

FY 2020 Budget Justification



District of Columbia Courts

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**District of Columbia Courts
FY 2020 Budget Justification
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DISTRICT OF COLUMBIA COURTS
Budget Justification
Summary
Fiscal Year 2020

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.

The D.C. Courts directly serve our community in many ways. The D.C. Courts are vital to public safety in the Nation's Capital as crucial elements in the adult criminal and juvenile justice systems, as well as the child welfare system and protections for vulnerable elderly persons. The Courts operate targeted courts that effectively 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 in our community as it is implemented.

To meet the Courts' mission of administering justice in the community, the D.C. Courts request \$349,807,000 for operations and capital improvements in FY 2020. Of this amount, \$15,232,000 is requested for the Court of Appeals operations; \$129,019,000 is requested for the Superior Court; and \$83,578,000 is requested for the Court System. For capital improvements to courthouse facilities \$121,980,000 is requested. In addition, the Courts request \$46,005,000 for the Defender Services account.

Table 1 shows the FY 2018 enacted budget, the FY 2019 enacted budget, and the FY 2020 request.

DISTRICT OF COLUMBIA COURTS
FY 2020 Budget Justification
Comparison Table

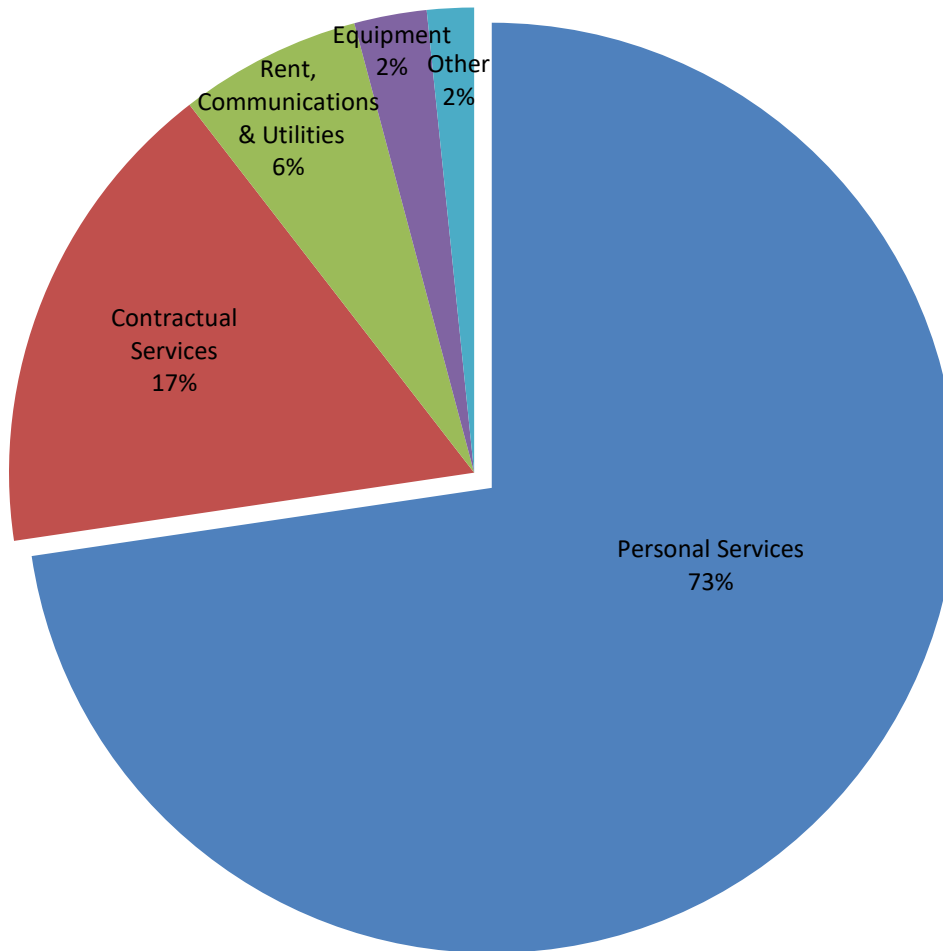
	FY 2018	FY 2019	FY 2020
	Enacted Budget	Enacted Budget	Courts' Budget Request
Court of Appeals	14,000,000	14,594,000	15,232,000
Superior Court	121,000,000	124,400,000	129,019,000
Court System	<u>71,500,000</u>	<u>74,400,000</u>	<u>83,578,000</u>
Subtotal, Operations	206,500,000	213,394,000	227,827,000
Capital	58,900,000	45,000,000	121,980,000
Total, Federal Payment	265,400,000	258,394,000	349,807,000
Defender Services	49,890,000	46,005,000	46,005,000

Summaries of the operating budget request by strategic goal, the capital request, and the defender services request follow under the FY 2020 Request Summary heading. Operating budget requests are described in detail in the respective division section, where detailed performance data for each division are also located. 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.

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.

Chart 2, at p.21, provides the organizational structure of the Courts and a budget submission summary is at Table 2, pp. 22-24.

Impact of Budget Reductions

In Fiscal Year 2018, the D.C. Courts' budget was significantly reduced, resulting in a considerable decrease in the funds available for salaries and benefits, which comprise nearly three-fourths of the Courts' budget. The Courts sought to minimize the negative impact of the budget reduction on core functions and the public. In addition to reducing contracts and eliminating travel, the D.C. Courts' implemented a hiring freeze for nearly all positions beginning in February 2018.

Superior Court Example

In the Superior Court¹, for example, within four months of the hiring freeze, 73 out of 595 non-judicial positions were vacant, a 12% vacancy rate. Many of these vacancies created critical needs in the Superior Court's operating divisions. More than half of all the vacancies were in direct customer service and courtroom support positions. Specifically, deputy clerk positions, which serve the public, accounted for 37% of these vacancies and courtroom clerks accounted for an additional 15%.

To continue to meet the Superior Court's obligation to provide fair and timely access to justice with limited resources and personnel, the Superior Court undertook a personnel realignment initiative. The Superior Court Clerk and Division Directors appointed representatives to a Staffing Adjustment Working Group, tasked with identifying and classifying all Superior Court Clerk's Office positions and vacancies based on functions and the criticality of those functions in support of court operations.

The Working Group organized all positions into three categories: critical, preferred, and non-critical and prioritized existing vacancies based on the division's inability to meet its needs through updated business processes or operational changes. After non-critical, filled positions and critical vacancies were identified, the Working Group assessed the grade of the position, as well as the knowledge, skills, and abilities required for success in the vacant positions and matched existing employees with positions where their skills could be of best service to the Superior Court and its clientele.

For example, a Family Court Operations Division employee who, in a previous job, connected D.C. residents to housing, education, and social services, was transferred to an assistant claims examiner position in the Crime Victims Compensation Program. Identity consolidation clerks with bookkeeping experience were transferred to vacant accounting technician positions in the Criminal Division, and case coordinators with financial and paralegal experience were transferred to vacant small estate specialist positions in the Probate Division.

In total, the personnel realignment resulted in 26 employees who filled 21 critical vacancies and an addition of five positions in customer service and quality assurance functions across the Superior Court. Eighteen employees were reassigned effective July 9, 2018 and nine employees were reassigned effective August 6, 2018. The Clerk of the Superior Court met with Division leadership to stress the importance of welcoming and onboarding new employees as well as change management and transparency with staff. Division Directors met individually with realigned staff to notify them of the permanent reassignments and thank them for their dedication and service to the D.C. Courts.

As a result of the personnel realignment, the Superior Court was able to identify and abolish 16 non-critical positions, which will help the Court absorb approximately \$1 million of the budget reduction. The personnel realignment also resulted in an immediate 22% reduction in the number of Superior Court vacancies.

¹ Excluding Family Court Social Services.

During the personnel realignment initiative, 32 vacancies were identified as critical. While 21 vacancies were filled by reassigning staff, the Superior Court was unable to fill several positions due to specialized licensure or skill requirements, such as social worker and auditor positions in the Probate Division. The Superior Court was also unable to internally meet the need for deputy and courtroom clerk vacancies. At the time of the realignment, five highly critical courtroom clerk vacancies, including arraignment and family courtroom clerks, remained vacant. Since the realignment, additional critical vacancies have been created as a result of employee retirements and resignations.

More broadly, many critical vacant positions elsewhere in the D.C. Courts require specialized skill sets that constrain the Courts' ability to fill them by shifting employees from elsewhere in the organization.

Staff Reductions

The Courts evaluated the number of positions that can be financed in the President's FY 2019 budget recommendation for the Courts, and eliminated more than 100 positions. Calculating the cost of each position's salary and benefits, the Courts determined the maximum number of positions that the budget can support in the Court of Appeals, Superior Court, and Court System. The calculations assume a full complement of judges and their statutory staff (law clerks and judicial assistants) because judges are nominated by the President, subject to Senate confirmation, rather than through the Courts' administrative hiring authority. The results of these calculations comprise the base budget for the FY 2020 request.

The hiring freeze that the Courts implemented in 2018 permitted us to reduce staffing by attrition. In the future, as vacancies are created by staff retirement or other separations, only the most critical positions will be filled.

Management Practices

Although the D.C. Courts are not an executive agency, many of our management and operational initiatives and practices coincide with the Administration's focus on delivery of outcomes related to mission, provision of excellent service, and effectively stewarding taxpayer dollars.

Key Driver of Transformation: Data, Accountability, and Transparency

- **Strategic and Performance Planning**

To hold our organization accountable to the public and ensure that operations and taxpayer resources align with established goals, the D.C. 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. Our

newest Plan includes publication of these metrics on our website, enhancing public accountability. Division directors are held accountable for achievement of their division MAP objectives through the annual performance review process. Staff performance plans also incorporate achievement of division MAP objectives. 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.

The Courts are operating under our fourth five-year strategic plan, "Open to All, Trusted by All, Justice for All: Strategic Plan of the District of Columbia Courts 2018 – 2022", which is

available on our website.² The plan delineates the Courts' mission to protect rights and liberties, uphold and interpret the law, and resolve disputes fairly and effectively in the District of Columbia. It describes the vision of the court system we aspire to be and it guides the development of goals and priorities, resource allocation, decision-making, and day-to-day work. The plan sets five strategic goals as well as strategies to achieve them: 1) access to justice for all, 2) fair and timely case resolution, 3) professional, engaged workforce, 4) resilient and responsive technology, and 5) effective court management and administration.

- **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 and includes the Administration's Evidence Template. 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).

In addition, the Courts have developed our business intelligence capabilities to incorporate evidence-based practices into day-to-day management decisions. Major divisions have developed dashboards that provide at-a-glance information on division performance in key areas, such as time standards for case processing and number of cases filed. Performance data guides deployment of staff and daily priorities.

² The Strategic Plan is available at https://www.dccourts.gov/sites/default/files/matters-docs/2018-2022_StrategicPlan.pdf .

Key Driver of Transformation: Workforce for the 21st Century

- **Aligning the Workforce to Mission**
- **Strategic Workforce Management—Agile Operations**

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. Appellate case management functions were reorganized and combined with the public office functions. As discussed above in detail, the Superior Court Staffing Adjustment Working Group identified and implemented staff realignment opportunities, including elimination of the Identify Consolidation Unit.

- **Strategic Workforce Management—Actively Manage the Workforce**

As part of our strategic planning process the Courts continually work to instill in every employee the link between their job and the Courts' mission and goals, so that every employee understands their contribution to the Strategic Plan, not only helping the Courts align the workforce to the mission, but also fostering employee engagement.

In recent years, the Courts have also 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 Professional and Engaged



Workforce.” For example, the “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.

Key Driver of Transformation: Modern Information Technology

Information Technology is a key element of the D.C. Courts’ Strategic Plan. Goal IV of the Plan, “Resilient and Responsive Technology,” reflects the Courts intention to enhance technology capabilities to serve the public and provide modern IT tools to our workforce to enhance mission effectiveness. Strategies and key results to achieve this goal include providing court personnel remote access to core court systems, expanding public electronic access to court information, enhancing electronic disaster preparedness, improving data quality, digitizing files, and complying with Federal Information Security Management Act (FISMA) standards for cybersecurity.

Information technology, however, runs through every area of the Strategic Plan. For example, electronic public interfaces, mobile-friendly applications, electronic filing for self-represented litigants, informational web-based videos, and electronic check-in for court participants are key strategies and results needed to achieve Goal I: Access to Justice for All. Goal II: Fair and Timely Case Resolution is also reliant on technology to transform business processes and enhance mission effectiveness. The Courts envision using technology for video or teleconference court proceedings; formal notification, document transmission, and service of process in court cases; and the new case management system.

Technology initiatives are described in the Information Technology Division section of this request. The Courts utilize shared services for financial and human resources management systems and are seeking to move to cloud-based solutions for communications.

FY 2020 Request Summary

Court Budget Request Correlation with Administration Priorities

The Courts’ full budget request includes additional resources that correlate with Administration priorities.

IT Modernization

As noted above, IT modernization supports many aspects of the D.C. Courts’ Strategic Plan. The IT proposals in the full budget request support these long-term strategic goals related to the Courts’ mission, service delivery, and stewardship of public resources. The full request includes \$4.7 million for critical information technology improvements, including projects to move to cloud based messaging and project management, cybersecurity, IT modernization, and enhancing mission effectiveness.

Data, Accountability, and Transparency

One of the IT projects, Integrating Business Intelligence to Case Management System, is also critical to gathering performance data and making it public to enhance accountability and transparency, in keeping with Strategic Goal V and the Courts' intention to make performance data public.

People: Developing a Workforce for the 21st Century

With more than 10,000 people visiting the D.C. Courts each day and more interacting with the Courts on the phone or online, the people of the D.C. Courts are critical to accomplishing our mission. The full budget request includes \$1.8 million related to this Administration priority, including juvenile probation workers aligned to public safety priorities, staff focused on accomplishing the Courts' core mission of dispute resolution, and human capital management.

Improving Customer Experience

Just as society increasingly expects to solve its problems by Googling instructions or a video rather than hiring a plumber or mechanic, court users increasingly expect the Courts to help them navigate the system on their own. The Courts' full request includes \$808,000 to improve the customer experience for the public utilizing court services. These include expanding access to justice, assisting self-represented litigants, and enhancing bar admissions.

Part of the customer experience is visiting a facility that is functional, clean, and designed efficiently. The Courts' full request includes \$1.8 million to enhance the customer experience with court facilities, including maintenance of the Moultrie Courthouse addition and capital project management.

Operating Budget by Strategic Goal

The D.C. Courts are currently operating under our fourth five-year Strategic Plan, which will guide court operations from 2018 to 2022. The plan reflects 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.

To build on past accomplishments and to continue to serve the public in the District of Columbia during FY 2020, 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:** Access to justice for all
- Goal 2:** Fair and timely case resolution
- Goal 3:** Professional, engaged workforce
- Goal 4:** Resilient and responsive technology
- Goal 5:** Effective court management and administration

The FY 2020 budget request enhances the five strategic goals and includes performance projections for all core functions.

Goal 1: Access to Justice for All--\$720,000, 6 FTEs

The Courts have a responsibility to eliminate barriers to meaningful participation in the judicial process and to accessing court services. Such barriers may include a lack of legal representation, limited literacy or limited English language skills, limited financial resources, and physical or mental disability. In collaboration with justice and community partners, the Courts must work to ensure full access to the justice system and court services.

The request includes \$589,000 for 5 FTEs to expand access to justice courtwide by coordinating *pro bono* services with local law firms, helping court users navigate the system, and producing informational videos and \$131,000 for 1 FTE to assist self-represented litigants in the Probate Self-Help Center.

Goal 2: Fair and Timely Case Resolution--\$668,000, 7 FTEs

The Courts are committed to resolving disputes and legal matters in a fair and timely manner. The Courts must continue to provide due process and equal protection of the law, giving individual attention to each case and consistently applying the law in all cases.

The request includes \$106,000 for 1 FTE to expedite resolution of cases on appeal; \$88,000 for 1 FTE to support mediation of appellate cases; \$88,000 for 1 FTE to serve the substantially increased number of applicants for admission to the Bar; \$262,000 for 2 FTEs to restore branch chief positions to lead workers in Family Court; and \$124,000 for 2 FTEs to staff courtrooms.

Goal 3: Professional, Engaged Workforce--\$131,000, 1 FTE

The Courts must ensure a professional, engaged workforce that consistently achieves excellence and is agile to meet the demands of a changing environment. The Courts must continue to invest in education, training, and other development opportunities to enhance the knowledge and skills of its workforce. To advance our long-standing commitment to being a great place to work, the Courts must strive to create a flexible and high-performing work environment where all personnel are positively engaged.

The request includes \$131,000 for 1 FTE to conduct workforce and succession planning.

Goal 4: Resilient and Responsive Technology--\$4,686,000, 4 FTEs

The D.C. Courts must continue to enhance information technology capabilities to provide the highest level of service to the public and state-of-the-art technology tools to its workforce. The Courts must develop, manage, and maintain an information technology infrastructure and services that are effective, efficient, and resilient in supporting the Courts' mission. The Courts must focus on providing exceptional customer service by expanding access to court information and services, enhancing technology capabilities, and ensuring optimal security for court data and information assets.

The request includes \$3,000,000 for a new digital video system to enhance public safety and provide a secure environment for the administration of justice; \$540,000 to move court messaging systems to the Cloud; \$400,000 to ensure data quality and accountability by integrating a business intelligence system to the new case management system; \$178,000 to enhance cybersecurity; \$152,000 for 2 FTEs to increase the responsiveness of the Information Technology Help Desk; \$154,000 for 1 FTE to manage VoIP telecommunications technology; \$131,000 for cloud-based management of complex IT projects; and \$131,000 for 1 FTE in the Information Technology Division to ensure compliance with security requirements.

Goal 5: Effective Court Management and Administration--\$2,865,000, 13 FTEs

Effective management and operation of the justice system for the District of Columbia requires a team of knowledgeable professionals with a common mission and shared resources, collaborating to achieve results that best serve the public. The Courts are committed to fiscal accountability with respect to all Courts' resources. Confidence in the judicial system necessitates that each case management function -- trial and appellate -- understands the individual responsibilities and unique role of the other while leveraging opportunities for shared approaches to administrative functions.

The request includes \$1,114,000 and 12 FTEs to restore positions critical to public safety: staff that provide and support probation and psychological services to juveniles under court supervision; \$1,620,000 to maintain the new addition to the Moultrie Courthouse; and \$131,000 and 1 FTE to manage capital projects in stewardship of the 1.5 million gross square feet of building space in Judiciary Square.

Built-In Increases--\$5,154,000

The request also includes \$5,154,000 for built-in increases, including cost-of-living, within-grade, and non-pay inflationary increases. The Courts request funding for within-grade increases because we have a considerably lower turnover rate compared to the Federal government, which can finance within grade increases through higher turnover (7.4% in 2017 versus 16.7%, respectively).

Capital Budget

To support the “Secure and Functional Facilities” element of the Courts’ Strategic Goal V: Effective Court Management and Administration, 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 2020 capital request totals \$121.98 million—including \$73.37 million to renovate, improve and expand the Court facilities and grounds, and \$48.61 million to maintain the Courts’ existing facilities and surrounding public space.

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. Building A and a portion of Building 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 6th Floor of the Moultrie Courthouse, vacated by the Court of Appeals in 2009, was completed in January 2011 and now houses judicial chambers, the Superior Court Library, the Executive Office, and the General Counsel’s Office. The renovation of the Adult Holding facility for prisoners and the U.S. Marshals Service administrative space was completed in 2014. The first phase of construction of the addition to the Moultrie Courthouse is nearing completion, to be followed by the second and final phase.

Renovations, Improvements & Expansions

Migration from Gallery Place

The D.C. Courts prioritize the relocation of court operations and support personnel from leased space at Gallery Place to D.C. Courts’ Buildings A and B. 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, a significant portion of the FY 2020 Capital Budget Request, \$28.05 million, is requested to complete critical system upgrades and re-configuration of space in Buildings A and B to accommodate 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 is linked to the Moultrie Courthouse Addition as follows:

- Upon completion of the Moultrie Courthouse Addition, the Family Court Social Services Division in Building B and the Supervised Visitation Center in Building A will be relocated to the Moultrie Courthouse.
- Space in Buildings A and B will then be available for reconfiguration for their new occupants.

This request includes funds required to complete relevant system upgrades, reconfigure designated space, and relocate personnel from Gallery Place to their permanent locations. This approach results in long-term cost savings as the Courts will no longer require leased space to house these support operations.

Building B Modernization

The Courts are requesting \$22.04 million to complete the upgrades of critical systems and complete the renovation of the interiors at Building B. This modernization will result in a renovated building with all systems upgraded as detailed in the D.C. Courts Facilities Condition Assessment Report and planned improvements completed on all floors as detailed in the D.C. Courts' Facilities Master Plan.

Courtrooms and Judges' Chambers

The Courts' request includes \$12.79 million to begin a systematic renovation of 62 courtrooms and judges' chambers that have not been overhauled since the Moultrie Courthouse was constructed in the 1970's. The renovations will include much-needed technology upgrades to accommodate case processing and evidence presentation equipment that was barely imaginable when these courtrooms were constructed. This multi-year renewal project of the Courts' inventory of courtrooms and chambers is included in the D.C. Courts' Facilities Master Plan. Upon the completion of the six new courtrooms in Phase 2B of the Moultrie Courthouse Addition in 2020, the Courts plan to begin the renovation of a combination of four to six courtrooms and judges' chambers per year.

Campus Security, Signage and Lighting

The request includes \$2.24 million for preliminary work on security, signage, and lighting enhancements in Judiciary Square as detailed in the Judiciary Square Master Plan. The planned enhancements will restore and preserve one of the last historic green spaces in the District of Columbia, enhance security around all court buildings, improve pedestrian circulation, and minimize vehicle-pedestrian conflicts around Judiciary Square. The request will finance Judiciary Square site development plans and pre-construction site studies site work.

Life Safety and Code Compliance Upgrades/Improvements

The request includes \$8.25 million to complete projects in locations where life safety and code compliance issues have arisen. The requested funds will be used to renovate and expand the magistrate judges' suite (including the adjacent public restrooms).

Maintain Existing Infrastructure

The FY 2020 capital request also includes \$45.09 million to address necessary building maintenance and infrastructure upgrades. Significant public resources have been expended over the past decade to modernize the 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 Courts request \$13.77 million for the HVAC, Electrical, and Plumbing Upgrades project to continue to upgrade electrical systems in the Moultrie Courthouse and replace HVAC equipment as components reach the end of their useful life throughout the campus. The \$2.40 million requested for Fire and Security Alarm Systems will finance sprinkler systems for the Moultrie Courthouse as part of the ongoing fire sprinkler installation program for the building. In addition, \$23.33 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, \$270,000 is requested. A total of \$270,000 is requested for Restroom Improvements to maintain public restrooms in the H. Carl Moultrie Courthouse. In the area of technology, the Courts are requesting \$6.79 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) access to information, (2) promoting operational effectiveness, and (3) information security. Finally, \$1.77 million is requested for maintenance of the Historic Courthouse, to protect the public investment in the renovated building completed in 2009.

Defender Services Budget Request

To support Strategic Goal 2: Access to Justice, the FY 2020 Defender Services request totals \$46,005,000, unchanged from FY 2019.

Recent Achievements

In FY 2016, the Court of Appeals and the Superior Court resolved more than 90,000 cases (1,573 and 89,375 cases, respectively). The Courts look forward to continued success in strengthening 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:

Goal I: Access to justice for all

- Creation of a Veterans Navigator program to connect veterans who are court users with services that they may need, such as *pro bono* legal services, as well as social services, programs, or benefits to which they might be entitled because of their military service;
- 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;

- Initiation of live chats through the D.C. Courts' website to provide the public real-time online responses to questions regarding court matters;
- 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 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;
- 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;
- Collaboration 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;
- 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.

Goal II: Fair and timely case resolution

- Initiation of an appellate mediation program to help the Court of Appeals resolve cases in a timely and fair manner and provide litigants a less expensive and less time consuming means of resolving their cases;
- 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;
- 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 (75% 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;
- Initiation of HOPE Court (which stands for "Here Opportunities Prepare you for Excellence"), a specialized treatment court that serves court-involved youth who are victims of sex trafficking and commercial sexual exploitation.
- 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 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;

Goal III: Professional, engaged 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 recruiting component of the HRIS has 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 2017 Employee Viewpoint Survey, with 71% of employees responding, 96% 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 IV: Resilient and Responsive Technology

- Installation of an electronic information board, in the lobby of the Moultrie Courthouse that lists all criminal, civil, domestic violence, divorce, and custody cases scheduled in Moultrie that day. The public can locate a party’s name on the board’s alphabetical list and see the courtroom, the time of the proceeding, and the judge in the case. The information is updated in real time;
- Initiation of electronic, online application for the D.C. Bar Examination, in cooperation with the D.C. Bar;
- Implementation of an automated web-based tool to assist family members in administering an estate when there is no will. The program asks the user questions about close relatives of the decedent to help identify the heirs, estimates the asset distribution plan, and prepares a report at the end of the interview;
- Implementation of a cloud-based case management system to manage juveniles under court supervision;
- 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;
- 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 V: Effective Court Management and Administration

- 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;
- Launch of the Courts' fourth Strategic Plan to ensure strategic alignment of our goals, functions, and resources in 2018 - 2022, following extensive community input, including surveys of persons conducting business at the courthouse, attorneys who recently appeared in the Courts, and D.C. Courts' judges and employees;
- 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;
- 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 2017;
- 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;
- 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.

Chart 2
DISTRICT OF COLUMBIA COURTS
Organizational Structure

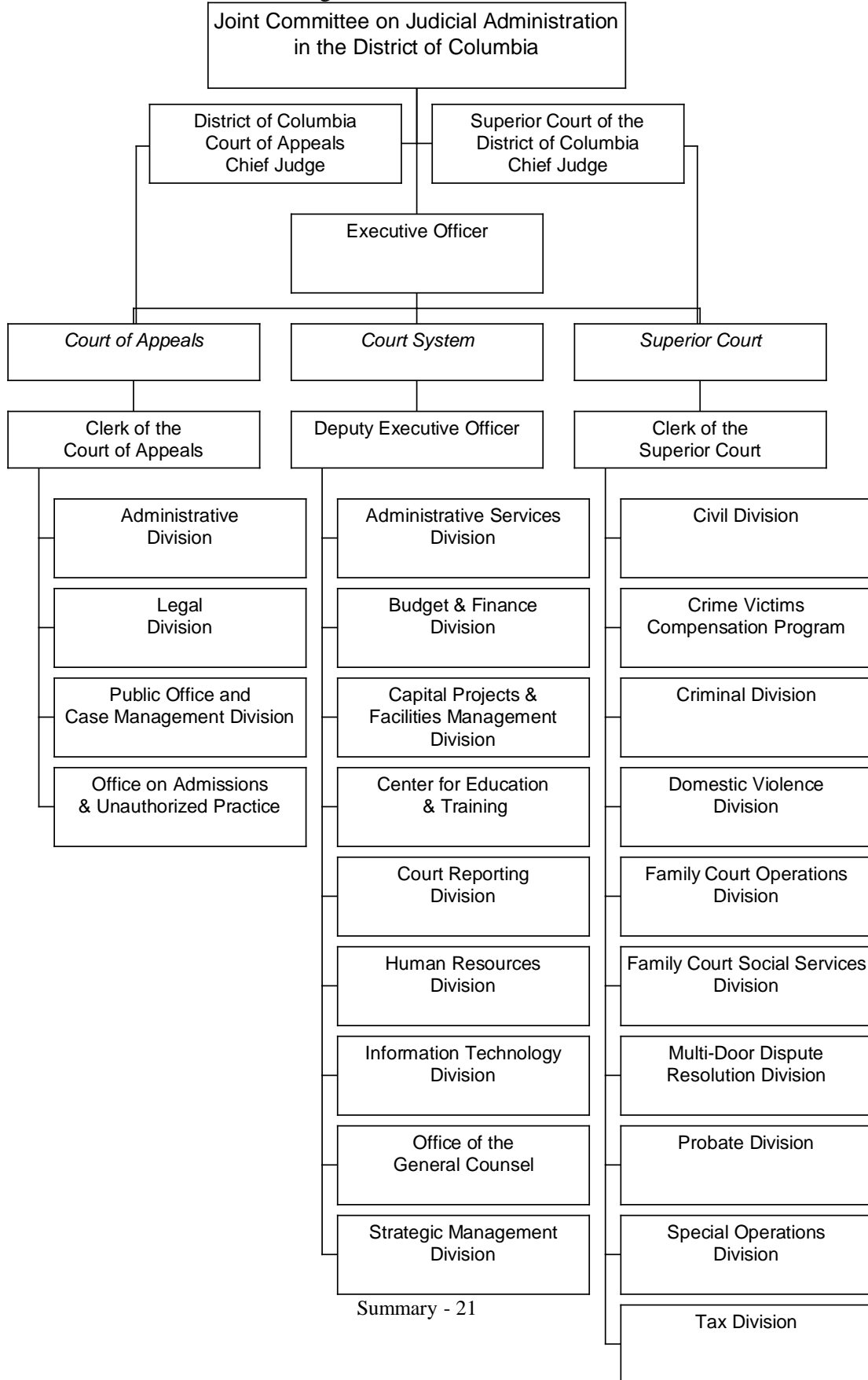


Table 2
DISTRICT OF COLUMBIA COURTS
FY 2020 Budget Submission

Summary Table
(in dollars)

Operations	<u>Amount</u>	<u>FTE</u>
District of Columbia Court of Appeals		
FY 2019 Level	14,594,000	97
<i>Reductions</i>		
FY 2020 Requested Increases		
<i>A. Goal 2: Fair and Timely Case Resolution</i>		
1. Enhancing Case Processing and Judicial Decision-Making (Attorney)	106,000	1
2. Enhancing Timely Case Resolutions (Appeals Mediation Officer)	88,000	1
3. Enhancing Bar Admissions and Unauthorized Practice of Law Process (Paralegal)	<u>88,000</u>	<u>1</u>
<i>Subtotal</i>	282,000	3
<i>B. Built-In Cost Increases</i>	334,000	0
FY 2020 Budget, Court of Appeals	15,232,000	100
 Superior Court of the District of Columbia		
FY 2019 Level	124,400,000	905
<i>Reductions</i>		
FY 2020 Requested Increases		
<i>A. Goal 1: Access to Justice for All</i>		
1. Assisting Self-Represented Litigants (Probate Division)	<u>131,000</u>	<u>1</u>
<i>Subtotal</i>	131,000	1
<i>B. Goal 2: Fair and Timely Case Resolution</i>		
1. Leading in Family Court (Family Court Operations)	262,000	2
2. Staffing Courtrooms (Family Court Operations)	<u>124,000</u>	<u>2</u>
<i>Subtotal</i>	386,000	4
<i>C. Goal 5: Effective Court Management and Administration</i>		
1. Leading in Juvenile Probation (Family Court Social Services Division)	524,000	4
2. Supporting Probation Operations (Family Court Social Services Division)	168,000	3
3. Supervising Juveniles (Family Court Social Services Division)	152,000	2
4. Monitoring Juveniles Electronically (Family Court Social Services Division)	139,000	2
5. Providing Psychological Services for Juveniles (Family Court Social Services Division)	<u>131,000</u>	<u>1</u>
<i>Subtotal</i>	1,114,000	12
<i>D. Built-In Cost Increases</i>	2,848,000	0
FY 2020 Budget, Superior Court	129,019,000	922

	<u>Amount</u>	<u>FTE</u>
District of Columbia Court System		
FY 2019 Level	74,400,000	283
<i>Reductions</i>		
FY 2020 Requested Increases		
<i>A. Goal 1: Access to Justice for All</i>		
1. Expanding Access to Justice (Initiatives Section)	<u>589,000</u>	<u>5</u>
<i>Subtotal</i>	<u>589,000</u>	<u>5</u>
<i>B. Goal 3: Professional, Engaged Workforce</i>		
1. Planning for Tomorrow's Workforce (Human Resources Division)	<u>131,000</u>	<u>1</u>
<i>Subtotal</i>	<u>131,000</u>	<u>1</u>
<i>C. Goal 4: Resilient and Responsive Technology</i>		
1. Enhancing Public Safety--Security Video Management System (Initiatives Section)	3,000,000	0
2. Implementing Cloud-Based Messaging (IT Division)	540,000	0
3. Integrating Business Intelligence to Case Management System (IT Division)	400,000	0
4. Protecting Court Information (IT Division)	178,000	0
5. Leading Network and Telecommunications Services (IT Division)	154,000	1
6. Enhancing IT Customer Service (IT Division)	152,000	2
7. Adopting Cloud-Based Project Management (IT Division)	131,000	0
8. Enhancing Information Security (IT Division)	<u>131,000</u>	<u>1</u>
<i>Subtotal</i>	<u>4,686,000</u>	<u>4</u>
<i>D. Goal 5: Effective Court Management and Administration</i>		
1. Maintaining Moultrie Courthouse Addition (Capital Projects and Facilities Management Division)	1,620,000	0
2. Managing Capital Projects (Capital Projects and Facilities Management Division)	<u>131,000</u>	<u>1</u>
<i>Subtotal</i>	<u>1,751,000</u>	<u>1</u>
<i>E. Built-In Cost Increases</i>	<u>2,019,000</u>	<u>0</u>
FY 2020 Budget, Court System	83,576,000	294
Total FY 2020 Budget, D.C. Courts Operations	227,827,000	1,316

Capital Improvements

Renovations, Improvements & Expansions

1.	Migration from Gallery Place	28,050,000
2.	Building B Modernization	22,040,000
3.	Courtrooms and Chambers	12,790,000
4.	Campus Security, Signage, and Lighting	2,240,000
5.	Life Safety and Code Compliance	<u>8,250,000</u>

Subtotal, Renovations, Improvements & Expansions 73,370,000

Maintain Existing Infrastructure

1.	HVAC, Electrical and Plumbing Upgrades	13,770,000
2.	Fire and Security Alarm Systems	2,400,000
3.	General Repair Projects	23,330,000
4.	Elevator and Escalator Repairs and Replacement	270,000
5.	Restroom Improvements	270,000
6.	Technology Infrastructure	6,790,000
7.	Historic Courthouse	<u>1,770,000</u>

Subtotal, Maintain Existing Infrastructure 48,610,000

FY 2020 Budget, Capital Improvements 121,980,000

Defender Services

FY 2019 Level 46,005,000

Reductions

FY 2020 Requested Increases 0

FY 2020 Budget, Defender Services 46,005,000

**District of Columbia Courts
FY 2020 Budget Submission
Appropriations Language**

Language

FEDERAL PAYMENT TO THE DISTRICT OF COLUMBIA COURTS

For salaries and expenses for the District of Columbia Courts, [\$227,829,000] \$342,743,000 to be allocated as follows: for the District of Columbia Court of Appeals, [\$15,232,000] \$13,995,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the Superior Court of the District of Columbia, [\$129,019,000] \$125,730,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the District of Columbia Court System, [\$83,578,000] \$81,038,000, of which not to exceed \$2,500 is for official reception and representation expenses; and [\$38,400,000] \$121,980,000, to remain available until September 30, [2020]2021, 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 \$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. (*President’s Recommendation, 2019*)

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), \$46,005,000, 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: (*Enacted Budget, 2019*)

Justification

ACCOUNT: FEDERAL PAYMENT FOR DEFENDER SERVICES IN DISTRICT OF COLUMBIA COURTS	
Proposed change	Deleted language: “(INCLUDING TRANSFER OF FUNDS)” and “ <i>Provided</i> , 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:”
Purpose	Removes the provision authorizing transfer of funds to the capital improvements appropriation.
Justification	This language addressed a balance in the Defender Services account that resulted from a one-time change in accounting and elimination of outdated obligations. The transfer took place in FY 2018 so the language is no longer necessary.

**District of Columbia Courts
FY 2020 Budget Request
Initiatives**

ENHANCING PUBLIC SECURITY

Initiative Element	Requested Increase
Acquire and Install New Video Management System	\$3,000,000

Problem Statement. Increasing incidents of violence in courthouses throughout the country has 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 city.

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 unavailability 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 as defined by Publication 64 –U.S. Courts Design Guide.

Relationship to Court Vision, Mission and Strategic Goals. The replacement of the video management system supports the Courts' Strategic Plan Goal V, Strategy C, "Ensure safe and functional court facilities." 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.

EXPANDING ACCESS TO JUSTICE

Initiative Element	Requested Increase
Informational Video Production Unit Audiovisual Production Specialist, 1 FTE (JS-13) Multimedia Specialist, 1 FTE (JS-11) Video Equipment and Software	294,000
Self-Represented Litigant Assistance <i>Pro Bono</i> Coordinator, 1 FTE (JS-14)	154,000
Court Navigator Program Court Navigators, 2 FTEs (JS-8/9)	141,000
Total	589,000

Introduction. Equal access under the law is the foundation of our country’s legal system and is a principle the D.C. Courts strive to achieve, as reflected in the vision statement –“Open to All, Trusted by All, Justice for All.” Central to ensuring that all persons we serve have meaningful participation in the judicial process and can access court services is the elimination of barriers. Such barriers include the lack of legal representation, limited literacy and English language skills, and limited financial resources.

The community the Courts serve is quite diverse. There is a wide disparity in the number of families in poverty, income levels, unemployment rates, and educational levels. Approximately 20% of D.C. residents live in poverty and approximately 33% are low income. Many low-income persons are unaware of their legal rights, lack information regarding the availability of legal services, lack formal education, and may be low literate or illiterate. The Courts must ensure access to justice for persons of all backgrounds, incomes, educational status and special needs. The Courts’ Standing Committee on Fairness and Access has worked on these issues for many years, but the challenges are unrelenting.

A 2017 study by the Legal Services Corporation found that 71% of low-income households experienced a civil legal problem in the past year. However, 86% of the civil legal problems faced by low-income Americans received inadequate or no legal help. The rising justice gap, or the difference between the civil legal needs of low-income Americans and the resources available to meet those needs, has resulted in a growing population of self-represented litigants in state courts around the country. Due to their inability to afford a lawyer, an overwhelming majority of litigants represent themselves in court, often against an opposing party with legal representation. At the District of Columbia Courts, an overwhelming majority of litigants in domestic violence, landlord tenant, paternity and support, divorce, custody, and probate cases were self-represented in 2017.

Self-represented litigants are engaging with the court system about problems with potentially significant impacts on core areas of their lives, including income maintenance and housing. At least 7 in 10 low-income Americans with recent personal experience reported that their civil legal problem significantly affected their lives. Yet, self-represented litigants face a number of challenges when engaging in the court process, including a lack of knowledge and information

about the laws and processes of the court, difficulties in preparing forms and pleadings, and the fast pace in which courts must resolve cases. These access to justice challenges often hinder litigants' abilities to participate meaningfully in the judicial process, thereby affecting the outcomes of cases and reducing perceptions of access and fairness.

Problem Statement. Self-represented persons present special challenges as the Courts strive to provide fair and equal access to the justice system. The judicial system is governed by complex laws and procedures that are often confusing, even for persons with formal education and economic means. In addition, the types of cases before the courts have become more complicated, requiring new approaches to access justice. In cooperation with the Access to Justice Commission, the Courts have taken a multi-pronged approach to addressing the needs of self-represented litigants, leveraging the legal community, but additional resources are needed to meet the public's need for assistance.

To address the special needs of self-represented litigants, the Courts, in partnership with the D.C. Bar, several law firms, AARP, the Legal Aid Society, and law schools, and nonprofit service providers, have established resource centers in Family Court; Landlord Tenant and Small Claims Courts; Consumer Law; Probate and Tax matters; and Domestic Violence Cases, and the court seeks *pro bono* representation in appellate cases on an as-needed basis. Although thousands of persons have been served by these efforts, the needs of those who cannot afford a lawyer significantly outweigh the existing services.

To meet the substantial need for legal representation for litigants without lawyers, a ***Pro Bono Coordinator*** position is critical. The *Pro Bono* Coordinator will enhance access to justice for litigants who cannot afford legal representation by coordinating and integrating *pro bono* services throughout the D.C. Courts. The responsibilities will include developing and implementing a plan for expanding *pro bono* services, recruiting *pro bono* attorneys and law firms to provide legal representation, and recruiting and training *pro bono* attorneys to provide assistance to self-represented litigants. For example, *pro bono* representation would qualify otherwise self-represented litigants to participate in the appellate mediation program. Specifically, a *Pro Bono* Service Coordinator would (1) perform outreach among law firms, legal associations, and individual local attorneys for the purpose of supporting *pro bono* activity; (2) recruit, coordinate, train, and facilitate the work of *pro bono* attorneys; (3) keep abreast of legal service centers, information services, volunteer program, and free legal assistance programs; (4) coordinate *pro bono* outreach and informational efforts with the D.C. Bar; (5) develop standards and procedures for *pro bono* practice within the Courts' *pro bono* centers; (6) develop and maintain a database of existing *pro bono* resources and provide the information to court users and court staff; and (6) identify areas where *pro bono* services are needed and seek ways to close the gaps.

Furthermore, as technology advances, the public is becoming more and more dependent on video and other digital forms of communications; the Courts must keep pace with the expectations and needs of our community. Short videos give the courts an avenue to provide the public simple, clear information on how to use court services. Such videos target millennials and younger generations who are increasingly accustomed to video communications as well as individuals

who may lack literacy skills to understand the written and graphic materials the D.C. Courts have traditionally disseminated.

The Federal Courts as well as state-level courts in jurisdictions such as Maryland and Virginia produce videos to guide litigants and jurors through court processes, recruit and inform workers, and provide greater transparency. The Maryland Courts offer dozens of videos covering topics ranging from how to defend a small claims case to how to hire a lawyer. The D.C. Courts' have entered the digital video age with a YouTube channel that features selected appellate oral arguments, events and ceremonies of interest to the public, news coverage, and some informational videos. For example, a video explaining how to search online for Superior Court cases has been viewed more than 26,000 times. An online juror orientation video has nearly 8,900 views. These efforts were contracted with outside vendors and temporary staff.

Five of the six most popular videos on DCCourtsChannel are informational; unfortunately, however, the Courts are able to offer only a few of this kind of video. Court staff responsible for maintaining courtroom technology critical for trials and other proceedings currently assist with video production. However, as it is not their primary skill set or job responsibility, their time for this function is very limited, and they are unable to meet the demand.

An **Informational Video Production Unit**, staffed with the experts in producing videos would help the Courts fill that gap and provide a more complete menu of videos to help the public identify what court services they need and to navigate the complex legal system. The requested staff would collaborate with court divisions to identify areas of need and then prepare the video using the requested equipment and software. The staff would evaluate the information needed; produce a script; procure actors, narrators, and musicians; and direct, videotape, and edit the materials, ensuring that the finished product is meaningful to the target audience and in keeping with best practices in audio/visual production and communication techniques.

Court Navigators, specially trained and supervised non-lawyers, support self-represented litigants in the courthouse by providing a variety of informational services about court processes and available resources. Specifically, Court Navigators assist parties in accessing forms, finding options for representation, gathering and organizing information related to court processes and proceedings, and obtaining available court services like interpreters. Court Navigator programs in other jurisdictions have demonstrated success in supporting litigants' abilities to put forward their side of a case and in increasing perceptions of access and fairness. For example, a 2016 evaluation of the New York Access to Justice Navigators found that litigants who received help of any type from a Navigator were 56% more likely than unassisted litigants to say they were able to tell their side of the story. Court Navigators will improve self-represented litigants' abilities to participate meaningfully in the judicial process, enhance perceptions of access and fairness, and connect court participants to a wide variety of internal and external services by providing directional information and assistance, offering resources and information about court processes, and assisting with access to available services.

Relationship to the Courts' Vision, Mission, and Goals. Access to Justice for All is Goal I of the D.C. Courts' 2018-2022 Strategic Plan. The Courts are committed to eliminating barriers to meaningful participation in the judicial process and to enhancing community members' abilities

to access court services. This initiative supports Strategic Goal I and would enhance the Courts' vision of a court that is open to all by promoting access to legal services for litigants without lawyers. The Courts developed a key strategy of developing a Court Navigator Program to assist court participants with court processes and provide linkages to other services. Another key strategy for Goal I is to "Provide information and court documents in plain language and foreign languages through multiple platforms." This initiative would help the Courts effect the key result for this strategy: "By 2020, informational web-based videos for the public will explain key trial and appellate court processes."

Methodology. The grade levels for these positions were determined in accordance with the D.C. Courts' Personnel Policies.

Expenditure Plan. The positions would be recruited and hired in accordance with the D.C. Courts' Personnel Policies, and the equipment purchased per the Courts' Procurement Guidelines.

Relationship to Existing Funding. There are no resources available in the Courts' budget for the requested resources. The Court Navigator Program currently has 2 FTEs serving as the program coordinator and an attorney advisor. The two additional navigators will perform most of the service delivery, thus allowing the Court Navigator Program to assist at least twice as many court participants.

Performance Indicators. A number of performance indicators will be used to assess the success of the program. The major outcome indicator of the program will be increased perceptions of access and fairness as measured by NCSC's CourTools Access and Fairness survey. Other indicators include the number of persons served in the court-based *Pro Bono* Centers, the number of attorneys providing *pro bono* legal services, litigants' level of satisfaction with the information and legal services received, the number of informational videos available to the public, and the number of hits on the videos. Output indicators such as the availability of form kiosks for court participants to complete forms, the availability of process plans to enhance understanding of court processes and proceedings, and the extent of one-on-one provision of legal information will aid in assessing the initiative's effort to improve self-represented litigants' abilities to participate meaningfully in the judicial process. Lastly, output indicators related to court navigators' escorting, introducing, or making appointments with internal and external services as well as the number and type of services will serve as measures to assess the initiative's success in connecting court participants to a wide variety of internal and external services.

DISTRICT OF COLUMBIA COURT OF APPEALS

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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>
94	14,000,000	97	14,594,000	100	15,232,000	3	638,000

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. However, the court currently has two judicial vacancies with one Associate Judge position vacant since November 2013 and the other judicial officer position vacant since March 2017. These two vacancies amount to approximately a 20% decrease in the judicial workforce. 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 to: (1) review all final orders and judgments, as well as specified interlocutory orders, of the Superior Court of the District of Columbia (“D.C. Superior Court”); (2) review decisions of administrative agencies, boards, and commissions of the District government; and (3) 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 applications for admission to the District of Columbia Bar and attorney discipline matters; (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 the following six components: (1) Public Office and Case Management Division; (2) Immediate Office; (3) staff of the Committees on Admissions and the Unauthorized Practice of Law; (4) Appellate Mediation Office; (5) Legal Division; and (6) Administration Division. Functionally, these components are involved in five major activities: case processing; bar admissions and unauthorized practice of law matters; mediation of cases; and court administration.

- **Public Office and Case Management Division-** The Public Office Section receives incoming documents, docket pleadings, maintains official case files, receives and answers public inquiries, provides internal mail service, and supports courtroom operations.

The Case Management Section oversees the processing of cases prior to calendaring for argument or submission without argument. The process includes motions matters, briefing schedules, and those matters expedited by order of the court. The section reviews incoming

motions and pleadings and prepares proposed orders for approval by the Clerk, Chief Judge, or a motions panel (comprised of three judges). This division currently has 17 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 (calendaring, case screening, 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 discipline matters, admissions, and unauthorized practice of law matters; and prepares court statistics. This office currently has 6 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: (1) applications for admission to the Bar by examination and motion; (2) applications for authorization to practice as special legal consultants; (3) applications by law students to practice under D.C. App. R. 48; and (4) motions to practice law *pro hac vice* (in a particular case). This office also provides staff support to investigate complaints against unauthorized persons practicing law and to the two Committees which ensure that local legal needs are met by properly qualified and licensed attorneys. This office currently has 6 FTEs.
- Appellate Mediation Office- The court's mediation program is an informal, confidential process in which the parties work with an impartial mediator, trained and selected by the court, to assist them in reaching a negotiated resolution of their case. This office currently has 1 FTE.
- Legal Division- Attorneys in the division prepare legal analyses and recommended dispositions for the judges in substantive motions, emergency matters, and matters brought under the court's original and discretionary jurisdictions. This division currently has 9 FTEs.
- Administration Division - The administrative staff is responsible for telecommunications, information technology, and library services for the court. This office currently has 6 FTEs.

Organizational Objectives

Strategic Goal 1: Access to Justice for All

Management Action Plan: The courts have a responsibility to eliminate barriers to meaningful participation in the judicial process and to accessing court services. Such barriers may include a lack of legal representation, limited literacy or limited English language skills, limited financial resources, and physical or mental disability. In collaboration with justice and business partners, the courts will work to ensure full access to the justice system for all.

Management Action Plan: Expand the availability of court information and services online to enhance public access and reduce the need for in-person visits to the courthouse. Mobile

applications will be developed so court users can access information about how to file cases and documents with the courts, make payments, and obtain information and other services.

Management Action Plan: Expand efforts to make processes clear and easy to navigate, provide information and forms in multiple languages, and recognize the cultural differences of court participants.

Management Action Plan: Provide targeted services for elderly court users, individuals with mental health challenges and other groups.

Management Action Plan: The courts recognize that long wait times cause inconvenience and frustration, and often lost wages, for parties involved in a case or other legal matter or seeking services at the courthouse. The courts will assess wait times and pilot new business processes and case scheduling practices to reduce wait times.

Strategic Goal 2: Fair and Timely Case Resolution

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

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

Management Action Plan: Building on the success of alternative dispute resolution at the trial court level, the courts introduced mediation at the Court of Appeals. During the next five years, the courts will continue to develop innovative uses of alternative dispute resolution to expedite fair outcomes, including piloting an online dispute resolution initiative in certain tax matters. The courts will explore new methods of case processing, such as enhanced case screening, monitoring of case progress by specially trained staff, and administrative processing for appropriate matters.

Strategic Goal 3: A Professional and Engaged Workforce

Management Action Plan: Develop the next generation of court leaders through training and development to ensure that employees can qualify for management and leadership positions when they become available. The courts will continue knowledge transfer and new skills development training through mentoring, job rotations, and other flexible work assignments.

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 4: Resilient and Responsive Technology

Management Action Plan: Continue to enhance information technology capabilities to provide the highest level of service to the public and state-of-the-art technology tools to its workforce. Develop, manage, and maintain an information technology infrastructure and services that are effective, efficient, and resilient in supporting the courts' mission. The Plan focuses on providing exceptional customer service by expanding access to court information and services, enhancing technology capabilities, and ensuring optimal security for court data and information assets

Management Action Plan: In order to ensure access to justice, fair and timely case resolution, and service to the public; the courts must readily provide court users with accurate and reliable information.

Management Action Plan: To promote operational effectiveness, the courts will enhance the capacity of its information technology infrastructure by adopting best practices, seeking innovative technology solutions, and keeping abreast of new developments.

Strategic Goal 5: Effective Court Management and Administration

Management Action Plan: Effective management and operation of the justice system for the District of Columbia Courts requires a team of knowledgeable professionals with a common mission and shared resources, collaborating to achieve results that best serve the public. The courts are committed to fiscal accountability with respect to all the courts' resources.

Management Action Plan: The Courts will continue to measure and monitor our performance and use the results to improve operations. The Plan will expand the use of data collection and analysis, organizational performance measures, and qualitative and quantitative evaluation of programs and services to assess results and outcomes and make improvements. The Courts are committed to transparency of performance results and will post information on the Courts' website. To ensure the high quality of court records and data, the Courts will review and update data quality management practices and develop enhanced data quality metrics and reports.

Workload Data

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

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

Fiscal Year	Cases Filed	Cases Disposed	Case Clearance Rate*	Cases Pending	Motions and Petitions Filed
2015	1,523	1,584	104%	1,468	5,358
2016	1,356	1,564	115%	1,266	5,137
2017	1,425	1,447	102%	1,381	4,847

*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
Workload and Efficiency Measures
Bar Admissions Activity

Fiscal Year	Bar Admission Applications Received	Multistate Bar Exam Score Transfer Requests Processed	Certificates of Good Standing Issued
2015	647	2,915	9,377
2016	1,132	2,680	10,040
2017	1,806	2,453	11,452

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:

- The court implemented mandatory e-filing for all attorneys practicing at the D.C. Court of Appeals. This includes all agency attorneys who are not DC Bar members as well as attorneys practicing *pro hac vice* (in a particular case). Pro se (individuals not represented by counsel) litigants are not required to e-file; however, they have the option to e-file.
- 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 D.C. Court of Appeals' case management system enables attorneys and self-represented litigants to view case dockets and submit filings electronically. The system features a publicly available real-time view of the case docket and a simple mechanism to submit filings to the court electronically and free of charge.
- The court implemented an Appellate Mediation Program. The court's mediation program is an informal, confidential process in which the parties to an appeal work with an impartial mediator, trained and selected by the court, to assist them in reaching a negotiated resolution of their case.

- To enhance public access to court proceedings, the court provides live audio-streams of oral arguments over the Internet. The court also has live video-streams of 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 for the court.
- 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. Also, annual training of the court's CJA attorneys and training of D.C. Superior Court child abuse and neglect attorneys concerning appellate issues is conducted.
- The court continued to enhance the instructional materials available via the Internet for litigants and for applicants 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.
- In bar discipline cases, the court continued to expedite the imposition of discipline and to authorize negotiated discipline where appropriate.

Table 3
COURT OF APPEALS
Key Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY 2016 Actual	FY 2017 Actual	Projection FY 2018	Projection FY 2019	Projection FY 2020
Input	Number appeals filed	Court data	1,356	1,425	1,337	1,288	1,279
Output/ Activity	Number of cases disposed	Court data	1,564	1,447	1,395	1,326	1,242
Productivity/Efficiency	Clearance Rate	Court data	115%	102%	105%	104%	97%

FY 2020 Request

In FY 2020, the D.C. Courts request for the Court of Appeals is \$15,232,000, an increase of \$638,000 (4.37%) above the FY 2019 Enacted Budget. The requested increase includes \$106,000 for 1 FTE to expedite resolution of cases on appeal; \$88,000 for 1 FTE to support mediation of appellate cases; \$88,000 for 1 FTE to serve the substantially increased number of applicants for admission to the Bar; and \$334,000 for built-in cost increases.

Enhancing Case Processing and Judicial Decision-Making, 1 FTE, \$106,000 Attorney (JS-12/13)

Problem Statement. To improve case processing time for the public with cases before one of the nation's busiest courts, handle an increased workload, and implement best practices, an additional attorney for the Court's Legal Division is required. The District of Columbia Court of

Appeals consistently has the highest population-adjusted appellate caseload of any jurisdiction without an intermediate appellate court, according to statistics compiled by the National Center for State Courts. The court's heavy and complex caseload challenges it to resolve cases in a timely manner; the court has worked to lower the time it takes to resolve a litigant's case by increasing efficiencies in case processing. The requested attorney is critical to continuing this effort.

To maintain a high level of performance, the court has re-evaluated its staffing structure, with an independent assessment by the National Center for State Courts, made technological improvements, with a new case management system and mandatory e-filing, and adopted organizational and operational changes designed to maximize judicial resources and help judges manage their workload more efficiently. The Legal Division staff is a significant resource to judges and to the court, serving 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; preparing chief judge's orders; writing research memos and drafting orders for original jurisdiction matters; answering questions from the Case Management Section; providing research support for judicial committees; and preparing appellate manuals. These functions facilitate the judicial decision-making process and reduce the judges' workload.

Recently, the number of motions filed has increased substantially; for example, the number of motions for summary affirmance increased by more than 60% over the last five years. In addition, there has been a rise in the number of appeals stemming from the court decision in *In re Ta.L.*, 149 A.3d 1060 (D.C. 2016) (en banc), zoning appeals, and psychiatric appeals; all of these take considerable more time because the presumption is that the appeal will be decided on motions, and extensive record review and research are needed. The emergencies and summary motions have become more complicated. Also, there has been an increase in the number and complexity of attorney discipline matters. The limited staff and the increased workload have resulted in a two to three month delay in submission to the motions panel of judges, far beyond the Division'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. This attorney would conduct jurisdictional screening and most non-clerical motions work (other than substantive motions) to streamline operations, simplify the motions process, and handle appointment of attorneys for indigent defendants, freeing senior staff for more complex matters and the review of the work of junior attorneys.

Relationship to the D.C. Courts' Vision, Mission and Goals. The requested position supports the D.C. Courts' Strategic Goal II, "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 Timely Case Resolutions, 1 FTE, \$88,000***
Appeals Mediation Officer (JS-11)

Problem Statement. The D.C. Courts consistently have among the highest appellate caseloads in the country. The Court of Appeals has reduced the overall time on appeal and implemented numerous efficiencies in case processing. Nonetheless, judicial vacancies, an extremely heavy caseload, and the complexity of appeals coming before the court argue strongly in favor of changes to our current court practices and also the need for additional resources. As a result, the court successfully piloted alternative dispute resolution (i.e. mediation) for cases on appeal. In order to achieve its goal of fair and timely case resolution, the court requested resources for an Appellate Mediation Program in which certain civil appeals, identified as having issues amenable to resolution, are referred to mediation by volunteer attorneys. The request was approved and the program has been successful. However, the demands on the program require an Appellate Mediation Officer to assist the Program Coordinator.

Relationship to the D.C. Court's Vision, Mission and Goals. The requested position supports the D.C. Courts' Strategic Goal I, "Access to Justice for All", and Goal II, "Fair and Timely Case Resolution."

Relationship to Court of Appeals MAP Objectives. This position is critical to the success of the court's strategic objectives of enhancing services to the public, improving access to the courts and ensuring speedy and informed judicial decision-making.

Relationship to Existing Funding. Due to budget reductions, the funding for this position was eliminated, and is not currently available in the Court's budget.

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.

* Request to restore a critical position that was eliminated in FY 2018 due to budget constraints.

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 and Unauthorized Practice of Law Process, 1 FTE, \$88,000
Paralegal (JS-11)

Problem Statement. The District of Columbia Bar (“Bar”) is the second-largest unified bar in the United States. The Court of Appeals, through its Office of the Committee on Admissions and the Unauthorized Practice of Law (“Office”) 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 an exam in the District of Columbia, or by waiving in from another jurisdiction of which they are already a member. Effective March 2016, the Court of Appeals adopted the Uniform Bar Exam (“UBE”) – a standardized test of legal knowledge and skills that yields a portable score that can be used to waive into the Bars of 32 other jurisdictions across the country. The adoption of the UBE has resulted in over a 400% increase in the number of individuals sitting for the exam in the District of Columbia. In addition, the number of applications for admission to the Bar via waiver has increased substantially from 2,475 in 2015 to 3,362 in 2018.

To ensure that the public is represented by qualified attorneys with the requisite character and fitness to practice law and that the public is protected from individuals engaged in the unauthorized practice of law (“UPL”), the Office needs a paralegal to reduce the processing time of applications for admissions to the Bar. Currently, the Office is staffed to handle the workload prior to the Court of Appeals’ adoption of the UBE in 2016, and the related increase in applications for admittance to the Bar via waiver. The number of Bar applications for processing and review rose from 647 in July 2015 to 1,806 in July 2018. Staff resources have not increased. Without the addition of a paralegal, processing delays will mean that recent law school graduates and re-locating licensed attorneys from other jurisdictions, must wait to practice law. These delays are far beyond the court’s goal of a 30-day application review period following receipt of an applicant’s character and fitness report from the National Conference of Bar Examiners (“NCBE”).

In addition to processing bar applications, the Office also performs the following important functions: (1) administering the bar exam twice each year; (2) processing requests concerning verification of reciprocity; (3) coordinating the monthly certification of 300-400 new attorneys; (4) drafting memoranda for the Standing Committee and the UPL Committee; (5) scheduling and attending committee meetings; (6) drafting the minutes for the two committees; and (7) fielding inquiries from the public. The addition of a paralegal position in the Office is critical to ensuring that the Office can fulfill its mission, while continuing to implement the best practices as recommended by the NCBE.

Relationship to the D.C. Courts’ Vision, Mission and Goals. The requested position supports the D.C. Courts’ Strategic Goal II, “Fair and Timely Case Resolution” 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, and feedback from judicial officers and court staff.

Table 4
COURT OF APPEALS
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Cost
Attorney	JS-12	1	84,000	22,000	104,000
Appeals Mediation Officer	JS-11	1	70,000	18,000	88,000
Paralegal	JS-11	1	70,000	18,000	88,000
		3	224,000	58,000	282,000

Table 5
COURT OF APPEALS
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	9,854,000	10,059,000	10,531,000	472,000
12 - Personnel Benefits	2,348,000	2,402,000	2,525,000	123,000
Subtotal Personnel Cost	12,202,000	12,461,000	13,056,000	595,000
21 - Travel, Transp. of Persons	60,000	60,000	62,000	2,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	99,000	99,000	101,000	2,000
24 - Printing & Reproduction	83,000	83,000	85,000	2,000
25 - Other Services	850,000	1,185,000	1,208,000	23,000
26 - Supplies & Materials	89,000	89,000	91,000	2,000
31 - Equipment	617,000	617,000	629,000	12,000
Subtotal Non-Personnel Cost	1,798,000	2,133,000	2,176,000	43,000
TOTAL	14,000,000	14,594,000	15,232,000	638,000
FTE	94	97	100	3

Table 6
COURT OF APPEALS
Detail Difference, FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Positions COLA	97	201,000	
	Current Positions WIG		47,000	
	Paralegal	1	70,000	
	Attorney	1	84,000	
	Appeals Mediation Officer	1	70,000	
<i>Subtotal, OC 11</i>				<i>472,000</i>
12 - Personnel Benefits	Current Positions COLA	97	53,000	
	Current Positions WIG		12,000	
	Paralegal	1	18,000	
	Attorney	1	22,000	
	Appeals Mediation Officer	1	18,000	
<i>Subtotal, OC 12</i>				<i>123,000</i>
Subtotal Personnel Services				595,000
21 - Travel, Transp. of Persons	Built-in Increases			2,000
22 - Transportation of Things				0
23 - Rent, Commun. & Utilities	Built-in Increases			2,000
24 - Printing & Reproduction	Built-in Increases			2,000
25 - Other Services	Built-in Increases			23,000
26 - Supplies & Materials	Built-in Increases			2,000
31- Equipment	Built-in Increases			12,000
Subtotal Non-Personnel Services				43,000
TOTAL		100		638,000

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

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-6	1	1	1
JS-7		1	1
JS-8	3	3	3
JS-9	9	9	9
JS-10	6	6	6
JS-11	44	44	46
JS-12	7	9	10
JS-13	8	8	8
JS-14	2	2	2
JS-15	3	3	3
CES	2	2	2
Associate Judge	8	8	8
Chief Judge	1	1	1
Total Salaries	9,854,000	10,059,000	10,531,000
Total FTEs	94	97	100

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA

Overview

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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>
909	121,000,000	905	124,400,000	922	129,019,000	17	4,619,000

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 122 judicial officers, including 62 active judges, 36 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 Division, and the Crime Victims Compensation Program. 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 2017, more than 89,000 new cases were filed with the Superior Court. Slightly more than half of the caseload (52%) was civil matters. The remainder of the new filings was 22% criminal, 12% family, 9% domestic violence matters, 3% probate, and 1% tax. 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>
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
2017	89,224	35,730	133,842

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

Table 2
**District of Columbia Superior Court
Efficiency Measures
(Fiscal Year 2017 data)**

	Cases Disposed	Cases Added	Clearance Rate*	Cases Pending		
				1-Oct	30-Sep	Change
Civil	47,365	47,457	100%	13,688	13,780	0.7%
Criminal**	19,129	19,129	100%	7,965	8,281	4.0%
Domestic Violence	8,069	8,072	100%	907	910	0.3%
Family	11,137	11,195	99%	3,132	3,190	1.9%
Probate	2,963	3,363	88%	8,060	8,460	5.0%
Tax	712	988	72%	1,978	2,254	14.0%
Total	89,375	90,204	99%	35,730	36,875	3.2%

*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.

**The number of disposed, added, and pending cases excludes cases in which bench warrants were issued, which were removed and placed in an “inactive” status.

FY 2020 Request

The D.C. Courts’ mission is to protect rights and liberties, uphold and interpret the law, and resolve disputes 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:

- Goal 1:** Access to justice for all
- Goal 2:** Fair and timely case resolution
- Goal 3:** Professional, engaged workforce
- Goal 4:** Resilient and responsive technology
- Goal 5:** Effective court management and administration

The FY 2020 budget request enhances three of the five strategic goals and includes performance projections for all core functions.

Goal 1: Access to Justice for All--\$131,000, 1 FTE

The Courts have a responsibility to eliminate barriers to meaningful participation in the judicial process and to accessing court services. Such barriers may include a lack of legal representation, limited literacy or limited English language skills, limited financial resources, and physical or mental disability. In collaboration with justice and community partners, the Courts must work to ensure full access to the justice system and court services.

The request includes \$131,000 for 1 FTE to assist self-represented litigants in the Probate Self-Help Center.

Goal 2: Fair and Timely Case Resolution--\$386,000, 4 FTEs

The Courts are committed to resolving disputes and legal matters in a fair and timely manner. The Courts must continue to provide due process and equal protection of the law, giving individual attention to each case and consistently applying the law in all cases.

The request includes \$262,000 for 2 FTEs to restore branch chief positions to lead workers in Family Court; and \$124,000 for 2 FTEs to staff courtrooms.

Goal 5: Effective Court Management and Administration--\$1,114,000, 12 FTEs

Effective management and operation of the justice system for the District of Columbia requires a team of knowledgeable professionals with a common mission and shared resources, collaborating to achieve results that best serve the public. The Courts are committed to fiscal accountability with respect to all Courts' resources. Confidence in the judicial system necessitates that each case management function -- trial and appellate -- understands the individual responsibilities and unique role of the other while leveraging opportunities for shared approaches to administrative functions.

The request includes \$1,114,000 and 12 FTEs to restore positions critical to public safety: staff that provides and support probation and psychological services to juveniles under court supervision.

Built-In Increases--\$2,848,000

The request also includes \$2,848,000 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 considerably lower turnover rate compared to the Federal government, which can finance within grade increases through higher turnover (7.4% in 2017 versus 16.7%, respectively).

Table 3
SUPERIOR COURT
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 – Compensation	81,673,000	84,817,000	88,169,000	3,352,000
12 – Benefits	19,596,000	19,595,000	20,445,000	850,000
<i>Subtotal Personal Services</i>	<i>101,269,000</i>	<i>104,412,000</i>	<i>108,614,000</i>	<i>4,202,000</i>
21 - Travel, Transp. of Persons	398,000	398,000	407,000	9,000
22 - Transportation of Things	14,000	14,000	15,000	1,000
23 - Rent, Commun. & Utilities	3,987,000	4,238,000	4,319,000	81,000
24 - Printing & Reproduction	583,000	582,000	599,000	17,000
25 - Other Services	12,917,000	12,919,000	13,177,000	258,000
26 - Supplies & Materials	945,000	944,000	969,000	25,000
31 – Equipment	887,000	893,000	919,000	26,000
<i>Subtotal Nonpersonal Services</i>	<i>19,731,000</i>	<i>19,988,000</i>	<i>20,405,000</i>	<i>417,000</i>
TOTAL	121,000,000	124,400,000	129,019,000	4,619,000
FTE	906	905	922	17

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA JUDGES AND CHAMBERS STAFF

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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>
248	33,300,000	248	33,300,000	248	34,079,000	0	779,000

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 CY 2017, 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 Division 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 Division, 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 Division, 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 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 2020 Request

In FY 2020, the Courts request \$34,079,000 for Judges and Chambers Staff, an increase of \$779,000 (2%) above the FY 2019 Enacted Budget. The requested increase consists entirely of built-in costs.

Table 1
JUDGES AND CHAMBERS STAFF
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	28,720,000	28,720,000	29,334,000	614,000
12 - Personnel Benefits	4,365,000	4,365,000	4,524,000	159,000
<i>Subtotal Personnel Services</i>	<i>33,085,000</i>	<i>33,085,000</i>	<i>33,858,000</i>	<i>773,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	29,000	29,000	30,000	1,000
25 - Other Services				
26 - Supplies & Materials	127,000	127,000	130,000	3,000
31 - Equipment	59,000	59,000	61,000	2,000
<i>Subtotal Non-Personnel Services</i>	<i>215,000</i>	<i>215,000</i>	<i>221,000</i>	<i>6,000</i>
TOTAL	33,300,000	33,300,000	34,079,000	779,000
FTE	248	248	248	0

Table 2
JUDGES AND CHAMBERS STAFF
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Position WIG	248	40,000	
	Current Position COLA		574,000	
<i>Subtotal 11</i>				<i>614,000</i>
12 - Personnel Benefits	Current Position WIG	248	10,000	
	Current Position COLA		149,000	
<i>Subtotal 12</i>				<i>159,000</i>
<i>Subtotal Personnel Services</i>				<i>773,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increase			1,000
25 - Other Service				
26 - Supplies & Materials	Built-in Increase			3,000
31 - Equipment	Built-in Increase			2,000
<i>Subtotal Non-Personnel Services</i>				<i>6,000</i>
Total				779,000

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

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	112	112	112
JS-11	46	46	46
JS-12	1	1	1
JS-13			
JS-14	3	3	3
JS-15 (Mag. Judge)	24	24	24
JS-22 (Assoc. Judge)	61	61	61
JS-21 (Chief Judge)	1	1	1
Total Salary	28,720,000	28,720,000	29,334,000
Total FTEs	248	248	248

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

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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	1,373,000	11	1,373,000	11	1,406,000	0	33,000

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 nine 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.

In FY2018, the Office of the Clerk of the Court assumed the direct management of the functions of the Auditor-Master. The primary mission of the Auditor-Master is to assist the Judiciary in its oversight and protection of assets under its jurisdiction. The Auditor-Master is charged with the responsibility of accurately and expeditiously investigating and stating financial accounts as directed by the Judiciary. The Auditor-Master 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 Auditor-Master 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 Auditor-Master 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

The Clerk of the Court has management and supervisory responsibility over all nine 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 Division, Family Court Operations Division, Family Court Social Services Division, Multi-Door Dispute Resolution Division, Probate Division, and Special Operations Division. 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. 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 Clerk is staffed by nine FTEs total. Five FTEs are assigned to the functions performed in the Office of the Clerk of the Court: the Clerk of Court, a Senior Operations Manager, a Senior Policy Analyst, and two administrative support staff. Four FTEs are assigned to the functions performed by the Auditor-Master: the Auditor-Master, an Attorney Advisor, a Legal Assistant, and an Administrative Assistant.

Workload Data

Table 1
AUDITOR MASTER
FY 2017 Caseload Overview

Case Activity			Cases Pending		
Reports (Dispositions)	Cases Referred	Clearance Rate	Oct 1	Sep 30	Change
81	71	114%	71	61	-14%

Table 2
AUDITOR MASTER
Projected FY 2018 Caseload Overview

Case Activity			Cases Pending		
Reports (Dispositions)	Cases Referred	Clearance Rate	Oct 1	Sep 30	Change
78	70	111%	61	53	-13%

Key Performance Indicators

Table 3
AUDITOR-MASTER
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2017		FY 2018		FY 2019		FY 2020	
			Goal	Actual	Goal	Projected	Goal	Estimate	Goal	Estimate
Output	Cases completed within 6 months	Monthly Reports	65%	30%	65%	40%	45%	40%	45%	45%
Output	Cases completed within 9 months	Monthly Reports	80%	53%	80%	60%	60%	60%	65%	65%
Output	Cases completed within 12 months	Monthly Reports	85%	64%	85%	70%	75%	70%	80%	75%
Output	Cases completed within 18 months	Monthly Reports	95%	76%	95%	85%	95%	95%	95%	95%

FY 2020 Request

For FY 2020, the D.C. Courts request \$1,406,000 for the Office of the Clerk of the Court, an increase of \$33,000 (2%) above the FY 2019 Enacted Budget. The FY 2020 request consists entirely of built-in cost increases.

Table 4
CLERK OF THE COURT
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	1,034,000	1,034,000	1,057,000	23,000
12 - Personnel Benefits	290,000	290,000	296,000	6,000
Subtotal Personnel Services	1,324,000	1,324,000	1,353,000	29,000
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	19,000	19,000	20,000	1,000
31 - Equipment	20,000	20,000	21,000	1,000
Subtotal Non-Personnel Services	49,000	49,000	53,000	4,000
TOTAL	1,373,000	1,373,000	1,406,000	33,000
FTE	11	11	11	0

Table 6
CLERK OF THE COURT
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Position WIG	11	2,000	
	Current Position COLA		21,000	
<i>Subtotal 11</i>				<i>23,000</i>
12 - Personnel Benefits	Current Position WIG	11	1,000	
	Current Position COLA		5,000	
<i>Subtotal 12</i>				<i>6,000</i>
<i>Subtotal Personnel Services</i>				<i>29,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				1,000
25 - Other Service				1,000
26 - Supplies & Materials	Built-in Increase			1,000
31 - Equipment				1,000
<i>Subtotal Non-Personnel Services</i>				<i>4,000</i>
Total				33,000

Table 7
CLERK OF THE COURT
Detail of Full-Time Equivalent Employment

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-6			
JS-7			
JS-8			
JS-9	1	1	1
JS-10	1	1	1
JS-11	2	2	2
JS-12	1	1	1
JS-13	1	1	1
JS-14	3	3	3
JS-15	1	1	1
JS-16			
JS-17			
CES	1	1	1
Total Salary	1,034,000	1,034,000	1,057,000
Total FTEs	11	11	11

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA CIVIL DIVISION

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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>
99	8,663,000	98	8,663,000	98	8,879,000	0	216,000

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 99 full time equivalent employees (FTEs). The Division processed 46,646 civil cases in FY 2017.

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 2017, there were more than 8,700 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 and issues notices for events, processes appeals and monitors cases for service of complaints and dismissals. The Branch manages and assigns courtroom clerks who process cases and assist judicial officers and courtroom participants for 21 civil calendar assignments. This branch has 34 FTEs.
3. The Landlord and 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 31,000 filings in fiscal year 2017. This branch has 19 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 2017, there were over 6,000 Small Claims cases filed. This branch has 16 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

Divisional Restructuring and/or Work Process Redesign

In January 2017, courtroom clerks from the Landlord and Tenant and Small Claims Branches were centralized in the Quality Review Branch with the other courtroom clerks. This personnel reorganization supported the Courts' goal of providing optimal resources to courtroom operations to ensure timely judicial decision-making. The Division is able to leverage its personnel to ensure courtroom coverage and provide better training opportunities for courtroom clerks.

In January 2017, a new interactive voice response telephone system was employed in the Landlord and Tenant Branch to support the more than 3,000 calls received a month. The new system provides 24/7 access to detailed, real time case information to litigants.

In May 2017, a conference center was opened for Landlord and Tenant litigants. The conference center is currently being used by the DC Bar Pro Bono Center to provide free legal services to court participants in the Landlord and Tenant and Small Claims and Conciliation Branches.

In August 2017, the Civil Division implemented a customer service protocol to communicate clear expectations and guidelines to staff and ensure respectful treatment of customers.

Workload Data

As shown in Table 1, the Civil Division disposed of 47,365 cases in Fiscal Year 2017, comprising more than half of the Courts' caseload, including 9,336 civil actions cases; 31,662 landlord and tenant cases; and 6,367 small claims cases. The Division maintains a caseload clearance rate of 100% (with a 102% clearance rate for civil actions cases, a 98% clearance rate for small claims cases and a 100% clearance rate for landlord and tenant cases). The Civil Division's current caseload and efficiency measures are reflected in Table 1, and the key performance measures are displayed in Table 2.

Table 1
CIVIL DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2017 Data)

	Case Filings	Dispositions	Clearance Rate*	Pending Cases		
				1-Oct	30-Sep	Change
Civil Actions	8,750	9,336	102%	7,586	7,395	-2.5%
Landlord & Tenant	31,531	31,662	100%	4,207	4,342	3.2%
Small Claims	6,365	6,367	98%	1,895	2,043	7.8%
Total	46,646	47,365	100%	13,688	13,780	0.7%

*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 2017		FY 2018		FY 2019		FY2020	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Outcome	Customers rating service good to outstanding	Customer Surveys	95%	95%	95%	95%	95%	95%	95%	95%
Input	Staff trained for electronic case filing	Management Reports	90%	84%	95%	95%	95%	95%	95%	95%
Input	Case processing activities performed within established time standards and SOPs	Management Reports	90%	88%	90%	90%	90%	90%	90%	90%
Output	Fillable forms available to the public via internet	Management Reports	90%	100%	100%	100%	100%	100%	100%	100%
Output	Staff attending special population and diversity training	Management Reports	20%	50%	25%	50%	50%	50%	50%	50%

FY 2020 Request

In FY 2020, the Courts request \$8,879,000 for the Civil Division, an increase of \$216,000 (3%) above the FY 2019 Enacted Budget. The FY 2020 request consists entirely of built-in cost increases.

Table 3
CIVIL DIVISION
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 – Personnel Compensation	6,687,000	6,687,000	6,856,000	169,000
12 – Personnel Benefits	1,873,000	1,873,000	1,917,000	44,000
<i>Subtotal Personnel Services</i>	<i>8,560,000</i>	<i>8,560,000</i>	<i>8,773,000</i>	<i>213,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	44,000	44,000	45,000	1,000
25 - Other Services				
26 - Supplies & Materials	34,000	34,000	35,000	1,000
31 – Equipment	25,000	25,000	26,000	1,000
<i>Subtotal Non-Personnel Services</i>	<i>103,000</i>	<i>103,000</i>	<i>106,000</i>	<i>3,000</i>
TOTAL	8,663,000	8,663,000	8,879,000	216,000
FTE	99	98	98	0

Table 4
CIVIL DIVISION
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Positions WIG	98	35,000	
	Current Positions COLA		134,000	
<i>Subtotal 11</i>				<i>169,000</i>
12 - Personnel Benefits	Current Positions WIG	98	9,000	
	Current Positions COLA		35,000	
<i>Subtotal 12</i>				<i>44,000</i>
<i>Subtotal Personnel Services</i>				<i>213,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Services				
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				<i>3,000</i>
TOTAL				216,000

Table 5
CIVIL DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-6	11	13	13
JS-7	10	12	12
JS-8	27	23	23
JS-9	24	24	24
JS-10	7	6	6
JS-11	6	7	7
JS-12	3	3	3
JS-13	8	7	7
JS-14	1	1	1
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salaries	6,687,000	6,687,000	6,856,000
Total FTEs	99	98	98

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

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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	1,329,000	12	1,329,000	12	1,367,000	0	38,000

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 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. Compensable expenses include medical costs, mental health counseling, funeral bills, lost wages and support, the cost of temporary emergency housing and moving expenses made necessary as the result of a crime, replacement of clothing held as evidence, and costs associated with cleaning a crime scene. Applications are filed, investigated, and adjudicated by Crime Victims 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. Program staff also engages in outreach to ensure the community is aware of services.

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 conducting the victim interview, inputting the application into the case management system, examining and investigating the claim, approving/denying the claim, and paying for compensable services. This office has 13 FTEs: Director, one Accounting Officer, one Administrative Assistant, six Legal Claims Examiners, three Assistant Legal Claims Examiners, and one Accounting Technician. Two positions, a Legal Claims Examiner and an Assistant Legal Claims Examiner, are currently financed by grant and administrative funds.

Of note, during FY 2018 the number of funded Legal Claims Examiner positions decreased from seven to six. The decrease in staff may lead to increased case processing times; however, the Crime Victims Compensation Program is committed to finding improved business processes to increase efficiencies without requesting additional staff.

Crime Victims Compensation Program Funding

Nearly \$9.5 million in payments to victims during calendar year 2017 were 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.³

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.
- Explore enhanced processing, customer service, and case management through the use of electronic sign-in for claimants who visit the office.
- 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.
- Increase employee participation in the court wide values initiative.
- Continue collaboration with victim service providers to ensure that sufficient temporary emergency shelter sites are in place and service protocols are followed.
- Participate in the Crime Victims Compensation Advisory Commission to review current rules, and their application in everyday service provision.

³ 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.

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 increase the community's knowledge and strengthen program outreach, the Crime Victims Compensation Program has increased the number of outreach initiatives, and increased efforts to participate in community driven efforts, such as the D.C. Collaborative on Domestic Violence and Human Services. In addition, the program has continued to focus on efforts to streamline protocols previously established with major agencies and community advocacy groups. 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 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 protocol enhancements allow for faster case processing and eligibility consideration. Applications, as well as informational brochures, are provided to victims by these organizations. Cross training opportunities have increased, along with higher levels of understanding regarding program procedures. 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 Southeast Domestic Violence Intake Center (S.E. DVIC), located at the United Medical Center in Southeast, Washington D.C., 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. The location of the S.E. DVIC allows for the program to meet clients in their community.

The number of visitors to the S.E. DVIC is considerable given there is only one program staff person available. The staffing decrease may affect the program's ability to maintain a presence in the satellite office as limited staff resources may need to be centralized in the main (N.W.) office.

Workload Data

Table 1
CRIME VICTIMS COMPENSATION PROGRAM
Caseload Overview

	Actual FY 2017	FY 2018 Estimated	% Change
New Cases Filed	3,674	3,018	-18%
Determinations Made	9,925	3,020	-23%
Number of Cases Pending at End of Fiscal Year	397	395	0%

Key Performance Indicators

Table 2
CRIME VICTIMS COMPENSATION PROGRAM
Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY 2017		FY 2018		FY 2019		FY 2020	
			Goal	Actual	Goal	Estimated ⁴	Goal	Projection ⁵	Goal	Projection
Input	New claims filed	Case Management Software	4,000	3,674	4,000	3,018	3,500	3,300	3,500	3,300
Output	Claims processed	Case Management Software	4,150	3,925	4,150	3,020	3,600	3,400	3,600	3,400
Outcome	Amount of payments	Case Management Software	\$8.0M	\$7.0M	\$8.0M	\$6.5M	\$7.5M	\$7.2M	\$7.5M	\$7.2M
Outcome	Avg. claim processing time	Case Management Software	7 weeks	7 weeks	7 weeks	6 weeks	5 weeks	5 weeks	5 weeks	5 weeks

Building and maintaining relationships with advocacy groups, and service providers, allows the program to receive consolidated claim applications and invoices. This consolidation frees time spent during the intake process; therefore, providing the Claims Examiner with more time to review the claim and provide timely financial assistance to victims and their families.

FY 2020 Request

For FY 2020, the D.C. Courts request \$1,367,000 for the Crime Victims Compensation Program, an increase of \$38,000 (3%) above the FY 2019 Enacted Budget. The requested increase consists entirely of built-in cost increases.

⁴ This information is based on trends associated with the first seven months of FY 2018.

⁵ This information is based on trends for FY 2016, FY 2017, and FY 2018 (estimated).

Table 3
CRIME VICTIMS COMPENSATION PROGRAM
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	1,010,000	1,010,000	1,037,000	27,000
12 - Personnel Benefits	282,000	282,000	289,000	7,000
<i>Subtotal Personnel Services</i>	<i>1,292,000</i>	<i>1,292,000</i>	<i>1,326,000</i>	<i>34,000</i>
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	20,000	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
<i>Subtotal Non-Personnel Services</i>	<i>37,000</i>	<i>37,000</i>	<i>41,000</i>	<i>4,000</i>
TOTAL	1,329,000	1,329,000	1,367,000	38,000
FTE	12	12	12	

Table 4
CRIME VICTIMS COMPENSATION PROGRAM
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Positions WIG	12	7,000	
	Current Position COLA		20,000	
<i>Subtotal, 11</i>				<i>27,000</i>
12 - Personnel Benefits	Current Position WIG	12	2,000	
	Current Position COLA		5,000	
<i>Subtotal, 12</i>				<i>7,000</i>
<i>Subtotal Personnel Services</i>				<i>34,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Services	Built-in Increases			1,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				<i>4,000</i>
Total				38,000

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

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-6			
JS-7			
JS-8			
JS-9	3	3	3
JS-10	2	1	1
JS-11		1	1
JS-12	5	5	5
JS-13			
JS-14	1	1	1
JS-15			
CEMS			
CES	1	1	1
Total Salaries	1,010,000	1,010,000	1,037,000
Total FTEs	12	12	12

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA CRIMINAL DIVISION

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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>
108	10,566,000	108	10,566,000	108	10,812,0000	0	246,000

Mission Statement

The Criminal Division's mission is to provide efficient case processing; professional 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. 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 8 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. This branch has 19 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 three sections, the Warrant Office, the Criminal Finance Office and Customer Service. 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. The Criminal Information Section provides the public with access to accurate criminal case information. This branch has 16 FTEs.
- The Criminal Division oversees the operations of several specialized, diversion, and community courts and the Community Court Office supports these courts. These courts include the Mental Health Community Court (MHCC), Drug Court (SCDIP-Superior Court Drug Intervention Program), First District Community Court, Second District/Fourth District Community Court, Third District Community Court, Fifth District Community Court, Sixth District Community Court, Seventh District Community Court, D.C./Traffic 1 Calendar, D.C./Traffic 2 Calendar, and D.C./Traffic 3 Calendar. These Community Courts are novel in that they not only hold offenders accountable for their actions but also ensure the defendants receive needed drug and mental health treatment, linkages to social services and, when appropriate, ongoing judicial monitoring. The Community Court currently has 8 FTEs.

Criminal Division MAP Objectives

The Criminal Division's strategic objectives for FY 2020 are as follows:

- Ensure that Criminal Division cases are resolved in a timely and efficient manner by maintaining performance standards within statutory and administrative requirements that address time standards, trial certainty, staggered schedules, age of pending caseload, and accuracy of court records.
- 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 physical, emotional, social, and financial health of employees by promoting well-being initiatives.
- Provide targeted services for elderly court users, individuals with mental health challenges, and other groups by implementing Mental Health Community Court Intensive Probation Supervision Program.
- 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.
- Support veterans in the justice system through the Veteran's Navigator Program. The goal of the Program is to identify civil legal needs and social service needs of veterans and connect them to pro bono legal services and other social services.
- Enhance the effectiveness of juror usage practices by analyzing juror usage processes and implementing best practices for juror summoning, and developing a plan to estimate the number of jurors required.

Divisional Restructuring and/or Work Process Redesign

The Criminal Division continues to work with the Metropolitan Police Department (MPD) and the Criminal Justice Coordinating Council on a grant to return the responsibility of entering, updating and clearing warrants in the Washington Area Law Enforcement System (WALES) back to MPD. 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 expected to be completed by March 2019.

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 27,245 cases in 2017. This includes 1,807 D.C. misdemeanors; 6,161 felony cases; 5,348 traffic cases and 13,929 U.S. misdemeanors.

Table 1
CRIMINAL DIVISION
Caseload and Efficiency Measures (Calendar Year 2017)

	New Filings (includes reactivated & reopened cases)	Pending Cases 31-Dec	Dispositions	Clearance Rate*
D.C. Misdemeanor	1,826	329	1,807	99%
Felony	6,067	2,641	6,161	102%
Traffic	5,534	1,771	5,348	97%
U.S. Misdemeanors	13,568	3,261	13,929	103%
Total	26,995	8,002	27,245	101%

* 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 FY 2017

Time to Disposition			
Case Type	Key Performance Indicator: Cases Resolved within--	Goal	Actual
Felony I (Murder, Sexual Assault, etc.)	12 months	75%	83%
	18 months	90%	92%
	24 months	98%	96%
Felony II	6 months	75%	71%
	9 months	90%	82%
	12 months	98%	91%
AFTC	6 months	75%	68%
	9 months	90%	82%
	12 months	98%	93%
U.S. Misdemeanor	4 months	75%	70%
	6 months	90%	87%
	9 months	98%	96%
D.C. Misdemeanor	4 months	75%	89%
	6 months	90%	95%
	9 months	98%	99%
D.C. Traffic	3 months	75%	73%
	6 months	90%	93%
	9 months	98%	98%
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%	68%
Felony II		70%	77%
AFTC		70%	65%
U.S. Misdemeanor		70%	100%
Traffic		70%	83%
Trial Certainty: Non-Jury Trials			
Case Type	Key Performance Indicator	Goal	Actual
Felony	Cases resolved by the second trial date	80%	78%
U.S. Misdemeanor		80%	86%
D.C. Misdemeanor		80%	82%
Traffic		80%	83%

FY 2020 Request

In FY 2020, the D.C. Courts request \$10,812,000 for the Criminal Division, an increase of \$246,000 (2%) above the FY 2019 Enacted Budget. The requested increase consists entirely of built-in costs.

Table 3
CRIMINAL DIVISION
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11-Personnel Compensation	8,154,000	8,154,000	8,346,000	192,000
12-Personnel Benefits	2,284,000	2,284,000	2,334,000	50,000
<i>Subtotal Personnel Services</i>	<i>10,438,000</i>	<i>10,438,000</i>	<i>10,680,000</i>	<i>242,000</i>
21-Travel, Transp. of Persons				
22-Transportation of Things				
23-Rent, Commun. & Utilities				
24-Printing & Reproduction	69,000	69,000	71,000	2,000
25-Other Services				
26-Supplies & Materials	30,000	30,000	31,000	1,000
31-Equipment	29,000	29,000	30,000	1,000
<i>Subtotal Non-Personnel Services</i>	<i>128,000</i>	<i>128,000</i>	<i>132,000</i>	<i>4,000</i>
TOTAL	10,566,000	10,566,000	10,812,000	246,000
FTE	108	108	108	0

Table 4
CRIMINAL DIVISION
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Positions WIG	108	29,000	
	Current Position COLA		163,000	
<i>Subtotal 11</i>				<i>192,000</i>
12 - Personnel Benefits	Current Positions WIG	108	8,000	
	Current Positions COLA		42,000	
<i>Subtotal 12</i>				
<i>Subtotal Personnel Services</i>				<i>50,000</i>
21 - Travel, Transp. of Persons				<i>242,000</i>
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			
25 - Other Service	Built-in Increase			2,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				<i>4,000</i>
Total				246,000

Table 5
CRIMINAL DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-3			
JS-4			
JS-5			
JS-6	2	2	2
JS-7	7	2	2
JS-8	32	33	33
JS-9	34	39	39
JS-10	16	14	14
JS-11	3	3	3
JS-12	5	5	5
JS-13	7	7	7
JS-14	1	1	1
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	8,154,000	8,154,000	8,346,000
Total FTEs	108	108	108

**SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
DOMESTIC VIOLENCE DIVISION**

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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	2,573,000	29	2,573,000	29	2,633,000	0	60,000

The Superior Court’s Domestic Violence Division 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 Division is to resolve domestic violence disputes, protect domestic violence victims, and hold perpetrators accountable.

The Domestic Violence Division 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 Division is comprised of 28 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 Division'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 Division 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 Division case management system by implementing new technology to improve data collection and ensuring the Division is meeting its performance standards.
- Continue to leverage technology by expanding the function of the Electronic Check-In System to allow parties to electronically sign orders.
- 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 Division 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.
- Continue to collaborate with organizations that provide services for respondents to ensure both parties in a domestic violence cases have access to justice.
- Implement policy changes, update procedures and forms as required by the new Domestic Violence Rules.

- Provide a video presentation to litigants in the Clerk's Office waiting room explaining the filing process.

Restructuring or Work Process Redesign

The Domestic Violence Division 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 Division serves victims of stalking, sexual abuse, and sexual assault. The Division, 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 Division 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 2017, the Domestic Violence Division processed 8,246 new filings and reinstated cases and 8,222 disposed cases. Table 1 below provides caseload data for the Domestic Violence Division. Table 2 provides performance data for the Domestic Violence Division. Please note that current data for FY 2018 shows a significant increase in domestic violence misdemeanors cases.

Table 1
DOMESTIC VIOLENCE DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2017 Data)

	Cases Added*	Cases Disposed	Clearance Rate**	Cases Pending		
				1-Oct	30-Sep	Change
Criminal Contempt Cases	120	136	113%	70	54	-26%
Intrafamily (Protection Orders)	6,316	6,251	99%	324	389	18%
Paternity & Child Support	54	30	56%	21	45	72%
U.S. Misdemeanors	<u>1,756</u>	<u>1,818</u>	104%	<u>583</u>	<u>521</u>	-11%
Total	8,246	8,222	100%	998	1,009	1%

* Includes cases filed and reopened cases.

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

Table 2
DOMESTIC VIOLENCE DIVISION
Key Performance Measures

Type of Indicator	Key Performance Indicator	Data Source	FY 2017		FY 2018		FY 2019		FY 2020	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output/Activity	Hearings/events scheduled	Yearly stats/Random sample	39,800	38,292	39,900	39,900	40,000	40,000	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	8,222	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 2020 Request

The D.C. Courts' FY 2020 request for the Domestic Violence Division is \$2,633,000, an increase of \$60,000 (3%) above the FY 2019 Enacted Budget. The requested increase consists entirely of built-in costs.

Table 3
DOMESTIC VIOLENCE DIVISION
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 – Compensation	1,994,000	1,994,000	2,040,000	46,000
12 – Benefits	559,000	559,000	571,000	12,000
<i>Subtotal Personnel Services</i>	<i>2,553,000</i>	<i>2,553,000</i>	<i>2,611,000</i>	<i>58,000</i>
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
<i>Subtotal Non-Personnel Services</i>	<i>20,000</i>	<i>20,000</i>	<i>22,000</i>	<i>2,000</i>
TOTAL	2,573,000	2,573,000	2,633,000	60,000
FTE	29	29	29	0

Table 4
DOMESTIC VIOLENCE DIVISION
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Position WIG	29	6,000	
	Current Position COLA		40,000	
<i>Subtotal 11</i>				<i>46,000</i>
12 - Personnel Benefits	Current Position WIG	29	2,000	
	Current Position COLA		10,000	
<i>Subtotal 12</i>				<i>12,000</i>
<i>Subtotal Personnel Services</i>				<i>58,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				<i>2,000</i>
Total				60,000

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

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-6	2	3	3
JS-7		1	1
JS-8	9	9	9
JS-9	10	8	8
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
Total Salaries	1,994,000	1,994,000	2,040,000
Total FTEs	29	29	29

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

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/FY 2020</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>
158	15,332,000	155	15,332,000	159	16,064,000	4	732,000

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 enhanced 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 and six administrative branches, along with the following offices: the Counsel for Child Abuse and Neglect, the Family Self Help-Center, the Legal Section, the Family Treatment Court, and the Fathering Court.

1. 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 10 FTEs.
2. 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. The CIC also manages the Marriage Bureau. The Marriage Bureau 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 26 FTEs.

3. 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 45 FTEs.
4. The Domestic Relations Branch processes divorce, annulment, custody, termination of parental rights, and adoption cases. This branch has 19 FTEs. 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 16 FTEs.
5. The Mental Health and Mental Habilitation Branch is responsible for matters involving the emergency hospitalization or commitment 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 Paternity and Child Support Branch processes paternity actions and requests to establish, modify, and enforce child support orders. This branch has 17 FTEs.
7. 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 office has 3 FTEs.
8. The Family Self-Help Center provides legal information and assistance to self-represented parties. This office has 4 FTEs.
9. The Legal Section consists of the Family Court attorneys, including the attorney negotiators, attorney advisors, staff attorney, and the branch chiefs for CCAN and the Self-Help Center. This office has 6 FTEs. 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 12 FTEs.
10. The Fathering Court, a partnership between Family Court and the District of Columbia Office of Child Support Enforcement Services Division, 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.

The Family Court Operations Division Management Action Plan Objectives

- Promote a competent and well-trained Family Court CCAN and GAL Panel by continuing to ensure compliance with Practice Standards and certification requirements and conducting annual training and monthly brown bag sessions for attorneys.
- Ensure access to court services by providing Mental Habilitation Advocates.
- Promote access to legal services for litigants without lawyers.
- Provide efficient and timely case processing by performing division case processing activities within established time frames and standard operating procedures.
- Ensure case management and division performance by collaborating with judicial leadership to achieve established Administrative Order case processing time standards.
- Promote timely case resolution by completing home studies within established time standards.

- Enhance employee engagement by holding monthly Director's Office brown bag lunches with employees.
- The D.C. Courts will be accountable to the public.
- Ensure the effectiveness of court operations by providing legal analysis of statutes and case law and monitoring compliance with D.C. Code, e.g., §16-2310 (e).
- Manage and report on Family Court case data through various reports and presentations.
- Institute an Attorney Negotiator Pilot Project to determine baseline negotiated success rates.
- Enhance case processing, information management, and performance measurement and reporting through targeted technology investments.
- Implement an electronic case processing system ("paperless") for all case types except Adoptions and Relinquishments.
- Monitor Call Center performance to determine its effectiveness in resolving customer inquiries and enhancing customer satisfaction.

Workload Data

There were 2,995 pending pre-disposition cases in the Family Court on January 1, 2017. During calendar year 2017, there were a total of 10,684 new cases filed and 249 cases reopened in the Family Court. During the same period, 10,792 cases were disposed. As a result, there were 3,136 cases pending in the Family Court on December 31, 2017 (Table 1).

Table 1
FAMILY COURT OPERATIONS DIVISION
2017 CASE ACTIVITY

	New Case Filings	Pending Cases Jan. 1	Reopened	Total Available for Disposition	Dispositions ²	Pending Cases Dec. 31	Percent Change in Pending	Clearance Rate ³
Abuse & Neglect	362	157	4	523	359	164	4.5%	98%
Adoption	229	155	6	390	225	165	6.5%	96%
Divorce & Custody	4,632	1,205	79	5,916	4,684	1,232	2.2%	99%
Juvenile ⁴	1,577	564	34	2,175	1,520	655	16.1%	94%
Mental Health	1,947	106	121	2,174	2,062	112	5.7%	100%
Mental Habilitation	0	1	0	1	1	0	100%	N/A
Paternity & Child Support	1,937	807	5	2,749	1,941	808	0.1%	100%
TOTAL	10,684	2,995	249	13,928	10,792	3,136	4.7%	99%

¹Figures for Abuse & Neglect, Adoption, Divorce & Custody, Juvenile, Mental Health, and Paternity & Child Support were adjusted after an audit of these caseloads.

²A Family Court case is considered disposed when a permanent order has been entered, except for Paternity & Child Support cases. Paternity & Child Support cases are disposed when a temporary order is entered.

³The 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 over 100% indicate that the court disposed of more cases than were added, thereby reducing the pending caseload.

⁴Includes cases involving Delinquency, Persons in Need of Supervision (PINS), and Interstate Compact.

Table 2
FAMILY COURT OPERATIONS DIVISION
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	2017		2018		2019		2020	
			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%	98%	98%	98%	98%	98%
Time to Disposition	Child Support: 90% within 18 months		90%	96%	90%	90%	90%	90%	90%	90%
Time to Disposition	Neglect (Child Removed): 100% with 105 days		100%	90%	100%	100%	100%	100%	100%	100%
Time to Disposition	Neglect (Child Not Removed): 100% with 45 days		100%	90%	100%	100%	100%	100%	100%	100%
Time to Disposition	Juvenile (Released): 98% with 270 days		98%	90%	100%	100%	100%	100%	100%	100%
Persons Assisted	Number of Persons Assisted in the Self Help Center	Family Statistics	8,800	9,023	9,100	9,050	9,100	9,100	9,100	9,100

FY 2020 Request

In FY 2020, the D.C. Courts' request for the Family Court Operations Division is \$16,064,000, an increase of \$732,000 (5%) above the FY 2019 Enacted Budget. The FY 2020 request includes \$262,000 for 2 FTEs to restore critical branch chief positions to lead workers in the Central Intake Center and Counsel for Child Abuse and Neglect branches; \$124,000 for 2 FTEs to restore critical positions to staff courtrooms; and \$346,000 for built-in costs.

****Leading in Family Court, 2 FTEs, \$262,000***

Branch Chief, Central Intake Center (JS-13)

Branch Chief, Counsel for Child Abuse and Neglect (JS-13)

Problem Statement. The Branch Chief positions provide leadership and oversight of branch operations.

The Branch Chief supervises 13 employees who staff the Central Intake Center, the central point of filing for all Family Court cases--adoptions, domestic relations, termination of parental rights, guardianship, juvenile, neglect, mental health, mental habilitation and paternity and support cases. The position is also responsible for safeguarding all filing fees collected. During calendar year 2017, there were a total of 10,684 new cases filed and 249 cases reopened in the Family Court.

* Request to restore a critical position that was eliminated in FY 2018 due to budget constraints.

The Branch Chief for Counsel for Child Abuse and Neglect is responsible for supervising two employees, overseeing over 100 Counsel for Child Abuse and Neglect (CCAN) and Guardian *Ad Litem* (GAL) Panel attorneys who seek appointment to represent children and families in neglect and abuse cases, monitoring attorney compliance with CLE requirements and Attorney Practice Standards, and coordinating and developing training and continuing legal education initiatives for panel attorneys. The Branch Chief serves on the Court Improvement Project Advisory Committee and other court committees as needed and works closely with the Family Director's Office and the Presiding and Deputy Presiding Judges of the Family Court in implementing court initiatives regarding attorney representation in neglect and abuse cases. In 2017, 341 new neglect and abuse cases were filed, 939 attorneys were appointed to the new cases, and 535 attorneys were assigned to existing cases. Currently, the functions performed by the Branch Chief have been reassigned to the Supervisory Attorney-Advisor to perform in addition to her existing duties.

Relationship to the Courts' Vision, Mission, and Goals. These positions support the Courts' Strategic Goal I, "Access to Justice for All" and Strategic Goal II, Fair and Timely Case Resolution."

Relationship to Division MAP Objectives. These requests are directly linked to the Division's MAP objectives of promoting a competent and well-trained Family Court CCAN and GAL Panel by continuing to ensure compliance with Practice Standards and certification requirements and conducting annual training and monthly brown bag sessions for attorneys; promoting access to legal services for litigants without lawyers; and providing efficient and timely case processing by performing division case processing activities within established time frames and standard operating procedures.

Proposed Solution. Restore funding for the Branch Chief of the Central Intake Center and the Branch Chief of the Counsel for Child Abuse and Neglect Office.

Methodology. The grade level for these positions is determined in accordance with the Courts' Personnel Policies.

Expenditure Plan. The Family Court Operations Division will recruit and hire in accordance with the Courts' Personnel Policies.

Relationship to Existing Funding. Due to budget reductions, the funding for these positions was eliminated, and is not currently available in the Courts' budget.

Performance Indicators. Performance indicators include the timely assignment of attorneys to child abuse and neglect cases, and an increase in operational efficiencies and customer satisfaction.

****Staffing Courtrooms, 2 FTEs, \$124,000***

Courtroom Clerk, Courtroom Support and Quality Review Branch (JS-7/8/9)

Problem Statement. The Courtroom Support and Quality Review Branch provides daily courtroom support to the Division's calendars. Courtroom clerks are responsible for capturing and maintaining a record of court proceedings and for entering case information in the docket during and after the proceedings. The courtroom clerk also supports the operations of the courts by performing the following duties: assembling all cases to be heard by the court prior to the judge taking the bench; recording judicial proceedings and decisions on official court documents; administering oaths to witnesses; preparing judicial summonses, bench warrants, arrest warrants and other legal documents as directed by a judge; managing the operations of the courtrooms of the Family Court Operations Division; and providing administrative support as assigned.

In FY 2017, the Courtroom Support and Quality Review Branch was staffed with 36 courtroom clerks. Since January 2018, the Family Court Operations Division has operated with 34 courtroom clerk positions. At current staffing levels, the Family Court Operations Division's Courtroom Support and Quality Review Branch is challenged to maintain operations as it is difficult to cover courtroom assignments.

Relationship to the Courts' Vision, Mission, and Goals. This request will support the accomplishment of the following goals: Goal I, "Access to Justice for All" and Goal II, "Fair and Timely Case Resolution." Adequate staffing in the Family Court Operations Courtroom Support and Quality Review Branch will ensure that courtroom support is provided without undue delay to litigants, members of the bar, and judicial officers. Courtroom clerks are instrumental in accomplishing the Division's objective to minimize wait times and delays for court participants and to process cases timely.

Relationship to Division MAP Objectives. This request is directly linked to the Division's MAP objectives to provide efficient and timely case processing by performing division case processing activities within established time frames and standard operating procedures.

Proposed Solution. Restore funding for the two courtroom clerk positions.

Methodology. The grade level for these positions is determined in accordance with the Courts' Personnel Policies.

Expenditure Plan. The Family Court Operations Division will recruit and hire in accordance with the Courts' Personnel Policies.

Relationship to Existing Funding. Due to budget reductions, the funding for these positions was eliminated, and is not currently available in the Courts' budget.

Performance Indicators. Provide courtroom clerk support to judicial officers in a timely manner and enter case outcomes for 100% of events in real time.

* Request to restore a critical position that was eliminated in FY 2018 due to budget constraints.

Table 3
FAMILY COURT OPERATIONS DIVISION
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Cost
Branch Chief, Central Intake Center	JS-13	1	105,000	26,000	131,000
Branch Chief, Counsel for Child Abuse and Neglect	JS-13	1	105,000	26,000	131,000
Courtroom Clerk	JS-7/8/9	2	100,000	24,000	124,000
Total		4	310,000	76,000	386,000

Table 4
FAMILY COURT OPERATIONS DIVISION
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	10,795,000	10,795,000	11,356,000	561,000
12 - Personnel Benefits	3,022,000	3,022,000	3,163,000	141,000
<i>Subtotal Personnel Services</i>	<i>13,817,000</i>	<i>13,817,000</i>	<i>14,519,000</i>	<i>702,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	88,000	88,000	90,000	2,000
25 - Other Services	1,046,000	1,046,000	1,066,000	20,000
26 - Supplies & Materials	45,000	45,000	46,000	1,000
31 - Equipment	336,000	336,000	343,000	7,000
<i>Subtotal Non-Personnel Services</i>	<i>1,515,000</i>	<i>1,515,000</i>	<i>1,545,000</i>	<i>30,000</i>
TOTAL	15,332,000	15,332,000	16,064,000	732,000
FTE	158	155	159	4

Table 5
FAMILY COURT OPERATIONS DIVISION
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Positions WIG	155	216,000	
	Current Positions COLA		35,000	
	Branch Chief (Central Intake Center)	1	105,000	
	Branch Chief (Counsel for Child Abuse and Neglect)	1	105,000	
	Courtroom Clerk	2	100,000	
<i>Subtotal 11</i>				<i>561,000</i>
12 - Personnel Benefits	Current Positions WIG	155	56,000	
	Current Positions COLA		9,000	
	Branch Chief (Central Intake Center)	1	26,000	
	Branch Chief (Counsel for Child Abuse and Neglect)	1	26,000	
	Courtroom Clerk	2	24,000	
<i>Subtotal 12</i>				<i>141,000</i>
Subtotal Personnel Services				702,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			2,000
25 - Other Services	Built-in Increases			20,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			7,000
Subtotal Non-Personnel Services				30,000
TOTAL				732,000

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

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-5	1	1	1
JS-6	7	6	6
JS-7	11	13	15
JS-8	50	53	53
JS-9	35	32	32
JS-10	19	18	18
JS-11	11	8	8
JS-12	7	8	8
JS-13	14	13	15
JS-14	1	1	1
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salaries	10,795,000	10,795,000	11,356,000
Total FTEs	158	155	159

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

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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>
128	21,305,000	128	21,305,000	140	22,886,000	12	1,581,000

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 their families through the provision and coordination of positive youth development frameworks, comprehensive services, and community supervision to enhance public safety and prevent recidivism.

Organizational Background

As the juvenile probation agency for the nation's capital, which includes pre-trial services and supervision as well as 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 Rehabilitation 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 for the CSSD, co-located Absconder oversight and activities across the Division in accordance with the District of Columbia Municipal Code. The office has 4 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, coordinates reimbursement for

contractual service providers, and compiles CSSD's data. The COMDAF Unit is also responsible for developing Statements of Work and convening Source Solicitation Evaluation Boards that enable the CSSD to procure services for youth and families via solicitations managed by the Administrative Services Division. The Unit also coordinates the Division's general internships and staff training. The unit has 4 FTEs.

- The Intake Services and Delinquency Prevention Branch - ISDP is comprised of three (3) teams, including two (2) teams 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 Connors and STAR assessments; presenting all referrals before a judicial officer presiding over the juvenile new referrals calendar (JM-15); 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 Teams I and II operate 24 hours a day, seven days a week. The branch consists of 20 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 youth's 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 36 FTEs.
- The Pre/Post Probation Supervision, Status Offender & Solution Courts 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 youth's case. The branch is also complimented by a unit, specifically created to respond to the needs of status offenders and youth presenting with Principle mental health diagnoses, 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 Solution Courts - SOSOC team 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). This branch consists of 49 FTEs.

- The Child Guidance Clinic - CGC Branch provides 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 Conners 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 placements. The Unit has 5 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 hours of referral, ensuring sound detention/release and petitioning recommendations (subsequent to consultation with the Office of the Attorney General, and expeditious case processing initiation by transferring 99% of all cases to appropriate units within three business days of initial hearing.
- Ensure Conners and Sex Trafficking Assessment Review - STAR screening tools are utilized on all youth 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 and/or the Court ordered by processing all referrals and invoices within seven days of the probation officer of record receiving the case.
- Coordinate and facilitate Family Group Conferences 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 95% of all juveniles.
- 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 Response Matrix guided by a behavioral modification token economy, detailing incentives for youth in compliance with court conditions, and the imposition of responses 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 Capital Projects and Facilities Management Division, the Superior Court completed Phase I construction for the Courts' sixth 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 within the city's juvenile justice system, and securing a sound infrastructure consistent with the Strategic Plan of the District of Columbia Courts, the Division continued to enhance major components of its logic-model. In 2018, the CSSD developed four pillars to enhance its BARJ philosophy and principles. The pillars include: 1.) Accountability - which underscores we are all accountable for our actions; 2.) Competency Development - which underscores crime reduction is contingent on society's ability to aid individuals in the development of acceptable norms and values which govern our behavior; 3.) Community Restoration - which underscores when a crime occurs communities, victims and wrongdoers must be restored to an equal or better state such that members of the community can continue developing; and 4.) Community Safety - which underscores societies are responsible for the safety of all individuals. 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 2018, the CSSD continued to utilize its Balanced and Restorative Justice - BARJ Graduated Responses Matrix (GRM) developed to guide youth, aid competency development, increase compliance with Court-ordered conditions, and enable timely responses for youth. The GRM 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 GRM, and advised they have a great stake in their process and progress.

Workload Data

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

Case Type	New Cases	Cases Closed	Cases Pending Beginning of Year	Cases Pending End of Year
Juvenile Intake	2,816	2,816	0	0
Pre/ Post Disp. Supervision	1,417	1,524	550	502
Status Offenders	198	222	143	108
Behavioral Health Court	118	93	44	62
Domestic Relations*	129	124	14	19
Child Guidance Clinic	572	537	10	15

*Function was transferred to Family Court Operations in FY 2018.

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 monthly cases average of total CSSD cases	Superior Court Data	1,450	1,000	1,100	850	1,000	900	1,000	900
Juveniles under supervision and drug screening conducted (youth screened at lockup)	Pretrial Services Data	1,200	1,007	1,200	1,000	1,100	950	1,050	925
Juvenile probationers screening positive for drugs during probation	Pretrial Services Data	600	501	600	500	585	585	575	575
Juveniles successfully completing probation	CSSD Statistical Reports	90%	80%	85%	85%	88%	88%	90%	90%
Juveniles arrested for new offenses during probation	Superior Court Data	18%	20%	18%	18%	18%	18%	17%	17%
Average supervision caseload	CSSD Statistical Reports	24	22	22	20	20	20	20	20
Average intensive supervision caseload	CSSD Statistical Reports	12	11	12	12	12	12	12	12
Curfew checks -- face-to-face home contact	CSSD Statistical Reports	17,500	15,004	17,500	17,500	18,000	17,750	18,250	18,000
Curfew checks -- telephone calls	CSSD Statistical Reports	24,000	21,729	23,000	21,000	22,000	21,000	21,000	20,000
Compliance with face-to-face and telephone curfew checks	CSSD Statistical Reports	79%	70%	80%	75%	82%	78%	82%	80%

Division Outcomes and Accomplishments in FY 2017

In FY 2017, with an average daily population of 762, of whom 225 or 30% were females and 537 or 70% were males, 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 screenings utilizing its Risk Assessment Instrument Social Assessments, Conners Baseline Behavioral Health and STAR to newly referred youth, resulting in 100% of all new youth cases certified and ready for presentment prior to the initial hearing. A total of 2,816 new juvenile cases were processed, representing a 13% decrease from the 3,243 in FY 2016.

The CSSD also successfully screened roughly 858 truancy referrals, and an average of 67 PINS cases monthly. The vast majority of the truancy referrals (77%) were not petitioned based upon determinations and findings by the CSSD and the Office of the Attorney General, and returned to the referring schools. The Division also continued face-to-face curfew visits (an average of 1,250 per month) to youth and families, conducted curfew calls (an average of 1,810 per month), coordinated sound case management, and facilitated a host of pro-social innovative services resulting in an increase of services to youth designated to CSSD's eight 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

Month/Year	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18
Youth in Program (Daily/Monthly)	27/74	27/95	20/74	21/73	20/70	19/66	24/68
% Not suspended from school	100%	88%	82%	100%	60%	73%	100%
% Not rearrested	79%	94%	91%	86%	8%	92%	100%

Table 3 shows average outcomes achieved, by the SE BARJ Drop-In Center from October 2017 through April 2018. This Center houses BARJ services and activities for pre-trial and post-disposition youth residing in the Southeast quadrant of the city. Among the youth attending the SE BARJ Drop-In Center, an average of 79% were not re-arrested and 86% were not suspended from school.

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

Month/Year	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18
Youth in Program (Daily/Monthly)	12/84	14/78	15/72	15/71	12/74	13/73	12/73
% Not suspended from school	88%	90%	60%	89%	91%	90%	89%
% Not rearrested	100%	79%	93%	87%	100%	100%	100%

Table 4 shows outcomes achieved by the NE BARJ Drop-In Center from October 2017 through April 2018. 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, an average of 94% were not re-arrested and 85% were not suspended from school.

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

Month/Year	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18
Youth in Program (Daily/Monthly)	21/50	21/43	22/41	23/41	24/43	22/46	25/43
% Not suspended from school	86%	87%	87%	88%	83%	94%	80%
% Not rearrested	86%	94%	82%	88%	92%	95%	95%

Table 5 shows outcomes achieved by the SW BARJ Drop-In Center participants from October 2017 through April 2018. This Center houses BARJ activities for pre-trial and post-disposition youth. Among the youth participating in the SW BARJ Drop-In Center, an average of 90% were not re-arrested and 86% were not suspended.

Table 6
FAMILY COURT SOCIAL SERVICES DIVISION
Leaders Of Today In Solidarity (LOTS) BARJ Drop-In Center

Month/Year	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	April 18
Youth in Program (Daily/Monthly)	31/95	21/87	24/85	26/84	26/83	29/89	25/87
% Not suspended from school	88%	79%	75%	78%	65%	71%	63%
% Not rearrested	82%	86%	88%	83%	94%	79%	88%

Table 6 shows outcomes achieved by the LOTS BARJ Drop-In Center participants from October 2017 through April 2018. 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, an average of 86% were not re-arrested and 74% were not suspended from school.

Table 7
FAMILY COURT SOCIAL SERVICES DIVISION
Behavioral Health (JBDP), Truancy & HOPE BARJ Drop-In Center

Month/Year	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18
Truancy/PINS Youth Pop (Daily/Monthly)	46/55	45/58	56/63	66/55	57/49	51/46	49/44
% Not suspended from school	97%	100%	98.7%	95%	96%	98%	95%
% Not rearrested	100%	100%	100%	99%	99%	99%	100%
JBDP Youth in Program (Daily/Monthly)	18/71	15/77	19/67	8/69	13/71	23/71	13/82
% Not suspended from school	97%	77%	96%	97%	97%	97%	95%
% Not rearrested	100%	100%	100%	100%	90%	98.5%	91.4%
HOPE Youth in Program (Daily/Monthly)	N/A	N/A	N/A	6/8	6/9	6/11	6/12
% Not suspended from school	N/A	N/A	N/A	75%	67%	73%	58%
% Not rearrested	N/A	N/A	N/A	75%	78%	73%	67%

Table 7 shows outcomes achieved by the PINS BARJ Drop-In Center participants from October 2017 through April 2018. 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, 98% were not re-arrested and 95% were not suspended from school (Note: Table 7 denotes youth served by any one of the three solution courts).

Table 8
FAMILY COURT SOCIAL SERVICES DIVISION
Curfew Checks

Month/Year	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18
Face-to-Face	1267	1447	1048	1498	1453	945	1481
Telephone	1653	1847	1505	1709	1511	1536	1696

Table 8 illustrates that from October 1, 2017 through April 30, 2018, 9,139 face-to-face curfew checks, and 11,457 telephone curfew checks were conducted by probation officers. The population of youth receiving face-to-face curfew checks includes youth residing in the city, D.C. youth adjudicated outside the city, and youth adjudicated in D.C. who reside within a 20-mile radius of the city. The population of youth receiving telephone curfew checks includes all youth supervised by CSSD with court-ordered curfews.

Table 9
FAMILY COURT SOCIAL SERVICES DIVISION
Parent Participation Orders

Month/Year	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18
Parent Participation Orders	546	532	563	541	524	485	517
Compliance	508	494	505	489	477	433	468
% Compliance among parents	93%	93%	90%	90%	91%	89%	91%

Table 9 indicates that from October 2017 through April 2018, 91% of parents complied with Parent Participation Orders. National indicators underscore parents, guardians, and custodians are the most suitable individuals to support and reinforce adolescents involved in juvenile justice systems. Parent involvement enables youth supervised to maintain higher degrees of compliance with court-ordered conditions, enhance social skills and development and promotes their development into contributing citizens.

In FY 2017, the 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 school professionals, and criminal justice agencies across the city. Through regularly convened collaborative meetings with partner agencies the scope of innovative activities and programs targeting at-risk youth were increased.

In April 2018, the Courts and the Department of Human Services (DHS) entered into a Memorandum of Agreement permitting DHS staff to be trained by CSSD staff and commence utilizing the Courts' Sex Trafficking and Assessment Review (STAR) tool. The Child and Family Services Agency is currently in deliberations with CSSD staff to enter into an MOA with the Courts that will also permit training and utilization of the STAR tool as well.

CSSD conducted year round programs with special emphasis placed on holidays and school breaks to keep youth engaged and safe, and to enhance public safety. Summer Safety Initiative, Spring Fling, and Fright Night are examples of some of the educational, therapeutic and recreational programs established to keep youth engaged during school breaks. The Summer Safety Initiative began with a Parent Orientation for parents of CSSD youth, and 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 youth and families would not have otherwise experienced. In coordination with the Metropolitan Police Department (MPD) and other public safety agencies, CSSD supported a safe Halloween weekend and resurrected its Halloween crime prevention measure, “*Fright Night*” in which the Southwest and Northeast BARJ Drop-In Centers were decorated as haunted houses. CSSD youth were treated to an evening of movies, digital games and tabletop competitions, and nutritional refreshments. Subsequently, staffs were deployed to the U Street and Gallery Place corridors to engage in public safety measures in partnership with the MPD. CSSD in partnership with several community-based service providers including the MPD hosted the “*Spring Break Fling*” crime prevention measure, encompassing a full week of multi-faceted educational, therapeutic, recreational and nutritional activities.

FY 2020 Request

In FY 2020, the Courts request \$22,886,000 for CSSD, an increase of \$1,581,000 (7%) above the FY 2019 Enacted Budget. The requested increase includes \$1,114,000 and 12 FTEs to restore positions critical to public safety: staff that provide and support probation and psychological services to juveniles under court supervision; and \$467,000 for built-in cost increases.

****Leading in Juvenile Probation, 4 FTEs, \$524,000*** ***Supervisory Probation Officers (JS-13)***

Introduction. The Court Social Services Division seeks funding to hire four Supervisory Probation Officers (SPOs) to enhance public safety and adequately manage and oversee the day-to-day duties and responsibilities stipulated throughout the District of Columbia Municipal Code

Problem Statement. In FY 2017 and FY 2018, four SPOs were required to retire from service under the mandatory separation from service provision specific to law enforcement officer positions. Funding shortfalls experienced in FY 2018 prevented the CSSD from filling these critical positions. The role and responsibility of the SPO is essential to the CSSD’s ability to carry out its obligations, including providing direct supervision, guidance and support to the probation officers. The additional Supervisory Probation Officer positions are necessary to ensure that CSSD fulfills its duties, including screening, assessing and processing all newly referred youth, managing probation officers responsible for the provision of services and supervision to all court-involved youth, ensuring court reports are completed and submitted timely, and tracking and managing statistical data measuring the effectiveness of services and supervision.

Relationship to Court Vision, Mission and Strategic Goals. The additional supervisory probation officer positions are necessary to support the D.C. Courts’ Strategic Goal 2: “Fair and Timely Case Resolution” and Goal 5: “Effective Court Management and Administration.”

Relationship to Division MAP Objectives. The supervisory probation officer staffing request supports the following CSSD MAP objectives: 1) use a valid Risk Assessment Instrument and

* Request to restore a critical position that was eliminated in FY 2018 due to budget constraints.

social assessment interviews on all youth within four (4) hours of referral, ensuring sound detention/release and petitioning recommendations (subsequent to consultation with the Office of the Attorney General), and expeditious case processing initiation by transferring 99% of all cases to appropriate units within three business days of initial hearing; 2) ensure Connors and Sex Trafficking Assessment Review - STAR screening tools are utilized on all youth to assess for exploitation and human trafficking on 99% of all youth assessed during the intake phase of adjudication; 3) 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; 4) ensure accurate and timely processing of all services designated by probation officers and/or Court ordered by processing all referrals and invoices within seven days of the probation officer of record receiving the case; and 5) 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.

Relationship to Existing Funding. Due to budget reductions, the funding for these positions was eliminated, and is not currently available in the Courts' budget.

Expenditure Plan. The supervisory probation officer staff will be recruited in accordance with D.C. Courts' Personnel Policies.

Performance Indicators. Key performance indicators include: 1) eliminate the use of pre-trial detention and over incarceration of status offenders; 2) maintain compliance with enhanced requirements of probation officers consistent with recently enacted legislation; 3) enhance staff supervision and service coordination among status offenders; and 4) increase supervision and service coordination among Interstate Compact youth.

****Supporting Probation Operations, 3 FTEs, \$168,000***
Deputy Clerk (JS-6/7/8)

Introduction. The Court Social Services Division seeks funding to secure three deputy clerks to provide administrative support in designated areas of the Division.

Problem Statement. The D.C. Courts anticipate completion of the NW BARJ Drop-In Center in FY 2019. The existing ratio of support staff contemplated for the Northwest Satellite team is insufficient to support the operations and services targeting youth residing in the northwest quadrant of the city as well as high-risk youth under Intensive Probation Supervision.

Relationship to Court Vision, Mission and Strategic Goals. The additional three deputy clerks will support the following D.C. Courts' Strategic Goal 5- "Effective Court Management and Administration."

* Request to restore a critical position that was eliminated in FY 2018 due to budget constraints.

Relationship to Division MAP Objectives. The additional deputy clerks will provide administrative support to probation officers, and the request is consistent with CSSD MAP objectives.

Relationship to Existing Funding. Due to budget reductions, the funding for these positions was eliminated, and is not currently available in the Courts' budget.

Expenditure Plan. The positions will be recruited in accordance with D.C. Courts' Personnel Policies.

Performance Indicators. Key performance indicators include: adequate administrative support to designated probation supervision teams, and enhanced documentation of services and level of supervision provided to the juveniles.

****Supervising Juveniles, 2 FTEs, \$152,000***
Probation Officers (JS-9/11/12)

Introduction. The Court Social Services Division seeks funding for two probation officers to enhance public safety, adequately staff night juvenile intake services for youth arrested, and fulfill duties required by the recently enacted Comprehensive Youth Justice Amendment Act.

Problem Statement. On October 1, 2017, the District of Columbia City Council passed the Comprehensive Youth Justice Amendment Act which included eliminating the use of secure detention for youth referred as status offenders (Truants and Persons In Need of Supervision – PINS). Additional CSSD responsibilities resulting from passage of the Act include supervising youth accused of truancy and PINS pretrial, and supervising the population in community based settings. Existing probation officer staffing resources are insufficient to fulfill the additional supervision responsibilities mandated by the Act, and to adequately staff night probation services.

Relationship to Court Vision, Mission and Strategic Goals. The additional probation officer positions are necessary to support the D.C. Courts' Strategic Plan Goal 2: "Fair and Timely Case Resolution" and Goal 5: "Effective Court Management and Administration."

Relationship to Division MAP Objectives. The probation officer staffing request supports the following CSSD MAP objectives: 1) use a valid Risk Assessment Instrument and social assessment interviews on all youth within four hours of referral, ensuring sound detention/release and petitioning recommendations (subsequent to consultation with the Office of the Attorney General), and expeditious case processing initiation by transferring 99% of all cases to appropriate units within three business days of initial hearing; 2) ensure Connors and Sex Trafficking Assessment Review - STAR screening tools are utilized on all youth to assess for exploitation and human trafficking, on 99% of all youth assessed during the intake phase of adjudication; 3) provide high quality screenings, assessments, individualized services, and supervision to all youth determined eligible for pre-plea and post-disposition diversion and

* Request to restore a critical position that was eliminated in FY 2018 due to budget constraints.

petitioning within 15 calendar days of the petition, as well as post-adjudication supervision; 4) ensure accurate and timely processing of all services designated by probation officers and/or Court ordered by processing all referrals and invoices within seven days of the probation officer of record receiving the case; and 5) 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.

Relationship to Existing Funding. Due to budget reductions, the funding for these positions was eliminated, and is not currently available in the Courts' budget.

Expenditure Plan. New probation officer staff will be recruited in accordance with D.C. Courts' personnel policies and procedures.

Performance Indicators. Key performance indicators include: 1) eliminate the use of pre-trial detention and over incarceration of status offenders; 2) enable CSSD to staff status offenders awaiting trial; and 3) reduce runaway instances among PINS.

**** Monitoring of Juveniles Electronically, 2 FTEs, \$139,000***
Delinquency Prevention Technician (JS-6/7/8)
Supervisor of Delinquency Prevention (JS-10)

Introduction. The Court Social Services Division seeks funding to hire one Delinquency Prevention Technician and one Supervisor of the Delinquency Prevention Unit to enhance public safety and support the day-to-day responsibilities of the Delinquency Prevention Unit, which is responsible for the CSSD's electronic monitoring program.

Problem Statement. The CSSD is responsible for screening, assessing and making petitioning recommendations to the Office of the Attorney General (OAG), and making detention release decisions for all newly arrested youth prior to a petitioning determination by the OAG. When the parent/guardian/custodian of a youth eligible for release is unable to retrieve the youth, the CSSD is responsible for transporting the youth home. This requirement extends the day-to-day responsibilities of the CSSD Day/Night Intake Probation services, and also includes ensuring 24-hour oversight of real-time electronic monitoring of youth using the Global Position System.

Relationship to Court Vision, Mission and Strategic Goals. The additional Delinquency Prevention Unit staff supports the D.C. Courts' Strategic Goal 5 –“Effective Court Management and Administration.”

Relationship to Division MAP Objectives. The staffing request supports CSSD MAP objective to 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.

* Request to restore a critical position that was eliminated in FY 2018 due to budget constraints.

Relationship to Existing Funding. Due to budget reductions, the funding for these positions was eliminated, and is not currently available in the Courts' budget.

Expenditure Plan. Delinquency Prevention Unit staff will be recruited in accordance with D.C. Courts' Personnel Policies.

Performance Indicators. Key performance indicators include: the elimination of the use of pre-trial detention and over incarceration of youth eligible for release; enhanced Global Position System Electronic Monitoring support; and sound management of the Delinquency Prevention Unit.

****Providing Psychological Services for Juveniles, 1 FTE, \$131,000
Clinical Psychologist (JS-13)***

Introduction. The Court Social Services Division seeks funding to hire one Clinical Psychologist to ensure adequate clinical staffing to evaluate court-involved youth as required by the court.

Problem. Currently there are four clinicians in the Child Guidance Unit who are responsible for screening, assessing, evaluating and recommending clinical services and supports for all youth referred by the court. Due to budget reductions, the Child Guidance Clinic Unit has been unable to maintain full staffing. The timely completion of juvenile evaluation and delivery of services has been negatively impacted by staffing vacancies. Additional workload due to the launch of a new solution court targeting youth exposed to human trafficking and exploitation which requires comprehensive assessments and evaluations for all eligible youth, and the requirements of the Comprehensive Youth Justice Amendment Act further exacerbates the difficulties. Filling this vitally important position will enable the CSSD to provide the required reports to the judiciary timely and to support the juveniles under court supervision.

Relationship to Court Vision, Mission and Strategic Goals. The additional Child Guidance Unit psychologist position is necessary to support the D.C. Courts' Strategic Plan Goal 2: "Fair and Timely Case Resolution" and Goal 5: "Effective Court Management and Administration."

Relationship to Division MAP Objectives. The staffing request supports the following CSSD MAPs: 1) ensure Connors and Sex Trafficking Assessment Review screening tools are utilized on all youth to assess for exploitation and human trafficking on 99% of all youth assessed during the intake phase of adjudication; 2) 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; and 3) provide high-quality psychological, neuro-psychological, psychosexual, and psycho-educational evaluations for all court-ordered youth within 25 business days.

Relationship to Existing Funding. Due to budget reductions, the funding for this position was eliminated, and is not currently available in the Courts' budget.

* Request to restore a critical position that was eliminated in FY 2018 due to budget constraints.

Expenditure Plan. The clinical staff will be recruited in accordance with D.C. Courts' Personnel Policies.

Performance Indicators. Key performance indicators include: 1) timely completion of clinical assessments and evaluations for court-involved youth; 2) decriminalization of victims of human trafficking and exploitation; and 3) enhanced coordination and access to public and private mental health and behavioral health services for court-involved youth.

Table 10
FAMILY COURT SOCIAL SERVICES DIVISION
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Costs
Deputy Clerk I	6	3	135,000	33,000	168,000
Delinquency Prevention Technician	6	1	45,000	11,000	56,000
Probation Officer	9	2	122,000	30,000	152,000
Supervisor Delinquency Prevention	10	1	67,000	17,000	83,000
Supervisory Probation Officer	13	4	420,000	104,000	524,000
Clinical Psychologist	13	1	105,000	26,000	131,000
TOTAL		12	\$894,000	\$221,000	\$1,114,000

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

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	12,239,000	12,239,000	13,418,000	1,179,000
12 - Personnel Benefits	3,427,000	3,427,000	3,721,000	294,000
<i>Subtotal Personnel Services</i>	<i>15,666,000</i>	<i>15,666,000</i>	<i>17,139,000</i>	<i>1,473,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	795,000	795,000	810,000	15,000
24 - Printing & Reproduction				
25 - Other Services	4,753,000	4,753,000	4,844,000	91,000
26 - Supplies & Materials	55,000	55,000	56,000	1,000
31 - Equipment	36,000	36,000	37,000	1,000
<i>Subtotal Non-Personnel Services</i>	<i>5,639,000</i>	<i>5,639,000</i>	<i>5,747,000</i>	<i>108,000</i>
TOTAL	21,305,000	21,305,000	22,886,000	1,581,000
FTE	128	128	140	12

Table 12
FAMILY COURT SOCIAL SERVICES DIVISION
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Position WIG	128	40,000	
	Current Position COLA		245,000	
	Deputy Clerk I	3	135,000	
	Delinquency Prevention Technician	1	45,000	
	Supervisor Delinquency Prevention	1	67,000	
	Probation Officer	2	122,000	
	Supervisory Probation Officer	4	420,000	
	Clinical Psychologist	1	105,000	
<i>Subtotal 11</i>				<i>1,179,000</i>
12 - Personnel Benefits	Current Position WIG	128	10,000	
	Current Position COLA		64,000	
	Deputy Clerk I	3	33,000	
	Delinquency Prevention Technician	1	11,000	
	Supervisor Delinquency Prevention	1	16,000	
	Probation Officer	2	30,000	
	Supervisory Probation Officer	4	104,000	
	Clinical Psychologist	1	26,000	
<i>Subtotal 12</i>				<i>294,000</i>
<i>Subtotal Personnel Services</i>				<i>1,473,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increases			15,000
24 - Printing & Reproduction				
25 - Other Services	Built-in Increases			91,000
26 - Supplies & Materials	Built-in Increases			1,000
31- Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				<i>108,000</i>
Total				1,581,000

Table 13
FAMILY COURT SOCIAL SERVICES DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-6	8	8	12
JS-7	2	2	2
JS-8	20	20	20
JS-9	15	15	17
JS-10	2	2	3
JS-11	3	3	3
JS-12	54	54	54
JS-13	17	17	22
JS-14	5	5	5
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	12,239,000	12,239,000	13,418,000
Total FTEs	128	128	140

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

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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	3,315,000	28	3,308,000	28	3,448,000	0	140,000

Mission Statement

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

Organizational Background

The Multi-Door Dispute Resolution Division provides mediation and other ADR services to assist in the settlement of disputes brought to the D.C. 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 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. This branch has 9 FTEs.
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. This branch has 13 FTEs.
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. This branch has 2 FTEs.

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, 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

During FY 2017, the Division's Civil ADR Branch continued to experience an increase in referred cases primarily in the Judicial Sale (foreclosure cases), Debt Collection and Judge in Chambers (community cases) Mediation Programs. Additionally, a change in the Small Claims Court jurisdictional ceiling from \$5,000 to \$10,000 resulted in an increase in cases referred to the Small Claims Mediation Program and a corresponding decrease in cases referred to the Civil Actions Mediation Program.

For FY 2018 it is expected that the number of scheduled mediations will decrease by an estimated 5% (See Table 2 below). The 5% decrease in scheduled mediations is a result of a one-year decline in court filings that occurred during FY 2017, and impacted the number of FY 2018 scheduled mediations due to the 6-12 month gap from case filing to mediation. This one-year decline ended in early FY 2018 as the number of court filings began increasing again. Correspondingly, the current decrease being experienced in scheduled mediations for FY 2018 is projected to reverse course in the coming months and begin increasing in early FY 2019. It is estimated that the number of referred cases to mediation will continue a slow and steady increase throughout FY 2019 and FY 2020.

Family ADR Branch

Child Protection Mediation. The Child Protection Mediation 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 2017, the Child Protection Mediation Program scheduled 271 families for mediation, representing 400 children. Of those 271 families, 206 families completed the mediation process. Parties reached an agreement on substantive issues and family services in 188 cases (91%). These settlements impacted 295 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 2017, the Family Program scheduled 1,029 cases. Of those cases, 454 completed the mediation process. Parties reached an agreement on substantive issues that resolved the court case in 217 cases (48%).

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 2017, there were 4,648 domestic relations case filings, of which 1,433 were contested custody disputes (PAC cases). During this period, 604 parents and 151 children participated in PAC educational seminars provided by the Multi-Door Dispute Resolution Division. The Division scheduled 577 PAC cases for mediation, reflecting 1,154 parents. Of those cases, 456 (79%) participated in mediation, serving 912 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 Court Operations Division Domestic Relations Branch (DRB) cases for mediation. In FY 2017, DRB referrals for intake/screenings at Multi-Door increased by 6% from 2,035 in FY 2016 to 2,150 in FY 2017.

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 2017 CARECEN referred 125 Spanish language cases to the division for resolution. Of that number, 44 cases were referred to another agency for assistance and 37 cases were resolved with Multi-Door assistance. Parties failed to appear in the remaining 44 cases.

Community Partnership – Abating Truancy Through Engagement and Negotiated Dialogue (ATTEND). ATTEND is a pilot truancy mediation program that began in January 2018 and is operated by the Multi-Door Dispute Resolution Division in conjunction with the Office of the Attorney General for the purpose of assisting parents of children ages 5 through 12 with resolving school attendance issues prior to charges being filed in the Superior Court. ATTEND scheduled 54 families (66 children) for mediation. Of those 54 families, 30 families (56%) participated in mediation and developed a plan between the parent and the school for 36 children (55%), to abate truancy.

Expanding Services to Families

The Family Mediation Program continues to offer mediation to some of the court's most difficult cases based on the data gathered during the National Institute for Justice (NIJ) Study on intimate partner violence and abuse (IPV/A) and its impact on mediation. The study assessed 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 have increased our understanding and detection of IPV/A and increased 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. The program screened and identified 340 cases with IPV/A that were eligible to participate in the study. Of those 340 cases, 211 (62%) consented to participate

in the study. Of the cases who consented to participate, 199 (94%) completed mediation. One-year follow-up with participants is continuing and a final report will be completed and submitted to NIJ in the fall of 2018.

Program Assessment and Training Branch

In FY 2018, the Division conducted 23 advanced Alternative Dispute Resolution (ADR) trainings across all programs to enhance the quality of its mediator pool. The division hosted eight groups of international judges, government officials, law professors, attorneys and students, providing ADR educational sessions and opportunities to observe civil mediations. As part of the American Bar Association's Dispute Resolution Section Conference in April 2018, the division provided tours of its facilities to an estimated 40 attendees, who expressed great admiration of the mediation programs and facilities provided by the court.

During this fiscal year, the division director and staff presented workshops on family mediation at the Association of Family and Conciliation Courts Annual Conference in D.C. and the director participated on a panel of ADR professionals for an audience concerned with cross-border mediations in international domestic relations cases at George Washington Law School. The division also participated in the annual 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 3 new training DVDs to its collection during this fiscal year. The ongoing expansion of the DVD library has helped provide better service to mediators by making it possible for them to view recordings of sessions they could not attend, and enable them to comply with training requirements. In turn, these training sessions should improve mediators' practices and enhance the services received by the parties. A total of 81 mediators viewed recorded training sessions during the past year.

The division has worked to revise its guidelines for those who conduct mediator peer reviews, as part of the renewal process for mediators' two-year terms. In order to standardize ratings given by different evaluators, the guidelines for performance ratings have been made more specific, and the expectations for peer reviewers were made more explicit. These enhancements are expected to provide better information to mediators about ways in which they can improve their performance, as well as provide better information to the program about the quality of its mediator pool and areas in which additional training is needed.

The division completed delivery of the first in-house mediation training program 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 improved staff members' ability to respond to questions from participants and to support and evaluate the work of our mediators.

The Multi-Door Division in conjunction with the Information Technology 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 and the crafting of

mediated agreements, and the efficiency of the stipend payment process. 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 and judge-in-chambers 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 transparency and efficiency as well as 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 2017 Actual	9,909	5,040	2,478	57%
FY 2018 Estimated	9,493	5,055	2,445	57%

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

**Settlement rate reflects number of civil and family cases settled as reflected in Tables 2 and 3.

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

Type of Indicator	Performance Indicator	Data Source	FY 2017 Actual	FY 2018 Estimated	Projection FY 2019	Projection FY 2020
Input	Cases Scheduled	CourtView	7,805	7,418	7,492	7,642
Output	Mediation Sessions Held	CourtView	4,365	4,330	4,373	4,461
Outcome	Case Settlement Rate	CourtView	52%	50%	50%	50%
Outcome/Quality	Participant Satisfaction w/ ADR Process	SPSS database	91%	91%	91%	91%
Outcome/Quality	Participant Satisfaction w/ Outcome	SPSS database	76%	76%	76%	76%
Outcome/Quality	Neutral Performance Satisfaction	SPSS database	97%	97%	97%	97%

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

Type of Indicator	Performance Indicator	Data Source	FY 2017 Actual	FY 2018 Estimated	Projection FY 2019	Projection FY 2020
Input	Mediation Sessions Scheduled	Court view	2,104	2,705	2,800	2,885
Output	Mediation Sessions Held	CourtView	1,477	1,750	1,960	2,025
Outcome	*Case Settlement Rate	CourtView	62%	63%	64%	65%
Outcome/Quality	Participant satisfaction w/ process	SPSS database	89%	90%	91%	92%
Outcome/Quality	Participant satisfaction w/outcome	SPSS database	86%	87%	88%	89%
Outcome/Quality	Neutral performance satisfaction	SPSS database	91%	92%	93%	94%

*Case settlement rate reflects both full and partial settlements.

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 to achieve settlement rates of at least 50% in every ADR program and 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 2017		FY 2018		FY 2019		FY 2020	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output	Settlement Rate	IJIS database	50%	58%	50%	58%	50%	58%	50%	58%
Outcome	Overall client satisfaction (ratings of satisfied plus highly satisfied)	SPSS database	80%	90%	80%	90%	80%	91%	80%	90%

FY 2020 Request

In FY 2020, the D.C. Courts request \$3,448,000 for the Multi-Door Dispute Resolution Division, an increase of \$140,000 (4%) above the FY 2019 Enacted Budget. The requested increase consists entirely of built-in costs.

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

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	2,171,000	2,169,000	2,261,000	92,000
12 - Personnel Benefits	607,000	606,000	640,000	34,000
<i>Subtotal Personnel Services</i>	<i>2,778,000</i>	<i>2,775,000</i>	<i>2,901,000</i>	<i>126,000</i>
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	512,000	511,000	521,000	10,000
26 - Supplies & Materials	14,000	13,000	15,000	2,000
31 - Equipment	9,000	8,000	9,000	1,000
<i>Subtotal Non-Personnel Services</i>	<i>537,000</i>	<i>533,000</i>	<i>547,000</i>	<i>14,000</i>
TOTAL	3,315,000	3,308,000	3,448,000	140,000
FTE	28	28	28	

Table 6
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 – Personnel Compensation	Current Positions WIG	28	49,000	
	Current Positions COLA		43,000	
<i>Subtotal 11</i>				<i>92,000</i>
12 – Personnel Benefits	Current Positions WIG	28	13,000	
	Current Positions COLA		21,000	
<i>Subtotal 12</i>				<i>34,000</i>
<i>Subtotal Personnel Services</i>				<i>126,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increase			1,000
25 - Other Services	Built-in Increase			10,000
26 - Supplies & Materials	Built-in Increase			2,000
31 – Equipment	Built-in Increase			1,000
<i>Subtotal Non-Personnel Services</i>				<i>14,000</i>
Total				140,000

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

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-6	2	1	1
JS-7		1	
JS-8	1	1	2
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
Total Salaries	2,171,000	2,169,000	2,261,000
Total FTEs	28	28	28

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

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/FY 2020</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>
59	6,525,000	59	6,393,000	60	6,664,000	1	271,000

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 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 25 FTEs, consisting of a branch chief, two supervisors, four case managers, six courtroom clerks, and twelve 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 6 FTEs, consisting of the legal branch manager, three attorneys, one legal assistant, and one deputy clerk.
- The Auditing and Appraisals Branch audits accounts of fiduciaries in large estates, conservatorships, guardianships of minors' estates, and trusts under court supervision; examines requests for compensation; prepares audit reports; informs attorneys and fiduciaries on accounting procedures; and monitors the filing of inventories, accounts, and receipts. This branch has 11 FTEs, consisting of a branch manager, a supervisory auditor, eight auditors, and one deputy clerk.
- The Guardianship Assistance Program 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 6 FTEs, consisting of a program manager, a deputy program manager, three 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. Construction of this office is now underway and the Self-Help Center is scheduled to open in the fall of 2018. 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. This

office has 5 FTEs, consisting of a small estates supervisor, one small estate specialist, two paralegal assistants, and one deputy clerk. In anticipation of the upcoming opening, the Self-Help Center is working to streamline the handling of small estates and designing a series of audio-visual and informational tools to assist the public, including the development of family tree software to identify the heirs of the estate and the percentages due to each heir after payment of allowances, claims and expenses of administration.

- 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 orders 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 2017 the Probate Division:

- Processed 16,369 court orders and held 1,744 court hearings.
- Reviewed nearly 4,522 guardianship reports submitted to provide the court with information about incapacitated adults under court supervision.
- Partnered with five local universities and received over 2,000 volunteer hours from students pursuing their master's degree in social work to assist in the review of incapacitated adults under court supervision.
- 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.
- 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.
- Implemented an alternate and streamlined procedure for e-Filing of criminal background check information by fiduciary panel members appointed by the court to serve as a guardian to a vulnerable adult.
- Assisted in the joint development of new summary hearing calendars for each Probate Division judge.
- Participated in National Forum on Financial Exploitation by Conservators hosted by the National Center for State Courts.

- Identified Probate Division forms, brochures and general information recommended for translation as part of court-wide efforts to promote access to justice for all District residents.
- 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 persons under guardianship.
- Conducted an in-depth review of all open small estate filings.
- 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 2,963 cases during FY 2017, with an overall clearance rate of 88% for the fiscal year. The lower clearance rate, 77% 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 90%. The close out of aged decedent and reopened decedent estate cases continues.

Table 1
PROBATE DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2017 Data)

	Cases Added	Cases Disposed	Clearance Rate*	Cases Pending		
				1-Oct 2016	30-Sept 2017	Change
Cases Involving the Deceased						
Formal Probate (Decedents Estates)	1,936	1,693	87%	4,647	4,890	5%
Small Estates	678	668	98%	154	164	6%
Foreign Proceedings	169	154	91%	166	181	9%
Cases Involving the Incapacitated						
Conservatorships (Old Law) **	0	2	**	21	19	-9%
Guardianships (of Minors)	26	22	85%	175	179	2%
Intervention Proceedings (Adult Guardianships/Conservatorships)	543	418	***77%	2,790	2,915	4%
Trusts	11	6	54%	107	112	5%
Total	3,363	2,963	88%	8,060	8,460	5%
* 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, closing upon the death or recovery of the person under court supervision or upon the transfer of the adult guardianship case to another jurisdiction.						

Key Performance Indicators

Table 2
PROBATE DIVISION
Key Performance Indicators

Performance Indicator	Data Source	FY 2017		FY 2018		FY 2019		FY 2020	
		Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Time Standard from Filing to Disposition									
Administration of Decedents Estates	Monthly Reports								
Within 395 days		30%	39%	30%	30%	30%	30%	30%	30%
Within 1,125 days		75%	94%	75%	75%	75%	75%	75%	75%
Within 1,490 days		98%	99%	98%	98%	98%	98%	98%	98%
Appointment of fiduciary or other resolution in guardianship cases (incapacitated adults and minors)	Monthly Reports								
Within 60 days		75%	82%	75%	75%	75%	75%	75%	75%
Within 90 days		98%	90%	98%	90%	98%	90%	98%	90%
Triage eFiled documents w/in 1 business day of receipt in the eFiling queue	Monthly Reports	90%	98%	90%	90%	90%	90%	90%	90%
Issue letters of appointment w/in 1 business day of processing order or qualifying event	Monthly Reports	90%	94%	90%	90%	90%	90%	90%	90%
Identify and act on delinquent filings w/in 10 days	Monthly Reports	90%	93%	90%	90%	90%	90%	90%	90%
Submit fee requests to Court w/in 45 days	Monthly Reports	90%	94%	90%	90%	90%	90%	90%	90%
Schedule Hearing on Approval of Account w/in 45 days	Monthly Reports	90%	99%	90%	90%	90%	90%	90%	90%
Number of GAP in-depth reports submitted	Monthly Report	500	609	500	450	500	450	500	450

FY 2020 Request

In FY 2020, the Courts request \$6,664,000 for the Probate Division an increase of \$271,000 (4%) above the FY 2019 Enacted Budget. The requested increase includes \$131,000 for 1 FTE to lead the new self-help service center and \$140,000 for built-in cost increases.

****Assisting Self-Represented Litigants, 1 FTE, \$131,000*** ***Program Manager (JS-13)***

Problem Statement The Probate Division of the District of Columbia Superior Court has 13 case types, the largest being decedent's estate and intervention proceedings—adult guardianships. Most of the filers are self-represented and require various levels of assistance to fully access their legal options and court services. Self-represented persons handling decedents' estates present special challenges to the Probate Division as it strives to provide fair and equal access to the justice system. The work of serving as a personal representative, the title given to the person appointed by the court to administer the estate of a deceased person, is difficult and often very challenging, particularly as this is a role that a person may only do once in a lifetime and typically during the grieving process. The challenges are similar in adult guardianships. A guardian, the title given to the person appointed by the court to make care and quality of life

* Request to restore a critical position that was eliminated in FY 2018 due to budget constraints.

decisions for a person deemed incapacitated, may have difficult quality of care and end of life decisions to make for a parent or disabled adult child.

Currently, the Probate Division offers self-represented persons the opportunity to meet with experienced volunteer lawyers for the limited period of four hours per week for decedents' estate cases and four hours per week for adult guardianship cases at the Probate Resource Center. In the fall of 2018, the Probate Division will open a Self Help Center and work in partnership with the D.C. Bar to assist self-represented persons by providing complementary and enhanced services and information. The Self Help Center will provide walk-in information to unrepresented people in large and small estates and adult guardianships. The Self Help Center is also responsible for the accurate and secure maintenance of data resulting from these activities.

The caseload of the Probate Division continues to rise and is anticipated to continue to increase in the future due, primarily, to the aging of the District's population. Total cases at the end of FY 2017 rose to 8,460 pending cases, up 5% from the number of cases pending in FY 2016. Included in this total were 678 new small estate filings involving estates valued at \$40,000 or less, an increase of 13% from the 602 filings in FY 2016, and 1,936 large estate filings, an increase of 28% from the 1,517 filings in FY 2016.

To meet the demands of the public, the Self Help Center was designed to consist of a program manager, two small estate specialists, two paralegal specialists and a deputy clerk. The vacant Self Help Center Program Manager is critical to provide services to the public and manage the anticipated increased workload in the Probate Division.

Probate is a nuanced field of law and can be overwhelming and complicated for the non-attorney. The Self Help Center will bridge that gap and provide a road map to the public about the probate process. The work of the Self Help Center Program Manager involves the effective management of Self-Help Center operations to accomplish the mission of the Probate Division in an efficient and effective manner. This will include providing informational tools that explain probate proceedings.

The Program Manager is responsible for the timely accomplishment of the Self Help Center objectives and goals in support of the Division's management action plan (MAP) and Court's strategic plan. The Program Manager will also oversee caseload management to ensure timely and accurate case processing in compliance with performance measures, including time standards and standard business processes.

Relationship to the Courts' Vision, Mission, and Goals. This request supports the Courts' Strategic Goal I, "Access to Justice for All", and would enhance the Courts' vision of a court that is open to all by promoting access to legal services for litigants without lawyers.

Relationship to Division MAP Objectives. This request would add a new Probate Division Map Objective based upon the number of self-represented persons served by the Self-Help Center.

Proposed Solution. A program manager would (1) develop policies and procedures for the Self Help Center, (2) create orientation and instructional videos, (3) work with the DC Bar and local law schools to assist in meeting the needs of members of the public, (4) ensure timely

accomplishment of center objectives and goals in support of the division's management action plan (MAP) and the Courts' Strategic Plan, and (5) provide oversight of caseflow management to ensure timely and accurate case processing in compliance with performance measures, including time standards and standard business processes.

Methodology. The grade level for this position was determined in accordance with the D.C. Courts' Personnel Policies.

Expenditure Plan. The position would be recruited and hired in accordance with the D.C. Courts' Personnel Policies.

Relationship to Existing Funding. Due to budget reductions, the funding for this position was eliminated, and is not currently available in the Courts' budget.

Performance Indicators. The key performance indicators would be the number of District residents who are provided assistance at the Self-Help Center and increased customer satisfaction.

Table 3
PROBATE DIVISION
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Cost
Program Manager	13	1	\$105,000	\$26,000	\$131,000

Table 4
PROBATE DIVISION
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	4,902,000	4,902,000	5,123,000	221,000
12 - Personnel Benefits	1,371,000	1,371,000	1,414,000	43,000
Subtotal Personnel Services	6,273,000	6,273,000	6,537,000	264,000
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	54,000	54,000	56,000	2,000
26 - Supplies & Materials	22,000	22,000	23,000	1,000
31 - Equipment	155,000	23,000	25,000	2,000
Subtotal Non-Personnel Services	252,000	120,000	127,000	7,000
TOTAL	6,525,000	6,393,000	6,664,000	271,000
FTE	59	59	60	1

Table 5
PROBATE DIVISION
Detail, Difference FY 2019/FY 2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 – Personnel Compensation	Current Position WIG	59	18,000	
	Current Position COLA		98,000	
	Program Manager	1	105,000	
<i>Subtotal 11</i>				<i>221,000</i>
12 – Personnel Benefits	Current Position WIG	59	5,000	
	Current Position COLA		12,000	
	Program Manager	1	26,000	
<i>Subtotal 12</i>				<i>43,000</i>
Subtotal Personnel Services				264,000
21 - Travel, Transp. of Persons				1,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increase		1,000	1,000
25 - Other Services	Built-in Increase		9,000	2,000
26 - Supplies & Materials	Built-in Increase		1,000	1,000
31 – Equipment	Built-in Increase		1,000	2,000
Subtotal Non-Personnel Services				7,000
Total				271,000

Table 6
PROBATE DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-5			
JS-6			
JS-7	9	9	9
JS-8	8	8	8
JS-9	10	10	13
JS-10	5	5	4
JS-11	5	5	2
JS-12	11	11	12
JS-13	6	6	7
JS-14	3	3	3
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salaries	4,902,000	4,902,000	5,123,000
Total FTEs	59	59	60

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

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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	4,873,000	29	4,873,000	29	4,993,000	0	120,000

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. The Division's mission is to provide the highest quality service to the Courts and the public through efficiency, professionalism, and innovation.

Organizational Background

The Special Operations Division consists of six units plus the Director's Office (3 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 12 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 Office of 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 4 FTEs.

Division MAP Objectives

The Special Operation Division's MAP objectives, implemented to further the Strategic Plan of the D.C. Courts, include the following:

- Extend the time elapsing between juror summons for District of Columbia residents from 2 years to 3 years by increasing juror yield and monitoring juror utilization to ensure juror demand more closely matches with juror availability.
- 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.
- 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.
- 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, and interpreting related training to court employees and judges in order to improve efficiency in providing language access services.
- Expand access to court services for non-English speaking 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 Courts' Language Access Plan.
- Provide fair, timely, and efficient resolution of 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 Tax Division has made significant strides in reducing the backlog of cases pending more than 36 months as of the start of FY 2017 and ensuring all cases progress in a controlled manner towards timely disposition. The Tax Division implemented eFiling for new Case Tax cases which provides 24/7 access to the Court for persons seeking to appeal an assessment by the District of Columbia. The Tax Division also refined case flow, mediation procedures, and practices related to the show cause calendar, while at the same time, increasing and improving communication between the bar, bench, and Division. This effort resulted in a 29% reduction in aged Civil Tax cases from 453 on October 1, 2016 to 321 as of September 30, 2017. The Tax Division continues to monitor its caseload and work collaboratively with internal and external stakeholders to implement business process changes that enhance timely disposition of tax cases.

Like the Tax Division, the Office of Judge-in-Chambers made positive strides in FY 2017 to improve the quality of its work and the efficiency of the courtroom and front counter. E-Lobby was developed and utilized to help the staff and judges track waiting times for the public with filings and police officers with warrants and to notify the courtroom when all parties have checked in for a hearing. Standard Operating Procedures were re-written and expanded to better guide staff work, which has resulted in a significant reduction in errors that could directly affect case disposition.

Looking forward, Judge-in-Chambers intends to build out the E-Lobby program to enable the creation of caseload and other more robust reports to assist with performance tracking and

overall trends in the courtroom/office, improve the quality and consistency of work completed by staff, and decrease wait times overall for customers and law enforcement officers. A bench book to support judicial officers assigned to Judge-in-Chambers will be completed, and a research database to serve as a court-wide resource for the many unpublished opinions and unique issues that arise in Judge-in-Chambers is in development. An electronic calendar will be implemented to improve efficiency and accuracy in the courtroom, and enhance overall quality control and accountability. A quality assurance database will also be designed to provide daily feedback to staff.

In January 2017, the Jurors' Office implemented *Jurors On Call*, a system where potential jurors can telephone the Jurors' Office one business day in advance of their service after 5pm to determine if they must report for service on the summons date. The goal of the call-in system is to more closely align juror demand with the number of jurors that report for service. It also places a greater premium on jurors' time. Jurors that are instructed not to report for service are placed back into the jury pool until the next summoning cycle (approximately 28 months). From January 9, 2017 to September 30, 2017, 7,573 jurors were called off at a cost savings of \$30,292.

Looking forward, the Jurors' Office will pilot an electronic check-in system to reduce wait times for jurors who have pre-qualified online. The Jurors' Office will also implement a new juror management system, *AgileJury*, which includes features that provide jurors with the ability to complete the eligibility questionnaire, postpone their service to a later date, download proof of their attendance, and upload documentation to support requests to be excused, as well as receive updates and notifications via text or email from the Court, if they so choose.

The Office of Court Interpreting Services, in conjunction with the Language Access Advisory Committee and the Superior Court Clerk's Office, facilitated the translation of over 420 documents from forms to booklets from English to Spanish, Amharic, French, Russian, Arabic, Korean, Chinese, and Vietnamese. This initiative was based on Department of Justice Guidance that vital documents must be available in languages of LEP populations that comprise 1,000 or 5%, whichever is less, of the population served by the D.C. Courts. In addition, in September 2017, the Courts launched a Language Access Feedback/Complaint Form on its website to collect feedback from court users about any issues encountered while working with a court interpreter or accessing court services in a foreign language. Looking forward, the Office of Court Interpreting Services will pilot improved telephonic interpreting technology through interpreters using simultaneous mode and video remote interpreting technology to provide interpreters live for selected hearings using simultaneous and consecutive modes.

In FY 2017, the Courts provided Child Care services to 494 children of jurors, witnesses, litigants, and other court users to enable the parents and caregivers to participate in court proceedings and conduct business in the courthouse without the challenge of having to find alternate care for their children. Looking forward, the Child Care Center will collaborate with community stakeholders to increase awareness of the availability of Child Care services for court users.

Workload Data

In FY 2017, the Special Operations Division handled the following:

- The Jurors' Office issued over 200,000 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 818 petitions;
- The Office of Judge-in-Chambers held 1,583 hearings and processed 17,825 pleadings, orders, and warrants;

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 2017		FY 2018		FY 2019		FY 2020	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Output / Activity	# of summons issued to jurors for jury duty	Courts' Information Technology (IT) Division	200,000	202,855	180,000	200,000	180,000	200,000	180,000	200,000
Output / Activity	# of jurors qualified to serve on <i>voir dire</i> panels	Business Intelligence Jury Reports	40,000	32,482	40,000	40,000	40,000	40,000	40,000	35,000
Outcome	Judicial requests for <i>voir dire</i> panels met	Business Intelligence Jury Reports	65%	57%	65%	65%	65%	65%	65%	60%
Outcome	Jury Yield	Business Intelligence Jury Reports	25%	27%	28%	28%	28%	28%	35%	30%

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

Type of Indicator	Key Performance Indicator	Data Source	FY 2017		FY 2018		FY 2019		FY 2020	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Input	Requests for interpreters	Web Interpreter System (WIS)	10,000	9,526	8,297	8,297	8,711	8,711	9,147	9,147
Outcome	Requests for interpreters met	WIS	10,000	9,494	7,882	8,256	8,275	8,667	8,690	9,101
Efficiency	Clearance rate	WIS	95%	99.7%	95%	99.5%	95%	99.5%	95%	98.5%

Table 3
SPECIAL OPERATIONS DIVISION
Tax Division
Caseload and Efficiency Measures
(Fiscal Year 2017 Data)

	Case Filings	Dispositions	Clearance Rate*	Pending Cases		
				1-Oct	30-Sep	Change
Civil Tax	985	818	83%	2,083	2,250	7.4%

*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 2017		FY 2018		FY 2019		FY 2020	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Output	Research Assistance Provided	Library Data	3,650	2,344	3,900	2,707	3,950	3,950	4,200	4,200
Outcome	# Library Users	Library Data	7,250	9,658	7,500	4,285	7,575	7,575	7,675	7,675

FY 2020 Request

In FY 2020, the D.C. Courts request \$4,993,000 for the Special Operations Division, an increase of \$120,000 (2%) above the FY 2019 Enacted Budget. The FY 2020 request consists entirely of built-in cost increases.

Table 5
SPECIAL OPERATIONS DIVISION
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 – Personnel Compensation	2,612,000	2,612,000	2,682,000	70,000
12 – Personnel Benefits	731,000	731,000	750,000	19,000
<i>Subtotal Personnel Services</i>	<i>3,343,000</i>	<i>3,343,000</i>	<i>3,432,000</i>	<i>89,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	151,000	151,000	154,000	3,000
25 - Other Services	1,125,000	1,125,000	1,147,000	22,000
26 - Supplies & Materials	243,000	243,000	248,000	5,000
31 – Equipment	11,000	11,000	12,000	1,000
<i>Subtotal Non-Personnel Services</i>	<i>1,530,000</i>	<i>1,530,000</i>	<i>1,561,000</i>	<i>31,000</i>
TOTAL	4,873,000	4,873,000	4,993,000	120,000
FTE	29	29	29	

Table 6
SPECIAL OPERATIONS DIVISION
Details, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Position WIG	29	18,000	
	Current Position COLA		52,000	
<i>Subtotal 11</i>				<i>70,000</i>
12 - Personnel Benefits	Current Position WIG	29	5,000	
	Current Position COLA		14,000	
<i>Subtotal 12</i>				<i>19,000</i>
<i>Subtotal Personnel Services</i>				<i>89,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			3,000
25 - Other Service	Built-in Increases			22,000
26 - Supplies & Materials	Built-in Increases			5,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				<i>31,000</i>
Total				120,000

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

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-6	2	2	2
JS-7	2	2	2
JS-8	8	8	8
JS-9	5	5	5
JS-10	1	1	1
JS-11			
JS-12	6	6	6
JS-13	3	3	3
JS-14	1	1	1
JS-15			
CEMS			
CES	1	1	1
Total Salaries	2,612,000	2,612,000	2,682,000
Total FTEs	29	29	29

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

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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	11,846,000	0	15,385,000	0	15,788,000	0	403,000

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 2020 Request

In FY 2020, the Courts request \$15,788,000 for the Management Account, an increase of \$403,000 (3%) above the FY 2019 Enacted Budget. The FY 2020 request consists entirely of built-in cost increases.

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

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	1,355,000	4,501,000	4,659,000	158,000
12 - Personnel Benefits	785,000	785,000	826,000	41,000
<i>Subtotal Personnel Services</i>	<i>2,140,000</i>	<i>5,286,000</i>	<i>5,485,000</i>	<i>199,000</i>
21 - Travel, Transp. of Persons	384,000	384,000	392,000	8,000
22 - Transportation of Things	14,000	14,000	15,000	1,000
23 - Rent, Commun. & Utilities	3,192,000	3,443,000	3,509,000	66,000
24 - Printing & Reproduction	188,000	188,000	192,000	4,000
25 - Other Services	5,400,000	5,403,000	5,514,000	111,000
26 - Supplies & Materials	336,000	336,000	343,000	7,000
31 – Equipment	192,000	331,000	338,000	7,000
<i>Subtotal Nonpersonal Services</i>	<i>9,706,000</i>	<i>10,099,000</i>	<i>10,303,000</i>	<i>204,000</i>
TOTAL	11,846,000	15,385,000	15,788,000	403,000
FTE	0	0	0	0

Table 2
MANAGEMENT ACCOUNT
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Built-in Increase			153,000
12 - Personnel Benefits	Built-in Increase			41,000
21 - Travel, Transp. of Persons	Built-in Increase			8,000
22 - Transportation of Things	Built-in Increase			1,000
23 - Rent, Commun. & Utilities	Built-in Increase			66,000
24 - Printing & Reproduction	Built-in Increase			4,000
25 - Other Services	Built-in Increase			111,000
26 - Supplies & Materials	Built-in Increase			7,000
31 – Equipment	Built-in Increase			7,000
TOTAL				403,000

DISTRICT OF COLUMBIA COURT SYSTEM

Overview

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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>
283	71,500,000	284	74,400,000	295	83,578,000	11	9,178,000

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 2020 Request

The D.C. Courts' mission is to protect rights and liberties, uphold and interpret the law, and resolve disputes 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:

- Goal 1:** Access to justice for all
- Goal 2:** Fair and timely case resolution
- Goal 3:** Professional, engaged workforce
- Goal 4:** Resilient and responsive technology
- Goal 5:** Effective court management and administration

The FY 2020 budget request enhances four of the five strategic goals and includes performance projections for all core functions.

Goal 1: Access to Justice for All--\$589,000, 5 FTEs

The Courts have a responsibility to eliminate barriers to meaningful participation in the judicial process and to accessing court services. Such barriers may include a lack of legal representation, limited literacy or limited English language skills, limited financial resources, and physical or mental disability. In collaboration with justice and community partners, the Courts must work to ensure full access to the justice system and court services.

The request includes \$589,000 for 5 FTEs to expand access to justice courtwide by coordinating *pro bono* services with local law firms, helping court users navigate the system, and producing informational videos.

Goal 3: Professional, Engaged Workforce--\$131,000, 1 FTE

The Courts must ensure a professional, engaged workforce that consistently achieves excellence and is agile to meet the demands of a changing environment. The Courts must continue to invest in education, training, and other development opportunities to enhance the knowledge and skills of its workforce. To advance our long-standing commitment to being a great place to work, the Courts must strive to create a flexible and high-performing work environment where all personnel are positively engaged.

The request includes \$131,000 for 1 FTE to conduct workforce and succession planning.

Goal 4: Resilient and Responsive Technology--\$4,686,000, 4 FTEs

The D.C. Courts must continue to enhance information technology capabilities to provide the highest level of service to the public and state-of-the-art technology tools to its workforce. The Courts must develop, manage, and maintain an information technology infrastructure and services that are effective, efficient, and resilient in supporting the Courts' mission. The Courts must focus on providing exceptional customer service by expanding access to court information and services, enhancing technology capabilities, and ensuring optimal security for court data and information assets.

The request includes \$3,000,000 for a new digital video system to enhance public safety and provide a secure environment for the administration of justice; \$540,000 to move court messaging systems to the Cloud; \$400,000 to ensure data quality and accountability by integrating a business intelligence system to the new case management system; \$178,000 to enhance cybersecurity; \$152,000 for 2 FTEs to increase the responsiveness of the Information Technology Help Desk; \$154,000 for 1 FTE to manage VoIP telecommunications technology; \$131,000 for cloud-based management of complex IT projects; and \$131,000 for 1 FTE in the Information Technology Division to ensure compliance with security requirements.

Goal 5: Effective Court Management and Administration--\$1,715,000, 1 FTE

Effective management and operation of the justice system for the District of Columbia requires a team of knowledgeable professionals with a common mission and shared resources, collaborating to achieve results that best serve the public. The Courts are committed to fiscal accountability with respect to all Courts' resources. Confidence in the judicial system necessitates that each case management function -- trial and appellate -- understands the individual responsibilities and unique role of the other while leveraging opportunities for shared approaches to administrative functions.

The request includes \$1,620,000 to maintain the new addition to the Moultrie Courthouse; and \$131,000 and 1 FTE to manage capital projects in stewardship of the 1.5 million gross square feet of building space in Judiciary Square.

Built-In Increases--\$1,972,000

The request also includes \$1,972,000 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 considerably lower turnover rate compared to the Federal government, which can finance within grade increases through higher turnover (7.4% in 2017 versus 16.7%, respectively).

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

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	28,635,000	28,690,000	30,681,000	1,991,000
12 - Personnel Benefits	8,207,000	8,223,000	8,728,000	505,000
<i>Subtotal Personal Services</i>	<i>36,842,000</i>	<i>36,913,000</i>	<i>39,409,000</i>	<i>2,496,000</i>
21 - Travel, Transp. of Persons	405,000	405,000	415,000	10,000
22 - Transportation of Things	6,000	6,000	7,000	1,000
23 - Rent, Commun. & Utilities	9,099,000	9,099,000	9,273,000	174,000
24 - Printing & Reproduction	105,000	105,000	110,000	5,000
25 - Other Services	19,875,000	22,704,000	29,083,000	6,379,000
26 - Supplies & Materials	683,000	683,000	703,000	20,000
31 - Equipment	4,485,000	4,485,000	4,578,000	93,000
<i>Subtotal Nonpersonal Services</i>	<i>34,658,000</i>	<i>37,487,000</i>	<i>44,1693,000</i>	<i>6,682,000</i>
TOTAL	71,500,000	74,400,000	83,578,000	9,178,000
FTE	283	284	295	11

DISTRICT OF COLUMBIA COURT SYSTEM EXECUTIVE OFFICE

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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>
15	2,722,000	15	2,722,000	20	6,406,000	5	3,684,000

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.

In addition to the support divisions listed above, there are a variety of other matters handled in the Executive Office, including public information, press and government relations, courthouse 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.
- 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 2020 Request

In FY 2020, the Courts request \$6,406,000 for the Executive Office Division, an increase of \$3,684,000 above the FY 2019 Enacted Budget. The requested increase includes \$3,000,000 for a new digital video system to enhance public safety and provide a secure environment for the administration of justice; \$589,000 for 5 FTEs for an initiative to expand access to justice; both described in the **Initiatives Section** of this request; and \$95,000 for built-in cost increases.

Table 1
EXECUTIVE OFFICE
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Cost
Court Navigator	JS-8/9	2	112,000	29,000	141,000
Multimedia Specialist	JS-11	1	70,000	18,000	88,000
Audiovisual Production Specialist	JS-13	1	105,000	26,000	131,000
Pro Bono Coordinator	JS-14	1	124,000	30,000	154,000
Total		5	411,000	103,000	514,000

Table 2
EXECUTIVE OFFICE
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	2,112,000	2,112,000	2,599,000	487,000
12 - Personnel Benefits	592,000	592,000	712,000	120,000
<i>Subtotal Personnel Services</i>	<i>2,704,000</i>	<i>2,704,000</i>	<i>3,311,000</i>	<i>607,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services			3,075,000	3,075,000
26 - Supplies & Materials	11,000	11,000	12,000	1,000
31 – Equipment	7,000	7,000	8,000	1,000
<i>Subtotal Non-personnel Services</i>	<i>18,000</i>	<i>18,000</i>	<i>3,095,000</i>	<i>3,077,000</i>
TOTAL	2,722,000	2,722,000	6,406,000	3,684,000
FTE	15	15	20	5

Table 3
EXECUTIVE OFFICE
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY2018/2019
11 - Personnel Compensation	Current Position WIG	15	32,000	
	Current Position COLA		42,000	
	Pro Bono Coordinator	1	124,000	
	Audiovisual Production Specialist	1	105,000	
	Multimedia Specialist	1	74,000	
	Court Navigators	2	110,000	
<i>Subtotal 11</i>				<i>487,000</i>
12 - Personnel Benefits	Current Position WIG	15	8,000	
	Current Position COLA		11,000	
	Pro Bono Coordinator	1	30,000	
	Audiovisual Production Specialist	1	26,000	
	Multimedia Specialist	1	18,000	
	Court Navigators	2	27,000	
<i>Subtotal 12</i>				<i>120,000</i>
<i>Subtotal Personnel Services</i>				<i>607,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Security Video Management System			3,000,000
26 - Supplies & Materials	Built-in Increases			1,000
31 – Equipment	Built-in Increases		1,000	
	Access to Justice Initiative		75,000	
<i>Subtotal 31</i>				<i>76,000</i>
<i>Subtotal Non-personnel Services</i>				<i>3,077,000</i>
Total				3,684,000

Table 4
EXECUTIVE OFFICE
Detail of Full-Time Equivalent Employment

	2018 Enacted	2019 Enacted	2020 Request
JS-6			
JS-7			
JS-8			2
JS-9	1	1	1
JS-10			
JS-11	2	2	3
JS-12	1	1	1
JS-13	2	2	3
JS-14	5	5	6
JS-15	2	2	2
CEMS			
CES	1	1	1
Other	1	1	1
Total Salary	2,112,000	2,112,000	2,599,000
Total FTEs	15	15	20

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

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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>
45	6,144,000	45	6,144,000	45	6,335,000	0	191,000

Organizational Structure

The Administrative Services Division (ASD) consists of the Office of the Administrative Officer, courtwide SmartPay Purchase and Fleet Card Operations, Support Staff, and two operating branches. The Administrative Officer is also responsible for contract awards up to \$1 million.

- The SmartPay Purchase and Fleet Card Program is responsible for the management and control of approximately 100 purchase and fleet cards throughout the Courts.
- The Procurement and Contracts Branch is responsible for courtwide small purchases, major contract acquisitions, construction contracts, and the Acquisition Institute, which provides acquisition training for all personnel involved in acquiring goods and services for the Courts. The Procurement and Contracts Branch is also responsible for maintaining updated Procurement Guidelines that provide direction for the acquisition of these goods and services.
- The Office Services Branch is responsible for mailroom operations, 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. The branch is also responsible for local criminal background clearances as well as FBI fingerprint background clearances for any contractors who provide direct services for children under the supervision of the Courts. Additionally, the branch is responsible for child abuse clearances for these contractors.

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.
- Provide excellent service to the public at the Information Center, giving individuals the information they need to find their courtroom, locate a court office, or otherwise access court services.

- 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 and industry standards.
- 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

SmartPay Purchase and Fleet Card Program Operations

In FY 2020, the SmartPay Purchase and Fleet Card Program anticipates an increase in the number of transactions from approximately 1,500 in FY 2017 to more than 2,000 in FY 2020. Currently, card transactions reflect more than \$500,000 in activity and it is expected that by FY 2020, card transactions will be more than \$750,000. This increase reflects the recent change of the micro-purchase threshold from \$3,000 to \$3,500 and will allow the Courts to process a significantly higher number of mission-critical micro-purchases to support court operations.

Procurement and Contracts Branch

In FY 2020, the Procurement and Contracts Branch expects to process approximately 1,200 small purchases (< \$150,000) within 20 days of receipt and 120 large contracts (> \$150,000) within 120 days of receipt. The estimated increase in the number of large procurements is due to the Procurement and Contracts Branch's assumption in FY 2018 of responsibility for procurements that were previously conducted by the Capital Projects and Facilities Management Division.

The complexity of major acquisitions and changing technology requires the Courts to maintain a knowledgeable and experienced acquisition workforce with the required critical thinking and business expertise to support the needs of the Courts. The Procurement and Contracts Branch established 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 formal training sessions to the Courts' personnel. Due to robust participation in the Acquisition Institute in previous years, the Institute anticipates meeting future need. In FY 2019, the Acquisition Institute will begin implementing a full curriculum designed to register and certify court personnel as Contracting Officer Technical Representatives (COTR) for D.C. Courts' procurement actions. These courses will include Statement of Work Writing, Contracting Officer's Technical Representative Training, Procurement Fraud and Ethics, Contract Administration Plan and File, Post Award Orientation, and other training designed to strengthen the skills of the D.C. Courts' COTRs. In FY 2019, the Branch expects to offer a full complement of courses and enhance the online presence of the Institute, allowing court employees to take courses and exams from the convenience of their own offices. The Institute will continue to enhance the training experience with refresher courses and course highlights on the Administrative Services Division intranet page.

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 communication methods.

The Information Center expects to assist an estimated 8,000 members of the public per month (96,000 persons per year) at the Information Window in the courthouse and to respond to an average of 18,000 incoming calls per month (or 216,000 calls per year). This number is expected to decline in the long term as more members of the public utilize the Courts' website, on-line chats, and social media outlets to access court information and data.

The Help Desk expects to receive approximately 6,000 calls from court personnel. This number represents a decrease of approximately 2,000 calls annually. In 2017, the Courts implemented the D.C. Courts' Service Portal so court personnel can make service requests online and reducing phone calls to the Help Desk. 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 digitization of older case records. In contrast, in FY 2016 and 2017 the Courts processed a much higher volume of case records (65,305) as part of an initiative to decrease the number of case records in divisional 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.

Table 1
ADMINISTRATIVE SERVICES DIVISION
Key Performance Indicators

SmartPay Purchase and Fleet Card Program Operations									
Performance Indicator	Data Source	FY 2017		FY 2018		FY 2019		FY 2020	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Annual purchase card transactions	Citibank Custom Reporting Systems	700	996	950	950	1,200	1,200	1,500	1,500
Annual Fleet card transactions	Voyager Electronic Reporting System	300	451	450	450	500	500	550	550
Transaction reviews or random checks	Citibank Card Mgmt System; Voyager; Oracle Federal Financials	4	113	100	100	125	125	150	150
Program audits conducted	Cardholder Purchase/ Fleet Card Logs; Supporting Documentation	2	2	2	2	4	4	4	4

Office Services Branch									
Performance Indicator	Data Source	FY 2017		FY 2018		FY 2019		FY 2020	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Monthly calls	Call Accounting Reports	20,000	20,000	18,000	18,000	18,000	18,000	18,000	18,000
Jury summons processed yearly	Database	135,000	135,000	135,000	135,000	135,000	135,000	135,000	135,000
Subpoenas processed yearly		120,000	120,000	120,000	120,000	120,000	120,000	120,000	120,000
Outgoing metered mail (pieces) yearly		185,000	185,000	175,000	175,000	175,000	175,000	175,000	175,000
Help Desk Calls received and processed yearly	Automated Tracking System	10,000	10,000	8,000	8,000	6,000	6,000	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	1,700	1,700	1,600	1,600	1,600	1,600	1,600	1,600
Records for storage yearly (individual case records)	Electronic Data Base	70,000	70,000	30,000	30,000	20,000	20,000	20,000	20,000

Procurement Branch									
Performance Indicator	Data Source	FY 2017		FY 2018		FY 2019		FY 2020	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Annual small purchases	Automated Financial System and Manual Accounting	1,200	1,200	1,200	1,250	1,250	1,250	1,250	1,250
Annual large purchases		75	75	120	120	120	120	120	120
Annual modifications		1,000	1,000	900	900	900	900	900	900
Small purchases processed within 20 days		95%	95%	95%	95%	95%	95%	95%	95%
Large purchases processed within 90-120 days after receipt of SOW		95%	95%	95%	95%	95%	95%	95%	95%
Acquisition courses conducted yearly	Internal Records	4	4	6	6	10	12	12	12

FY 2020 Request

In FY 2020, the D.C. Courts request \$6,335,000 for the Administrative Services Division, an increase of \$191,000 (3%) above the FY 2019 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 2
ADMINISTRATIVE SERVICES DIVISION
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	3,665,000	3,665,000	3,793,000	128,000
12 - Personnel Benefits	1,026,000	1,026,000	1,059,000	33,000
Subtotal Personnel Services	4,691,000	4,691,000	4,852,000	161,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	64,000	64,000	66,000	2,000
25 - Other Services	1,274,000	1,274,000	1,229,000	25,000
26 - Supplies & Materials	86,000	86,000	88,000	2,000
31 - Equipment	29,000	29,000	30,000	1,000
Subtotal Non Personnel Services	1,453,000	1,453,000	1,483,000	30,000
TOTAL	6,144,000	6,144,000	6,335,000	191,000
FTE	45	45	45	0

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

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Position WIG	45	55,000	
	Current Position COLA	45	73,000	
<i>Subtotal 11</i>				<i>128,000</i>
12 - Personnel Benefits	Current Position WIG	45	14,000	
	Current Position COLA	45	19,000	
<i>Subtotal 12</i>				<i>33,000</i>
<i>Subtotal Personnel Services</i>				<i>161,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			2,000
25 - Other Service	Built-in Increases			25,000
26 - Supplies & Materials	Built-in Increases			2,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				<i>30,000</i>
Total				191,000

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

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-4	1	1	1
JS-5	3	3	3
JS-6	8	8	8
JS-7	4	4	4
JS-8	3	3	3
JS-9	5	5	5
JS-10			
JS-11	2	2	2
JS-12	7	7	7
JS-13	10	10	10
JS-14	1	1	1
JS-15			
CEMS			
CES	1	1	1
Total Salaries	3,665,000	3,665,000	3,793,000
Total FTEs	45	45	45

DISTRICT OF COLUMBIA COURT SYSTEM BUDGET AND FINANCE DIVISION

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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	5,249,000	35	5,249,000	35	5,421,000	0	172,000

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 34 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 (4 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 (5 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 (8 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.

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 15th 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. 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 in the fall of 2018.

Table 1
BUDGET AND FINANCE DIVISION
Key Performance Indicators

Key Performance Indicator	Data Source	FY 2017		FY 2018		FY 2019		FY 2020	
		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%	99%	100%	100%	100%	100%
Accurate completion of the monthly bank reconciliations of the D.C. Courts' bank accounts within 15 days of each month's end.	Courts' Financial System of Record	100%	100	100%	100%	100%	100%	100%	100%

FY 2020 Request

In FY 2020, the D.C. Courts request \$5,421,000 for the Budget and Finance Division, an increase of \$172,000 (3%) above the FY 2019 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 2
BUDGET AND FINANCE DIVISION
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	3,518,000	3,518,000	2,186,000	123,000
12 - Personnel Benefits	986,000	986,000	2,797,000	32,000
<i>Subtotal Personnel Services</i>	<i>4,504,000</i>	<i>4,504,000</i>	<i>2,797,000</i>	<i>155,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	10,000	10,000	11,000	1,000
25 - Other Services	708,000	708,000	722,000	14,000
26 - Supplies & Materials	17,000	17,000	18,000	1,000
31 - Equipment	10,000	10,000	11,000	1,000
<i>Subtotal Non-personnel Services</i>	<i>745,000</i>	<i>745,000</i>	<i>762,000</i>	<i>17,000</i>
TOTAL	5,249,000	5,249,000	5,421,000	172,000
FTE	35	35	35	0

Table 3
BUDGET AND FINANCE DIVISION
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY2019/2020
11 - Personnel Compensation	Current Position WIG	35	53,000	
	Current Position COLA		70,000	
<i>Subtotal 11</i>				<i>123,000</i>
12 - Personnel Benefits	Current Position WIG	35	14,000	
	Current Position COLA		18,000	
<i>Subtotal 12</i>				<i>32,000</i>
<i>Subtotal Personnel Services</i>				
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Services	Built-in Increases			14,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-personnel Services</i>				<i>17,000</i>
Total				172,000

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

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-6			
JS-7			
JS-8			
JS-9	7	7	7
JS-10			
JS-11	4	4	4
JS-12	8	8	8
JS-13	9	9	9
JS-14	5	5	5
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	3,518,000	3,518,000	3,641,000
Total FTEs	35	35	35

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

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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	8,471,000	26	8,471,000	27	10,435,000	1	1,964,000

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 secure.

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 Division is comprised of a Director's Office and two branches:

- 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. This branch has 19 FTEs.
- 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 1.45 million sq. ft. Judiciary Square complex, providing new, high quality space and services to the D.C. Courts' employees and visitors. This branch has 4 FTEs.

Division Strategic Plan/MAP Objectives

In support of the Courts' 2018-2022 Strategic Plan, the Capital Projects and Facilities Management Division has identified the following objectives:

Program Area	Objective
Building Operations	Provide oversight for housekeeping/custodial and landscaping services on behalf of the D.C. Courts' employees and visitors so they can operate in a clean and well-maintained environment.
Building Operations	Develop and maintain a quality control system for ensuring that customer building operational concerns are addressed expeditiously.
Building Operations	Ensure mechanical systems (i.e. HVAC, elevators, plumbing) and building shell conditions are maintainable with assigned preventive maintenance schedules (PMS) based 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 secure and functional of their public significance and character. The D.C. Courts occupy over 1.45 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 C Street Addition to the Courthouse is being designed and constructed to a LEED Platinum standard); the Southwest Garage at 449 5th Street, NW; Building A at 515 5th Street, NW; Building B at 510 4th Street, NW and Building C at 410 E Street, NW (designed and constructed to a 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 2018. Major milestones were achieved but most importantly Phase 2A of the Moultrie Courthouse Addition has significantly progressed and the contract to construct Phase 2B, the final phase, has been awarded. At the same time, CPFMD has continued work on various interrelated projects required to support the delivery of the Moultrie Courthouse Addition including:

1. Completed Phase 1 of 2 phases of construction to expand the Security Control Center on Indiana Avenue required accommodating the security equipment and personnel required to support the enlarged courthouse.
2. Completed the C Level NW renovations (containing an improved data center) and all efforts to eliminate un-used cabling in the building and to efficiently organize cabling in preparation for the increased IT and security requirements, requiring new cabling, to support the Moultrie Courthouse Addition.
3. Completed construction of new public rest rooms required to and contiguous areas replacing facilities affected by the construction of the Addition.
4. Completed construction of the Interim Security Office and Wellness Center
5. Completed the installation of new courthouse technology, a Docketron system that allows visitors to view cases that will be heard each day, corresponding courtroom number in which each case will be heard and the name of the judge who will hear each case.
6. Began renovation of United States Marshals Services (USMS) space on the west side of HCMCB so that USMS personnel can be relocated and consolidated prior to the beginning of construction of Phase 2B of the Moultrie Courthouse Addition. This will allow the USMS to provide uninterrupted daily services to the Courts, despite ongoing construction, without sacrificing continuity of operations.

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. 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.
2. 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.

3. 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.
4. 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.

In 2017, the D.C. Courts began an update of the D.C. Courts 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 update is underway and anticipated for completion in late 2018 or early 2019. 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

In FY 2020, Capital Projects and Facilities Management Division will continue to provide services to all of the divisions of the D.C. Courts for infrastructure maintenance, repair, and operations (MRO) to "*ensure that the facilities are safe and secure and can adequately accommodate court operations and personnel*". The facilities MRO costs for the entire D.C. Courts' complex are projected to be \$15.00/sq. ft.

CPFMD will continue to manage the housekeeping/custodial services contract for the Courts' 1.41 million sq. ft. of net occupiable space (430 E Street, NW; 449 5th Street, NW; 500 Indiana Ave. NW; 515 5th Street, NW; 510 4th Street, NW; 410 E Street, NW; Gallery Place ; 2041 Martin Luther King Jr. Avenue, SE; 2575 Reed Street, NE; 920 Rhode Island, NE; 1215/1201 South Capitol, SW; 118 Q Street, NE and 4209 9th Street, NW) and the landscaping maintenance contract for lawn cutting, tree pruning and irrigation maintenance for the Courts' 4.2 acres of green space in a cost-effective manner. The Division will continue to manage the vertical transportation maintenance contract to ensure all elevators, escalators and lifts are functioning properly and compliant to safety code.

With the completion of multiple construction projects, infrastructure upgrades and enhancements, CPFMD is 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 with annual updates performed by staff. This document provides a detailed lifecycle analysis and replacement values for all Courts' facility assets and cost estimates for future funding requirements.

In addition to the Facilities Conditions Assessment, CPFMD utilizes 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.

Table 1
CAPITAL PROJECTS AND FACILITIES MANAGEMENT
Key Performance Indicators

Performance Indicator	Data Source	Evaluation Frequency	FY 2018		FY 2019		FY 2020	
			Goal	Estimate	Goal	Estimate	Goal	Estimate
Number of Help Desk calls resolved in two business days	CPFMD CMMS Reports	Monthly	93%	93%	95%	95%	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	98%	98%	99%	99%	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	93%	93%	95%	95%	95%	95%
Preventive maintenance work completed in accordance with Manager Plus Equipment Matrix Schedule.	Manager Plus Equipment PM Schedule	Monthly	96%	96%	97%	97%	97%	97%

FY 2020 Request

In FY 2020, the D.C. Courts request \$10,435,000 for the Capital Projects & Facilities Management Division, an increase of \$1,964,000 (23%) above the FY 2019 Enacted Budget. The requested increase includes \$1,620,000 to maintain the new addition to the Moultrie Courthouse; and \$131,000 and 1 FTE to manage capital projects in stewardship of the 1.5 million gross square feet of building space in Judiciary Square; and \$213,000 for built-in cost increases.

Facilities Maintenance, Repair, and Operations (MRO) Costs for the Moultrie Courthouse Addition, \$1,620,000

Problem Statement. With the completion of the Moultrie Courthouse Addition, the amount of site area to be maintained by CPFMD is increasing by 108,000 occupiable square feet (OSF). The increased inventory of usable courthouse space and landscaped grounds will require additional cleaning, maintenance, repairs and landscaping services. In addition to the expanded area, the Courts must keep up the high level of cleanliness and the professional appearance of the existing

facilities. The Courts must also maintain equipment that was installed to enhance access under the Americans with Disabilities Act.

Relationship to Court Mission, Vision and Strategic Plan. The additional funding for facilities maintenance, repair, and operation costs supports the Courts' Strategic Goal V, "Effective Court Management and Administration." Specifically, the Courts will ensure that all facilities are safe and secure and can accommodate court operations and personnel.

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

Relationship to Existing Funding. Funding for the facilities maintenance, repair and operations costs for the Moultrie Courthouse Addition currently does not exist in the Courts' budget.

Methodology. The division will contract for additional services for cleaning, landscaping, specialized equipment repair, and environmental services in accordance with the D.C. Courts' Procurement Guidelines.

Key Performance Indicators. Performance indicators include the timely completion of service requests, the cleanliness of court facilities, and compliance with maintenance schedules.

****Managing Capital Projects, 1 FTE, \$131,000***
Project Manager (JS-13)

Problem Statement. Major upgrades, renovations, deferred maintenance, and expansion projects require expert, professional management staff to effectively administer a portfolio of multi-million dollar, multi-year projects. The need for project management expertise is critical to administering tasks related to initiation, planning, design, execution, control and close-out of capital projects. Currently, there are three project managers who are responsible for overseeing more than 15 projects, with a capital project budget of over \$100 million. Additional project management staff is necessary to make certain that projects are completed within schedule, budget, and scope.

Relationship to Court Mission, Vision and Strategic Plan. Adequate staff for the effective management of capital facilities upgrade projects will support the Courts' Strategic Plan Goal V, "Effective Court Management and Administration." Specifically, the Courts will ensure that all facilities are safe and secure and can accommodate court operations and personnel.

* Request to restore a critical position that was eliminated in FY 2018 due to budget constraints.

Relationship to Divisional Management Action Plans. The additional project management staff will support the divisional objective of providing direct support services to the judicial offices, the operating divisions, and other support units of the Courts, as well as to the public through effective and efficient management of Courts' facilities, infrastructure and assets.

Relationship to Existing Funding. Due to budget reductions, the funding for the project manager position was eliminated, and is not currently available in the Courts' budget.

Methodology. The grade level of the requested position is classified in accordance with the D.C. Courts' Personnel Policies.

Expenditure Plan. The Project Manager position will be recruited and hired according to the Courts' Personnel Policies.

Key Performance Indicators. The Project Manager will be responsible for establishing, monitoring and reporting on all work planned and performed against baseline goals, and instituting corrective action if cost, schedule, quality, or performance estimates vary from established reporting baselines by 10% or more.

Table 2
CAPITAL PROJECTS AND FACILITIES MANAGEMENT DIVISION
New Position Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Cost
Project Manager	JS-13	1	\$105,000	\$26,000	\$131,000

Table 3
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	2,484,000	2,484,000	2,67706,000	193,000
12 - Personnel Benefits	695,000	695,000	744,000	49,000
Subtotal Personnel Services	3,179,000	3,179,000	3,421,000	242,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	5,258,000	5,258,000	6,978,000	1,720,000
26 - Supplies & Materials	26,000	26,000	27,000	1,000
31 - Equipment	8,000	8,000	9,000	1,000
Subtotal Non-personnel Services	5,292,000	5,292,000	7,014,000	1,722,000
TOTAL	8,471,000	8,471,000	10,435,000	1,964,000
FTE	26	26	27	1

Table 4
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Position WIG	26	38,000	
	Current Position COLA	26	50,000	
	Project Manager	1	105,000	
<i>Subtotal 11</i>				<i>193,000</i>
12 - Personnel Benefits	Current Position WIG	26	10,000	
	Current Position COLA	26	13,000	
	Project Manager	1	26,000	
<i>Subtotal 12</i>				<i>49,000</i>
Subtotal Personnel Services				242,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in Increases		100,000	
	Maintain Moultrie Courthouse Addition		1,620,000	
<i>Subtotal 25</i>				<i>1,720,000</i>
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Subtotal Non-personnel Services				1,722,000
Total				1,964,000

Table 5
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	4	4	4
JS-9	9	9	9
JS-10			
JS-11	2	2	2
JS-12	2	2	2
JS-13	3	3	3
JS-14	3	3	3
JS-15			
JS-16			
CEMS	1	1	1
CES	2	2	2
Total Salaries	2,484,000	2,484,000	2,677,000
Total FTEs	26	26	27

DISTRICT OF COLUMBIA COURT SYSTEM CENTER FOR EDUCATION AND TRAINING

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
7	2,126,000	7	2,126,000	7	2,186,000	0	60,000

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 scientific, 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 seven FTEs provides judicial training mandated by statute as well as judicial branch education in the Court of Appeals and Superior Court, and education and training opportunities for all court personnel. The Center offers classes in current legal issues, judicial procedure, executive leadership skills, supervision and performance management, effective communication and grammar, customer service, cultural diversity, 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, Captivate, Camtasia, Audacity, Comptia A+ 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 for a professional and engaged workforce 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** – In line with the Courts’ Strategic Plan to develop effective court management and administration and 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”, “Living Our Values” and “Leadership Principles” Initiatives.
- **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 (2018-2022) including access to justice for all, fair and timely case resolution, a professional and engaged workforce, resilient and responsive technology and an effective court management and administration. These strategic goals are coupled with upholding the Courts’ core values 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 seven has been completely restructured and works well together to achieve the Division’s goals. These changes are a result of feedback received through a myriad of assessment tools, including an internal needs assessment, direct interaction, and questionnaires completed by court personnel, both judicial and non-judicial. 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 was 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 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, 2015 and 2017 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 2016-2018, 22 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 meetings each year. The Executive Team holds monthly leadership meetings, and joint Judicial/Executive meetings are also held. 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 each year. 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. Every other year, the MTP offers a very successful 12-month series of classes taught by nationally recognized experts and in-house leaders. Many of the graduates from the Program have received promotions and increased responsibility. The Courts take seriously the importance of succession planning and continue to move in a proactive direction toward recruiting and retaining excellent employees. Similarly, the D.C. Courts have established a seven-day, four-segment training program for supervisors. Based on the Supervisory Leadership Program offered by the U.S. Office of Personnel Management and using some of the same faculty, this training program 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 through 2018, 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 such as Camtasia, Captivate and Audacity, 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 201 classes each year. Training hours completed by court employees and judicial officers for each year have consistently been well over 20,000 hours and the most recent indicators point to increased training activity levels exceeding 21,900 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 70 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 96 groups and more than 1,450 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

Data Measure⁶	FY 2017 Actual	FY 2018 Estimated	FY 2019 Projected	FY 2020 Projected
Courses Offered	201	190	160	160
Judicial Participants	550	700	550	550
Employee Participants	3,309	2,500	2,000	2,000
Divisions Supported	18	12	10	10
Number of Official Visitors	1,458	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 2017		FY 2018		FY 2019		FY2020	
			Goal	Actual	Goal	Estimate	Goal	Projected	Goal	Projected
Outcome	Program Quality	Participant Evaluations	85% >3.5	96% >4.0	85% >4.0	95% >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	21,690	15,000	15,000	15,000	15,000	15,000	15,000
Output	Visitors Tours & Programs	Visitors Schedule	50	96	50	70	50	70	50	70
Outcome	Bi-Annual Management Training Program Graduates	Training Schedule & Participant List	NA	NA	20	23	NA	NA	20	20
Output	Management Training Institute Courses Offered	Training Schedule	8	29	10	10	8	8	8	8
Output	Executive/Senior Leadership Development Sessions	Training & Meeting Schedules and N-H Reports	2	2	2	2	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	2	4	4	4	4	4	4

FY 2020 Request

In FY 2020, the Courts request \$2,186,000 for the Center for Education and Training, an increase of \$60,500 (3%) over the FY 2019 Enacted Budget. The requested increase consists entirely of built-in cost increases.

⁶ 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

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	805,000	805,000	834,000	29,000
12 - Personnel Benefits	225,000	225,000	232,000	7,000
Subtotal Personnel Cost	1,030,000	1,030,000	1,066,000	36,000
21 - Travel, Transp. of Persons	274,000	274,000	280,000	6,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	808,000	808,000	824,000	16,000
26 - Supplies & Materials	8,000	8,000	9,000	1,000
31 - Equipment	6,000	6,000	7,000	1,000
Subtotal Non- Personnel Cost	1,096,000	1,096,000	1,120,000	24,000
TOTAL	2,126,000	2,126,000	2,186,000	60,000
FTE	7	7	7	0

Table 4
CENTER FOR EDUCATION AND TRAINING
Detail, Difference FY 2019/FY 2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/FY 2020
11 - Personnel Compensation	Current Position WIG	7	13,000	
	Current Position COLA	7	16,000	
Subtotal 11				29,000
12 - Personnel Benefits	Current Position WIG	7	3,000	
	Current Position COLA	7	4,000	
Subtotal 12				7,000
Subtotal Personnel Services				36,000
21 - Travel, Transp. Of Persons	Built-in Increases			6,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service	Built-in Increases			16,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Subtotal Non-Personnel Services				24,000
Total				60,000

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

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
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			
CES	1	1	1
CEMS			
Total Salaries	805,000	805,000	834,000
Total FTEs	7	7	7

DISTRICT OF COLUMBIA COURT SYSTEM COURT REPORTING DIVISION

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
46	6,091,000	46	6,091,000	46	6,321,000	0	230,000

Mission

The mission of the Court Reporting Division (CRD) is to support fair and timely case resolution by providing attorneys, litigants and other interested parties with accurate and timely transcripts of court proceedings to aid the litigation of cases in the Superior Court and to provide records of trial court proceedings for review by the Court of Appeals. The Division is committed to providing a professional and engaged workforce that uses the most up-to-date technology for taking and producing the record.

Organizational Background

The Court Reporting Division (CRD) is responsible for providing transcripts to anyone requesting a proceeding whether taken by a court reporter or recorded electronically, without a court reporter present. The Division has 47 FTEs and is comprised of the Director's office and four branches: Court Reporting Branch, Case Management Branch, Transcription Branch, and Administrative Branch. CRD produced 384,000 transcript pages in 2017. CRD also 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 to comply with the Americans with Disabilities Act (ADA).

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 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.
4. 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.
5. The Administrative Branch is responsible for processing incoming and outgoing transcript requests from various agencies and the public. In addition to entering relevant data into the Web Transcript Tracking System (WTTs) for the Court Reporting Division, this branch is responsible for maintaining statistics on all appeal and non-appeal 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 has instituted a Certified Realtime Captioners Program. This program requires court reporters designated to provide CART to become Certified Realtime Captioners. The Certified Realtime Captioners Program (CRC) 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 2017 Actual	FY 2018 Estimate	FY 2019 Estimate	FY 2020 Estimate
Input	Transcription Branch orders received	Division Records	5,200	5,000	5,200	5,300
Input	Court Reporting Branch orders received	Division Records	3,000	3,000	3,100	3,200
Output	Pages of court transcripts produced (appeal/non-appeal)	Division Records	384,000	360,000	370,000	375,000

Table 2
COURT REPORTING DIVISION
Key Performance Indicators

Type of Indicator	Performance Indicator	Data Source	FY 2017		FY 2018		FY 2019		FY 2020	
			Goal	Actual	Goal	Estimate	Goal	Projection	Goal	Projection
Timeliness	Average time (in days) to complete transcripts of taped appellate proceedings	Division Records	11	18	11	11	11	11	11	11
Timeliness	Average time (in days) to complete transcripts of taped <i>non</i> -appellate proceedings	Division Records	6	6	6	6	6	6	6	6
Timeliness	Average time (in days) to complete appellate transcripts by court reporters *	Division Records	37	39	37	37	37	37	37	37
Timeliness	Average time (in days) to complete <i>non</i> -appellate transcripts by court reporters *	Division Records	10	11	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 2020 Request

In FY 2020, the D.C. Courts request \$6,321,000 for the Court Reporting Division, an increase of \$230,000 (4%) above the FY 2019 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 3
COURT REPORTING DIVISION
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	4,682,000	4,682,000	4,859,000	177,000
12 - Personnel Benefits	1,311,000	1,311,000	1,360,000	49,000
<i>Subtotal Personnel Services</i>	<i>5,993,000</i>	<i>5,993,000</i>	<i>6,219,000</i>	<i>226,000</i>
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	26,000	26,000	27,000	1,000
26 - Supplies & Materials	44,000	44,000	45,000	1,000
31 - Equipment	24,000	24,000	25,000	1,000
<i>Subtotal NonPersonnel Services</i>	<i>98,000</i>	<i>98,000</i>	<i>102,000</i>	<i>4,000</i>
TOTAL	6,091,000	6,091,000	6,321,000	230,000
FTE	46	46	46	0

Table 4
COURT REPORTING DIVISION
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Position WIG	46	71,000	
	Current Position COLA	46	106,000	
<i>Subtotal 11</i>				<i>177,000</i>
12 - Personnel Benefits	Current Position WIG	46	18,000	
	Current Position COLA	46	31,000	
<i>Subtotal 12</i>				<i>49,000</i>
<i>Subtotal Personnel Services</i>				<i>226,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Service	Built-in Increases			1,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				<i>4,000</i>
TOTAL				230,000

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

Grade	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-6	1	1	1
JS-7			
JS-8	4	4	4
JS-9	3	3	3
JS-10	6	6	6
JS-11			
JS-12	29	29	29
JS-13	1	1	1
JS-14			
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salaries	4,682,000	4,682,000	4,859,000
Total FTEs	46	46	46

DISTRICT OF COLUMBIA COURT SYSTEM HUMAN RESOURCES DIVISION

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
25	3,304,000	25	3,304,000	26	3,551,000	1	247,000

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 for 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 undertakes workforce planning, maintains systems to enhance staff development and employee accountability, and promotes 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 ensures 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 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.

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.

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 for coordinating the development, facilitation, and administration of the Division's Strategic Plan and internal program analysis.

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.

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.
- Maximize efficiency in performance management and improve communication between staff and management by conducting a pilot on Interior Business Center's (IBC) performance management 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 engage in comprehensive workforce planning.

Division Highlights

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
- Living Our Values Working Committee
- Flex Place Working Group

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 health and wellness to our workforce with on-site health screenings, flu vaccinations and inspiring guest speakers. The following are some of the division's accomplishments that promote employee engagement and emphasize the division's commitment to customer service and support:

- Began the development of the second comprehensive Five-Year Human Resources Strategic Plan (HRSP) to ensure that it is strategically aligned with the Courts' overall strategic plan.
- Launched a feasibility project to examine technology case management solutions for EEO, Employee Relations, Family Medical Leave, Employment Actions; and Rehabilitation Accommodation cases.
- Presented EEO Findings to the Joint Committee on Judicial Administration, the Standing Committee on Access and Fairness, and the Courts' Leadership Team
- Provided trainings on transgender issues, sexual harassment, and EEOC updates on retaliation prevention guidance;
- Conducted four training sessions on the Courts' Equal Employment Opportunity Personnel Policy 400 and seven training sessions, open to all employees, on Sexual Harassment Personnel Policy 410. A total of 189 employees attended.
- Planned the first annual Asian American and Pacific Islander Heritage month program, in addition to other special emphasis programs, to further inclusion and cultural awareness.
- 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.
- Conducted a 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".
- 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.
- 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.
- 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 D.C. Judges Retirement Plan. Facilitated three Thrift Savings Plan Seminars as part of the Retirement and Benefits training for Court employees.

- Facilitated Workers' Compensation training for Branch Chiefs, Managers, and Supervisors. This training provides guidance on compensation law and benefits, the completion of common claim forms, and understanding the roles and responsibilities should an injury occur at work.
- Conducted Time and Attendance refresher courses for Timekeepers and Certifiers that provided education and guidance on time and attendance policies in accordance with the D.C. Courts' Policies and applicable federal laws.
- Hosted the Annual Financial Literacy Seminar in recognition of Financial Literacy month (April). Topic, "Building Good Credit and Improving your Credit Score".
- Implemented a Phased Retirement program for the D.C. Court system. This involved creating the program guidelines, Phased Retirement Home Page, materials, and conducting information sessions for court employees.
- Hosted the D.C. One Fund Campaign and D.C. Courts Health Fair for the 2017 open enrollment season.
- Enhanced the look and feel of the HR Intranet page to make it easier to navigate for new hires not familiar with D.C. Courts or government terminology. In addition quick links and hot topics were created that can be accessed from the main page.
- Conducted over 36 various trainings (one-on-one and group sessions) on the personnel human resources systems: the Federal Personnel/Pay System (FPPS), Workforce Transformation Tracking System (WTTS). Content involved training and retraining on the proper use of the system in addition to tips and tools in an effort to promote efficiency in work processes and management of personnel.
- Collaborated with the Interior Business Center personnel to establish a performance management system by outlining the needs of the Courts regarding system functionality and capabilities.
- Enhanced the Performance Management Overview portion of the New Hire Orientation to create a foundation for employee success. Executed a "reach out" campaign to contact new hires and provide additional resources to ensure a smooth transition to the Courts.
- Completed the successful close-out of the 2016-17 performance management period and refined performance evaluation collections process by implementing additional controls to ensure quality, accuracy and timely completion.
- Conducted "Performance Planning Briefings" assisting divisions with developing, refining, and enhancing performance plans.
- Facilitated teambuilding sessions with divisions to increase employee morale, build camaraderie, increase employee engagement, and champion/promote Court values.
- Actively participated in facilitated discussions by administering conflict management techniques to ensure employee and employer positive relations.
- Facilitated four all day workshops titled "Hiring the Best Candidate". The purpose of this workshop was to familiarize managers and supervisors with Personnel Policies related to recruitment and provide the tools to help identify and hire the best candidate.
- Participated in six career fairs and four internship fairs to increase the D.C. Courts' brand and maximize recruiting efforts.
- Participated in three resume and interview clinics to assist students and professionals with honing their resume and interview skills. Mock interviews were conducted and two of these clinics were exclusive to residents of the District of Columbia.

- Facilitated three two-hour sessions titled “Applying for a Job at the D.C. Courts” for internal employees. Employees were educated on the hiring process, given tools to assist in developing their resumes, and interviewing tips were provided.
- Distributed semi-annual workforce planning reports to divisions that facilitated forecasting the human capital for the operational needs of each division.

Workload Data

During FY 2017, the Human Resources Division processed over 100 Family and Medical Leave Act requests, 13 Workers’ Compensation claims, and over 10,500 job applications for 104 announced vacancies. Over 5,000 individual employee benefit consultations were conducted via telephone and walk-ins, benefit workshops, seminars, and fairs, etc. In FY 2017, 34 employees sought counsel from the EEO Office. There were seven EEO complaints filed, two sexual harassment complaints, and six bullying complaints filed and investigated. Informal resolutions were reached in 19 matters.

Table 1
HUMAN RESOURCES DIVISION
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2017		FY 2018		FY 2019		FY 2020	
			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	650	700	700	750	750
Output	# of employees attending Performance Management Training and Briefings	Registration & attendance documents	100	200	150	150	200	200	250	250
Output	Performance Evaluations Processed ⁷	Rec’d Evals	800	940	900	900	900	900	900	900
Output	# of employees with access to eOPF	HR Data Reports	1,300	1,300	1,300	1,300	1,300	1,300	1,300	1,300

FY 2020 Request

In FY 2020, the Courts request \$3,551,000 for the Human Resources Division, an increase of \$247,000 (7%) above the FY 2019 Enacted Budget. The requested increase includes \$131,000 for 1 FTE to conduct workforce and succession planning and \$116,000 for built-in cost increases.

⁷ Performance evaluations are conducted for all permanent, non-judicial staff who have completed their probationary periods. This goal reflects evaluation of all eligible employees.

****Planning for Tomorrow's Workforce (JS-13), \$131,000***

Problem Statement. The D.C. Courts, like many organizations, face the challenges associated with an inter-generational workforce; business as usual will no longer attract and retain the caliber of employees needed to execute the Courts' mission. This is compounded by the fact that one-third of the current workforce is eligible to retire in the next three to five years and 60% of the Courts' Executive Service (senior leadership) is eligible to retire during that time. The Courts have a pressing need to engage in strategic workforce planning. Workplace issues involving work/life balance, health and wellness, safety and security, and the workplace demands of a new generation of employees are ongoing and are addressed in the Courts' five year strategic plan. To accomplish the goals outlined in the Strategic Plan, it is apparent that the Human Resources Division must continue as a strategic partner with the Courts' leadership. In an effort to manage these dramatic and inevitable changes, the Courts must prepare, develop, and implement new policies and adopt new human capital practices to enable employees to effectively execute the mission of the Courts. The Human Resources Division must be appropriately staffed for its transformational role in advising, informing, and determining our future workforce.

Historically, the Courts' Human Resources Division's mission was primarily focused on recruitment, employee relations, and compliance with laws, rules, and regulations. While each is an important function, the evolving role of human capital management is to integrate decisions about people with decisions about the results an organization is striving to attain. Human resources departments are becoming more consultative and involved in day-to-day management activities of an organization.

The Courts hired a consulting firm to conduct an organizational analysis of the Human Resources Division, with the goal of aligning human capital management with the Courts' strategic goals and mission accomplishment. The findings indicated that the Courts must build the Human Resources Division's internal capacity to achieve such alignment. To align human capital management with the Courts' strategic goals, a critical position –a Workforce Planning Specialist is needed.

The Human Resources Specialist – Workforce Planning will provide service and support in the form of development, implementation, and administration of projects and programs that enable and promote strategic human resource management and administration in the area of workforce planning and other related human resources programs and initiatives.

Relationship to Court Mission, Vision and Strategic Goals. The requested position supports the D.C. Courts' Strategic Goal III, "A Professional and Engaged Workforce." Specifically, the Courts must establish a workforce planning and development initiative to address future human capital needs.

Relationship to Divisional Objectives. The workforce planning initiative supports the Courts' workforce planning and management strategy to support a work environment that promotes high

* Request to restore a critical position that was eliminated in FY 2018 due to budget constraints.

achievement and effective utilization of human capital by developing and proposing a workforce plan for the D.C. Courts. Most notably, workforce planning initiatives that supports the courts overall strategic plan is an established goal in the Five Year Human Resources Strategic Plan.

Relationship to Existing Funding. Due to budget reductions, the funding for this position was eliminated, and is not currently available in the Courts' budget.

Proposed Solution. In preparation for the future, the Courts must rethink current human resources and training strategies in order to attract and retain a high quality workforce. Workforce planning would align human capital programs with the organization's mission and goals and develop long-range strategies to recruit, develop, and retain staff to meet the organization's vision. The workforce planning initiative will require a Human Resources Specialist in Workforce Planning who will develop and execute the workforce initiatives. The Workforce Planner must possess specialized knowledge of the principles of workforce planning, have the ability to communicate effectively, and possess the skills to develop and implement workforce planning initiatives. The Workforce Planner will serve as a liaison for the Human Resources Division to Court Leadership, Center for Education and Training, and the Strategic Management Division.

Methodology. Workforce planning, like other planning efforts, has a development process to guide an organization as it creates and executes its plan. Similar to strategic planning, workforce planning requires input and commitment from each level of management and from employees. The Courts' workforce planning model is a five-step process:

- Step 1: Set strategic direction.*
- Step 2: Conduct workforce analysis.*
- Step 3: Develop an action plan.*
- Step 4: Implement the action plan.*
- Step 5: Monitor, evaluate and revise the plan.*

Performance Indicators. Acquiring this position is critical to establishing the specialized functional area of workforce planning. The Workforce Planning Specialist will provide service and support in the form of development, implementation, and administration of projects and programs that enable and promote strategic human resource management and administration in the area of workforce planning and other related human resources programs and initiatives. This HR professional will provide the Courts' leadership with a clear picture of organizational trends in the area of workforce planning and enhance the courts' ability to effectively and efficiently serve its stakeholders. The Workforce Planning Specialist will analyze, interpret and communicate internal and external data that will assist the Courts in identifying, addressing and preparing for the changes in the workforce. Performance will be measured by the development and implementation of workforce plans that assist and aide the Courts to accomplish organizational goals set in the strategic plan. Major success factors for a workforce plan include integrating the strategic plan into the workforce plan, establishing a data collection process that generates reliable information for forecasting trends, and creating the appropriate mix of position types to support the organization's mission and vision. Performance success is also determined by the implementation, administration, and communication of workforce plans, processes,

trainings and initiatives that promote organizational efficiency as demonstrated through review of analysis conducted, training evaluation, feedback, and executive observation.

Table 2
HUMAN RESOURCES DIVISION
New Position Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Costs
Human Resources Specialist	JS-13	1	105,000	26,000	\$131,000

Table 3
HUMAN RESOURCES DIVISION
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	2,558,000	2,558,000	2,753,000	195,000
12 - Personnel Benefits	715,000	715,000	764,000	49,000
<i>Subtotal Personnel Cost</i>	<i>3,273,000</i>	<i>3,273,000</i>	<i>3,517,000</i>	<i>244,000</i>
21 - Travel, Transp. of Persons	10,000	10,000	11,000	1000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	12,000	12,000	13,000	1,000
31 - Equipment	9,000	9,000	10,000	1,000
<i>Subtotal Non- Personnel Cost</i>	<i>31,000</i>	<i>31,000</i>	<i>34,000</i>	<i>3,000</i>
TOTAL	3,304,000	3,304,000	3,551,000	247,000
FTE	25	25	26	1

Table 4
HUMAN RESOURCES DIVISION
Detail, Difference FY 2019/FY 2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/FY 2020
11 - Personnel Compensation	Current Position WIG	25	39,000	
	Current Position COLA	25	51,000	
	Human Resources Specialist	1	105,000	
<i>Subtotal 11</i>				<i>1954,000</i>
12 - Personnel Benefits	Current Position WIG	25	10,000	
	Current Position COLA	25	13,000	
	Human Resources Specialist	1	26,000	
<i>Subtotal 12</i>				<i>49,000</i>
Subtotal Personnel Services				244,000
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	
Subtotal Non-Personnel Services				3,000
Total				247,000

Table 5
HUMAN RESOURCES DIVISION
Detail of Full-Time Equivalent Employment

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	2	2	2
JS-8	1	1	1
JS-9	1	1	1
JS-10			
JS-11	2	2	2
JS-12	5	5	5
JS-13	7	7	8
JS-14	5	5	5
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	2,558,000	2,558,000	2,753,000
Total FTEs	25	25	26

DISTRICT OF COLUMBIA COURT SYSTEM INFORMATION TECHNOLOGY DIVISION

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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>
68	11,439,000	69	11,510,000	73	13,554,000	4	2,044,000

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

To provide agile, resilient, innovative, reliable, and responsive technology solutions to support the work of the D.C. Courts.

Vision Statement

Leaders in innovation, partners in service, contributors to justice.

Guiding Principles

- Customer/User Experience Focus – Design and deliver information technology services that put the needs of customers and users first
- Confidentiality, Integrity, and Availability of Information – Enhanced security, quality, availability, and delivery of information
- Innovation – Foster innovation and adoption of new technologies
- Efficiency – Increase efficiency, transparency and accountability of information technology
- Value – Provide business value to all users and stakeholders

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.

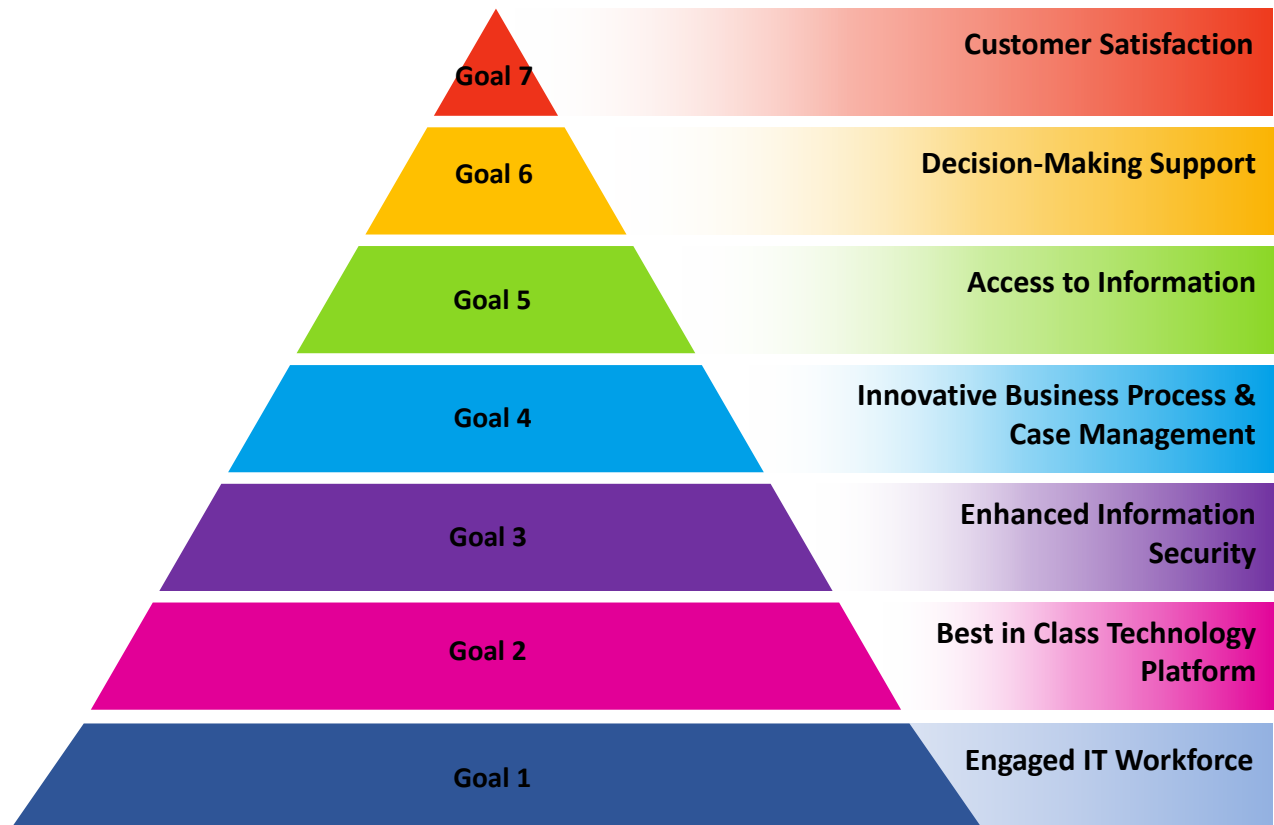
Organizational Background

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 information. 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 administration, maintenance, and monitoring tasks associated with the 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 enhance public access.
- *Information Exchange* consists of providing software interfaces between the Courts' case management systems and other agency case management systems that automate 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 Plan and Measures

To support the D.C. Courts' mission, in February 2018, the Information Technology Division released a new five-year IT Strategic Plan that is closely aligned with the D.C. Courts Strategic Plan. This Plan outlines how IT will achieve its goals of using an *engaged IT workforce* to provide *best in class technology platform, enhanced information security, innovative business process and case management system, access to information, decision-making support, and customer satisfaction*.



Each fiscal year, the Information Technology Division 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 efficiency and effectiveness, the Information Technology 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 Information Technology Division uses this Plan to guide budget planning, prioritize initiatives, control project execution, and communicate among the Information Technology Division and with its customers and stakeholders.

Governing these complex initiatives, the Information Technology 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 reviews major IT projects and policies/directives regarding business alignment, effective IT strategic planning and 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 also establishes and documents the current and future technology architecture. The EAB is chaired by the 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 Information Technology 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 is chaired by the Information Technology Division Change Manager and 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.

Recent Achievements and Highlights

Credit Card Processing for Card Present/PCI Compliance. In February 2018, the Superior Court implemented new security controls to comply with the Payment Card Industry Data Security Standard (PCI DSS). PCI DSS is a widely accepted set of policies and procedures intended to optimize the security of credit, debit and cash card transactions and protect cardholders against misuse of their personal information. Credit card processing for card present transactions went live in the Civil Division during February 2018; the Criminal Division on April 1, 2018; and the Family Operations Division on May 1, 2018. The Probate Division's implementation will be completed in summer 2018.

Juvenile Probation Case Management System (JPCMS) and Interface with CMS. In October 2017, the Superior Court implemented a state-of-the-art cloud-based juvenile probation case management system for the Court's Social Services Division (CSSD) that improves staff productivity and efficiency, and enhances effective and timely decision-making. JPCMS provides CSSD with enhanced search capabilities, Microsoft Office integration, automated document and assessment generation, dashboards, and a comprehensive view of juveniles under supervision. Current enhancements are underway to develop a real-time bi-directional interface capability between the JPCMS and the Superior Court's legal case management system to further

eliminate redundant data entry and updates, and improve data quality. Once implemented, updates to youth records including identity characteristics will be reflected in the Courts' case management system. The estimated go live date will be in September 2018.

Juvenile Papering Interface. In July 2018, the Superior Court will implement a bi-directional electronic interface with the Metropolitan Police Department and the D.C. Office of the Attorney General to initiate juvenile delinquency matters. This interface will greatly improve the timeliness and accuracy of processing juvenile probation matters and eliminate the current paper process among the three agencies.

AgileJury. In May 2018, the Superior Court implemented a state-of-the-art web based jury management system for its Jurors Office. AgileJury provides the Jurors Office much needed functionality and enabled the Information Technology Division greater efficiency in managing the system. The Jurors Office now has the ability to send juror updates via text message or email to remind them of their jury service date or notify them of an emergency court closure. AgileJury also automatically reschedules jurors in failure to appear status to a subsequent date that is 30 days out from the original summons date. AgileJury provides enhanced juror management capabilities and integrates with other court systems, such as the case management system, business intelligence, and interactive voice response.

Landlord & Tenant and Small Claims efilng. In June 2018, the Superior Court will enhance its efilng program with the inclusion of Landlord & Tenant and Small Claims matters. In addition to standard single efile case initiation and subsequent filings, L&T and Small Claims Branches will offer filers the opportunity to group multiple filings together and submit all of them in a batch to the Court for processing.

Interactive Interview Document Assembly. In September 2018, the Court of Appeals and Superior Court will offer case participants, primarily self-represented litigants, with an alternative to the traditional form preparation process through use of a secure automated plain language question and answer application that generates the appropriate forms to be presented to the Courts. In addition to the Court of Appeals, the Superior Court's Domestic Violence Division, Family Court Domestic Relations Branch as well as the Civil and Probate Divisions will also offer this option.

Video Conferencing. In December 2017, the Information Technology Division expanded its use of video conferencing by utilizing mobile video conferencing cards with complete evidence presentation equipment.

D.C. Courts Website. In this fiscal year the website has been further enhanced to meet the needs of the public and increase access to justice. Improved search capabilities allow users to find the information they are looking for more readily. The Superior Court Rules were itemized to provide legal professionals and self-represented litigants the ability to locate the relevant rules of procedure. To improve access to limited English proficiency (LEP) speakers, more than 400 documents, mostly forms, are now available in languages other than English. Ongoing assessments and protocols have been established to ensure that the website is accessible based on Web Content Accessibility Guidelines.

Probate Family Tree. In December 2017, the Information Technology Division implemented the Probate Family Tree Application that allows the family of a decedent to provide information about the decedent's family members and provides information about how the decedent's assets are to be distributed. This automation of a manual process has saved staff's time and improved the accuracy of the asset distribution calculations.

D.C. Superior Court eLobby Applications. In March 2018, Domestic Violence Sign-in Application and Judge-in-Chamber Sign-in Application were both enhanced to add more features to better serve the public. In April 2018, the Civil Division Sign-in Application went live for all its public counters. The application streamlined the customer check-in process and enhanced reporting capabilities.

Court-wide VoIP Implementation. By July 2018, VoIP technology will be implemented court-wide including all six locations on the Judiciary Square campus and five satellite locations. The new system will provide high-availability, reduce the amount of cabling required for future workspace, eliminate the need for large legacy telephony equipment, enhance communication capabilities, reduce management overhead, and more.

Virtual Desktop Infrastructure (VDI) Implementation. In this fiscal year, the Information Technology Division has been replacing older Dell PCs in various divisions and units. Some of the advantages of a VDI environment include high availability with the ability to quickly switch for the Court's data center to the backup site in Maryland; centralized patch management; and easy recovery from configuration or even virus infection by simply restarting the virtual desktop. In May 2018, the Information Technology Division has expanded VDI to over 600 users with high availability of 99.9%.

Court-wide Case File Digitization. The Information Technology Division is currently working with multiple business areas to digitize older case files that are currently stored on paper and microfilm. A search and retrieval system will be custom-developed for these cases in order to accommodate the specific needs of the business units.

Application Load-balancing. In April 2018, more than more four (4) critical applications were load balanced on Netscaler, which provides application redundancy while assuring a high level of operational performance as well as reducing the time to recover from a possible system failure.

Enterprise Storage High Availability. In March 2018, the Information Technology Division achieved the goal of reducing recovery-time-from over 8 hours to 30 minutes and recovery-point from 2 hours to 0 hours (no data loss) for the mission-critical case management systems and messaging systems.

Server Virtualization. In this fiscal year the Information Technology Division has been virtualizing multiple servers on the same physical server. As the Courts are continuing to automate their processes, software applications have increased substantially. Utilizing the virtual server infrastructure, the Courts have saved more than \$1.5 million dollars by reducing the purchase of physical server hardware.

FY 2020 Request

In FY 2020, the Courts request **\$13,554,000** for the Information Technology Division, an increase of **\$2,044,000** (18%) above the FY 2019 Enacted Budget. The requested increase includes \$540,000 to move court messaging systems to the Cloud; \$400,000 to ensure data quality and accountability by integrating a business intelligence system to the new case management system; \$178,000 to enhance cybersecurity; \$152,000 for 2 FTEs to increase the responsiveness of the Information Technology Help Desk; \$154,000 for 1 FTE to manage VoIP telecommunications technology; \$131,000 for cloud-based management of complex IT projects; and \$131,000 for 1 FTE in the Information Technology Division to ensure compliance with security requirements and \$355,000 for built-in cost increases.

Implementing Cloud-Based Messaging - \$540,000

Problem Statement. The Courts' messaging system is one of the mission-critical systems, with judges and senior level staff often requiring 24 hour availability. Users access their email from devices directly connected to the Courts' network as well as from smartphones, tablets, and other devices. Currently, the Courts maintain this email infrastructure on site. To ensure confidentiality, integrity, and availability of the email infrastructure as well as to adhere to regulatory and compliance requirements, the Courts' Information Technology Division has devoted significant financial and staff resources to maintain the existing infrastructure that includes a high availability solution.

To enhance operational efficiencies and reduce long-term costs, the Courts plan to move their messaging system to cloud technology, utilizing Microsoft Office 365. The Courts' server equipment that supports the current system has reached the end of its useful life. To continue with an onsite messaging system the Courts would need to purchase new equipment. However, a more cost-effective solution is to move to the cloud, rather than purchase new equipment.

Under this model, Microsoft will manage the Office 365 infrastructure that provides email and productivity tools, such as Outlook, Word, Excel, PowerPoint, Project, Visio, Skype, while the Courts' Information Technology Division will retain day-to-day management of user accounts and associated mailboxes, calendars, permissions, and overall functionality.

Relationship to Court Mission and Goals. The Courts' messaging system is used for judicial officers and staff to communicate with others. The Microsoft Office 365 implementation will assist the Courts to meet its Strategic Goal IV of Resilient and Responsive Technology by providing access to information in an efficient way.

Relationship to Divisional Objectives. The Microsoft Office 365 implementation will allow the Information Technology Division to meet four of its strategic objectives, which are:

- Best In Class Technology Platform
- Enhanced Information Security
- Access to Information
- Customer Satisfaction

Relationship to Existing Funding. In FY 2017, a pilot project which consisted on migrating 250 users to Microsoft Office 365 was funded for one year. However, funding for implementing all 1,000 mail boxes annually is currently not available.

Methodology. The Information Technology Division will follow Microsoft best practices and the Courts' Information Security Directives.

Expenditure Plan. Office 365 is a subscription-based service that charges a fixed price per user per year (\$30 per user per month). This provides a very predictable expenditure model that stays consistent from one fiscal year to the next.

Performance Indicators. The following performance indicators will be used to measure the success of this initiative:

- Improved user satisfaction. The Courts' users will be able to provide better services to the community and faster resolution of legal cases. Users will have fewer interruptions to their job functions and have access to the latest features that Office 365 provides.
- Improved security and compliance. The Courts' users can access their email from any location with improved security. Users directly connected to the Courts' network will also benefit from the security and compliance updates that are automatically performed as a part of the Office 365 subscription.

Integrating Business Intelligence to Case Management System - \$400,000

Problem Statement. The Courts' Enterprise Data Warehouse / Business Intelligence (BI) is a critical court operations function which integrates case management data with information in related systems, and converts information into actionable intelligence to help judicial officers and court executives and managers make informed decisions. In the past five years the BI team has integrated the case management system and 15 additional data sources into the warehouse, including the document management system (OnBase), Crime Victims Compensation Case Management System (ClaimAssistant), courtroom audio recording system (Court Smart), Juror Management System (AgileJury), Service Desk ticketing system (Cherwell), switch board data management (Avaya Call Center Manager), Web Voucher System, Child Care System, Web Interpreter System, Transcript Tracking System, and E-Lobby. Judicial and operational staff rely heavily on BI reports and dashboards which provide historical trends and subject area analysis, thereby aiding in decision-making.

The Courts will implement a new case management system during FY 2019 – FY 2020. As a result, the Enterprise Data Mart that houses the case management data will need to be reprogrammed in accordance with the new case management system requirements and design. This reprogramming effort will require the BI team to design and develop new Extract / Transform and Load (ETL) processes, data models and replication procedures to allow the business users to continue using the current capabilities of the business intelligence system, including performance measures, caseload measures, dashboards and Division Management Action Plans without interruption. As new data sources and data models are built, the Information Technology Division has an urgent need to design and develop the ETLs, data

models and subject areas related to the new case management system. The accomplishment of the tasks will require contracting for two Senior ETL / BI Developers to support the two court staff who are currently dedicated to the maintenance of the BI platform.

Relationship to Court Mission and Goals: The BI data mart development for the new case management system will assist the Courts to meet its Strategic Goal II of Fair and Timely Case Resolution by providing the core capabilities of data analytics and reporting for case management activities, financial analysis, and human resource management.

Relationship to Divisional Objectives. The BI data mart development for the new case management system will allow the Information Technology Division to meet three of its strategic objectives, which are:

- Innovative Business Processes and Case Management
- Decision-making Support
- Customer Satisfaction

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

Methodology. The Information Technology Division will follow the Information Technology Infrastructure Library (ITIL) framework to develop and deploy new services.

Expenditure Plan. Funds will be used to procure the services of two senior level contractors, one Senior Data Mart Architect, and one Senior ETL and BI Developer. The contractual services will be procured in accordance with the Courts' Procurement Guidelines.

Performance Indicators. Success of the initiative will be measured by the percent of customers satisfied with the BI project implementation and the percent of customers satisfied with the information obtained from BI.

Protecting Court Information - \$178,000

Problem Statement. Data backup is essential to ensure that critical court information is available after a data loss event. Backups have two distinct purposes. The primary purpose is to recover data after its loss, and the secondary purpose is to recover data from an earlier time. The Courts currently use both disk-to-disk backup between their primary and secondary data centers using NetApp technology and tape backup using Catalogic and Spectralogic technologies. As the Courts' data continues to grow exponentially, the current tape backup technology is no longer adequate. Furthermore, the legacy tape backup will not support backing up the Courts' mailboxes in the cloud once Office 365 is implemented. The Courts need a hyper-converged solution, a consolidated backup solution using an appliance with built-in backup software, that allows the IT staff to back up not only Office 365 cloud data but also on premises data. Some of the benefits of hyper-converged backup solution are—

- **Increased security.** Decreased chance of data loss through storage failures or cyber-attacks (malware) by leveraging proactive detection capabilities. Built in intelligence to proactively discover anomalies when data breach has occurred. Meet governance mandates and compliance.
- **Improved end-user satisfaction.** The Courts' Information Technology Division can divert personnel resources to improving end-user satisfaction, efficiency, and effectiveness. Currently, IT staff spend a significant amount of time managing, operating and maintaining backups and tape management. The recovery process is much faster so users can continue to work from the latest backup of data fairly quickly.
- **Increase simplification and operational efficiency.** Workload requests are streamlined through the use of the backup system. The time to recover and restore data, and rebuild systems are reduced significantly.

Relationship to Court Mission and Goals. The protection of the Courts' mission-critical data is vital to the Courts' continuity of operations. The implementation of Hyper-Converged Backup Solution will assist the Courts to meet its Strategic Goal IV of Resilient and Responsive Technology by providing information security in protecting court information and assets from cyber threats and other risks.

Relationship to Divisional Objectives. The implementation of Hyper-Converged Backup Solution will allow the Information Technology Division to meet three of its strategic objectives, which are:

- Best In Class Technology Platform
- Enhanced Information Security
- Customer Satisfaction

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

Methodology. The Information Technology Division will follow industry best practices, and the IT Division Disaster Recovery Plan.

Expenditure Plan. Funds will be used for purchasing the appliance, professional services, and training.

Performance Indicators. Success of the initiative will be measured by the increase in backup speed and the decrease in the cost of maintaining the backup infrastructure.

Leading Network and Telecommunications Services, 1 FTE, \$154,000 ***Network and Telecom Manager (JS-14)***

Problem Statement. Today court operations are dependent upon technology, and end-users rely on functional hardware and software. Network services provide the underlying IT infrastructure. None of the IT systems can operate without a resilient network infrastructure. The Network Operation Branch has three Network Administrators (JS-13) without a managerial position. In

Fiscal Year 2017, three Telecom Technicians (JS-13) were transferred from the Administrative Services Division to the Information Technology Division in anticipation of the court-wide Voice over Internet Protocol (VoIP) implementation. These individuals were assigned to the Network Operations Branch, which is now renamed as the Network and Telecom Branch. In Fiscal Year 2018, the Courts have completely replaced their legacy telephony system with new VoIP technology.

In order to support the Courts mission-critical network and telephone infrastructure, which includes wired and wireless networks that connect the Courts' six office buildings in Judiciary Square and seven satellite offices throughout the D.C. area, the Network and Telecom Manager position is a must.

Relationship to Court Mission and Goals. The hiring of a Network and Telecom Manager will assist the Courts meet Goal II of Fair and Timely Case Resolution through effective and efficient support of current and emerging technologies, thereby increasing the efficiency of court IT operations.

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

- Best In Class Technology Platform
- Access to Information
- Customer Satisfaction

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

Methodology. The Network and Telecom Manager function would be in alignment with the White House memorandum for Federal Information Technology Acquisition Reform Act (FITARA)⁸ and related information technology management practices.

Expenditure Plan. Funds will be used to hire one employee 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.

⁸Title 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>

Enhancing IT Customer Service, 2 FTEs, \$152,000
IT Service Desk Tier-1 Technicians (JS-9/10)

Problem Statement. Information technology customer service is a critical function and is 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 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 personnel 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 customer 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 as the single point of contact for all operational issues and recommended that the IT Division expand 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 Courts meet Goal II of Fair and Timely Case Resolution through effective and efficient support of technology in a timely manner, thereby increasing the efficiency of court operations.

Relationship to Divisional Objectives. The core function of the Courts' Information Technology 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:

- Innovative Business Process and Case Management
- Access to Information
- Customer Satisfaction

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

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

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.

Adopting Cloud-Based Project Management - \$131,000

Problem Statement. Currently, the Information Technology Division uses a matrixed model for managing projects. The primary resources on the projects are members of the cross-functional IT teams, sometimes augmented by contractual support. The cross-functional IT teams simultaneously support the Courts' production systems and operations, and work on projects to improve processes and implement new systems. The Information Technology Division has a Project Management Office with two full-time project managers and two project leads managing over 30 projects each year.

Due to the Courts' demand for new projects, members of the cross-functional teams must often assume a project lead role to satisfy the workload demands in a timely manner. Under the current approach, it has become difficult to determine capacity (i.e.; human resources, funding, etc.) to deliver on existing commitments as well as to take on new initiatives. The result is that some resources are over-utilized, schedules slip, and stakeholders are sometimes negatively impacted. A Project and Portfolio Management (PPM) tool will help address this problem by allowing the Information Technology Division to:

- Collect, store, and access project data from the IT Strategic Plan to a work breakdown structure (including resource allocations);
- Manage project documents; and
- Track and report project/portfolio status for prioritization.

Relationship to Court Mission and Goals. The purpose of the Project and Portfolio Management (PPM) tool is to determine the optimal resource mix for delivery and to schedule activities to achieve the Courts' operational and financial goals, while considering constraints imposed by stakeholders, strategic objectives, or external real-world factors. The PPM tool implementation will assist the Courts to meet its Strategic Goal I of Access to Justice for All by delivering timely information that can enhance access to justice. The tool will also support Strategic Goal IV of Resilient and Responsive Technology by delivering enhanced technology capabilities that satisfy stakeholders.

Relationship to Divisional Objectives. The Project and Portfolio Management (PPM) implementation will allow the Information Technology Division to meet four of its strategic objectives, which are—

- Engaged IT Workforce
- Best In Class Technology Platform
- Innovative Business Process and Case Management System

- Customer Satisfaction

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

Methodology. The Information Technology Division will follow the Information Technology Infrastructure Library (ITIL) framework.

Expenditure Plan. Project and Portfolio Management (PPM) is a cloud-based service that charges a fixed 3-year price. This provides a very predictable expenditure model that stays consistent from one fiscal year to the next.

Performance Indicators. The following performance indicators will be used to measure the success of this initiative:

- Strategic Alignment - proper alignment of projects to the Court Mission and Goals. Communication of project insights to the Executive Level.
- Operational Efficiency – proper alignment of staff resources to the Courts' and IT's Strategic Plans and the streamlining of court processes and procedures.
- Execution - timely identification and correction of project performance problems and accurate funding estimates.
- Business Value Delivered – improved user satisfaction.

Enhancing Information Security, 1 FTE, \$131,000 IT Security Compliance Officer (JS-13)

Problem Statement. The Courts are expanding the types and methods of 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 Information Technology Division must prepare a certification and accreditation package for its systems to attain Authority to Operate (ATO). Recently, the Courts hired the consulting firm Grant Thornton to assess the security posture of the 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 required to accomplish this goal. To oversee the Courts' compliance with PCI requirements, an IT Security Compliance Officer is needed. As the Courts are implementing more and more cloud-based solutions, there is an urgent need for an IT Security Compliance Officer to review FedRAMP packages and prepare an ATO for each cloud-based system.

Relationship to Court Mission and Goals. The hiring of one IT Security Compliance Officer will assist the Courts to meet its Strategic Goal IV of Resilient and Responsive Technology 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 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. Hiring the IT Security Compliance Officer will allow the IT Division to meet four of its strategic objectives, which are:

- Best In Class Technology Platform
- Enhanced Information Security
- Access to Information
- Customer Satisfaction

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.

Table 1
INFORMATION TECHNOLOGY DIVISION
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Costs
IT Security Compliance Officer	JS-13	1	105,000	26,000	131,000
Tier 1 Tech (Help Desk)	JS-9/10	2	122,000	30,000	152,000
IT Network & Telecom Manager	JS-14	1	124,000	30,000	154,000
Total		4	351,000	86,000	437,000

Table 2
INFORMATION TECHNOLOGY DIVISION
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2018/2019
11 - Personnel Compensation	6,779,000	6,834,000	7,425,000	591,000
12 - Personnel Benefits	1,898,000	1,914,000	2,063,000	149,000
<i>Subtotal Personal Services</i>	8,677,000	8,748,000	9,488,000	740,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	424,000	424,000	433,000	9,000
24 - Printing & Reproduction	27,000	27,000	28,000	1,000
25 - Other Services	1,734,000	1,734,000	3,016,000	1,282,000
26 - Supplies & Materials	169,000	169,000	173,000	4,000
31 - Equipment	408,000	408,000	416,000	8,000
<i>Subtotal Nonpersonal Services</i>	2,762,000	2,762,000	4,066,000	1,304,000
TOTAL	11,439,000	11,510,000	13,554,000	2,044,000
FTE	68	69	73	4

Table 3
INFORMATION TECHNOLOGY DIVISION
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Current Position WIG	69	102,000	
	Current Position COLA	69	136,000	
	Tier 1 Tech (Help Desk)	2	122,000	
	IT Security Compliance Officer	1	105,000	
	IT Network & Telecom Manager	1	124,000	
<i>Subtotal 11</i>				589,000
12 - Personnel Benefits	Current Position WIG	69	27,000	
	Current Position COLA	69	35,000	
	Tier 1 Tech (Help Desk)	2	30,000	
	IT Security Compliance Officer	1	26,000	
	IT Network & Telecom Manager	1	30,000	
<i>Subtotal 12</i>				149,000
<i>Subtotal Personnel Services</i>				740,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Comm. & Utilities	Built-in Increases			9,000
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Service	Built-in Increases		33,000	
	Business Intelligence Data Mart		400,000	
	Cloud-Based Microsoft Office		540,000	
	Protecting Court Information		178,000	
	Cloud-Based Project Management		131,000	
<i>Subtotal 25</i>				1,249,00
26 - Supplies & Materials	Built-in Increases			4,000
31 - Equipment	Built-in Increases			8,000
Subtotal Non-personnel Services				1,304,000
Total				2,044,000

Table 4
INFORMATION TECHNOLOGY DIVISION
Detail of Full-Time Equivalent Employment

	FY 2018 Enacted	FY 2019 Enacted	2020 Request
JS-6			
JS-7			
JS-8	7	8	8
JS-9	2	2	4
JS-10	2	2	2
JS-11	5	5	5
JS-12	2	2	2
JS-13	38	38	39
JS-14	9	9	10
JS-15			
CEMS	2	2	2
CES	1	1	1
Total Salary	6,779,000	6,834,000	7,368,000
Total FTEs	68	69	73

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

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/2020</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	792,000	5	792,000	5	815,000	0	23,000

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 effective court management and administration 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 2020 Request

In FY 2020, the Courts request \$815,000 for the Office of the General Counsel, an increase of \$23,000 (3 %) above the FY 2019 Enacted Budget. The requested increase consists entirely of built-in cost increases.

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

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	605,000	605,000	622,000	17,000
12 - Personnel Benefits	171,000	171,000	175,000	4,000
<i>Subtotal Personnel Services</i>	<i>776,000</i>	<i>776,000</i>	<i>797,000</i>	<i>21,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	10,000	10,000	11,000	1,000
31 - Equipment	6,000	6,000	7,000	1,000
<i>Subtotal Non-Personnel Services</i>	<i>16,000</i>	<i>16,000</i>	<i>18,000</i>	<i>2,000</i>
TOTAL	792,000	792,000	815,000	23,000
FTE	5	5	5	0

Table 2
OFFICE OF THE GENERAL COUNSEL
Detail, Difference FY 2019/FY 2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/FY 2020
11 - Personnel Compensation	Current Position WIG	5	5,000	
	Current Position COLA	5	12,000	
<i>Subtotal 11</i>				<i>17,000</i>
12 - Personnel Benefits	Current Position WIG	5	1,000	
	Current Position COLA	5	3,000	
<i>Subtotal 12</i>				<i>4,000</i>
<i>Subtotal Personnel Services</i>				<i>21,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials	Built-in Increases		1,000	
31 - Equipment	Built-in Increases		1,000	
<i>Subtotal Non-personnel Services</i>				<i>2,000</i>
Total				23,000

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

	2018 Enacted	2019 Enacted	FY 2020 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	1	1	1
JS-11			
JS-12			
JS-13	1	1	1
JS-14			
JS-15	1	1	1
CEMS			
CES	2	2	2
Total Salary	605,000	605,000	622,000
Total FTEs	5	5	5

DISTRICT OF COLUMBIA COURT SYSTEM STRATEGIC MANAGEMENT DIVISION

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/FY 2020</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	1,563,000	11	1,563,000	11	1,619,000	0	56,000

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 provides strategic planning and development, grant acquisition and management, research and evaluation, performance measurement, policy and data analysis, and business analytics services for the D.C. Courts. The Division leads and coordinates the Courts' efforts to establish performance goals, strategies, and metrics to achieve its mission to serve the public, and to enhance transparency and accountability to the public as the District's judicial branch. The Division also undertakes research and analysis to provide data and information that will enhance evidence-based decision-making by the Courts and coordinates the provision of court data to justice system stakeholders in the District of Columbia and nationally.

Organizational Function

The Strategic Management Division directly supports Goal 5 of the Courts' Strategic Plan, *Effective Court Management and Administration*. The Plan includes the following strategies to promote effective management and administration of the court system, thereby fostering trust and confidence in the Judicial Branch:

- *Enhance the quality and availability of court records and data.* The Strategic Management Division promotes the use of effective data quality practices across the courts. The Division collaborates with stewards of the courts' data to enhance the quality of records and increase the availability of data analyses and automated reports to inform decision-making.
- *Implement results-based performance measures and publish performance reports.* The Strategic Management Division works with court leadership to enhance the reporting of approved organizational performance measures that align with the Strategic Plan. In the coming years, the Division will facilitate, in collaboration with the Information Technology Division, the inclusion of performance measures on a public-facing dashboard to promote transparency.

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 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/performance 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 the Strategic Planning Leadership Council's courtwide launch and dissemination of the 2018-2022 Strategic Plan to stakeholders and employees;
- Provided technical assistance to divisions in developing Management Action Plans (MAPs) to ensure the alignment of key results and performance measures to the new Strategic Plan;

- Collaborated with the Office of Personnel Management to administer the Federal Employee ViewPoint Survey to court personnel to assess 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 Child Protection Mediation Program;
- 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;
- Facilitated design efforts to develop a court navigation program and community resource center at the Courts;
- 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 new judges on the Courts' strategic management process.

Restructuring

The Division routinely reviews projects and activities to ensure alignment with the Courts' Strategic Plan and works cross-functionally to optimize collaboration.

Workload and Performance Measures

The Strategic Management Division establishes and monitors performance metrics for its functional areas 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 2020 Request

In FY 2020, the D.C. Courts request \$1,619,000 for the Strategic Management Division, an increase of \$56,000 (4%) above the FY 2019 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 1
STRATEGIC MANAGEMENT DIVISION
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	1,186,000	1,186,000	1,228,000	42,000
12 - Personnel Benefits	332,000	332,000	343,000	11,000
<i>Subtotal Personnel Services</i>	<i>1,518,000</i>	<i>1,518,000</i>	<i>1,571,000</i>	<i>53,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	31,000	31,000	32,000	1,000
26 - Supplies & Materials	7,000	7,000	8,000	1,000
31 - Equipment	7,000	7,000	8,000	1,000
<i>Subtotal Non- Personnel Services</i>	<i>45,000</i>	<i>45,000</i>	<i>48,000</i>	<i>3,000</i>
TOTAL	1,563,000	1,563,000	1,619,000	56,000
FTE	11	11	11	0

Table 2
STRATEGIC MANAGEMENT DIVISION
Detail, Difference FY 2019/FY 2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/FY 2020
11 - Personnel Compensation	Current Position WIG	11	18,000	
	Current Position COLA	11	24,000	
<i>Subtotal 11</i>				<i>42,000</i>
12 - Personnel Benefits	Current Position WIG	11	5,000	
	Current Position COLA	11	6,000	
<i>Subtotal 12</i>				<i>11,000</i>
<i>Subtotal Personnel Services</i>				<i>53,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service	Built-in Increases			1,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				<i>3,000</i>
Total				56,000

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

	2018 Enacted	2019 Enacted	2020 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	1	1	1
JS-8			
JS-9			
JS-10	1	1	1
JS-11			
JS-12	1	1	1
JS-13	3	3	3
JS-14	3	3	3
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	1,186,000	1,186,000	1,228,000
Total FTEs	11	11	11

**DISTRICT OF COLUMBIA COURT SYSTEM
MANAGEMENT ACCOUNT**

<u>FY 2018 Enacted</u>		<u>FY 2019 Enacted</u>		<u>FY 2020 Request</u>		<u>Difference FY 2019/FY 2020</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	23,599,000	0	26,428,000	0	26,935,000	0	507,000

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 2020 Request

In FY 2020, the D.C. Courts request \$26,935,000 for the Management Account, an increase of \$507,000 (2%) over the FY 2019 Enacted Budget. The requested increase consists of built-in cost increases.

Table 1
MANAGEMENT ACCOUNT
Budget Authority by Object Class

	FY 2018 Enacted	FY 2019 Enacted	FY 2020 Request	Difference FY 2019/2020
11 - Personnel Compensation	241,000	241,000	250,000	9,000
12 - Personnel Benefits	256,000	256,000	258,000	2,000
<i>Subtotal Personal Services</i>	<i>497,000</i>	<i>497,000</i>	<i>508,000</i>	<i>11,000</i>
21 - Travel, Transp. of Persons	121,000	121,000	124,000	3,000
22 - Transportation of Things	6,000	6,000	7,000	1,000
23 - Rent, Comm. & Utilities	8,675,000	8,675,000	8840,000	165,000
24 - Printing & Reproduction				
25 - Other Services	10,036,000	12,865,000	13,110,000	245,000
26 - Supplies & Materials	293,000	293,000	299,000	6,000
31 - Equipment	3,971,000	3,971,000	4,047,000	76,000
<i>Subtotal Non-personal Services</i>	<i>23,102,000</i>	<i>25,931,000</i>	<i>26,427,000</i>	<i>496,000</i>
TOTAL	23,599,000	26,428,000	26,935,000	507,000
FTE	0	0	0	0

Table 2
MANAGEMENT ACCOUNT
Detail, Difference FY 2019/2020

Object Class	Description of Request	FTE	Cost	Difference FY 2019/2020
11 - Personnel Compensation	Built in increase	0		9,000
12 - Personnel Benefits	Built in increase	0		2,000
<i>Subtotal Personal Services</i>				<i>11,000</i>
21 - Travel and Transportation	Built in increase			3,000
22 - Transportation of Things	Built in increase			1,000
23 - Rent, Comm. & Utilities	Built in increase			165,000
24 - Printing & Reproduction				
25 - Other Services	Built in increase			245,000
26 - Supplies and Materials	Built in increase			6,000
31 - Equipment				76,000
<i>Subtotal Non-personal Services</i>				<i>496,000</i>
TOTAL				<i>507,000</i>

**District of Columbia Courts
FY 2020 Budget Justification
New Positions Requested by Grade**

Position	Division	Grade	Number	Annual Salary	Benefits	Total Personnel Cost
COURT OF APPEALS						
Appeals Mediation Officer		JS-11	1	70,000	18,000	88,000
Paralegal		JS-11	1	70,000	18,000	88,000
Attorney		JS-12	1	84,000	22,000	104,000
<i>Court of Appeals Subtotal</i>			3	224,000	58,000	280,000
SUPERIOR COURT						
Delinquency Prevention Technician	Family Court Social Services Division	JS-6	1	45,000	11,000	56,000
Deputy Clerk I	Family Court Social Services Division	JS-6	3	135,000	33,000	168,000
Courtroom Clerk	Family Court Operations	JS-7/8/9	2	100,000	24,000	124,000
Probation Officer	Family Court Social Services Division	JS-9	2	122,000	30,000	152,000
Supervisor Delinquency Prevention	Family Court Social Services Division	JS-10	1	67,000	17,000	83,000
Branch Chief, Central Intake Center	Family Court Operations	JS-13	1	105,000	26,000	131,000
Branch Chief, Counsel for Child Abuse and Neglect	Family Court Operations	JS-13	1	105,000	26,000	131,000
Clinical Psychologist	Family Court Social Services Division	JS-13	1	105,000	26,000	131,000
Supervisory Probation Officer	Family Court Social Services Division	JS-13	4	420,000	104,000	524,000
Program Manager	Probate	JS-13	1	105,000	26,000	131,000
<i>Superior Court Subtotal</i>			17	1,309,000	323,000	1,631,000

Position	Division	Grade	Number	Annual Salary	Benefits	Total Personnel Cost
COURT SYSTEM						
Court Navigator	Executive Office	JS-8/9	2	112,000	29,000	142,000
Tier I Tech (Help Desk)	Information Technology Division	JS-9/10	2	122,000	30,000	152,000
Multimedia Specialist	Executive Office	JS-11	1	70,000	18,000	88,000
Project Manager	Capital Projects and Facilities Management Division	JS-13	1	105,000	26,000	131,000
Audiovisual Production Specialist	Executive Office	JS-13	1	105,000	26,000	131,000
Human Resources Specialist - Workforce Planning	Human Resources Division	JS-13	1	105,000	26,000	131,000
IT Security Compliance Officer	Information Technology Division	JS-13	1	105,000	26,000	131,000
Pro Bono Coordinator	Executive Office	JS-14	1	124,000	30,000	154,000
IT Network & Telecom Manager	Information Technology Division	JS-14	1	124,000	30,000	154,000
<i>Court System Subtotal</i>			11	972,000	241,000	1,214,000
D.C. COURTS TOTAL			31	2,505,000	622,000	3,125,000

**DISTRICT OF COLUMBIA COURTS
CAPITAL BUDGET**

District of Columbia Courts - Fiscal Year 2020 Budget Justification Summary <i>(dollars in millions)</i>	PY-1 and earlier*	PY 2018	CY 2019	Full Budget Request BY 2020	BY+1 2021	BY+2 2022	2023 and beyond*	Total, unfunded amounts (sum 2020 - beyond)
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Renovations, Improvements & Expansions								
Moultrie Courthouse Addition	157.21	41.60	27.06	0.00	0.00	0.00	0.00	0.00
Migration from Gallery Place: Building B Initial Renovation	0.00	0.00	0.00	28.05	0.00	0.00	0.00	28.05
Building B (510 4 th Street) Modernization	0.00	0.00	0.00	22.04	0.00	0.00	0.00	22.04
Courtroom and Judges Chambers	39.54	0.00	1.46	12.79	27.16	20.75	165.48	226.18
Campus Security, Signage, and Lighting	9.15	0.00	0.00	2.24	10.50	0.00	0.00	12.74
Life Safety and Code Compliance Upgrades	0.00	0.00	0.00	8.25	0.00	0.00	0.00	8.25
Subtotal	205.90	41.60	28.52	73.37	37.66	20.75	165.48	297.26

Maintain Existing Infrastructure*								
HVAC, Electrical and Plumbing Upgrades	5.05	5.05	4.18	13.78	7.73	2.50	0.33	24.33
Fire and Security Alarm Systems	0.00	0.00	0.00	2.40	3.18	3.17	1.34	10.09
General Repair Projects	10.00	10.00	8.87	23.33	14.93	17.48	8.47	64.22
Elevator and Escalator Repairs and Replacement	0.25	0.25	0.00	0.27	0.28	0.30	0.31	1.16
Restroom Improvements	0.00	0.00	0.00	0.27	0.28	0.30	0.31	1.16
Technology Infrastructure	1.00	1.00	3.43	6.79	3.41	4.72	4.91	19.83
Restoration of the Historic Courthouse	1.00	4.90	0.00	1.77	1.84	1.92	1.99	7.52
Subtotal	17.30	21.20	16.48	48.61	31.66	30.37	17.66	128.30

Total	223.20	62.80	45.00	121.98	69.32	51.13	183.14	425.56
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***NOTE:** Maintain Existing Infrastructure amounts listed under "PY-1 and earlier" and "2022 and beyond" represent one year of funding, as these are ongoing projects. Does not include one-time transfer of funds.

Introduction: D.C. Courts Fiscal Year 2020 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 Courts address these issues comprehensively in the FY 2020 Capital Budget Request.

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, which range in age from 40 to 200 years and cover three city blocks, with significant maintenance and infrastructure needs. In preparing the FY 2020 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 2020 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 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.

Although D.C. Courts are federally-funded and follow similar security protocols as our Federal counterparts, the D.C. Courts differ from the U.S. 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 addressed 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.

Historic Judiciary Square

The D.C. Courts are primarily located in the Judiciary Square, with 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 for the D.C. Court of Appeals 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 5th (Building A), 510 4th (Building B), and 410 E Streets (Building C), dating from the 1930's, are situated symmetrically along the view corridor comprised of the National Building Museum on the north, the Historic Courthouse in the center, and John Marshall Park on the south, 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 commence 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 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 ensures 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 first 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 took 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 and provided recommendations that the Courts are now implementing by systematically completing projects identified in the facilities master plan.

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 recognize the need to preserve the results of taxpayer investment in the Courts' campus. Accordingly, baselines were established in a Facilities Condition Assessment (FCA) that the Courts completed in March 2013. This document provided the Courts with a detailed life cycle analysis and periodic maintenance and replacement schedules for all court facility assets. Projected replacements were identified in the FCA and the costs of those replacements were estimated for future funding requirements. Notably, the Moultrie Courthouse received a fair to poor rating, reflecting the yet to be completed upgrades to building infrastructure and physical environment. In order to maintain all facilities in good repair, the Courts have used the FCA findings to develop funding requests since 2013.

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 of 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 vacated space for renovation and reorganization in the Moultrie Courthouse. This vacated space was renovated for the Superior Court and Court System. The restoration of the Historic Courthouse for use as a functioning court building has also preserved this 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 (1) judges, (2) the public, and (3) 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 senior judges and nearly 1,000 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 outgrew the space available in the Moultrie Courthouse, which was inadequate for this high volume court system to serve the public in a safe, appropriately dignified, and well-maintained setting. As recommended in the Facilities Master Plan, thanks to the support of the President and Congress, the Courts are constructing an addition, which is discussed below.

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

In 2007, the Courts updated Building A, which was originally constructed in 1930's. The building exterior was refurbished to include restoration of the historic windows, replacement of exterior doors and new signage and the building interior was improved to comply with 2007 building code requirements. Building A currently houses the Probate Division, Crime Victims Compensation Program, courtrooms, and judges' chambers.

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

Building B, also dating from the 1930s, currently houses the Landlord Tenant and Small Claims branches of the Civil Division, and the Family Court Social Services Division. In 2003, the building exterior was refurbished to include restoration of the historic windows, replacement of exterior doors, new signage, and landscape improvements and the building interior was improved to comply with contemporary building code requirements. Building system upgrades, life-safety improvements and interior reconfigurations are required to support the relocation of Budget and Finance, Administrative Services Division, and Capital Projects and Facilities Management from currently leased space at Gallery Place.

410 E Street N.W. (Building C)

The Building C restoration project is complete and the building is fully occupied. The 2012 restoration produced 27,300 square feet of modern office space and compliance with all contemporary building, mechanical, electrical, fire, life safety, health, and accessibility codes. The restoration also preserved significant and contributing historic elements of the building. The Courts' Information Technology and Multi-Door Dispute Resolution Divisions were relocated to the building after its restoration. The Courts received a Leadership in Energy and Environmental Design (LEED®) Gold certification for Building C.

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 that 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. The Courts plan to terminate this lease and return these support divisions to the main campus following completion of the addition and reconfiguration of space in Building B.

Infrastructure in the Courts' Strategic Plan

The capital projects included in this request are an integral part of the Strategic Plan of the District of Columbia Courts 2018-2022. 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.

"Effective Court Management and Administration" is the Plan's Goal V, particularly Strategy C to "Ensure safe and functional court facilities," with a key result being the completion of the Moultrie Courthouse addition and Buildings A and B upgrades.

Goal V of the Strategic Plan states:

"Effective management and operation of the justice system for the District of Columbia requires a team of knowledgeable professionals with a common mission and shared resources, collaborating to achieve results that best serve the public. The Courts are committed to fiscal accountability with respect to all Courts' resources. Confidence in the judicial system necessitates that each case management function – trial and appellate – understands the individual responsibilities and unique role of the other while leveraging opportunities for shared approaches to administrative functions."

The capital budget supports this strategic goal by funding the implementation of facilities, technology, and security enhancement projects to provide secure and functional facilities as stated in the Strategic Plan:

"The Courts will ensure that all facilities are safe and secure and can adequately accommodate court operations and personnel. During the next five years, court facilities will undergo extensive expansion and building upgrades to the Moultrie Courthouse and other buildings. The Courts will continue to seek full funding to complete these important capital projects and to maintain the courts infrastructure. Facility upgrades will be environmentally responsible and energy efficient, and will include advanced security measures."

Implementing the Facilities Master Plan

Thanks to the support of the President and Congress, the Courts have made significant progress implementing the Facilities Master Plan. With previous year funding, the Courts have successfully completed a full restoration of the Historic Courthouse, a renovation of 410 E Street (Building C), and several projects to support delivery of the Moultrie Courthouse addition.

The Moultrie Courthouse Addition has been funded over multiple years. The Courts have responded by phasing the project into the following activities:

- Entire foundation completed in March 2015 (Phase 1)
- 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
- Renovation and reconfiguration of courtrooms on the second floor completed in 2016
- Interior reconfiguration and relocations, including C level projects for the renovation of northwest portion of the floor as well as the data center completed in 2018
- Design and construction of new public restrooms completed in 2018

Construction of the addition itself has been divided into two phases—Phase 2A (the western half of the addition) and 2B (the eastern half of the addition). Currently, Phase 2A is nearing completion for delivery in 2018. Funding in FY 2019 will allow the Courts to complete the project in its entirety with the completion of Phase 2B and without further additional phasing activities that could result in costly disruptions.

The Courts have a successful record of accomplishing 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 renovated Building C was also completed on time and within the budget approved by Congress. The Courts have been diligently engaged in effective management of the facilities portfolio. By systematically implementing the Facilities Master Plan, the Courts have improved the utilization of existing facilities.

In addition, the Courts have continued to improve space efficiencies by implementing several initiatives such as adjusting the amount of space provided to partner organizations, initiating hoteling, and leveraging joint community programs to source offsite space for integrated support personnel.

Notwithstanding these efforts, the Courts have been over capacity. To meet this challenge, the Courts 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 and extension premiums. In addition, many landlords will put restrictions on Court usage as part of the lease terms. The strategic requirement to be co-located on a central campus can only be met with further renovation of existing facilities.

H. Carl Moultrie I Courthouse

Moultrie Courthouse Addition

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.

The Courts are nearing the completion of construction Phase 2A of the Moultrie Courthouse Addition—a six-story addition to the south face of the Courthouse starting at the C level and rising to the 4th floor. The design program includes six criminal-capable courtrooms, 20 associate judge chambers, social services and family court related offices, and juror facilities. The Courts are seeking LEED® Platinum Certification of the project. The addition addresses security issues, energy efficiency, and environmental principles in a cost effective manner. It will add approximately 175,000 GSF of space to the Courts' inventory to address the shortfall of space that was identified in the master plan and to free up space in other campus buildings so that personnel housed in leased space at Gallery Place may be relocated to court-owned facilities.

Family Court

The final phases of Family Court consolidation are now approaching the vision of the Family Court Act of 2001, with the completion of Phase 2A of the Moultrie Courthouse Addition. The Addition will house the Family Court Social Services Division (juvenile probation) branches currently located in Building B. Personnel moves to the completed addition 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 have been renovated. The remaining courtrooms and judges' chambers are planned to be renovated as part of a systematic campus-wide renovation program.

Life Safety

The Courts continue to make significant progress addressing life safety upgrades in the Moultrie Courthouse. 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

In the Moultrie Courthouse, the Courts have completed building-wide HVAC, electrical, and plumbing upgrade projects and utility relocations to ensure that health and safety concerns for

the public and court personnel are addressed across all of the Courts' buildings. These upgrades will enable the Courts to make much needed heating, ventilation, air conditioning, mechanical, plumbing and electrical improvements in future years. The 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.

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 was designed and renovated to meet LEED® Silver standards for sustainability. In Buildings A and B, the replacement of exterior doors and windows improved the building enclosures, resulting in significant reduction of energy loss. The replacement of mechanical systems in these buildings led to more efficient energy use as well. As noted above, Building C achieved LEED® Gold certification.

Recent and current projects in the Moultrie Courthouse will improve energy efficiency. Additional equipment replacements, such as replacement of 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 conserving energy. Also in the Moultrie Courthouse, new gaskets were installed on the perimeter windows and glass doors to dramatically reduce energy loss. In addition, in the Moultrie Courthouse, a new solar reflective and insulated roof improved energy efficiency and reduced solar heat gain. The adjacent skylight replacement project 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 Courts continue to hold greater energy efficiency as a goal as future projects are implemented. The Courts are currently seeking LEED® Platinum certification for the Moultrie Courthouse Addition. All planned projects, such as the replacement of all existing lighting fixtures with energy efficient fixtures and courtroom and chamber renovations, will continue with energy conservation as the standard.

Capital Funding in FY 2020

As the 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 in Judiciary Square—the Historic Courthouse, 515 5th Street (Building A), and 410 E Street (Building C)—have been renovated. With requested funding anticipated in FY 2019, the Moultrie Courthouse addition will be complete, providing an additional 117,000 occupiable square feet of space in the Moultrie Courthouse, and fulfilling 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.

Exhibit 300: Capital Asset Plan and Business Case Summary

Exhibit 300: Capital Asset Plan and Business Case Summaries are divided into two 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.

The Courts' FY 2020 Full Capital Budget Request totals \$121.98 million—including \$73.37 million to renovate, improve and expand the Court facilities and grounds, and \$48.61 million to maintain the Courts' existing facilities and surrounding public space.

Renovations, Improvements & Expansions

Migration from Gallery Place

The D.C. Courts prioritize the relocation of court operations and support personnel from leased space at Gallery Place to D.C. Courts' Buildings A and B. 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, a significant portion of the FY 2020 Capital Budget Request, \$28.05 million, is requested to complete critical system upgrades and re-configuration of space in Buildings A and B to accommodate 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 is linked to the Moultrie Courthouse Addition as follows:

- Upon completion of the Moultrie Courthouse Addition, the Family Court Social Services Division in Building B and the Supervised Visitation Center in Building A will be relocated to the Moultrie Courthouse.
- Space in Buildings A and B will then be available for reconfiguration for their new occupants.

This request includes funds required to complete relevant system upgrades, reconfigure designated space, and relocate personnel from Gallery Place to their permanent locations. This approach results in long-term cost savings as the Courts will no longer require leased space to house these support operations.

Building B Modernization

The Courts are requesting \$22.04 million to complete the upgrades of critical systems and complete the renovation of the interiors at Building B. This modernization will result in a renovated building with all systems upgraded as detailed in the D.C. Courts Facilities Condition Assessment Report and planned improvements completed on all floors as detailed in the D.C. Courts' Facilities Master Plan.

Courtrooms and Judges' Chambers

The Courts' request includes \$12.79 million to begin a systematic renovation of 62 courtrooms and judges' chambers that have not been overhauled since the Moultrie Courthouse was constructed in the 1970's. The renovations will include much-needed technology upgrades to accommodate case processing and evidence presentation equipment that was barely imaginable when these courtrooms were constructed. This multi-year renewal project of the Courts' inventory of courtrooms and chambers is included in the D.C. Courts' Facilities Master Plan. Upon the completion of the six new courtrooms in Phase 2B of the Moultrie Courthouse Addition in 2020, the Courts plan to begin the renovation of a combination of four to six courtrooms and judges' chambers per year.

Campus Security, Signage and Lighting

The request includes \$2.24 million for preliminary work on security, signage, and lighting enhancements in Judiciary Square as detailed in the Judiciary Square Master Plan. The planned enhancements will restore and preserve one of the last historic green spaces in the District of Columbia, enhance security around all court buildings, improve pedestrian circulation, and minimize vehicle-pedestrian conflicts around Judiciary Square. The request will finance Judiciary Square site development plans and pre-construction site studies site work.

Life Safety and Code Compliance Upgrades/Improvements

The request includes \$8.25 million to complete projects in locations where life safety and code compliance issues have arisen. The requested funds will be used to renovate and expand the magistrate judges' suite (including the adjacent public restrooms).

Maintain Existing Infrastructure

The FY 2020 capital request also includes \$45.09 million to address necessary building maintenance and infrastructure upgrades. Significant public resources have been expended over the past decade to modernize the 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 Courts request \$13.78 million for the HVAC, Electrical, and Plumbing Upgrades project to continue to upgrade electrical systems in the Moultrie Courthouse and replace HVAC equipment as components reach the end of their useful life throughout the campus. The \$2.40 million requested for Fire and Security Alarm Systems will finance sprinkler systems for the Moultrie Courthouse as part of the ongoing fire sprinkler installation program for the building. In addition, \$23.33 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, \$270,000 is requested. A total of \$270,000 is requested for Restroom Improvements to maintain public restrooms in the H. Carl Moultrie Courthouse. In the area of technology, the Courts are requesting \$6.79 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) access to information, (2) promoting operational effectiveness, and (3) information security. Finally, \$1.77 million is

requested for maintenance of the Historic Courthouse, to protect the public investment in the renovated building completed in 2009.

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 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 2020?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2020 should not select O&M)

Planning	_____
Full Acquisition	_____ X _____
Operations and Maintenance	_____
Mixed Life Cycle	_____

7. What was the first budget year this investment was submitted to OMB? 2005
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

In November 2013, the 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

Furthermore, the addition will contribute to the replacement of 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)

- | | |
|--|---------------|
| (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. | PMP Certified |
| (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this | |

- investment.
- (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- (4) Project manager assigned but qualification status review has not yet started.
- (5) No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s)
- ii. System acronym
- iii. Unique Project Identifier (UPI) number
 - a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):
 - computer system security requirement;
 - internal control system requirement;
 - core financial system requirement according to FSIO standards;
 - Federal accounting standard;
 - U.S. Government Standard General Ledger at the Transaction Level;
 - this is a core financial system, but does not address a FFMIA compliance area;
 - Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management

Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Moultrie Courthouse Addition

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2017	CY 2018	BY 2020	BY+1 2021	BY+2 2022	BY+3 2023 and beyond	Total unfund ed (sum 2020 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	157.21	41.60	27.06	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):	157.21	41.60	27.06	0.00	0.00	0.00	0.00	0.00
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	157.21	41.60	27.06	0.00	0.00	0.00	0.00	0.00
TOTAL (including FTE costs)	157.21	41.60	27.06	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

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, FY 2018 and FY 2019 budgets

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3	Contract 4
Short description of acquisition	2014- C Street Addition Phase 2A	2017 – Control Room Phases 1 & 2	2017 - New Public Restrooms	2018 - C Street Addition Phase 2B
Contract Status	Awarded	Awarded	Awarded	Awarded
Procurement Instrument Identifier (PIID)				
Indefinite Delivery Vehicle (IDV) Reference ID	N/A	N/A	N/A	N/A
Solicitation ID	CPFMD-15-0603	CPFMD-16- 0613	CPFMD-15-0603	CPFMD-15-0603
Alternative financing	N/A	N/A	N/A	N/A
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	N/A	N/A	N/A	N/A
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	No	No
Effective Date	Quarter 1 FY 2015	Quarter 1 FY 2017	Quarter 3 FY 2017	Quarter 2 FY 2018
Actual or expected end date of	Quarter 4	Quarter 3	Quarter 2 FY	Quarter 4 FY

Contract/Task Order	FY 2018	FY 2018	2018	2020
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	A	A	E	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.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
D.C. Courts Strategic Plan 2018-2022	Goal V: Effective Court Management and Administration	By 2022 the Moultrie Courthouse expansion and Building A and B renovations will be completed (pending full funding).	% of renovations completed on time and within budget.	Renovations are underway and are currently on time, as funded, and within budget.

Section D: Earned Value Management – C Street Addition 2A Construction

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		\$57.49
Planned Value (PV)	\$M		\$42.44
Earned Value (EV)	\$M		\$42.44
Actual Costs (AC)	\$M		\$47.43
Cost Variance (CV)	\$M	CV= EV-AC	-5.0
Cost Variance (CV %)	%	CV% = CV/EV x 100	-12%

Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	0.89
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	$EAC = BAC / CPI$	\$64.25
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$(6.76)
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	-12%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	74%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	83%
Estimated Completion Date	Date	mm/dd/yy	10/5/2018

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

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		\$2.78
Planned Value (PV)	\$M		\$1.64
Earned Value (EV)	\$M		\$1.64
Actual Costs (AC)	\$M		\$2.00
Cost Variance (CV)	\$M	$CV = EV - AC$	-0.4
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	-22%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	0.82
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	$EAC = BAC / CPI$	\$3.39
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$(0.61)
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	-22%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	59%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	72%
Estimated Completion Date	Date	mm/dd/yy	8/30/2018

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 2018
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 2020?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2020 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? 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 court operations and personnel from leased space at Gallery Place to D.C. Courts' buildings at 515 5th Street N.W. and 510 4th 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, a significant portion of the FY 2020 Capital Budget Request, \$28.05 million, is requested to complete critical system upgrades and re-configuration of space in court buildings at 510 4th Street N.W. and 515 5th Street N.W. to accommodate all D.C. Courts' personnel from the Budget and Finance, Administrative Services (ASD) and Capital Projects and Facilities Management (CPFMD) 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 inextricability linked to the Moultrie Courthouse Addition as follows: upon completion of the Moultrie Courthouse Addition, the Family Court Social Services Division at 510 4th Street will be relocated to the Moultrie Courthouse as mandated by the Family Court Act of 2001, and the Supervised Visitation Center at 515 5th Street will move to the Moultrie Courthouse. At that point, the vacated space at 510 4th Street and 515 5th Street that will house the migrating personnel will be available for re-configuration. Funds required to complete relevant system upgrades, re-configure designated space, and to relocate all personnel from Gallery Place to their permanent locations at 510 4th Street N.W. and 515 5th Street N.W. are included in the request, to include the following projects:

- Upgrade Critical Life Safety, HVAC, Electrical, Plumbing and Technology systems
- 515 5th Street NW—Renovate Office of the Auditor Master (migrating directly from Gallery Place)
- 510 4th Street NW—Renovate DC Bar Pro Se (predecessor project)
- 510 4th Street NW—Renovate Interim Social Services, TDYC & DYRS (predecessor project)
- 510 4th Street NW—Reconfigure 2nd and 3rd Floor Interiors for Budget and Finance Division, ASD and CPFMD (migrating directly from Gallery Place).

This approach results in long-term cost savings as the Courts will no longer require leased space to house these support operations.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA
9. a) Did the Agency's Executive/Investment Committee approve this request Yes X No
- b) Provide the date of the most recent or planned approved project charter 2007

10. a) Contact information of Project Manager?

Name	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

- 1. 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

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2018	CY 2019	BY 2020	BY+1 2021	BY+2 2022	BY+3 2023 and beyond	Total unfunde d (sum 2020 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	28.05	0.00	0.00	0.00	28.05
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	28.05	0.00	0.00	0.00	28.05
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	28.05	0.00	0.00	0.00	28.05
TOTAL (including FTE costs)	0.00	0.00	0.00	28.05	0.00	0.00	0.00	28.05
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.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2020- 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 2020		
Actual or expected end date of Contract/Task Order	Quarter 3 FY 2020		
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	E		

competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			
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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? May, 2009
 - b) How many alternatives were considered? Two
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? Yes
 - d) Briefly summarize the rationale for the selected alternative. Migration of personnel was planned 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 2018-2022	Goal V: Effective Court Management and Administration	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 %)	%	$VASC\% = VAC / BAC$	
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 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 2018
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Building B (510 4th Street NW) Modernization

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 2020?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2020 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? 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 Courts are requesting \$22.04 million to complete the upgrades of critical systems and complete the renovation of the interiors at 510 4th Street NW. This modernization will result in a completely renovated building with all systems upgraded as detailed in the D.C. Courts Facilities Condition Assessment Report and all planned improvements completed on all floors as detailed in the D.C. Courts' Facilities Master Plan, to include the following projects:

- Complete Upgrade of Life Safety, HVAC, Electrical, Plumbing and Technology Systems
- 510 4th Street NW—Reconfiguration and Renovation of Lower Level
- 510 4th Street NW—Reconfiguration and Renovation of First Floor
 - Renovate Civil Division (D.C. Courts' Facilities Master Plan project)
 - Reconfigure Landlord & Tenant and upgrade courtrooms (D.C. Courts' Facilities Master Plan project)

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

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

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.	

i.	Financial management system name(s)	
ii.	System acronym	
iii.	Unique Project Identifier (UPI) number	
2.	If this investment is a financial management system AND the investment is part of the core	

financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: 510 4th Street NW Modernization

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2018	CY 2019	BY 2020	BY+1 2021	BY+2 2022	BY+3 2023 and beyond	Total unfund ed (sum 2020 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	22.04	0.00	0.00	0.00	22.04
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	22.04	0.00	0.00	0.00	22.04
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	22.04	0.00	0.00	0.00	22.04
TOTAL (including FTE costs)	0.00	0.00	0.00	22.04	0.00	0.00	0.00	22.04
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

N/A

and beyond”

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.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2020- 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 2020		
Actual or expected end date of Contract/Task Order	Quarter 3 FY 2020		
Extent Competed (A) Full and open competition (B) Not available for competition	E		

(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			
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2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:

Yes X No

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

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.
 - e) What is the date of the analysis? May, 2009
 - 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. 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 2018-2022	Goal V: Effective Court Management and Administration	By 2022 the Moultrie Courthouse expansion and Building A and B renovations will be completed (pending full funding).	% of renovations completed on time and within budget.	N/A

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times$	

		100	
Percent Spent	%	% Spent = AC / BAC x 100	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? 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 2020?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2020 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. a) 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 2020 funds, the D.C. Courts plans to begin a systematic, multi-year renovation of its inventory of courtrooms and judges' chambers. During construction of the Moultrie Courthouse Addition, two courtrooms will be taken offline at a time to complete planned renovations. Upon the delivery of six (6) new courtrooms in Phase 2B of the Moultrie Courthouse Addition in 2020, the D.C. Courts plan to accelerate the courtroom renovation schedule and begin the renovation of a combination of four (4) to six (6) courtroom sets and judges' chambers per year.

The multi-year renovation will include the systematic renovation of courtroom sets (to include courtrooms, jury rooms and attorney/witness rooms) and judges' chambers to achieve the following:

- Meet current life safety code, ADA standards, and D.C. Courts' Standards
- Integrate current information and audio visual technology
- Replace courtroom finishes that have far exceeded their useful life
- Replace existing lighting with energy efficient lighting

Courtroom and Chamber activities will require coordination with activities included under HVAC, Electrical & Plumbing Upgrades and Fire and Security Alarm Systems budget lines. 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.

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
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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? (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.

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: Courtrooms and Judges Chambers

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2018	CY 2019	BY 2020	BY+1 2021	BY+2 2022	BY+3 2023 and beyond	Total unfunde d (sum 2020 – beyon d)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	39.54	0.00	0.00	12.79	27.16	20.75	165.48	226.18
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	39.54	0.00	0.00	12.79	27.16	20.75	165.48	226.18
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	39.54	0.00	0.00	12.79	27.16	20.75	165.48	226.18
TOTAL (including FTE costs)	39.54	0.00	0.00	12.79	27.16	20.75	165.48	226.18
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”
4. If the summary of funding has changed from the FY 2018 President’s Budget request, briefly explain those changes:

3 years (2023)

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2
Short description of acquisition	2011-1 New Courtrooms PreDesign/Design	
Contract Status	Awarded	
Procurement Instrument Identifier (PIID)	TBD	
Indefinite Delivery Vehicle (IDV) Reference ID	N/A	
Solicitation ID	TBD	
Alternative financing	N/A	
EVM Required	N/A	
Ultimate Contract Value	N/A	
Type of Contract/Task Order (Pricing)	Fixed	
Is this contract a Performance Based Service Acquisition (PBSA)?	No	
Effective Date	Quarter 2 FY 2020	
Actual or expected end date of Contract/Task Order	Quarter 3 FY 2020	
Extent Competed A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources	D	

(E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order		
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2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:
- | | | |
|---|-----|------|
| | Yes | No X |
| b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 | Yes | No |
| c) Was the Acquisition Plan approved in accordance with agency requirements | Yes | No |
| d) If "yes," enter the date of approval? | | |
| 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
<i>Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.</i>

Not Applicable.

Part III: Non-IT Capital Investments
<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

- 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 2018-2022	Goal V: Effective Court Management and Administration	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.	

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: Baseline established in March 2013, validation annually
 - a) What was the date of the analysis
 - b) Briefly summarize the results of the analysis
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3.

Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

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

Campus Security, Signage, and Lighting

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY 2020?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2020 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. a) 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:

In FY2020, the Courts request \$2.24 million to complete the Judiciary Square site development plans for construction, to conduct pre-construction site studies and to conduct pre-construction site work required to complete security, signage and lighting enhancements in Judiciary Square, as detailed in the Judiciary Square Master Plan.

The planned enhancements will result in the restoration and preservation of one of the last historic green spaces in the District of Columbia, enhanced security around all Courts buildings, improved pedestrian circulation, and minimized vehicle-pedestrian conflicts around Judiciary Square and all Courts buildings.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link.
9. a) Did the Agency's Executive/Investment Committee approve this Yes X No

request?

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

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? (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.

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;
 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: Campus Security, Signage, and Lighting

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2018	CY 2019	BY 2020	BY+1 2021	BY+2 2022	BY+3 2023 and beyond	Total unfund ed (sum 2020 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	9.15	0.00	0.00	2.24	10.50	0.00	0.00	12.74
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	2.24	10.50	0.00	0.00	12.74
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	2.24	10.50	0.00	0.00	12.74
TOTAL (including FTE costs)	9.15	0.00	0.00	2.24	10.50	0.00	0.00	12.74
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 (2023)
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)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2
Short description of acquisition		
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 X |
| | b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 | Yes | No |
| | c) Was the Acquisition Plan approved in accordance with agency requirements | Yes | No |
| | d) If "yes," enter the date of approval? | | |
| | 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
<i>Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.</i>

Not Applicable.

Part III: Non-IT Capital Investments
<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 Judiciary Square Master Plan approved in August 2005 with subsequent amendments in April 2011 and in June 2014 |
| 2. If an Alternatives Analysis was conducted, answer the following questions. | |
| a) What is the date of the analysis? | August 2005, April 2011 and June 2014 |
| 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 Campus Security, Signage and Lighting Upgrades project was selected to |

align with the ongoing D.C. Courts Judiciary Square 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 2018-2022	Goal V: Effective Court Management and Administration	Judiciary Square has minimal perimeter security. Upgrade existing campus signage and improve lighting for safety of personnel and participants as they move between court buildings.	Install NCPC approved campus security signage and lighting.	
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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.

2. Has an Operational Analysis been performed within the last 18 months? Yes, the D.C. Courts FCA
3. If an Operational Analysis was performed within the last 18 months, answer the following questions: Baseline established in March 2013, validation annually
 - a)What was the date of the analysis
 - b)Briefly summarize the results of the analysis
4. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation

5. 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	
	Completi on 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 2018
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Life Safety and Code Compliance 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 2020?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2020 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? 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 Courts request \$8.25 million to complete projects in locations where life safety and code compliance issues have compounded due to increased personnel counts without expansion or reconfiguration of space to accommodate those personnel. The \$8.25 million requested will be used to complete all activities required to renovate and expand the suite that the magistrate judges currently occupy (including the public restrooms adjacent to the suite).

The number of Magistrate Judges has almost doubled since the previous suite updates made eighteen (18) years ago in 2002. As a result, the suite they occupy is currently over-populated, creating egress and other building code compliance issues. In addition, the suite does not currently have a fire suppression system, lacks energy efficient lighting and does not meet D.C. Courts Design Standards.

The funds requested not only include the renovation and expansion of the existing suite and the addition of a large training room, but the cost of all relocations and swing space accommodations

required in preparation for the renovations. The funds requested in FY2020 will be used to complete the following projects:

- Refresh and Reconfigure Suites 4485, 4475 and 5510 for Magistrate Judges (predecessor project/swing space) and relocate magistrate judges to swing space
- Renovate Final Location for US Attorneys (predecessor project)
- Renovate Magistrate Judges Existing Suite, 5510 Expansion Area, Training Room and Adjacent Women and Men Restrooms
- Relocate magistrate judges to renovated and expanded suite

c) 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 2009

10. a) Contact information of Project Manager?

Name	Judith Hill
Phone Number	202-879-2871
E-mail	Judith.Hill@dsc.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)

a) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	CCM Accreditation
---	-------------------

b) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.

c) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.

d) Project manager assigned but qualification status review has not yet started.

e) 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 _____
- b) 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: Life Safety and Code Compliance Upgrades

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2018	CY 2019	BY 2020	BY+1 2021	BY+2 2022	BY+3 2023 and beyond	Total unfunded (sum 2020 –beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	8.25	0.35	0.00	0.00	8.60
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	8.25	0.35	0.00	0.00	8.60
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	8.25	0.35	0.00	0.00	8.60
TOTAL (including FTE costs)	0.00	0.00	0.00	8.25	0.35	0.00	0.00	8.60
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- N/A

1 and earlier”

2. Insert the number of years covered in column “BY+3 and beyond”

2 (2021)

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)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition			
Contract Status			
Procurement Instrument Identifier (PIID)			
Indefinite Delivery Vehicle (IDV) Reference ID			
Solicitation ID			
Alternative financing			
EVM Required			
Ultimate Contract Value			
Type of Contract/Task Order (Pricing)			
Is this contract a Performance Based Service Acquisition (PBSA)?			
Effective Date			
Actual or expected end date of Contract/Task Order			
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open			

competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			
--	--	--	--

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

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.
 - e) What is the date of the analysis? November 2013
 - f) How many alternatives were considered? Three (3)
 - 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. The planned renovation and expansion of the Magistrate Judges suite and the Crime Victims Compensation Division suite 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.
 - 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)?
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 2018-2022	Goal V: Effective Court Management and Administration	The square footage of the suites is not sufficient for the number of occupants and do not meet current life safety, ADA and building code requirements.	Renovate the suites to meet current life safety, ADA and building code requirements and expand the suites to provide adequate square footage to accommodate number of occupants.	N/A

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:

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.

2. Has an Operational Analysis been performed within the last 18 months? No
3. 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
4. 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.
5. 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:

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 2020?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2020 should not select O&M)

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

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 budget line item will ensure that health and safety concerns for the public and court personnel are addressed in all court 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 alarm and suppression upgrades to increase coverage to approximately 90% of the H. Carl Moultrie Courthouse office space and non-public circulation space;
- Replacement of two cooling towers in the H. Carl Moultrie Courthouse
- Total Rebuild of Chillers in the H. Carl Moultrie Courthouse

Updating its inefficient, outdated infrastructure continues to be an important and ongoing

The Courts' FY 2020 request includes the following HVAC, Electrical and Plumbing upgrades:

- HVAC, Electrical and Plumbing Upgrade activities will require coordination with activities included under the Life Safety and Code Compliance Upgrades and Courtrooms and Judges' Chambers 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 program re-alignment and building infrastructure simultaneously will minimize operational impacts to the D.C. Courts.

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

Name	Marvin King
Phone Number	202-879-4201
E-mail	Marvin.King@dscs.gov

Name _____
Phone Number _____
E-mail _____

(1) Project manager has been PMP Certified

validated 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: HVAC, Electrical and Plumbing Upgrades

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2018	CY 2019	BY 2020	BY+1 2021	BY+2 2022	BY+3 2023 and beyond	Total unfunded (sum 2020 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	5.05	5.05	2.00	13.78	7.73	2.50	0.33	24.33
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	5.05	5.05	2.00	13.78	7.73	2.50	0.33	24.33
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	5.05	2.00	13.78	7.73	2.50	0.33	24.33
TOTAL (including FTE costs)	5.05	5.05	2.00	13.78	7.73	2.50	0.33	24.33
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 (2018)
3. Insert the number of years covered in column “BY+3 and beyond” 1 year (2023)
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.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition			
Contract Status			
Procurement Instrument Identifier (PIID)			
Indefinite Delivery Vehicle (IDV)			
Reference ID			
Solicitation ID			
Alternative financing			
EVM Required			
Ultimate Contract Value			
Type of Contract/Task Order (Pricing)			
Is this contract a Performance Based Service Acquisition (PBSA)?			
Effective Date			
Actual or expected end date of Contract/Task Order			
Extent Competed (A) Full and open competition (B) Not			

available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			
--	--	--	--

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:

Yes 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 No

(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.

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 2018-2022	Goal V: Effective Court Management and Administration	Maintain mission critical systems in excellent working condition.	Perform scheduled/preventive maintenance work to preserve expected useful life.	Building mechanical and electrical systems received upgrades in 2016.

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:

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:

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 2020?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2020 should not select O&M)

Planning	_____
Full Acquisition	_____ X _____
Operations and Maintenance	_____
Mixed Life Cycle	_____

7. What was the first budget year this investment was submitted to OMB? 1999
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Fire and Security Alarm System project includes the phased implementation of a comprehensive upgrade to security and life safety systems within 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 the security systems upgrades necessary for the Moultrie Courthouse Addition.

1. LED renewal upgrading of exit signs
2. Intercom and paging systems renewal
3. Card access system and CCTV renewal

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)

- Capital - 289

- or DAWIA criteria.
- (4) Project manager assigned but qualification status review has not yet started.
- (5) No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s)
- ii. System acronym
- iii. Unique Project Identifier (UPI) number
 - a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):
 - ☐ computer system security requirement;
 - ☐ internal control system requirement;
 - ☐ core financial system requirement according to FSIO standards;
 - ☐ Federal accounting standard;
 - ☐ U.S. Government Standard General Ledger at the Transaction Level;
 - ☐ this is a core financial system, but does not address a FFMIA compliance area;
 - ☐ Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Fire and Security Alarm Systems

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2018	CY 2019	BY 2020	BY+1 2021	BY+2 2022	BY+3 2023 and beyond	Total unfunded (sum 2020 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	2.40	3.18	3.17	1.34	10.09
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	2.40	3.18	3.17	1.34	10.09
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition				0.00	0.00	0.00	0.00	0.00

Government FTE Costs								
Subtotal O&M and Disposition Costs (\$\$)	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	2.40	3.18	3.17	1.34	10.09
TOTAL (including FTE costs)	0.00	0.00	0.00	2.40	3.18	3.17	1.34	10.09
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 (2017)

3. Insert the number of years covered in column “BY+3 and beyond”

1 year (2023)

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2015-01 Fire Alarm Campus	2016-Fire Alarm Replacement	

	Wide Connectivity		
Contract Status	Awarded	Awarded	
Procurement Instrument Identifier (PIID)	CO 0013953	10329715P0741	
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	
Solicitation ID	TBD		
Alternative financing	No	No	
EVM Required	YES, Courts' Standard	YES, Courts' Standard	
Ultimate Contract Value	\$300,000.00	\$349,628.00	
Type of Contract/Task Order (Pricing)	Fixed	Fixed	
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	
Effective Date	Quarter 2 FY 2014	Quarter2 FY 2016	
Actual or expected end date of Contract/Task Order	Quarter 1 FY 2018	Quarter1 FY 2018	
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	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?

Yes X No _____

Yes X No _____

Yes X No _____

2011

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 No

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.

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 2018-2022	Goal V: Effective Court Management and Administration	Outdated fire alarm system and no existing fire suppression system.	Installation of a fire suppression system throughout the H. Carl Moultrie Courthouse.	In progress.
D.C. Courts Strategic Plan 2018-2022	Goal V: Effective Court Management and Administration	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:

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 2020?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2020 should not select O&M)

Planning	_____
Full Acquisition	_____ X _____
Operations and Maintenance	_____
Mixed Life Cycle	_____

7. What was the first budget year this investment was submitted to OMB? 1999
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

Funds requested on the General Repair Projects line item are identified to complete capital improvements that protect taxpayer investment in the infrastructure of the Courts' facilities—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. Funds are also identified to replace interior sign systems in the buildings, complete projects that provide accessibility for the disabled, paint building exterior and interiors, make general enhancements to and restore historic features of Courts 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 were estimated to determine future funding requirements. The Courts has been completing general repairs per the D.C. Courts FCA, however, many are remaining. The remaining repairs will require additional capital investment in FY 2020.

The Courts' FY 2020 request includes the following items on the General Repair Projects line item, including both exterior and interior projects:

- Replacing fixtures, lighting, flooring, ceiling tiles and other capital investments in office areas in all court Buildings;
- Replacing finishes court-wide as needed or at the end of their useful life;
- Replacing equipment, as required or due to emergency failure;
- Continuing the Courts' interior way finding and signage program as the interface to the Moultrie Courthouse Addition comes on line;
- Investigating and resolving groundwater infiltration issues;
- Completion of the 4th floor renovation on the east side of Moultrie Courthouse to tie into Moultrie Courthouse Addition and meet adjacency requirements once the remainder of the floor has been renovated and is occupied along with the Moultrie Courthouse Addition.

The completion of the 4th floor renovation increases the funds request by approximately \$7.75 million and includes not only the cost to renovate the 4th floor, but the cost to complete the predecessor project necessary to complete the renovation. The following items are included under completion of the 4th floor renovation:

- Renovate Interpreter Services Final Location (predecessor project)
- HCMCB—Renovate Public Corridors on 4th Floor
- HCMCB—Renovate Escalator Lobby Ceilings

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 1999

10. a) Contact information of Project Manager?

Name	<u>Judith Hill</u>
Phone Number	<u>202-879-2871</u>
E-mail	<u>Judith.Hill@dcsc.gov</u>

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

Name	_____
Phone Number	_____
E-mail	_____

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

(1) Project manager has been validated CCM Accreditation

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

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: General Repair Projects

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2018	CY 2019	BY 2020	BY+1 2021	BY+2 2022	BY+3 2023 and beyond	Total unfunded (sum 2020 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	10.00	10.00	8.04	23.33	14.93	17.48	8.47	64.22
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	10.00	10.00	8.04	23.33	14.93	17.48	8.47	64.22
Operations &	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Maintenance:								
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	10.00	8.04	23.33	14.93	17.48	8.47	64.22
TOTAL (including FTE costs)	10.00	10.00	8.04	23.33	14.93	17.48	8.47	64.22
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.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition			
Contract Status			
Procurement Instrument Identifier (PIID)			
Indefinite Delivery Vehicle (IDV) Reference ID			
Solicitation ID			
Alternative financing			
EVM Required			
Ultimate Contract Value			
Type of Contract/Task Order (Pricing)			
Is this contract a Performance Based Service Acquisition (PBSA)?			
Effective Date			
Actual or expected end date of Contract/Task Order			
Extent Competed(A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1
- c) Was the Acquisition Plan approved in accordance with agency requirements
- d) If "yes," enter the date of approval?
- e) Is the acquisition plan consistent with your agency Strategic

Yes X No

Yes X No

Yes X No

2011

Yes NA No

Sustainability Performance Plan?

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

Yes NA No

- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?

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 2018-2022	Goal V: Effective Court Management and Administration	Maintain mission critical systems in excellent working condition.	Perform scheduled/preventive maintenance work to preserve expected useful life.	Building mechanical and electrical systems received upgrades in 2016.

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:

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 2020?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2020 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:

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 were estimated to determine future funding requirements. The Courts has completed elevator and escalator upgrades and repairs per the D.C. Courts FCA, however, some upgrades and repairs remain. The remaining upgrades and repairs will require additional capital investment in FY 2020.

The funds received under the Elevator and Escalator Repairs and Replacement budget line have been utilized to rebuild 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 elevator and escalator repair project began in December 1999 and has greatly improved the vertical circulation for the public by reducing the downtime for repair and maintenance. Funds requested in FY2020 will be utilized to maintain the value of this investment and perform upgrades and repairs, as necessary.

- 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 1999

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) _____
- 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

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2018	CY 2019	BY 2020	BY+1 2021	BY+2 2022	BY+3 2023 and beyond	Total unfunded (sum 2020 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Operations & Maintenance:	0.25	0.25	0.00	0.27	0.28	0.30	0.31	1.16
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	0.25	0.00	0.27	0.28	0.30	0.31	1.16
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	0.25	0.00	0.27	0.28	0.30	0.31	1.16
TOTAL (including FTE costs)	0.25	0.25	0.00	0.27	0.28	0.30	0.31	1.16
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 (2017)
3. Insert the number of years covered in column “BY+3 and beyond” 1 year (2023)
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.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table			
Field	Contract 1	Contract 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 2018-2022	Goal V: Effective Court Management and Administration	Heavily used elevators and escalators require service calls that inconvenience the public.	Reduction in out-of-service calls	

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, Elevator and Escalator Maintenance Audit 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	_____ X _____
Operations and Maintenance	_____
Mixed Life Cycle	_____

7. What was the first budget year this investment was submitted to OMB? 1999
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

In March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected replacements were identified and costs were estimated to determine future funding requirements. The Courts has completed restroom improvements throughout Courts buildings per the D.C. Courts FCA, however, some improvements remain. The remaining improvements will require additional capital investment in FY 2020.

The ongoing Restroom Improvement project will continue to enhance ADA accessibility and rebuild the aging infrastructure of the Courts' restroom facilities by making plumbing, electrical and design improvements. Approximately 10,000 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 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. Future year Restroom Improvement activities will require coordination with other on-going projects.

- 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 1999

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) | |
| ii. | System acronym | |

- | | | |
|------|---|-------|
| 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)

- Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct

appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Restroom Improvements

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2018	CY 2019	BY 2020	BY+1 2021	BY+2 2022	BY+3 2023 and beyond	Total unfunded (sum 2020 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	0.00	0.00	0.20	0.00	0.20
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	0.20	0.00	0.20
Operations & Maintenance:	0.00	0.00	0.00	0.27	0.28	0.30	0.31	0.96
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	0.27	0.28	0.30	0.31	0.96
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.00	0.00	0.00	0.27	0.28	0.30	0.31	1.16
TOTAL (including FTE costs)	0.00	0.00	0.00	0.27	0.28	0.30	0.31	1.16
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 year (2017) _____

1 and earlier”

3. Insert the number of years covered in column “BY+3 and beyond”

1 year (2023)

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.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2010-01 New Restrooms -Design		
Contract Status	Complete		
Procurement Instrument Identifier (PIID)	CPFMD-15-0123		
Indefinite Delivery Vehicle (IDV) Reference ID	NA		
Solicitation ID	CPFMD-15-0123		
Alternative financing	No		
EVM Required	No		
Ultimate Contract Value	NA		
Type of Contract/Task Order (Pricing)	Fixed		
Is this contract a Performance Based Service Acquisition (PBSA)?	No		
Effective Date	Quarter 2 FY 2016		
Actual or expected end date of Contract/Task Order	Quarter 2 FY 2017		

Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	E		
--	---	--	--

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes X No
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No
- d) If "yes," enter the date of approval? 2011
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No
- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? No
2. If an Alternatives Analysis was conducted, answer the following questions.
 - a) What is the date of the analysis? _____
 - b) How many alternatives were considered? _____
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
 - d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. 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 2018-2022	Goal V: Effective Court Management and Administration	By 2022 the Moultrie Courthouse expansion will be completed (pending full funding).	% of renovations completed on time and within budget.	Renovations are underway and are currently on time, as funded, and within budget.

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:

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:

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 2020?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2020 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? 2020
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 are requesting \$6.79 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. This request provides funding opportunities to allow The Courts to:

- replace aged network core switches for the Courts backbone infrastructure, which traverses all the network traffic for both data and voice communications within the Courts;
- upgrade digital signage for use by the public in wayfinding across the Courts campus and inside court facilities;
- upgrade digital storage for critical data infrastructure to reduce operational costs, mitigate risks through redundancy, and increase data access speeds;
- increase the licenses for the Oracle backend database system that supports the Courts' mission critical applications, such as the case management system;
- refresh the Courts' data center server hardware which are mission critical; and

- expand and replace VDI terminals and scanners to maintain personnel access to enterprise applications and data sources in order to support court operations.

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) Enhanced 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) Protection court information and assets from cyber threats and other risks, both internal and external, through the use of information security technologies. 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 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: Technology Infrastructure

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2018	CY 2019	BY 2020	BY+1 2021	BY+2 2022	BY+3 2023 and beyond	Total unfund ed (sum 2020 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	1.00	1.00	1.30	6.79	3.41	4.72	4.91	16.32
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	1.00	1.00	1.30	6.79	3.41	4.72	4.91	16.32
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	1.00	1.30	6.79	3.41	4.72	4.91	16.32
TOTAL (including FTE costs)	1.00	1.00	1.30	6.79	3.41	4.72	4.91	16.32
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” 1 year (2018)
3. Insert the number of years covered in column “BY+3 and beyond” 4 years (2023)
4. If the summary of funding has changed from the FY 2015 President’s Budget request, briefly explain those changes: NA

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table				
Field	Data Description	Contract 1	Contract 2	Contract 3
Short description of acquisition	See www.usaspending.gov/learn?tab=FAQ#2			
Contract Status	(1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation			
Procurement Instrument Identifier (PIID)	See www.usaspending.gov/learn?tab=FAQ#2			
Indefinite Delivery Vehicle (IDV) Reference ID	Required only for IDVs. See www.usaspending.gov/learn?tab=FAQ#2			
Solicitation ID	See www.fbo.gov			
Alternative financing	(ESPC, UESC, EUL or N/A)			

EVM Required	Y/N			
Ultimate Contract Value	Total Value of Contract including base and all options. Complete using dollars to two decimal places.			
Type of Contract/Task Order (Pricing)	See FAR Part 16. Can be fixed price, cost, cost plus, incentive, IDV, time and materials, etc			
Is this contract a Performance Based Service Acquisition (PBSA)?	Y/N Indicates whether the contract is a PBSA as defined by FAR 37.601. A PBSA describes the requirements in terms of results rather than the methods of performance of the work.			
Effective Date	MM/DD/YYYY Actual or expected Start Date of Contract/Task Order, the date that the parties agree will be the starting date for the contract's requirements.			
Actual or expected end date of Contract/Task Order	MM/DD/YYYY			
Extent Competed	(A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain _____

why:

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:

b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1

c) Was the Acquisition Plan approved in accordance with agency requirements

d) If "yes," enter the date of approval?

e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?

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

g) If an Acquisition Plan has not been developed, provide a brief explanation.

Yes	No
-----	----

Yes	No
-----	----

Yes	No
-----	----

Yes	No
-----	----

Yes	No
-----	----

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

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)

a) If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s). (comma delimited)

5) An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 08/19/2013

6) Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 05/01/2012

Section B: Cost and Schedule Performance

Agencies should be measuring the performance of assets against the baseline established during the planning or full acquisition phase, or, where approved, the current baseline, and be properly operating and maintaining the asset to maximize its useful life.

Agencies should represent the same timeframe and costs in the “Cost and Schedule table” as indicated in the “Summary of Funding” table. Activities planned beyond the budget year are expected to be less well defined and should be updated once the baseline is approved to a greater level of detail, typically via an Integrated Baseline Review.

Complete the following table on activities used to measure cost and schedule performance, representing only one level of the investment’s Work Breakdown Structure. The activities represented in the table should be a natural derivative of the schedule maintained in the agency performance management system. Activity descriptions should follow a format including a description of the work performed and the product achieved. This should generally show Level 3 of the Work Breakdown Structure. Agencies should avoid reporting activities at a level where they span more than one fiscal year. Key activities should be apparent including planning, development iterations, deployment and decommission. For Operations and Maintenance work, provide activities used to track cost and schedule performance in the same format used for development activities in this same table. The percentages complete should relate to the value of the work planned and actually completed.

NOTE: The exhibit 300 schema includes an optional Work Breakdown Structure (WBS) field that is not depicted in the table below.

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Complete the following table to compare actual performance against the current performance baseline. For all activities listed, you should provide both the planned and actual completion dates (e.g., "03/23/2003"/"04/28/2004"), planned and actual start dates, planned and actual total costs (in \$ Millions), and planned and actual percent complete. Note that all fields are required with the exception of “Agency EA Transition Plan Milestone Identifier”. This table should be kept current on the IT Dashboard on a monthly basis, at a

minimum.										
Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier (optional)	Total Cost		Current Baseline (mm/dd/yyyy)				Percentages Complete	
			Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
N/A										

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements.

The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

_____ Yes _____ No

Section C: Financial Management Systems

If this investment funds one or more financial systems, please list each system and complete the table. These systems should also have been reported in the most recent Financial Management Systems Inventory (FMSI). "Type of financial system" should be one of the following per OMB Circular A-127: core financial system, procurement system, loan system, grant system, payroll system, budget formulation system, billing system, or travel system. Budget Year (BY) funding should include both contract and government costs requested for the Budget Year via this investment.

Table II.C.1: Financial Management Systems			
System(s) Name	Systems Acronym	Type of Financial System	BY Funding
N/A			

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Multi-agency Collaborations, such as E-Gov and LoB initiatives, should develop a joint exhibit 300.

Partner agencies that provide contributions to a multi-agency collaboration do not complete Section C.

Table II.D.1. Customer Table:	
As a joint exhibit 300, please identify all the agency customers. Customers are not limited to agencies with financial commitment. All agency customers should be listed regardless of approval. If the partner agency has approved this joint exhibit 300 please provide the date of approval.	
Customer Agency	Joint exhibit approval date
N/A	

Only Managing partners of Legacy E-Gov initiatives should complete the “Shared Services Providers” Table (Table II.C.2).

Table II.D.2. Shared Service Providers		
Only Managing partners of Legacy E-Gov initiatives should complete this table.		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
N/A		

Provide in the "Partner Funding Strategies" Table (Table II.D.3) the name(s) of partner agencies; the UPI of the partner agency investments; and the partner agency contributions for CY and BY.

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Please indicate partner contribution amounts (in-kind contributions should also be included in this amount) and fee-for-service amounts. (Partner Agency Asset UPIs should also appear on the Partner Agency's exhibit 53. All fee-for-service reimbursements for Shared Service Providers should be included in this table. For non-IT fee-for-service amounts the Partner exhibit 53 UPI can be left blank) (IT migration investments should not be included in this table)							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
N/A							

Does this investment replace any legacy systems investments for either the Managing Partner or partner agencies? Disposition costs for the Managing partner (costs of retirement of legacy systems) may be included as a category in, Summary of Funding, or in separate investments, classified as major or non-major. For legacy system investments being replaced by this investment, include the following data on these legacy investments.

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
N/A		

Section E: Performance Information

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan, Information Resource Management plan, and Agency Strategic Plan. The investment must discuss its performance measures in support of the agency's mission and strategic goals. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 20xx, etc.). They should include the expected measurable outcomes of the investment, including both customer and business objectives. A minimum of one measure should indicate primary customer satisfaction with the investment. Agencies shall maintain records for each indicator that includes the source of measurement date, the measurement method and who is responsible for collection.

The unit of measure should describe denomination counted (e.g. hours of processing time, inquiries received from stakeholders). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as "significant," "better," "improved," that do not have a quantitative measure. Performance Measure reporting frequency should be chosen from one of four frequencies: monthly, quarterly, semi-annually, or annually. Performance Measure Direction should be reported indicating whether the performance is expected to increase or decrease. For each measure complete Tables I.D.1.a and I.D.1.b. Maintain historical performance by adding appropriate historical fiscal year measurements in Table I.D.1.b. At a minimum, performance targets should extend to the BY. The table can be extended to include performance measures for years beyond the next President's Budget. OMB has no requirement for how an agency should display the information described in their internal systems.

Specific to IT investments, agencies must report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement

Indicator for each of the four different Measurement Areas (Mission & Business Results, Customer Results, Processes & Activities, and Technology), for each fiscal year. Operational IT investments should include at least one measure of unit cost. Unit cost measures should be for major inputs, align with how the input is procured, and reflect commodity or near commodity hardware, software or managed services. Specific to Infrastructure Investments, 4 performance measures are required; however, measures are only expected in the technology measurement area. The PRM is available at <http://www.whitehouse.gov/omb/e-gov/>.

These are new initiatives. We will adopt the FEA Performance Reference Model according to the guidelines in measuring performance goals for these initiatives.

Both initiatives directly support 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.

Table I.E.1a. Performance Metric Attributes	
<i>Agency Measurement Identifier</i>	
Measurement Area (For IT Assets)	
Measurement Grouping (For IT Assets)	
Measurement Indicator	
Reporting Frequency	
Unit of Measure	
Performance Measure Direction	
Baseline	
Year Baseline Established for this measure (Origination Date)	
Measure Status (active, or deactivated)	
Reason Deactivated (only if deactivated)	

Table 1.E.1.b. Performance Metric Targets and Results				
Agency Measurement Identifier				
Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Date Actuals Last Updated (auto populated)
200x				

2010				
2011				
2012				

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

Not Applicable

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2018
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 2020?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2020 should not select O&M)

Planning	_____
Full Acquisition	_____
Operations and Maintenance	_____ X _____
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 Courts has been widely recognized for successfully executing the renovation of the Historic Courthouse. 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 funds to maintain the infrastructure of the Historic Courthouse.

Funds requested in FY2020 will be utilized 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 an 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@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: Historic Courthouse Maintenance

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2018	CY 2019	BY 2020	BY+1 2021	BY+2 2022	BY+3 2023 and beyond	Total unfunded (sum 2020 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Operations & Maintenance:	1.00	4.90	0.00	1.77	1.84	1.92	1.99	7.52
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	4.90	0.00	1.77	1.84	1.92	1.99	7.52
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	4.90	0.00	1.77	1.84	1.92	1.99	7.52
TOTAL (including FTE costs)	1.00	4.90	0.00	1.77	1.84	1.92	1.99	7.52
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 (2018)
- Insert the number of years covered in column “BY+3” 1 year (2023)

and beyond”

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition			
Contract Status			
Procurement Instrument Identifier (PIID)			
Indefinite Delivery Vehicle (IDV) Reference ID			
Solicitation ID			
Alternative financing			
EVM Required			
Ultimate Contract Value			
Type of Contract/Task Order (Pricing)			
Is this contract a Performance Based Service Acquisition (PBSA)?			
Effective Date			
Actual or expected end date of Contract/Task Order			
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified			

acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			
--	--	--	--

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____
3. a) Has an Acquisition Plan been developed? If yes, please answer the _____ questions that follow: Yes _____ No _____
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes _____ No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes _____ No _____
- d) If "yes," enter the date of approval? _____
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes _____ No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes _____ No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? _____
2. If an Alternatives Analysis was conducted, answer the following questions.
- a) What is the date of the analysis? _____
- b) How many alternatives were _____

- considered? _____
- c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
- d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. _____

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? _____
2. If a Risk Management Plan has been developed, answer the following questions.
- a) What is the date of the plan? _____
- b) Does the plan include a list of risks (yes/no)? _____
- c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
- d) Does the plan include the impact of each risk (yes/no)? _____
- e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
- f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____
3. If a Risk Management Plan has not been developed, provide a brief explanation. _____

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
D.C. Courts Strategic Plan 2018-2022	Goal V: Effective Court Management and Administration	Maintain mission critical systems in excellent working condition.	Perform scheduled/preventive maintenance work to preserve expected useful life.	

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
2. 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 2020 Budget Justification
Grant-funded Activities and Reimbursements

For Fiscal Year 2018, the District of Columbia Courts secured over \$3 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; (3) improvements to the transmission of warrant information to the Metropolitan Police Department; and (4) expanded juvenile behavioral diversion programs. The Courts currently receive funds through six 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 2018. Table 1 lists the Courts' grants and reimbursement funding for Fiscal Years 2018 and projected through 2020, while Table 2 lists grants scheduled to expire at the end of FY 2018. A brief description of the Courts' grant-funded projects follows.

I. FEDERAL GRANTS

(a) Abused and Neglected Children

- ***Court Improvement Program (CIP).*** U.S. Department of Health and Human Services, Administration for Children and Families.

To assess and improve judicial proceedings that handle child abuse and neglect and related foster care and adoption litigation. The Superior Court continues collaboration with District child welfare agencies in examining the effectiveness of current practices and procedures, adequacy of resources, and coordination among key agencies in order to enhance the representation for children and families in the District of Columbia. With grant funds, the Courts will continue to provide books for children, the *Preparing Youth for Adulthood Initiative*, sponsor a Legal Clinic and provide skills-building and information-training workshops for advocates and the legal community, and enhance data sharing among partnering agencies to more effectively monitor family treatment court program participants.

(b) Crime Victims

- ***Crime Victims Compensation Program (Claims).*** U.S. Department of Justice, Office of Victims of Crime.

To provide funds from the Crime Victims Compensation Fund for District of Columbia victim compensation payments to eligible crime victims.

(c) Victims of Commercial Sexual Exploitation

- ***Juvenile Behavioral Diversion Program (JBDP).*** U.S. Department of Justice, Office of Justice Programs, Justice and Mental Health Collaboration Program.

This program is a partnership between the District of Columbia's Court Social Services Division and Department of Behavioral Health. The program is designed to expand the services provided to youth with targeted services to support youth with mental health challenges and combat the increasing problem of commercial sexual exploitation of children in the district. The grant will support over 300 youth over a two-year period.

(d) National Criminal History Improvement Program (NCHIP)

- ***Criminal History Improvement Program (MPD, CJCC and DCSC).*** U. S. Department of Justice, Office of Justice Programs.

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 2018 Actual	FY 2019 Estimate	FY 2020 Estimate
I. FEDERAL GRANTS:				
Abused and Neglected Children				
Court Improvement Program	U.S. Department of Health and Human Services	280*	280	280
Crime Victims				
Crime Victims Compensation Payments	U.S. Department of Justice	2,554	2,870	2,880
Criminal Division/Technology				
National Criminal History Improvement Program	U.S. Department of Justice,	20	100	76
Family Court- Court Social Services				
Justice and Mental Health Collaboration Program	U.S. Department of Justice	45	200	65
<i>Subtotal, Federal Grants</i>		2,899	3,450	3,301
II. D.C. FEDERAL BLOCK GRANTS:				
Domestic Violence				
Supervised Child Visitation Center	U.S. Department of Health and Human Services	111	111	111
Domestic Violence Project	U.S. DOJ VAWA STOP Grants	39	40	40
<i>Subtotal, D.C. Federal Block Grants</i>		150	151	151
GRANTS TOTAL		3,049	3,601	3,452
REIMBURSEMENTS:				
Child Support Enforcement	D.C. Title IV-D Agency	986	986	986
Miscellaneous Reimbursements	Pretrial Services Agency	87	87	87
REIMBURSEMENTS TOTAL		1,073	1,073	1,073
GRAND TOTAL		4,722	4,722	4,722

* Includes carry over funds from multiple awards with extended grant periods.

Table 2
DISTRICT OF COLUMBIA COURTS
Grants that Expired in FY 2018
(\$ in thousands)

Grant	Source	Grant Period (Includes Extensions)	Original Grant Award
Domestic Violence Project	U.S. DOJ VAWA STOP Grants	Oct. 2017 – Sept. 2018	39
Court Improvement Program	U.S. Department of Health & Human Services	Oct. 2017 – Sept. 2018	270
Supervised Visitation	U.S. Department of Health and Human Services	Oct. 2017 – Sept. 2018	111
Total			\$420

DISTRICT OF COLUMBIA COURTS
FY 2020 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 fiscal year 2018:

1. Superior Court Drug Intervention Program (SCDIP)

NPC Research completed its assessment of the Superior Court Drug Intervention Program (SCDIP) to measure the effects and impact of recommended enhancements. 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 concluded that significant changes had been made to the SCDIP and now the program 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 which 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 and cost evaluation was completed in December 2017 and concluded that there was no significant difference in recidivism rates among SCDIP versus non-SCDIP participants, with rates low for both groups; participants' overall graduation rate was 50% (slightly less for the targeted 2014-2015 cohort participants); graduates spent an average of 267 days in the program; and the average cost per participant was \$6,500 (higher for graduates).

2. Child Protection Mediation Outcome Evaluation (CPM)

The Child Protection Mediation (CPM) program provides mediation services in child abuse and neglect cases originating from Family Court. 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 assessed the effects and gauged the impact of mediation on abuse and neglect cases. Specifically, the evaluation examined if mediation was: expediting case processing; improving permanency outcomes; creating time savings for the court, attorneys and social workers; and, enhancing parental engagement. The recently completed study concluded that the mediation program is effectively achieving its goals and parents who participate have positive views about their experience and the people involved in their case. Parents who participated in mediation were twice as likely to stipulate, reducing case processing time and creating time savings for the court, attorneys and social workers. Additionally, the study found that parents who participated in

mediation were more compliant with court orders, although this did not significantly affect the amount of time needed to reach permanency. In terms of process, the evaluation concluded that mediation should remain mandatory, continue to be scheduled for two hours, and all parties including professionals in the case required additional training to fully maximize the benefits of the program. The Child Abuse and Neglect Committee will continue to review the report with the goal of program improvement.

Evidence Template

Section 1: Officials/Offices Responsible for Evaluation Functions

(a) Senior evaluation official/Lead evaluation office:

The D.C. Courts Strategic Management Division provides a range of services that include coordinating evaluation activities for the Judicial Branch. The mission of the Strategic Management Division is to provide 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.

To achieve this mission, the Division provides strategic planning and development, grant acquisition and management, research and evaluation, policy analysis, and organizational performance management and measurement (includes business analytics and statistical reporting) services. The Division has the following objectives:

- To promote a results/outcome-based organizational culture including the institutionalization of performance standards, evidence-based decision-making, and reporting of results.
- To conduct research and evaluation that is aligned with the Courts' strategic agenda and that meets the needs of court units;
- To deliver just-in-time analyses, reports and recommendations that support informed judicial and executive decision-making;
- To partner with external research organizations on research and evaluation initiatives to enhance the Courts' mission and goals;
- 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;
- To ensure the D.C. Courts employ a robust and inclusive court-wide strategic planning process to develop the Courts' five-year Strategic Plans;
- To plan and facilitate strategy development/performance review sessions among court leaders by providing information and data, analyses, and recommendations regarding goals, performance measures, outcomes and results;

- To promote continuity and enhance data accuracy and reporting by coordinating data sharing and exchange with criminal justice partners, researchers and the general public;
 - To lead and coordinate the Courts' grant-seeking activities to achieve strategic and operational goals;
 - To foster strategic development by working collaboratively with court units to conceptualize and design court improvement projects and new processes or services.
- i. Lisa R. VanDeVeer, Director, Strategic Management Division and Chief Performance Officer – Directs the Division's major functional areas, including strategic planning, grant acquisition and management, research and evaluation, and organizational performance management and measurement (includes business analytics and statistical reporting).
 - ii. Ms. VanDeVeer has approximately 31 years' experience at the D.C. Courts, more than half of which includes supervising research staff, first as the Chief of Policy and Planning in the Courts' former Research and Development Division following eleven years' employment in that division as a Research Associate (formerly titled Research and Evaluation Specialist) and Senior Research Associate and more recently as the Director of the Strategic Management Division.
 - iii. Ms. VanDeVeer is Director of the Strategic Management Division, which is located within the Court System reporting to the Deputy Executive Officer.
 - iv. Note that within the Strategic Management Division, Dr. Sandra Embler is the Senior Research Associate who has direct responsibility for coordinating evaluation activities. Dr. Embler has approximately twenty years' experience conducting program evaluations and social science research, having worked as a Supervisory Research and Evaluation Specialist, Program Evaluator and Research Analyst, at the Department of Defense, the United States District Court and other agencies.

(b) Other evaluation staff:

In addition to the Senior Research Associate, the D.C. Courts' Strategic Management Division has three Research Associate positions which provide research and evaluation services for the D.C. Courts. All research positions within the division report to the Deputy Director and the Director.

(c) Evaluation FTE:

Four FTEs are dedicated to research and evaluation as their primary job responsibility.

(d) Preparation of Evidence submission:

Lisa R. VanDeVeer, Director, Strategic Management Division, contributed to the preparation of this Evidence submission.

Section 2. Progress and Barriers to Building and Using Evidence in Decision-Making

(a) Development and use of a learning agenda:

The D.C. Courts do not presently have a formal learning agenda process. However, the Courts have been engaged in building their capacity to perform evidence-based policy making for a long time. The D.C. Courts were one of the very first state courts in the country to establish a Research and Development Division back in the 1980's. The Division began undertaking program evaluations and pilot programs to assess and improve court operations. To illustrate, the division launched the highly successful Multi-Door Dispute Resolution Program, which became a national model court-connected alternative dispute resolution (ADR) program that has contributed significant research to the ADR field. In 2014, the Research and Development Division was merged with the Courts' Office of Strategic Management to form the Strategic Management Division. With the integration of planning and evaluation, the Division is building capacity across the Courts to launch new initiatives and to review existing programs by identifying desired goals and outcomes, determining information and data needs, developing data collection and evaluation/analysis plans and collaborating on evaluations.

In addition to the research and evaluation function of the Strategic Management Division which is building capacity for evidence-based policy-making at the D.C. Courts, the Courts have established, within the Strategic Management Division, an Organizational Performance Management and Measurement functional area, headed by a full-time Senior Court Performance Management Associate. This position is responsible for developing and coordinating courtwide efforts to build the Courts' capacity and use of organizational performance measurement and management best practices, tools and processes to ensure a high-performing court system.

Finally, the Courts have invested in a courtwide Business Intelligence program which is supported by an enterprise data warehouse that contains data from all of the Courts' major computer systems. With Business Intelligence, the Courts are leveraging case data, financial data, human resources and other data to build and use evidence in decision-making and program implementation. At present, performance dashboards and a variety of analytical reports are being developed for court executives and that will provide access to critical, actionable information twenty-four hours a day. The Courts' Business Intelligence Program is co-led by the Information Technology Division and the Strategic Management Division. Both divisions have co-Program Managers and within each of the Courts' case processing divisions, there are BI "authors" who are trained users of the Business Intelligence System who are capable of writing basic BI reports.

(b) Recent major progress:

The Courts have undertaken a number of activities within the past year to advance progress towards building capacity for evidence-based decision-making and program implementation. The Courts are in the process of implementing a Human Subject Research Protection Program (HRPP) and an Institutional Review Board, which will increase their internal capacity to undertake research. In addition, the Courts funded two program evaluations in FY 2017 which were completed this year. An evaluation of the Civil Mediation Program added to the important

body of literature on mediation in civil litigation. An evaluation of the Family Court's Child Protection Mediation Program found that this effective program could be made even stronger with minor program enhancements.

In the area of performance measures, the Courts completed a major effort to identify Key Performance Indicators for all court divisions in 2017 and are in the process of ensuring that data collection procedures are in place or are being developed to capture these data in 2018-2019. In addition, with the release of the Courts' 2018-2022 Strategic Plan, an effort is underway to identify additional measures that may be needed to track progress and outcomes for the Strategic Plan. Once all metrics are clearly defined and operationalized, they will be cascaded throughout the organization, as appropriate, and incorporated on business intelligence performance dashboards for key decision-makers.

The new Plan also contains strategies to incorporate evaluation of the problem-solving courts as well as to improve data quality and information exchange between the Courts' information systems, as well as to enhance the quality and availability of court records and data and to implement results-based performance measures and publish performance reports. The Strategic Management Division is working with the Social Services Division on a comprehensive data strategy, to ensure that data are collected that will support a grant-funded evaluation of the HOPE/CSEC Court for juveniles who are victims of commercial sex trafficking, and an internal evaluation of the Balanced and Restorative Justice (BARJ) Centers. In addition, the Courts received funding for a comprehensive new case management system for the Superior Court, which will replace the aging and unsupported CourtView system that is now over a decade old. An extensive requirements development and verification process has been underway for nearly two years to ensure that the new system will have the capacity to collect case data at the record and field level that will support the Courts' comprehensive data needs in the future.

(c) Current barriers:

The most persistent barrier the Courts face in their efforts to build capacity to use data for evidence-based decision-making is the quality and ready availability of the data itself in a format that is easily accessible to decision-makers. The nature of court business is high volume and fast-paced, with over 80,000 new case filings annually in the trial court, hundreds of thousands of parties and attorneys, and complex data such as sentencing history which must be entered and maintained on a daily basis. While the Courts employ and continually train clerks to enter data into their case management systems according to strict protocols, there are inevitable errors made during the press of business and given the unreliability of the information supplied to the Court by litigants. Data received from other agencies often appears in differing formats; there are not consistent case or party tracking mechanisms across all agencies; parties provide incomplete information, aliases, and formerly known as names, addresses change frequently, and the like. The Courts have data quality assurance personnel in all operating divisions whose primary responsibility is to review critical data items for accuracy and completeness. However, these personnel can only review a limited number of data fields, resulting in ongoing gaps in data quality. The Courts' Business Intelligence Program has created new opportunities for data quality "exceptions" reports which allow staff readily to identify and correct data errors. Further, BI is enabling the Courts to use data analytics to display data visually in ways that are readily accessible to decision-makers. With readily understandable graphics that can depict business

information simply and clearly, decision-makers can use data to improve programs and services. Given the value of high quality data in terms of program planning and court services and operations, as well as administrative decision-making, the Courts recognize that data is a strategic asset to the organization and are currently evaluating various options for enhanced courtwide data governance practices.

Section 3: Priority Evidence Requests (Optional)

None at this time.

Section 4: Progress Implementing the Foreign Aid Transparency and Accountability Act of 2016 (FATAA)

Not applicable.

Section 5: Updates on M-14-06, “Guidance for Providing and Using Administrative Data for Statistical Purposes”

(a) Progress:

The Courts have undertaken a variety of efforts to improve the quality and availability of data to inform decision-making. The Information Technology Division and Strategic Management Division collaborate on initiatives to collect and report data on performance. SMD leads data collection or front-end activity working with divisions to ascertain what data are needed to monitor and design performance tools/reports and to identify any gaps, while the Information Technology Division handles technical development of the reporting tools (e.g., dashboards, reports, etc.). As the initial point of contact, the Strategic Management Division has expanded its role in working with divisions to identify data needed for performance analysis and reporting as well as program planning/evidence-based decision-making. The Division has developed an information gathering process to discuss what types of information are needed by divisions to effectively track, report and measure outcomes and performance. Once identified, the Strategic Management Division develops functional requirements that are forwarded to Information Technology for development of technical requirements and implementation. Initial development reports are tested to ensure accuracy. In an effort to ensure divisions can routinely generate reports, designated division representatives are trained on data extraction from the case management system using the BI environment. Extracting/reporting data is only part of the goal. The Court continually emphasizes that improving data quality is essential to ensuring the safety of petitioners in domestic situations, minimizing errors which could result in the absence of freedom for offenders, as well as identifying needed judicial and staff resources to sufficiently perform operational activity. Efforts are underway to lead work groups to ensure standard data definitions across divisions for common terms and codes, such as self-represented litigants, time to disposition caseload grouping, and to create a comprehensive, updated data dictionary, etc. Data enhancements are documented via functional requirements. The Strategic Management Division and Information Technology Divisions are also working with divisions to expand reporting of caseload activity for placement on the Courts’ website as well as shared with national reporting agencies, such as National Center for State Courts.

(b) Barriers:

Barriers to advancing the use of administrative data at the Courts include the lack of standardized data definitions and labeling across divisions, which is under discussion as the requirements for the new case management system are being developed. An updated data dictionary will also help to address this challenge. Another challenge is increasing the frequency of automated data “refreshes” to ensure up-to-date availability. Finally, there is a need to continue to enhance data quality review procedures across and within divisions to ensure that specific data elements are routinely reviewed, and related to the general issue of data quality control, to update data governance and stewardship practices to reflect best practices in government.

DISTRICT OF COLUMBIA COURTS
FY 2020 Budget Justification
DEFENDER SERVICES

<u>FY 2018 Enacted</u>	<u>FY 2019 Enacted</u>	<u>FY 2020 Request</u>	<u>Difference FY 2019/2020</u>
49,890,000	46,005,000	46,005,000	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).⁹ 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.¹⁰ The Guardianship program provides for compensation to service providers in guardianship and protective proceedings for incapacitated adults.¹¹ 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

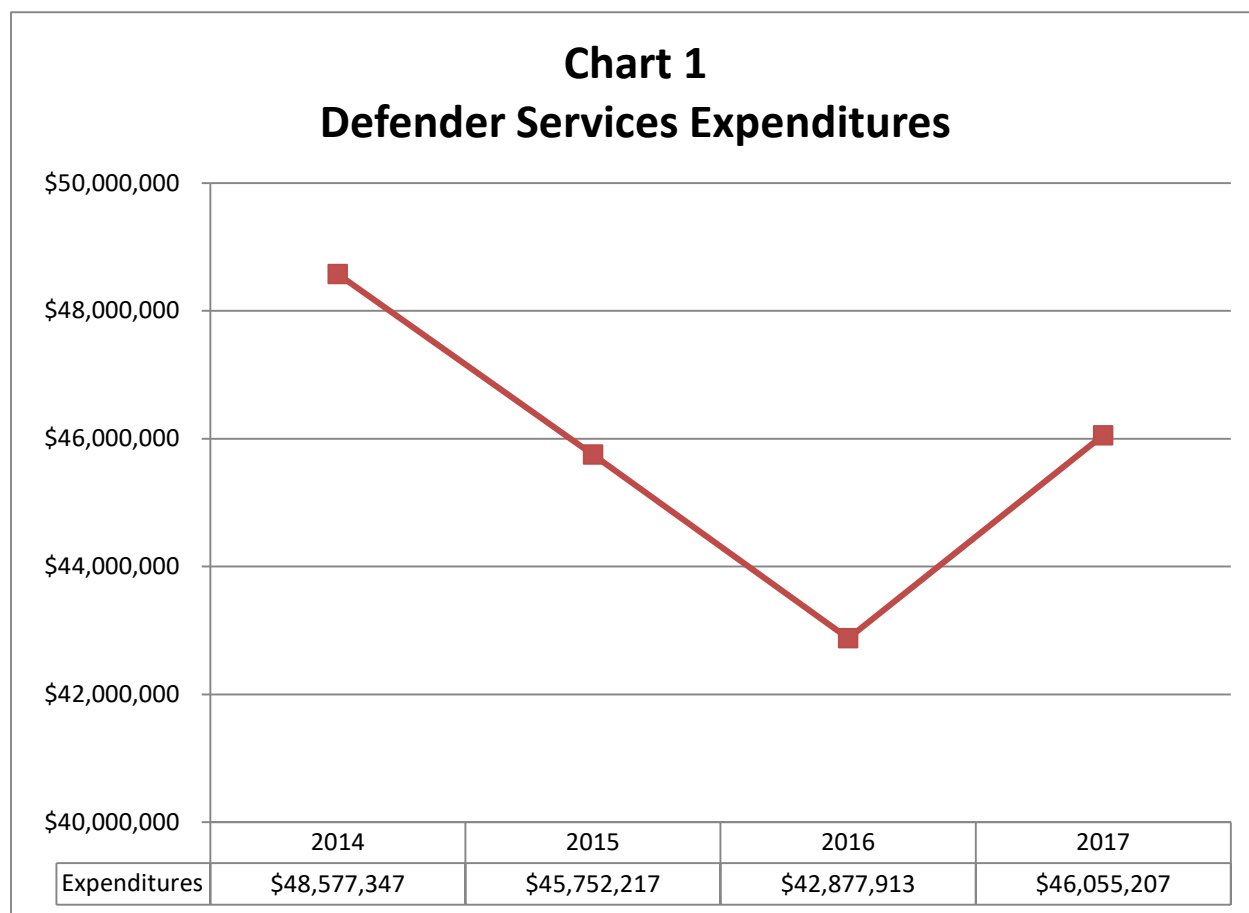
⁹ See D.C. Code §11-2601 *et seq.*

¹⁰ See D.C. Code §16-2304.

¹¹ 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. Table 1 provides Defender Services costs over the past four fiscal years.



Caseload Data

The following data provide details on the Defender Services caseload, including historical data for calendar year 2014 to 2018.

Chart 2 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.

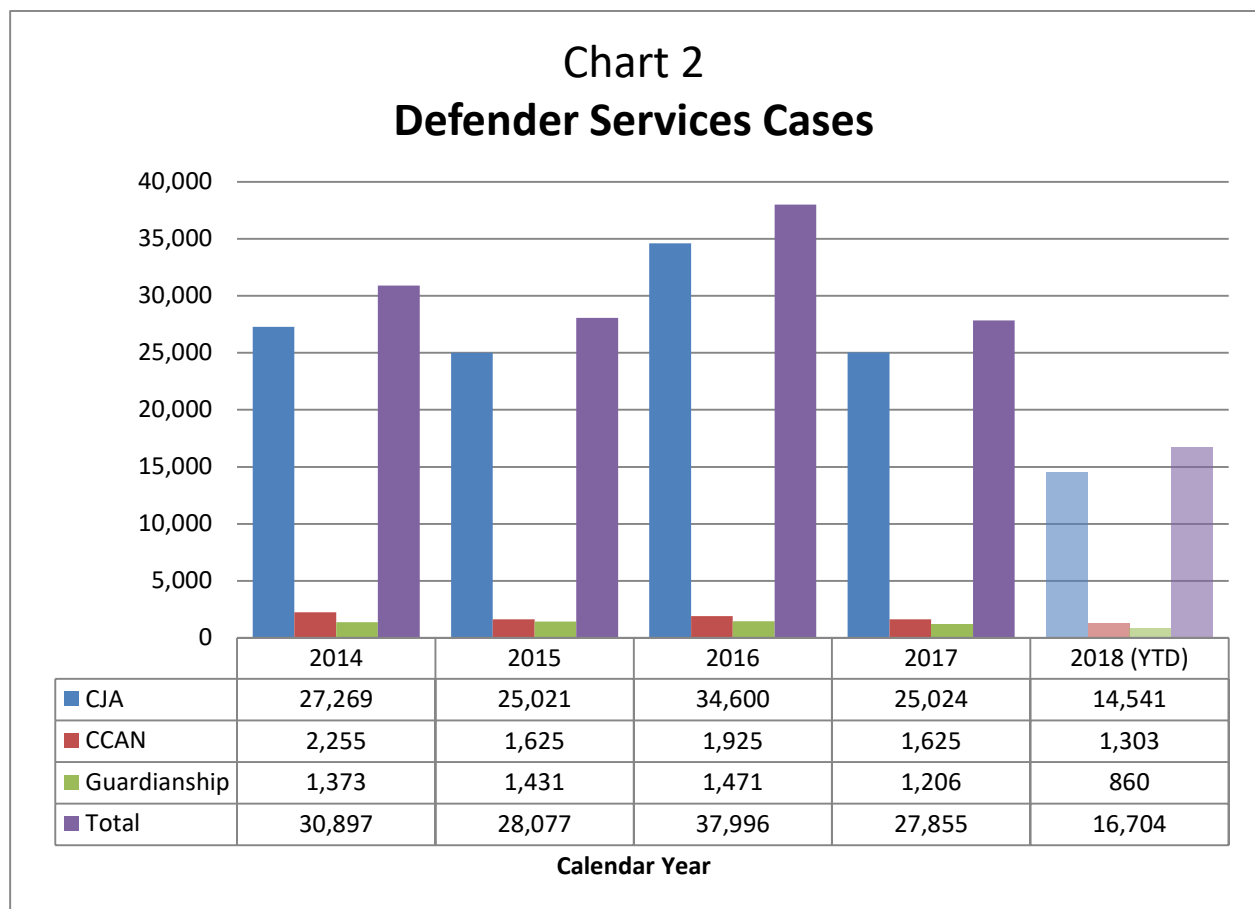
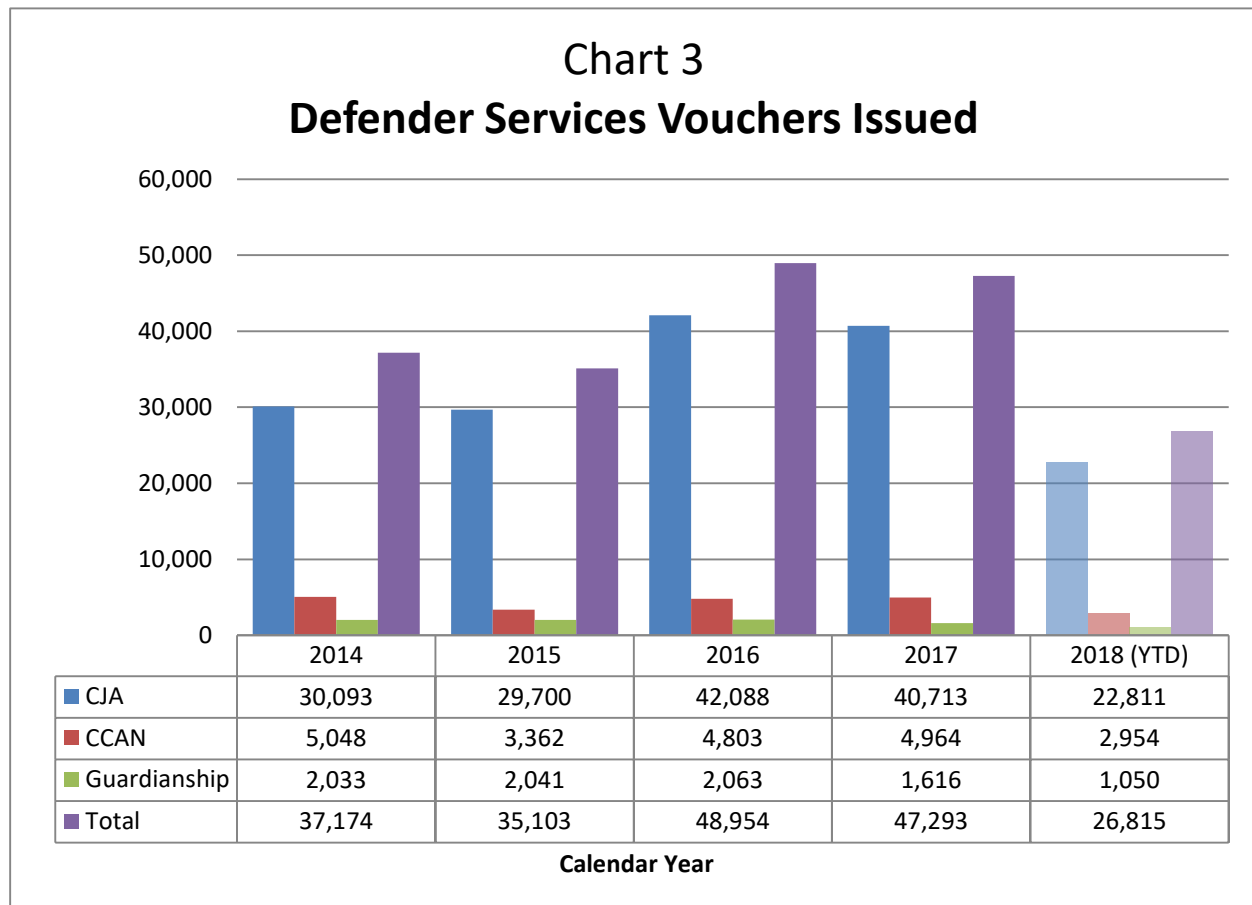


Chart 3 shows the number of vouchers issued each year, including the monthly invoices paid from the CCAN account to the non-profit contractor and Guardianship fee petitions. As is evident from the numbers, multiple vouchers are issued in many cases; these finance services of experts such as ballistics 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).

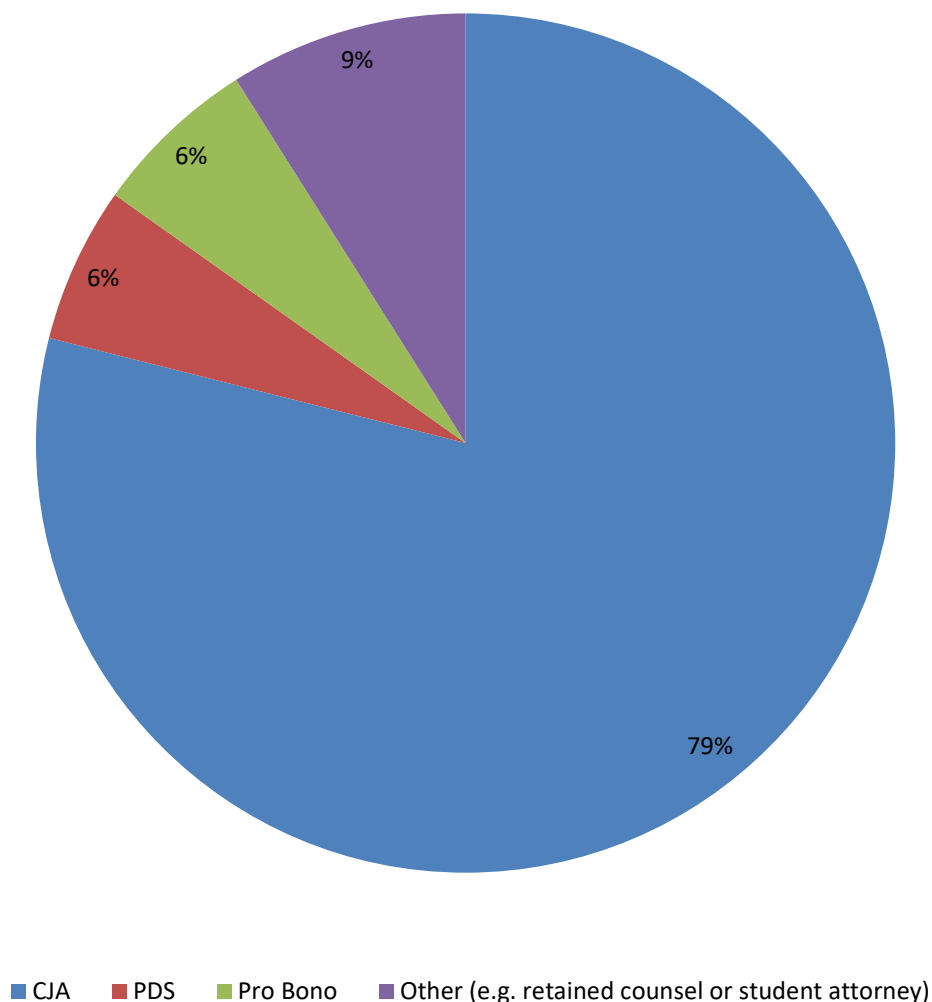


As depicted in both charts, the caseload is variable. The number of cases supported by the Defender Services account decreased 9% from 2014 to 2015, followed by a 35% increase in 2016, and a 1% decrease in 2017. The number of vouchers issued similarly decreased by 6% from 2014 to 2015, increased by 39% 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 4 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 2017.

Chart 4
Criminal and Juvenile Representation
Superior Court, 2017



FY 2020 Request

The Courts request \$46,005,000 for Defender Services in FY 2020, the same as the FY 2019 Enacted Budget.