annual and intermittent community conferences for several Divisions, comprehensive orientation and peer coaching 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 Living Our Values Initiative.
- **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, which includes 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 court leaders, 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 eight 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 court personnel, 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. In FY 2015, the Center developed a two-year Strategic Plan addressing all the recommendations in the needs assessments. The Plan is designed to enhance

communications, increase outreach, update and streamline organizational processes, and redesign all training curricula. Execution of the plan began in 2015, and it was fully implemented in 2017 including reorganization of all training offerings structured into career development tracks, and rebranding. Addressing the strategic goal of increased access for all, CET offers employees classes in customer service, developing empathy for court customers, handling mental health issues in the courthouse, and dealing with stressed or difficult customers. Other recent 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, continue.

The Leadership Institute is currently focused on team efforts to improve the D.C. Courts as a “Great Place to Work”, integrate the six Court Leadership Principles into daily practice, 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, 2013 and 2015 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. In 2016 and 2017, 18 Court Divisions have been actively involved in various values projects designed by each Division and supported by our Values partner, Change Fusion. The Judicial Leadership Team attends two or more 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. In 2014 and 2015, the values and leadership initiatives were expanded to include middle and first line managers. Starting in 2016, quarterly meetings of the expanded leadership group have been held. All court leadership and senior management change initiatives are aligned with the goals outlined in the Strategic Plan, the Organizational Values and the Court Leadership Principles. 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 employees competitively selected from each division within the Courts. The MTP offers every other year 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 has been completed by 98% of 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. In 2016 and 2017, all executive service, senior leaders, branch chiefs, managers

and supervisors completed Quick Start training, an engaging, interactive nine-module series on leadership and performance management.

Technology and skill-development classes are an evolving training need. Utilizing three computer labs, there is a new focus on more advanced technology training, as almost all employees now possess requisite office computer skills. The Center offers certification training and testing for Microsoft Office Specialist (MOS), Comptia A+ and Project Management Professional. Employees are developing new skill sets to enable them to produce E-learning classes, stylish publications, websites, Prezi presentations and e-learning audio video materials. In addition to on-line tutorials, the new focus is on classes that teach operating processes unique to courts. 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), Oracle Discoverer and Oracle Business Intelligence. The Center has developed alternative learning methods such as computer-based training, blended learning, flipped classrooms, job shadowing and cross training. As part of the Strategic Human Resources redesign and implementation of the Talent Management System, the Center offers an E-learning Library from SkillPort.

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 delivered, the subject matters covered as well as the level of satisfaction. The Center offers more than 150 classes each year. Training hours completed by court employees and judicial officers for each year have consistently been well over 10,000 hours and the most recent indicators point to increased training activity levels exceeding 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 50 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 visitors hosted by the D.C. Courts has increased to about 70 groups and more than 1,200 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 and organizational change efforts, and the number of visitors attending educational programs.

Table 1  
**CENTER FOR EDUCATION AND TRAINING**  
**Workload Data**

<b>Data Measure</b>	<b>FY 2016 Actual</b>	<b>FY 2017 Estimated</b>	<b>FY 2018 Projected</b>	<b>FY 2019 Projected</b>
Courses Offered	246	195	160	160
Judicial Participants <sup>10</sup>	550	700	550	550
Employee Participants <sup>1</sup>	3,085	2,500	2,000	2,000
Divisions Supported	18	13	10	10
Number of Official Visitors	1,461	1,200	1,200	1,200

### **Key Performance Measures**

Table 2  
**CENTER FOR EDUCATION AND TRAINING**  
**Key Performance Indicators**

Type of Indicator	Key Performance Indicator	Data Source	FY 2016		FY 2017		FY 2018		FY2019	
			Goal	Actual	Goal	Estimate	Goal	Projected	Goal	Projected
Outcome	Program Quality	Participant Evaluations	85% >3.5	97% >4.0	85% >4.0	97% >4.0	90% >4.0	90% >4.0	90% >4.0	90% >4.0
Outcome	Judges and Employees Total Training Hours Completed	Training Database and Sign-in Sheets	15,000	18,500	15,000	16,000	15,000	15,000	15,000	15,000
Output	Visitors Tours & Programs	Visitors Schedule	50	102	50	70	50	70	50	70
Outcome	Bi-Annual Management Training Program Graduates	Training Schedule & Participant List	20	23	NA	NA	20	20	NA	NA
Output	Management Training Institute Courses Offered	Training Schedule	14	47	8	20	12	12	8	8
Output	Executive/Senior Leadership Development Sessions	Training & Meeting Schedules and N-H Reports	6	3	2	1	2	2	2	2
Outcome	Judicial Leadership Team Retreats	Meeting Schedule	2	2	2	2	2	2	2	2
Output	Court of Appeals Programs Offered	Training Schedule	6	1	6	2	4	4	4	4

### **FY 2019 Request**

In FY 2019, the Courts request \$2,391,000 for the Center for Education and Training, an increase of \$265,000 (12%) from the FY 2018 Level. The requested increase consists of built-in cost increases and partial restoration of FY 2017 funding level.

<sup>10</sup> A judicial officer or employee may participate in multiple training programs during the year.

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

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	843,000	805,000	961,000	156,000
12 - Personnel Benefits	236,000	225,000	267,000	42,000
<b><i>Subtotal Personnel Services</i></b>	<b><i>1,079,000</i></b>	<b><i>1,030,000</i></b>	<b><i>1,228,000</i></b>	<b><i>198,000</i></b>
21 - Travel, Transp. of Persons	287,000	274,000	291,000	17,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	846,000	808,000	856,000	48,000
26 - Supplies & Materials	8,000	8,000	9,000	1,000
31 - Equipment	6,000	6,000	7,000	1,000
<b><i>Subtotal Non-personnel Services</i></b>	<b><i>1,147,000</i></b>	<b><i>1,096,000</i></b>	<b><i>1,163,000</i></b>	<b><i>67,000</i></b>
<b>TOTAL</b>	<b>2,226,000</b>	<b>2,126,000</b>	<b>2,391,000</b>	<b>265,000</b>
FTE	8	8	8	0

Table 4  
**CENTER FOR EDUCATION AND TRAINING**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Current Positions WIG	8	20,000	
	Current Positions COLA	8	104,000	
	Partial Restoration of FY 2017 Funding Level		32,000	
<b><i>Subtotal 11</i></b>				<b><i>156,000</i></b>
12 - Personnel Benefits	Current Positions WIG	8	29,000	
	Current Positions COLA	8	4,000	
	Partial Restoration of FY 2017 Funding Level		9,000	
<b><i>Subtotal 12</i></b>				<b><i>42,000</i></b>
<b><i>Subtotal Personnel Services</i></b>				<b><i>198,000</i></b>
21 - Travel and Transportation	Built-in increase			17,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in increase			48,000
26 - Supplies and Materials	Built-in increase			1,000
31 - Equipment	Built-in increase			1,000
<b><i>Subtotal Non-personnel Services</i></b>				<b><i>67,000</i></b>
<b>TOTAL</b>				<b>265,000</b>



Table 6  
**CENTER FOR EDUCATION AND TRAINING**  
**Detail of Full-Time Equivalent Employment**

<b>Grade</b>	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	1	1	1
JS-11			
JS-12			
JS-13	5	5	5
JS-14			
JS-15	1	1	1
CES	1	1	1
CEMS			
<b>Total Salaries</b>	<b>843,000</b>	<b>805,000</b>	<b>961,000</b>
Total FTEs	8	8	8

## DISTRICT OF COLUMBIA COURT SYSTEM COURT REPORTING DIVISION

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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	6,381,000	55	6,091,000	0	6,718,000	0	627,000

### **Mission**

The Court Reporting Division (CRD) 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. CRD 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.
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 (WTTTS) for the Court Reporting and Recording Division, this branch is responsible for maintaining statistics on non-appellate cases.

### **Division MAP Objectives**

The Court Reporting 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 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 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**

CART, Communication Realtime Access Translation, is a service that is provided by court reporters to the deaf and hard-of-hearing members of the population to access court services. The Court Reporting Division not only provides CART in all courtrooms, upon request, but also in grand jury proceedings that can last up to five weeks in duration. To enhance access to court services for the deaf and hard of hearing court users, the Court Reporting Division plans to institute a Certified Realtime Captioners Program. This program will require that court reporters designated to provide CART become Certified Realtime Captioners. The Certified Realtime Captioners Program is a three-step process that includes 1) attending a CRC Workshop, 2) passing the skills test, and 3) passing the written knowledge test.

### **Workload Data**

Table 1  
**COURT REPORTING DIVISION**  
**Workload Measures**

Type of Indicator	Performance Indicator	Data Source	FY 2016 Actual	FY 2017 Estimate	FY 2018 Estimate	FY 2019 Estimate
Input	Transcription Branch orders received	Division Records	5,000	5,200	5,300	5,400
Input	Court Reporting Branch orders received	Division Records	3,000	3,200	3,300	3,400
Output	Pages of court transcripts produced (appeal/non-appeal)	Division Records	355,000	365,000	370,000	375,000

Table 2  
**COURT REPORTING DIVISION**  
**Key Performance Indicators**

Type of Indicator	Performance Indicator	Data Source	FY 2016		FY 2017		FY 2018		FY 2019	
			Goal	Actual	Goal	Estimate	Goal	Projection	Goal	Projection
Timeliness	Average time (in days) to complete transcripts of taped appellate proceedings	Division Records	11	19	11	11	11	11	11	11
Timeliness	Average time (in days) to complete transcripts of taped <i>non</i> -appellate proceedings	Division Records	6	7	6	7	6	6	6	6
Timeliness	Average time (in days) to complete appellate transcripts by court reporters *	Division Records	43	40	37	37	37	37	37	37
Timeliness	Average time (in days) to complete <i>non</i> -appellate transcripts by court reporters *	Division Records	11	10	10	10	10	10	10	10

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

### **FY 2019 Request**

In FY 2019, the D.C. Courts request \$6,718,000 for the Court Reporting and Recording Division, an increase of \$627,000 (10%) above the FY 2018 Level. The requested increase consists of built-in cost increases and partial restoration of the FY 2017 funding level.

Table 3  
**COURT REPORTING DIVISION**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	4,905,000	4,682,000	5,196,000	514,000
12 - Personnel Benefits	1,374,000	1,311,000	1,416,000	105,000
<b><i>Subtotal Personnel Services</i></b>	<b><i>6,279,000</i></b>	<b><i>5,993,000</i></b>	<b><i>6,612,000</i></b>	<b><i>619,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	4,000	4,000	5,000	1,000
25 - Other Services	27,000	26,000	28,000	2,000
26 - Supplies & Materials	46,000	44,000	47,000	3,000
31 - Equipment	25,000	24,000	26,000	2,000
<b><i>Subtotal Non-personnel Services</i></b>	<b><i>102,000</i></b>	<b><i>98,000</i></b>	<b><i>106,000</i></b>	<b><i>8,000</i></b>
<b>TOTAL</b>	<b>6,381,000</b>	<b>6,091,000</b>	<b>6,718,000</b>	<b>627,000</b>
FTE	55	55	55	0

Table 4  
**COURT REPORTING DIVISION**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Current Position WIG	55	71,000	
2	Current Position COLA	55	106,000	
	Partial Restoration of FY 2017 Funding Level		337,000	
<i>Subtotal 11</i>				<i>514,000</i>
12 - Personnel Benefits	Current Position WIG	55	20,000	
	Current Position COLA	55	33,000	
	Partial Restoration of FY 2017 Funding Level		52,000	
<i>Subtotal 12</i>				<i>105,000</i>
<b>Subtotal Personnel Services</b>				<b>619,000</b>
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			2,000
26 - Supplies & Materials	Built-in Increases			3,000
31 - Equipment	Built-in Increases			2,000
<b>Subtotal Non-personnel Services</b>				<b>8,000</b>
<b>TOTAL</b>				<b>627,000</b>

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

<b>Grade</b>	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-6			
JS-7	2	2	2
JS-8	2	2	2
JS-9	5	5	5
JS-10	6	6	6
JS-11	6	6	6
JS-12	30	30	30
JS-13	2	2	2
JS-14			
JS-15	1	1	1
CEMS			
CES	1	1	1
<b>Total Salaries</b>	<b>4,905,000</b>	<b>4,682,000</b>	<b>5,196,000</b>
<b>Total FTEs</b>	<b>55</b>	<b>55</b>	<b>55</b>

## DISTRICT OF COLUMBIA COURT SYSTEM HUMAN RESOURCES DIVISION

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
26	3,461,000	26	3,304,000	26	3,722,000	0	418,000

### **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.

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.

### **Organizational Background**

The Division is comprised of the Office of the Director and five supporting functional areas as described below:

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. The Deputy Director oversees the day-to-day operations of the Division and implementation of the Division's strategic initiatives and serves as Contract Administrator for the Courts' Health Unit and Employee Assistance Program.

Also in the Office of the Director, the EEO Officer is responsible for the administration of the Courts' EEO program. The Equal Employment Opportunity (EEO) Office is responsible for advising the court community on all matters pertaining to civil employment rights and program initiatives that promote diversity, fairness, engagement, and affirmative employment practices. The Office conducts EEO and anti-bullying counseling sessions to resolve personnel conflict at the lowest levels possible. The EEO Office is responsible for handling investigations and making reasonable cause determinations to resolve matters related to discrimination, bullying, sexual harassment, hostile work environment, retaliation, and other issues inconsistent with laws

and policies. For external EEO filings, the EEO Office compiles information and submits position statements. The EEO Officer provides training to the court community on various facets of EEO law and policy, including an EEO Overview, sexual harassment prevention, retaliation and fair hiring practices. The EEO Office examines workforce participation rates, especially those of minorities and women, for equality, opportunity, and fairness and advises the Joint Committee on Judicial Administration and the Executive Officer of the status of equal employment opportunity activities, of any existing deficiencies, of the necessity for specific programs, and of the need for any changes in the Affirmative Action Plan. The EEO Office submits utilization data and activities to the Department of Justice Civil Rights Division for approved Crime Victims Compensation Program funding. (4 positions).

The Benefits Operations Support Services 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. The Branch is responsible for payroll, time and attendance, new employee orientation, compensation studies and retirement and financial literacy training. Additionally, the branch conducts internal audits and continuous process improvement functions (9 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. The branch is also responsible for workforce planning, succession planning, and project management for various human resources related special projects and initiatives (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. This unit also has an organizational development component and is responsible coordinating the development, facilitation, and administration of the Division's Strategic Plan and internal program analysis (4 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 provides support for court-wide access, processing, and training on HR information systems and is responsible for the management of

the comprehensive integrated payroll and personnel system, which has automated and improved HR processes. Post implementation, the unit will manage all HR information systems and (2 positions).

### **Division MAP Objectives**

Several of the Division MAP Objectives follow:

- Build strategic partnerships with the Courts' leadership to enhance workforce success.
- 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 Court Leadership and the Center for Education and Training to implement the HR Succession Management plan.

### **Division Highlights**

From October 2015 through December 2016, the Human Resources Division has accomplished the initiation, development and implementation of several human resources initiatives that are tactically and progressively linked to the strategic plan of the Division and the Courts. The Human Resources Division staff worked collaboratively with our partners in the Courts to build and promote a ***Great Place to Work***. Division members are on various workplace committees to include:

- Strategic Planning Leadership Council;
- Personnel Advisory Committee
- Working or Wellness
- Workplace Values Advisory Committee
- Living Our Values Working Committee
- Flex Place Pilot

The Division is active in the promotion of professional development and work life balance tips and resources available through the Employee Assistance Program. Additionally, through our



partnership with Federal Occupational Health the Division is promoting wellness and health to our workforce with on-site health screenings, flu vaccinations and inspiring guest speakers. The following division accomplishments promote employee access through technology, employee engagement now and in the future, and emphasize the values of openness and accountability:

- Conducted the Road to Retirement Seminars as part of the Retirement and Benefits Educational program for Court Employees. This training complied with the “Thrift Savings Plan Open Elections Act of 2004 (Public Law 108-469)” that requires agencies to develop and implement a retirement financial literacy and education strategies for employees.
- Updated the HR Intranet page to make it user-friendly and streamlined and to continuously provide value-added resources on the intranet website.
- Conducted individualized judicial retirement sessions for the associate and magistrate judges. During these sessions, judges were educated about their benefits and retirement program under the DC Judges Retirement Plan.
- Completed the successful close-out of the 2015-16 performance management period.
- Promoted the Health Units active involvement in the Courts wellness and well-being initiatives through the Fiscal Year
- Championed the Employee Assistance Program (EAP) and monthly work life balance theme to promote EAP as a positive employee benefit and encouraged its use by all Court employees.
- Facilitated mandatory classes for new hires on Court Policy, EEO and sexual harassment courses. Assisted in the facilitation of two supervisory human resources training sessions with Employee Relations and the Office of Personnel Management.
- Launched the Seasonal Flu campaign, offering on-site flu vaccinations and lunchtime flu clinics for courtroom support personnel.
- Began the review of the comprehensive Five-Year Human Resources Strategic Plan (HRSP) to ensure that it is strategically aligned with the Courts’ overall strategic plan. The current HRSP 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. Key to all HRSP goals and objectives is the explicit link between the HRSP and the support and execution of the Courts’ strategic plan.
- Continued to conduct HR training in the areas of EEO, Sexual Harassment, and Ethics, Personnel Policy, and Performance Management
- Conducted EEO and Diversity in action visits where the EEO Officer visited court divisions to conduct information sessions that promote a workplace that is free from discrimination and harassment in any form.
- Hosted the DC One Fund Campaign and DC Courts Health Fair for the 2016 open enrollment season
- Continued the use of the Individual Career Development Plan that was created as a tool to assist in the on-going training and development activities (on-the-job training, courses, conferences, and self-study) to help ensure HR staff is equipped with the competencies needed to accomplish the Courts’ strategic HR objectives.

- Continued the comprehensive revision the Corrective Action and Appeal Policy as a key part of our Personnel Advisory Committee objectives
- Engaged in the continued employment of strategic human resources management, the reorganization of the Division's internal workforce structure, and improvements to its processes and procedures. The Division continues to seek ways to leverage new technology, to proactively manage people, conduct strategic forecasts, and plan ways for the Courts to better meet the needs of its employees while simultaneously preparing employees to better meet the needs of the Courts and its customers. Each initiative was undertaken with the goal of being "A Great Place to Work".

### **Workload Data**

During FY 2016, the Human Resources Division processed over 100 Family Medical Leave Act requests; 13 Workers' Compensation claims, and approximately over 10,500 job applications for 104 announced vacancies. The HRD staff is projected to process over 12,000 electronically filed employment applications in FY 2017. Over 5,000 individual employee benefit consultations were conducted via telephone and walk-ins, benefit workshops, seminars, and fairs, etc. Eight hundred seventy-nine (879) performance evaluations were received and processed in FY 2016.

Table 1  
**HUMAN RESOURCES DIVISION**  
**Key Performance Indicators**

Type of Indicator	Key Performance Indicator	Data Source	FY 2016/2017		FY 2018		FY 2018		FY 2018/2019	
			Goal	Actual	Goal	Estimate	Goal	Projection	Goal	Projection
Output	# of employees attending benefit seminars, retirement workshops, health fairs, etc.	Registration & attendance documents	600	600	650	600	700	700	750	750
Output	# of employees attending Performance Management Training and Briefings	Registration & attendance documents	100	200	150	170	250	250	300	300
Output	Performance Evaluations Processed <sup>11</sup>	Rec'd Evals	800	940	940	900	900	900	900	900
Output	# of employees with access to eOPF	HR Data Reports	1,350	1,300	1,300	1,300	1,300	1,300	1,300	1,300

### **FY 2019 Request**

In FY 2019, the Courts request \$3,722,000 for the Human Resources Division, an increase of \$418,000 (13%) above the FY 2018 Level. The requested increase consists of built-in cost increases and partial restoration of the FY 2017 funding level.

<sup>11</sup> Performance evaluations are conducted for all permanent, non-judicial staff who have completed their probationary periods. This goal reflects evaluation of all eligible employees.

Table 2  
**HUMAN RESOURCES DIVISION**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	2,680,000	2,558,000	2,919,000	361,000
12 - Personnel Benefits	749,000	715,000	769,000	54,000
<b><i>Subtotal Personnel Cost</i></b>	<b><i>3,429,000</i></b>	<b><i>3,273,000</i></b>	<b><i>3,688,000</i></b>	<b><i>415,000</i></b>
21 - Travel, Transp. of Persons	10,000	10,000	11,000	1,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	13,000	12,000	13,000	1,000
31 - Equipment	9,000	9,000	10,000	1,000
<b><i>Subtotal Non- Personnel Cost</i></b>	<b><i>32,000</i></b>	<b><i>31,000</i></b>	<b><i>34,000</i></b>	<b><i>3,000</i></b>
<b>TOTAL</b>	<b>3,461,000</b>	<b>3,304,000</b>	<b>3,722,000</b>	<b>418,000</b>
FTE	26	26	26	0

Table 3  
**HUMAN RESOURCES DIVISION**  
**Detail, Difference FY 2018/FY 2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/FY 2019</b>
11 - Personnel Compensation	Current Position WIG	26	39,000	
	Current Position COLA	26	51,000	
	Partial Restoration of FY 2017 Funding Level		271,000	
<b><i>Subtotal 11</i></b>				<b><i>361,000</i></b>
12 - Personnel Benefits	Current Position WIG	26	11,000	
	Current Position COLA	26	14,000	
	Partial Restoration of FY 2017 Funding Level		29,000	
<b><i>Subtotal 12</i></b>				<b><i>54,000</i></b>
<b><i>Subtotal Personnel Services</i></b>				<b><i>415,000</i></b>
21 - Travel, Transp. of Persons	Built-in Increases			1,000
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
<b><i>Subtotal Non-personnel Services</i></b>				<b><i>3,000</i></b>
<b>Total</b>				<b>418,000</b>

**Table 4**  
**HUMAN RESOURCES DIVISION**  
**Detail of Full-Time Equivalent Employment**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	2	2	2
JS-8			
JS-9	2	2	2
JS-10	1	1	1
JS-11	2	2	2
JS-12	3	3	3
JS-13	9	9	9
JS-14	5	5	5
JS-15	1	1	1
CEMS			
CES	1	1	1
<b>Total Salary</b>	<b>2,680,000</b>	<b>2,558,000</b>	<b>2,919,000</b>
Total FTEs	26	26	26

## DISTRICT OF COLUMBIA COURT SYSTEM INFORMATION TECHNOLOGY DIVISION

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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>
69	11,983,000	69	11,439,000	73	12,662,000	4	1,223,000

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.
- 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 court 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' mission critical case data. Additional areas include maintaining and monitoring e-mail, calendaring, enterprise data storage, the Courts' Internet and intranet websites, enterprise databases and data warehouse, streaming video, 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.
- *Office Automation Support and Development* consists of providing requirements gathering, business process re-engineering, and applications development to streamline the Courts' business processes and to enhance public access.
- *Information Exchange* consists of providing software interfaces between the Courts' case management systems and other agency case management systems that automates the data exchange among justice agencies; and providing tools to disseminate court information to the public through reports, public use terminals, kiosks, and the Courts' Internet website.
- *Information Security* involves protecting the Courts' information and information systems from unauthorized access, use, disclosure, disruption, modification, and/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.

### **IT Strategic Goals and Objectives**

To support the D.C. Courts' mission, the IT Division released a five-year IT Strategic Plan 2013-2017 in December 2012. The Plan aligns IT priorities with the Courts' strategic goals and defines how IT will support the achievement of the courtwide strategic 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 IT Division goals follow:

1. Provide Customer-Focused Service;
2. Deliver Enterprise Business Solutions;
3. Enhance Technological Capabilities;

4. Secure the Courts' Information and IT Investments from External and Internal Threats; and
5. Attract, Recruit and Retain a Skilled Workforce.

The table below illustrates how IT strategic goals and the Courts' overall strategic goals are aligned:

<b>D.C. Courts Strategic Goals</b>	<b>IT Strategic Goals</b>				
	Goal 1: Provide Customer Focused Services	Goal 2: Deliver Enterprise Business Solutions	Goal 3: Enhance Technological Capabilities	Goal 4: Ensure Information Security	Goal 5: Attract, Recruit & Retain a Skilled Workforce
Goal 1: Fair and Timely Case Resolution	X	X		X	
Goal 2: Access to Justice	X	X	X	X	
Goal 3: A Strong Judiciary and Workforce	X			X	X
Goal 4: A Sound Infrastructure		X	X	X	
Goal 5: Public Trust and Confidence	X	X	X	X	X

Each fiscal year, IT develops a Management Action Plan (MAP) that provides both short-term and long-term strategic roadmaps for the initiatives derived from the IT Strategic Plan. The MAP includes specific objectives, timelines, and provides performance measures and key performance indicators to assess how well the goals are being accomplished. While performance measures are branch level metrics, key performance indicators are tracked at the division level.

### **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), and the Information Technology Infrastructure Library (ITIL v3) methodologies.

The IT strategic plan serves as a valuable management tool and an effective communication vehicle. The IT Division uses this plan to guide budget planning, prioritize initiatives, control execution, and communicate with the IT Division and its customers and stakeholders.

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 meets monthly and provides general reviews of major

IT projects and policies/directives 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 will result in measurable returns on investments. The EAB is co-chaired by the Chief Information Officer and Chief Technology Officer and complements the Information Technology Steering Committee (ITSC) by providing advice in establishing technology standards, planning IT investments, and evaluating new technologies.

The IT Change Advisory Board (CAB) 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 configuration changes to the Courts' production systems. The CAB operates with the goal of maintaining the quality of services 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

In FY 2017, the Court System shifted the telecommunications function from the Administrative Services Division to the Information Technology Division, reflecting the increasingly technology-based nature of telecommunications.

### **Recent Achievements and Highlights**

#### **1. Case Management and Business Intelligence**

- Superior Court New Case Management Requirements and Request for Information

The Superior Court case management system, CourtView, was implemented 15 years ago and the system is exceeding the end of its useful life. While it serves as the system of record for all case processing at the trial court, it has several major limitations and a new system is needed. At the beginning of FY 17, the IT Division started collecting functional requirements for procuring a new case management system. A Request for Information (RFI) was issued and responses were received from several vendors.

- Office of Attorney General (OAG) Electronic Orders Project

The Family Court Operations Division, in collaboration with the IT Division and the D.C. Office of the Attorney General (OAG), has successfully completed the Electronic Consent Orders Project that allows OAG attorneys to submit Consent Orders, Orders for Paternity Testing, and Adjudication of Paternity and Short Orders electronically. The judge can review the consent orders with the parties, who can sign the orders using a wireless signature pad, prior to the judge electronically signing them. The approved orders are uploaded electronically to the Courts' document management system and are transmitted electronically to OAG. This electronic orders project is now being expanded to other operating divisions to process scheduling orders and other notices.



- Business Intelligence (BI) Solution Enhancements

Various division and branch level dashboards were completed that provide the Courts' judicial officers and managers ready access to caseload information and the capability to identify progress towards the attainment of performance measures.

## **2. Software Applications for Business Processes Automation and Productivity**

- D.C. Courts New Website

In an effort to increase access to justice, the Courts developed and launched a new website. The process was initiated with extensive consultations to understand the informational needs of the public, and the website was completely redesigned to enhance access to court information and services. A section of the website is devoted to self-represented litigants to help them navigate and understand the court process.

- Judge-In-Chambers

This application provides an electronic sign-in capability for court participants conducting business at the Judge-in-Chambers, which enhances operational efficiencies.

- Crime Victims Compensation Program (CVCP) Claim Inventory Tracking

A claims tracking system was developed for the Crime Victims Compensation Program to enhance internal controls.

- Interactive Voice Response (IVR) for Landlord and Tenant Court

To enhance access to court information, interactive voice response (IVR) was implemented in Landlord and Tenant Court to enable parties to receive case information, such as the most recent hearing date or docket entry via an automated voice response system.

## **3. IT Service Improvement**

- D.C. Courts Service Catalog Implementation

To improve the effectiveness and responsiveness of service delivery, the IT Division worked with several support divisions to establish an online Service Request Portal in which court personnel can submit and track service requests as well as provide feedback on the service.

- IT Service Management (ITIL) Process Improvement

In 2015, the Courts contracted with Beyond20 to conduct an assessment and develop a roadmap that would allow the IT Division to adopt industry best practices for IT Service Management. The implementation of ITIL will assist the IT Division in delivering services that are more aligned with the needs of the Courts in a streamlined and cost-effective manner.

In 2016, the IT Division worked on maturing the following six ITIL processes to level 3: Incident Management, Problem Management, Request Fulfillment, Change Management, Service Level Management, and Release and Deployment Management. All six processes have reached the target maturity level.

#### **4. IT Infrastructure**

- Next Generation Firewall (NGFW) Implementation

To strengthen information security, the IT Division replaced the Courts' traditional firewalls with three Next Generation Firewalls which provides advanced security control and threat protection.

- DockeTron

To enhance access to case information, the Court installed an electronic signage system called DockeTron. Through the use of DockeTron, court users can easily determine the courtroom in which their case will be held, the judge's name as well as the case number. The case information is updated near real-time from the Superior Court's case management system.

- Enterprise Storage High Availability and Disaster Recovery Improvements

Providing high availability and disaster recovery ready enterprise storage in the event of an emergency is critical to supporting the Courts' mission-critical applications. In April 2017, the IT Division started the redesign of the NetApp enterprise storage to provide high availability and reduce Recovery Time Objective (RTO) from 8 hours to 30 minutes. Once the storage improvement project is complete, a full functional disaster recovery test will be conducted to verify that the high availability and RTO goals have been achieved.

- Virtual Desktop Infrastructure (VDI) Redundancy Implementation

The Virtual Desktop Infrastructure (VDI) was implemented in FY 2016 and PCs were replaced with VDI machines in judicial chambers, courtrooms, and some offices to provide portability, remote access, and security. To ensure computer availability during a power outage or other failure in the main IT data center located in Building C, a VDI redundant site was established at the Moultrie Courthouse. The initial phase of the implementation was completed which allows 220 virtual machines to be online from the secondary site. During the second phase of implementation, which is targeted for completion in August 2017, all 600 virtual machines will be online from the secondary site.

- Microsoft (MS) Azure Cloud Implementation

In March 2017, the IT Division started to move some of its computing services to the MS Azure Government Cloud. Migration of a few servers will be completed in June 2017.

- Enterprise Microsoft Server Software Upgrade and Server Virtualization

The IT Division upgraded 153 servers from Microsoft Server 2008 to Microsoft Server 2012 and virtualized all servers when possible. Utilizing the 153 physical servers, the IT Division has built 200 virtual servers. This implementation resulted in cost savings as additional physical servers were not required and provided a foundation for the Microsoft Azure Cloud migration.

### **FY 2019 Request**

In FY 2019, the Courts request \$12,662,000 for the Information Technology Division, an increase of \$1,223,000 (11%) above the FY 2018 Level. The request includes \$122,000 for one FTE, an IT Security Compliance Officer to ensure compliance with Payment Card Industry (PCI-DSS) information security requirements; \$141,000 for 2 FTEs to increase the responsiveness of the Courts' Information Technology Help Desk; \$143,000 for 1 FTE to manage VOiP telecommunications technology; and \$817,000 for built-in cost increases and partial restoration of the FY 2017 funding level.

### ***IT Security Compliance Officer, 1 FTE (JS-13), 122,000***

Problem Statement. The D.C. Courts are expanding payment options for the public, both at the courthouse and over the internet, to allow credit card usage more broadly. As part of this expansion, the Courts must comply with Payment Card Industry (PCI – DSS) information security requirements. Included in the compliance requirements, the IT Division must prepare a certification and accreditation package for its systems to attain Authority to Operate (ATO). Recently, the D.C. Courts hired a consulting firm, Grant Thornton, to assess the security posture of D.C. Courts' information technology infrastructure in relation to the PCI standards. The initial results have revealed that deficiencies exist and mitigations are needed to achieve PCI compliance. The report also indicated that a dedicated individual with audit and compliance expertise is needed to accomplish this goal. To oversee the Courts' compliance with PCI requirements, an IT Security Compliance Officer is needed.

Relationship to Court Mission and Goals. The hiring of one IT Security Audit and Compliance Officer will assist the D.C. Courts meet the goal of a sound infrastructure by implementing safeguards to prevent and mitigate security risks from threats and to strengthen internal controls

Relationship to Divisional Objectives. The core function of the D.C. Courts' IT Division is to ensure that the Courts' IT security posture is in compliance with federal security laws and regulations, and follow industry best practices to maintain the availability, confidentiality, and integrity of court information against all threats.

Relationship to Existing Funding. Funding for this position is not currently available in the Courts' budget.

Methodology. The 2017 Grant Thornton's' assessment highlighted a need for a dedicated individual to work strictly on PCI compliance.

Expenditure Plan. Funds will be used to hire one employee in accordance with the Courts' Personnel Policies.

Performance Indicators. Success of this effort will result in maintaining the Authority to Operate (ATO) status as well as acceptance level of compliance from inspections.

### ***IT Network and Telecom Management, 1 FTE (JS-14), 143,000***

Problem Statement. Today court operations are dependent upon technology, and end-users rely on functional hardware and software. Network services provide phone capabilities, video conferencing, e-mail, instant messaging, Web browsing, and various forms of communications utilizing fiber, cable, or microwave transport. The technologies used for telecommunications have changed greatly over the last 10 years. Telecommunications applications, equipment, and managed services such as Voice over Internet Protocol (VoIP) and Wi-Fi local area networks have replaced traditional analog equipment and data circuits. The most fundamental change, both in terms of technology and in terms of its implications for industry structure, has occurred in the design and support of telecommunications networks. In 2012, the Courts piloted a VoIP project in Building C. In 2014, the VoIP technology was expanded to three more buildings. In 2016, the Courts initiated the last phase of the VoIP expansion project to replace all legacy telephone systems throughout the Courts' facilities and locations, including its satellite offices throughout the District.

The adoption of VoIP technology requires upgrading infrastructure hardware and software while maintaining the current analog Private Branch Exchange (PBX) system, voice, and data circuits. The introduction of new technology and the lack of trained and certified staff to support the VoIP environment has created an operational risk for the Courts. Technology refresh and sustainment of the PBX system along with other technology refresh efforts, such as cabling infrastructure and network upgrades, requires expert knowledge for Session Initiation Protocol (SIP) communication signaling. In order to support the new technology and meet the IT service needs, an additional FTE is required.

Relationship to Court Mission and Goals. The hiring of a Telecom and Network Manager will assist the D.C. Courts meet the goal of the timely administration of justice through effective and efficient support of current and emerging technology, thereby increasing the efficiency of court IT operations.

Relationship to Divisional Objectives. The core function of the D.C. Courts' IT Division is to provide telecommunications capabilities that are critical to the administration of justice. Hiring a Telecom and Network Manager will allow the IT Division to meet three of its strategic objectives, which are to:

- Provide Customer Focused Services
- Deliver Enterprise Business Solutions
- Enhance Technological Capabilities

Relationship to Existing Funding. Funding for this position is not currently available in the Courts' budget.

Methodology. The Telework and Network Manager function would be in alignment with the White House memorandum for Federal Information Technology Acquisition Reform Act (FITARA)<sup>12</sup> and related information technology management practices.

Expenditure Plan. Funds will be used to hire one employee at the JS-14 level in accordance with the Courts' Personnel Policies.

Performance Indicators. Success of the initiative will be measured by the percent of customers satisfied with IT overall services and the percent of telecom and network tickets resolved within service level agreements.

### ***IT Customer Service Technicians, 2 FTEs, \$141,000***

Problem Statement. Information technology customer service is a critical function and the public face of the IT Division that judges, courtroom clerks, and other end users utilize when they experience computer issues and/or request new hardware and software in chambers, courtrooms, offices, and public areas throughout the Courts' facilities. Increased IT "Service Desk" call volume has caused a degradation of customer service for the end user community. As a result of insufficient staffing, the Tier-1 technicians who are tasked with answering and documenting the initial calls to the Service Desk (and assessing the severity of the issue) often need to assist in problem resolution tasks that cause them to physically leave the Service Desk call area. The resulting lack of responsiveness to Service Desk calls leads to poor customer service, end-user frustration, and decreased productivity. These same staff are responsible for the physical move of employee workstations and peripherals resulting from relocations, new hires and construction related moves due to the Moultrie Courthouse Addition Project currently in progress.

An independent assessment by a consulting firm, Beyond 20, rated the Courts' IT services at 2.15 on a 5-point scale for incident management and problem management processes. The assessment recommended that the Service Desk be designated the single point of contact for all operational issues and that the IT Division expands its current Service Desk to become a more comprehensive three-tier customer service organization. A staffing plan was developed requiring two additional Tier 1 technicians to improve customer service and enhance IT operations.

Relationship to Court Mission and Goals. The hiring of two Service Desk Tier-1 Technicians will assist the D.C. Courts meet the goal of the timely administration of justice through effective and efficient support of technology in a timely manner, thereby increasing the efficiency of court operations.

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<sup>12</sup> Title VIII, Subtitle D of the National Defense Authorization Act (NOAA) for Fiscal Year 2015, Pub. L. No. 113-291. Reference:

<https://www.whitehouse.gov/sites/default/files/omb/memoranda/2015/m-15-14.pdf>

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 Service Desk Tier-1 Technicians will allow the IT Division to meet three of its strategic objectives, which are to:

- Apply desktop virtualization
- Adopt ITIL v3 best practices
- Continuously provide timely and high quality issue resolution to all court users

Relationship to Existing Funding. Funding for this position is not currently available in the Courts' budget.

Methodology. The 2015 independent assessment of the IT services by Beyond 20 determined that additional customer service technicians are necessary based on the Division's workload and current service level.

Expenditure Plan. Funds will be used to hire two employees at the JS-9 level in accordance with the Courts' Personnel Policies.

Performance Indicators. Success of the initiative will be measured by the percent of customers satisfied with IT overall services, percent of calls answered, percent of tickets resolved within service level agreements, and time to resolution.

Table 2  
INFORMATION TECHNOLOGY DIVISION  
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Costs
IT Security Compliance Officer	JS-13	1	\$95,000	\$27,000	\$122,000
Tier 1 Tech (Help Desk)	JS-9	2	\$110,000	\$31,000	\$141,000
IT Network & Telecom Manager	JS-14	1	\$112,000	\$31,000	\$143,000
<b>Total</b>		<b>4</b>	<b>\$317,000</b>	<b>\$89,000</b>	<b>\$406,000</b>

Table 3  
INFORMATION TECHNOLOGY DIVISION  
Budget Authority by Object Class

	FY 2017 Enacted	FY 2018 Level	FY 2019 Request	Difference FY 2018/2019
11 - Personnel Compensation	7102,000	6,779,000	7,605,000	826,000
12 - Personnel Benefits	1,988,000	1,898,000	2,130,000	232,000
<b>Subtotal Personal Services</b>	<b>9,090,000</b>	<b>8,677,000</b>	<b>9,735,000</b>	<b>1,058,000</b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	444,000	424,000	450,000	26,000
24 - Printing & Reproduction	28,000	27,000	29,000	2,000
25 - Other Services	1,817,000	1,734,000	1,836,000	102,000
26 - Supplies & Materials	177,000	169,000	180,000	11,000
31 - Equipment	427,000	408,000	432,000	24,000
<b>Subtotal Nonpersonnel Services</b>	<b>2,893,000</b>	<b>2,762,000</b>	<b>2,927,000</b>	<b>165,000</b>
<b>TOTAL</b>	<b>11,983,000</b>	<b>11,439,000</b>	<b>12,662,000</b>	<b>1,223,000</b>
FTE	69	69	73	4

Table 4  
**INFORMATION TECHNOLOGY DIVISION**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Current Position WIG	69	102,000	
	Current Position COLA	69	136,000	
	IT Security Compliance Officer	1	95,000	
	Tier 1 Tech (Help Desk)	2	110,000	
	IT Network & Telecom Manager	1	112,000	
	Partial Restoration of FY 2017 Funding Level		271,000	
<i>Subtotal 11</i>				<i>826,000</i>
12 - Personnel Benefits	Current Position WIG	69	29,000	
	Current Position COLA	69	38,000	
	IT Security Compliance Officer	1	27,000	
	Tier 1 Tech (Help Desk)	1	31,000	
	IT Network & Telecom Manager	1	31,000	
	Partial Restoration of FY 2017 Funding Level		76,000	
<i>Subtotal 12</i>				<i>232,000</i>
<b><i>Subtotal Personnel Services</i></b>				<b><i>1,058,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Comm. & Utilities	Built-in Increases			26,000
24 - Printing & Reproduction	Built-in Increases			2,000
25 - Other Service	Built-in Increases			102,000
26 - Supplies & Materials	Built-in Increases			11,000
31 - Equipment	Built-in Increases			24,000
<b>Total</b>				<b>1,223,000</b>

Table 5  
**INFORMATION TECHNOLOGY DIVISION**  
**Detail of Full-Time Equivalent Employment**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>
JS-6			
JS-7			
JS-8	8	8	8
JS-9			2
JS-10	3	3	3
JS-11	6	6	6
JS-12	1	1	1
JS-13	40	40	41
JS-14	8	8	9
JS-15			
CEMS	2	2	2
CES	1	1	1
<b>Total Salary</b>	<b>7,102,000</b>	<b>6,779,000</b>	<b>7,605,000</b>
<b>Total FTEs</b>	<b>69</b>	<b>69</b>	<b>73</b>

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

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/2019</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	830,000	5	792,000	5	846,000	0	54,000

**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 advice, and policy interpretation. The Office is charged with protecting the statutorily confidential records of the D.C. Courts from improper and unnecessary disclosure. A staff member serves as legal advisor to the Superior Court's Rules Committee, various rules 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 provides legal advice in corrective action matters, and provides legal representation in corrective action and unemployment compensation hearings. The Office also 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, (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, and (4) the provision of timely and accurate legal advice and assistance to court managers regarding disciplinary actions against employees and representation of the Court in disciplinary hearings before independent hearing officers. 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 promulgated 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, the Department of the Interior, and the Office of the Attorney General of the District of Columbia on legal matters affecting the administration of the D.C. Courts.

### **FY 2019 Request**

In FY 2019, the Courts request \$846,000 for the Office of the General Counsel, an increase of \$54,000 (7%) above the FY 2018 Level. The requested increase consists of built-in cost increases and partial restoration of the FY 2017 funding level.

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

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	634,000	605,000	646,000	41,000
12 - Personnel Benefits	179,000	171,000	182,000	11,000
<b><i>Subtotal Personnel Services</i></b>	<b><i>813,000</i></b>	<b><i>776,000</i></b>	<b><i>828,000</i></b>	<b><i>52,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	11,000	10,000	11,000	1,000
31 - Equipment	6,000	6,000	7,000	1,000
<b><i>Subtotal Non-Personnel Services</i></b>	<b><i>17,000</i></b>	<b><i>16,000</i></b>	<b><i>18,000</i></b>	<b><i>2,000</i></b>
<b>TOTAL</b>	<b>830,000</b>	<b>792,000</b>	<b>846,000</b>	<b>54,000</b>
FTE	5	5	5	0

Table 2  
**OFFICE OF THE GENERAL COUNSEL**  
**Detail, Difference FY 2018/FY 2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/FY 2019</b>
11 - Personnel Compensation	Current Position WIG	5	5,000	
	Current Position COLA	5	12,000	
	Partial Restoration of FY 2017 Funding Level		24,000	
<i>Subtotal 11</i>				<i>41,000</i>
12 - Personnel Benefits	Current Position WIG	5	1,000	
	Current Position COLA	5	3,000	
	Partial Restoration of FY 2017 Funding Level		7,000	
<i>Subtotal 12</i>				<i>11,000</i>
<b>Subtotal Personnel Services</b>				<b>52,000</b>
21 - Travel, Transp. of Persons	Built-in Increases			
22 - Transportation of Things				
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
<b>Subtotal Non-personnel Services</b>				<b>2,000</b>
<b>Total</b>				<b>54,000</b>

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

	<b>2017 Enacted</b>	<b>2018 Level</b>	<b>2019 Request</b>
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	2	2	2
JS-15	1	1	1
CEMS			
CES	1	1	1
<b>Total Salary</b>	<b>634,000</b>	<b>605,000</b>	<b>646,000</b>
Total FTEs	5	5	5

## DISTRICT OF COLUMBIA COURT SYSTEM STRATEGIC MANAGEMENT DIVISION

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/FY 2019</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>
11	1,637,000	11	1,563,000	11	1,751,000	0	188,000

### **Mission Statement**

The Strategic Management Division provides innovative strategies and evidence-based information to develop policies, enhance the administration of justice, and improve the quality of services at the D.C. Courts.

### **Introduction**

The Strategic Management Division leads and coordinates efforts to build the Courts' capacity to develop, execute, and evaluate strategy and performance of its mission to serve the public. The 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 to facilitate the Courts' performance monitoring and accountability to the public as the District's judicial branch.

### **Organizational Function**

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:

- *Ensure that appropriate programs and services are available to the public by monitoring changing demographics, seeking community input, and implementing best practice strategies.* The Strategic Management Division supports this strategy by conducting research on social, demographic, economic, technological, justice system and other issues affecting the Courts. The Division collaborates with court units to conduct surveys, focus groups and other outreach to court stakeholders to develop new projects and to evaluate and improve court services.
- *Ensure the effectiveness of court operations by establishing performance measures, monitoring results, and evaluating programs and services.* The Strategic Management Division works with court leadership to identify results-based organizational performance measures that align with the Strategic Plan, and to assist divisions in developing data collection procedures. The 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.

- *Operate transparently by making caseload information, financial reports, budgets, and program assessments readily available.* The Strategic Management Division promotes the use of data to inform decision-making and prepares statistical and research reports and other information. The Division co-leads a business intelligence program with the Information Technology Division, which is expanding the use of data analytics throughout the Courts.

### **Division MAP Objectives**

The Strategic Management Division has the following multi-year MAP objectives:

1. To promote a results/outcome-based organizational culture including the institutionalization of performance standards, evidence-based decision-making, and monitoring and reporting of results.
2. To lead the Courts' organizational performance measurement and management activities, systematically assessing court performance and making recommendations to court leadership to enhance court performance and service to the public;
3. To ensure the D.C. Courts employ a robust and inclusive court-wide strategic planning process to develop the Courts' five-year Strategic Plans;
4. To plan and facilitate strategy development, execution, and review sessions among court leaders by providing information and data, analyses, and recommendations regarding goals, performance measures, outcomes and results;
5. To conduct research and evaluation that is aligned with the Courts' strategic agenda and that meets the needs of court units;
6. To deliver just-in-time analyses, reports and recommendations that support informed judicial and executive decision-making;
7. To partner with external research organizations on research and evaluation initiatives to enhance the Courts' mission and goals;
8. To promote continuity and enhance data accuracy and reporting by coordinating data sharing and exchange with criminal justice partners, researchers and the general public;
9. To lead and coordinate the Courts' grant-seeking activities to achieve strategic and operational goals.
10. To foster strategic development by working collaboratively with court units to conceptualize and design court improvement projects and new processes or services;

## **Accomplishments**

Selected accomplishments of the Strategic Management Division during this Fiscal Year are noted below:

- Coordinated efforts of the Strategic Planning Leadership Council to gather input from court stakeholders to develop the 2018-2022 Strategic Plan;
- Collaborated with the Office of Personnel Management to administer the Federal Employee ViewPoint Survey to court personnel to assess overall employee satisfaction with the work environment;
- Coordinated the facilitation of action planning and employee engagement training workshops by the Partnership for Public Service, in furtherance of the Courts' *Great Place to Work* initiative;
- Continued to monitor the services of an external research firm contracted to evaluate the Adult Drug Court.
- Worked with justice agency partners, researchers, and other external agencies/organizations to facilitate the exchange of data for special projects, committee reporting, research studies, legal/informational briefings, applications, and publications;
- Worked with court units to identify key performance indicators and other business requirements as well as to enhance data quality for business intelligence dashboards and performance reports;
- Worked with court units to compile annual caseload statistics and prepare the Courts' Statistical Summary;
- Collaborated with court units to expand the reporting of caseload data to the National Center for State Courts;
- Continued teaching classes for new employees and providing briefings to judges on the Courts' strategic management process;
- Modified a Grants Management module for the Administrative Division's Acquisition Institute to inform grant project directors and other employees regarding compliance with federal regulations, budget, procurement and contractual requirements, and special conditions.

## **Restructuring**

The Division routinely reviews project plans and activities to ensure an alignment with the goals and objectives of the Courts' Strategic Plan, as well as to work cross-functionally to optimize collaboration and maximize skills and resources.

## **Workload and Performance Measures**

The Strategic Management Division establishes and monitors performance metrics for its functional areas (strategic planning and development, research and evaluation, and organizational performance management) on a project by project basis, depending upon the particular goals and requirements of the work. Generally, the Division monitors the quality of work products in terms of: 1) accuracy; 2) responsiveness to requirements; 3) adherence to accepted professional standards and Division protocols; 4) adherence to management directives, in addition to quality measures the Division monitors; 5) the efficiency of resources used in completing deliverables; and 6) timeliness.

## **FY 2019 Request**

In FY 2019, the D.C. Courts request \$1,751,000 for the Strategic Management Division, an increase of \$188,000 (12%) above the FY 2018 Level. The requested increase consists of built-in cost increases and partial restoration of the FY 2017 funding level.

Table 1  
**STRATEGIC MANAGEMENT DIVISION**  
**Budget Authority by Object Class**

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	1,242,000	1,186,000	1,345,000	159,000
12 - Personnel Benefits	348,000	332,000	357,000	25,000
<b><i>Subtotal Personnel Services</i></b>	<b><i>1,590,000</i></b>	<b><i>1,518,000</i></b>	<b><i>1,702,000</i></b>	<b><i>184,000</i></b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	33,000	31,000	33,000	2,000
26 - Supplies & Materials	7,000	7,000	8,000	1,000
31 – Equipment	7,000	7,000	8,000	1,000
<b><i>Subtotal Non- Personnel Services</i></b>	<b><i>47,000</i></b>	<b><i>45,000</i></b>	<b><i>49,000</i></b>	<b><i>4,000</i></b>
<b>TOTAL</b>	<b>1,637,000</b>	<b>1,563,000</b>	<b>1,751,000</b>	<b>188,000</b>
FTE	11	11	11	0

Table 2  
STRATEGIC MANAGEMENT DIVISION  
Detail, Difference FY 2018/FY 2019

Object Class	Description of Request	FTE	Cost	Difference FY 2018/FY 2019
11 - Personnel Compensation	Current Position WIG	11	18,000	
	Current Position COLA		24,000	
	Partial Restoration of FY 2017 Funding Level		117,000	
<i>Subtotal 11</i>				<i>159,000</i>
12 - Personnel Benefits	Current Position WIG	11	5,000	
	Current Position COLA		7,000	
	Partial Restoration of FY 2017 Funding Level		13,000	
<i>Subtotal 12</i>				<i>25,000</i>
<b><i>Subtotal Personnel Services</i></b>				<b><i>184,000</i></b>
21 - Travel, Transp. of Persons	Built-in Increases			
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increases			
24 - Printing & Reproduction	Built-in Increases			
25 - Other Service	Built-in Increases			2,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<b><i>Subtotal Non-Personnel Services</i></b>				<b><i>4,000</i></b>
<b>Total</b>				<b>188,000</b>

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

	2017 Enacted	2018 Level	2019 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	1	1	1
JS-8			
JS-9	1	1	1
JS-10			
JS-11			
JS-12	3	2	
JS-13	1	2	4
JS-14	3	3	3
JS-15	1	1	1
CEMS			
CES	1	1	1
<b>Total Salary</b>	<b>1,242,000</b>	<b>1,186,000</b>	<b>1,345,000</b>
<b>Total FTEs</b>	<b>11</b>	<b>11</b>	<b>11</b>

**DISTRICT OF COLUMBIA COURT SYSTEM  
MANAGEMENT ACCOUNT**

<u>FY 2017 Enacted</u>		<u>FY 2018 Level</u>		<u>FY 2019 Request</u>		<u>Difference FY 2018/FY 2019</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	25,002,000	0	23,599,000	0	24,052,000	0	2,926,000

To capitalize on centralization of function and economies of scale, a variety of enterprise-wide expenses are consolidated in a “management account.” This fund supports courtwide contracts, and services, including financial services; procurement; telecommunications; utilities; security services as well as enterprise personnel costs such as subsidies for employee use of mass transit. This fund also includes replacement of equipment.

**FY 2019 Request**

In FY 2019, the D.C. Courts request \$26,525,000 for the Management Account, an increase of \$2,926,000 (12%) over the FY 2018 Level. The requested increase consists of \$1,900,000 for the Digital Security Video Management System, discussed in the **Initiatives** section of this request, to ensure the safety and security of court buildings and \$1,026,000 for built-in cost increases.

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

	<b>FY 2017 Enacted</b>	<b>FY 2018 Level</b>	<b>FY 2019 Request</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	253,000	241,000	260,000	19,000
12 - Personnel Benefits	268,000	256,000	268,000	12,000
<b><i>Subtotal Personal Services</i></b>	<b>521,000</b>	<b>497,000</b>	<b>528,000</b>	<b>31,000</b>
21 - Travel, Transp. of Persons	127,000	121,000	129,000	8,000
22 - Transportation of Things	6,000	6,000	7,000	1,000
23 - Rent, Comm. & Utilities	9,088,000	8,675,000	9,187,000	512,000
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	10,788,000	10,036,000	12,157,000	2,121,000
26 - Supplies & Materials	312,000	293,000	311,000	18,000
31 - Equipment	4,160,000	3,971,000	4,206,000	235,000
<b><i>Subtotal Nonpersonal Services</i></b>	<b>24,481,000</b>	<b>23,102,000</b>	<b>25,997,000</b>	<b>2,895,000</b>
<b>TOTAL</b>	<b>25,002,000</b>	<b>23,599,000</b>	<b>26,525,000</b>	<b>2,926,000</b>
FTE	0	0	0	0



Table 2  
**MANAGEMENT ACCOUNT**  
**Detail, Difference FY 2018/2019**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2018/2019</b>
11 - Personnel Compensation	Built in increase		19,000	
12 - Personnel Benefits	Built in increase		12,000	
				<b>31,000</b>
21 - Travel and Transportation	Built in increase		8,000	
22 - Transportation of Things			1,000	
23 - Rent, Comm. & Utilities	Built in increase		512,000	
24 - Printing & Reproduction				
25 - Other Services	Built in increase		221,000	
	Digital Video Management System		1,900,000	
26 - Supplies and Materials	Built in increase		18,000	
31 - Equipment	Built in increase		235,000	
				<b>2,895,000</b>
<b>TOTAL</b>				<b>2,926,000</b>



**District of Columbia Courts  
FY 2019 Budget Justification  
New Positions Requested by Grade**

Position	Division	Grade	Number	Annual Salary	Benefits	Total Personnel Cost
<b>COURT OF APPEALS</b>						
Staff Attorney		JS-12	1	80,000	21,000	101,000
IT Specialist		JS-12	1	80,000	21,000	101,000
Staff Assistant		JS-7	1	45,000	12,000	57,000
<b><i>Court of Appeals Subtotal</i></b>			<b>3</b>	<b>205,000</b>	<b>54,000</b>	<b>259,000</b>
<b>COURT SYSTEM</b>						
IT Security Compliance Officer	Information Technology	JS-13	1	95,000	27,000	122,000
Tier I Tech (Help Desk)	Information Technology	JS-9	2	110,000	31,000	141,000
IT Network & Telecom Manager	Information Technology	JS-14	1	112,000	31,000	143,000
<b><i>Court System Subtotal</i></b>			<b>4</b>	<b>317,000</b>	<b>89,000</b>	<b>406,000</b>
<b>D.C. COURTS TOTAL</b>			<b>7</b>	<b>522,000</b>	<b>143,000</b>	<b>665,000</b>



# DISTRICT OF COLUMBIA COURTS CAPITAL BUDGET

District of Columbia Courts - Fiscal Year 2019 Budget Justification Summary <i>(dollars in millions)</i>	PY-1 and earlier	PY 2017	CY 2018	Full Budget Request BY 2019	BY+1 2020	BY+2 2021	2022 and beyond *	Total, unfunded amounts (sum 2019 - beyond)
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Renovations, Improvements & Expansions								
Moultrie Courthouse Addition	111.92	48.00	41.60	27.06	-	-	-	27.06
Trial Court Case Management System	-	0.50	-	16.10	-	-	-	16.10
Migration from Gallery Place	-	-	-	21.40	-	-	-	21.40
Courtrooms and Judges Chambers	9.15	-	-	4.97	7.24	21.92	135.72	169.85
Northeast Garage	-	-	-	8.91	36.00	-	-	44.91
<b>Subtotal</b>	<b>121.07</b>	<b>48.50</b>	<b>41.60</b>	<b>78.44</b>	<b>43.23</b>	<b>21.92</b>	<b>135.72</b>	<b>279.32</b>

Maintain Existing Infrastructure*								
HVAC, Electrical and Plumbing Upgrades	5.05	3.11	5.05	19.86	9.56	5.49	5.89	40.80
Fire and Security Alarm Systems	-	0.54	-	3.64	1.80	2.92	2.92	11.27
General Repair Projects	10.00	5.51	10.00	18.96	8.80	7.81	25.07	60.64
Elevator and Escalator Repairs and Replacement	0.25	0.30	0.25	0.26	0.26	0.27	0.28	1.07
Restroom Improvements	-	0.19	-	0.26	0.26	0.27	0.28	1.07
Technology Infrastructure	1.00	1.29	1.00	3.43	3.12	3.24	4.50	14.29
Restoration of the Historic Courthouse	1.00	0.25	1.00	3.90	1.69	1.75	1.82	9.17
<b>Subtotal</b>	<b>17.30</b>	<b>11.19</b>	<b>17.30</b>	<b>50.31</b>	<b>25.49</b>	<b>21.76</b>	<b>40.76</b>	<b>138.31</b>

<b>Total</b>	<b>138.37</b>	<b>59.69</b>	<b>58.90</b>	<b>128.75</b>	<b>68.72</b>	<b>43.68</b>	<b>176.48</b>	<b>417.63</b>
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**\*NOTE:** Maintain Existing Infrastructure amounts listed under "PY-1 and earlier" and "2022 and beyond" represent one year of funding.

## **Introduction: D.C. Courts Fiscal Year 2019 Capital Budget Request**

The District of Columbia Courts (D.C. Courts) process over 100,000 cases each year and employ a staff of approximately 1,300 who directly serve the public, process court cases, and provide administrative support. To meet these demands effectively, the D.C. Courts' facilities must be both functional and emblematic of its public significance and character. The FY 2019 Capital Budget Request seeks to address these issues comprehensively.

The D.C. 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. Our capital funding requirements must address five court buildings (four of which are 85-130 years old), covering three city blocks with significant maintenance and infrastructure needs.

The D.C. Courts differ from the U.S. Federal Courts in the following critical ways:

1. The Superior Court is a court of original jurisdiction for all civil and criminal matters within the District of Columbia. The D.C. Superior Court has a broader caseload and must accommodate special litigants, such as children, whose cases do not come under the jurisdiction of the Federal Courts. The Superior Court functions not housed in Federal Courts include Family Court (such as child abuse and neglect, marriages, divorces, child support, child custody, adoptions, mental health proceedings, and juvenile cases, holding areas, and probation services), Domestic Violence, Probate, and Small Claims and Landlord Tenant Courts. The Superior Court also houses a high-volume arraignment court, large cellblock areas for 200 to 300 prisoners, and a sizeable contingent of U.S. Marshals, as well as representatives of various municipal agencies that work with the criminal justice system.
2. D.C. Superior Court courtrooms and judge's chambers are considerably smaller than those of Federal District Courts. Facility plans show that the D.C. Courts use nearly 160,000 occupiable square feet (OSF) less space compared to the Federal Court standards. Trial courtrooms in the H. Carl Moultrie Courthouse are up to 44% smaller than the size of a standard Federal District courtroom. In fact, of the 62 existing courtrooms in the H. Carl Moultrie Courthouse, 57 are 44% smaller than their federal counterparts.

In preparing the FY 2019 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 in FY 2019 supports critical priority goals that are aligned with the National Strategy for the Efficient Use of Real Property that was released by OMB in March of 2015. This funding request supports improved utilization of space in our courthouses, consolidation and co-location of vital business functions, and cost effective use of owned properties rather than continued use of high-cost and less secure leased space. The capital projects in this request directly support the need to address (1) dynamic space requirements, including the Family Court consolidation as mandated by Congress; (2) essential public health and safety conditions in busy, visitor-centric buildings, such as the H. Carl Moultrie Courthouse

that accommodates more than 10,000 visitors per day; and (3) efficient capital investments that increase building resiliency, lead to enhanced building sustainability, and avoid substantially increased costs caused by phasing. Capital projects are administered according to industry leading practices.

The D.C. Courts currently maintain 1.2 million gross square feet (GSF) of space within five buildings in Judiciary Square: the Historic Courthouse at 430 E Street N.W.; the H. Carl 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 most recent addition to the portfolio is 410 E Street N.W. that was transferred to the D.C. Courts by the D.C. Government. In 2012, the D.C. Courts completed a full renovation to make the building code compliant while modernizing the building to create a more flexible and highly functional workplace. This LEED Gold-certified building has since been fully occupied, and is an example of the D.C. Courts' ability to maximize return on taxpayer investments.

The D.C. Courts have dedicated significant time and resources to enhance and support the administration of justice, as well as create and maintain a healthy and safe environment within both public and workplace settings. The recent completion of capital projects that will be detailed throughout this narrative—planned within the framework of the Judiciary Square and D.C. Courts Facilities Master Plans, and the District of Columbia Courts Facilities Condition Assessment—has demonstrated the D.C. Courts exemplary stewardship of public funds. These projects fulfill safety, security, accessibility, and energy efficiency goals while proactively addressing the needs of the public served at the court buildings. In addition, the D.C. Courts are committed to providing economic opportunities for the local community by utilizing small business entities to complete planned capital and infrastructure projects.

### **Historic Judiciary Square**

The D.C. Courts are primarily located in the Judiciary Square, with some satellite offices and field units in other locations. The historical and architectural significance of the Judiciary Square lends dignity to the important business conducted by the D.C. 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 at 430 E Street N.W.—the centerpiece of the square—to preserve the character not only of the building, but also of the 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 5<sup>th</sup> (Building A), 510 4<sup>th</sup> (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 the Judiciary Square. The Moultrie Courthouse, although not historic, is also located along the view corridor and through similar form and materials reinforces the symmetry of 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 with subsequent amendments in April 2011 and in June 2014.

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 historic green spaces in the District of Columbia awaiting revitalization. The Master Plan incorporates civic green space and new pedestrian paths to create a campus-like environment that is fully integrated into the growing residential community. Judiciary Square continues to become a place where citizens can feel safe and secure at any hour, day or night; whether on campus conducting court business or travelling to nearby destinations.

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 through co-location and consolidation into lower cost owned facilities. 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 enhancements to create and maintain a healthy and safe 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 required 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.

### **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 Justifications, 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. The D.C. Courts continue to protect the taxpayer's investment by proactively monitoring the impact of construction activities in the surrounding square to mitigate risks to the building.

### 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 24 magistrate judges in the trial court, as well as the steady increase in the number of judges seeking senior status and more than 1,300 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.

### 515 5th Street N.W (Building A)

The 515 5th Street Building, dating from the 1930's, has been renovated and currently houses the Probate Division, Crime Victims Compensation Program, 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.

### 510 4th Street N.W. (Building B)

The 510 4th Street Building, also dating from the 1930s, 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, and Capital Projects and Facilities Management from leased space.

### 410 E Street N.W. (Building C)

The 410 E Street 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.

#### 616 H Street N.W. (Leased Space at Gallery Place)

The D.C. Courts currently lease office space at Gallery Place to meet the space needs of support divisions who could not be accommodated in court buildings located in Judiciary Square. Leasing office space at Gallery Place has enabled the D.C. Courts to complete a number of projects envisioned in the D.C. Courts' Facilities Master Plan and to begin construction of the much-needed Moultrie Courthouse Addition project that will add approximately 175,000 gross square feet of space to the D.C. Courts facilities portfolio.

### **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 the Historic Courthouse, 410 E Street (Building C), the U.S.M.S. Administrative and Adult Holding areas, and are renovating space on the C Level of the Moultrie Courthouse.

The Moultrie Courthouse Addition represents the majority of the funding request for the FY 2019 budget. Previous funding for this project has supported design and the start of construction. The D.C. Courts have responded to partial funding in FY 2015, FY 2016, and FY 2017 by phasing the project into the following activities:

- Entire foundation completed in March 2015
- Construction design documents completed and construction permits received in April 2015
- Supporting security infrastructure project—upgraded and expanded security control center—design completed in 2016 and currently under construction
- Supporting HVAC, electrical and IT infrastructure projects (electrical upgrades, utility relocations, cabling clean-up and re-routing, and cooling tower replacement) completed in 2016

- Interior reconfiguration and relocations, including the renovation of northwest portion of the floor on the C level, and the renovation and reconfiguration of courtrooms on the second floor completed in 2016

In response to partial funding, construction of the Moultrie Courthouse Addition has been divided into two (2) phases—Phase 2A (the western half of the addition) and 2B (the eastern half of the addition). Currently, Phase 2A is well underway with all steel framing in place, all floor decking complete and building close-in anticipated in 2017. Full funding in FY 2019 will allow the Courts to complete the project (phase 2B) without further additional phasing activities that result in costly disruptions.

The Renovation and Reorganization and Courtrooms and Chambers projects have not received funding for the last four years. This has required prioritization of a series of interdependent projects that must be completed as part of the Moultrie Courthouse Addition. These include security systems upgrades and expansion of the Security Control Center, the C-Level Interior Improvements, and the Second and 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 landlords 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, the foundation, and commenced construction on the western portion of the Moultrie Courthouse Addition. 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, 20 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 are now approaching the vision of the Family Court Act of 2001 with the Moultrie Courthouse Addition. The C Level Northwest Renovation, a major precursor project to the Addition, is now under construction. 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*

As part of the Moultrie Courthouse Addition, a portion of the second floor courtrooms has been renovated. Due to budget constraints, the courtroom and judges chambers projects have been deferred.

### *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 1970s, 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.

### *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 as well as replaced the cooling towers to support the Moultrie Courthouse Addition. This multiyear installation is complete to include 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 the 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 2019**

As the D.C. Courts progress through implementation of the Judiciary Square and D.C. Courts' Facilities Master Plans and the D.C. Courts' Facilities Conditions Assessment Report, the older buildings owned by the D.C. Courts 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, continuing upgrades to the Moultrie Courthouse, the D.C. Courts' largest building by far, will be the D.C. Courts' main priority and will require the most capital investment.

The Moultrie Courthouse Addition project, now underway, addresses a current space shortfall with the provision of an additional 175,000 gross square feet of space. The Moultrie Courthouse Addition will contain six trial courtrooms that meet standards for criminal proceedings, twenty judicial chambers, and office space for various D.C. Courts personnel. The scope of the project also includes a significant amount of site-work, landscaping, street-work, and perimeter security

that will advance completion of the Judiciary Square Master Plan and improve pedestrian safety, accessibility and security in the Judiciary Square. More specifically, the project scope includes replacement of underground utilities, a new curb line, bio-retention tree pits, entry drives and handicap ramps, stationary and pop up vehicle security barriers and an exterior security monitoring and access system. Completion of the Moultrie Courthouse Addition project will also fulfill the Family Court mandate once the Family Court Social Services Division and all other Family Court personnel are co-located on the John Marshall and first floor levels of the Moultrie Courthouse.

The D.C. Courts have completed planned renovations with minimal disruption to the D.C. Courts operations, as the D.C. Courts are committed to maintaining continuity of court operations during construction activities.

### **Exhibit 300: Capital Asset Plan and Business Case Summary**

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 detailed in the Judiciary Square and D.C. Courts' Facilities Master Plans. The second section includes projects necessary to maintain existing infrastructure in the D.C. Courts facilities as detailed in the D.C. Courts Facilities Conditions Assessment Report. Projects have been divided into phases to the extent practicable.

The D.C. Courts' FY 2019 Full Capital Budget Request totals \$128.75 million—including \$78.4 million to renovate, improve and expand the D.C. Court facilities and grounds, and \$50.31 million to maintain the D.C. Courts' existing facilities and surrounding public space. Capital Budget needs are detailed in the D.C. Courts' comprehensive 10 year Facilities Master Plan and long-term Facilities Conditions Assessment Report.

### **Renovations, Improvements & Expansions**

#### *Moultrie Courthouse Addition*

The D.C. Courts prioritize continued life safety, accessibility, security and infrastructure upgrades to the H. Carl Moultrie Courthouse, and continued building maintenance. Therefore, a significant portion of the FY 2019 Full Capital Budget Request, or \$27.06 million, is requested to complete the Moultrie Courthouse Addition—resulting in the addition of 175,000 gross square feet of much needed space to the H. Carl Moultrie Courthouse.

#### *Trial Court Case Management System*

The Superior Court case management system has reached the end of its expected life and is becoming increasingly difficult and costly to maintain. The case management system is the foundation of court operations—fundamental to fair and timely case resolution and is required to ensure public trust and confidence in the justice system. The Courts' budget request includes \$16.1 million to replace the system with a web-based system to enhance case processing, judicial decision-making, and public access to court information and to leverage new technology, such as cloud computing.



### *Migration from Gallery Place*

The D.C. Courts also prioritize the relocation of all court operations and personnel from leased space at Gallery Place to D.C. Courts' buildings at 515 5<sup>th</sup> Street N.W. and 510 4<sup>th</sup> Street N.W. This relocation is essential to reducing dependency on high-cost leasing and provides efficient management of the D.C. Courts' property portfolio.

As a result, another significant portion of the FY 2019 Capital Budget Request, \$21.40 million, is requested to complete the interior renovation and re-configuration of space in court buildings at 510 4<sup>th</sup> Street N.W. and 515 5<sup>th</sup> Street N.W. to accommodate all D.C. Courts' personnel from the Budget and Finance, Administrative Services and Capital Projects and Facilities Management divisions and the Office of the Auditor Master migrating out of Gallery Place.

The migration from leased space at Gallery Place, as detailed in the D.C. Courts' Facilities Master Plan, is inextricably linked to the Moultrie Courthouse Addition as follows: upon completion of the Moultrie Courthouse Addition, the Family Court Social Services Division at 510 4<sup>th</sup> Street will be relocated to the Moultrie Courthouse as mandated by the Family Court Act of 2001, and the Supervised Visitation Center at 515 5<sup>th</sup> Street will move to the Moultrie Courthouse. At that point, the vacated space at 510 4<sup>th</sup> Street and 515 5<sup>th</sup> Street that will house the migrating personnel will be available for renovation. The funds requested include all design, hazardous materials abatement, construction and infrastructure upgrades and renewals required per the D.C. Courts' Facilities Condition Assessment to complete total interior renovation and re-configuration of these two buildings. Funds required to relocate all personnel from Gallery Place to their permanent locations at 510 4<sup>th</sup> Street N.W. and 515 5<sup>th</sup> Street N.W. are also included in the request. This approach results in long-term cost savings as the Courts will no longer require leased space to house the support operations.

### *Courtrooms and Judges' Chambers*

The D.C. Courts are requesting \$4.97 million for the Courtrooms and Judges Chambers renovation, a multi-year renovation of the D.C. Courts' inventory of courtrooms and chambers. During construction of the Moultrie Courthouse Addition, the D.C. Courts plan to take two courtrooms offline at a time to complete renovations. Upon the delivery of new courtrooms included in the Moultrie Courthouse Addition, the D.C. Courts plan to accelerate the courtroom renovation schedule.

### *Northeast Garage*

The remaining \$8.91 million of the request is for the Northeast Garage project and will be used to procure the pre-design and design services required to construct an underground parking garage on the northeast corner of the historic Judiciary Square, as detailed in the Judiciary Square Master Plan and supported by the U.S. Commission of Fine Arts and the National Capital Planning Commission. This underground parking garage will provide the following benefits: (1) provide secure parking for judges and D.C. Courts' staff, (2) replace existing surface parking with green space—returning the historic Judiciary Square to a park-like setting for public enjoyment, (3) enable efficiency in U.S. Marshals Service (USMS) operations by providing more controlled, secured parking in a single location connecting to D.C. Court facilities, and (4) reduce dependency on leased parking space at Gallery Place and leased parking used by the USMS.

## **Maintain Existing Infrastructure**

The FY 2019 Full Capital Budget also includes a request for \$50.31 million to address some needed building maintenance and infrastructure upgrades. Significant public resources have been expended over the past decade to modernize the D.C. Courts' older buildings. According to the D.C. Courts' Facilities Conditions Assessment, mechanical systems and structural repairs are necessary to ensure the safety of building occupants and to preserve the integrity of these historic structures. The D.C. Courts request \$19.86 million for the HVAC, Electrical, and Plumbing Upgrades to continue to upgrade electrical systems in the H. Carl Moultrie Courthouse and replace HVAC equipment as components reach the end of their useful life throughout the campus. The \$3.64 million requested for Fire and Security Alarm Systems will finance a sprinkler system for the H. Carl Moultrie Courthouse as part of the ongoing fire sprinkler installation program for the building. In addition, \$18.96 million is requested for General Repair Projects to (1) continue accessibility and safety improvements, (2) continue replacement of fixtures, lighting, flooring, and ceiling tiles, and (3) continue replacement of equipment, as required, or due to emergency failure. To keep elevators and escalators in good working order, \$260,000 is requested. A total of \$260,000 is requested for Restroom Improvements to maintain public restrooms in the H. Carl Moultrie Courthouse. In the area of technology, the D.C. Courts are requesting \$3.43 million to provide resilient and responsive technology that will result in the highest level of service to the public. Three major areas where this technology request will be focused are (1) the development of mobile applications (Access to Information to ensure access to justice and fair and timely case resolution), (2) cloud computing, workspace virtualization and network infrastructure enhancements (Enhancing Technology Capabilities to promote operational effectiveness by seeking innovative technology solutions), and (3) ongoing security enhancements (Information Security that protects court information and assets from cyber threats and other risks). Finally, \$3.9 million is requested for maintenance of the Historic Courthouse, to protect the public investment in the renovated building delivered 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 2017
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

**Moultrie Courthouse Addition**

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 FY 2019?  
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2019 should not select O&M)

Planning	_____
Full Acquisition	_____ <u>X</u> _____
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:

In November 2013, the D.C. Courts completed their D.C. Courts Facilities Master Plan Update documenting system-wide space needs and addressing alternatives for meeting these needs. A primary goal in the plan is to fully consolidate the Family Court, build upon the work completed as part of the John Marshall Level Interim Renovation, and meet court-wide space needs. The Moultrie Courthouse Addition will double the number of large criminal courtrooms in the courthouse and accommodate both high profile and multi-defendant trials. The proposed addition will be on the south side, facing C Street. To date, Congress has made a significant investment to support the construction of the Moultrie Courthouse addition. The foundation of the addition was completed in March of 2015, and several prerequisites and interdependent projects are underway, including C Level Interior Improvements, Public Rest Rooms and the Security Control Center. The D.C. Courts began construction on the H. Carl Moultrie Courthouse above ground project in March of 2016.

As identified in the D.C. Courts Facilities Master Plan, the Moultrie Courthouse Addition provides a cost-effective solution for a variety of space requirements with a primary focus on

Furthermore, the addition will replace high-cost leased space at Gallery Place, while also increasing the number of trial courtrooms, chambers, and more efficient office space. The interior design of the new office space will add workplace flexibility and increase densification. This project will also enable Family Court Consolidation by allowing Family Court Social Services Division's juvenile probation functions that are currently in Building B to be relocated into the H. Carl Moultrie Courthouse with the Family Court.

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)

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according to FAC-PMPM or DAWIA  
criteria as qualified for this investment.

(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

<b>Table 1.B.1: Summary of Funding</b> (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	<b>PY-1 and earlier</b>	<b>PY 2017</b>	<b>CY 2018</b>	<b>BY 2019</b>	<b>BY+1 2020</b>	<b>BY+2 2021</b>	<b>BY+3 2022 and beyond</b>	<b>Total unfunded</b> <i>(sum 2019 – beyond)</i>
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	111.92	48.00	41.60	27.06	0.00	0.00	0.00	27.06
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	111.92	48.00	41.60	27.06	0.00	0.00	0.00	27.06
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):	111.92	48.00	41.60	27.06	0.00	0.00	0.00	27.06
TOTAL (including FTE costs)	111.92	48.00	41.60	27.06	0.00	0.00	0.00	27.06
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

1. Insert the number of years covered in the column “PY-1 and earlier” 7 (2010, 2011, 2012, 2013, 2014, 2015, 2016)
2. Insert the number of years covered in column “BY+3 and beyond” N/A
3. If the summary of funding has changed from the FY 2018 President’s Budget request, briefly explain those changes: Partially funded in FY 2015, FY 2016, FY 2017 and FY 2018 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](http://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](http://www.usaspending.gov) and all Solicitation IDs entries match with FedBizOpps at [www.fbo.gov](http://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
<b>Short description of acquisition</b>	2014- C Street Addition Phase 2A	2017 – Control Room Phases 1 & 2	2017 - New Public Restrooms
<b>Contract Status</b>	Awarded	Awarded	Awarded
<b>Procurement Instrument Identifier (PIID)</b>			
<b>Indefinite Delivery Vehicle (IDV) Reference ID</b>	N/A	N/A	N/A
<b>Solicitation ID</b>	CPFMD-15-0603	CPFMD-16- 0613	CPFMD-15-0603
<b>Alternative financing</b>	N/A	N/A	N/A
<b>EVM Required</b>	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
<b>Ultimate Contract Value</b>	N/A	N/A	N/A
<b>Type of Contract/Task Order (Pricing)</b>	Fixed	Fixed	Fixed
<b>Is this contract a Performance Based Service Acquisition (PBSA)?</b>	No	No	No
<b>Effective Date</b>	Quarter 1 FY 2015	Quarter 1 FY 2017	Quarter 3 FY 2017
<b>Actual or expected end date of Contract/Task Order</b>	Quarter 4 FY 2018	Quarter 3 FY 2018	Quarter 2 FY 2018
<b>Extent Competed</b> (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	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 N/A No \_\_\_\_\_
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes N/A 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 Facilities Master Plan 2002, 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 H. Carl 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 H. Carl 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.

<b>Table III.C.1: Performance Information Table</b>				
<b>Fiscal Year</b>	<b>Strategic Goal(s) Supported</b>	<b>Performance Baseline</b>	<b>Performance Goals</b>	<b>Action Results</b>
D.C. Courts Strategic Plan 2013-2017	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
D.C. Courts Strategic Plan 2013-2017	Goal 4, B1: Sound Infrastructure	Facilities underserved	Complying with current building code.	N/A
D.C. Courts Strategic Plan 2013-2017	Goal 4A: Sound Infrastructure	Facilities have late 1970's technology	Improved judicial control of technologies in the courtroom	N/A
D.C. Courts Strategic Plan 2013-2017	Goal 4C1: Sound Infrastructure & Safe Environment	Grade level air intake	Roof level air intake	N/A
D.C. Courts Strategic Plan 2013-2017	Goal 4: Sound Infrastructure	N/A	LEED® Certification for the Addition	N/A
D.C. Courts Strategic Plan 2013-2017	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 – C Street Addition 2A Construction

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$M		\$52.49
Planned Value (PV)	\$M		\$15.49
Earned Value (EV)	\$M		\$15.49
Actual Costs (AC)	\$M		\$17.20
Cost Variance (CV)	\$M	$CV = EV - AC$	-1.7
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	-11%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	0.90
Schedule Variance (SV)	\$M	$SV = EV - PV$	\$-
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	0%
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.0
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$58.28
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$(5.79)
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	-11%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	30%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	33%
Estimated Completion Date	Date	mm/dd/yy	9/1/2018

## Section D: Earned Value Management – Control Room Phase 1 & 2

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$M		\$2.70
Planned Value (PV)	\$M		\$1.38
Earned Value (EV)	\$M		\$1.38
Actual Costs (AC)	\$M		\$1.54
Cost Variance (CV)	\$M	$CV = EV - AC$	-0.2
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	-12%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	0.90
Schedule Variance (SV)	\$M	$SV = EV - PV$	\$-
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	0%
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.0

Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$3.01
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$(0.31)
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	-12%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	51%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	57%
Estimated Completion Date	Date	mm/dd/yy	8/6/2018

## Section D: Earned Value Management – Moultrie 2<sup>nd</sup> Floor West Renovation

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$M		\$10.66
Planned Value (PV)	\$M		\$10.00
Earned Value (EV)	\$M		\$10.00
Actual Costs (AC)	\$M		\$10.38
Cost Variance (CV)	\$M	$CV = EV - AC$	-0.38
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	-0.04%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	0.96
Schedule Variance (SV)	\$M	$SV = EV - PV$	0.00
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	0.00
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.00
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$11.07
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	(0.41)
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	-0.04
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	0.94
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	0.97
Estimated Completion Date	Date	mm/dd/yy	8/4/2017

### 1. Explanations:

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 2017
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

**Trial Court 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 FY2019?  
(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 Trial Court 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. Scarce technical resources cause delays in implementing needed system changes that impact the efficiency and effectiveness of court 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 Courts with a current technology platform that utilizes newer cost-saving technologies, such as cloud computing and allows 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).

The migration to a web-based application will result in several benefits, including 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 web-based solution provides cross platform compatibility with the leading web browsers and operating systems, increases manageability of system updating and maintenance, and provides ease of web access deployment allowing wider access to court information. The new system will enhance the security of court data by providing another layer of security and lower costs due to the use of a simplified architecture, which streamlines the implementation of system modifications.

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 Courts 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
- Enhance the management of court operations
- Enable better-informed decision making

#### Access to Justice

- Improve support to litigants
- Reduce barriers to access
- Enable easy access from any location at any time

#### Ensuring a Strong Infrastructure

- Increase information sharing within the Courts and among justice partners
- Advance information technology interoperability with justice agency partners
- Enable more rapid dissemination of court orders

In conclusion, this Trial Court Case Management System will provide the Courts with access to current and future technologies that support the fair and timely administration of justice.

- 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      Yes ☐      No ☐



request

b) Provide the date of the most recent or planned approved project charter

X  
N/A New Initiative

10. a) Contact information of Project Manager?

Name	<u>Yuan Burns</u>
Phone Number	<u>202-879-0028</u>
E-mail	<u><a href="mailto:Yuan.Burns@dcsc.gov">Yuan.Burns@dcsc.gov</a></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><a href="mailto:Anne.Wicks@dcsc.gov">Anne.Wicks@dcsc.gov</a></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.    | <u>ITIL Expert</u> |
| (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.     | <u></u>            |
| (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. | <u></u>            |
| (4) Project manager assigned but qualification status review has not yet started.                                   | <u></u>            |
| (5) No project manager has yet been assigned to this investment.  | <u></u>            |

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)   | <u></u> |
| ii. System acronym   | <u></u> |
| iii. Unique Project Identifier (UPI) number  | <u></u> |
| 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;  | <u></u> |
| ○ internal control system requirement;   | <u></u> |
| ○ core financial system requirement according to FSIO standards;   | <u></u> |
| ○ Federal accounting standard;   | <u></u> |
| ○ U.S. Government Standard General Ledger at the Transaction Level;  | <u></u> |
| ○ this is a core financial system, but does not address a FFMIA compliance area;   | <u></u> |
| ○ Not a core financial system; does not need to comply with FFMIA  | <u></u> |

**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: Trial Court Case Management System

<b>Table 1.B.1: Summary of Funding</b> (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	<b>PY-1 and earlier</b>	<b>PY 2017</b>	<b>CY 2018</b>	<b>BY 2019</b>	<b>BY+1 2020</b>	<b>BY+2 2021</b>	<b>BY+3 2022 and beyond</b>	<b>Total unfunded</b> <i>(sum 2019 – beyond)</i>
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.50	0.00	16.10	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	0.50	0.00	16.10	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):	0.00	0.50	0.00	16.10	0.00	0.00	0.00	0.00
TOTAL (including FTE costs)	0.00	0.50	0.00	16.10	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”  
0 year
3. Insert the number of years covered in column “BY+3 and beyond”  
3 years (2022)
4. 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)

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](http://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](http://www.usaspending.gov) and all Solicitation IDs entries match with FedBizOpps at [www.fbo.gov](http://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 <a href="http://www.usaspending.gov/learn?tab=FAQ#2">www.usaspending.gov/learn?tab=FAQ#2</a>	N/A		
Contract Status	(1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation	Pre-solicitation		

<b>Procurement Instrument Identifier (PIID)</b>	See <a href="http://www.usaspending.gov/learn?tab=FAQ#2">www.usaspending.gov/learn?tab=FAQ#2</a>	N/A		
<b>Indefinite Delivery Vehicle (IDV) Reference ID</b>	Required only for IDVs. See <a href="http://www.usaspending.gov/learn?tab=FAQ#2">www.usaspending.gov/learn?tab=FAQ#2</a>	N/A		
<b>Solicitation ID</b>	See <a href="http://www.fbo.gov">www.fbo.gov</a>	TBD		
<b>Alternative financing</b>	(ESPC, UESC, EUL or N/A)	No		
<b>EVM Required</b>	Y/N	Y		
<b>Ultimate Contract Value</b>	Total Value of Contract including base and all options. Complete using dollars to two decimal places.	N/A		
<b>Type of Contract/Task Order (Pricing)</b>	See <a href="#">FAR Part 16</a> . Can be fixed price, cost, cost plus, incentive, IDV, time and materials, etc	Fixed Price		
<b>Is this contract a Performance Based Service Acquisition (PBSA)?</b>	Y/N Indicates whether the contract is a PBSA as defined by <a href="#">FAR 37.601</a> . A PBSA describes the requirements in terms of results rather than the methods of performance of the work.	Y		
<b>Effective Date</b>	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 FY2019		
<b>Actual or expected end date of Contract/Task Order</b>	MM/DD/YYYY	Quarter 1 FY2021		
<b>Extent Competed</b>	(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:
- |   |                    |
|---|--------------------|
| Yes _____   | No <u>  X  </u>    |
| 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?  | <u>  N/A  </u>     |
| 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.  
04/28/2015

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. 05/2017

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			

### 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.

<b>Table I.E.1a. Performance Metric Attributes</b>	
<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)	

<b>Table 1.E.1.b. Performance Metric Targets and Results</b>				
Agency Measurement Identifier				
Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Date Actuals Last Updated (auto populated)
2017				
2018				
2019				
2020				

<b>Part III: Non-IT Capital Investments</b>
<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 2017
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

**Migration from Gallery Place**

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 FY 2019?  
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2019 should not select O&M)

Planning	_____
Full Acquisition	_____ <b>X</b> _____
Operations and Maintenance	_____
Mixed Life Cycle	_____

7. What was the first budget year this investment was submitted to OMB? FY 2018
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 D.C. Courts prioritizes the relocation of all current D.C. Courts operations and personnel from leased space at Gallery Place to space in the D.C. Courts-owned building at 515 5<sup>th</sup> Street N.W., as this relocation is essential to reducing dependency on high-cost leasing and proves efficient management of the D.C. Courts'-owned property portfolio. As a result, another significant portion of the FY 2019 Capital Budget Request (\$21.77 million on the Migration of Gallery Place budget line) is requested for the completion of interior renovation and re-configuration of space on two floors of the building to accommodate all D.C. Courts personnel migrating from Gallery Place to 515 5<sup>th</sup> Street N.W. D.C. Courts personnel to be relocated include the Budget and Finance, Administrative Services and Capital Projects and Facilities Management Divisions and the Office of the Auditor Master.

The migration from Gallery Place, as detailed in the D.C. Courts Facilities Master Plan, is inextricability linked to the Moultrie Courthouse Addition as follows: upon completion of the Moultrie Courthouse Addition, Family Court Social Services Division at 510 4th Street NW will

be relocated to the H. Carl Moultrie Courthouse as per the mandate of the Family Court Act of 2001 and the vacated space at 510 4th Street N.W. and 515 5<sup>th</sup> Street N.W. that will house the migrating personnel will be available for renovation. This approach results in significant cost savings to the Government, simultaneously addressing maintenance backlog and end-of-life system replacements, while preparing the space for new tenant occupancy.

The total funds requested includes design, hazardous materials abatement, construction and relocation activities required to complete total interior renovation and re-configuration of space on two floors of the building to include infrastructure upgrades and renewals required per the D.C. Courts FCA.

- 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    No     
       X  
 b) Provide the date of the most recent or planned approved project charter 2007

10. a) Contact information of Project Manager?

Name	Judith Hill
Phone Number	202-879-2871
E-mail	Judith.Hill@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.    | <u>CCM Accreditation</u> |
| (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: Migration from Gallery Place

<b>Table 1.B.1: Summary of Funding</b> <b>(In millions of dollars)</b> (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	<b>PY-1 and earlier</b>	<b>PY 2017</b>	<b>CY 2018</b>	<b>BY 2019</b>	<b>BY+1 2020</b>	<b>BY+2 2021</b>	<b>BY+3 2022 and beyond</b>	<b>Total unfunded</b> <i>(sum 2019 – beyond)</i>
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	21.40	0.00	0.00	0.00	21.40
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	21.40	0.00	0.00	0.00	21.40
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	21.40	0.00	0.00	0.00	21.40
TOTAL (including FTE costs)	0.00	0.00	0.00	21.40	0.00	0.00	0.00	21.40
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” N/A
3. Insert the number of years covered in column “BY+3 and beyond” N/A
4. If the summary of funding has changed from the FY 2018 President’s Budget request, briefly explain those changes: New Request.

### 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](http://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](http://www.usaspending.gov) and all Solicitation IDs entries match with FedBizOpps at [www.fbo.gov](http://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	2019- Design		
Contract Status	Pre-Award Pre-Solicitation		
Procurement Instrument Identifier (PIID)	TBD		
Indefinite Delivery Vehicle (IDV) Reference ID	N/A		
Solicitation ID	TBD		
Alternative financing	No		
EVM Required	N/A		
Ultimate Contract Value	Estimate 4.3M		
Type of Contract/Task Order (Pricing)	Fixed		
Is this contract a Performance Based Service Acquisition (PBSA)?	No		
Effective Date	Quarter 3 FY 2019		
Actual or expected end date of Contract/Task Order	Quarter 3 FY 2020		

<b>Extent Competed</b> (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 N/A No \_\_\_\_\_

f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?

Yes N/A 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 Facilities Master Plan 2002, updated in 2013

- 
2. If an Alternatives Analysis was conducted, answer the following questions.
- |   |   |
|---|---|
| a) What is the date of the analysis?  | <u>May, 2009</u>  |
| b) How many alternatives were considered?   | <u>Two</u>  |
| c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? | <u>Yes</u>  |
| d) Briefly summarize the rationale for the selected alternative.                      | <u>Migration of personnel was planned to align with the ongoing D.C. Courts Facilities Master Plan implementation</u> |
- 
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?   | <u></u> |
| b) Does the plan include a list of risks (yes/no)                                  | <u></u> |
| c) Does the plan include the probability of occurrence for each risk (yes/no)?     | <u></u> |
| d) Does the plan include the impact of each risk (yes/no)?                         | <u></u> |
| e) Does the plan include a mitigation strategy for each risk (yes/no)?             | <u></u> |
| f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? | <u></u> |
- 
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
D.C. Courts Strategic Plan 2013-2017	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 D.C. Courts-owned 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 %)	%	$VAC\% = VAC / BAC$	
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 D.C. Courts Facilities Condition Assessment (FCA)
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 2017
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 FY 2019?  
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2019 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 and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

With FY 2019 funds, the D.C. Courts plans to begin renovating its inventory of courtrooms and chambers via a multi-year renewal program. During construction of the Moultrie Courthouse Addition, two courtrooms will be taken offline at a time for renovation. After completion of the Moultrie Addition, courtrooms will be added to the overall inventory and the D.C. Courts will accelerate renovations.

The project will include the following: (1) renovate judges' chambers to meet current ADA and D.C. 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.

Courtroom and Chamber activities will require coordination with activities included under HVAC, Electrical & Plumbing Upgrades and Fire and Security Alarm Systems budget lines. As the Courts continue to implement the D.C. Courts Facilities Master Plan renovations, the design and construction process will allow for extensive building system and life safety upgrades. Addressing courtroom upgrades 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.

- 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

9. a) Contact information of Project Manager?

Name

Judith Hill

Phone Number	202-879-2871
E-mail	Judith.Hill@dcsc.gov

b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name	
Phone Number	
E-mail	

10. 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.

CCM Accreditation

(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.

11. 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):

o computer system security requirement;

o internal control system requirement;

o core financial system requirement according to FSIO standards;

o Federal accounting standard;

o U.S. Government Standard General Ledger at the Transaction Level;

o this is a core financial system, but does not address a FFMIA compliance area;

o 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

<b>Table 1.B.1: Summary of Funding</b> <b>(In millions of dollars)</b> (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	<b>PY-1 and earlier</b>	<b>PY 2017</b>	<b>CY 2018</b>	<b>BY 2019</b>	<b>BY+1 2020</b>	<b>BY+2 2021</b>	<b>BY+3 2022 and beyond</b>	<b>Total unfunded</b> <i>(sum 2019 – beyond)</i>
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	9.15	0.00	0.00	4.97	7.24	21.92	135.72	169.85
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	4.97	7.24	21.92	135.72	169.85
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	4.97	7.24	21.92	135.72	169.85
TOTAL (including FTE costs)	9.15	0.00	0.00	4.97	7.24	21.92	135.72	169.85
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”   | 20 years (1999) |
| 3. Insert the number of years covered in column “BY+3 and beyond”  | 3 years (2022)  |
| 4. If the summary of funding has changed from the FY 2018 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](http://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](http://www.usaspending.gov) and all Solicitation IDs entries match with FedBizOpps at [www.fbo.gov](http://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
<b>Short description of acquisition</b>	2011-1 New Courtrooms PreDesign/Design	
<b>Contract Status</b>	Awarded	
<b>Procurement Instrument Identifier (PIID)</b>	TBD	
<b>Indefinite Delivery Vehicle (IDV) Reference ID</b>	N/A	
<b>Solicitation ID</b>	TBD	
<b>Alternative financing</b>	N/A	
<b>EVM Required</b>	N/A	
<b>Ultimate Contract Value</b>	N/A	
<b>Type of Contract/Task Order (Pricing)</b>	Fixed	
<b>Is this contract a Performance Based Service Acquisition (PBSA)?</b>	No	
<b>Effective Date</b>	Quarter 2 FY 2019	
<b>Actual or expected end date of Contract/Task Order</b>	Quarter 3 FY 2020	
<b>Extent Competed</b> 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	No X
Yes	No
Yes	No
Yes	No
Yes	No
Yes	No

<b>Part II: IT Capital Investments</b>
<i>Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations &amp; Maintenance, and Multi-Agency IT Collaborations.</i>

**Not Applicable.**

<b>Part III: Non-IT Capital Investments</b>
<i>Part II should be completed only for Non- IT capital investment.</i>

### 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 Facilities Master Plan 2002, 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. The planned renovation of Courtrooms and Judges Chambers Project was selected to align with the ongoing D.C. Courts Facilities 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
D.C. Courts Strategic Plan 2013-2017	Goal 4C1: Sound Infrastructure & Safe Environment	1. Existing Chambers have had no major renovation in 15 years. 2. Existing courtrooms have had no major electrical upgrades and improvements to public spectator areas. 3. Public is underserved due to shortage of courtrooms.	1. Create and renovate chambers per the D.C. Courts Facilities Master Plan. 2. Renovate courtrooms per D.C. Courts Facilities Master Plan. 3. Create new courtrooms per D.C. Courts Facilities Master Plan.	New chambers on the fifth floor, new courtroom on the fourth floor and renovated courtrooms on the second 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?  
Yes, the D.C. Courts FCA
  - If an Operational Analysis was performed within the last 18 months, answer the following questions:  
a) What was the date of the analysis  
Baseline established in March 2013, validation annually  
b) Briefly summarize the results of the analysis
  - 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 2017
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 FY 2019?  
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2019 should not select O&M)

Planning	<u>  X  </u>
Full Acquisition	<u>          </u>
Operations and Maintenance	<u>          </u>
Mixed Life Cycle	<u>          </u>

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 Building A, on the west side of the building, and adjacent to Building B, on the east side of the building. In addition, D.C. Courts parking requirement at Gallery Place will shift back to the campus with the Migration from Gallery Place. 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 (USMS) 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 leased parking and street parking required by USMS. It will enhance operational efficiency for USMS and return street parking to the public.

Funding is requested in FY2019 to procure the pre-design and design services required to construct an underground parking garage on the northeast corner of the historic Judiciary Square, as detailed in the Judiciary Square Master Plan.

9. a) Did the Agency's Executive/Investment Committee approve this request Yes \_ No \_\_\_\_  
X
- b) Provide the date of the most recent or planned approved project charter 2009

Name	Judith Hill
Phone Number	202-879-2871
E-mail	Judith.Hill@dcsc.gov

Name \_\_\_\_\_  
Phone Number \_\_\_\_\_  
E-mail \_\_\_\_\_

(6) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.

## CCM Accreditation

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iv. Financial management system name(s)

v. System acronym

vi. Unique Project Identifier (UPI) number

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(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)**

2. 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

<b>Table 1.B.1: Summary of Funding</b> <b>(In millions of dollars)</b> (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	<b>PY-1 and earlier</b>	<b>PY 2017</b>	<b>CY 2018</b>	<b>BY 2019</b>	<b>BY+1 2020</b>	<b>BY+2 2021</b>	<b>BY+3 2022 and beyond</b>	<b>Total unfunded</b> <i>(sum 2019 – beyond)</i>
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	8.91	36.00	0.00	0.00	44.91
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	8.91	36.00	0.00	0.00	44.91
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	8.91	36.00	0.00	0.00	44.91
TOTAL (including FTE costs)	0.00	0.00	0.00	8.91	36.00	0.00	0.00	44.91
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”  
N/A
2. Insert the number of years covered in column “BY+3 and beyond”  
2 (2020)
3. If the summary of funding has changed from the FY 2018 President’s Budget request, briefly explain those changes:  
No Change

## 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](http://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](http://www.usaspending.gov) and all Solicitation IDs entries match with FedBizOpps at [www.fbo.gov](http://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	2018 -1 Northeast Garage Pre-Design	2019 -2 Northeast Garage Design	2019 -3 Northeast Garage Construction
Contract Status	Pre-award	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 2 FY 2019	Quarter 1 FY 2020	Quarter 4 FY 2020
Actual or expected end date of Contract/Task Order	Quarter 4 FY 2019	Quarter 3 FY 2020	Quarter 1 FY 2021
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	E	E	A

under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			
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3. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: \_\_\_\_\_
4. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes X No \_\_\_\_\_
- h) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No \_\_\_\_\_
- i) Was the Acquisition Plan approved in accordance with agency requirements Yes X No \_\_\_\_\_
- j) If "yes," enter the date of approval? 2011
- k) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes N/A No \_\_\_\_\_
- l) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes N/A No \_\_\_\_\_
- m) 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

4. Was an Alternatives Analysis conducted Yes, Judiciary Square Master Plan (yes/no)? \_\_\_\_\_
5. If an Alternatives Analysis was conducted, answer the following questions.
- e) What is the date of the analysis? August 2005 (Revised July 2011)

f) How many alternatives were considered?	Two
g) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	Yes
h) 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
6. 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.

4. Has a Risk Management Plan been developed (yes/no)?	No
5. If a Risk Management Plan has been developed, answer the following questions.	
g) What is the date of the plan?	
h) Does the plan include a list of risks (yes/no)	
i) Does the plan include the probability of occurrence for each risk (yes/no)?	
j) Does the plan include the impact of each risk (yes/no)?	
k) Does the plan include a mitigation strategy for each risk (yes/no)?	
l) Does the plan include activity managing risk throughout the lifecycle (yes/no)?	
6. 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

### 2. 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.

<b>Table III.C.1: Performance Information Table</b>				
<b>Fiscal Year</b>	<b>Strategic Goal(s) Supported</b>	<b>Performance Baseline</b>	<b>Performance Goals</b>	<b>Action Results</b>
D.C. Courts Strategic Plan 2013-2017	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

<b>Table III.D.1:EVM Table</b>			
<b>Performance Measure</b>	<b>Units</b>	<b>Formula</b>	<b>Status</b>
Budget at Completion (BA)	\$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	

2. Explanations:

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.

5. Has an Operational Analysis been performed within the last 18 months? No
6. If an Operational Analysis was performed within the last 18 months, answer the following questions:
  - c) What was the date of the analysis
  - d) Briefly summarize the results of the analysis
7. 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.
8. 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

2. 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 2017
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 FY 2019?  
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2019 should not select O&M)

Planning	_____
Full Acquisition	_____ <b>X</b> _____
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:

- Fire protection sprinklers for approximately 85% of the H. Carl Moultrie Courthouse office space and non-public circulation space;
- New electrical switchgear and emergency generators;
- New Cooling Towers at H. Carl Moultrie Courthouse.



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

<b>Table 1.B.1: Summary of Funding</b> <b>(In millions of dollars)</b> (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	<b>PY-1 and earlier</b>	<b>PY 2017</b>	<b>CY 2018</b>	<b>BY 2019</b>	<b>BY+1 2020</b>	<b>BY+2 2021</b>	<b>BY+3 2022 and beyond</b>	<b>Total unfunded</b> <i>(sum 2019 – beyond)</i>
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	5.05	3.11	5.05	19.86	9.56	5.49	5.89	40.80
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	5.05	3.11	5.05	19.86	9.56	5.49	5.89	40.80
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):	5.05	3.11	5.05	19.86	9.56	5.49	5.89	40.80
TOTAL (including FTE costs)	5.05	3.11	5.05	19.86	9.56	5.49	5.89	40.80
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 (2016)

3. Insert the number of years covered in column “BY+3 and beyond”

1 year (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)

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](http://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](http://www.usaspending.gov) and all Solicitation IDs entries match with FedBizOpps at [www.fbo.gov](http://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   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
D.C. Courts Strategic Plan 2013-2017	Goal 4C1: Sound Infrastructure & Safe Environment	Building is currently served by 35 year old switchgear,	Bring switchgear and main power distribution up to	In progress.

		transformers, etc.	current code requirements	
D.C. Courts Strategic Plan 2013-2017	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

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$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:

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 D.C. Courts FCA
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 established in 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 2017
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

**B. 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 FY 2019?  
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2019 should not select O&M)

Planning	_____
Full Acquisition	<u>  X  </u>
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 D.C. Court buildings. In March 2013, the D.C. Courts 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 D.C. Courts FCA.

The security systems upgrades and expansion of the Security Control Center is underway and 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 Security Control Center at capacity. The resulting expansion of the Security Control Center will accommodate

In FY 2019 the project will include the following:

- As the Courts continue to implement the D.C Courts 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 D.C. Courts. Future year Fire and Security Alarm System upgrades will require coordination with activities included under the Renovation and Reorganization and Courtrooms and Judges Chambers budget lines.

9. a) Did the Agency's Executive/Investment Committee approve this request Yes    No     
 b) Provide the date of the most recent or planned approved project charter   X   2004

- |              |                      |
|--------------|----------------------|
| Name         | Judith Hill          |
| Phone Number | 202-879-2871         |
| E-mail       | Judith.Hill@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. | CCM Accreditation |
| (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

<b>Table 1.B.1: Summary of Funding</b> (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	<b>PY-1 and earlier</b>	<b>PY 2017</b>	<b>CY 2018</b>	<b>BY 2019</b>	<b>BY+1 2020</b>	<b>BY+2 2021</b>	<b>BY+3 2022 and beyond</b>	<b>Total unfund ed</b> <i>(sum 2019 -beyond)</i>
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.54	0.00	3.64	1.80	2.92	2.92	11.27
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.54	0.00	3.64	1.80	2.92	2.92	11.27
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	0.54	0.00	3.64	1.80	2.92	2.92	11.27
TOTAL (including FTE costs)	0.00	0.54	0.00	3.64	1.80	2.92	2.92	11.27
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 (2016)

3. Insert the number of years covered in column “BY+3 and beyond” 1 year (2022)

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](http://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](http://www.usaspending.gov) and all Solicitation IDs entries match with FedBizOpps at [www.fbo.gov](http://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	2016-Fire Alarm Replacement	
Contract Status	Awarded	Awarded	
Procurement Instrument Identifier (PIID)	CO 0013953	10329715P0741	
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	

<b>Solicitation ID</b>	TBD		
<b>Alternative financing</b>	No	No	
<b>EVM Required</b>	YES, Courts' Standard	YES, Courts' Standard	
<b>Ultimate Contract Value</b>	\$300,000.00	\$349,628.00	
<b>Type of Contract/Task Order (Pricing)</b>	Fixed	Fixed	
<b>Is this contract a Performance Based Service Acquisition (PBSA)?</b>	No	No	
<b>Effective Date</b>	Quarter 2 FY 2014	Quarter2 FY 2016	
<b>Actual or expected end date of Contract/Task Order</b>	Quarter 1 FY 2018	Quarter1 FY 2018	
<b>Extent Competed</b> (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

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?

Yes X No \_\_\_\_\_  
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
D.C. Courts Strategic Plan 2013-2017	Goal 4C1: Sound Infrastructure & Safe Environment	No existing sprinkler system.	Installation of a sprinkler system throughout the H. Carl Moultrie Courthouse.	In progress.
D.C. Courts Strategic Plan 2013-2017	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 %)	%	$VASC\% = VAC / BAC$	
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 D.C. Courts FCA
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 established in March 2013, validated 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 2017
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

**C. 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 FY 2019?  
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2019 should not select O&M)

Planning	_____
Full Acquisition	<u>  X  </u>
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 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 H. Carl 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 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 D.C. Courts FCA.

The General Repair Projects for FY 2019 will include both exterior and interior projects:



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: General Repair Projects

<b>Table 1.B.1: Summary of Funding</b> <b>(In millions of dollars)</b> (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	<b>PY-1 and earlier</b>	<b>PY 2017</b>	<b>CY 2018</b>	<b>BY 2019</b>	<b>BY+1 2020</b>	<b>BY+2 2021</b>	<b>BY+3 2022 and beyond</b>	<b>Total unfund ed</b> <i>(sum 2019 -beyond)</i>
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	10.00	5.51	10.00	18.96	8.80	7.81	25.07	60.64
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	10.00	5.51	10.00	18.96	8.80	7.81	25.07	60.64
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):	10.00	5.51	10.00	18.96	8.80	7.81	25.07	60.64

TOTAL (including FTE costs)	10.00	5.51	10.00	18.96	8.80	7.81	25.07	60.64
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 (2016)

3. Insert the number of years covered in column “BY+3 and beyond”

1 year (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](http://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](http://www.usaspending.gov) and all Solicitation IDs entries match with FedBizOpps at [www.fbo.gov](http://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)			

<b>Is this contract a Performance Based Service Acquisition (PBSA)?</b>			
<b>Effective Date</b>			
<b>Actual or expected end date of Contract/Task Order</b>			
<b>Extent Competed</b> (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   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
D.C. Courts Strategic Plan 2013-2017	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 %)	%	$VAC\% = VAC / BAC$	
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 D.C. Courts FCA
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 established in March 2013, validated 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 2017
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 FY 2019?  
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2019 should not select O&M)

Planning	_____
Full Acquisition	_____
Operations and Maintenance	<u>  X  </u>
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 Elevator and Escalator Repairs and Replacement Project has rebuilt the majority of nearly all the 35-year-old escalator equipment in the H. Carl 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 H. Carl Moultrie Courthouse, there are public elevators and escalators, secure elevators for judges, freight elevators and prisoner elevators. The H. Carl 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 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.

Projects completed with recent funding include:

- Refurbished Adult Holding Cellblock, Prisoner Transport elevators.
- Rebuilt Hydraulic Elevator pit at the Historic Court of Appeals Building

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 \_ No \_\_\_\_  
 b) Provide the date of the most recent or planned approved project charter X 1999

10. a) Contact information of Project Manager?

Name	Judith Hill
Phone Number	202-879-2871
E-mail	Judith.Hill@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. CCM Accreditation

(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: Elevator and Escalator Repairs and Replacement

<b>Table 1.B.1: Summary of Funding</b> <b>(In millions of dollars)</b> (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	<b>PY-1 and earlier</b>	<b>PY 2017</b>	<b>CY 2018</b>	<b>BY 2019</b>	<b>BY+1 2020</b>	<b>BY+2 2021</b>	<b>BY+3 2022 and beyond</b>	<b>Total unfunded</b> <i>(sum 2019 – beyond)</i>
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:	0.25	0.30	0.25	0.26	0.52	0.27	0.28	1.07
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)	0.25	0.30	0.25	0.26	0.52	0.27	0.28	1.07
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.25	0.30	0.25	0.26	0.52	0.27	0.28	1.07
TOTAL (including FTE costs)	0.25	0.30	0.25	0.26	0.52	0.27	0.28	1.07
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 (2016)

3. Insert the number of years covered in column “BY+3 and beyond”

1 year (2022)

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 D.C. Courts 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](http://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](http://www.usaspending.gov) and all Solicitation IDs entries match with FedBizOpps at [www.fbo.gov](http://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 1	Contract 2
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 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 N/A No \_\_\_\_\_

f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?

Yes N/A 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
D.C. Courts Strategic Plan 2013-2017	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 Yes, Elevator and Escalator Maintenance Audit

performed within the last 18 months?

and the

D.C. Courts FCA

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 baseline established in March 2013, validated annually

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 2017
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 FY 2018?  
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2017 should not select O&M)

Planning	_____
Full Acquisition	<u>  X  </u>
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.
3. Construct new restrooms on the Indiana Avenue Level, Second Floor and Third Floor, bringing the total count up to code and replacing the number of fixtures lost during ADA upgrades;



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 and allow for proper interface with the Moultrie Courthouse Addition. Addressing program re-alignment and building infrastructure simultaneously will minimize operational impacts to the Courts. Future year Restroom Improvement activities will require coordination with activities included under the Renovation and Reorganization budget line.

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

- |              |                      |
|--------------|----------------------|
| Name         | Judith Hill          |
| Phone Number | 202-879-2871         |
| E-mail       | Judith.Hill@dcsc.gov |

- Name \_\_\_\_\_  
Phone Number \_\_\_\_\_  
E-mail \_\_\_\_\_

- |  |                          |
|--|--------------------------|
| <p>(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.</p>    | <p>CCM Accreditation</p> |
| <p>(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.</p>     |                          |
| <p>(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.</p> |                          |

(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: Restroom Improvements

<b>Table 1.B.1: Summary of Funding</b> <b>(In millions of dollars)</b> (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	<b>PY-1 and earlier</b>	<b>PY 2017</b>	<b>CY 2018</b>	<b>BY 2019</b>	<b>BY+1 2020</b>	<b>BY+2 2021</b>	<b>BY+3 2022 and beyond</b>	<b>Total unfunded</b> <i>(sum 2019 – beyond)</i>
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	0.26	0.26	0.27	0.28	1.07
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.19	0.00	0.26	0.26	0.27	0.28	1.07
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	0.19	0.00	0.26	0.26	0.27	0.28	1.07
TOTAL (including FTE	0.00	0.19	0.00	0.26	0.26	0.27	0.28	1.07

costs)								
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 (2016)

3. Insert the number of years covered in column “BY+3 and beyond”

1 year (2022)

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

Partially funded in FY 2015 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](http://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](http://www.usaspending.gov) and all Solicitation IDs entries match with FedBizOpps at [www.fbo.gov](http://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 -Design	2010-02 Exhaust System Repair/Replacement	
Contract Status	Pre-award Pre-Solicitation	Complete	
Procurement Instrument Identifier (PIID)	CPFMD-15-0123	CO 0014887	
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	
Solicitation ID	CPFMD-15-0123	NA	
Alternative financing	No	No	
EVM Required	No	YES, Courts’ Standard	
Ultimate Contract Value	NA	\$250,000	
Type of Contract/Task Order	Fixed	Fixed	

<b>(Pricing)</b>			
<b>Is this contract a Performance Based Service Acquisition (PBSA)?</b>	No	No	
<b>Effective Date</b>	Quarter 2 FY 2016	Quarter 1 FY 2016	
<b>Actual or expected end date of Contract/Task Order</b>	Quarter 2 FY 2017	Quarter 2 FY 2016	
<b>Extent Competed</b> (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	

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
D.C. Courts Strategic Plan 2013-2017	Goal 4, B1: Sound Infrastructure	Currently functioning with a deficit of fixtures due to ADA renovations and a decrease in fixture count in the H. Carl Moultrie Courthouse.	New public restrooms on Indiana Avenue, second and third floors required to meet plumbing fixture count requirements.	Construction awarded.
D.C. Courts Strategic Plan 2013-2017	Goal 4C1: Sound Infrastructure & Safe Environment	Currently functioning with a deficit of fixtures due to ADA renovations and a decrease in fixture count in the H. Carl Moultrie Courthouse.	New public restrooms on Indiana Avenue, second and third floors required to meet plumbing fixture count requirements.	Construction awarded.

## Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$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 D.C Courts FCA
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 established in March 2013, validated annually
  - 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 2017
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 FY 2019?  
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2019 should not select O&M)

Planning	_____
Full Acquisition	_____ <b>X</b> _____
Operations and Maintenance	_____
Mixed Life Cycle	_____

7. What was the first budget year this investment was submitted to OMB? 2019
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 D.C. Courts is requesting \$3.43 million in support of the strategic goals of the organization, specifically, to provide resilient and responsive technology resulting in the highest level of service to the public. Three major areas where this technology request will be focused are (1) Access to information to ensure efficient access to justice, fair and timely case resolution through mobile applications that will provide court participants greater access to information and data. This initiative will additionally provide court personnel with the ability to utilize computer applications remotely. (2) Enhancing technology capabilities to promote operational effectiveness by seeking innovative technology solutions specifically cloud computing, workspace virtualization and network infrastructure enhancements. The implementation of these technologies will ensure compliance with federal requirements and internal standards and (3) Information security technologies that protects court information and assets from cyber threats and other risks both internal and external. The implementation of these technologies will provide effective prevention against attacks on information technology assets, ensure continuous uninterrupted service of court systems and allow for high availability of critical court applications in the event of an emergency.

Technology infrastructure in support of new building construction will require coordination with activities included under the D.C. Courts Facilities Master Plan. As the Courts continue to implement the D.C. Courts 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.

b) Provide the date of the most recent or planned approved project charter. 2014

9. 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.    | ITIL Expert |
| (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 <a href="#">core financial system</a> then select the primary FFMIA compliance area that this investment addresses (choose only one): |  |
| o computer system security requirement;  |  |
| o internal control system requirement;   |  |
| o core financial system requirement according to FSIO standards;   |  |
| o Federal accounting standard;   |  |
| o U.S. Government Standard General Ledger at the Transaction Level;  |  |
| o this is a core financial system, but does not address a FFMIA compliance area;   |  |
| o Not a core financial system; does not need to comply with <a href="#">FFMIA</a>  |  |

**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

<b>Table 1.B.1: Summary of Funding</b> <b>(In millions of dollars)</b> (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2017	CY 2018	BY 2019	BY+1 2020	BY+2 2021	BY+3 2022 and beyond	Total unfunded (sum 2019 –beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	1.00	1.29	1.00	3.43	3.12	3.24	4.50	14.29
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	1.00	1.29	1.00	3.43	3.12	3.24	4.50	14.29
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):	1.00	1.29	1.00	3.43	3.12	3.24	4.50	14.29
TOTAL (including FTE costs)	1.00	1.29	1.00	3.43	3.12	3.24	4.50	14.29
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.

- |   |                       |
|---|-----------------------|
| 2. Insert the number of years covered in the column “PY-1 and earlier”  | <u>1 year (2015)</u>  |
| 3. Insert the number of years covered in column “BY+3 and beyond”   | <u>4 years (2021)</u> |
| 4. If the summary of funding has changed from the FY 2015<br>President’s Budget request, briefly explain those changes: | <u>NA</u>             |

## 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](http://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](http://www.usaspending.gov) and all Solicitation IDs entries match with FedBizOpps at [www.fbo.gov](http://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 <a href="http://www.usaspending.gov/learn?tab=FAQ#2">www.usaspending.gov/learn?tab=FAQ#2</a>			
Contract Status	(1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation			
Procurement Instrument Identifier (PIID)	See <a href="http://www.usaspending.gov/learn?tab=FAQ#2">www.usaspending.gov/learn?tab=FAQ#2</a>			
Indefinite Delivery Vehicle (IDV) Reference ID	Required only for IDVs. See <a href="http://www.usaspending.gov/learn?tab=FAQ#2">www.usaspending.gov/learn?tab=FAQ#2</a>			
Solicitation ID	See <a href="http://www.fbo.gov">www.fbo.gov</a>			
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 <a href="#">FAR Part 16</a> . 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 <a href="#">FAR 37.601</a> . 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.			
<b>Actual or expected end date of Contract/Task Order</b>	MM/DD/YYYY			
<b>Extent Competed</b>	(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:

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
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.*

### 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.  
04/28/2015

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	Total Cost	Current Baseline (mm/dd/yyyy)	Percentages Complete
-------------------------	-----------	-----------	------------	-------------------------------	----------------------

		<b>Transition Plan Milestone Identifier (optional)</b>	<b>Planned Cost (\$M)</b>	<b>Actual Cost (\$M)</b>	<b>Planned Start Date</b>	<b>Actual Start Date</b>	<b>Planned Completion Date</b>	<b>Actual Completion Date</b>	<b>Planned Percent Complete</b>	<b>Actual Percent Complete</b>
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.

<b>Table II.C.1: Financial Management Systems</b>			
<b>System(s) Name</b>	<b>Systems Acronym</b>	<b>Type of Financial System</b>	<b>BY Funding</b>
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.

<b>Table II.D.1. Customer Table:</b>	
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.	
<b>Customer Agency</b>	<b>Joint exhibit approval date</b>
N/A	

Only Managing partners of Legacy E-Gov initiatives should complete the "Shared Services Providers" Table (Table II.C.2).



<b>Table II.D.2. Shared Service Providers</b>		
Only Managing partners of Legacy E-Gov initiatives should complete this table.		
<b>Shared Service Provider (Agency)</b>	<b>Shared Service Asset Title</b>	<b>Shared Service Provider Exhibit 53 UPI (BY 2011)</b>
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.

<b>Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):</b>							
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)							
<b>Partner Agency</b>	<b>Partner exhibit 53 UPI (BY 2012)</b>	<b>CY Monetary Contribution</b>	<b>CY "In-Kind" Contribution</b>	<b>CY Fee-for-Service</b>	<b>BY Monetary Contribution</b>	<b>BY "In-Kind" Contribution</b>	<b>BY Fee-for-Service</b>
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.

<b>Table II.D.4. Legacy Systems Being Replaced</b>		
<b>Name of the Legacy Investment of Systems</b>	<b>Current UPI</b>	<b>Date of the System Retirement</b>
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 Goal 4.2 within the D.C. Courts Strategic Plan 2013-2017, 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.

<b>Table I.E.1a. Performance Metric Attributes</b>	
<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)	

<b>Table 1.E.1.b. Performance Metric Targets and Results</b>				
<b>Agency Measurement Identifier</b>				
Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Date Actuals Last Updated (auto populated)
200x				
2010				
2011				
2012				

<b>Part III: Non-IT Capital Investments</b>
<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 2017
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

**Restoration of the 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 FY 2019?  
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2019 should not select O&M)

Planning	_____
Full Acquisition	_____
Operations and Maintenance	<u>  X  </u>
Mixed Life Cycle	_____

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 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 ongoing 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    No     
         X    
    b) Provide the date of the most recent or planned approved project charter   2011

10. a) Contact information of Project Manager?

Name	Judith Hill
Phone Number	202-879-2871
E-mail	Judith.Hill@dscs.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.    | CCM Accreditation |
| (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) | Description | Remarks |
|----|-------------------------------------|-------------|---------|
|    |                                     |             |         |

ii.	System acronym	<hr/>
iii.	Unique Project Identifier (UPI) number	<hr/>
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):	<hr/>
	○ computer system security requirement;	<hr/>
	○ internal control system requirement;	<hr/>
	○ core financial system requirement according to FSIO standards;	<hr/>
	○ Federal accounting standard;	<hr/>
	○ U.S. Government Standard General Ledger at the Transaction Level;	<hr/>
	○ this is a core financial system, but does not address a FFMIA compliance area;	<hr/>
	○ Not a core financial system; does not need to comply with FFMIA	<hr/>

**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

<b>Table 1.B.1: Summary of Funding</b> <b>(In millions of dollars)</b> (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	<b>PY-1 and earlier</b>	<b>PY 2017</b>	<b>CY 2018</b>	<b>BY 2019</b>	<b>BY+1 2020</b>	<b>BY+2 2021</b>	<b>BY+3 2022 and beyond</b>	<b>Total unfunded</b> <i>(sum 2019 – beyond)</i>
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:	1.00	0.25	1.00	3.90	1.69	1.75	1.82	9.17
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)	1.00	0.25	1.00	3.90	1.69	1.75	1.82	9.17
<b>TOTAL FTE Costs</b>	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>TOTAL (not including FTE costs):</b>	1.00	0.25	1.00	3.90	1.69	1.75	1.82	9.17
<b>TOTAL (including FTE costs)</b>	1.00	0.25	1.00	3.90	1.69	1.75	1.82	9.17
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”

1 year (2015)

3. Insert the number of years covered in column “BY+3 and beyond”

1 year (2021)

- 
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](http://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](http://www.usaspending.gov) and all Solicitation IDs entries match with FedBizOpps at [www.fbo.gov](http://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 %)	%	$VAC\% = VAC / BAC$	
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.

- Has an Operational Analysis been performed within the last 18 months? Yes, the D.C. Courts FCA
- If an Operational Analysis was performed within the last 18 months, answer the following questions:
  - What was the date of the analysis Baseline established in March 2013, validated annually
  - 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

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 2019 Budget Justification**  
**Grant-funded Activities and Reimbursements**

For Fiscal Year 2017, the District of Columbia Courts secured over \$3.6 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) improvements to the transmission of warrant information to the Metropolitan Police Department. The Courts currently receive funds through seven active grants secured from various Federal and local sources. Of these, three grants totaling approximately \$420,000 are scheduled to expire at the end of FY 2017. Table 1 lists the Courts' grants and reimbursement funding for Fiscal Years 2017 and projected through 2019, while Table 2 lists grants scheduled to expire at the end of FY 2017. 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) National Criminal History Improvement Program (NCHIP)**

- ***Joint Criminal History Improvement Program (MPD, CJCC and DCSC)*** U. S. Department of Justice,

To increase the quality and quantity of records shared with the FBI and improve information sharing locally by leveraging DCSC's current warrant/protection order data feed to include relevant information fields needed for submission to NCIC and NICS. The enhancement will be linked to the District's existing justice information sharing system and will feed into MPD's WALES system to accept the expanded electronic feeds and select the relevant information to be transmitted to the FBI.

## **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 2017 Actual	FY 2018 Estimate	FY 2019 Estimate
<b>I. FEDERAL GRANTS:</b>				
<b>Abused and Neglected Children</b>				
Court Improvement Program	U.S. Department of Health and Human Services	280*	280	280
<b>Crime Victims</b>				
Crime Victims Compensation Payments	U.S. Department of Justice	3,200	3,300	3,300
<b>Criminal Division/Technology</b>				
National Criminal History Improvement Program	U.S. Department of Justice,	20	176	--
<i>Subtotal, Federal Grants</i>		<b>3,500</b>	<b>3,756</b>	<b>3,580</b>
<b>II. D.C. FEDERAL BLOCK GRANTS:</b>				
<b>Domestic Violence</b>				
Supervised Child Visitation Center	U.S. Department of Health and Human Services	111	111	111
Domestic Violence Project	U.S. DOJ VAWA STOP Grants	38	38	38
<i>Subtotal, D.C. Federal Block Grants</i>		<b>149</b>	<b>149</b>	<b>149</b>
<b>GRANTS TOTAL</b>		<b>3,649</b>	<b>3,905</b>	<b>3,729</b>
<b>REIMBURSEMENTS:</b>				
Child Support Enforcement	D.C. Title IV-D Agency	986	986	986
Miscellaneous Reimbursements	Pretrial Services Agency	87	87	87
<b>REIMBURSEMENTS TOTAL</b>		<b>1,073</b>	<b>1,073</b>	<b>1,073</b>
<b>GRAND TOTAL</b>		<b>4,722</b>	<b>4,978</b>	<b>4,802</b>

\* Includes carry over funds from multiple awards with extended grant periods.

Table 2  
**DISTRICT OF COLUMBIA COURTS**  
**Grants that Expired in FY 2017**  
(\$ in thousands)

<b>Grant</b>	<b>Source</b>	<b>Grant Period (Includes Extensions)</b>	<b>Original Grant Award</b>
Domestic Violence Project	U.S. DOJ VAWA STOP Grants	Oct. 2016 – Sept. 2017	39
Court Improvement Program (FY16 includes three grants.)	U.S. Department of Health & Human Services	Oct. 2015 – Sept. 2017	270
Supervised Visitation	U.S. Department of Health and Human Services	Oct. 2016 – Sept. 2017	111
<b>Total</b>			<b>\$420</b>



**DISTRICT OF COLUMBIA COURTS**  
**FY 2019 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 ensuring that court programs and services effectively and efficiently serve the residents 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 2017:

**1. Superior Court Drug Intervention Program (SCDIP)**

In 2012, the Courts contracted with an independent research firm, NPC Research, to assess the effects of recommended enhancements to make the Superior Court Drug Intervention Program (SCDIP) more consistent with national drug court principles and evidence-based practices of a problem-solving court. Managed by the Pretrial Services Agency (PSA), SCDIP functions to reduce recidivism among defendants charged with misdemeanor and non-violent felony offenses, whose substance abuse or dependence heightens the risk of future re-arrest. In May 2015, a process evaluation was completed on the Superior Court Drug Intervention Program (SCDIP), concluding that significant changes had been made and that the program now conforms more with the 10 Key Components of drug courts and the best practices that research indicates are related to positive outcomes. In July 2016, NPC released a preliminary report that focused on short-term outcomes for participants during the up to two years following program completion. The report suggested that the program is succeeding. The final outcome evaluation, to 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, is expected September 2017.

**2. Child Protection Mediation Outcome Evaluation (CPM)**

The Child Protection Mediation program provides mediation services in child abuse and neglect cases originating from Family Court. Implemented as a pilot program in 1998, the program was finalized pursuant to Administrative Order 02-12 and has become a part of court operations. Although cases are initiated in Family Court, CPM is housed within the Superior Court's Multi-Door Dispute Resolution Division (Multi-Door) which is responsible for the program's maintenance, and establishes specific definitions, standards, policies and procedures for the operation of the program. Family Court oversees the processing of Domestic Relations, Adoption, Juvenile and Neglect, Paternity and Support, Mental Health and Mental Habilitation cases, the Counsel for Child Abuse and Neglect (responsible for the assignment of attorneys to all parties in cases of alleged child abuse and neglect), a Central Intake Center (that receives, reviews and processes complaints, petitions and subsequent filings for all branches of the Family Court and Self-Help Center), and also the Court Social Services Division which is the District of Columbia's juvenile probation department.

CPM is designed to provide a neutral confidential setting for parents suspected of child abuse and/or neglect to express their views about their case, with the advice of counsel, and to hear the views of other stakeholders, including the social worker, child's attorney, and the government about the issues involved in their case. An independent research firm, Resolution Systems Institute, was hired to conduct an outcome evaluation on the program. Expanding upon previous research studies conducted prior to the requirement that all abuse and neglect cases be referred to mediation, the evaluation will assess the effects and gauge the impact of mediation on abuse and neglect cases. Specifically, the evaluation will examine whether mediation is expediting case processing; improving permanency outcomes; creating time savings for the court, attorneys and social workers; and, enhancing parental engagement. The study, which commenced in September 2016, is scheduled to be completed in March 2018.

### **3. Civil Mediation Outcome Evaluation**

The Multi-Door Dispute Resolution Division (Multi-Door) of the Superior Court helps parties settle disputes through mediation and other types of appropriate dispute resolution (ADR), including arbitration, case evaluation and conciliation. The goals of a multi-door approach are to provide residents with easy access to justice, reduce delay, and provide links to related services, making more options available through which disputes can be resolved. Multi-Door assists parties to reach agreements that meet their interests, preserve relationships, and save time and money. The Civil ADR Branch of the Multi-Door Division handles cases in Civil Actions, Small Claims, Landlord & Tenant, Tax, Probate, and Housing Conditions Courts. The District of Columbia Courts has contracted with an independent research firm, Westat, Inc., to conduct an outcome evaluation of civil mediation cases, such as tort, breach of contract, wrongful termination, legal malpractice, etc., above the statutory limit. Currently mediations are mandatory and scheduled at the initial scheduling conference, which occurs typically 30-60 days after the defendant has filed an answer to the case and in advance of any pre-trial activities. The study will examine whether the timing of mediation has an impact on settlement rates and, if so, what is the optimal timing for mediation to increase cases. The 12-month study is scheduled to conclude in September 2017.

**DISTRICT OF COLUMBIA COURTS**  
**FY 2019 Budget Justification**  
**DEFENDER SERVICES**

<u>FY 2017 Enacted</u>	<u>FY 2018 Level</u>	<u>FY 2019 Request</u>	<u>Difference FY 2018/2019</u>
49,890,000	49,890,000	49,890,000	0

**Introduction**

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 charged in adult and juvenile criminal matters (including misdemeanor domestic violence).<sup>13</sup> The Counsel for Child Abuse and Neglect (CCAN) program provides the assistance of a court-appointed attorney in family proceedings (e.g. adoptions, child abuse or neglect, termination of parental rights) where the parent, guardian, or custodian of the child is indigent.<sup>14</sup> The Guardianship program provides for compensation to service providers in guardianship and protective proceedings for incapacitated adults.<sup>15</sup> The Defender Services account finances court-appointed attorneys and related services (e.g. transcripts of court proceedings; expert witness testimony; investigations; and genetic testing).

The District of Columbia is a leader in the nation in protecting citizen's due process rights and in preventing excessive confinement of the accused due to bail requirements that disproportionately impact low-income individuals. Quality legal representation is essential, and the public defenders in our city are considered among the best.

**Attorney Appointment**

The Courts establish a panel of attorneys who are eligible for appointment to these cases, following an extensive application and review process by a committee of judges. Attorneys are appointed by judges in individual cases, based on the needs of the individual and case (e.g. area of legal expertise required, language skills needed). In addition, under CCAN, some representation is provided on a contractual basis with the Children's Law Center, a non-profit organization. Payment vouchers are reviewed and approved by the judge presiding over the case and payments are processed by the Budget and Finance Division.

**Forecasting Costs and Enhancing Efficiency**

Forecasting the cost of Defender Services has historically proven difficult; accordingly, the Courts have taken steps over the past several years to control costs by enhancing operations and efficiency improvements. The difficulty arises from the nature of the account—costs vary with changes in the caseload, police and prosecution initiatives, and demographics in the community

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<sup>13</sup> See D.C. Code §11-2601 *et seq.*

<sup>14</sup> See D.C. Code §16-2304.

<sup>15</sup> See D.C. Code §21-2060.

and, in most cases, attorneys submit vouchers for payment at the conclusion of a case (often two or three years after assignment).

The Courts have implemented several operational changes that improved our ability to account for and project liabilities in the Defender Services account. For example, the Courts initiated the attorney panels to improve the quality of representation, also enhancing cost-efficiency. In addition, the Courts established guideline vouchers (a flat fee based on the number of hours typically required by a given case type), automated the voucher process, established duty attorneys to provide efficient representation in high-volume areas, and imposed stricter rules and requirements for participating attorneys and investigators. Among these requirements, the Court implemented a training and screening process for a CJA investigator panel, established requirements for panel attorneys to attend initial and continuing legal education offered by the Public Defender Service (PDS) and attorney associations, and adopted practice standards developed by committees including judges, PDS attorneys, private and non-profit practitioners, and court staff.

### **Caseload Data**

The following data provide details on the Defender Services caseload, including historical data for calendar year 2014 to 2017.

Chart 1 shows the number of cases in which representation was financed by the Defender Services account. For each year, the figure reflects the number of cases for which a voucher was generated in that year, including cases that were filed in prior years. For example, vouchers may be issued for post-trial matters or experts months or years after the case was filed. In addition, guardianship and CCAN cases tend to have lengthy durations, and vouchers are issued for payment on an annual basis.

Typically, guardianships are established to protect elderly persons no longer able to manage their affairs. During the court proceeding to determine whether a guardianship is needed, the elderly person is represented by court-appointed counsel and the judge receives a health report from a court-appointed medical provider. After these initial costs to the Defender Services account, the guardian manages the affairs of the incapacitated individual and petitions the Court for fees annually during the guardianship, usually the lifetime of the incapacitated person. This caseload is growing, with the aging of the population.

In child abuse and neglect cases, the initial proceedings determine the child's placement and involve attorneys and experts on the child's needs. Once the initial case is closed, the court continues to monitor the child's welfare while the child is in foster care, for example. The attorney and any experts are issued vouchers on an annual basis.

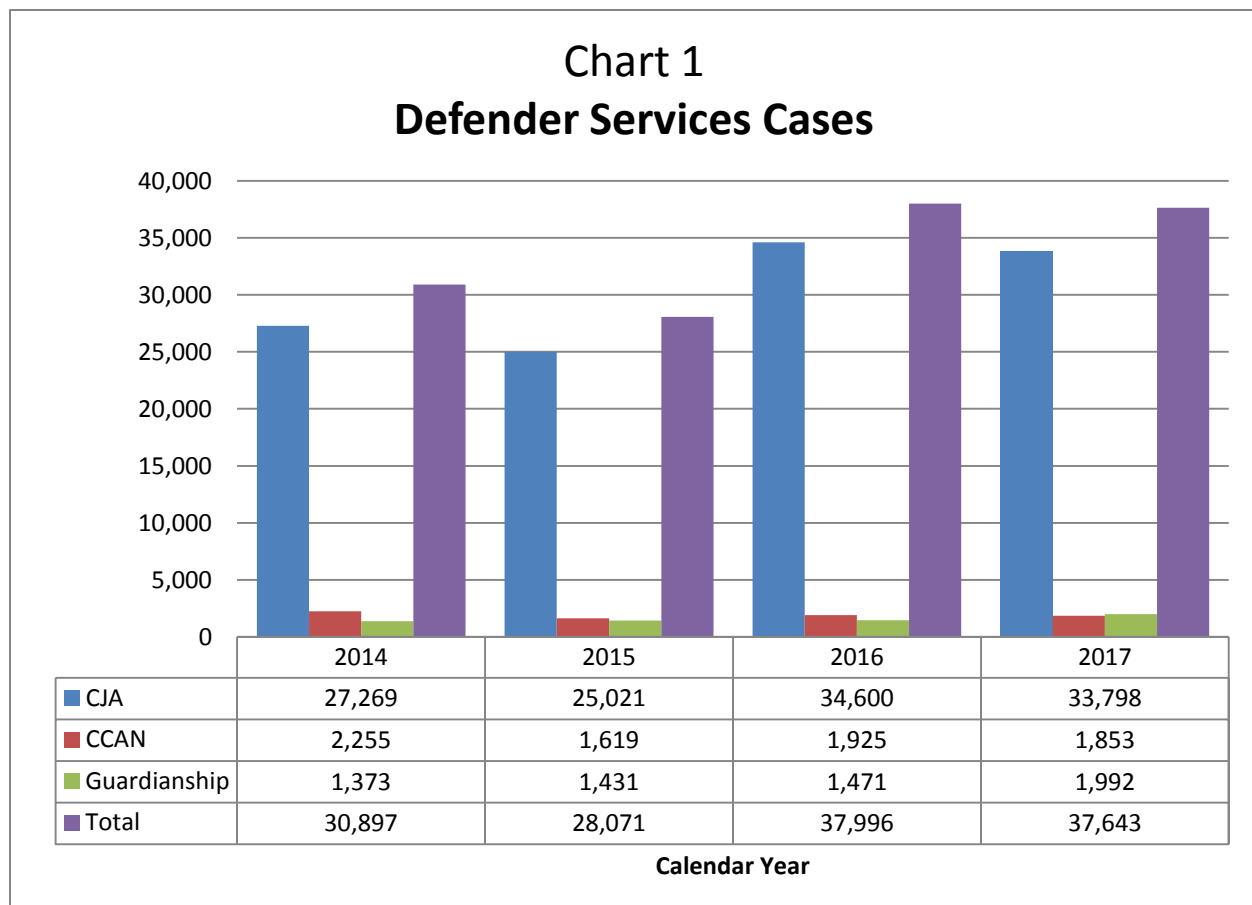
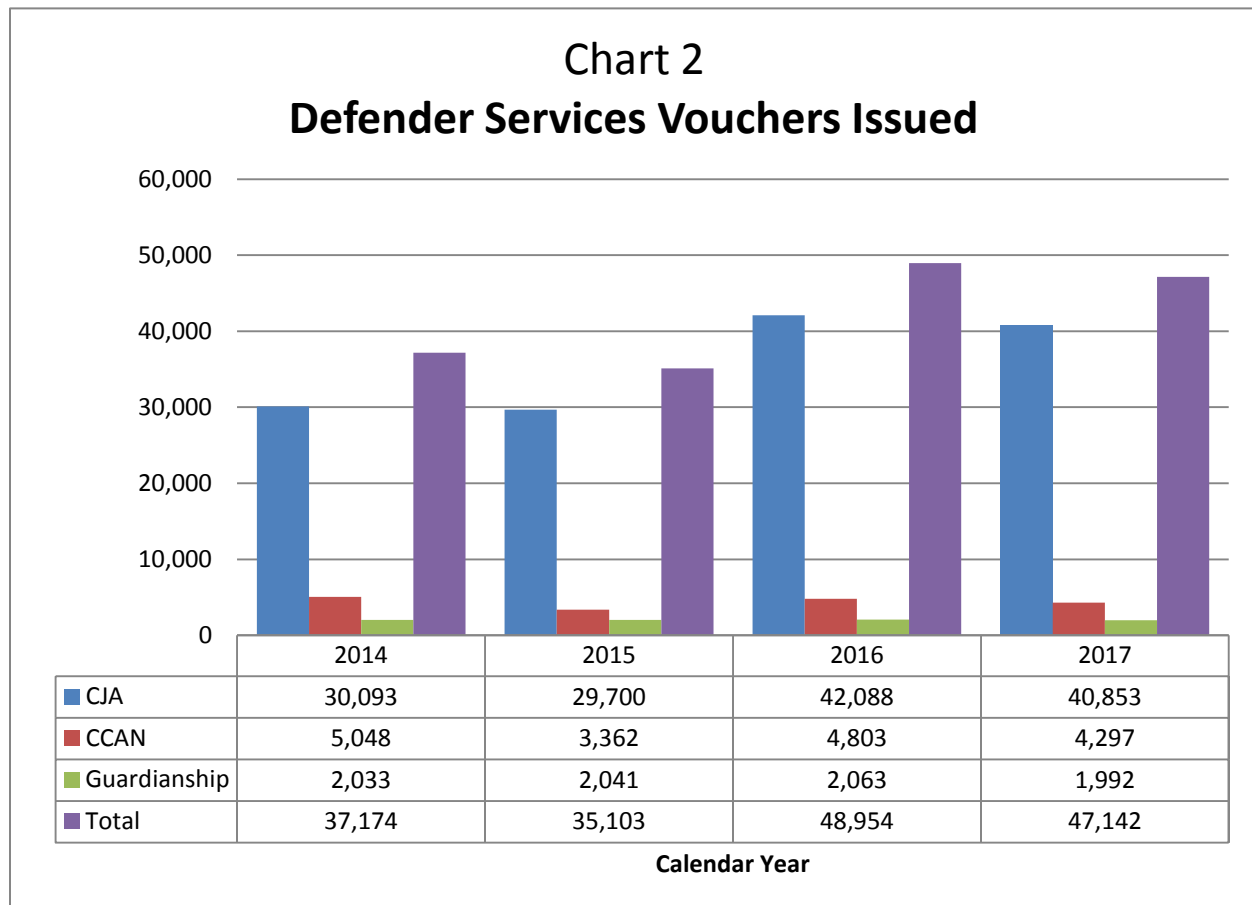


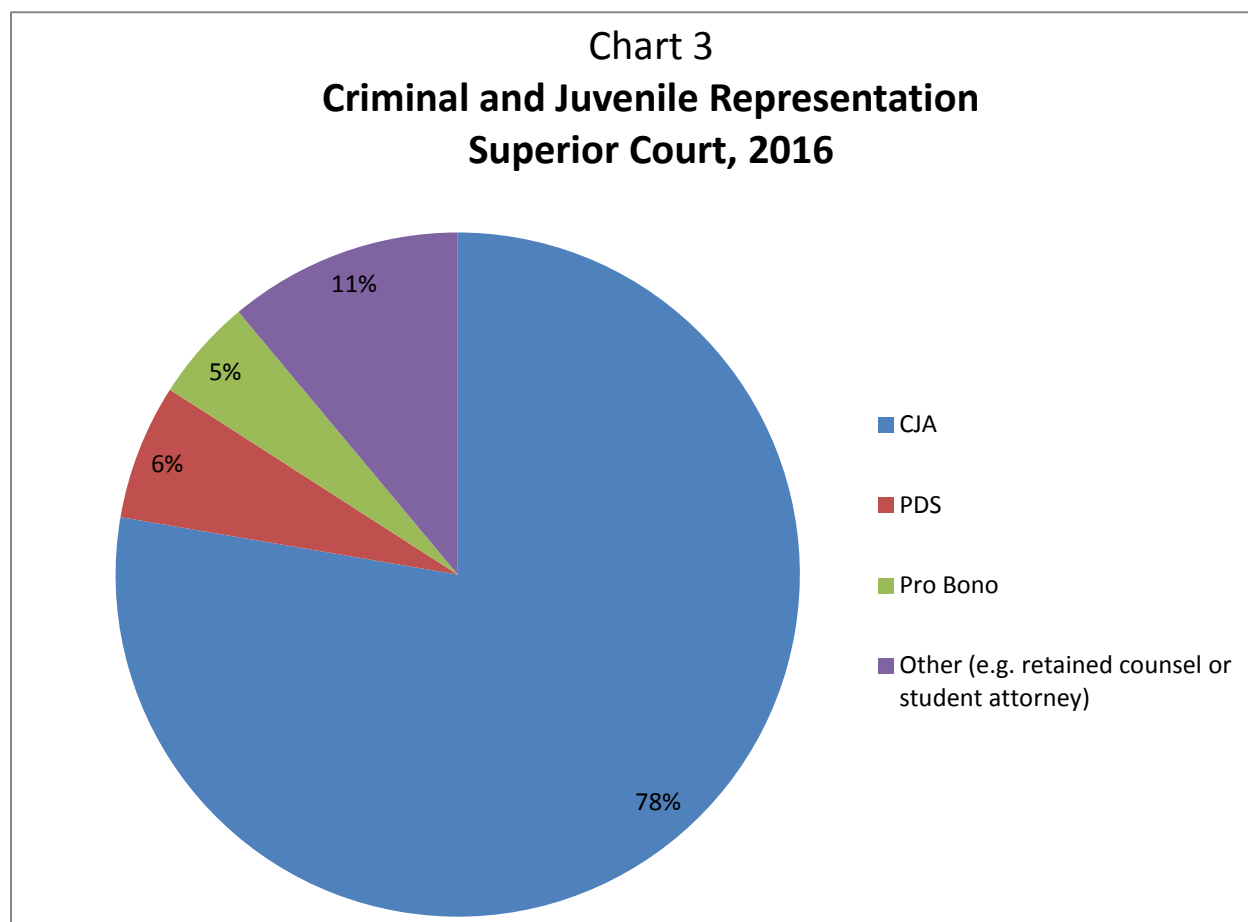
Chart 2 shows the number of vouchers issued each year, including the monthly invoices paid from the CCAN account to the non-profit contractor and Guardianship fee petitions. As is evident from the numbers, multiple vouchers are issued in many cases; these finance services of experts such as ballistics or DNA experts in criminal cases, educational advocates in CCAN cases, or medical experts in Guardianship cases, as well as the attorney or attorneys (in some cases, multiple attorneys may be appointed to one case, either to work as a team on a complex case or as a replacement for an attorney no longer able to represent the client).



As depicted in both charts, the caseload is variable. The number of cases supported by the Defender Services account decreased 9% from 2014 to 2015, followed by a 35% increase in 2016, and a 1% decrease in 2017. The number of vouchers issued similarly decreased by 6% from 2014 to 2015, increased by 39% in 2016, and decreased by 4% in 2017.

### **Who Provides Representation**

In the vast majority of criminal cases in the District of Columbia, CJA attorneys appointed by the Court represent the defendant. Attorneys employed by the Public Defender Service (PDS) typically represent defendants with the most difficult and complex cases, but take a very small percentage of the cases. Chart 3 shows the breakdown of representation in Superior Court criminal adult and juvenile cases (including adult criminal, fugitive, criminal domestic violence, civil protection order, criminal contempt, and criminal traffic cases and juvenile delinquency, persons in need of supervision, and interstate cases) to which attorneys were appointed in calendar year 2016.



### **FY 2019 Request**

The Courts request \$49,890,000 for Defender Services in FY 2019, the same as the FY 2018 Level.