

FY 2021

Budget Justification



District of Columbia Courts

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**District of Columbia Courts
FY 2021 Budget Justification
Table of Contents**

1. Summary	
a. Narrative	Summary-1
b. Comparison Table.....	Summary-2
c. Organizational Chart.....	Summary-22
d. Request Summary Table.....	Summary-23
2. Appropriations Language	
a. Language.....	Appropriations Language-27
b. Justification.....	Appropriations Language-29
3. Initiatives	
a. Enhancing Public Security.....	Initiatives-31
b. Expanding Access to Justice.....	Initiatives-33
4. Court of Appeals	
a. Narrative	Court of Appeals-37
b. Object Classification Table.....	Court of Appeals-43
5. Superior Court	
a. Narrative Overview.....	Superior Court-45
b. Object Classification Table.....	Superior Court-48
c. Division Narratives	Superior Court-49
6. Court System	
a. Narrative Overview.....	Court System-131
b. Object Classification Table.....	Court System-133
c. Division Narratives	Court System-134
7. New Positions Requested by Grade	
a. New Positions Requested.....	New Positions-203
8. Capital Budget	
a. Fiscal Year 2021 Capital Budget Justification Summary Table.....	Capital-205
b. Capital Budget Introduction.....	Capital-206
c. Renovations, Improvements, & Expansions.....	Capital-221
d. Maintain Existing Infrastructure	Capital-245
9. Grant-funded Activities and Reimbursements	
a. Narrative	Grants and Reimbursements-279
b. Table	Grants and Reimbursements-282
10. Program Evaluation	
a. Narrative	Program Evaluation-285
b. Evidence Template.....	Program Evaluation-286
11. Defender Services	
a. Narrative	Defender Services-293

DISTRICT OF COLUMBIA COURTS
Budget Justification
Summary
Fiscal Year 2021

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 \$352,299,000 for operations and capital improvements in FY 2021. Of this amount, \$15,289,000 is requested for the Court of Appeals operations; \$131,919,000 is requested for the Superior Court; and \$83,291,000 is requested for the Court System. For capital improvements to courthouse facilities \$121,800,000 is requested. In addition, the Courts request \$46,005,000 for the Defender Services account.

Table 1 shows the FY 2019 and 2020 enacted budgets and the FY 2021 request.

Table 1
DISTRICT OF COLUMBIA COURTS
FY 2021 Budget Justification
Comparison Table

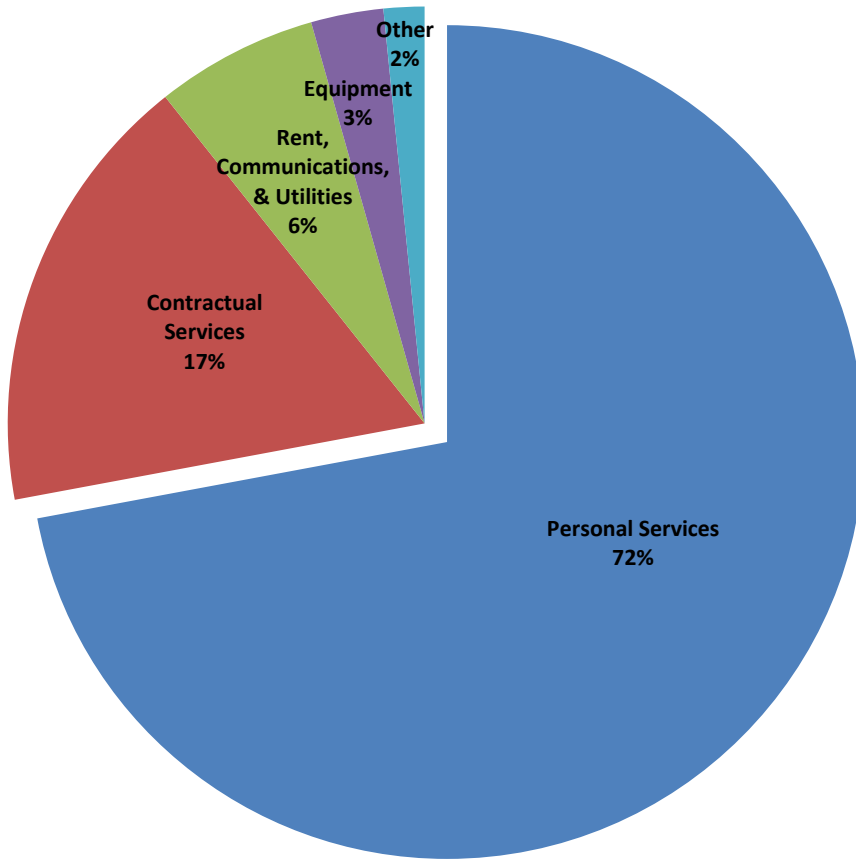
	FY 2019	FY 2020	FY 2021
	Enacted Budget	Enacted Budget	Courts' Request
Court of Appeals	14,594,000	14,682,000	15,289,000
Superior Court	124,400,000	125,638,000	131,919,000
Court System	<u>74,400,000</u>	<u>75,518,000</u>	<u>83,291,000</u>
Subtotal, Operations	213,394,000	215,838,000	230,499,000
Capital	45,000,000	34,250,000	121,800,000
Total, Federal Payment	258,394,000	250,088,000	352,299,000
Defender Services	46,005,000	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 2021 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 DC Courts' Operating Budget
(FY 2019 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.

Budget Reductions

Since budget reductions in FY 2018 caused the Courts to eliminate more than 100 positions, nearly 10% of non-judicial staff, the Courts have strived to minimize the negative impact of these budget reductions on core functions and the public. 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, as shown above, comprise nearly three-fourths of the Courts' budget. In addition to reducing contracts and eliminating travel, the D.C. Courts' implemented a hiring freeze for nearly all positions, which permitted staffing reductions by attrition. To optimize service to the public, the Courts reassigned personnel across divisions to fill critical vacancies.

After the Courts reduced staffing to the level that the budget can support (assuming a full complement of judges and their statutory staff because judges are nominated by the President, subject to Senate confirmation, rather than through the Courts' administrative hiring authority), only the most critical positions have been filled as new vacancies have been created by staff retirement or other separations.

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 information technology; data accountability and transparency; and the workforce of the 21st Century.

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 as well as the Capital Budget. The Courts utilize shared services for financial and human resources management systems and are moving to cloud-based solutions for major case management systems.

Key Driver of Transformation: Data, Accountability, and Transparency

The D.C. Courts have long been a leader nationally among state-level court systems in evidence-based decision-making, establishing the first court research and development division in the 1980's and continuing to undertake rigorous evaluations of court programs and to utilize their results to improve services to the community.

As detailed in the Program Evaluations section of this request, the Courts have committed to adopt many of the best practices contained in the Evidence-Based Policy Making Act of 2018, although the Act itself does not apply to the Courts.

- **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 16 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.¹ 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 request 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.

- **Enterprise Data Governance**

In 2019, the D.C. Courts launched a Data Governance Program to improve the quality of the Courts’ data and improve the data’s usefulness in decision-making. The benefits of a Data Governance Program are to improve trust and confidence in data; make information accessible, understandable, and useable; ensure data security and privacy; promote information-sharing; and reduce cost and duplication. A critical piece of this program is a Data Governance Council, a

¹ The Strategic Plan is available at https://www.dccourts.gov/sites/default/files/matters-docs/2018-2022_StrategicPlan.pdf .

cross-functional team comprised of representatives from all areas of the Courts that is responsible for determining what data means, how it is derived, what rules to apply to determine data quality, and what data governance projects should be pursued.

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. 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.

- **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.

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 \$2.8 million for critical information technology improvements, including an applications programmer, cloud based services, cybersecurity, and technology infrastructure in the capital budget.

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 \$2 million related to this Administration priority, including strategic workforce management through succession planning, continuous learning through training, and workers aligned to the Courts’ core mission.

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 \$0.7 million to improve the customer experience for the public utilizing court services. These include expanding access to justice and assisting self-represented litigants.

Part of the customer experience is visiting a facility that is safe, functional, clean, and designed efficiently. The Courts’ full request includes \$3.7 million to enhance the customer experience with court facilities, including enhanced security, maintenance of the Moultrie Courthouse addition, a relocated and enlarged Domestic Violence Intake Center in Southeast, 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 2021, the Courts require adequate resources. Listed below are the D.C. 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 2021 budget request enhances the five strategic goals and includes performance projections for all core functions.

Goal 1: Access to Justice for All--\$2,002,000, 14 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 \$615,000 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 to help the public access court services; \$448,000 for 2 FTEs to fulfill the expanded duties of the Superior Court's magistrate judges; \$340,000 for 4 FTEs to manage the mediation of more Family Court cases; \$466,000 for 2 FTEs and leased space to enhance services to domestic violence victims; and \$133,000 for 1 FTE to assist self-represented litigants in the Probate Self-Help Center.

Goal 2: Fair and Timely Case Resolution--\$583,000, 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 \$205,000 and 2 FTEs to expedite review of filings by fiduciaries appointed by the court to manage other people's affairs; \$189,000 for 3 FTEs to staff courtrooms; \$112,000 for 1 FTE to speed review of complex financial records involved on court cases; and \$77,000 for 1 FTE to provide administrative support in the Court of Appeals.

Goal 3: Professional, Engaged Workforce--\$319,000, 2 FTEs

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 \$186,000 for 1 FTE to manage court training programs and \$133,000 for 1 FTE to conduct workforce and succession planning.

Goal 4: Resilient and Responsive Technology--\$372,000, 1 FTE

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 \$239,000 for Cloud, security, and other information technology services and \$133,000 for 1 FTE to support automation and implementation of a new case management system.

Goal 5: Effective Court Management and Administration--\$3,500,000, 2 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 \$1,670,000 for enhanced security, including additional contractual security officers and security system maintenance; \$1,620,000 to maintain the new addition to the Moultrie Courthouse; \$133,000 and 1 FTE to manage capital projects in stewardship of the 1.5

million gross square feet of building space in Judiciary Square; and \$77,000 for 1 FTE to provide administrative support for capital projects and facilities management.

Built-In Increases--\$7,885,000

The request also includes \$7,885,000 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 (10.6% in 2018 versus 14.7%, 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 \$121.8 million—including \$86.5 million to renovate, improve and expand the Court facilities and grounds, and \$35.3 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 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 was opened in 2019, 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 leased space and provides efficient management of the D.C. Courts' facility portfolio.

The FY 2021 Capital Budget request includes the balance of \$19.05 million required to complete relevant system upgrades, reconfigure and fit out designated space on the second and third floors of Building B, and relocate personnel from Gallery Place to their permanent locations in government-owned facilities. This approach results in long-term cost savings as the D.C. Courts will no longer require leased space to house these support operations.

510 4th Street Modernization

As the last infrastructure upgrades and interior reconfigurations were made to Building B in 2003, 18 years will have lapsed by FY 2021. At this age in a building's lifecycle it is typical that building systems will require repair, renewal or replacement such as roofing, conveyance systems, plumbing distribution systems, heating and cooling systems, etc. In addition, building control, automation and management system upgrades and modernization enable greater energy efficiency, the reduction of poisonous emissions from aging building equipment, and reduce operations and maintenance expenses. The FY 2021 Capital Budget request includes the balance of \$22.92 million required to ensure completion of critical building system upgrades and the completion of interior renovations on the lower level and first floors at Building B. This modernization will result in a completely renovated building with all systems upgraded as detailed in the Facilities Condition Assessment and planned improvements completed on all floors as detailed in the Facilities Master Plan.

Recorder of Deeds Renovation (515 D Street N.W.)

The FY 2021 Capital Budget request includes a total of \$10.94 million to stabilize the historic Recorder of Deeds Building. Funds for full restoration of the building will be requested in FY 2022.

The benefit of restoring the Recorder of Deeds building for the D.C. Courts' use is three-fold:

1. The D.C. Courts' anticipated 2030 space need will be fulfilled without dependency on high-cost leased space, as all D.C. Courts' components requiring functional adjacency to the courthouses will be consolidated into the D.C. Courts' Judiciary Square portfolio of government-owned facilities.
2. Adjacency to the courthouse will allow the D.C. Courts to provide greater "access to justice for all" in the D.C. community by co-locating the D.C. Courts and D.C. community partners who deliver vital services in one easily accessible location.
3. Restoration of the historic Recorder of Deeds Building will not only preserve a building that is an important part of our nation's African American history, it will lower the number of excess and underutilized properties in the District of Columbia's real property portfolio by bringing a vacant, deteriorating building back into active use.

Fulfilling the D.C. Courts' Anticipated 2030 Space Need

In 2018, the D.C. Courts commissioned a master planning team to perform an update to the Facilities Master Plan. The intent of the Facilities Master Plan update was to assess progress that has been made implementing both the Judiciary Square Master Plan and the Facilities Master Plan to date, and to look forward 10 years to determine D.C. Courts' facility needs through 2030. As part of the master planning effort, the team worked extensively with the D.C. Courts to assess space requirements based on historic patterns, current usage, current caseload, D.C. Courts space standards, funded positions, and anticipated operational changes and growth over time. Based on their research and statistical analysis of these factors, paired with the anticipated increase in District of Columbia population over the next 10 years, the master planning team concluded that by 2030 the D.C. Courts will require approximately 18,000 USF in addition to what is currently in the D.C. Courts' Judiciary Square government-owned portfolio. The Recorder of Deeds building, restored in its existing configuration, will provide approximately 20,100 USF above ground, fulfilling the D.C. Courts' projected space need through 2030.

The anticipated 2030 space need is based on the following assumptions:

- Courtrooms, chambers and needs of most D.C. Courts' organizations will not increase over the next five years. Existing courtrooms and chambers are expected to absorb projected court activity increase to 2030.
- Public-oriented D.C. Courts divisions will grow reflecting the projected District of Columbia population growth. A rate of growth of 11.7% was applied to eleven D.C. Courts' divisions with significant public service functions.
- Technology improvements will offset growth in general administrative areas, especially with e-filing policies, file scanning programs and increased telework.
- D.C. city and community partner personnel who are currently co-located with the D.C. Courts at Judiciary Square will not receive additional space in D.C. Courts' buildings.

The projected 2030 space requirements are modeled on the relationship between the size and characteristics of the D.C. population and the D.C. Courts' facilities necessary to serve them. Court operations with a high degree of public transactions are sensitive to demographic shifts and population changes. Estimates established in 2017 projected D.C.'s 2030 population at 718,000, increased from 601,723 in 2010. This estimate formed the basis for the 11.7 % growth factor used in the master plan update. However, this may prove to be a very conservative growth factor; as of July 2018, the U.S. Census Bureau estimated the D.C. population already at 702,455.

Providing "Greater Access to Justice for All"

As detailed above, one assumption that the D.C. Courts' 2030 space need is based on is that D.C. city and community partner personnel who are currently co-located with the D.C. Courts at Judiciary Square will not receive additional space in D.C. Courts' Buildings, as the provision of additional space would only contribute to an already anticipated space shortfall in future years. Consequently, *The Strategic Plan of the District of Columbia Courts 2018-2022*, that articulates the D.C. Courts' goal to collaborate with city and community partners to offer expanded information and selected services at court facilities would not be realized. This goal is only

realized with either (1) the addition of space to the existing D.C. Courts' portfolio of government-owned facilities or (2) the continued use of high-cost leased space adjacent to the courthouse. A designated location, such as the Historic Recorder of Deeds building, where specific D.C. Courts and Executive Branch resources that facilitate greater access to justice are co-located would provide the additional space required to not only fulfill the anticipated space requirement, but to meet the intent of the Strategic Plan Goal I as quoted from the 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 community partners, the Courts will work to ensure full access to the justice system and court services.”

Preserving Our Nation's History

As noted by the D.C. Preservation League, the historic Recorder of Deeds “building [and the artwork within] expresses the interplay between political aspirations, social struggle, the search for civic identity, and even the influence of global war on the District of Columbia.” This building is listed on the District of Columbia's inventory of Historic Sites, and an important stop on the African-American Heritage Trail now sits vacant, visibly neglected by lack of protection against 11 years of water intrusion after the building was vacated in 2008.

Review of the original building drawings, various reports, assessments and studies performed prior to 2011, combined with recent visual assessments have revealed that deterioration of the building has escalated and threatens the structural integrity of the historic building and unique artwork that together strongly identify and associate with the struggle of African-Americans for political and social rights in the United States. With the addition of the historic Recorder of Deeds Building to the D.C. Courts' portfolio at Judiciary Square, the D.C. Courts will work with its partners to save this deteriorating landmark and continue to serve as a custodian for assets of historical significance—operating and maintaining a total of four historically significant buildings designed by Nathan Wyeth within the proposed Historic Judiciary Square District.

Courtrooms and Judges' Chambers

The D.C. Courts' request includes \$17.48 million to begin a systematic renovation of 57 courtrooms and related functions and 29 judges' chambers that have not been overhauled since the H. Carl Moultrie I 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 D.C. Courts' inventory of courtrooms and chambers is included in the Facilities Master Plan. Upon the completion of six new courtrooms in Phase 2B of the Moultrie Courthouse Addition, the D.C. Courts plan to begin the renovation of a combination of four to six courtrooms and judges' chambers per year with a goal to complete renovation of all 57 courtrooms over a 15-year period.

Campus Security, Signage and Lighting

The FY 2021 Capital Budget request includes \$2.25 million for preliminary work on security, signage, and lighting enhancements in Judiciary Square as detailed in the 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, pre-construction site studies and initial site work.

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

The FY 2021 Capital Budget request includes \$13.88 million to modernize Building A, as detailed in the Facilities Condition Assessment Report. As the last building upgrades were completed in 2007, FY 2021 funds requested will support replacement of the building elements requiring modernization after 15 years of high-volume traffic; heavy use interior functions; and aging or obsolete equipment, building control and automation systems, lighting, information technology, audio visual, and security systems.

Maintain Existing Infrastructure

The FY 2021 Capital Budget request also includes \$35.28 million to address necessary building maintenance and infrastructure upgrades. Significant public resources have been expended over the past decade to restore and modernize the D.C. Courts' older buildings. As detailed in the Facilities Condition Assessment Report, mechanical systems and structural repairs are necessary to ensure the safety of building occupants and to preserve the integrity of these historic structures. Also, it is critical that the Courts replace the existing video management system in multiple buildings prior to its discontinuation or a system-wide failure. 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.

The D.C. Courts' request \$9.37 million for the HVAC, Electrical, and Plumbing Upgrades project to continue to upgrade electrical systems in the H. Carl Moultrie I Courthouse and replace HVAC equipment as components reach the end of their useful life throughout the campus. The \$3.18 million requested for Fire and Security Alarm Systems will finance the installation of fire detection, alarm, suppression and control systems in the H. Carl Moultrie I Courthouse as part of the ongoing installation program for complete building coverage and the replacement of the existing analog-based video management system with an Internet Protocol (IP) system. In addition, \$17.92 million is requested for General Repair Projects in all five

Judiciary Square campus buildings 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 due to aging and failure. General repair projects will be prioritized as the Facilities Condition Assessment Report is re-baselined, identifying what repairs are most urgent and are key to ensuring life safety in the Judiciary Square campus facilities. To keep elevators and escalators in good working order in all five Judiciary Square campus buildings, \$280,000 is requested. A total of \$280,000 is requested for Restroom Improvements to maintain public restrooms in the Judiciary Square campus buildings. In the area of technology, the D.C. Courts are requesting \$2.41 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. 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. Finally, \$1.84 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 2021 Defender Services request totals \$46,005,000, unchanged from FY 2019.

Recent Achievements

In FY 2018, the Court of Appeals and the Superior Court resolved more than 100,000 cases (1,514 and 99,061 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;

- Implementation of a Court Navigator Program in Landlord Tenant and Small Claims Courts to support self-represented litigants by providing a variety of informational services about court processes and available services;
- 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;
- Initiation of a data governance program to improve the quality of court data and enhance our ability to use the data to make management decisions;
- 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 2018;
- 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

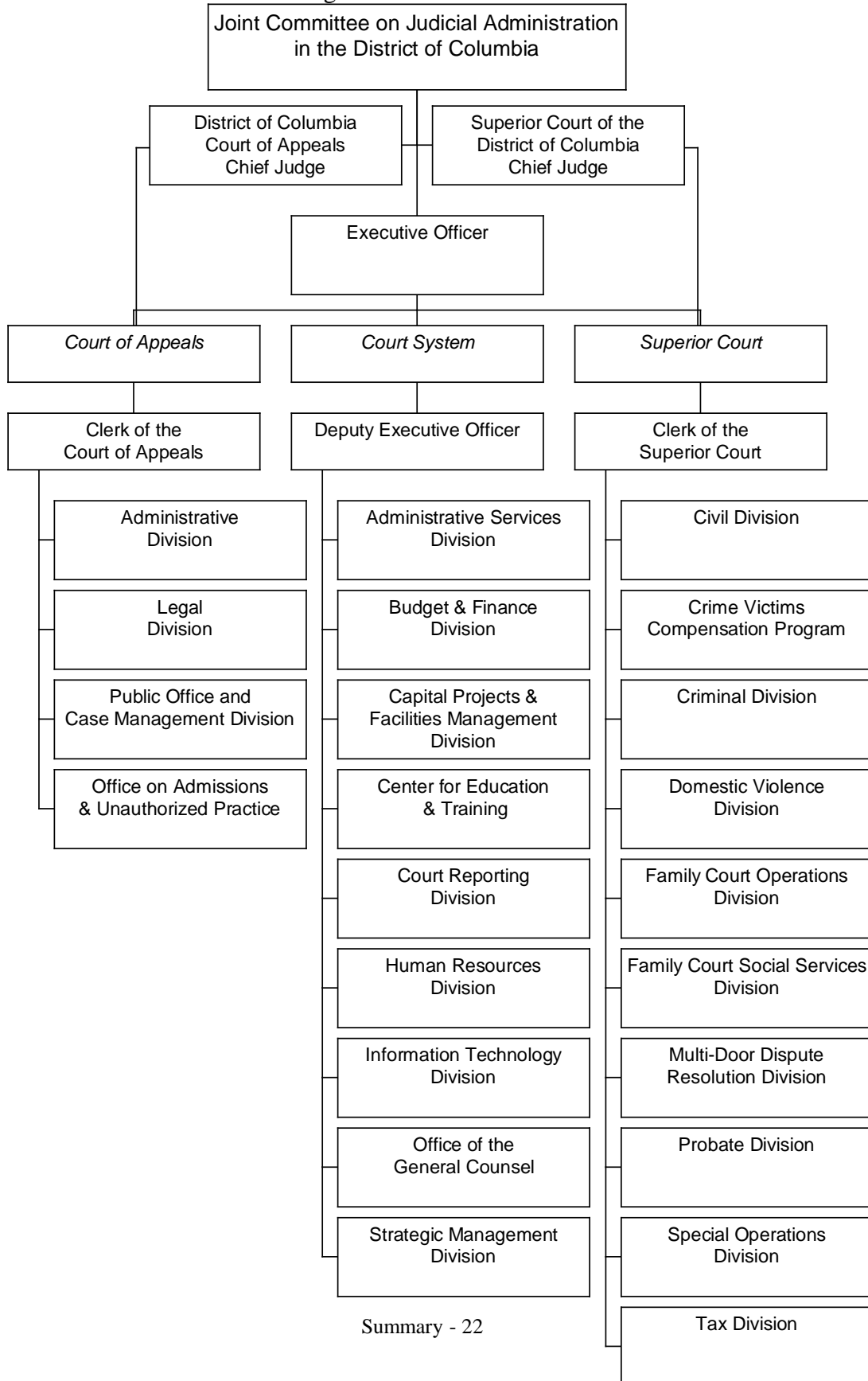


Table 2
DISTRICT OF COLUMBIA COURTS
FY 2021 Budget Justification
Summary Table
(in dollars)

Operations	<u>Amount</u>	<u>FTE</u>
District of Columbia Court of Appeals		
FY 2020 Level	14,682,000	98
FY 2021 Requested Increases		
<i>A. Goal 2: Fair and Timely Case Resolution</i>		
1. Administrative Assistant	77,000	1
<i>Subtotal</i>	77,000	1
<i>B. Built-In Cost Increases</i>	530,000	-
FY 2021 Budget, Court of Appeals	15,289,000	99
Superior Court of the District of Columbia		
FY 2020 Level	125,638,000	921
FY 2021 Requested Increases		
<i>A. Goal 1: Access to Justice for All</i>		
1. Magistrate Judges (Judges and Chambers Staff)	448,000	2
2. Mediating Cases for Families (Multi-Door Dispute Resolution Division)	340,000	4
3. Strengthening DV Services (Domestic Violence Division)	266,000	2
4. Relocating DV Satellite Office (Domestic Violence Division)	200,000	-
5. *Assisting Self-Represented Litigants (Probate Division)	133,000	1
<i>Subtotal</i>	1,387,000	9
<i>B. Goal 2: Fair and Timely Case Resolution</i>		
1. Expediting Fiduciary Review (Probate Division)	205,000	2
2. *Staffing Courtrooms (Civil Division)	189,000	3
3. Expediting Financial Review (Clerk of Court)	112,000	1
<i>Subtotal</i>	506,000	6
<i>C. Built-In Cost Increases</i>	4,388,000	-
FY 2021 Budget, Superior Court	131,919,000	936

* Request to restore critical positions that were eliminated in FY 2018 due to budget constraints.

	<u>Amount</u>	<u>FTE</u>
District of Columbia Court System		
FY 2020 Level	75,518,000	283
FY 2021 Requested Increases		
<i>A. Goal 1: Access to Justice for All</i>		
1. Expanding Access to Justice (Initiatives Section)	<u>615,000</u>	<u>5</u>
<i>Subtotal</i>	<i>615,000</i>	<i>5</i>
<i>B. Goal 3: Professional, Engaged Workforce</i>		
1. *Deputy Director (Center for Education and Training)	186,000	1
2. *Planning for Tomorrow's Workforce (Human Resources Division)	<u>133,000</u>	<u>1</u>
<i>Subtotal</i>	<i>319,000</i>	<i>2</i>
<i>C. Goal 4: Resilient and Responsive Technology</i>		
1. Microsoft Cloud Services, Security, and Annual Subscription Fees (IT Division)	239,000	-
2. *Applications Programmer (IT Division)	<u>133,000</u>	<u>1</u>
<i>Subtotal</i>	<i>372,000</i>	<i>1</i>
<i>D. Goal 5: Effective Court Management and Administration</i>		
Enhancing Public Safety--Security Officers & System Maintenance (Initiatives		
1. Section)	1,670,000	-
Maintaining Moultrie Courthouse Addition (Capital Projects and Facilities		
2. Management Division)	1,620,000	-
3. *Managing Capital Projects (Capital Projects and Facilities Management Division)	133,000	1
4. *Administrative Assistant (Capital Projects and Facilities Management Division)	<u>77,000</u>	<u>1</u>
<i>Subtotal</i>	<i>3,500,000</i>	<i>2</i>
<i>E. Built-In Cost Increases</i>	<i>2,967,000</i>	<i>-</i>
FY 2021 Budget, Court System	83,291,000	293
Total FY 2021 Budget, D.C. Courts Operations	230,499,000	1,328

* Request to restore critical positions that were eliminated in FY 2018 due to budget constraints.

Capital Improvements

Renovations, Improvements & Expansions	
1. Migration from Gallery Place	19,050,000
2. Building B Modernization	22,920,000
3. Recorder of Deeds Building Renovation	10,940,000
4. Courtrooms and Chambers	17,480,000
5. Campus Security, Signage, and Lighting	2,250,000
6. Building A Renovation	<u>13,880,000</u>
<i>Subtotal, Renovations, Improvements & Expansions</i>	<i>86,520,000</i>
Maintain Existing Infrastructure	
1. HVAC, Electrical and Plumbing Upgrades	9,370,000
2. Fire and Security Alarm Systems	3,180,000
3. General Repair Projects	17,920,000
4. Elevator and Escalator Repairs and Replacement	280,000
5. Restroom Improvements	280,000
6. Technology Infrastructure	2,410,000
7. Historic Courthouse	<u>1,840,000</u>
<i>Subtotal, Maintain Existing Infrastructure</i>	<i>35,280,000</i>
FY 2021 Budget, Capital Improvements	121,800,000

Defender Services

FY 2020 Level	46,005,000
FY 2021 Requested Increases	<u>-</u>
FY 2021 Budget, Defender Services	46,005,000

**District of Columbia Courts
FY 2021 Budget Justification
Appropriations Language**

Language

FEDERAL PAYMENT TO THE DISTRICT OF COLUMBIA COURTS

For salaries and expenses, *including the transfer and hire of motor vehicles*, for the District of Columbia Courts, [\$250,088,000] \$352,299,000 to be allocated as follows: for the District of Columbia Court of Appeals, [\$14,682,000] \$15,289,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the Superior Court of the District of Columbia, [\$125,638,000] \$131,919,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the District of Columbia Court System, [\$75,518,000] \$83,291,000, of which not to exceed \$2,500 is for official reception and representation expenses; and [\$34,250,000] \$121,800,000, to remain available until September 30, [2021] 2022, 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. (*District of Columbia Appropriations Act, 2020*)

FEDERAL PAYMENT FOR DEFENDER SERVICES IN DISTRICT OF COLUMBIA COURTS

For payments authorized under section 11-2604 and section 11-2605, D.C. Official Code (relating to representation provided under the District of Columbia Criminal Justice Act), payments for counsel appointed in proceedings in the Family Court of the Superior Court of the District of Columbia under chapter 23 of title 16, D.C. Official Code, or pursuant to contractual agreements to provide guardian *ad litem* representation, training, technical assistance, and such other services as are necessary to improve the quality of guardian *ad litem* representation, payments for counsel appointed in adoption proceedings under chapter 3 of title 16, D.C. Official Code, and payments authorized under section 21-2060, D.C. Official Code (relating to services

provided under the District of Columbia Guardianship, Protective Proceedings, and Durable Power of Attorney Act of 1986), \$46,005,000, to remain available until expended: *Provided*, That funds provided under this heading shall be administered by the Joint Committee on Judicial Administration in the District of Columbia: *Provided further*, That, notwithstanding any other provision of law, this appropriation shall be apportioned quarterly by the Office of Management and Budget and obligated and expended in the same manner as funds appropriated for expenses of other Federal agencies: (*District of Columbia Appropriations Act, 2020*)

Justification

ACCOUNT: FEDERAL PAYMENT FOR DEFENDER SERVICES IN DISTRICT OF COLUMBIA COURTS	
Proposed change	Added language: “, including the transfer and hire of motor vehicles,”
Purpose	Clarifies the D.C. Courts’ authority to procure vehicles for official business.
Justification	The D.C. Courts require motor vehicles to conduct official business. For example, probation officers must travel to juveniles’ homes to perform curfew checks; employees must transport mail, supplies, and equipment among court facilities on Judiciary Square and throughout the city; and judges and staff must meet with stakeholders and attend training sessions at other sites. The requested language is similar to language in the appropriations of two other Federally-funded District criminal justice agencies, the Public Defender Service and the Court Services and Offender Supervision Agency as well as the Federal Judiciary. The language would clarify the Courts’ authority to use appropriated funds for this purpose.

**District of Columbia Courts
FY 2021 Budget Justification
Initiatives**

ENHANCING PUBLIC SECURITY

Initiative Element	Requested Increase
Court Security Officer Increase (12 additional officers)	1,300,000
Security Systems Maintenance Agreement Cost Increase	370,000
Total	1,670,000

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 United States 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 six 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 the presence of the appropriate number of court security officers. The proposed increase in court security officers is based on standards established by the Administrative Office of the United States Courts (AOUSC) and the United States Marshals Service. Compounding the need for additional security officers is the expansion of the Moultrie Courthouse which will add 100,000 square feet of space. The Moultrie Courthouse Addition will house courtrooms, judicial chambers, juvenile probation services as well as an expanded child care and supervised visitation area. Additional security services are required to protect our most vulnerable citizens, member of the public and court staff. In addition, the Courts have witnessed an increase in physical assaults, altercations and attempts of witness intimidation. The current Court Security Officer staffing does not address the additional space coverage requirements nor does it provide resources to address the increase in assaults, altercations and intimidations.

A functional video management and intercom systems which allows for continuous video monitoring of public as well as secure space within the judicial campus are key to ensuring a functional and safe environment. It is essential that these systems are maintained at all times and repairs are made immediately to ensure the safety of the public, judicial officers, and court employees. The video management system serves as the first line of defense, enabling the Courts to manage real time threats, provide incident responses, and document criminal activities occurring within the court buildings. The intercom system provides security personnel with the

ability to interact with persons attempting to access secure areas. These two systems work in tandem to ensure the safety of the public, judicial officers, and court employees. There has been an increase in the number of security systems that will require maintenance due to the additional equipment in the Moultrie Courthouse Addition. Additional funding is needed to maintain the video management and intercom management systems that are critical to ensuring a safe environment.

Relationship to Court Vision, Mission and Strategic Goals. An increase in the number of Court Security Officers and increased funding to maintain security systems supports the Courts' Strategy V, "Effective Court Management and Administration." Specifically, the Courts will 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 secure 12 additional Court Security Officers. The additional officers will allow the Courts to maintain a 30 second emergency response time and provide a greater physical presence of officers to prevent assaults, altercations and attempts of intimidation.

Methodology. The security officer cost estimate is based on the current contractual security officer cost plus an inflationary cost increase that is associated routinely with wage increases negotiated as part of the collective bargaining agreement included in the United States Marshals Service security officer contract that the Courts are currently a rider on. The cost estimate for the security systems maintenance contract is based on prior security maintenance agreements.

Expenditure Plan. The Court Security Officers and the security systems maintenance contracts will be procured in accordance with the Courts' Procurement Guidelines.

Performance Indicators. Performance indicators include the identification of potential security officer candidates within 30 days of the position announcements, and the onboarding of officers within 60 days of the security company's receipt of the contract modification. Another performance indicator is an average security response time of 30 seconds. For the security maintenance agreement, the performance indicators will include the monthly testing of all security equipment, and an average outage time less than 30 minutes for device failures and 2 to 4 hours for major system failures. 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	301,000
Self-Represented Litigant Assistance <i>Pro Bono</i> Coordinator, 1 FTE (JS-14)	158,000
Court Navigator Program Court Navigators, 2 FTEs (JS-8/9)	154,000
Total	613,000

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 2018.

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; 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 47,000 times. An online juror orientation video has over 9,000 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.

The D.C. Courts launched a Court Navigator Program in October 2018. The Program is currently staffed by two FTEs and serves the two highest volume courts --Landlord Tenant and Small Claims. On the average, the Court Navigator Program assists approximately 480 court

users per months. Additional staff are needed to meet the caseload demands and to expand the program to other case types.

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 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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>
97	14,594,000	99	14,682,000	100	15,289,000	1	607,000

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 has had one judicial vacancy since November 2013 and a second judicial officer position was vacant from March 2017 to January 2020. These two vacancies represent a period of over six years with an 11% decrease in the judicial workforce, including nearly three years with a 22% decrease. To help address its workload, 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 staff of the Court of Appeals is divided into the following six components: (1) Clerk’s Office; (2) Public Office and Case Management Division; (3) Office 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 four major activities: case processing; bar admissions and unauthorized practice of law matters; mediation of cases; and court administration.

- Clerk’s Office - The Clerk’s Office, which includes the Clerk and the Chief Deputy Clerk, handles general administration; coordinates the processing of appeals after briefing (calendar, case screening, and processing motions and orders in calendared matters); coordinates the issuance of opinions and mandates; processes 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 5 FTEs.
- 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 18 FTEs.

- Office of the Committees on Admissions and the Unauthorized Practice of Law - The staff of the Committee on Admissions and the Committee on Unauthorized Practice of Law works to ensure that local legal needs are met by properly qualified and licensed attorneys. The office administers Bar admissions: (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 allegedly practicing law. This office currently has 7 FTEs.
- Appellate Mediation Office - The court's mediation program is an informal, confidential process in which the parties work with an impartial mediator to reach a negotiated resolution of their case. The court selects, trains, and oversees a roster of experienced mediators who provide their services without charge. The court also maintains and trains a roster of apprentice mediators who have expressed interest in volunteering with the program, but lack the requisite experience. The court also provides mediation and negotiation training to the D.C. legal community generally through experienced alternative dispute resolution practitioners who volunteer to provide training sessions that are open to the public free of charge and are also available via live stream and video. This office currently has 2 FTEs.
- Legal Division - Attorneys serve as counsel to judges and staff throughout the appeals process. They provide research memos and accompanying draft orders on substantive motions filed in appellate cases, including dispositive motions and emergency matters (such as motions to stay the actions of the trial court or District agencies) and matters brought under the court's original and discretionary jurisdictions. They also review new cases to ensure that the Court of Appeals has jurisdiction over the matter, handle attorney discipline matters, support judicial committees, and prepare appellate manuals. 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 Court of Appeals will work with the legal community to increase *pro bono* representation.

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. The Court of Appeals will update and expand information on our website for self-represented parties.

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: The Court of Appeals will review and revise, as appropriate, time standards for 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 are 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 Court of Appeals will continue to expand the appellate mediation program.

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 Court of Appeals 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 programs regarding the legal process, in general, and appellate procedure, in particular.

Strategic Goal 4: Resilient and Responsive Technology

Management Action Plan: The Court of Appeals will 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 our mission.

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

Management Action Plan: To promote operational effectiveness, the Court of Appeals 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 Court of Appeals requires a team of knowledgeable professionals with a common mission and shared resources, collaborating to achieve results that best serve the public.

Management Action Plan: The Court of Appeals will continue to measure and monitor our performance and use the results to improve operations. To ensure the high quality of court records and data, the Court of Appeals will review and update data quality management practices as part of the courtwide initiative.

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
2018	1,438	1,514	102%	1,298	5,030

*Ratio of cases disposed to cases added (filed and reinstated) 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	Applications for Admission by Examination	Applications for Admission by Motion or Uniform Bar Examination Transfer	Total Applications
2015	647	2,915	3,562
2016	1,132	3,610	4,742
2017	1,806	3,362	5,168
2018	2,840	3,011	5,851

Table 3
COURT OF APPEALS

Key Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	Estimate FY 2019	Projection FY 2020
Input	Number appeals filed	Court data	1,356	1,425	1,438	1,424	1,414
Output/Activity	Number of cases disposed	Court data	1,564	1,447	1,514	1,480	1,450
Productivity/Efficiency	Clearance Rate	Court data	115%	102%	102%	99%	97%
Output/Activity	Number of Formal Opinions	Court data	188	169	127	120	115
Outcome	Days for panels of judges to decide cases	Court data	122	169	182	190	200
Outcome	Days for briefed cases to get before a panel of judges	Court Data	149	172	188	195	205

Case Processing, and Operational Efficiency, and Public Access Initiatives

The Court of Appeals seeks innovative approaches to ensure that appellate cases in the District of Columbia are open to the public and resolved in a timely manner, given our high caseload, single-tier structure, and long-term judicial vacancies. New initiatives and ongoing practices include the following:

- The Court is working to expand the Appellate Mediation Program, which provides parties an opportunity to resolve their cases in an efficient manner, saving time and money for the parties and judicial resources for the court. The court’s mediation program is an informal, confidential process in which the parties work with a volunteer mediator, trained and selected by the court. In FY 2019, the Court expanded the program so that parties without lawyers can participate; with the support of the D.C. Bar, a trained *pro bono* attorney represents them for the duration of the mediation.
- The court has continued to informally encourage parties to resolve their case earlier in the process and in a less costly manner by filing motions for summary affirmance. These motions rely more heavily on staff resources for the court to issue a decision, reducing the judicial workload.
- E-filing continues to reduce paper processes and enhance efficiency. Attorneys are required to e-file and self-represented parties may do so.
- The court’s case management system, C-Track, continues to enhance case management by capturing, tracking, and reporting case information using a standard web browser, automatically calendaring cases, setting scheduled actions, assigning tasks, updating case status, and generating documents.
- The public continues to have online access to case docket information, to live audio-streams of oral arguments, and live video-streams of oral arguments with high public interest.

FY 2021 Request

In FY 2021, the D.C. Courts request for the Court of Appeals is \$15,289,000, an increase of \$607,000 (4%) above the FY 2020 Enacted Budget. The requested increase includes \$77,000 for one FTE to provide administrative support to the Clerk's Office; and \$530,000 for built-in cost increases.

Supporting Court Operations, 1 FTE, \$77,000 ***Administrative Assistant (JS-9/10)***

Problem Statement. To fulfill its mission of providing executive leadership to the Court of Appeals and performing several operational assignments, the Office of the Clerk of the Court requires administrative support. The Clerk of the Court serves multiple roles in the District of Columbia Courts: as part of the Executive Team, he is a courtwide leader; he has oversight of the administrative staff of the Court of Appeals; he advises and supports the Chief Judge of the Court of Appeals; he personally signs many of the orders issued by the Court of Appeals; and he manages the operational functions of the Clerk's Office. The professional staff of the Clerk's Office perform numerous tasks critical to the functioning of the court as it serves the public. Special Assistants process several types of actions, including parties' requests for the whole court to re-hear a case previously decided by a panel of three judges, cases involving a licensed attorney alleged to have committed misconduct and recommended for discipline by the court, and various other petitions and motions filed by the public. They issue the court's opinions and judgments as well as draft and issue court orders. They support the Court's Rules Committee. The Calendar Clerk works with the Chief Judge's chambers to set and promulgate the court's schedule and manages motions and orders related to cases on the calendar. In addition, this small staff must respond to telephone calls from the public, schedule appointments, and provide other administrative support to the Clerk and Chief Deputy Clerk. An Administrative Assistant is critically needed to support the Clerk of the Court in his myriad duties and free the staff to focus their time and attention on their operational responsibilities.

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 providing administrative support to free staff to perform operational functions more expeditiously.

Relationship to Court of Appeals MAP Objectives. The position supports the Court of Appeals' Management Action Plan of enhancing and expediting the processing of appeals.

Relationship to Existing Funding. The office is currently staffed with the 5 FTEs outlined above, and requires additional funding to support the requested 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 enhanced service to internal and external customers and more timely processing of matters under the responsibility of the Clerk's Office.

Table 4
COURT OF APPEALS
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Cost
Administrative Assistant	JS-9	1	62,000	15,000	77,000

Table 5
COURT OF APPEALS
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	10,059,000	10,129,000	10,441,000	312,000
12 - Personnel Benefits	2,402,000	2,420,000	2,500,000	80,000
<i>Subtotal Personnel Services</i>	<i>12,461,000</i>	<i>12,549,000</i>	<i>12,941,000</i>	<i>392,000</i>
21 - Travel, Transp. of Persons	60,000	60,000	66,000	6,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	99,000	99,000	109,000	10,000
24 - Printing & Reproduction	83,000	83,000	91,000	8,000
25 - Other Services	1,185,000	1,185,000	1,305,000	120,000
26 - Supplies & Materials	89,000	89,000	98,000	9,000
31 - Equipment	617,000	617,000	679,000	62,000
<i>Subtotal Non-Personnel Services</i>	<i>2,133,000</i>	<i>2,133,000</i>	<i>2,348,000</i>	<i>215,000</i>
TOTAL	14,594,000	14,682,000	15,289,000	607,000
FTE	97	99	100	1

Table 6
COURT OF APPEALS
Detail Difference, FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY2020/FY2021
11 – Personnel Compensation	Current Position WIG	99	47,000	
	Current Position COLA	99	203,000	
	Administrative Assistant	1	62,000	
<i>Subtotal 11</i>				<i>312,000</i>
12 – Personnel Benefits	Current Position WIG	99	12,000	
	Current Position COLA	99	53,000	
	Administrative Assistant	1	15,000	
<i>Subtotal 12</i>				<i>80,000</i>
Subtotal Personnel Services				392,000
21 – Travel, Transp. Of Persons	Built-in Increases			6,000
22 – Transportation of Things				
23 – Rent, Commun. & Utilities	Built-in Increases			10,000
24 – Printing & Reproduction	Built-in Increases			8,000
25 – Other Service	Built-in Increases			120,000
26 – Supplies & Materials	Built-in Increases			9,000
31 – Equipment	Built-in Increases			62,000
Subtotal Non-Personnel Services				215,000
Total				607,000

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

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-6	1	2	2
JS-7	1	1	1
JS-8	3	3	3
JS-9	9	9	10
JS-10	6	6	9
JS-11	43	42	42
JS-12	9	11	9
JS-13	8	6	5
JS-14	3	5	5
JS-15	3	3	3
CES	2	2	2
Associate Judge	8	8	8
Chief Judge	1	1	1
Total Salaries	10,059,000	10,129,000	10,441,000
Total FTEs	97	99	100

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA Overview

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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>
907	124,400,000	921	125,638,000	936	131,919,000	15	6,281,000

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 2018, more than 89,000 new cases were filed with the Superior Court, with 57% of the caseload representing civil matters. The remainder of the new filings was 19% criminal, 11% family, 8% 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>
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
2018	89,055	36,819	128,499

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

Table 2
District of Columbia Superior Court Efficiency Measures (Fiscal Year 2018 data)

	Cases Disposed	Cases Added	Clearance Rate*	Cases Pending		
				1-Oct	30-Sep	Change
Civil	50,696	51,778	98%	13,780	14,862	7.9%
Criminal**	26,071	24,177	108%	8,281	6,444	-22.2%
Domestic Violence***	7,718	7,609	101%	910	801	-12.0%
Family****	10,310	10,520	98%	3,125	3,335	6.7%
Probate	3,188	3,337	96%	8,460	8,609	1.8%
Tax*****	1,078	776	139%	2,263	1,961	-13.3%
Total	99,061	98,197	101%	36,819	36,012	-2.2%

*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.

**Includes all outgoing case activity.

***Only intrafamily and misdemeanor cases are reported.

****Beginning pending figures adjusted.

FY 2021 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 2021 budget request enhances two of the five strategic goals and includes performance projections for all core functions.

Goal 1: Access to Justice for All--\$1,387,000, 9 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 \$448,000 for 2 FTEs to serve as Magistrate Judges to help the court resolve litigants' cases in a timely manner; \$340,000 for 4 FTEs to address the increased mediation caseload in family cases; \$266,000 for 2 FTEs to expedite negotiated Domestic Violence cases and improve data integrity; \$200,000 for a new lease to move and expand the Domestic Violence Satellite Intake Center; and \$133,000 for 1 FTE to assist self-represented litigants in the Probate Self-Help Center.

Goal 2: Fair and Timely Case Resolution--\$506,000, 6 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 \$205,000 for 2 FTEs to expedite the review of filings by fiduciaries appointed by the court; \$189,000 for 3 FTEs to staff courtrooms; and \$112,000 for 1 FTE to expedite review of complex financial records related to court cases.

Built-In Increases--\$4,388,000

The request also includes \$4,388,000 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 (10.6% in 2018 versus 14.7%, respectively).

Table 3
SUPERIOR COURT
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 – Compensation	84,817,000	85,811,000	90,216,000	4,405,000
12 – Benefits	19,595,000	19,839,000	20,888,000	1,049,000
<i>Subtotal Personal Services</i>	<i>104,412,000</i>	<i>105,650,000</i>	<i>111,104,000</i>	<i>5,454,000</i>
21 - Travel, Transp. of Persons	398,000	398,000	410,000	12,000
22 - Transportation of Things	14,000	14,000	14,000	
23 - Rent, Commun. & Utilities	4,238,000	4,238,000	4,571,000	333,000
24 - Printing & Reproduction	582,000	582,000	600,000	18,000
25 - Other Services	12,919,000	12,919,000	13,325,000	406,000
26 - Supplies & Materials	944,000	944,000	974,000	30,000
31 – Equipment	893,000	893,000	921,000	28,000
<i>Subtotal Nonpersonal Services</i>	<i>19,988,000</i>	<i>19,988,000</i>	<i>20,815,000</i>	<i>827,000</i>
TOTAL	124,400,000	125,638,000	131,919,000	6,281,000
FTE	907	921	936	15

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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>
245	33,300,000	243	33,300,000	245	34,845,000	2	1,545,000

Organizational Background

The Superior Court of the District of Columbia is the court of general jurisdiction over virtually all local legal matters. The Court is comprised of ten divisions and offices, which provide for all local litigation functions including criminal, civil, family, probate and tax. In FY 2018, Superior Court judges handled more than 89,000 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 2021 Request

In FY 2021, the Courts' request for Judges and Chambers Staff is \$34,845,000, an increase of \$1,545,000 (5%) above the FY 2020 Enacted Budget. The requested increase includes \$448,000 for 2 FTEs to serve as Magistrate Judges to help the court resolve litigants' cases in a timely manner and \$1,097,000 for built-in cost increases.

Magistrate Judges (JS-15), 2 FTEs, \$448,000

Problem Statement. To carry out its function of administering justice for the community the Superior Court has a critical need for additional magistrate judges. Businesses and individuals in the District rely on the court to resolve disputes, uphold the law, and protect their rights. Magistrate Judges are needed to serve the increasing number of incapacitated elderly persons and decedents estates in the Probate Division and the high volume of litigants in the Landlord Tenant and Small Claims Branches, and to manage requests for warrants in the Criminal Division in an effort to meet the fairness and timeliness expectations of court participants.

Specifically, Magistrate Judges are or will cover four operational areas to address these needs:

1. In the Probate Division, increase from two days to five the number of days Magistrate Judges are assigned to hear summary matters including, for example, motions for extra time, transmittals of the Register of Wills, capacity assessments, fee petitions, and small estate proceedings. The Probate Division handled 12,494 summary proceedings in FY 2018.
2. In the Landlord Tenant Branch, resolve matters such as approving consent orders. In FY 2018, more than 32,000 landlord tenant cases were disposed, including 3,000 consent orders.
3. In the Civil Division, hear emergency matters such as Temporary Protection Orders and Preliminary Injunctions. In FY 2018, the court held 1,675 hearings on these matters.
4. In the Criminal Division, review bench warrants and, in the future, process arrest and search warrants. In FY 2018, the court processed 9,388 bench warrants. It handled 6,817 arrest and search warrants in FY 2018, an increase of 5% over FY 2017, and the number is projected to increase by 6% in FY 2019.

The Court has requested enactment of an amendment to Title 11 of the District of Columbia Official Code, to expand the authority of Magistrate Judges to handle a broader range of hearing types in the Probate, Civil, Criminal, and Family Court Operations Divisions which will further increase their caseload.

Even without the addition of these new duties, the increased workload of Magistrate Judges has increased the time for resolving cases. The court projects a 20% increase in the time to dispose of cases from FY 2018 (414 days) to FY 2019 (521 days). The time to schedule initial hearings before a magistrate judge has increased as well, from an average of 29 days in FY 2018 to 38 days year to date in fiscal 2019. In addition, the time required to schedule an initial matter before a Magistrate Judge is projected to increase, given the increased duties from work process redesigns and pending legislation. The lack of judicial resources also impacts the timely resolution of motions filed by court participants. The total number of outstanding motions for

Magistrate Judges has increased by 12% from 2,285 in FY 2018 to 2,564 year to date in fiscal 2019. The clearance rate of motions has correspondingly decreased from 84% in FY 2018 to 67% year to date in FY 2019.

Relationship to Court Mission, Vision, and Strategic Goals. Magistrate Judges are vital to the accomplishment of Goal 1-Access to Justice, particularly to reduce wait times, and Goal II - Fair and Timely Case Resolution, to increase timeliness, trial date certainty, and procedural fairness.

Relationship to Existing Funding. Existing funding is not sufficient to fund these positions. The existing judicial support staff will support these new positions.

Methodology. The positions are JS-15 based on the Courts’ classification policies for comparable staff positions.

Expenditure Plan. The Magistrate Judges will be recruited and hired according to D.C. Courts’ Personnel Policies.

Performance Indicators. Success of the positions will be measured through key performance indicators, including time to disposition for cases and motions resolution and court participant satisfaction.

Table 1
JUDGES AND CHAMBERS STAFF
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Cost
Magistrate Judge	JS-15	2	\$360,000	\$88,000	\$448,000

Table 2
JUDGES AND CHAMBERS STAFF
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	28,720,000	28,720,000	30,023,000	1,303,000
12 - Personnel Benefits	4,365,000	4,365,000	4,600,000	235,000
Subtotal Personnel Services	33,085,000	33,085,000	34,623,000	1,538,000
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	131,000	4,000
31 – Equipment	59,000	59,000	61,000	2,000
Subtotal Non-Personnel Services	215,000	215,000	222,000	7,000
TOTAL	33,300,000	33,300,000	34,845,000	1,545,000
FTE	245	243	245	2

Table 3
JUDGES AND CHAMBERS STAFF
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Position WIG	243	40,000	
	Current Position COLA	243	903,000	
	Magistrate Judges	2	360,000	
<i>Subtotal 11</i>				<i>1,303,000</i>
12 - Personnel Benefits	Current Position WIG	243	10,000	
	Current Position COLA	243	137,000	
	Magistrate Judges	2	88,000	
<i>Subtotal 12</i>				<i>235,000</i>
Subtotal Personnel Services				1,538,000
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			4,000
31 - Equipment	Built-in Increase			2,000
Subtotal Non-Personnel Services				7,000
Total				1,545,000

Table 4
JUDGES AND CHAMBERS STAFF
Detail of Full-Time Equivalent Employment

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	113	113	113
JS-11	43	41	41
JS-12	1	1	1
JS-13			
JS-14	2	2	2
JS-15 (Mag. Judge)	24	24	26
JS-22 (Assoc. Judge)	61	61	61
JS-21 (Chief Judge)	1	1	1
Total Salary	28,720,000	28,720,000	30,023,000
Total FTEs	245	243	245

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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	1,373,000	14	1,373,000	15	1,532,000	1	159,000

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 FY 2018, 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.

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.

The Auditor-Master determines the value of assets involved in court cases (e.g. a decedent’s assets in a probate case), applying expertise in this area and saving the judicial resources that would otherwise be necessary to make these determinations. The Auditor-Master, a position specifically authorized by statute, 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 controversies between parties; and issues proposed findings of fact and conclusions of law. 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 twelve FTEs total. Five FTEs are assigned to the functions performed in the Office of the Clerk of the Court: the Clerk of Court, two Senior Operations Managers and two administrative support staff. Seven FTEs are assigned to the functions performed by the Auditor-Master: the Auditor-Master, Assistant Auditor Master, three Attorney Advisors, an Accountant, and an Administrative Assistant.

Auditor-Master Workload Data

While the caseload has generally fluctuated from year to year, a 31% increase is projected for the number of cases referred to the Office, from 74 in FY 2018 to 107 in FY 2019. The Office experienced a 7% increase in clearance rate in FY 2018 however a decrease of 33% is expected in FY 2019 as a result of the caseload increase. This significant increase in workload is due to the increased caseload in the Probate Division, from which most cases are referred. More specifically, the change from FY 2018 to FY 2019 is the result of the need to investigate 20 cases of a single fiduciary. Although such large increases are not projected in future years, the caseload is projected to continue to increase incrementally.

Table 1
**AUDITOR MASTER
 Caseload Overview**

Fiscal Year	Case Activity			Cases Pending		
	Reports (Dispositions)	Cases Referred	Clearance Rate	Oct 1	Sep 30	Change
2017	81	71	114%	71	61	-14%
2018	78	74	105%	61	57	-7%

Key Performance Indicators

Table 2
AUDITOR-MASTER
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2018		FY 2019		FY 2020		FY 2021	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Input	Cases Referred	Management Reports	80	74	80	107 ²	90	90	100	100
Output	Cases completed within 6 months		65%	60%	65%	50%	65%	50%	65%	65%
Output	Cumulative Cases completed within 9 months		80%	39%	80%	50%	80%	50%	80%	50%
Output	Cumulative Cases completed within 12 months		85%	31%	85%	40%	85%	40%	85%	40%
Efficiency	Clearance Rate (Reduction of pending cases)		100%	105%	80%	70%	80%	70%	80%	70%
Efficiency	Decrease customer wait time		30 min	30 min	30 min	30 min	30 min	30 min	30 min	30 min
Input	Customers rating service good to outstanding			75%	75%	75%	75%	75%	75%	75%

FY 2021 Request

For FY 2021, the D.C. Courts' request for the Office of the Clerk of the Court is \$1,532,000, an increase of \$159,000 (12%) above the FY 2020 Enacted Budget. The requested increase consists of \$112,000 for 1 FTE Accountant and \$47,000 for built-in cost increases.

Expediting Financial Review, 1 FTE, \$122,000 Accountant (JS-12)

Introduction. The Office of the Auditor-Master utilizes expertise in accounting functions to analyze complex cases referred by the Court from the Civil, Family and Probate Divisions, but, with an increased caseload, the Office is unable to conduct this work in a timely manner. Each of these divisions has Time to Disposition Standards to ensure that cases are resolved promptly. These standards range from 6 months for less complex cases to 37 months for the most complicated. The work of the Auditor-Master, which typically resolves only part of a case, is not the first step in a case, and takes place after a case has already been pending for some time. The Office of the Auditor-Master must complete these matters more quickly than is currently possible in order for the court to meet the Time to Disposition Standards. An additional accountant is needed to improve case processing time and minimize delay for court participants.

Problem Statement. The Office currently operates with an Auditor Master, Assistant Auditor Master, three Attorney Advisors, an Accountant, and an Administrative Assistant. Many orders of reference received from judicial officers involve issues that require a great deal of time from staff with effective accounting skills. The accountings involve millions of dollars, and thousands of transactions to be investigated and scrutinized. Each case requires a detailed review of

² Reflects a one-time referral of 20 cases for a single attorney-fiduciary.

transactions that have occurred over an average of three years involving as many as 17 boxes of financial information. The office has also reviewed cases that have covered up to 40 years of transactions. The complex and voluminous sources of data for inspection, verification and analysis come from multiple sources of financial documentation including bank and investment statements, credit card statements, spreadsheets, land records, rental records, utility bills, and boxes or bags of receipts from miscellaneous sources. Many of the investigated cases require the one existing Accountant to work exclusively on one case at a time for lengthy periods to examine financial documents, scrutinize individual transactions from source documentation and state accounts. Examples of the complexity and time-consuming nature of these cases include a current case that involves six years of banking transactions for 17 separate bank accounts; a case that involves eight adult heirs demanding an accounting for ten properties that were sold, encumbered, or rented, which requires the investigation of land records, rental records, and property expenses to recreate what happened with these properties, and account for the rents, encumbrances, and related expenditures over the past 13 years; and a case in which the draft account consisted of 45 pages of transactions where a fiduciary misappropriated significant monies held in conservatorship, including volumes of credit card transactions, opening and closing multiple accounts, and repetitive transfers of funds to prevent detection.

An Accountant must actively participate in the hearings for the cases in which they have prepared the accounting. Having only one accountant creates a delay in cases being heard and hence a backlog of cases. With two hearing officers capable of hearing cases with the assistance of three Attorney Advisors, cases are double-tracked and often heard simultaneously or concurrently throughout the day in separate hearing rooms. Similar to the need to have two Attorney Advisors (one to assist each hearing officer) there is a need to have an accountant to assist each hearing officer with the financial aspects of the cases. Given the nature of the work performed in this office and the projection of increased referrals, an additional Accountant position is crucial to perform the functions necessary to handle the Court's caseload in a timely manner.

Relationship to Court Vision, Mission and Strategic Goals. This additional FTE Accountant position is needed to reach the Courts' Strategic goal of fair and timely case resolution by minimizing wait times and delays for court participants, resolving disputes and legal matters in a timely manner by improving the management of calendars and case scheduling, enabling evidentiary hearings to start on their first scheduled day, and reducing the need to delay a matter because an accurate and comprehensive account has not been prepared.

Relationship to Divisional Objectives. The new position will support the Office's objectives to manage and resolve cases in a timely and efficient manner and meet case processing performance standards.

Relationship to Existing Funding. The existing funding cannot support the requested position.

Methodology. The grade level and classification of this position is determined by Court personnel policies and position classification standards.

Expenditure Plan. A new FTE will be recruited, hired and compensated according to the Courts' personnel policies.

Performance Indicators. The requested FTE will decrease the wait time for participants, improve customer satisfaction ratings, and the time to disposition performance measure for cases referred to the Office of the Auditor Master. With the additional staff, the Office expects to meet its goal of completing 100% of its cases within 12 months by 2022.

Table 3
CLERK OF THE COURT
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Cost
Accountant	JS-12	1	\$90,000	\$22,000	\$112,000

Table 4
CLERK OF THE COURT
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	1,034,000	1,034,000	1,159,000	125,000
12 - Personnel Benefits	290,000	290,000	322,000	32,000
Subtotal Personnel Services	1,324,000	1,324,000	1,481,000	157,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	3,000	3,000	3,000	
25 - Other Services	7,000	7,000	7,000	
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	51,000	2,000
TOTAL	1,373,000	1,373,000	1,532,000	159,000
FTE	12	14	15	1

Table 5
CLERK OF THE COURT
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Position WIG	14	2,000	
	Current Position COLA	14	33,000	
	Accountant	1	90,000	
<i>Subtotal 11</i>				<i>125,000</i>
12 - Personnel Benefits	Current Position WIG	14	1,000	
	Current Position COLA	14	9,000	
	Accountant	1	22,000	
<i>Subtotal 12</i>				<i>32,000</i>
<i>Subtotal Personnel Services</i>				<i>157,000</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 Increase			1,000
31 - Equipment	Built-in Increase			1,000
<i>Subtotal Non-Personnel Services</i>				<i>2,000</i>
Total				159,000

Table 6
CLERK OF THE COURT
Detail of Full-Time Equivalent Employment

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-6			
JS-7			
JS-8			
JS-9	1	1	1
JS-10	1	3	3
JS-11	2	2	2
JS-12			1
JS-13	2	2	2
JS-14	4	4	4
JS-15	1	1	1
CES	1	1	1
Total Salary	1,034,000	1,034,000	1,159,000
Total FTEs	12	14	15

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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>
101	8,663,000	101	8,663,000	104	9,168,000	3	505,000

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, four branches, and one unit, with 97 full time equivalent employees (FTEs). The Division processed 50,651 civil cases in FY 2018.

Organizational Background

The Division is comprised of a Director’s Office, which has 12 FTEs, and the following branches and newly created operational unit:

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 2018, there were more than 8,800 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 20 FTEs.

2. The **Courtroom Support Branch** manages and assigns courtroom clerks who are responsible for effective courtroom management, processing cases, and assisting judicial officers and courtroom participants for 21 civil calendar assignments. This branch has 28 FTEs.

3. The **Landlord Tenant Branch** processes all actions for the possession of real property and violation of lease agreements filed by landlords including writs for the eviction process. The branch handled a caseload in excess of 31,500 filings in fiscal year 2018. This branch has 23 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 2018, there were over 10,200 small claims cases filed. This branch has 14 FTEs.
5. The **Quality Management Unit**, formed in July 2018, is responsible for monitoring caseload activity and performance measures across all operational branches; ensuring the quality of data and implementing measures to minimize case activity errors; validating Business Intelligence (BI) report requirements and data; and conducting case management system training for judicial and non-judicial staff. This unit's three FTEs are included in the count for the Director's Office.

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:

- Improve the management of courtroom calendars, resources, and case scheduling to maximize efficiency of courtroom operations.
- Minimize wait times and delays for all court participants.
- Promote a values-based culture focused on high ethical standards to ensure a professional and engaged workforce.
- Enhance efficient and timely case resolution and customer satisfaction by expanding electronic filing to all civil cases and ensuring real-time processing of all electronic filings.
- Enhance internal and external customer service by training court personnel on the unique needs of the elderly, self-represented persons, and individuals with physical and mental health issues with an emphasis on the impact of customer service on perceptions of procedural fairness.

Key Strategic Accomplishments

In December 2017, to eliminate barriers and expand access to onsite legal services, the DC Bar Pro Bono Resource Centers (Consumer Law, Small Claims and Landlord and Tenant), DC Law Students in Court program, Legal Aid Society of DC, Bread for the City, and AARP Legal Counsel for the Elderly co-located their programs on the second floor in Building B.

On an ongoing basis, the Courts assess available resources and community needs, reassigning judicial officers as needed to provide the best possible service to the community. In January, the court implemented a Wednesday small claims trial calendar to improve performance and expedite trial scheduling. In February, the court assigned magistrate judges to the landlord tenant courtroom to improve consistency and help increase the clearance rate.

In June 2018, electronic lobby check-in (eLobby) was implemented in all division clerk's offices. eLobby tracks customer wait time from the point of arrival to the point of departure from the respective clerk's offices. eLobby has also been instrumental in improving the

customer experience by ensuring that upon arrival every visitor is greeted immediately, their needs quickly ascertained, and appropriate service initiated.

In August 2018, E-filing was implemented for Landlord Tenant and Small Claims and Conciliation cases to enhance efficient and timely case resolution for both bulk and individual case filings. The Courts rolled out a new batch filing capability to accommodate filers who need to submit multiple matters at one time, common in Landlord Tenant and Small Claims. A 60-day voluntary e-filing period gave filers as well as court staff an opportunity to test the system and refine business processes.

In August 2018, the division began posting advanced calendars for mortgage foreclosure and small claims debt collection cases online to ensure advanced access to information to facilitate preparedness and case resolution.

In August 2018, the division established a quality management unit to facilitate data-driven management decisions by overseeing case flow management, caseload activity, performance measures, and data quality metrics and reports; as well as assessing and developing innovative approaches to case management.

In August 2018, the division established its courtroom support branch to provide centralized and targeted services for courtroom operations for internal and external customers.

Workload Data

As shown in Table 1, the Civil Division disposed of 50,696 cases in Fiscal Year 2018, comprising more than half of the Superior Court’s caseload, including 9,884 civil actions cases; 32,077 landlord tenant cases; and 8,735 small claims cases. The Division maintains a caseload clearance rate of 98% (with a 104% clearance rate for civil actions cases, 84% clearance rate for small claims cases and a 101% clearance rate for landlord tenant cases). The Civil Division’s current caseload and efficiency measures are reflected in Table 1, and the key performance measures are displayed in Table 2.

Table 1
CIVIL DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2018 Data)

	Case Filings	Dispositions	Clearance Rate*	Pending Cases		
				1-Oct	30-Sep	Change
Civil Actions	8,887	9,884	104%	7,395	7,024	-5.0%
Landlord & Tenant	31,560	32,077	101%	4,342	4,105	-5.5%
Small Claims	10,204	8,735	84%	2,043	3,733	82.7%
Total	50,651	50,696	98%	13,688	13,780	7.9%

*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 2018		FY 2019		FY 2020		FY 2021	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Outcome	Increased customer satisfaction through improvements to the customer experience resulting in good to outstanding customer rating.	Customer Surveys	95%	95%	95%	95%	95%	95%	95%	95%
Input	Case processing activities performed within established time standards and SOPs	BI Dashboard & CMS Reports	90%	91%	90%	92%	90%	92%	90%	92%
Outcome	Reduce average customer wait time through business process improvements	eLobby	25min	22min	20min	20min	20min	20min	20min	20min
Output	Increased employee engagement index for the division	Employee Viewpoint Surveys, Internal Surveys	70%	61%	72%	64%	74%	66%	76%	67%

FY 2021 Request

In FY 2021, the Courts’ request for the Civil Division is \$9,168,000, an increase of \$505,000 (6%) above the FY 2020 Enacted Budget. The FY 2021 request includes \$189,000 for three FTEs to staff courtrooms and assure timely entry of judicial decisions and \$316,000 for built-in cost increases.

****Staffing Courtrooms, 3 FTEs, \$189,000
Courtroom Clerk (JS-7)***

Problem Statement. Courtroom clerks in the Courtroom Support Branch are responsible for providing orderly and expeditious administration of courtroom proceedings in compliance with court rules, business processes, and standard operating procedures. Specifically, courtroom clerks are responsible for reviewing and preparing cases to be heard by the court; coordinating and directing court participants and ensuring parties are ready for proceedings; calling and identifying for the record all cases before the court; recording all proceedings and judicial decisions in the Court’s case management and recording systems; administering oaths to court participants and impaneling jurors; acting as a liaison between the judge, jurors, and other court participants; identifying, processing, and accounting for all exhibits; and providing administrative, procedural, and technical assistance to the judge.

In FY 2017, the branch was staffed with 27 courtroom clerk positions. Three of these positions were eliminated in FY 2018 due to budgetary constraints. Since January 2018, the Civil

* Request includes restoration of critical positions that were eliminated in FY 2018 due to budget constraints.

Division has operated with 24 courtroom clerks. While the number of courtroom clerks was reduced to 24, operational requirements remained the same and the caseload has increased. In FY 2018, filings in the Division increased by more than 2,000 cases over FY 2017, resulting in 3,500 additional courtroom hearings being scheduled in FY 2018 compared to FY 2017. In addition to their regular courtroom assignments, courtroom clerks are required to provide coverage on an ad hoc basis for magistrate judges and senior judges. The current team of 24 clerks provides daily courtroom support to the division's 21 calendars and 27 daily courtroom assignments, including high volume calendars in the Landlord Tenant and Small Claims Branches, in which 2 to 3 courtroom clerks are assigned. The shortage of courtroom clerks impairs the division's ability to cover all assignments in an effective and timely manner, even with judicial vacancies resulting in five unassigned calendars in the Division. The Courtroom Support Branch juggles courtroom clerk assignments on a daily basis to ensure coverage and must frequently reassign deputy clerks to cover courtrooms, negatively impacting timeliness of case processing in the clerk's office. In addition, supervisors must cover various assignments, which means they are unable to perform their management and leadership duties. Support from other divisions is not possible, as they face similar staffing challenges.

The Division has a time standard for entering 100% of courtroom events in the case management system in real-time, but, with the shortage of courtroom clerks, the Division's performance has declined from 96% in FY 2017 to 88% in FY 2018. As a result of this decreased performance, some judicial decisions are not entered in a timely manner. This is of particular concern for landlord tenant cases, the highest volume of cases in the Court. This delay not only impacts the integrity of the public record, but has also resulted in a backlog of entering events and disposing cases, which delays the eviction process.

Relationship to the Courts' Vision, Mission, and Goals. The requested courtroom clerk positions are needed to fulfill the Courts Strategic Goal II of fair and timely case resolution.

Relationship to Division MAP Objectives. This request is directly tied to the Division's ability to facilitate fair and timely case resolution through effective case management, ensuring procedural fairness to litigants, and ensuring a professional and engaged workforce.

Methodology. The grade level and classification of these positions are determined by the Courts' Personnel Policies and position classification standards.

Expenditure Plan. The Division will recruit and fill these positions in accordance with the Courts' recruitment and hiring practices.

Relationship to Existing Funding. Due to budgetary reductions, the funding for three Courtroom Clerk positions was eliminated, and is not currently available in the Courts' budget. This request requires an increase in current division personnel funding levels.

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

Table 3
CIVIL DIVISION
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Cost
Courtroom Clerk	JS-7	3	\$153,000	\$36,000	\$189,000

Table 4
CIVIL DIVISION
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 – Personnel Compensation	6,687,000	6,687,000	7,085,000	398,000
12 – Personnel Benefits	1,873,000	1,873,000	1,977,000	104,000
Subtotal Personnel Services	8,560,000	8,560,000	9,062,000	502,000
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
Subtotal Non-Personnel Services	103,000	103,000	106,000	3,000
TOTAL	8,663,000	8,663,000	9,168,000	505,000
FTE	101	101	104	3

Table 5
CIVIL DIVISION
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Positions WIG	101	35,000	
	Current Positions COLA	101	210,000	
	Courtroom Clerks	3	153,000	
Subtotal 11				398,000
12 - Personnel Benefits	Current Positions WIG	101	9,000	
	Current Positions COLA	101	59,000	
	Courtroom Clerks	3	36,000	
Subtotal 12				104,000
Subtotal Personnel Services				502,000
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
Subtotal Non-Personnel Services				3,000
TOTAL				505,000

Table 6

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

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-6	17	17	17
JS-7	5	5	8
JS-8	26	26	26
JS-9	23	23	23
JS-10	6	6	6
JS-11	7	7	7
JS-12	5	5	5
JS-13	8	8	8
JS-14	2	2	2
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salaries	6,687,000	6,687,000	7,085,000
Total FTEs	101	101	104

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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>
13	1,329,000	13	1,329,000	13	1,380,000	0	51,000

Mission Statement

The mission of the Crime Victims Compensation Program is to provide assistance to victims and their families with financial burdens in the aftermath 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: one 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.

Crime Victims Compensation Program Funding

More than \$5.8 million in payments to victims during Fiscal Year 2018 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 small 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 Management Action Plan (MAP) Objectives

The 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 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 courtwide 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.

Division Restructuring or Work Process Redesign

The Crime Victims Compensation Program has taken several innovative and collaborative approaches to improve interagency 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

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.

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 facilitate 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 approach 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.

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, providing the Claims Examiner with more time to review the claim and provide timely financial assistance to victims and their families.

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 Division. 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. 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 permits 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 program is considering the use of video conferencing to increase the availability of program staff to S.E. DVIC clientele from the main office located in Judiciary Square in Northwest.

Workload Data

Table 1
CRIME VICTIMS COMPENSATION PROGRAM
Caseload Overview

	Actual FY 2018	FY 2019 Estimated	% Change
New Cases Filed	3,067	2,900	-5%
Determinations Made	3,143	3,000	-4%
Number of Cases Pending at End of Fiscal Year	296	196	-17%

Key Performance Indicators

Table 2
CRIME VICTIMS COMPENSATION PROGRAM
Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY 2018		FY 2019		FY 2020		FY 2021	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Input	New claims filed	Case Management Software	4,000	3,067	3,500	2,900	3,500	2,800	3,000	2,800
Output	Claims processed	Case Management Software	4,150	3,143	3,600	3,000	3,600	2,850	3,200	2,850
Outcome	Amount of payments	Case Management Software	\$8.0M	\$5.9M	\$7.5M	\$5.6M	\$7.5M	\$5.5M	\$7.0M	\$5.5M
Outcome	Avg. claim processing time	Case Management Software	7 weeks	6 weeks	5 weeks	5 weeks	5 weeks	5 weeks	5 weeks	5 weeks

FY 2021 Request

For FY 2021, the D.C. Courts request for the Crime Victims Compensation Program is \$1,380,000, an increase of \$51,000 (4%) above the FY 2020 Enacted Budget. The requested increase consists of built-in cost increases.

Table 3
CRIME VICTIMS COMPENSATION PROGRAM
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	1,010,000	1,010,000	1,049,000	39,000
12 - Personnel Benefits	282,000	282,000	293,000	11,000
Subtotal Personnel Services	1,292,000	1,292,000	1,342,000	50,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	2,000	2,000	2,000	
25 - Other Services	20,000	20,000	21,000	1,000
26 - Supplies & Materials	9,000	9,000	9,000	
31 - Equipment	6,000	6,000	6,000	
Subtotal Non-Personnel Services	37,000	37,000	38,000	1,000
TOTAL	1,329,000	1,329,000	1,380,000	51,000
FTE	13	13	13	0

Table 4
CRIME VICTIMS COMPENSATION PROGRAM
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Positions WIG	13	7,000	
	Current Position COLA	13	32,000	
<i>Subtotal, 11</i>				<i>39,000</i>
12 - Personnel Benefits	Current Position WIG	13	2,000	
	Current Position COLA	13	9,000	
<i>Subtotal, 12</i>				<i>11,000</i>
<i>Subtotal Personnel Services</i>				<i>50,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in Increases			1,000
26 - Supplies & Materials				
31 - Equipment				
<i>Subtotal Non-Personnel Services</i>				<i>1,000</i>
Total				51,000

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

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-6			
JS-7			
JS-8			
JS-9	4	4	4
JS-10	2	2	2
JS-11			
JS-12	5	5	5
JS-13			
JS-14	1	1	1
JS-15			
CEMS			
CES	1	1	1
Total Salaries	1,010,000	1,010,000	1,049,000
Total FTEs	13	13	13

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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	10,935,000	0	369,000

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 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 includes the Director’s Office, four branches and nine community court misdemeanor calendars (low-level non-violent offenses).

- The Director’s Office is responsible for establishing policies for the division and for planning, managing, and coordinating all administrative, fiscal, and personnel matters for the Criminal Division. The Director’s Office has 10 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 7 FTEs.
- The Courtroom Support Branch manages the courtroom clerks assigned to work with the judges who preside over criminal calendars, including Arraignment and Presentment. The branch also secures court evidence and trains courtroom clerks from other divisions who handle criminal cases. This branch has 47 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 19 FTEs.
- The Criminal Division oversees the operations of several specialized, diversion, and community courts. These courts include the Mental Health Community Court (MHCC), Drug Court (SCDIP-Superior Court Drug Intervention Program), 1D (First District) Community Court, 2D/4D (Second District/Fourth District) Community Court, 3D (Third District) Community Court, 5D (Fifth District) Community Court, 6D (Sixth District) Community Court, 7D (Seventh District) Community Court, DC/Traffic 1 Calendar, DC/Traffic 2 Calendar, and DC/Traffic 3 Calendar. These Community Courts are novel in that they not only hold offenders accountable for their actions, but also focus on ensuring the defendant receives needed drug and mental health treatment, linkages to social services and, when appropriate, ongoing judicial monitoring. The Community Court currently has 7 FTEs

Criminal Division MAP Objectives

The Criminal Division's strategic objectives follow—

- Ensure that Criminal Division cases are resolved timely and efficiently 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, cross training, and coaching.
- Ensure the elimination of barriers to meaningful participation in the judicial process by educating the community about the Court's role at public forums and by holding defendants accountable through the increase of community service sites where they can perform court-supervised community service.
- Ensure that court personnel demonstrate professionalism, exemplify the Courts' values, and provide excellent customer service.
- Enhance employee well-being initiatives.
- Provide targeted services for elderly court users, veterans, and individuals with mental

health challenges, 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 to reduce recidivist behavior.
- Connect veterans to social and legal resources through the Veteran Navigator Program.

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, to return to MPD the responsibility for entering, updating, and clearing warrants in the Washington Area Law Enforcement System (WALES). This project will eliminate duplicate manual data entry, enables the Court to electronically deliver warrants in WALES, and ensures that police and court case management systems are aligned. Electronic transfer of one type of warrant, bench warrants, was implemented in July 2019.

The Criminal Division is also in the process of restructuring its personnel assignments to improve efficiency for service delivery to its court customers.

Workload Data

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

The caseload and efficiency table below shows that the Criminal Division disposed of over 26,071 cases in FY 2018. This includes 1,651 D.C. misdemeanors; 5,524 felony cases; 5,421 traffic cases; and 13,475 U.S. misdemeanors.

Table 1
CRIMINAL DIVISION
Caseload and Efficiency Measures (Fiscal Year 2018)

	New Filings (includes reactivated & reopened cases)	Pending Cases 30-Sep	Disposition (includes inactive status)	Clearance Rate*
D.C. Misdemeanor	1,571	259	1,651	105%
Felony	4,750	1,967	5,524	116%
Traffic	5,343	1,572	5,421	101%
U.S. Misdemeanors	12,513	2,646	13,475	108%
Total	24,177	6,444	26,071	108%

* 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 2018

Time to Disposition			
Case Type	Key Performance Indicator: Cases Resolved within--	Goal	Actual
Felony I (Murder, Sexual Assault, etc.)	12 months	75%	67%
	18 months	90%	76%
	24 months	98%	83%
Felony II	6 months	75%	75%
	9 months	90%	73%
	12 months	98%	86%
Accelerated Felony Trial Calendar (AFTC)	6 months	75%	69%
	9 months	90%	81%
	12 months	98%	91%
U.S. Misdemeanor	4 months	75%	76%
	6 months	90%	88%
	9 months	98%	96%
D.C. Misdemeanor	4 months	75%	87%
	6 months	90%	95%
	9 months	98%	98%
D.C. Traffic	3 months	75%	71%
	6 months	90%	92%
	9 months	98%	97%
Trial Certainty: Jury Trials			
Case Type	Key Performance Indicator	Goal	Actual
Felony I	Cases resolved by the second trial date	70%	66%
Felony II		70%	80%
AFTC		70%	73%
U.S. Misdemeanor		70%	67%
Traffic		70%	86%
Trial Certainty: Non-Jury Trials			
Case Type	Key Performance Indicator	Goal	Actual
Felony	Cases resolved by the second trial date	80%	86%
U.S. Misdemeanor		80%	88%
D.C. Misdemeanor		80%	88%
Traffic		80%	88%

FY 2021 Request

In FY 2021, the D.C. Courts’ request for the Criminal Division is \$10,935,000, an increase of \$369,000 (3%) above the FY 2020 Enacted Budget. The requested increase consists of built-in cost increases.

Table 3
CRIMINAL DIVISION
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11-Personnel Compensation	8,154,000	8,154,000	8,439,000	285,000
12-Personnel Benefits	2,284,000	2,284,000	2,364,000	80,000
<i>Subtotal Personnel Services</i>	<i>10,438,000</i>	<i>10,438,000</i>	<i>10,803,000</i>	<i>365,000</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	10,935,000	369,000
FTE	108	108	108	0

Table 4
CRIMINAL DIVISION
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Positions WIG	108	29,000	
	Current Position COLA	108	256,000	
<i>Subtotal 11</i>				<i>285,000</i>
12 - Personnel Benefits	Current Positions WIG	108	8,000	
	Current Positions COLA	108	72,000	
<i>Subtotal 12</i>				<i>80,000</i>
<i>Subtotal Personnel Services</i>				<i>365,000</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				
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				369,000

Table 5
CRIMINAL DIVISION
Detail of Full-Time Equivalent Employment

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-3			
JS-4			
JS-5			
JS-6	2	2	2
JS-7	2	2	2
JS-8	33	33	33
JS-9	39	39	39
JS-10	14	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	8,439,000
Total FTEs	108	108	108

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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	31	3,128,000	2	555,000

Mission Statement

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

Introduction

The Domestic Violence Division was established as a specialized problem-solving court to serve litigants in civil and criminal misdemeanor cases in which domestic violence is the underlying issue. A team of designated judicial officers, with training on the dynamics of domestic violence, adjudicates these matters. The Division handles civil protection orders, newly mandated extreme risk protection orders, criminal misdemeanors, child support, custody, visitation, property division, ancillary financial support, and reimbursement actions. The Domestic Violence Division has the following key features:

- Partnerships with key domestic violence organizations that collaborate with the court to create community-based intake centers. Each intake center serves as a “one-stop shop” for victims who are seeking relief from the court, such as protection orders, child support, visitation, custody, and/or assistance with related misdemeanor matters. In addition, victims can receive other supportive services such as safety planning, housing, and pro bono legal assistance from partner agencies. Victims are able to obtain these services at a center connected to the Clerk’s Office in the Moultrie Courthouse as well as a satellite office in the Anacostia community, in the southeast quadrant of the city. The Southeast Intake Center uses teleconferencing technology to allow judges to hear cases remotely, thereby making the justice system accessible to litigants residing in all quadrants of the city, regardless of their proximity to the courthouse.
- 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 the same family.
- A negotiation process where Attorney Negotiators are available to meet with the parties in Civil Protection Order cases to explain the court process, draft enforceable orders, and facilitate comprehensive agreements with input from both parties.
- Integrated adjudication of criminal and civil domestic violence cases in the same division so cases involving the same parties can be resolved in one judicial hearing, thereby saving time for the court, the victim(s), and other parties involved in the matters.
- Integrated adjudication of related civil matters, including paternity and child support orders, which can be issued during the same judicial proceeding as the civil protection order.

- Continued communication with agencies that provide respondents rehabilitative support and counseling services, such as domestic violence intervention, alcohol and drug abuse counseling, parenting skills classes, family violence intervention, mental health evaluations, and anger management treatment, to break the cycles leading to abusive behaviors.
- The availability of pro bono attorneys to provide legal advice to respondents in Civil Protection Order cases onsite.
- Specialized contempt of court hearings to assess whether respondents should be held in contempt for violating a court order.
- After-hours access to the judiciary to obtain protection orders outside of business hours in emergency situations.
- A technological platform that allows parties to prepare court pleadings such as petitions, motions, and answers to filings in multiple languages. The platform asks a series of questions to generate automated pleadings, making the preparation of documents more accessible for unrepresented and limited-English proficient filers.

Organizational Background

The Domestic Violence Division is comprised of 29 FTEs consisting of 6 FTEs in the Director's Office, including the two Attorney Negotiators and Branch Supervisor described below. The functions of the Division are as follows:

- The Domestic Violence Clerk's Office processes all petitions for civil protection orders and extreme risk protection orders. In addition, they process all subsequent filings related to Domestic Violence Misdemeanor matters. In FY 2018, the Domestic Violence Division Clerk's Office processed over 5,000 requests for civil protection orders and over 1,000 domestic violence misdemeanor cases. The Clerk's Office team is responsible for initiating cases, scanning all documents in the case management system, providing case and procedural information to the public, reviewing and processing documents filed electronically or in person and securely maintaining all civil cases electronically in compliance with court rules and statutes such as the Violence Against Women Act. There are 11 FTEs in the Clerk's Office Team.
- The Courtroom Support Branch processes all matters in the courtroom and provides courtroom clerk support for six judicial officers. Courtroom Clerks are cross-trained to handle civil protection order cases, domestic violence misdemeanor cases, and child support cases. All of the cases in the Division have a high volume of documents, and the Division maintains paperless records and simultaneous electronic case-management records, a workload which, coupled with the emergency-based nature of the cases, requires two clerks in most of the courtrooms. There are 9 FTEs in the Courtroom Support Branch.
- The Quality Assurance Unit reviews all of the cases that are initiated in the Domestic Violence Division and heard in the courtrooms. Due to the emergency-based nature of the cases in the Domestic Violence Division, all cases are reviewed for accuracy. There are 3 FTEs on the Quality Assurance Unit.
- The Attorney Negotiators meet with all persons in two-party cases that appear in court for Civil Protection Order hearings. In FY 2018, they negotiated nearly 3,000 cases and met with over 5,000 litigants. As a result of the negotiations, most parties are able to come to an agreement and obtain an order in the first trial setting, which ensures fair and timely case resolution. There are 2 FTE's who negotiate cases.

- The Branch Supervisor handles the operations of the Division and manages 23 employees. The role of the Branch Supervisor consists of managing the operations and case initiation processes in the Clerk’s Office, case flow management and operations of six courtrooms, and timeliness of quality review and corrections by the Quality Assurance Team. In addition, the Branch Supervisor is responsible for training all employees and maintaining and updating the Standard Operation Procedures and Business Processes for the Division.

Management Action Plan (MAP) Objectives

The Division’s main objective is to provide increased access to justice for all by ensuring that documents are in plain language and accessible in multiple languages, as well as fair and timely case resolution by well-trained, trauma-informed employees.

Other objectives for the Domestic Violence Division are to—

- Increase partnerships with community organizations including, those providing pro bono legal representation to both petitioners and respondents, to ensure all litigants have an opportunity to obtain legal representation.
- Expand online assistance by implementing an online program that allows litigants to prepare pleadings by answering a series of questions.
- Provide petitioners immediate relief through the temporary protection order process, if appropriate.
- Implement and maintain an Electronic Sign-In System in the Clerk’s Office to reduce wait times and to ensure that the Division facilitates filings and case processing expeditiously.
- Hold perpetrators accountable to complete required court services through deferred sentencing and judicial review processes that require perpetrators to appear in court throughout the treatment/counseling period.
- 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 accessible in various languages.
- 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 by ensuring the Division meets its performance standards.
- Continue to leverage technology by expanding the function of the Electronic Courtroom Check-In System to allow negotiators to upload documents directly to the courtroom.
- Enhance informed judicial decision-making by ensuring that related cases are identified 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 court access 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 domestic violence cases have access to justice through legal representation and/or legal advice.
- Implement policy changes and update procedures and forms as required by the new Domestic Violence Rules and the Extreme Risk Protection Order Act.
- Provide a video presentation to litigants in the Clerk's Office waiting room, explaining the filing process and how to prepare for initial hearings to facilitate their ability to navigate the court process pro se.

Restructuring or Work Process Redesign

Domestic Violence cases are among the most complex and volatile in the D.C. Courts. Judges and court personnel are tasked with handling cases with the complicated dynamics of abuse, including severe mental health and addiction issues, in interfamily relationships. The Division also serves victims who share the same residence or allege stalking, sexual abuse, or sexual assault. The Division specializes in addressing these challenging cases in ways that increase victim safety, perpetrator accountability, and efficient and effective case adjudication. Further, the Division links litigants to services and programs in the community to facilitate self-represented litigants' ability to navigate complex legal procedures. The Division focuses on ensuring that litigants not only have access to justice, but also have a good understanding of what the legal process entails and how to access community resources to make well-informed decisions.

In January 2018, the Division developed a video for the Clerk's Office waiting room that explains the Court process to litigants. The video walks litigants through the filing process and what they should expect during the hearing. The video plays in a continuous loop in the waiting room, which allows all visitors to see it more than once.

In January 2018, the Division instituted the Volume Surge Response technology to allow multiple judicial officers to adjudicate temporary protection order hearings from the Southeast satellite office remotely. Prior to the surge response, judges could only hear one case at a time from the satellite location since there was only one video conferencing system in the satellite office. Now, multiple judges can hear cases from the Southeast satellite office, which has significantly reduced wait times for those filers.

In July 2018, the Division worked with community partners to update the "Guides to the Court" handout for parties in civil protection order cases. The guides are distributed in a court service packet for litigants and provide an explanation of the paperwork contained in the packet and an overview of what to expect during the court process. The guides are written in plain language and in multiple languages to ensure they are accessible to litigants from diverse backgrounds.

Workload Data

In FY 2018, the Domestic Violence Division processed 7,758 new filings and reinstated cases, and disposed of 7,899 cases. Table 1 below provides caseload data for the Domestic Violence Division. Table 2 provides performance data for the Domestic Violence Division.

Table 1
DOMESTIC VIOLENCE DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2018 Data)

	Cases Added*	Cases Disposed	Clearance Rate**	Cases Pending		
				1-Oct	30-Sep	Change
Intra-family (Protection Orders)	5,983	6,021	101%	389	351	-10%
U.S. Misdemeanors	1,626	1,697	104%	521	450	-14%
Criminal Contempt Cases	93	88	95%	70	54	-16%
Paternity & Child Support	56	59	105%	21	45	72%
Total	7,758	7,899	102%	983	885	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 2018		FY 2019		FY 2020		FY 2021	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output/Activity	Hearings/events scheduled	CourtView	39,800	36,012	39,900	39,900	40,000	40,000	40,000	40,000
Quality	Cases reviewed & processed within 48 hours in Court's database	CourtView	95%	95%	95%	95%	95%	95%	95%	95%
Quality	Cases reviewed & processed within 48 hours in the national law enforcement database (WALES)	CourtView/WALES	100%	98%	100%	98%	100%	98%	100%	98%
Output	Domestic Violence dispositions	CourtView	8,200	8,222	8,200	8,200	8,200	8,200	8,200	8,200
Activity	Case initiation in the SE Satellite Office	CourtView	25%	34%	30%	30%	30%	30%	30%	30%

FY 2021 Request

In FY 2021, the D.C. Courts' request for the Domestic Violence Division is \$3,128,000, an increase of \$555,000 (22%) above the FY 2020 Enacted Budget. The requested increase consists of \$266,000 for 2 FTEs to expedite negotiated cases and improve data integrity, \$200,000 for a new lease to move and expand the Domestic Violence Satellite Intake Center, and \$89,000 for built-in cost increases.

Strengthening Domestic Violence Services, 2 FTEs, \$266,000

Attorney Negotiator (JS-13)

Program Analyst (JS-13)

Introduction. To address a surge in civil protection cases while maintaining reasonable wait times for parties and improve data collection and reporting, additional staff are needed. The Domestic Violence Division model is highly respected and replicated by other jurisdictions. On a regular basis, representatives from other courts around the country and the world visit the Domestic Violence Division to learn about the integrated court model, the intake center partnerships, and the Attorney Negotiation process. The Division takes great pride in being a trailblazer among Domestic Violence Courts, but must build upon its foundation to continue to implement best practices and serve the public.

Problem Statement. Since the Division's inception in 1997, the needs of this population have grown exponentially, and, in response, the court has added resources to the Division. However, it has not been possible to increase the number of Attorney Negotiators. In addition, as the operations have become more complex, particularly as it pertains to reporting and data tracking, there is a need for a Program Analyst to manage the Division's data collection and reporting to facilitate service enhancements.

Attorney Negotiator

One unique function of the Division is shuttle negotiation as part of the civil protection order case process that gives parties the opportunity to meet with an Attorney Negotiator and discuss the case in a neutral way. As a result of the negotiation, parties are able to obtain an order that can include protection, custody, visitation, property division, housing, and related financial relief, utilizing fewer judicial resources.

The rising number of civil protection orders necessitates an additional attorney negotiator. In FY 2017, there were nearly 6,000 civil protection order cases filed, compared to just over 3,000 in 2007, nearly double. Through lengthy and intense sessions, Attorney Negotiators meet with both parties in two-party cases to explain and develop the terms of an agreement and draft civil protection orders. Usually, negotiators are successful in helping parties enter into an agreement, thereby preventing the case from going to trial, saving resources and achieving a more timely resolution for the parties in fraught circumstances. In FY 2018, there were nearly 3,000 cases in which both parties were present, amounting to nearly 6,000 litigants. The Division has only two attorney negotiators to serve this large population. In addition to negotiating in two-party cases, negotiators also assist with motions and prepare a Default Protection Order for cases in which only the petitioner is present, drafting orders for over 100 petitioners in FY 2018. Further complicating these cases, many of the individuals who file in the Division require language access, mental health, and Americans with Disabilities Act support. The wait times for litigants to meet with a negotiator has increased from approximately one hour to three hours. Attorney Negotiators are highly trauma-informed and equipped to work with all litigants, including those who are often emotionally escalated or may be exhibiting signs of severe trauma. Meeting with litigants under those conditions requires a great deal of time and expertise. Negotiators must draft clear, comprehensive, and accurate civil protection orders to obtain buy-in

from both parties in these highly disputed situations. This is especially important given the high-stakes involved in domestic violence situations, including domestic-violence related homicides. With the increase in caseload for these complex and traumatic cases, the negotiators have exhibited signs of vicarious trauma and burn out, and sick leave usage for the existing negotiators has increased which is attributed to stress from the workload. The additional Attorney Negotiator will reduce wait times for court participants and enhance the delivery of service to all litigants.

Program Analyst

Over time, the Court has become more data-driven, which has increased the need for divisions to track performance and develop reports for internal and external stakeholders. A dedicated analyst is needed to compile data, improve data quality, and provide reports to stakeholders. For example, the Domestic Violence Intake Center Southeast operates with a Department of Justice (DOJ) grant that requires quarterly and annual reporting on activity at the center. On a monthly basis, partners submit report on their activity at the center for aggregation by the Court and inclusion in the report to DOJ. In addition, the Division collaborates with several partner agencies as part of the coordinated court model and requires significant reporting from partner agencies. For instance, in civil protection order (CPO) cases, respondents are ordered to anger management or drug abuse classes, and, in misdemeanor cases, defendants are ordered to probation as part of deferred sentencing agreements. The Court Services and Offender Supervision Agency (CSOSA) monitors the activity of the respondents/defendants and reports daily to the Division. Similarly, the Division reports to CSOSA when a respondent/defendant is ordered to supervision. The Division also reports CPO data and the newly created “extreme risk protection order” processes to the Metropolitan Police Department (MPD), as mandated by legislation. Finally, a document assembly platform was launched in late 2018 that allows filers to draft pleadings remotely, and a dedicated person is required to track usability of the platform. The Program Analyst will be dedicated to these reporting requirements and control of the Division’s data integrity.

Relationship to Courts Mission and Goals. This request supports the Court’s Strategic Goal I, Access to Justice by helping parties resolve their cases and by providing the data to enhance services in the future.

Relationship to Divisional Objectives. These requests are directly related to the Division’s main objective to provide increased access to justice for all by ensuring fair and timely case resolution by well-trained, trauma informed employees.

Relationship to Existing Funding. Currently, the funding for the Division is only sufficient for the current number of FTEs.

Methodology. The grade level and classification of these positions are determined by Courts’ Personnel Policies and position classification standards.

Expenditure Plan. The new FTEs will be recruited and hired according to the Courts’ personnel policies.

Performance Indicators. The new Attorney Negotiator position will enhance access to justice for court participants by reducing wait time and ensuring that litigants understand the court process. It will further impact the timeliness of case resolution. The Program Analyst position will strengthen the integrity of the Court’s data and accuracy of reports.

Relocating DV Satellite Office, \$200,000

Introduction. The Domestic Violence Intake Centers are one of the key features of the Domestic Violence Division. The Centers serve as a “one-stop shop” for domestic violence victims who are seeking relief from the court, such as protection orders, child support, visitation, custody, and/or assistance with related misdemeanor matters. In addition, victims can receive other supportive services such as safety planning, housing, and pro bono legal assistance from partner agencies. In an effort to enhance access to services for litigants in the community, in November 2002, the Court opened the Domestic Violence Intake Center Southeast (DVICSE) in the Anacostia community. Requests for temporary (emergency) protection orders made on the same day are heard by a judge via video conferencing. Service providers from partner agencies such as Legal Aid, DC SAFE, Bread for the City, Metropolitan Police Department, and the Wendt Center for Loss and Healing, all provide services to victims at the DVICSE.

Problem Statement. To continue to operate the Satellite Center in the face of increased space requirements, steeply increased rent, and the possible closure of the facility that houses it, funds are critically needed to lease alternative space at market rates. The center is located inside the Medical Service Building at United Medical Center. When the Center first opened, the space was appropriate for the number of staff and clients serviced at the center. However, that space is no longer adequate to serve the increasing number of victims and to house the additional staff required for the partner organizations to meet the demands for their services. Since the Center opened, the number of victims who have sought assistance there—24% of the total at both intake centers—has increased by 58% (1,442 in 2003 to 3,562 in FY 2018).

The hospital was initially selected as the location for the intake center because of its location and the reasonable rent. However, in recent years, the hospital has informed the Court of its plan to increase the rent. In addition, the city is expected to close the hospital by 2022. Relocating the center will allow partner agencies to provide more comprehensive services full-time to the community.

Relationship to Courts Mission and Goals. This request supports the Courts’ Goal I of access to justice by providing resources and court services directly in the community through collaboration with partner agencies.

Relationship to Divisional Objectives. This request supports the Division’s goal to provide petitioners immediate relief through the temporary protection order (TPO) process, if appropriate. At the Satellite Office, petitioners can request a TPO and have a hearing with a judge via video conferencing without having to travel to the courthouse. A facility in the community is critical in domestic violence situations because an abuser may assert control over the victim’s time and movement.

Relationship to Existing Funding. The existing funds, including a DOJ Grant of approximately \$30,000, are not sufficient to cover the increased market rent for relocating the center.

Methodology. The cost for the relocation is based on a market rate analysis which determined a rate of \$44/square foot, as well as the space requirements to serve the increasing number of litigants seeking services.

Expenditure Plan. The Court will enter into a lease agreement and fit out the space.

Performance Indicators. Performance indicators include an increase in customer satisfaction with the Court’s efforts to provide access to justice for all and timely case resolution for emergency matters. The new location will offer an improved and safer customer environment.

Table 3
DOMESTIC VIOLENCE DIVISION
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Cost
Attorney Negotiator	JS-13	1	107,000	26,000	133,000
Program Analyst	JS-13	1	107,000	26,000	133,000
TOTAL		2	214,000	52,000	266,000

Table 4
DOMESTIC VIOLENCE DIVISION
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 – Compensation	1,994,000	1,994,000	2,277,000	283,000
12 – Benefits	559,000	559,000	631,000	72,000
<i>Subtotal Personnel Services</i>	2,553,000	2,553,000	2,908,000	355,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities			200,000	200,000
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	11,000	11,000	11,000	
31 – Equipment	9,000	9,000	9,000	
<i>Subtotal Non-Personnel Services</i>	20,000	20,000	220,000	200,000
TOTAL	2,573,000	2,573,000	3,128,000	555,000
FTE	29	29	31	2

Table 5
DOMESTIC VIOLENCE DIVISION
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Position WIG	29	6,000	
	Current Position COLA	29	63,000	
	Attorney Negotiator	1	107,000	
	Program Analyst	1	107,000	
<i>Subtotal 11</i>				<i>283,000</i>
12 - Personnel Benefits	Current Position WIG	29	2,000	
	Current Position COLA	29	18,000	
	Attorney Negotiator	1	26,000	
	Program Analyst	1	26,000	
<i>Subtotal 12</i>				<i>72,000</i>
<i>Subtotal Personnel Services</i>				<i>355,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Relocating Satellite Office			200,000
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials				
31 - Equipment				
<i>Subtotal Non-Personnel Services</i>				<i>200,000</i>
Total				555,000

Table 6
DOMESTIC VIOLENCE DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-6	3	3	3
JS-7	1	1	1
JS-8	9	9	9
JS-9	8	8	8
JS-10	3	3	3
JS-11			
JS-12	1	1	1
JS-13	2	2	4
JS-14			
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salaries	1,994,000	1,994,000	2,277,000
Total FTEs	29	29	31

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference</u> <u>FY 2020/FY 2021</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>
157	15,332,000	159	15,456,000	159	15,986,000	0	530,000

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, thereby facilitating 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 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 filing fees. The CIC is the primary location for the dissemination of Family Court case status information to the public. This office has 17 FTEs.
2. The Counsel for Child Abuse and Neglect Branch (CCAN) 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.
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 44 FTEs.

4. The Director's Office 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 courtwide 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 11 FTEs.
5. The Domestic Relations Branch processes divorce, annulment, custody, termination of parental rights, and adoption cases. This branch has 19 FTEs.
6. The Family Treatment Court, a partnership between the Family Court and the Office of the Deputy Mayor for Children, Youth, Families, and Elders, in cooperation with key District health and human services stakeholders, is a voluntary comprehensive residential substance abuse treatment program for parents whose children are the subject of a child neglect case. This office has 2 FTEs.
7. 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.
8. 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.
9. The Legal Section consists of the Family Court attorneys, including attorney negotiators, attorney advisors, staff attorney, and the branch chiefs for CCAN and the Self-Help Center. This office has 5 FTEs.
10. 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. This branch has 8 FTEs.
11. 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 7 FTEs.
12. The Parentage and Support Branch processes paternity actions and requests to establish, modify, and enforce child support orders. This branch has 17 FTEs.
13. The Self-Help Center provides legal information and assistance to self-represented parties. This office has 4 FTEs.

The Family Court Operations Division Management Action Plan Objectives

- Promote a competent and well trained Family Court CCAN and Guardian *ad Litem* 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.
- 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 2,972 pending pre-disposition cases in the Family Court on October 1, 2017. During fiscal year 2018, there were a total of 10,333 new cases filed and 221 cases reopened in the Family Court. During the same period, 10,232 cases were disposed. As a result, there were 3,294 cases pending in the Family Court on September 30, 2018. The overall clearance rate for the Family Court in 2018 was 97% (Table 1).

Table 1
FAMILY COURT OPERATIONS DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2018 Data)

	Cases Added	Cases Disposed	Clearance Rate*	Cases Pending		
				1-Oct-17	30-Sep-18	Change
Abuse & Neglect	362	342	94%	67	87	30%
Adoption	231	236	102%	168	163	-3%
Divorce & Custody	4,513	4,457	99%	1,218	1,274	5%
Juvenile	1,410	1,357	96%	438	491	12%
Mental Health	2,100	2,102	100%	127	125	-2%
Mental Habilitation	1	1	100%	0	0	0%
Parentage & Support	1,929	1,688	88%	863	1,104	28%
Total	10,554	10,232	97%	2,972	3,294	11%
*The clearance rate, a measure of court efficiency, is the total number of cases disposed divided by the total number of cases added (i.e., new filings/reopened) during a given time period. Rates of over 100% indicate that the court disposed of more cases than were added, thereby reducing the pending caseload.						

Table 2
FAMILY COURT OPERATIONS DIVISION
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	2018		2019		2020		2021	
			Goal	Estimate	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%	98%	98%	98%	98%	98%	98%	98%
Time to Disposition	Child Support: 90% within 18 months		90%	90%	90%	90%	90%	90%	90%	90%
Time to Disposition	Neglect (Child Removed): 100% with 105 days		100%	100%	100%	100%	100%	100%	100%	100%
Time to Disposition	Neglect (Child Not Removed): 100% with 45 days		100%	100%	100%	100%	100%	100%	100%	100%
Time to Disposition	Juvenile (Released): 98% with 270 days		100%	100%	90%	90%	100%	100%	100%	100%
Persons Assisted	Number of Persons Assisted in the Self Help Center	Family Statistics	9,100	9,050	9,100	9,050	9,100	9,100	9,100	9,100

FY 2021 Request

In FY 2021, the D.C. Courts' request for the Family Court Operations Division is \$15,986,000, an increase of \$530,000 (3%) above the FY 2020 Enacted Budget. The requested increase consists of built-in cost increases.

Table 3
FAMILY COURT OPERATIONS DIVISION
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	10,795,000	10,895,000	11,272,000	377,000
12 - Personnel Benefits	3,022,000	3,046,000	3,151,000	105,000
Subtotal Personnel Services	13,817,000	13,941,000	14,423,000	482,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	88,000	88,000	91,000	3,000
25 - Other Services	1,046,000	1,046,000	1,079,000	33,000
26 - Supplies & Materials	45,000	45,000	46,000	1,000
31 - Equipment	336,000	336,000	347,000	11,000
Subtotal Non-Personnel Services	1,515,000	1,515,000	1,563,000	48,000
TOTAL	15,332,000	15,456,000	15,986,000	530,000
FTE	157	159	159	0

Table 4
FAMILY COURT OPERATIONS DIVISION
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Positions WIG	159	35,000	
	Current Positions COLA	159	342,000	
<i>Subtotal 11</i>				<i>377,000</i>
12 - Personnel Benefits	Current Positions WIG	159	9,000	
	Current Positions COLA	159	96,000	
<i>Subtotal 12</i>				<i>105,000</i>
<i>Subtotal Personnel Services</i>				<i>482,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			3,000
25 - Other Services	Built-in Increases			33,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			11,000
<i>Subtotal Non-Personnel Services</i>				<i>48,000</i>
TOTAL				530,000

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

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-5	1	1	1
JS-6	10	10	10
JS-7	10	12	12
JS-8	53	53	53
JS-9	32	32	32
JS-10	18	18	18
JS-11	8	8	8
JS-12	7	7	7
JS-13	15	15	15
JS-14	1	1	1
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salaries	10,795,000	10,895,000	11,272,000
Total FTEs	157	159	159

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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>
129	21,305,000	141	22,419,000	141	23,174,000	0	755,000

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 (e.g. truant) or Person In Need of Supervision (PINS); 2) making initial detention/release decisions when court is not in session; 3) assessing each youth’s eligibility for specialized diversion programs; 4) conducting youth and family assessments; 5) making petition recommendations to the Office of the Attorney General (OAG); 6) advising and making recommendations to the court throughout all phases of the adjudication process; 7) conducting home, school, and community assessments toward the development of comprehensive pre-trial and post-disposition probation services/supervision plans and alternatives to detention; 8) facilitating Family Group Conferences (FGC); 9) coordinating youth commitment to the DYRS; and 10) 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 6 FTEs.
- The Juvenile Information Control (JIC) Unit processes all cases through adjudication and disposition in the case management system. 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 internships and staff training. The unit has 6 FTEs.
- The Intake Services and Delinquency Prevention Branch (ISDP) is comprised of three teams, including two teams dedicated to day, evening and overnight intake services and one team 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. The Branch also leads many of the Division's collaborative efforts with other agencies in the District. Intake Teams I and II operate 24 hours a day, seven days a week. The branch consists of 26 FTEs.
- The Pre/Post Probation Supervision Branch - Region I provides a seamless set of services, comprehensive case management, and community monitoring/supervision provided by one probation officer of record throughout the life of the 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 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 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 youth across the city. UTURN also provides an alternative to commitment to the DYRS. The branch consists of 38 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 also includes a unit serving status offenders and youth with principle mental health diagnoses, who are determined eligible for diversion. The branch consists of: 1) the Northwest Satellite Office (NWSO), responsible for serving and supervising most 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 Leaders of Today in Solidarity - LOTS, the city's first female gender-specific seamless probation program (created in 2006); 4) the Status Offender and Solution Courts (SOSC) team, charged with

assessing, diverting, petitioning, case managing, and supervising youth referred for alleged habitual truancy (status offense) or as a Person in Need of Supervision (PINS) and youth served/supported by the youth solutions courts: the Juvenile Behavioral Diversion Program (JBDP), which serves youth with mental health challenges; the Truancy/PINS program; and the Here Opportunities Prepare You For Excellence (HOPE) Court, which serves victims of sex trafficking. This branch consists of 51 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 Connors and Sex Trafficking and Assessment Review (STAR) screenings for all youth; oversees the designated Therapeutic Shelter Home; and coordinates use of Residential Treatment Center placements. The Unit has 8 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 Connors and Sex Trafficking Assessment Review (STAR) screening tools are utilized on all youth during the intake phase of adjudication to assess eligibility for solutions courts.
- 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 court order by processing all referrals within seven days of the probation officer of record receiving the case.
- Coordinate and facilitate Family Group Conferences (FGC) on all youth within 15 calendar days of receiving the case to determine the appropriate level of services and community supervision necessary to achieve the objectives detailed in pre-trial and post-disposition plans for at least 97% 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 15 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 consequences 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 a decade ago, and refined annually, the Family Court Social Services Division (CSSD) continues to enhance its strength-based, proactive, and positive youth development philosophy to guide the Division's services to supervised youth. In 2019, the court completed construction of the sixth Balanced and Restorative Justice (BARJ) Drop-In Center to serve adolescent males in the Northwest area by offering educational, therapeutic, nutritional, and other social services.

Maintaining its commitment to retain a progressive workforce and 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 consistent with the Strategic Plan of the D.C. Courts, the Division continued to expand major components of its service model. The four pillars of this approach are 1.) Accountability - we are all accountable for our actions; 2.) Competency Development - 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 - 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 - societies are responsible for the safety of all individuals.

The CSSD continued to identify youth victimized by exploitation and sex trafficking for specialized solutions courts. The Division also continued to utilize its BARJ Graduated Responses Matrix (GRM) to guide youth, aid competency development, enhance successful completion of court involvement, and enable timely responses for youth. 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 2018 Data)

Case Type	New Cases	Cases Closed	Cases Pending Beginning of Year	Cases Pending End of Year
Juvenile Intake	2,517	2,517	0	0
Pre/ Post Disp. Supervision	1,272	1,372	502	433
Status Offenders	179	264	108	56
Behavioral Health Court	117	111	62	56
*HOPE Court	26	4	0	22
Child Guidance Clinic	474	376	11	7

*HOPE Court commenced operations January 1, 2018.

Table 2
FAMILY COURT SOCIAL SERVICES DIVISION
Key Performance Indicators

Performance Indicators	Data Source	FY 2018		FY 2019		FY 2020		FY 2021	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Juveniles under supervision monthly cases average of total CSSD cases	Superior Court Data	1,100	650	1,000	675	1,000	700	1,100	700
Juveniles under supervision and drug screening conducted (youth screened at lockup)	Pretrial Services Data	1,200	1,007	1,100	1,000	1,050	950	900	925
Juvenile probationers screening positive for drugs during probation	Pretrial Services Data	600	547	600	700	600	700	600	700
Juveniles successfully completing probation	CSSD Statistical Reports	88%	85%	90%	87%	90%	88%	90%	90%
Juveniles arrested for new offenses during probation	Superior Court Data	18%	21%	18%	19%	17%	17%	15%	15%
Average supervision caseload	CSSD Statistical Reports	22	13	13	11	15	15	15	15
Average intensive supervision caseload	CSSD Statistical Reports	12	13	13	13	13	13	13	13
Curfew checks -- face-to-face home contact	CSSD Statistical Reports	17,500	14,267	17,500	14,842	16,000	15,000	16,000	15,000
Curfew checks -- telephone calls	CSSD Statistical Reports	24,000	18,528	23,000	15,810	20,000	16,000	20,000	16,000
Compliance with face-to-face and telephone curfew checks	CSSD Statistical Reports	80%	60%	75%	65%	75%	70%	75%	75%

Division Outcomes and Accomplishments in FY 2018

In FY 2018, with an average daily population of 656, of whom 197 or 30% were females and 459 or 70% were males, the CSSD continued its innovative and comprehensive measures to serve and supervise court-involved youth. The Division continued to enhance successful prevention measures, including collaborative efforts with local agencies. The CSSD also ensured its Risk Assessment Instrument, Social Assessments, and Connors Baseline Behavioral Health screening tools were administered timely, resulting in 100% of all new youth cases certified for presentment prior to the initial hearing. A total of 2,517 new delinquency cases were processed, an 11% decrease from 2,816 in FY 2017.

Additionally, the CSSD successfully screened 692 truancy referrals. More than-two thirds of the truancy referrals (76%) were not petitioned in court, but returned to the referring school, based upon CSSD’s findings and consultations with the Office of the Attorney General.

The Division also continued to conduct face-to-face curfew visits (an average of 1,458 per month) with youth and families, and conducted curfew calls (an average of 2,000 per month). CSSD expanded coordination of sound case management, and facilitated a variety of social services, offering enrichment experiences to youth in the satellite offices.

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

Month/Year	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	Apr 19
Youth in Program (Daily/Monthly)	7/28	12/48	21/84	8/64	9/36	19/76	17/68
% Not suspended from school	71%	92%	92%	61%	60%	66%	100%
% Not rearrested	79%	94%	92%	100%	100%	95%	100%

Table 3 shows average outcomes achieved, by the SE BARJ Drop-In Center from October 2018 through April 2019. 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 94% were not re-arrested and 77% were not suspended from school.

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

Month/Year	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	Apr 19
Youth in Program (Daily/Monthly)	13/52	17/68	14/56	37/98	10/40	12/44	16/64
% Not suspended from school	100%	90%	88%	89%	91%	90%	100%
% Not rearrested	100%	100%	100%	100%	100%	100%	100%

Table 4 shows outcomes achieved by the NE BARJ Drop-In Center from October 2018 through April 2019. 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 100% were not re-arrested and 93% were not suspended from school.

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

Month/Year	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	Apr 19
Youth in Program (Daily/Monthly)	18/72	19/92	13/52	19/56	13/52	20/60	16/64
% Not suspended from school	92%	100%	87%	88%	83%	94%	94%
% Not rearrested	86%	94%	82%	88%	92%	95%	88%

Table 5 shows outcomes achieved by the SW BARJ Drop-In Center participants from October 2018 through April 2019. 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 89% were not re-arrested and 91% were not suspended.

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

Month/Year	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	April 19
Youth in Program (Daily/Monthly)	50/120	28/112	36/144	30/120	45/180	52/208	24/96
% Not suspended from school	88%	87%	75%	75%	70%	70%	71%
% Not rearrested	96%	96%	89%	94%	94%	93%	92%

Table 6 shows outcomes achieved by the LOTS BARJ Drop-In Center participants from October 2018 through April 2019. 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 93% were not re-arrested and 77% were not suspended from school.

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

Month/Year	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	Apr 19
Truancy PINS/JBDP/HOPE (Daily/Monthly)	11/44	10/40	12/48	10/40	7/49	8/64	8/64
% Not suspended from school	88%	87%	75%	75%	70%	70%	100%
% Not rearrested	96%	96%	89%	91%	93%	93%	100%

Table 7 shows outcomes achieved by the BARJ Drop-In Center that serves participants in the court's juvenile solutions courts from October 2018 through April 2019. The Center houses BARJ activities for both pre-trial youth and post-disposition supervision and services. Among the youth participating in this BARJ Drop-In Center, 94% were not re-arrested and 81% were not suspended from school.

Table 8
FAMILY COURT SOCIAL SERVICES DIVISION
Curfew Checks

Month/Year	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	Apr 19
Face-to-Face	2,300	835	902	1,373	1,346	1,296	850
Telephone	2,745	1,275	1,126	900	909	970	1,169

Table 8 illustrates that from October 1, 2018 through April 30, 2019, a total of 8,902 face-to-face, and 9,094 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 18	Nov 18	Dec 18	Jan 19	Feb 19	Mar 19	Apr 19
Parent Participation Orders	415	406	389	385	272	390	403
Compliance	380	367	359	346	250	359	379
% Compliance among parents	92%	90%	92%	90%	92%	92%	94%

Table 9 indicates that from October 2018 through April 2019, 92% 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 to maintain higher degrees of compliance with court-ordered conditions, enhances social skills, and promotes their development into contributing citizens.

In FY 2018, the CSSD enhanced its partnerships with local, regional and national juvenile and criminal justice, child welfare, health and behavioral health stakeholders as well as public school and public charter school professionals and agencies across the city. Through regularly convened collaborative meetings, committees, and task forces, the scope of innovative activities and programs targeting at-risk youth were increased.

The court continued its leadership role in juvenile justice and child welfare. This year, Illinois and D.C. child welfare agencies began using the tool that the Division developed to address the growing problem of child sex trafficking. The Sex Trafficking and Assessment Review (STAR) tool helps agencies identify children who are victims of sex trafficking.

CSSD continued to conduct year-round programs for youth under supervision, with special emphasis placed on school breaks and holidays to keep youth engaged and safe, and to enhance public safety. The Summer Safety Initiative, Spring Fling, and Fright Night are examples of educational, therapeutic and recreational programs established to keep youth engaged during school breaks. The Summer Safety Initiative began with a youth and family event facilitated by CSSD and concluded with a back-to-school banquet, during which youth were provided certificates of appreciation, backpacks and school supplies. More than 30% of attending youth were recognized for achieving excellence in academic and vocational areas. The CSSD also expanded access to educational, recreational, entertainment and cultural venues, which many CSSD youth and families would not have otherwise experienced. Youth toured historic monuments and facilities, including the Frederick Douglas and Harriett Tubman homes, the D.C. Council, and U.S. Congress. In coordination with the Metropolitan Police Department (MPD) and other public safety agencies, CSSD supported a safe Halloween and “resurrected” its Halloween crime prevention measure, “*Fright Night*” in which two BARJ Drop-In Centers were decorated as haunted houses. CSSD youth were treated to an evening of movies, digital games and tabletop competitions, and nutritious refreshments. Subsequently, staff were deployed to U Street and Gallery Place to support public safety measures in partnership with the MPD. Together with several community-based service providers, CSSD hosted the “*Spring Break Fling*” delinquency prevention measure, encompassing a week of educational, therapeutic, recreational and nutritional activities, and a presentation from local author and motivational speaker, Chris Wilson, who presented signed copies of his book detailing his story of redemption after receiving a life sentence.

FY 2021 Request

In FY 2021, the Courts’ request for the Family Court Social Services Division is \$23,174,000, an increase of \$755,000 (3%) above the FY 2020 Enacted Budget. The requested increase consists of built-in cost increases.

Table 10
FAMILY COURT SOCIAL SERVICES DIVISION
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	12,239,000	13,133,000	13,586,000	453,000
12 - Personnel Benefits	3,427,000	3,647,000	3,772,000	125,000
<i>Subtotal Personnel Services</i>	15,666,000	16,780,000	17,358,000	578,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	795,000	795,000	820,000	25,000
24 - Printing & Reproduction				
25 - Other Services	4,753,000	4,753,000	4,902,000	149,000
26 - Supplies & Materials	55,000	55,000	57,000	2,000
31 - Equipment	36,000	36,000	37,000	1,000
<i>Subtotal Non-Personnel Services</i>	5,639,000	5,639,000	5,816,000	177,000
TOTAL	21,305,000	22,419,000	23,174,000	755,000
FTE	129	141	141	0

Table 11
FAMILY COURT SOCIAL SERVICES DIVISION
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Position WIG	141	40,000	
	Current Position COLA	141	413,000	
<i>Subtotal 11</i>				453,000
12 - Personnel Benefits	Current Position WIG	141	10,000	
	Current Position COLA	141	115,000	
<i>Subtotal 12</i>				125,000
<i>Subtotal Personnel Services</i>				578,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increases			25,000
24 - Printing & Reproduction				
25 - Other Services	Built-in Increases			149,000
26 - Supplies & Materials	Built-in Increases			2,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				177,000
Total				755,000

Table 12
FAMILY COURT SOCIAL SERVICES DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-6	8	12	12
JS-7	2	2	2
JS-8	20	20	20
JS-9	15	17	17
JS-10	2	3	3
JS-11	3	3	3
JS-12	55	55	55
JS-13	17	22	22
JS-14	5	5	5
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	12,239,000	13,133,000	13,586,000
Total FTEs	129	141	141

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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	3,308,000	28	3,308,000	32	3,813,000	4	505,000

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 as well as cases in the Tax and Probate Divisions. This branch has 9 FTEs.

2. The Family ADR Branch includes four programs: Child Protection Mediation, Community Information and Referral, Family Mediation, and Truancy Mediation. Child Protection Mediation includes multiple stakeholders who address 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 the Program for Agreement and Cooperation in Contested Custody Disputes (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. The Truancy Mediation Program is a joint effort between the Office of the Attorney General, the District of Columbia Public Schools and the Court. 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 Division 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 from around the country and the world 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 dispute resolution (ADR) in all case types by maintaining settlement and client satisfaction rates.
- Enhance case management by utilizing time standards for processing all cases referred to ADR.
- Enhance data collection and reporting procedures to ensure the integrity of court-wide data and the quality of all mediated agreements.
- Increase understanding of and access to ADR by conducting community outreach and education, and creating high quality written materials in multiple languages and videos that better inform and prepare lawyers, clients and the public about the mediation process.
- Improve public access to Alternative Dispute Resolution by increasing services and options for participation.
- Recruit a well-trained roster of neutrals in all mediation programs by maintaining an open enrollment application process and providing basic and advanced mediation skills training, and maintaining a bi-annual renewal process to assure the quality of mediator performance.
- Enhance current and future delivery of Multi-Door services by initiating a workforce plan that includes position reengineering, cross training, and organizational and succession

planning that aligns all division goals and objectives with individual employee performance plans.

- Promote diversity by outreach efforts to minority groups.
- Promote the “Living Our Values” initiative by developing and implementing a “Values” divisional plan.
- Foster employee engagement by seeking employee input and encouraging innovation and collaboration in the development of court processes and procedures.

Division Restructuring or Work Process Design

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

Civil ADR Branch

During FY 2018, the Division’s Civil ADR Branch experienced an 8% decline from FY 2017 in the total number of cases scheduled for mediation. This is due to a similar reduction in the number of cases filed in the Civil Division. Cases are scheduled for mediation approximately 6 – 8 months after filing.

Although fewer civil cases were scheduled for mediation, the Division’s Civil ADR Branch mediated 4,315 civil cases, resolving 51% of those cases in mediation. There were 50 fewer cases mediated (1%) than in FY 2017.

It is expected that the decrease in the number of scheduled mediations will gradually end during FY 2019 and the year will conclude with a small increase in scheduled mediations of approximately one-half percent over FY 2018. (See Table 2 below). It is projected that this small increase in cases referred to mediation will continue through FY 2020.

Family ADR Branch

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

In FY 2018, CPM scheduled 279 families for mediation, representing 465 children. Of those 279 families, 190 families completed the mediation process. Parties reached an agreement on substantive issues and family services in 170 cases (89%). These settlements affected 291 children who 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, divisions of property, and other family matters.

In FY 2018, the Family Program scheduled 1,544 cases. Of those cases, 616 completed the mediation process. Parties reached an agreement on substantive issues that resolved the court case in 255 cases (41%). The program experienced a 17% increase in case settlements (217 in FY 2017 and 255 in FY 2018). The Family Program experienced a 55% increase in the number of sessions scheduled (1,727 in FY 2017 and 2,682 in FY 2018). Of the 2,682 sessions scheduled, 64% (1,712) were held. The program continues to reach 100% compliance with case processing standards.

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 contested custody cases twice a month.

During FY 2018, there were 4,451 domestic relations case filings, of which 1,556 were PAC cases. During this period, 767 parents and 188 children participated in the PAC educational seminars provided by the Multi-Door Dispute Resolution Division. There were 800 PAC cases scheduled for mediation, representing 1,600 parents. Of those cases, 616 (77%) attended mediation, representing 1,232 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 2018, DRB referrals for intake/screenings at Multi-Door increased by 11% from 2,151 in FY 2017 to 2,381 in FY 2018.

In addition, CIRP operates the Multi-Door Dispute Resolution Satellite Office at the Central American Resource Center (CARECEN) in Adams Morgan two days per month. In FY 2018, CARECEN referred 65 Spanish language cases to the division for resolution. Of that number, 21 cases were referred to another agency for assistance, 8 cases were resolved with Multi-Door assistance and 2 cases were not resolved. The remaining 34 cases were closed because one party was not willing to participate in services.

Community Partnership – Abating Truancy Through Engagement and Negotiated Dialogue (ATTEND). ATTEND is a truancy mediation program that began as a pilot in January 2018 and became a full program in January 2019. ATTEND is operated by the Multi-Door Dispute Resolution Division in conjunction with the Office of the Attorney General to help parents of children, ages 5 through 12, resolve school attendance issues before charges are filed in the Superior Court. In FY 2018, ATTEND scheduled 182 families (206 children) for mediation. Of those, 84 families (46%) participated in mediation and developed a plan between the parent and the school for 97 children (47%), 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 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 disputes. 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.

In FY 2019, NIJ granted an extension to allow additional data analysis to study how well families are doing one year after entry into the study. A final and full study analysis will be completed and submitted to NIJ in late 2019.

Program Assessment and Training Branch

In FY 2019, the Division trained 24 new mediators to serve in the Small Claims Mediation and the Landlord Tenant Mediation Programs. The Division offered a 40-hour training program that included mediation observations and 4 days of classroom training involving lecture and role-playing. The Division also trained 24 new family mediators through a similar process.

The Division conducted 22 advanced Alternative Dispute Resolution (ADR) trainings across all programs to enhance the quality of its mediator pool. The Division hosted ten groups of international judges, government officials, law professors, attorneys and students, providing ADR educational sessions and opportunities to observe civil mediations.

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 in a panel of ADR professionals at George Washington Law School for an audience concerned with cross-border mediations in international domestic relations cases. The division also participated in the annual federal *pro bono* fair as well as a *pro bono* recruitment luncheon at the Department of the Treasury in 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 library of recorded ADR trainings for mediators, adding 2 new training DVDs to its collection during this fiscal year, bringing the total collection to 50 DVDs. 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 to comply more easily with training requirements. In turn, these training sessions improve mediators' practices and enhance the services received by the parties.

The Multi-Door Division, in conjunction with the Information Technology Division, finalized the initial phase of improvements to its mediator database, which centralizes information on mediators' length of service to Multi-Door programs as well as data on performance quality and compliance with program standards. The two divisions also have continued their work in developing web-based agreement-writing applications for additional programs, focusing this

fiscal year on the Landlord Tenant Program. These projects increase consistency in mediation agreements and produce agreements using standardized language that is more readily recognized and accepted by judges, increasing overall efficiency and enforceability of agreements.

Workload Data

Table 1
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Caseload Overview

	Mediation Sessions Scheduled	Mediations Held	*Cases Settled	**Settlement Rate
FY 2018 Actual	10,335	6,335	2,526	40%
FY 2019 Estimated	10,560	4,336	2,731	60%

*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 2018 Actual	FY 2019 Estimated	Projection FY 2020	Projection FY 2021
Input	Cases Scheduled	CourtView	7,201	7,225	7,370	7,443
Output	Mediation Held	CourtView	4,315	4,306	4,392	4,436
Outcome	Case Settlement Rate	CourtView	51%	53%	54%	54%
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 2018 Actual	FY 2019 Estimated	Projection FY 2020	Projection FY 2021
Input	Mediation Sessions Scheduled	CourtView	3,134	3,335	3,525	3,775
Output	Mediation Sessions Held	CourtView	2,020	2,235	2,362	2,567
Outcome	*Case Settlement Rate	CourtView	58%	60%	61%	63%
Outcome/Quality	Participant satisfaction w/ process	SPSS database	92%	92%	93%	94%
Outcome/Quality	Participant satisfaction w/outcome	SPSS database	87%	88%	88%	89%
Outcome/Quality	Neutral performance satisfaction	SPSS database	93%	95%	96%	97%

*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 2018		FY 2019		FY 2020		FY 2021	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output	Settlement Rate	IJIS database	50%	55%	50%	58%	50%	58%	50%	58%
Outcome	Overall client satisfaction (ratings of satisfied plus highly satisfied)	SPSS database	80%	89%	80%	90%	80%	91%	80%	90%

FY 2021 Request

In FY 2021, the D.C. Courts’ request for the Multi-Door Dispute Resolution Division is \$3,813,000, an increase of \$505,000 (15%) above the FY 2020 Enacted Budget. The requested increase includes \$340,000 for 4 FTEs to address the increased caseload in family cases and \$165,000 for built-in cost increases.

Mediating Cases for Families, 4 FTEs, \$340,000
Case Managers (JS-10)

Problem Statement. The Family ADR Branch has expanded its services to provide mediation to all eligible family cases, including family cases with a history of intimate partner violence and truancy diversion cases. Between FY 2016 and FY 2018, the number of cases scheduled for the Family Mediation Program increased more than 40%⁴ and the number of family mediation sessions scheduled increased more than 45%⁵. This trend has continued in FY 2019⁶.

⁴ 1,415 cases were scheduled in FY 2016; 1,975 cases were scheduled in FY 2018.

⁵ 2,165 mediation sessions were scheduled in FY 2016; 3,134 mediation sessions were scheduled in FY 2018.

⁶ Between October 1, 2018 and April 30, 2019, 1,334 cases were scheduled for mediation and 1,949 mediation sessions were scheduled. During the same period in FY 2018, 1,054 cases were scheduled for mediation; 1,644 mediation sessions were scheduled.

Based on current initiatives and programs, we expect the number of cases referred to Multi-Door to continue to increase throughout FY 2019 and beyond due to a request from the Family Court Abuse and Neglect Judges to expedite post-trial abuse and neglect permanency cases for mediation. In addition, the Office of the Attorney General has increased the number of truancy diversion cases to be mediated. Moreover, Family Court Judges are requiring parties in contested matters to participate in mediation prior to the pre-trial hearing. Should their case settle in mediation, and there is a dispute about the interpretation or implementation of the mediated agreement, parties are also required to return to mediation before filing an action in court⁷. Current staffing levels in the Family ADR Branch are not adequate to provide continuity of services for the number of family cases (Domestic Relations, Abuse and Neglect, Truancy, Permanency, and Post Adoption Contact) referred for mediation nor to ensure timely scheduling of mediation sessions⁸. Family ADR Case Managers are needed to expedite case resolution on all matters referred to the division.

In accordance with best practices, case managers are required to contact parties within two business days of the scheduled mediation session as well as any subsequent sessions. Anecdotal data indicate that cases are more likely to settle when case managers are in contact with parties within the two-day time period. Without adequate staff, the Division struggles to ensure that time standards are met, and families receive timely access to justice.

The requested Family ADR Case Managers will help to expedite case resolution by providing a range of administrative and clerical support, including coordinating the scheduling of mediation between clients and mediators; providing important case information to mediators, litigants, and court personnel; and providing mediation information to litigants in advance of mediation sessions. In the absence of adequate staff, the Family Program Officer and the Family ADR Program Manager must handle cases and support division operations instead of executing their management functions in an attempt to meet Family Court time standards. Currently, one Program Officer conducts case assessments, scheduling, and mediator assignments for all family cases when Case Managers are unavailable. The Program Officer is also responsible for processing intake information, entering cases in the court's case management system, quality control, reviewing mediated agreements, preparing caseload reports, assessing mediator performance, conducting training, and supervising staff. This is an untenable situation; the Program Officer cannot continue to perform her job duties as well as those of the Case Manager without sacrificing the quality of the program.

Relationship to Court Mission, Vision, and Strategic Goals. The Family ADR Case Manager positions support the Courts' Strategic Goal I – Access to Justice, particularly for self-represented litigants and Goal II – Fair and Timely Case Resolution.

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

⁷ Superior Court of the District of Columbia Administrative Order 14-23: Revised Case Management Plan for the Domestic Relations Branch.

⁸ Family ADR Branch mediates three evenings a week and at least three Saturdays per month.

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

Methodology. The positions are graded at a JS-10 based on the Courts' classification policies for comparable staff positions.

Expenditure Plan. The Family ADR Case Managers will be recruited and hired according to D.C. Courts' Personnel Policies.

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

Table 5
MULTI-DOOR DISPUTE RESOLUTION DIVISION
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Costs
Case Manager	JS-10	4	272,000	68,000	340,000

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

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 – Personnel Compensation	2,169,000	2,169,000	2,558,000	389,000
12 – Personnel Benefits	606,000	606,000	706,000	100,000
Subtotal Personnel Services	2,775,000	2,775,000	3,264,000	489,000
21 – Travel, Transp. Of Persons				
22 – Transportation of Things				
23 – Rent, Commun. & Utilities				
24 – Printing & Reproduction	1,000	1,000	1,000	0
25 – Other Services	511,000	511,000	527,000	16,000
26 – Supplies & Materials	13,000	13,000	13,000	0
31 – Equipment	8,000	8,000	8,000	0
Subtotal Non-Personnel Services	533,000	533,000	549,000	16,000
TOTAL	3,308,000	3,308,000	3,813,000	505,000
FTE	28	28	32	4

Table 7
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 – Personnel Compensation	Current Positions WIG	28	49,000	
	Current Positions COLA	28	68,000	
	Family Case Managers	4	272,000	
<i>Subtotal 11</i>				<i>389,000</i>
12 – Personnel Benefits	Current Positions WIG	28	13,000	
	Current Positions COLA	28	19,000	
	Family Case Managers	4	68,000	
<i>Subtotal 12</i>				<i>100,000</i>
Subtotal Personnel Services				489,000
21 – Travel, Transp. Of Persons				
22 – Transportation of Things				
23 – Rent, Commun. & Utilities				
24 – Printing & Reproduction				
25 – Other Services	Built-in Increase			16,000
26 – Supplies & Materials				
31 – Equipment				
Subtotal Non-Personnel Services				16,000
Total				505,000

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

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-6	1	1	1
JS-7	1		
JS-8	1	2	2
JS-9	1	1	1
JS-10	10	10	14
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	2,169,000	2,169,000	2,558,000
Total FTEs	28	28	32

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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>
60	6,393,000	60	6,393,000	63	6,955,000	3	562,000

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.

The duties of the Probate Division primarily involve:

- Decedent’s estates (large and small)
- Court-appointed oversight of a minor’s estate
- Court-appointed adult guardianship and/or conservatorship

The Probate Division has ongoing and periodic responsibility in these matters throughout the lifespan of the case. For example, Probate works to—

- Ensure large and small estates are administered in accordance with the law and the wishes of the decedent;
- Determine that adult guardianships remain the least restrictive necessary and that court-appointed guardians perform their duties in accordance with the law;
- Review the financial activities of court-appointed conservators;
- Protect vulnerable persons and their property from financial exploitation; and
- Assist self-represented people gain access to the justice ensured under law.

In a recent *Portrait of D.C.’s Adults*, the D.C. Policy Center reports that the size of the older adult population has “increased in D.C., growing from 62,392 in 2005 to 79,016 in 2016, or a 27 percent increase in 11 years.” The American Community Survey shows the population of the District of Columbia increasing from 588,433 in 2009 to 672,391 in 2017 (a 14% increase over 8

years). Studies show the American family is increasingly diverse in make-up and the Pew Research Center reports that the “fluidity of the family” has increased significantly.

These factors influence both the volume and complexity of the matters handled by Probate. A large estate may take up to 3 years (or more) to administer and may involve the resolution of complex family and financial circumstances. Minor children are entitled to the protection of their assets until they reach the age of 18. These cases may also bring complex family dynamics before the Court and require periodic oversight. An adult guardianship, with the attendant semi-annual reporting, a formal mandatory periodic review and episodic problem resolution, may be in place for decades.

Of the 3,337 probate cases filed last year, 650 will require on-going formal supervision. In addition, an estimated 440 estate matters filed will require on-going formal supervision. This means that the Court has an on-going role in over 30% of all new Probate matters.

Organizational Background

The Probate Division consists of the Office of the Register of Wills, a statutory role with varied and specific obligations under the law. The Office of the Register of Wills has 5 FTEs. The Register of Wills and the Probate Division are supported by:

- Operations Branch – 23 FTEs are the primary point of contact for the public providing courtroom support, filing intake, and ensuring the integrity of the official court record.
- Legal Branch – 6 FTEs review pleadings, prepare recommendations for judges and represent the Register of Wills in hearings before the Court.
- Auditing and Appraisals Branch – 11 FTEs audit the accounts of fiduciaries in supervised estates, trusts under Court supervision, guardianship of minors’ assets cases, and review the requests for compensation filed by court-appointed guardians, conservators, and attorneys.
- Guardianship Assistance Program – 5 FTEs provide support to the public, court-appointed guardians, persons under guardianship, and care providers through seminars, informational products, and one-on-one service. The Program staff also review the bi-annual Report of Guardian mandatory filing in every adult guardianship case.
- Self-Help Center – 7 FTEs assist self-represented persons in small estate matters, large estates of moderate complexity, and adult guardianship matters. The center provides a road map to estate administration, checklists and other materials designed to enhance access to justice for people who represent themselves in Probate.
- Probate Systems Office – 2 FTEs support the core technology used by the division, maintain physical files, and oversee retrieval of off-site archival records, including the original wills filed with the Register of Wills.

Divisional Management Action Plan (MAP) Objectives

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

1. Triage efiled documents within one business day of receipt in the efilings queue.

2. Issue Letters of Administration within 1 day of processing orders of appointment or qualifying for appointment as personal representative.
3. Identify delinquent filings timely and take appropriate action within 10 days of delinquency.

Divisional Restructuring and/or Work Process Redesign

During FY 2018 the Probate Division:

1. Provided over 20 public information 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.
2. In January 2018, implemented the business processes needed to support changes to the District of Columbia guardianship law, which now requires in-depth periodic reviews of Court-appointed guardianships by licensed social workers. The statute calls for the personal service of filings upon the ward, and numerous additional court hearings depending upon the individual circumstances in the guardianship case.
3. In January 2018, implemented expanded services and information products for all guardians appointed after January 2015 who are now subject to the mandatory periodic review of guardianships under District of Columbia guardianship law.
4. In September 2018, launched the Self Help Center to assist self-represented people. The center worked to implement *The Family Tree*, a tool that helps filers understand the family members that must be party to an estate. Launching the Self-Help Center involved the development of triage scripts, information products, checklists, annotated petitions, and multi-media eLearning to help filers become ready for court. The division built an Information Portal to make these materials and common probate form templates readily available to the public.
5. In September 2018, implemented a Fixed Fee Voucher Pilot (for certain roles completed by Court-appointed Fiduciary Panel Members in specific case types). Rather than require the filing of a formal request for compensation (Fee Petition), this pilot program provides the option to make the requisite certification and attestation in court, enabling the rapid payment of a fixed fee through the Courts' web voucher system. The early results of the pilot are promising, showing a nearly 25% reduction in the filing of fee petitions.
6. In January 2018, implemented an expanded role for the Magistrate Judge in Probate. Authorized by statute in 2017, the division has worked to maximize the role of the Magistrate Judge in some of the most demanding and high-volume Probate matters.

Workload Data

The Probate Division processed 15,609 court orders and held 1,693 court hearings. There were 147 mandatory guardianship review reports during the 2018 fiscal year. As shown in Table 1 below, the Probate Division disposed of 3,188 cases during FY 2018, with an overall clearance rate of 95% for the fiscal year. The lower clearance rate, 59% for adult guardianships/conservatorships cases, 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 cases, the overall clearance rate in the Probate Division is 104%.

Table 1
PROBATE DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2018 Data)

	Cases Added	Cases Disposed	Clearance Rate*	Cases Pending		
				1-Oct 2017	30-Sept 2018	Change
Cases Involving the Deceased						
Formal Probate (Decedents Estates)	1,831	1,874	102%	4,890	4,847	-1%
Small Estates	663	717	108%	164	110	-33%
Foreign Proceedings	171	160	93%	181	192	6%
Cases Involving the Incapacitated						
Conservatorships (Old Law) **	2	5	n/a	19	16	-16%
Guardianships (of Minors)	24	32	133%	179	171	-4%
Intervention Proceedings (Adult Guardianships/Conservatorships) ***	624	368	59%	2,915	3,171	9%
Trusts	22	32	145%	112	102	-9%
Total	3,337	3,188	96%	8,460	8,609	2%
* Ratio of cases disposed to cases added in a given year. A standard efficiency measure is 100%, meaning one case disposed for each case filed.						
** "Conservatorships (Old Law)" refers to conservatorships created prior to 1989.						
*** The lower clearance rate for Intervention Proceedings reflects the fact that these cases are often held open for many years until the death of the ward.						

Key Performance Indicators

Table 2
PROBATE DIVISION
Key Performance Indicators

Performance Indicator	Data Source	FY 2018		FY 2019		FY 2020		FY 2021	
		Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Time Standard from Filing to Disposition									
Administration of Decedents Estates	Monthly Reports	30%	37%	30%	30%	30%	30%	30%	30%
Within 395 days		75%	95%	75%	75%	75%	75%	75%	75%
Within 1,125 days		98%	99%	98%	98%	98%	98%	98%	98%
Appointment of fiduciary or other resolution in guardianship cases (incapacitated adults and minors)	Monthly Reports	75%	85%	75%	75%	75%	75%	75%	75%
Within 60 days		98%	93%	98%	90%	98%	90%	98%	90%
Within 90 days									
Triage efiled documents w/in 1 business day of receipt in the efilings queue	Monthly Reports	90%	97%	90%	90%	90%	90%	90%	90%
Issue letters of appointment w/in 1 business day of processing order or qualifying event	Monthly Reports	90%	96%	90%	90%	90%	90%	90%	90%
Identify and act on delinquent filings w/in 10 days	Monthly Reports	90%	96%	90%	90%	90%	90%	90%	90%
Submit fee requests to Court w/in 45 days	Monthly Reports	90%	81%	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	137	500	450	500	450	500	450

FY 2021 Request

In FY 2021, the Courts' request for the Probate Division is \$6,955,000, an increase of \$562,000 (9%) above the FY 2020 Enacted Budget. The requested increase includes \$133,000 for 1 FTE to enhance services for self-represented litigants; \$205,000 for 2 FTEs to expedite review of filings by fiduciaries; and \$224,000 for built-in cost increases.

****Assisting Self-Represented Litigants, 1 FTEs, \$133,000*** **Self-Help Center Program Manager, (JS-13)**

Introduction. The Probate Self-Help Center operates without benefit of dedicated program management to ensure timely and appropriate delivery of self-help content and services that provide legal information without providing legal advice. As approved and enacted in a prior fiscal year, the Probate Self-Help Center included funding for a Program Manager. The defunding of this position in an intervening fiscal year did not eliminate the need to manage and supervise the Probate Self-Help Center. In fact, the expanded role and size of the Center makes the need for this position more compelling. The reinstatement of this critical position is essential to maintain and expand the community services delivered by the Center.

The caseload and workload in Probate is increasing. In 2014, 3,097 cases were initiated in Probate. Just four years later in 2018, 3,337 cases were initiated, an 8% increase in new matters. Over those same years (and despite a 90%+ closure rate), the number of pending cases in Probate increased by 19% (7,238 to 8,609).

Problem Statement. The Probate Division has 13 case types, the largest being decedent's estate and intervention proceedings (guardianships of incapacitated adults). 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 challenging, particularly as a person may fill this role only once in a lifetime, and typically while grieving. The requirements of statute and rules, family dynamics, and complicated finances all contribute to the difficulties of performing this court-appointed role. The challenges are similar for the Court-appointed guardian. A guardian is the person appointed by the Court to make care and quality of life decisions for a person deemed incapacitated. The guardian must continually understand their role and scope of authority to make difficult quality of care and even end of life decisions for a parent or disabled adult child.

The Probate Division opened a Self Help Center after the DC Bar closed its Probate Resource Center, which had served about 700 people per year. The Probate Self-Help Center currently provides *all* information and support available by the Superior Court for unrepresented people in probate matters. The Program Manager is critically needed to provide leadership and

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

supervision for Self-Help Center staff and to establish and maintain the public/private partnerships the division believes critical to delivering self-help services. The Program Manager will assess content, procedure, and practice within the Center to ensure the maximum value to citizens is derived from expended resources. Probate is a nuanced field of law and can be overwhelming and complicated. The Program Manager will work to deliver Self-Help content that is understandable and suitable for the self-represented person while ensuring the legal information provided is complete and accurate, all while avoiding providing legal advice.

Relationship to Court Mission and Goals. This request supports Strategic Plan 2018-2022 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 Divisional Objectives. The five-year Strategic Plan and supporting Probate Management Action Plan evidence the critical role the Probate Self-Help Center will play in achieving division objectives that most closely support the court-wide mission. Reducing summary hearings and other friction in the system, reducing the cost of self-help service delivery, enhancing public/private partnerships in the community, and enabling self-represented filers to file documents without multiple visits to Court are among the emergent indicators of performance in the division.

Relationship to Existing Funding. This request would restore a position previously funded in the Courts' budget. Funding in FY 2017 financed 69 FTEs in the Probate Division, including a Program Manager in the Self-Help Center. The current funding of 59 FTEs is a nearly 15% reduction. Existing resources are limited by quantity and availability based on division-wide needs.

Methodology. The grade level for this staff member is determined in accordance with the Courts' personnel policies.

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

Performance Indicators. The performance indicators most impacted by the role of the Program Manager include enhanced customer satisfaction, efficiency of operation, and limiting friction costs in the system.

Expediting Fiduciary Review, 2 FTEs, \$205,000

Auditor (JS-12)

Legal Assistant (JS- 11)

Introduction. The Court appoints fiduciaries, persons entrusted with another's assets, to manage estates of deceased persons or the assets of an incapacitated adult; accordingly, the Court has a responsibility and a legal mandate to review their work to ensure that the fiduciary manages the assets properly. With increased caseloads, additional staff, an auditor and a legal assistant, are needed to enhance the timeliness of review of the complex filings the Court requires of fiduciaries.

Problem Statement. Providing the necessary oversight of fiduciaries in probate matters has become increasingly complex, requiring legal research experience as well as an understanding of accounting. The Division must review complex financial reports and, often, research requests for fees filed by the fiduciaries, all in a timely manner.

Under the law, personal representatives in supervised decedent's estates and court-appointed conservators are required to file periodic financial accounts with the Probate Division. An account is the detailed description of the assets and expenditures managed by the filer. The auditor must review inventories and accounts, provide recommendations to the Court, and review and process fee petitions, motions, objections, and responses that may be associated with these filings. The audit of accounts may be financial, compliance, operational, or a combination. Self-represented guardians and personal representatives sometimes struggle with these filing requirements, so every auditor is required to work with the public, providing walk-in resolution of filers' questions and challenges.

As Americans' access to a variety of complex investment vehicles has increased, so too has the complexity of estates and assets managed by fiduciaries, and the complexity of reviewing the fiduciaries' reports. The Legal Assistant is needed to review the filings of fiduciaries identified as having complex legal or accounting characteristics and fee petitions filed by fiduciaries in probate matters, including research on any relevant statutory and legal precedents.

Per statute, all requests for compensation in intervention proceeding, guardianship of minors' assets and trust cases must be approved by the Court. The review and assessment of the fee petitions are conducted in accordance with accounting principles, D.C. law, and Superior Court rules to provide consistency and comparability for all parties. Determining the reasonableness of expenditures requires discrete research while drawing limited auditor staff from the primary task of auditing

For attorneys, non-attorneys and laypersons, fee petitions are challenging to complete and once filed the expectation is that payment will follow a short time thereafter. By rule, the fiduciary has likely had to wait one year before filing the fee petition. Every day of delay in the processing of a fee petition is added to the one-year waiting period for the filer.

In recent years, the volume of this work has increased. For example, the number of accounts filed annually in supervised estates increased from 286 in 2013 to 840 in 2018, an increase of nearly 300%. A number of factors inform this steep increase beyond the District of Columbia's growing population. Based on the current guidance for establishing a supervised estate, nearly 25% (1,194 out of 4,916) of all large estates are supervised. The Division now handles over 1,900 accounts across all case types each year.

Similarly, though not as dramatically, the number of fee petitions filed has also increased in recent years, from 2,589 in 2014, to 3,123 in 2018, an increase of 21%, which corresponds with a 30% increase in adult guardianship cases since 2014.

Relationship to Court Mission and Goals. This request supports the Courts' strategic goal of Fair and Timely Case Resolution (Goal II).

Relationship to Divisional Objectives. This request directly supports the division’s Key Performance Indicators for timely performance and volume of work.

Relationship to Existing Funding. The budget cannot support these critically needed positions.

Methodology. The grade level for these positions is determined in accordance with the Courts’ personnel policies.

Expenditure Plan. The position will be recruited and hired in accordance with the Courts’ personnel policies.

Performance Indicators. The performance indicators for this position derive, in part, from the Courts’ obligations under the Probate Rules including the handling of fee petitions within 30 days. Performance measures including handling the auditing of inventories and accounts within a prescribed time standard (currently 45 days), the volume of work handled, and the quantity of work completed without significant modification or correction.

Table 3
PROBATE DIVISION/OFFICE OF THE REGISTER OF WILLS
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Costs
Program Manager	JS-13	1	107,000	26,000	133,000
Auditor	JS-12	1	90,000	22,000	112,000
Legal Assistant	JS-11	1	75,000	18,000	93,000
Total		3	272,000	66,000	338,000

Table 4
PROBATE DIVISION
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	4,902,000	4,902,000	5,346,000	444,000
12 - Personnel Benefits	1,371,000	1,371,000	1,485,000	114,000
Subtotal Personnel Services	6,273,000	6,273,000	6,831,000	558,000
21 - Travel, Transp. of Persons	14,000	14,000	14,000	
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	7,000	7,000	7,000	
25 - Other Services	54,000	54,000	56,000	2,000
26 - Supplies & Materials	22,000	22,000	23,000	1,000
31 – Equipment	23,000	23,000	24,000	1,000
Subtotal Non-Personnel Services	120,000	120,000	124,000	4,000
TOTAL	6,393,000	6,393,000	6,955,000	562,000
FTE	60	60	63	3

Table 5
PROBATE DIVISION
Detail, Difference FY 2020/FY2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Position WIG	60	18,000	
	Current Position COLA	60	154,000	
	Program Manager	1	107,000	
	Auditor	1	90,000	
	Legal Assistant	1	75,000	
<i>Subtotal 11</i>				<i>444,000</i>
12 - Personnel Benefits	Current Position WIG	60	5,000	
	Current Position COLA	60	43,000	
	Program Manager	1	26,000	
	Auditor	1	22,000	
	Legal Assistant	1	18,000	
<i>Subtotal 12</i>				<i>114,000</i>
Subtotal Personnel Services				558,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in Increases			2,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Subtotal Non-Personnel Services				4,000
Total				562,000

Table 6
PROBATE DIVISION
Detail of Full Time Equivalent Employment

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-5			
JS-6	4	4	4
JS-7			
JS-8	11	11	11
JS-9	11	11	11
JS-10	5	5	5
JS-11	6	6	7
JS-12	11	11	12
JS-13	7	7	8
JS-14	3	3	3
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	4,902,000	4,902,000	5,346,000
Total FTEs	60	60	63

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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	4,873,000	25	4,873,000	25	5,049,000	0	176,000

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 11 FTEs.
- The Superior Court Library houses law books, legal periodicals, and electronic research tools for the use of judges, attorneys, court staff, and the public. This office has 2 FTEs.
- The Child Care Center provides child care 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 5 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 3 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 2018 and ensuring all cases progress in a controlled manner towards timely disposition. Time standards and other refinements implemented in FY 2017 resulted in a 79% reduction in aged Civil Tax cases from 321 on October 1, 2017, to 68 as of September 30, 2018 and an increase in the clearance rate from 83% in FY 2017 to 140% in FY 2018.

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, including the implementation of an online calendar that provides litigants with up-to-date information about the Show Cause Calendar and the development of a Master Civil Tax Case Status Report, which will provide litigants with up-to-date information on the status of required filings.

The Office of Judge-in-Chambers made positive strides in FY 2018 to improve the quality of its work and the efficiency of the courtroom and public counter. A scheduling calendar capable of storing scanned images of orders and other directives relating to the scheduling of hearings was implemented to improve calendar management and enable a paperless environment. Performance reports and a quality assurance database were developed and utilized to identify and track trends, provide daily performance feedback to staff, and record notable events that may impact staff and overall office performance. This system, along with updated standard operating

procedures, increased the rate of accuracy from 88% in November, 2017, to 94% by September 30, 2018. The E-lobby system (electronic lobby check in system) was enhanced to allow for the monitoring and measurement of wait times of the public and law enforcement officers. The updated system also includes a feature on the public sign-in screen that lets Spanish speaking customers select in Spanish the reason for their visit. An electronic notification system was implemented to alert the Probate Fiduciary Panel of available appointments as counsel for the subject or guardian *ad litem* in temporary guardianship cases. The system replaced the notification by telephone system, increasing the efficiency and productivity of the office. A notification system was also implemented to alert the Sex Offender Registry for the District of Columbia of all name change orders.

During FY 2018, the Jurors' Office continued its efforts to increase juror utilization with *Jurors On Call*, which uses a predictive model to more closely align juror demand with juror supply. The system alerts potential jurors the evening prior to their summons date if they must report for service on the summons date. Jurors who are instructed not to report for service are placed back into the jury pool until the next summoning cycle (approximately 24 months). A total of 12,920 jurors were called off and did not have to report for jury duty, at a cost savings of \$51,680. The yearly juror utilization rate has increased from 60% to 67%. The Jurors' Office is collaborating with the Strategic Management Division to develop a more refined, data-driven predictive model to issue jury summons.

In May 2018, the Jurors' Office implemented a new juror management system with features designed to increase juror convenience and improve jury yield and utilization. The new *AgileJury* system provides jurors with the ability to complete the eligibility questionnaire and postpone their service to a later date online, download proof of their attendance, and upload documentation to support requests to be excused, as well as sends push notifications to jurors via email and text message with service reminders and reporting updates. The *AgileJury* system has nearly doubled the jury yield rate by automatically rescheduling jurors who fail to appear for service. Looking forward, the Jurors' Office will pilot an electronic check-in system to reduce wait times for jurors who have pre-qualified online.

During FY 2018, the Office of Court Interpreting Services fulfilled 6,713 requests for interpreting services, predominantly for Spanish speakers. Other frequently requested languages include Amharic, French, Korean, Tigrinya, Vietnamese, Mandarin, and American Sign Language. In addition to providing interpreting services, over 150 court orders, forms, and other documents were translated from English to Spanish, Amharic, French, and Chinese; and signage that advises parties, witnesses, and others of their right to interpreting services and the availability of certain forms and informational brochures in Spanish, Amharic, Mandarin, French, and Vietnamese, are posted at strategic locations throughout the Court campus.

In collaboration with the Information Technology Division, the Office of Court Interpreting Services implemented an online portal at <https://www.dccourts.gov/services/information-and-resources/interpreting-services/request-interpret-form> for members of the public to submit requests for interpreting services. This method of communication supplements the existing ability of the public to request an interpreter by telephone and email. Undertaken jointly with the Courtroom Technology Division, the Office of Court Interpreting Services also piloted the use of

video remote interpreting technology and interpreting services for the Deaf community having business with the Court.

In FY 2018, the Courts provided Child Care services to 420 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 2018, the Special Operations Division handled the following:

- The Jurors’ Office issued approximately 209,000 summonses to District of Columbia residents to appear for jury service;
- The Office of Court Interpreting Services dispatched 8,053 interpreters to fulfill 6,749 requests for interpreting services;
- The Tax Division disposed of 1,074 cases;
- The Office of Judge-in-Chambers held 1,675 hearings and processed 17,341 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 2018		FY 2019		FY 2020		FY 2021	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Output / Activity	# of summons issued to jurors for jury duty	Courts' Information Technology (IT) Division	180,000	209,000	180,000	200,000	180,000	200,000	176,400	196,000
Output / Activity	# of jurors qualified to serve on <i>voir dire</i> panels	Business Intelligence Jury Reports	40,000	39,951	40,000	40,000	40,000	40,000	40,000	34,300
Outcome	Judicial requests for <i>voir dire</i> panels met	Business Intelligence Jury Reports	65%	67%	65%	65%	65%	65%	65%	68%
Outcome	Jury Yield	Business Intelligence Jury Reports	28%	31%	40%	42%	40%	42%	40%	42%

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

Type of Indicator	Key Performance Indicator	Data Source	FY 2018		FY 2019		FY 2020		FY 2021	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Input	Requests for interpreters	Web Interpreter System (WIS)	6,975	6,749	6,975	6,383	6,975	6,340	6,975	6,340
Outcome	Requests for interpreters met	WIS	6,952	6,713	6,952	6,360	6,952	6,300	6,952	6,300
Outcome	Interpreters Dispatched	WIS	7,882	8,053	7,409	7,594	7,483	7,670	7,558	7,747
Efficiency	Clearance rate	WIS	99%	99%	99%	99%	99%	99%	99%	99%

Table 3
SPECIAL OPERATIONS DIVISION
Tax Division
Caseload and Efficiency Measures
(Fiscal Year 2018 Data)

	Case Filings	Dispositions	Clearance Rate*	Pending Cases		
				1-Oct	30-Sep	Change
Civil Tax	769	1,074	140%	2,252	1,947	-13.5%
Criminal Tax	7	4	43%	4	6	+50%

*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 2018		FY 2019		FY 2020		FY 2021	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Output	Research Assistance Provided	Library Data	3,900	4,059	4,000	4,000	4,000	4,000	4,000	4,000
Outcome	# Library Users	Library Data	7,500	6,433	7,500	6,500	7,500	6,500	7,500	6,500

FY 2021 Request

In FY 2021, the D.C. Courts' request for the Special Operations Division is \$5,049,000, an increase of \$ 176,000 (3%) above the FY 2020 Enacted Budget. The requested increase consists of built-in cost increases.

Table 5
SPECIAL OPERATIONS DIVISION
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 – Personnel Compensation	2,612,000	2,612,000	2,712,000	100,000
12 – Personnel Benefits	731,000	731,000	759,000	28,000
<i>Subtotal Personnel Services</i>	<i>3,343,000</i>	<i>3,343,000</i>	<i>3,471,000</i>	<i>128,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	151,000	151,000	156,000	5,000
25 - Other Services	1,125,000	1,125,000	1,160,000	35,000
26 - Supplies & Materials	243,000	243,000	251,000	8,000
31 – Equipment	11,000	11,000	11,000	
<i>Subtotal Non-Personnel Services</i>	<i>1,530,000</i>	<i>1,530,000</i>	<i>1,578,000</i>	<i>48,000</i>
TOTAL	4,873,000	4,873,000	5,049,000	176,000
FTE	25	25	25	0

Table 6
SPECIAL OPERATIONS DIVISION
Details, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Position WIG	25	18,000	
	Current Position COLA	25	82,000	
<i>Subtotal 11</i>				<i>100,000</i>
12 - Personnel Benefits	Current Position WIG	25	5,000	
	Current Position COLA	25	23,000	
<i>Subtotal 12</i>				<i>28,000</i>
<i>Subtotal Personnel Services</i>				<i>128,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			5,000
25 - Other Service	Built-in Increases			35,000
26 - Supplies & Materials	Built-in Increases			8,000
31 – Equipment				
<i>Subtotal Non-Personnel Services</i>				<i>48,000</i>
Total				176,000

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

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-6	2	2	2
JS-7	1	1	1
JS-8	9	9	9
JS-9	4	4	4
JS-10	1	1	1
JS-11			
JS-12	4	4	4
JS-13	2	2	2
JS-14	1	1	1
JS-15			
CEMS			
CES	1	1	1
Total Salaries	2,612,000	2,612,000	2,712,000
Total FTEs	25	25	25

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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	15,385,000	0	15,385,000	0	15,954,000	0	569,000

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 2021 Request

In FY 2021, the Courts’ request for the Management Account is \$15,954,000, an increase of \$569,000 (4%) above the FY 2020 Enacted Budget. The requested increase consists of built-in cost increases.

Table 1
MANAGEMENT ACCOUNT
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 – Personnel Compensation	4,501,000	4,501,000	4,710,000	209,000
12 – Personnel Benefits	785,000	785,000	828,000	43,000
Subtotal Personnel Services	5,286,000	5,286,000	5,538,000	252,000
21 – Travel, Transp. Of Persons	384,000	384,000	396,000	12,000
22 – Transportation of Things	14,000	14,000	14,000	0
23 – Rent, Commun. & Utilities	3,443,000	3,443,000	3,551,000	108,000
24 – Printing & Reproduction	188,000	188,000	194,000	6,000
25 – Other Services	5,403,000	5,403,000	5,573,000	170,000
26 – Supplies & Materials	336,000	336,000	347,000	11,000
31 – Equipment	331,000	331,000	341,000	10,000
Subtotal Non-Personnel Services	10,099,000	10,099,000	10,416,000	317,000
TOTAL	15,385,000	15,385,000	15,954,000	569,000
FTE	0	0	0	0

Table 2
MANAGEMENT ACCOUNT
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 – Personnel Compensation	Built-in Increase			209,000
12 – Personnel Benefits	Built-in Increase			43,000
<i>Subtotal Personnel Services</i>				<i>252,000</i>
21 – Travel, Transp. Of Persons	Built-in Increase			12,000
22 – Transportation of Things				
23 – Rent, Commun. & Utilities	Built-in Increase			108,000
24 – Printing & Reproduction	Built-in Increase			6,000
25 – Other Service	Built-in Increase			170,000
26 – Supplies & Materials	Built-in Increase			11,000
31 – Equipment	Built-in Increase			10,000
<i>Subtotal Non-Personnel Services</i>				<i>317,000</i>
Total				569,000

**DISTRICT OF COLUMBIA COURT SYSTEM
Overview**

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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	74,400,000	283	75,518,000	293	83,291,000	10	7,773,000

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 2021 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 2021 budget request enhances four of the five strategic goals and includes performance projections for all core functions.

Goal 1: Access to Justice for All--\$615,000, 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 \$615,000 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--\$319,000, 2 FTEs

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 \$186,000 for 1 FTE to enhance the Courts' training programs that assure judicial officers and staff have the knowledge and skills needed to meet the needs of the community, and \$133,000 for 1 FTE to help the Courts' prepare for an anticipated wave of retirements by conducting workforce and succession planning.

Goal 4: Resilient and Responsive Technology--\$372,000, 1 FTE

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 \$239,000 for technology services related to cloud migration, project management, and security and \$133,000 for 1 FTE in the Information Technology Division to support automation.

Goal 5: Effective Court Management and Administration--\$3,500,000, 2 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 \$1,670,000 to enhance security by hiring additional contractual security officers and finance maintenance of the security system; \$1,620,000 to maintain the new addition to the Moultrie Courthouse; \$133,000 and 1 FTE to manage capital projects in stewardship of the 1.5 million gross square feet of building space in Judiciary Square; and \$77,000 and 1 FTE to provide administrative support to capital projects and facilities management functions.

Built-In Increases--\$2,967,000

The request also includes \$2,967,000 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 (10.6% in 2018 versus 14.7%, respectively).

Table 1
COURT SYSTEM
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 – Compensation	28,690,000	28,690,000	31,007,000	2,317,000
12 – Benefits	8,223,000	8,223,000	8,834,000	611,000
<i>Subtotal Personal Services</i>	<i>36,913,000</i>	<i>36,913,000</i>	<i>39,841,000</i>	<i>2,928,000</i>
21 - Travel, Transp. of Persons	405,000	405,000	418,000	13,000
22 - Transportation of Things	6,000	6,000	6,000	0
23 - Rent, Commun. & Utilities	9,099,000	9,099,000	9,392,000	293,000
24 - Printing & Reproduction	105,000	105,000	108,000	3,000
25 - Other Services	22,704,000	23,822,000	28,119,000	4,297,000
26 - Supplies & Materials	683,000	683,000	703,000	20,000
31 – Equipment	4,485,000	4,485,000	4,704,000	219,000
<i>Subtotal Nonpersonal Services</i>	<i>37,487,000</i>	<i>38,605,000</i>	<i>43,450,000</i>	<i>4,845,000</i>
TOTAL	74,400,000	75,518,000	83,291,000	7,773,000
FTE	283	283	293	10

**DISTRICT OF COLUMBIA COURT SYSTEM
EXECUTIVE OFFICE**

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
18	2,722,000	18	2,722,000	23	3,464,000	5	742,000

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.
- Assist court participants with court processes and provide linkages to other services by implementing a court navigators program.
- 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 2021 Request

In FY 2021, the Courts’ request for the Executive Office is \$3,464,000, an increase of \$742,000 (27%) above the FY 2020 Enacted Budget. The requested increase includes \$615,000 for 5 FTEs and equipment for an initiative to expand access to justice, described in the **Initiatives Section** of this request, and \$127,000 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	124,000	32,000	156,000
Multimedia Specialist	JS-11	1	75,000	18,000	93,000
Audiovisual Production Specialist	JS-13	1	107,000	26,000	133,000
Pro Bono Coordinator	JS-14	1	127,000	31,000	158,000
Total		5	433,000	107,000	540,000

Table 2
EXECUTIVE OFFICE
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	2,112,000	2,112,000	2,645,000	533,000
12 - Personnel Benefits	592,000	592,000	726,000	134,000
<i>Subtotal Personnel Services</i>	<i>2,704,000</i>	<i>2,704,000</i>	<i>3,371,000</i>	<i>667,000</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	11,000	0
31 - Equipment	7,000	7,000	82,000	75,000
<i>Subtotal Non-personnel Services</i>	<i>18,000</i>	<i>18,000</i>	<i>93,000</i>	<i>75,000</i>
TOTAL	2,722,000	2,722,000	3,464,000	742,000
FTE	18	18	23	5

Table 3
EXECUTIVE OFFICE
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY2020/2021
11 - Personnel Compensation	Current Position WIG	18	32,000	
	Current Position COLA	18	68,000	
	Pro Bono Coordinator	1	124,000	
	Audiovisual Production Specialist	1	75,000	
	Multimedia Specialist	1	107,000	
	Court Navigators	2	127,000	
<i>Subtotal 11</i>				<i>533,000</i>
12 - Personnel Benefits	Current Position WIG	18	8,000	
	Current Position COLA	18	19,000	
	Pro Bono Coordinator	1	32,000	
	Audiovisual Production Specialist	1	18,000	
	Multimedia Specialist	1	26,000	
	Court Navigators	2	31,000	
<i>Subtotal 12</i>				<i>134,000</i>
<i>Subtotal Personnel Services</i>				<i>667,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials				
31 - Equipment	Access to Justice Initiative			75,000
<i>Subtotal Non-personnel Services</i>				<i>75,000</i>
Total				742,000

Table 4
EXECUTIVE OFFICE
Detail of Full-Time Equivalent Employment

	2019 Enacted	2020 Enacted	2021 Request
JS-6			
JS-7			
JS-8			2
JS-9	1	1	1
JS-10			
JS-11	3	3	4
JS-12	2	2	2
JS-13	3	3	4
JS-14	5	5	6
JS-15	2	2	2
CEMS	1	1	1
CES	1	1	1
Total Salary	2,112,000	2,112,000	2,645,000
Total FTEs	18	18	23

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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	6,144,000	46	6,144,000	46	6,411,000	0	267,000

Organizational Structure

The Administrative Services Division (ASD) consists of the Office of the Administrative Officer, court wide 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 court wide 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 courtrooms, locate court offices, 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.
- Establish performance measures, monitor results and evaluate programs and services to ensure the effectiveness of Court's 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.
- Ensure DC Courts fleet vehicles are in good working condition, well maintained and functioning in accordance with the vehicle's individual maintenance plan. Provide clear reporting of vehicle maintenance and repair costs.

Workload Data

SmartPay Purchase and Fleet Card Program Operations

In FY 2021, 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 2021. Currently, card transactions reflect more than \$500,000 in activity and it is expected that by FY 2021, 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 2021, the Procurement and Contracts Branch expects to process approximately 1,250 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 Institute" to provide internal training to the procurement staff and to court personnel with acquisition and contract management responsibilities. The Acquisition Institute has provided one-on-one classes as well as formal training sessions to the Courts' personnel. In FY 2019, the Acquisition Institute began implementing a full curriculum designed to register and certify court personnel as Contracting Officer Technical Representatives (COTRs) for D.C. Courts' procurement actions. These courses included Writing Statements of Work, Responsibilities of Contracting Officer's Technical Representative, Procurement Fraud and Ethics, Contract Administration Plan and Financial Operations, Post Award Orientation, and other training designed to strengthen the skills of the D.C. Courts' COTRs. In FY 2019, the Branch began offering a full complement of courses and is working to continue to enhance the online presence of the Institute, allowing COTRs to review course content 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 2021, the mailroom expects to process approximately 196,000 juror summonses, 110,000 subpoenas, and 70,000 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 14,000 incoming calls per month (or 168,000 calls per year). This number may 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, thereby 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 continue to 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 may decrease in FY 2020 and FY 2021 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 2018		FY 2019		FY 2020		FY 2021	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Annual purchase card transactions	Citibank Custom Reporting Systems; US Bank Reporting	950	950	1,200	1,200	1,500	1,500	1,600	1,600
Annual Fleet card transactions	Voyager Electronic Reporting System	450	450	500	500	550	550	610	610
Transaction reviews or random checks	Citibank Card Mgmt. System; Voyager; Us Bank Reporting; Oracle Federal Financials	100	100	125	125	150	150	150	150
Program audits conducted	Cardholder Purchase/ Fleet Card Logs; Supporting Documentation	2	2	4	4	4	4	6	6

Office Services Branch									
Performance Indicator	Data Source	FY 2018		FY 2019		FY 2020		FY 2021	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Monthly calls	Call Accounting Reports	18,000	18,000	18,000	18,000	18,000	18,000	18,000	18,000
Jury summons processed yearly	Database	180,000	209,000	180,000	200,000	180,000	200,000	176,400	196,000
Subpoenas processed yearly		120,000	130,000	120,000	100,000*	110,000	110,000	110,000	110,000
Outgoing metered mail (pieces) yearly		175,000	70,000	70,000	60,000*	70,000	70,000	70,000	70,000
Help Desk Calls received and processed yearly	Automated Tracking System	8,000	14,000	14,000	12,000*	14,000	14,000	14,000	14,000
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	1,600	1,500	1,500	1,500	1,400	1,400	1,400	1,400
Records for storage yearly (individual case records)	Electronic Data Base	30,000	30,000	20,000	20,000	20,000	20,000	20,000	20,000

*Decrease due to Government Shutdown

Procurement Branch									
Performance Indicator	Data Source	FY 2018		FY 2019		FY 2020		FY 2021	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Annual small purchases	Automated Financial System and Manual Accounting	1,200	1,250	1,250	1,250	1,250	1,250	1,250	1,250
Annual large purchases		120	120	120	98*	100	100	100	100
Annual modifications		900	950	900	900	900	900	900	900
Small purchases processed within 20 days		95%	95%	95%	97%	95%	95%	95%	95%
Large purchases processed within 90-120 days after receipt of SOW		95%	95%	95%	96%	95%	95%	95%	95%
Acquisition courses conducted yearly	Internal Records	6	6	10	5*	8	8	8	8

*Decrease due to Government Shutdown

FY 2021 Request

In FY 2021, the D.C. Courts' request for the Administrative Services Division is \$6,411,000, an increase of \$267,000 (4%) above the FY 2020 Enacted Budget. The requested increase is for built-in cost increases.

Table 2
ADMINISTRATIVE SERVICES DIVISION
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	3,665,000	3,665,000	3,838,000	173,000
12 - Personnel Benefits	1,026,000	1,026,000	1,073,000	47,000
Subtotal Personnel Services	4,691,000	4,691,000	4,911,000	220,000
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	1,315,000	41,000
26 - Supplies & Materials	86,000	86,000	89,000	3,000
31 - Equipment	29,000	29,000	30,000	1,000
Subtotal Non Personnel Services	1,453,000	1,453,000	1,500,000	47,000
TOTAL	6,144,000	6,144,000	6,411,000	267,000
FTE	46	46	46	0

Table 3
ADMINISTRATIVE SERVICES DIVISION
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Position WIG	46	55,000	
	Current Position COLA	46	118,000	
<i>Subtotal 11</i>				<i>173,000</i>
12 - Personnel Benefits	Current Position WIG	46	14,000	
	Current Position COLA	46	33,000	
<i>Subtotal 12</i>				<i>47,000</i>
<i>Subtotal Personnel Services</i>				<i>220,000</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			41,000
26 - Supplies & Materials	Built-in Increases			3,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				<i>47,000</i>
Total				267,000

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

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 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	6	6	6
JS-10			
JS-11	2	2	2
JS-12	7	7	7
JS-13	9	9	9
JS-14	1	1	1
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salaries	3,665,000	3,665,000	3,838,000
Total FTEs	46	46	46

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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>
36	5,249,000	36	5,249,000	36	5,485,000	0	236,000

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." 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 36 FTEs.

- The Director’s Office (6 FTEs) has a mission to serve as the Executive Officer’s chief financial policy advisor, promote responsible resource allocation through the D.C. Courts’ annual spending plan, and ensure the financial integrity of the D.C. Courts. The primary responsibilities of this office are to:
 - Develop appropriate fiscal policies to carry out the D.C. Courts’ programs.
 - Prepare, enact, administer, and monitor the D.C. Courts’ annual spending plan (budget).
 - Prepare fiscal impact statements on proposed federal and local legislation that involve the D.C. Courts.

- Develop and maintain the accounting and reporting system of the D.C. Courts.
 - Monitor expenditures by the various divisions and operations of the D.C. Courts to ensure compliance with applicable laws and regulations, approved standards, and policies.
 - Enhance the collection of financial data to refine methodologies for the most efficient forecasting and distribution of scarce resources.
 - Ensure the development, implementation, and management of internal controls and business processes that provide for the 1) routine reconciliation of the Courts' accounts; 2) safeguarding of Court assets and accounts; and 3) appropriate segregation of duties.
 - Prepare and issue the Courts' financial statements in accordance with applicable laws, guidelines, circulars, industry practices, and generally accepted accounting principles.
- The Budget Branch (5 FTEs) has a mission to support officials of the D.C. Courts in maintaining and improving the Courts' fiscal health and services through the evaluation and execution of a balanced budget. This branch also provides timely, accurate, and useful financial information for making decisions, monitoring performance day-to-day, and maintaining fiscal stewardship to support the Courts' divisions and other users of court financial information.
 - The Financial Operations Branch (11 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 (9 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 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 the program is being expanded to include on-line payments.

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 2021 Request

In FY 2021, the Courts' request for the Budget and Finance Division is \$5,485,000, an increase of \$236,000 (5%) above the FY 2020 Enacted Budget. The requested increase consists of built-in cost increases.

Table 2
BUDGET AND FINANCE DIVISION
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	3,518,000	3,518,000	3,684,000	166,000
12 - Personnel Benefits	986,000	986,000	1,032,000	46,000
<i>Subtotal Personnel Services</i>	<i>4,504,000</i>	<i>4,504,000</i>	<i>4,716,000</i>	<i>212,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	10,000	10,000	10,000	
25 - Other Services	708,000	708,000	731,000	23,000
26 - Supplies & Materials	17,000	17,000	18,000	1,000
31 - Equipment	10,000	10,000	10,000	
<i>Subtotal Non-personnel Services</i>	<i>745,000</i>	<i>745,000</i>	<i>769,000</i>	<i>24,000</i>
TOTAL	5,249,000	5,249,000	5,485,000	236,000
FTE	36	36	36	0

Table 3
BUDGET AND FINANCE DIVISION
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY2020/2021
11 - Personnel Compensation	Current Position WIG	36	53,000	
	Current Position COLA	36	113,000	
<i>Subtotal 11</i>				<i>166,000</i>
12 - Personnel Benefits	Current Position WIG	36	14,000	
	Current Position COLA	36	32,000	
<i>Subtotal 12</i>				<i>46,000</i>
<i>Subtotal Personnel Services</i>				<i>212,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in Increases			23,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment				
<i>Subtotal Non-personnel Services</i>				<i>24,000</i>
Total				236,000

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

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-6			
JS-7			
JS-8			
JS-9	5	5	5
JS-10			
JS-11	6	6	6
JS-12	8	8	8
JS-13	10	10	10
JS-14	5	5	5
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	3,518,000	3,518,000	3,684,000
Total FTEs	36	36	36

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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>
24	8,471,000	24	8,471,000	26	10,621,000	2	2,150,000

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, court 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; 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 18 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 the infrastructure and 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 5 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 and modernize space 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 2019. A number of key milestones were achieved during the last fiscal year, including the completion of Phase 2A of the H. Carl Moultrie I Courthouse building (HCMCH) C Street Addition and continued work on various

interrelated projects required to support the delivery of the Moultrie Courthouse Addition including the completion of the:

1. Phase 2A portion of the C Street Addition project to include installation of the furniture, fixtures and equipment (FF&E) and migration of personnel.
2. Final phase of construction to expand the Security Control Center on Indiana Avenue of the HCMCH. This project was necessary to accommodate the security equipment and personnel required to support the enlarged courthouse.
3. Renovation of United States Marshals Services (USMS) space on the west side of HCMCH C Street Addition and migrated USMS personnel. This has allowed the USMS to more efficiently serve the Courts by providing more space for administrative work.
4. Renovation and relocation of the Interim Juvenile Intake and Mental Health offices on the west side of HCMCH to allow construction to take place in areas designated for Phase 2B of the Moultrie Courthouse Addition.
5. Renovation and relocation of the Health Unit.

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 initiatives. The following is a summary of CPFMD's recent major activities in the Moultrie Courthouse to advance the consolidation.

1. Completion of the migration of the Child Guidance Clinic and Interstate Probation office of the Family Court Social Services Division to their permanent location within Phase 2A of the C Street Addition.
2. As part of the efforts to bolster the Courts' infrastructure given the planned consolidation, CPFMD continued initiatives designed to upgrade existing electrical systems. CPFMD also planned and implemented multiple code and life safety upgrades. Moreover, all infrastructure projects are sized to support the Moultrie Courthouse Addition when complete.
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.

The D.C. Courts Facilities Master Plan dated November 15, 2013 is being updated, 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 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 2021, CPFMD 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' 1.45 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 2019		FY 2020		FY 2021	
			Goal	Estimate	Goal	Estimate	Goal	Estimate
Number of Help Desk calls resolved in two business days	CPFMD CMMS Reports	Monthly	95%	95%	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	99%	99%	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	95%	95%	95%	95%	95%	95%
Preventive maintenance work completed in accordance with Manager Plus Equipment Matrix Schedule.	Manager Plus Equipment PM Schedule	Monthly	97%	97%	97%	97%	97%	97%

FY 2021 Request

In FY 2021, the Courts' request for the Capital Projects & Facilities Management Division is \$10,621,000, an increase of \$2,150,000 or (25%) above the FY 2020 Enacted Budget. The requested increase includes \$1,620,000 for additional funds for maintenance and repair of the Moultrie Courthouse addition; \$133,000 for 1 FTE to manage capital projects; \$77,000 for 1 FTE to provide administrative support of critical management functions; and \$320,000 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, \$133,000***
Capital 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.

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.

****Administrative Assistant (JS-9/10) 1 FTE, \$77,000***

Problem Statement. The Capital Projects and Facilities Management Division continues to manage a number of critical projects and initiatives. 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. As such, these projects require significant technical expertise and oversight, including the review of plans, designs, budgets and reports. Given the attention to detail and participation that both the division director and the

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

deputy division director provide to these initiatives to maximize quality assurance, there are a large number of corresponding meetings that both must attend. Since the elimination of the Administrative Assistant position due to budgetary constraints in FY 2018, both the division director and the deputy division director have had to perform a number of administrative functions. Therefore, restoration of this important position would provide for a more efficient use of personnel resources.

The Administrative Assistant position has historically provided invaluable assistance to the Director's office, including the preparation of written correspondence to internal and external stakeholders, coordination and scheduling of project staff meetings, recording of meeting minutes, as well as the maintenance of the division's meeting calendar.

In addition, this individual will also be required to perform the following duties:

- Answer calls and respond to inquiries received on the division's construction activity hotline;
- Track all supplies and the division's inventory of equipment and furniture;
- Purchase program supplies;
- Prepare and submit time and attendance reports;
- Photocopy prepared materials;
- Make meeting arrangements to include reserving a venue, prepare informational packets, and transmit invitations to meeting participants;
- Receipt and distribute mail;
- Track divisional training and educational programs;
- Prepare monthly reports on divisional metrics;
- Organize the division's shared folders

Relationship to Court Mission and Goals

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 addition of this position will provide much needed administrative support of critical managerial functions and better provide for a more efficient use of resources.

Relationship to Divisional Management Action Plans.

The Administrative Assistant will support the administrative needs of the divisional leadership, while bolstering the divisional objective of providing support services to the Courts' internal and external stakeholders in the effective and efficient management of the Courts' facilities, infrastructure, and assets.

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

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

Table 2
CAPITAL PROJECTS AND FACILITIES MANAGEMENT DIVISION
New Position Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Cost
Capital Projects Manager	JS-13	1	107,000	26,000	133,000
Administrative Assistant	JS-9	1	62,000	15,000	77,000

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

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	2,484,000	2,484,000	2,771,000	287,000
12 - Personnel Benefits	695,000	695,000	768,000	73,000
<i>Subtotal Personnel Services</i>	<i>3,179,000</i>	<i>3,179,000</i>	<i>3,539,000</i>	<i>360,000</i>
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	7,047,000	1,789,000
26 - Supplies & Materials	26,000	26,000	27,000	1,000
31 - Equipment	8,000	8,000	8,000	
<i>Subtotal Non-Personnel Services</i>	<i>5,292,000</i>	<i>5,292,000</i>	<i>7,082,000</i>	<i>1,790,000</i>
TOTAL	8,471,000	8,471,000	10,621,000	2,150,000
FTE	24	24	26	2

Table 4
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Position WIG	24	38,000	
	Current Position COLA	24	80,000	
	Capital Projects Manager	1	107,000	
	Administrative Assistant	1	62,000	
<i>Subtotal 11</i>				<i>287,000</i>
12 - Personnel Benefits	Current Position WIG	24	10,000	
	Current Position COLA	24	22,000	
	Capital Projects Manager	1	26,000	
	Administrative Assistant	1	15,000	
<i>Subtotal 12</i>				<i>73,000</i>
<i>Subtotal Personnel Services</i>				<i>360,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	MRO for Moultrie Courthouse Addition		1,620,000	
	Built-in Increases		169,000	
<i>Subtotal 25</i>				<i>1,789,000</i>
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment				
<i>Subtotal Non-Personnel Services</i>				<i>1,790,000</i>
Total				2,150,000

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

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	4	4	4
JS-9	9	9	10
JS-10			
JS-11	2	2	2
JS-12	2	2	2
JS-13	3	3	4
JS-14	2	2	2
JS-15			
JS-16			
CEMS	1	1	1
CES	1	1	1
Total Salaries	2,484,000	2,484,000	2,771,000
Total FTEs	24	24	26

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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	8	2,396,000	1	270,000

Mission Statement

The Center for Education and Training (CET) provides training for the D.C. Courts’ judicial officers, employees and professional community that is the bridge to a bright future for the organization as a whole and the individuals serving the public. Training opportunities provided by CET develop the skilled workforce needed for tomorrow and help assist in creating a professional and engaged workforce. Strategic offerings support and sustain the organizational values and leadership principles of our evolving court system. Training is critical to ensuring that our next generation of supervisors, managers and leaders are well-prepared for succession. New employees receive an orientation and mentor that allows them to be engaged from their first day on the job. The judicial officers are versed in the very latest scientific, constitutional, social science and legal trends, to provide a meaningful judicial process 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, anti-bullying, and special populations. The CET also offers 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, Adobe Flash, Captivate, Camtasia, Audacity, Comptia A+; and CourtView and C-Track, the Courts Integrated Justice Information Systems. 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, Implicit Bias, Language Access, 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** – Develop effective court management and administration and maximize the effectiveness of the Executive Team and Senior Managers in achieving the highest levels of court performance. Establishing a Leadership Institute that offers 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** – The goal of the Management Institute and Strategic Training is to maximize the effectiveness of the Courts’ managers and supervisors and increase the pool of future managers and leaders. The Management Institute, which includes the Management Training Program and the Supervisors Training Program. The focus of the training of managers, supervisors, and employees is on issues relevant to achieving the goals outlined in the Strategic Plan of the District of Columbia Courts (2018-2022). These strategic goals are coupled with upholding the Courts’ core values and cultural competencies. Position managers and supervisors as well as court leaders, change agents, and role models participate 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 communication, 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 court wide performance metric. The next Employee Viewpoint Survey is expected later this year in 2019. In 2016-2019, 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 2019, 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 about 200 classes each year. Training hours completed by court employees and judicial officers for each year have consistently been close to 20,000 hours and the most recent indicators point to increased training activity levels.

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. Generally, approximately 70 international delegations visit each year, most of them are very high-level representatives from other nations' justice systems. Providing educational experiences for international visitors is an important function unique to the Courts 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 1,500 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 Measure¹	FY 2018 Actual	FY 2019 Estimate	FY 2020 Projected	FY 2021 Projected
Course Offered	194	190	190	190
Judicial Participants	732	700	650	650
Employee Participants	2,361	2,500	2,500	2,500
Divisions Supported	15	15	15	15
Number of Official Visitors	1,498	1,500	1,500	1,500

¹ A judicial officer or employee may participate in multiple training programs during the year.

Key Performance Measures

Table 2
CENTER FOR EDUCATION AND TRAINING
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2018		FY 2019		FY 2020		FY 2021	
			Goal	Actual	Goal	Estimate	Goal	Projected	Goal	Projected
Outcome	Program Quality	Participants Evaluations	85% > 3.5	95.6% > 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	18,059	15,000	15,000	15,000	15,000	15,000	15,000
Output	Visitors Tours and Programs	Visitors Schedule	50	70	70	70	70	75	70	80
Outcome	Bi-Annual Management Training Program Graduates	Training Schedule & Participant List	20	21	NA	NA	20	20	NA	NA
Output	Management Training Institute Courses Offered	Training Schedule	8	14	10	10	8	8	8	8
Output	Executive/Senior Leadership Development Sessions	Training & Meeting Schedule and Consultant Reports	2	0	2	2	2	2	2	2
Outcome	Judicial Leadership Team Retreats	Meeting Schedule	2	0	2	2	2	2	2	2
Output	Court of Appeals Programs Offered	Training Schedule	6	2	4	4	4	4	4	4

FY 2021 Request

In FY 2021, the Courts' request for the Center for Education and Training Division is \$2,396,000, an increase of \$270,000 (13%) above the FY 2020 Enacted Budget. The requested increase includes \$186,000 for 1 FTE to manage court training programs and \$84,000 for built-in cost increases.

****Deputy Director (JS-15), 1 FTE, \$186,000***

Problem Statement. To meet the increased demand for the Center's guidance and expertise, address the recommendation of a recent needs assessment, and keep pace with the D.C. Courts' educational and training requirements, a Deputy Director is required. A Deputy Director is critical to assist the Director with strategic planning, budget oversight, formulating courtwide education programs, as well as program analysis and reporting. Furthermore, this position is required to enhance CET's workforce education procedures that will support the expansion of services to court employees and judicial officers.

In FY 2018, upon the retirement of the previous Director for the CET, the position was defunded as a result of budget cuts. The Deputy Director was appointed as Acting Director and later succeeded into the position permanently. As was previously done, a Training Needs Assessment Report, performed by an independent firm, recommended an additional staff person to allow the Center to stay abreast of daily and increasing demands, while keeping current with Judicial Branch education trends.

The Center for Education and Training, with a staff of seven full time professional staff, offers over 200 programs and classes per year for the 1,200 employees at the D.C. Courts. The CET Director works closely with all of the Division Directors and Deputy Directors throughout the Superior Court, the DC Court of Appeals, and Court System, as well as the Judicial Officers and the Court Executives, designing educational programs to suit individual needs, goals and objectives. A Deputy Director is needed to supervise the work of the CET staff, and organize the workload associated with implementing new programs and supporting special events.

In the past fourteen years, the D.C. Courts have revamped the education and training function, helping to enhance the work of court employees by better preparing them to address the constant challenges that come with living in an ever-changing, highly technological world and working in a high-volume, urban court system in the Nation's Capital. In supporting the D.C. Courts in fulfilling its goal of providing access to justice, the CET must provide meaningful education and training opportunities. The Deputy Director position will provide the CET with the resources needed to address the growing need for training and professional development services and support. Furthermore, the position will enhance the operational oversight necessary to ensure greater responsiveness and accountability.

Relationship to Court Mission and Goals. The proposed staff increase will support the Courts' strategic goals of preparing a professional and engaged workforce and allowing access to justice for all. Specifically, the request supports the Courts' Goals related to Access to Justice (Goal 1),

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

a Professional and Engaged Workforce (Goal 3), and Effective Court Management and Administration (Goal 5). By improving CET’s capacity to efficiently coordinate, develop and deliver classes (traditional, on-line, blended, webinars), seminars, experiential learning opportunities and conferences for judicial officers and court staff, the Center will continue to develop and maintain the professional excellence of our workforce. By offering conferences and events to the public and the local professional communities we serve, the Center will enhance public understanding of the judicial branch and educate both local and international justice system professionals about the rule of law and the operations of various Divisions within the Court system. The Center assists in enhancing access to justice to the D.C. Courts and further emphasizes the Courts’ ongoing values initiative by modeling accountability, excellence, fairness, integrity, respect, and transparency to its end users and constituents.

Relationship to Divisional Objectives. The Center is charged with providing learning and professional development opportunities to all court personnel and developing high-level strategic planning. All of the aforementioned training programs are key elements of the Center’s Management Action Plans (Courtwide Training, Judicial Institute, Leadership Institute, Management Institute, and Visitors Program) to implement the Courts’ Strategic Plan.

Relationship to Existing Funding. Funding for this position is not currently available in the CET’s budget.

Proposed Solution. Given the need for enhanced training initiatives, the CET proposes to recruit and hire one additional staff member whose responsibilities will include development and oversight of functions associated with providing cutting-edge classes, procurement, contracting, marketing, logistics, regulatory compliance, technical support and event planning.

Methodology. The most recent Training Needs Assessment Report, in conjunction with the increased demand for training programs and events, support the CET’s request for restoration of a Deputy Director position. The need for greater educational program development, technical and administrative oversight, as well as data gathering and reporting, are critical aspects in improving the CET’s delivery of support and services.

Expenditure Plan. The job position of Deputy Director will be classified in accordance with the Courts’ Classification Procedures. CET will follow the Courts’ Personnel Policies to recruit and select the best candidate for the position.

Performance Indicators. The new staff member will have a performance plan that will be aligned with the achievement of the CET’s MAPs. The performance evaluation will be conducted annually. Performance indicators include the number and quality of successfully concluded classes, special events, initiatives and conferences, the efficient use of resources, and complete compliance with government training regulations.

Table 3
CENTER FOR EDUCATION AND TRAINING
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Costs
Deputy Director	JS-15	1	\$149,000	\$37,000	\$186,000

Table 4
CENTER FOR EDUCATION AND TRAINING
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 – Personnel Compensation	805,000	805,000	993,000	188,000
12 – Personnel Benefits	225,000	225,000	272,000	47,000
<i>Subtotal Personnel Cost</i>	<i>1,030,000</i>	<i>1,030,000</i>	<i>1,265,000</i>	<i>235,000</i>
21 – Travel, Transp. Of Persons	274,000	274,000	283,000	9,000
22 – Transportation of Things				
23 – Rent, Commun. & Utilities				
24 – Printing & Reproduction				
25 – Other Services	808,000	808,000	834,000	26,000
26 – Supplies & Materials	8,000	8,000	8,000	0
31 – Equipment	6,000	6,000	6,000	0
<i>Subtotal Non- Personnel Cost</i>	<i>1,096,000</i>	<i>1,096,000</i>	<i>1,131,000</i>	<i>35,000</i>
TOTAL	2,126,000	2,126,000	2,396,000	270,000
FTE	7	7	8	1

Table 5
CENTER FOR EDUCATION AND TRAINING
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 – Personnel Compensation	Current Position WIG	7	13,000	
	Current Position COLA	7	26,000	
	Deputy Director	1	149,000	
<i>Subtotal 11</i>				<i>188,000</i>
12 – Personnel Benefits	Current Position WIG	7	3,000	
	Current Position COLA	7	7,000	
	Deputy Director	1	37,000	
<i>Subtotal 12</i>				<i>47,000</i>
<i>Subtotal Personnel Services</i>				<i>235,000</i>
21 – Travel, Transp. Of Persons	Built-in Increases			9,000
22 – Transportation of Things				
23 – Rent, Commun. & Utilities				
24 – Printing & Reproduction				
25 – Other Service	Built-in Increases			26,000
26 – Supplies & Materials				
31 – Equipment				
<i>Subtotal Non-Personnel Services</i>				<i>35,000</i>
Total				270,000

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

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 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			1
Total Salaries	805,000	805,000	993,000
Total FTEs	7	7	8

**DISTRICT OF COLUMBIA COURT SYSTEM
COURT REPORTING DIVISION**

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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	6,375,000	0	284,000

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 efficient and 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 46 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 419,000 transcript pages in 2018. 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 2018 Actual	FY 2019 Estimate	FY 2020 Estimate	FY 2021 Estimate
Input	Transcription Branch orders received	Division Records	4,800	5,200	5,300	5,300
Input	Court Reporting Branch orders received	Division Records	3,330	3,400	3,400	3,500
Output	Pages of court transcripts produced (appeal/non-appeal)	Division Records	419,000	370,000	375,000	380,000

Table 2
COURT REPORTING DIVISION
Key Performance Indicators

Type of Indicator	Performance Indicator	Data Source	FY 2018		FY 2019		FY 2020		FY 2021	
			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	14	11	14	11	14
Timeliness	Average time (in days) to complete transcripts of taped <i>non</i> -appellate proceedings	Division Records	6	7	6	6	6	6	6	6
Timeliness	Average time (in days) to complete appellate transcripts by court reporters *	Division Records	37	44	37	37	36	36	36	36
Timeliness	Average time (in days) to complete <i>non</i> -appellate transcripts by court reporters *	Division Records	10	10	10	10	10	10	10	10

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

FY 2021 Request

In FY 2021, the Courts request for the Court Reporting Division is \$6,375,000, an increase of \$284,000 (5%) above the FY 2020 Enacted Budget. The requested increase consists of built-in cost increases.

Table 3
COURT REPORTING DIVISION
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	4,682,000	4,682,000	4,903,000	221,000
12 - Personnel Benefits	1,311,000	1,311,000	1,371,000	60,000
<i>Subtotal Personnel Services</i>	<i>5,993,000</i>	<i>5,993,000</i>	<i>6,274,000</i>	<i>281,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	4,000	4,000	4,000	0
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 Non-Personnel Services</i>	<i>98,000</i>	<i>98,000</i>	<i>101,000</i>	<i>3,000</i>
TOTAL	6,091,000	6,091,000	6,375,000	284,000
FTE	46	46	46	0

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

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Position WIG	46	71,000	
	Current Position COLA	46	150,000	
<i>Subtotal 11</i>				<i>221,000</i>
12 - Personnel Benefits	Current Position WIG	46	18,000	
	Current Position COLA	46	42,000	
<i>Subtotal 12</i>				<i>60,000</i>
Subtotal Personnel Services				281,000
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
Subtotal Non-Personnel Services				3,000
TOTAL				284,000

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

Grade	FY 2019 Enacted	FY 2020 Enacted	FY 2021 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	4,903,000
Total FTEs	46	46	46

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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>
22	3,304,000	22	3,304,000	23	3,591,000	1	287,000

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.

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.
- 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.
- 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
- Mental Health Advisory Council

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:

- Launched a feasibility project to examine technology case management solutions for 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.
- Initiated the 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.
- Completed a comprehensive revision of 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 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 polices in accordance with the D.C. Courts’ Polices and applicable federal laws.
- Hosted the Annual Financial Literacy Seminar in recognition of Financial Literacy month (April). Topic, “Financial Boot Camp”.
- Hosted the D.C. One Fund Campaign and D.C. Courts Health Fair for the 2018 open enrollment season.
- Enhanced the look and feel of the HR Intranet page to a 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 refresher trainings (one-on-one and group sessions) on the personnel human resources systems: the Federal Personnel/Pay System (FPPS), and 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.
- 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 2017-18 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 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 resume and interview clinics to assist students and professionals with honing their resume and interview skills.
- Facilitated 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.

Workload Data

During FY 2018, the Human Resources Division processed over 100 Family and Medical Leave Act requests, 10 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 2018, over 15 employees sought counsel from the EEO Office. There were seven EEO complaints filed, six sexual harassment complaints, and six bullying complaints filed and investigated. Informal resolutions were reached in 15 matters.

Table 1
HUMAN RESOURCES DIVISION
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2018		FY 2019		FY 2020		FY 2021	
			Goal	Actual	Goal	Estimate	Goal	Projection	Goal	Projection
Output	# of employees attending benefit seminars, retirement workshops, health fairs, etc.	Registration & attendance documents	650	650	700	700	750	750	750	750
Output	# of employees attending Performance Management Training and Briefings	Registration & attendance documents	150	150	200	200	250	250	250	250
Output	Performance Evaluations Processed ¹	Rec’d Evals	900	900	900	900	900	900	900	900
Output	# of employees with access to eOPF	HR Data Reports	1,300	1,282	1,286	1,286	1,286	1,286	1,300	1,300

¹Performance evaluations are conducted for all permanent, non-judicial staff who have completed their probationary periods. This goal reflects evaluation of all eligible employees.

FY 2020 Request

In FY 2021, the Courts' request for the Human Resources Division is \$3,591,000, an increase of \$287,000 (9%) above the FY 2020 Enacted Budget. The requested increase includes \$133,000 for 1 FTE to plan for sustained leadership as a wave of retirements hit the Courts and \$154,000 for built-in cost increases.

****Planning for Tomorrow's Workforce, 1 FTE, \$133,000 Human Resources Specialist – Workforce Planning (JS-13)***

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.

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

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 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 critical 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 Positions Requested

	Grade	Number	Salary	Benefits	Total Personnel Costs
Human Resources Specialist Workforce Planning	13	1	\$107,000	\$26,000	\$133,000

Table 3
HUMAN RESOURCES DIVISION
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	2,558,000	2,558,000	2,786,000	228,000
12 - Personnel Benefits	715,000	715,000	774,000	59,000
<i>Subtotal Personnel Cost</i>	<i>3,273,000</i>	<i>3,273,000</i>	<i>3,560,000</i>	<i>287,000</i>
21 - Travel, Transp. of Persons	10,000	10,000	10,000	
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	12,000	12,000	12,000	
31 - Equipment	9,000	9,000	9,000	
<i>Subtotal Non- Personnel Cost</i>	<i>31,000</i>	<i>31,000</i>	<i>31,000</i>	
TOTAL	3,304,000	3,304,000	3,591,000	287,000
FTE	22	22	23	1

Table 4
HUMAN RESOURCES DIVISION
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Position WIG	22	39,000	
	Current Position COLA	22	82,000	
	Human Resources Specialist WP	1	107,000	
	<i>Subtotal 11</i>			<i>228,000</i>
12 - Personnel Benefits	Current Position WIG	22	10,000	
	Current Position COLA	22	23,000	
	Human Resources Specialist WP	1	26,000	
	<i>Subtotal 12</i>			<i>59,000</i>
	<i>Subtotal Personnel Services</i>			<i>287,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials				
31 - Equipment				
	<i>Subtotal Non-Personnel Services</i>			
Total				287,000

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

	FY 2019 Enacted	2020 Enacted	FY 2021 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	2	2	2
JS-8	1	1	1
JS-9	2	2	2
JS-10			
JS-11	2	2	2
JS-12	6	6	6
JS-13	4	4	5
JS-14	3	3	3
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	2,558,000	2,558,000	2,786,000
Total FTEs	22	22	23

**DISTRICT OF COLUMBIA COURT SYSTEM
INFORMATION TECHNOLOGY DIVISION**

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
69	11,510,000	69	12,628,000	70	13,535,000	1	907,000

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.

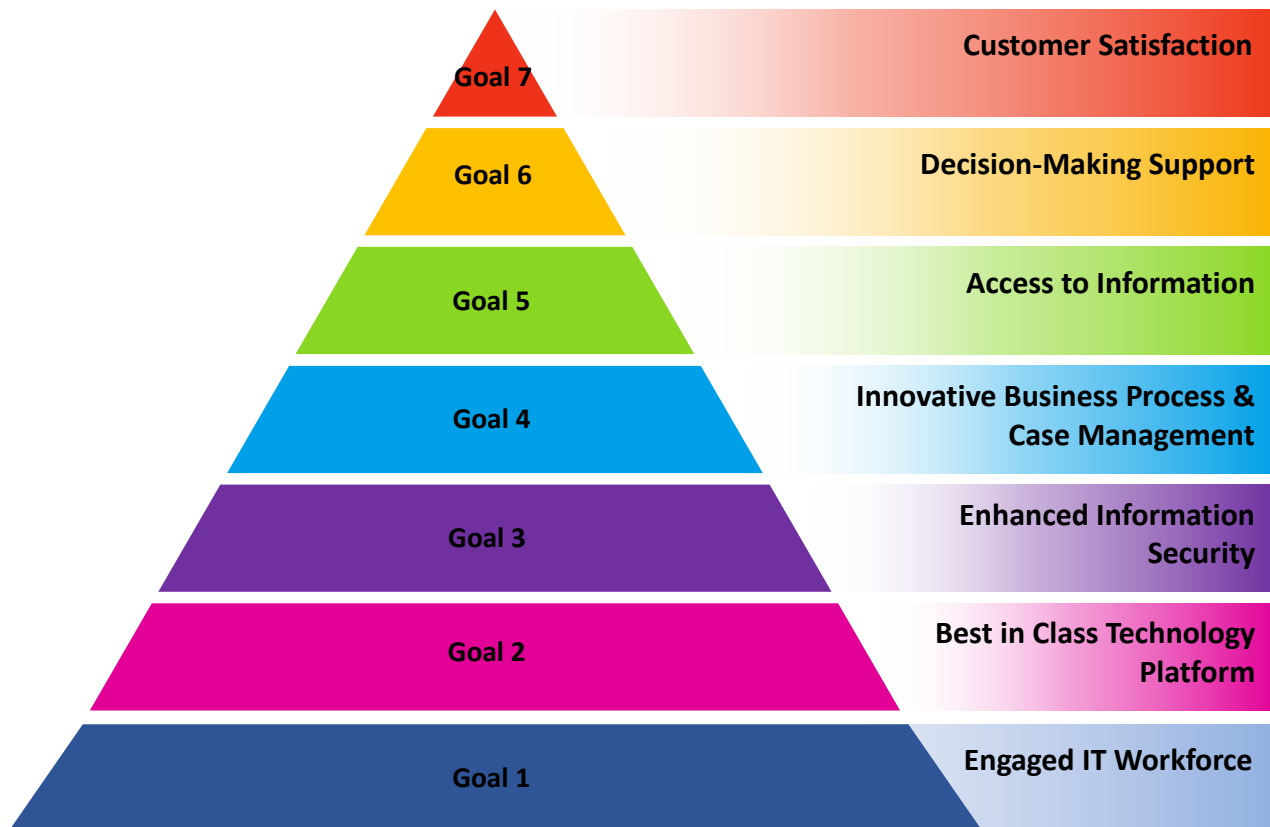
Organizational Background

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

Superior Court New Case Management System. In September and early October 2018 the IT Division assembled the final set of requirements (approximately 650 Functional and Technical) for inclusion in the Request for Proposal (RFP) Solicitation as well as the criteria for selection. The Courts' Administrative Services Division released the RFP in mid-October 2018. The Courts received a total of 5 vendor proposals, which were submitted at the end of November 2018. The IT Division chaired the Source Selection Evaluation Board charged with evaluating the proposals and recommending an award to the Courts' Contracting Officer. The Courts intend to complete the selection process in early summer 2019 and kick off implementation of the new case management system no later than July 1, 2019.

eFiling Program Enhancement – Judge Review Functionality. In April 2019 the Superior Court enhanced the capability of its eFiling program to provide an alternative means for filers to submit “editable” versions of filings such as proposed orders to judges.

Forms Help Online - Interactive Interview/Document Assembly Solution. The IT Division continues to enhance the Forms Help Online portal implemented last year to help pro se litigants and solo law practitioners fill out necessary courts' forms electronically. Phase 2 of the initiative

focused on the Civil and Probate Divisions as well as additional interviews and forms for Family Court. By the end of September 2019, the IT Division expects to add approximately 18 additional interviews to the Forms Help Online portal.

Juvenile Probation Case Management System. Phase 2 of this project is underway with completion anticipated by September 2019. A near real-time data exchange between this system and the Superior Court's CourtView case management system is the centerpiece of Phase 2 as well as electronic interfaces to other resources such as the Pre-trial Services PRISM-J application for drug test ordering and results tracking; the Court's GPS monitoring vendor; and the Business Intelligence platform.

Metropolitan Police Department Warrant Interface Exchange. Continuing on the work performed in FY17, Court IT validated functional requirements with Criminal, Domestic Violence and Family Court stakeholders in early 2018 resulting in finalization of the Detail Design for this electronic interface in July 2018. This interface allows for the near real time exchange of bench warrant, custody order and Domestic Violence protection order data between the Metropolitan Police Department and the Court through the CJCC JUSTIS platform. The Criminal and Domestic Violence transaction process is scheduled to go into production in early summer 2019.

IT Security Awareness Annual Training and Quiz, In April 2019, enhancements were completed for the IT Security Questionnaire application which is used to increase user awareness and compliance with information security best practices and preserve integrity of court information. The new enhancements include the following functionality: a new set of security questionnaire, implementation of questionnaire administration functionality, enhanced user management module, and improved reporting functionality. The IT Security Awareness training and assessment was conducted during April 2019.

Probate Self-help Check-in System, In September 2018, the IT Division implemented an e-Lobby System for the Probate Self-Help Center to enable a more effective and efficient service delivery model while providing critical management information to drive continuous process improvement. This application incorporates a short sequence of reception questions (approximately 6-10) to significantly enhance the delivery of customer service as well as improve the management of data available for evaluation on the eLobby Sign-In Form.

Administrative Services Division (ASD)'s Contract Management System. In November 2018, the IT Division completed the ASD Contract management system, which is an APEX application for storing and managing contracts and includes functionality to collect data about vendors, leases, various contracts and licensing agreements. The purpose of the contract management system is to manage procurement tasks more efficiently and effectively. Utilizing this application, Contracting Officer(s), Contract Specialist and Contracting Officer's Technical Representatives are able to track solicitations, modifications, and termination of contracts.

Web Mediation Management System replacement for the Multi-door Division. In November, 2018, the Web Mediator Management System (WMMS) application was created for

the Multi-door Dispute Resolution Division. The purpose of this application is to maintain a central mechanism for mediator management.

Business Intelligence (BI) Solution - new implementations and enhancements. In FY19, the BI Solution has been able to deploy meaningful and actionable information to the Chief Judge of the Superior Court through dashboard delivery in April 2019. The BI team is on track to provide dashboards to the Executive Office, Clerk of the Court, and the Court of Appeals Chief Judge. The BI solution has been utilized by many operating divisions for day-to-day statistical and ad-hoc reporting needs and has seen a steady rise in the consumers and authors in the last few years with the total numbers reaching over 500 court employees. Upgrades to underlying technology and latest versions of the Oracle BI environment have been successfully completed which provided improved performance and accurate reporting capabilities.

Courtwide Old Case File Digitization. The IT Division is currently working with multiple business areas to digitize older case files that are currently stored on paper and microform. For some business units, the digitized files were uploaded to the Courts' imaging system. For other business units, a search and retrieval system was custom-developed by the IT Division in order to accommodate their specific needs. Over the past year, microform digitization alone yielded approximately 49,000 for the Probate Division; approximately 152,000 Felony cases for the Criminal Division; and approximately 88,000 cases for the Family Division. Because of this effort, these business units can efficiently access historic case information. Additional enhancements include the automation of backups, secure/confidential access to information, and the broader availability of information.

Courtwide VoIP Implementation. In September 2018, VoIP technology was implemented court-wide, including all six locations on the Judiciary Square campus and all satellite locations. The new system provides high-availability, eliminates the need for large legacy telephony equipment, enhances communication, and reduces management overhead.

Office365 Implementation. The IT Division is working to upgrade all court computers with new systems and programs to Windows 10 and the latest version of Office (Word, Excel, etc.) – Office 365. This software is used for judicial officers, and other court employees, to communicate among themselves and with the public. The Microsoft Office365 implementation will assist the Courts to meet its Strategic Goal IV – Resilient and Responsive Technology by providing Access to Information in an efficient manner. This initiative will promote consistency as all users across the Courts will have the same versions, and will enable the Courts to more effectively support employees in accomplishing their work. The IT Division expects this upgrade to be completed by April of 2020.

Electronic Fax. The Courts currently receives paper documents via fax and then scans them into an electronic format. Many of these documents must be accessed through the Courts' case management system. To improve operational performance, increase quality control procedures and reliability of electronic records, the IT Division will implement a Cloud-based Fax Solution which will allow users to send and receive faxes electronically using Microsoft Outlook. The target completion date for the implementation is December 2019.

Incapsula Web Application Firewall (WAF) Solution. In October 2018, the IT Division successfully re-implemented Incapsula WAF solution to protect DCSC.GOV portal from outside malicious attempts for outbound facing web appliances. This protects the Court’s website from various malicious web traffic.

FY 2021 Request

In FY 2021, the Courts request for the Information Technology Division is \$13,535,000, an increase of \$907,000 (8%) above the FY 2020 Enacted Budget. The requested increase includes \$239,000 for Microsoft Cloud Services and Annual Subscription/Security Fees; \$133,000 for 1 FTE to support automation and implementation of a new case management system; and \$535,000 for built-in cost increases.

Microsoft Cloud Services, Security, and Annual Subscription Fees, \$239,000

Problem Statement. To keep pace with technology industry standards for efficiency and security, resources are required to support the movement of technology to the Clouds, the efficient implementation of technology projects; and enhanced security services. The Courts rely on technology for our operations and public access and must also safeguard data that we collect from litigants, jurors, and others.

The Courts have begun migrating technology platforms from our premises to the cloud, the Microsoft Azure cloud. For example, at this writing, the Court of Appeals is migrating its C-Track case management system to Azure (Platform-as-a-Service) and the Superior Court case management system will also be cloud-based. Cloud computing services costs are based on resource utilization and are essential to provide efficient access to case management data, as well as other court data that will be migrating to the cloud in the future. In addition, to strengthen network performance and security, the Courts must establish a secure private network connection of 100 Mbps to Microsoft Azure.

To manage the growing demand for technology projects that support court operations, the IT Division must have an efficient project management tool. The Division plans to use Microsoft Azure Project and Portfolio Management (PPM) to:

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

Finally, with the expansion of IT tools, educating employees on IT security is critical to the operational effectiveness of the Courts’ business operations and the security of the data we maintain. The IT Division continues to sponsor court-wide security-awareness training initiatives including classroom or online training sessions, security awareness websites, helpful hints via e-mail, and posters emphasizing the importance of IT security awareness. To measure the effectiveness of these initiatives for threat prevention, the IT Division requires an annual software subscription that simulates real-world phishing attacks and provides an analysis of any

security vulnerabilities and areas of risk. This data analysis will then inform future IT security training initiatives.

Relationship to Court Mission and Goals. The implementation of Microsoft Cloud Services as with annual subscription and enhanced security features will assist the Courts in meeting the following strategic goals: Strategic Goal IV of Resilient and Responsive Technology by delivering enhanced technology capabilities that satisfy the needs of the stakeholders; as well as Strategic Goal I of Access to Justice for All by delivering timely justice systems that are readily accessible by the general public; Strategic Goal II of Fair and Timely Case Resolution by providing cloud-based case management and case filing systems on time; and Strategic Goal V of Effective Court Management and Administration by enhancing the quality and availability of court records, the integrity of data, and maintaining an effective disaster recovery plan.

Relationship to Divisional Objectives. The implementation of Microsoft Cloud Services with annual subscription and enhanced security features will allow the Information Technology Division to meet the following six of its strategic objectives:

- Best in Class Technology Platform
- Enhanced Information Security
- Access to Information
- Innovative Business Processes and Case Management
- Engaged IT Workforce
- Customer Satisfaction

Relationship to Existing Funding. Funding for the implementation of Microsoft Cloud Services with annual subscription and enhanced security features is currently not in the Courts' budget.

Methodology. The Information Technology Division will follow industry best practices, and the IT Security Directives.

Expenditure Plan. Funds will be used for implementation of Microsoft Cloud Services, its security features, and the annual subscription fees which are charged based on utilization.

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

- Improved user satisfaction. Users will have access to case records and data on a 24/7 basis.
- Availability of a system. Access to the Courts' information will be 24/7.
- Improved security and compliance. Access to the Courts' resources over a private and secure network, and a cloud platform built upon the foundational principles of security, privacy and control, compliance, and transparency.

***Applications Programmer, 1 FTE, \$133,000
IT Specialist (JS-13)**

Problem Statement. The courts operating divisions are heavily reliant on technologies that assist in streamlining the business processes of the Courts and providing best in class service to the public. The Business Analysis Branch is one of the critical units supporting the Courts operating divisions with business process re-engineering and automation through Business Intelligence development, data model development, system integration, report writing, and system-to-system interface developments. To support the influx of business process automation requests as well as the implementation of the new case management system for the Superior Court, the Information Technology Division urgently needs to restore one full-time Applications Programmer position that was vacated due to a staff member’s retirement and a mandated budget cut in FY 2018. This position is critical to the success of the Courts’ business process reengineering effort and to the implementation of a new case management system.

Relationship to Court Mission and Goals: The Applications Programmer position will assist the Courts in meeting its Strategic Goal II of Fair and Timely Case Resolution by providing the core capabilities of designing, building and delivering reliable, sustainable and highly scalable information technology solutions.

Relationship to Divisional Objectives. The Applications Programmer position will allow the Information Technology Division to meet three of its strategic objectives, which are:

- Best in Class Technology Platform
- Innovative Business Processes and Case Management
- 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 allocated 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 the timely and reliable delivery of innovative solutions.

Table 1
INFORMATION TECHNOLOGY DIVISION
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Costs
IT Specialist-Application Programmer	13	1	\$107,000	\$26,000	\$133,000

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

Table 2
INFORMATION TECHNOLOGY DIVISION
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	6,834,000	6,834,000	7,263,000	429,000
12 - Personnel Benefits	1,914,000	1,914,000	2,028,000	114,000
Subtotal Personal Services	8,748,000	8,748,000	9,291,000	543,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	424,000	424,000	438,000	14,000
24 - Printing & Reproduction	27,000	27,000	28,000	1,000
25 - Other Services	1,734,000	2,852,000	3,183,000	331,000
26 - Supplies & Materials	169,000	169,000	174,000	5,000
31 - Equipment	408,000	408,000	421,000	13,000
Subtotal Nonpersonal Services	2,762,000	3,880,000	4,244,000	364,000
TOTAL	11,510,000	12,628,000	13,535,000	907,000
FTE	69	69	70	1

Table 3
INFORMATION TECHNOLOGY DIVISION
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Position WIG	69	103,000	
	Current Position COLA	69	219,000	
	IT Specialist-Application Programmer	1	107,000	
Subtotal 11				429,000
12 - Personnel Benefits	Current Position WIG	69	27,000	
	Current Position COLA	69	61,000	
	IT Specialist-Application Programmer	1	26,000	
Subtotal 12				114,000
Subtotal Personnel Services				543,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Comm. & Utilities	Built-in Increases			14,000
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Services	Built-in Increases		92,000	
	Cloud-based Office and Portfolio		239,000	
Subtotal - 25				331,000
26 - Supplies & Materials	Built-in Increases			5,000
31 - Equipment	Built-in Increases			13,000
Subtotal Non-Personnel Services				364,000
Total				907,000

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

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request
JS-6			
JS-7			
JS-8	7	7	7
JS-9	3	4	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	9
JS-15			
CEMS	2	2	2
CES	1	1	1
Total Salary	6,834,000	6,834,000	7,263,000
Total FTEs	69	70	71

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

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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	822,000	0	30,000

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 for the Superior Court and the Court of Appeals and their prompt dissemination to the Bar and the general public; (3) the provision of legal and administrative support for committees and working groups that facilitate access to justice court initiatives, (4) 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 (5) 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 2021 Request

In FY 2021, the D.C. Courts request for the Office of the General Counsel is \$822,000, an increase of \$30,000 (4%) above the FY 2020 Enacted Budget. The requested increase consists of built-in cost increases.

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

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	605,000	605,000	629,000	24,000
12 - Personnel Benefits	171,000	171,000	177,000	6,000
<i>Subtotal Personnel Services</i>	776,000	776,000	806,000	30,000
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	10,000	0
31 - Equipment	6,000	6,000	6,000	0
<i>Subtotal Non-Personnel Services</i>	16,000	16,000	16,000	0
TOTAL	792,000	792,000	822,000	30,000
FTE	5	5	5	0

Table 2
OFFICE OF THE GENERAL COUNSEL
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Position WIG	5	5,000	
	Current Position COLA	5	19,000	
<i>Subtotal 11</i>				<i>24,000</i>
12 - Personnel Benefits	Current Position WIG	5	1,000	
	Current Position COLA	5	5,000	
<i>Subtotal 12</i>				<i>6,000</i>
<i>Subtotal Personnel Services</i>				<i>30,000</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			
31 - Equipment	Built-in Increases			
<i>Subtotal Non-personnel Services</i>				<i>0</i>
Total				30,000

Table 4
OFFICE OF THE GENERAL COUNSEL
Detail of Full-Time Equivalent Employment

	2019 Enacted	2020 Enacted	FY 2021 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	2	2	2
CEMS			
CES	1	1	1
Total Salary	605,000	605,000	629,000
Total FTEs	5	5	5

**DISTRICT OF COLUMBIA COURT SYSTEM
STRATEGIC MANAGEMENT DIVISION**

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference FY 2020/2021</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>
10	1,563,000	10	1,563,000	10	1,636,000	0	73,000

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 data collection and reporting standards, 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 leads the Courts’ data governance program to use data to inform operational decisions and achieve Strategic Plan goals. 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 lead the Courts' data governance program to create a consistent enterprise view of data while leveraging it as a strategic asset to improve confidence and trust in data, make information accessible, understandable and reusable, ensure data security and privacy, promote information-sharing and reduce cost and duplication.
4. To ensure the D.C. Courts employ a robust and inclusive court-wide strategic planning process to develop and report key results for the Courts' five-year Strategic Plans;
5. 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;
6. To conduct research and evaluation that is aligned with the Courts' strategic agenda and that meets the needs of court units;
7. To deliver just-in-time analyses, reports and recommendations that support informed judicial and executive decision-making;
8. To partner with external research organizations on research and evaluation initiatives to enhance the Courts' mission and goals;
9. To promote continuity and enhance data accuracy and reporting by coordinating data sharing and exchange with justice partners, researchers and the general public;
10. To lead and coordinate the Courts' grant-seeking activities to achieve strategic and operational goals;
11. 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:

- Spearheaded planning and implementation efforts to establish a Data Governance Program to ensure data consistency, integrity and transparency across the Courts.
- Collaborated with divisions to coordinate data collection activities to ensure public reporting of key results included in the 2018-2022 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;
- Collaborated with court principals to design and implement a multi-phased mental health community court program evaluation.
- Conducted a grant-sponsored baseline assessment to identify the availability of mentoring services for youth involved in sex trafficking cases, as well as to gauge the District's knowledge base of such activity in the community.
- Facilitated design efforts to develop a community resource center at the Courts;
- Worked with justice agency partners, researchers, and other external agencies/organizations to facilitate the exchange of data for special projects, committee reporting, research studies, legal/informational briefings, applications, and publications;
- Worked with court units to identify key performance indicators and other business requirements as well as to enhance data quality for business intelligence dashboards and performance reports;
- Worked with court units to compile annual caseload statistics and prepare the Courts' Statistical Summary;
- Collaborated with court units to expand the reporting of caseload data to the National Center for State Courts;
- Developed and taught classes on identifying, tracking and reporting performance measures.
- 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 2021 Request

In FY 2021, the Courts request for the Strategic Management Division is \$1,636,000, an increase of \$73,000 (5%) above the FY 2020 Enacted Budget. The requested increase consists of built-in cost increases.

Table 1
STRATEGIC MANAGEMENT DIVISION
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	1,186,000	1,186,000	1,242,000	56,000
12 - Personnel Benefits	332,000	332,000	348,000	16,000
<i>Subtotal Personnel Services</i>	<i>1,518,000</i>	<i>1,518,000</i>	<i>1,590,000</i>	<i>72,000</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	7,000	0
31 - Equipment	7,000	7,000	7,000	0
<i>Subtotal Non- Personnel Services</i>	<i>45,000</i>	<i>45,000</i>	<i>46,000</i>	<i>1,000</i>
TOTAL	1,563,000	1,563,000	1,636,000	73,000
FTE	10	10	10	0

Table 2
STRATEGIC MANAGEMENT DIVISION
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Current Position WIG	10	18,000	
	Current Position COLA	10	38,000	
<i>Subtotal 11</i>				<i>56,000</i>
12 - Personnel Benefits	Current Position WIG	10	5,000	
	Current Position COLA	10	11,000	
<i>Subtotal 12</i>				<i>16,000</i>
<i>Subtotal Personnel Services</i>				<i>72,000</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				
31 - Equipment				
<i>Subtotal Non-Personnel Services</i>				<i>1,000</i>
Total				73,000

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

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 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			
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	1,242,000
Total FTEs	10	10	10

**DISTRICT OF COLUMBIA COURT SYSTEM
MANAGEMENT ACCOUNT**

<u>FY 2019 Enacted</u>		<u>FY 2020 Enacted</u>		<u>FY 2021 Request</u>		<u>Difference</u> <u>FY 2020/FY 2021</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	26,428,000	0	26,428,000	0	28,955,000	0	2,527,000

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 2021 Request

In FY 2021, the D.C. Courts request for the Management Account is \$28,955,000, an increase of \$2,527,000 (10%) above the FY 2020 Enacted Budget. The requested increase includes \$1,670,000 for an initiative to enhance public safety, described in the **Initiatives Section** of this request, and \$857,000 for built-in cost increases.

Table 1
MANAGEMENT ACCOUNT
Budget Authority by Object Class

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Request	Difference FY 2020/2021
11 - Personnel Compensation	241,000	241,000	253,000	12,000
12 - Personnel Benefits	256,000	256,000	265,000	9,000
<i>Subtotal Personal Services</i>	<i>497,000</i>	<i>497,000</i>	<i>518,000</i>	<i>21,000</i>
21 - Travel, Transp. of Persons	121,000	121,000	125,000	4,000
22 - Transportation of Things	6,000	6,000	6,000	
23 - Rent, Comm. & Utilities	8,675,000	8,675,000	8,954,000	279,000
24 - Printing & Reproduction				
25 - Other Services	12,865,000	12,865,000	14,950,000	2,085,000
26 - Supplies & Materials	293,000	293,000	302,000	9,000
31 - Equipment	3,971,000	3,971,000	4,100,000	129,000
<i>Subtotal Non-personal Services</i>	<i>25,931,000</i>	<i>25,931,000</i>	<i>28,437,000</i>	<i>2,506,000</i>
TOTAL	26,428,000	26,428,000	28,955,000	2,527,000
FTE	0	0	0	0

Table 2
MANAGEMENT ACCOUNT
Detail, Difference FY 2020/2021

Object Class	Description of Request	FTE	Cost	Difference FY 2020/2021
11 - Personnel Compensation	Built in increase			12,000
12 - Personnel Benefits	Built in increase			9,000
<i>Subtotal Personnel Services</i>				21,000
21 - Travel and Transportation	Built in increase			4,000
22 - Transportation of Things				
23 - Rent, Comm. & Utilities	Built in increase			279,000
24 - Printing & Reproduction				
25 - Other Services	Built in increase		415,000	
	Enhancing Public Security		1,670,000	
<i>Subtotal 25</i>				2,085,000
26 - Supplies and Materials	Built in increase			9,000
31 – Equipment	Built in increase			129,000
<i>Subtotal Non-Personnel Services</i>				2,506,000
TOTAL				2,527,000

**District of Columbia Courts
FY 2021 Budget Justification
New Positions Requested by Grade**

Position	Division	Grade	Number	Annual Salary	Benefits	Total Personnel Cost
COURT OF APPEALS						
Administrative Assistant		JS-9	1	62,000	15,000	77,000
<i>Court of Appeals Subtotal</i>			1	62,000	15,000	77,000
SUPERIOR COURT						
Magistrate Judge	Judges and Chambers	JS-15	2	360,000	88,000	448,000
Case Manager	Multi-Door	JS-10	4	272,000	68,000	340,000
Courtroom Clerk	Civil	JS-7	3	153,000	36,000	189,000
Attorney Negotiator	Domestic Violence	JS-13	1	107,000	26,000	133,000
Program Analyst	Domestic Violence	JS-13	1	107,000	26,000	133,000
Program Manager	Probate	JS-13	1	107,000	26,000	133,000
Accountant	Clerk of Court	JS-12	1	90,000	22,000	112,000
Auditor	Probate	JS-12	1	90,000	22,000	112,000
Legal Assistant	Probate	JS-11	1	75,000	18,000	93,000
<i>Superior Court Subtotal</i>			15	1,361,000	332,000	1,693,000
COURT SYSTEM						
Court Navigator	Executive Office	JS-8/9	2	124,000	32,000	156,000
Multimedia Specialist	Executive Office	JS-11	1	75,000	18,000	93,000
Deputy Director	Education and Training	JS-15	1	149,000	37,000	186,000
Audiovisual Production Specialist	Executive Office	JS-13	1	107,000	26,000	133,000
Human Resources Specialist - Workforce Planning	Human Resources	JS-13	1	107,000	26,000	133,000
IT Specialist-Application Programmer	Information Technology	JS-13	1	107,000	26,000	133,000
Pro Bono Coordinator	Executive Office	JS-14	1	127,000	31,000	158,000
Capital Projects Manager	Capital Projects and Facilities Management	JS-13	1	107,000	26,000	133,000
Administrative Assistant	Capital Projects and Facilities Management	JS-9	1	62,000	15,000	77,000
<i>Court System Subtotal</i>			10	965,000	237,000	1,202,000
D.C. COURTS TOTAL			26	2,388,000	584,000	2,972,000

**DISTRICT OF COLUMBIA COURTS
CAPITAL BUDGET**

District of Columbia Courts - Fiscal Year 2021 Budget Justification Summary <i>(dollars in millions)</i>	PY-1 and earlier ¹	PY 2019	CY 2020	Full Budget Request BY 2021	BY+1 2022	BY+2 2023	2024 and beyond ⁹	Total, unfunded amounts (sum 2021 - beyond)
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Renovations, Improvements & Expansions								
Moultrie Courthouse Addition	198.81	27.06	0.00	0.00	0.00	0.00	0.00	0.00
Migration from Gallery Place <i>(Building B Initial Renovation)</i>	0.00	0.00	11.25	19.05	0.00	0.00	0.00	19.05
510 4th Street N.W. Modernization <i>(Building B Remaining Renovation)</i>	0.00	0.00	0.00	22.92	0.00	0.00	0.00	22.92
Historic Recorder of Deeds Restoration	0.00	0.00	0.00	10.94	28.43	0.00	0.00	39.37
Courtrooms and Judges Chambers	39.54	1.46	0.00	17.48	16.87	21.36	180.04	235.75
Campus Security, Signage & Lighting	9.15	0.00	0.00	2.25	10.50	0.50	0.00	13.25
515 5th Street N.W. Modernization	0.13	0.00	0.00	13.88	0.00	0.00	0.00	13.88
Life Safety and Code Compliance Upgrades	0.00	0.00	8.25	0.00	0.00	0.00	0.00	0.00
Subtotal	247.63	28.52	19.50	86.52	55.79	21.86	180.04	344.21

Maintain Existing Infrastructure								
HVAC, Electrical and Plumbing Upgrades	5.05	4.18	0.00	9.37	2.50	4.61	0.03	16.51
Fire and Security Alarm Systems	0.00	0.00	0.00	3.18	3.17	1.43	0.00	7.78
General Repair Projects	10.00	8.87	12.75	17.92	17.48	16.31	0.73	52.44
Elevator and Escalator Repairs and Replacement	0.25	0.00	0.00	0.28	0.30	0.31	0.32	1.21
Restroom Improvements	0.00	0.00	0.00	0.28	0.30	0.31	0.32	1.21
Technology Infrastructure	1.00	3.43	2.00	2.41	4.72	4.90	5.11	17.15
Restoration of the Historic Courthouse	4.90	0.00	0.00	1.84	1.92	1.99	2.07	7.82
Subtotal	21.20	16.48	14.75	35.28	30.39	29.86	8.58	104.11

Total	268.83	45.00	34.25	121.80	86.17	51.72	188.62	448.33
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⁹ Maintain Existing Infrastructure amounts listed under “PY-1 and earlier” and “2024 and beyond” represent one year of funding, as these are ongoing projects.

Introduction: D.C. Courts Fiscal Year 2021 Capital Budget Request

The District of Columbia Courts (D.C. Courts) operate one of the busiest courthouse complexes in the country, processing over 100,000 cases each year and employing approximately 1,300 personnel and accommodating hundreds of employees of Federal and local agencies who are located on the court campus—all who directly serve the public, process court cases, and provide administrative support. On a daily basis, between 10,000 and 15,000 persons visit the D.C. Courts and between 150 and 350 prisoners are processed into the H. Carl Moultrie I Courthouse. To meet the demands of high-traffic and heavy public use, the D.C. Courts' facilities must be both functional and emblematic of their public significance and character and must provide a safe and secure environment within which courts business is conducted. The D.C. Courts address these facility demands comprehensively in the FY 2021 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. The capital funding requirements addressed in the FY 2021 Capital Budget request are included for five court buildings, ranging in age from 40 to 200 years old and spanning four city blocks within a historic area of D.C., some with significant maintenance and infrastructure needs and failing security equipment and infrastructure necessary to keep the courthouse campus safe. Specifically relating to safety, 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 United States Marshals Service has reported an increase in threats against judicial officers at the District of Columbia Courts.

In preparation for the FY 2021 Capital Budget request, the D.C. Courts carefully assessed the capital requirements essential to performing our statutory and constitutionally mandated functions. The D.C. Courts' request for capital funding in FY 2021 supports critical priority goals that are aligned with contemporary safety protocols and with the *National Strategy for the Efficient Use of Real Property 2015-2020* that was released by OMB in March of 2015 to "improve utilization of government-owned buildings to reduce reliance on leasing, lower the number of excess and underutilized properties, and improve the cost effectiveness and efficiency of the portfolio" of the Federal Government. It is also aligned with the concept of the D.C. Mayor's "Vacant to Vibrant" initiative to reduce the number of vacant and underutilized properties in the District of Columbia. This funding request supports improved utilization of space in our courthouses, consolidation and co-location of vital business functions, and cost effective use of government-owned properties rather than continued use of high-cost and less secure leased space. The capital projects identified in this request directly support the need to address (1) dynamic space requirements, including the Family Court consolidation mandated by Congress; (2) essential public health and safety conditions in high-traffic, visitor-centric buildings, such as the H. Carl Moultrie I Courthouse that accommodates more than 10,000 visitors per day; and (3) efficient capital investments that increase building safety and resiliency, lead to enhanced building sustainability, and avoid substantially increased costs resulting from phased construction.

The D.C. Courts currently maintain 1.36 million gross square feet (GSF) of government-owned space within five buildings in Judiciary Square: the Historic Courthouse at 430 E Street N.W.; the H. Carl Moultrie I 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. At this writing, the Courts are finalizing an agreement with the District for exclusive use of a sixth building, the historic Recorder of Deeds Building at 515 D Street N.W., which will increase the amount of space maintained by D.C. Courts by approximately 44,600 GSF for a total of six buildings and 1.4 million GSF of space.

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 Master Plan and D.C. Courts Facilities Master Plans (Facilities Master Plan), and the District of Columbia Courts Facilities Condition Assessment—has demonstrated the D.C. Courts exemplary stewardship of Federal 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 have been continuously committed to providing economic opportunities for the local community by utilizing small business entities to complete capital and infrastructure projects.

Although the 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 general 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 juvenile 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 support the criminal justice system.
2. D.C. Superior Court courtrooms and judge's chambers are considerably smaller than those of the Federal District Courts. The D.C. Courts use nearly 160,000 useable square feet (USF) less space compared to Federal Court standards. Trial courtrooms in the H. Carl Moultrie I 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 I Courthouse, 57 are 44% smaller than their Federal counterparts.

Historic Judiciary Square

The D.C. Courts are primarily located in the proposed Historic Judiciary Square District within the Pennsylvania Avenue National Historic Site, 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 area of the historic site. Great care was exercised undertaking the restoration of the D.C. Court of Appeals, 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 proposed Historic Judiciary Square District site. 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 site in its entirety remains a key component of the Nation’s Capital. Buildings at 515 5th Street N.W. (Building A), 510 4th Street N.W. (Building B), and 410 E Street N.W. (Building C), all constructed in 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 H. Carl Moultrie I Courthouse, although not historic, is also located along the view corridor and, having similar form and materials, reinforces the symmetry of the municipal building located across the John Marshall Plaza. The historic Recorder of Deeds Building at 515 D Street N.W., though not visible from all D.C. Courts buildings in Judiciary Square, is situated directly across the street from the H. Carl Moultrie I Courthouse, is within one to two blocks from all the other D.C. Courts’ buildings in Judiciary Square, and has architectural ties to three other buildings designed by Nathan Wyeth within the Judiciary Square.

Judiciary Square Master Plan

In 2001, the National Capital Planning Commission (NCPC) required that the D.C. Courts develop a Judiciary Square Master Plan—an urban design plan—before any construction by the D.C. Courts and others could commence in the area. The D.C. Courts led the effort and worked with all stakeholders on the Master Plan, including the United States Court of Appeals for the Armed Forces, the National Law Enforcement Officers 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 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 the historic setting in the “City of Washington.” It provides a comprehensive framework for capital construction for all local entities, and it laid 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 Master Plan ensures the preservation and restoration of one of the last historic green spaces in the District of Columbia undergoing 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. As improvements to the buildings

and site are made, 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.

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 D.C. Courts' interior space requirements and provided a blueprint for optimal space utilization by co-locating D.C. Courts components and consolidating into lower cost government-owned facilities on the Judiciary Square campus.

The Facilities Master Plan incorporated significant research, analysis, and planning by experts in architecture, urban design and planning to address 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 (Public Law Number 107-114);
2. The D.C. 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 Facilities Master Plan implementation;
4. Realignment of D.C. Courts' functions within the existing and proposed new D.C. Courts' facilities;
5. Continued implementation of required building code, life safety, security upgrades; and
6. Accommodation of new technologies, particularly in courtrooms.

A 2013 update of the Facilities Master Plan identified a space shortfall for the D.C. Courts notwithstanding the progress that the D.C. Courts had continuously made since 2001 by systematically completing projects identified in the Facilities Master Plan.

With the understanding that the D.C. Courts' Judiciary Square portfolio of government-owned facilities would not be sufficient to meet projected space shortfalls, and with a vision to continue the restoration of underutilized historic buildings within the proposed Historic Square District, the D.C. Courts commissioned a feasibility study for the restoration and modernization of the historic Recorder of Deeds building after the building had been vacated. The feasibility study concluded that, with extensive restoration and modernization efforts, the D.C. Courts could add a minimum of approximately 20,100 USF above ground to its portfolio at Judiciary Square.

Following a more recent examination of the Facilities Master Plan in 2018 and projection of the D.C. Courts' space need about ten years into the future, the space shortfall projected in 2013 was confirmed and it was concluded that the addition of the Recorder of Deeds Building to the D.C.

Courts' Judiciary Square portfolio is ideal and essential to meeting the D.C. Courts' anticipated 2030 space need without dependency on high-cost leased space. As such, the D.C. Courts are requesting funds in FY 2021 to restore and modernize 515 D Street N.W. to meet the impending space need and to completely consolidate the D.C. Courts into government-owned facilities at Judiciary Square.

Overview of the D.C. Courts' Facilities

As elements of the master plans are completed, the D.C. 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 D.C. Courts' Judiciary Square campus. Accordingly, baselines were established in the Facilities Condition Assessment Report that the D.C. Courts completed in March 2013. This document provided the D.C. Courts with a detailed life cycle analysis and periodic maintenance and replacement schedules for all facility assets in the D.C. Courts' portfolio. Projected replacements were identified in the Facilities Condition Assessment Report and the costs of those replacements were estimated for future funding requirements. Notably, the H. Carl Moultrie I Courthouse received a fair to poor rating, reflecting the yet to be completed upgrades to the building infrastructure, building interiors and surrounding site. In order to maintain all facilities in good repair, the D.C. Courts have utilized the Facilities Condition Assessment Report findings to develop funding requests since 2013 and is currently planning to re-baseline the Facilities Condition Assessment Report conducted in 2013 to update the requirements for facility needs until 2025.

515 D Street N.W. (Historic Recorder of Deeds Building)

515 D Street N.W., known commonly as the historic Recorder of Deeds Building, is the newest planned addition to the D.C. Courts facilities portfolio. It is a contributing building to the Pennsylvania Avenue National Historic Site with deep cultural ties to the District of Columbia and the United States as a whole. Located within the proposed Historic Judiciary Square District, adjacent to other D.C. Courts' buildings, it is uniquely positioned to meet the anticipated 2030 space need without dependency on high-cost leased space.

430 E Street N.W. (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 D.C. Courts, was completed on April 15, 2009. This \$130 million 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 USF of vacated space in the H. Carl Moultrie I Courthouse that has been renovated and reconfigured to increase life safety and security and improve the utilization of space in the building.

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.

In addition to maintaining the building infrastructure, the D.C. Courts continue to protect the taxpayer's investment by proactively monitoring the impact of construction activities in the surrounding area and taking action when necessary to mitigate risk of damaging the structural components of the building and the building foundation.

500 Indiana Avenue N.W. (H. Carl Moultrie I Courthouse)

The H. Carl Moultrie I Courthouse is uniquely designed to meet the needs of a busy trial court. It has three separate and secure circulation systems—one for judges, a second for the public, and a third for the 200 to 400 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, and nearly 10,000 visitors per day. Currently, the H. Carl Moultrie I Courthouse houses most Superior Court and Family Court operations and clerk's offices. Essential criminal justice and social service agencies also occupy office space in the H. Carl Moultrie I Courthouse. In short, the D.C. Courts has outgrown the space available in the H. Carl Moultrie I Courthouse that is inadequate for this high-volume court system to serve the public in a safe, appropriately dignified, and well-maintained setting.

Addition to the H. Carl Moultrie I Courthouse

The addition to the H. Carl Moultrie I Courthouse, commonly referred to as 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—is included in the National Capital Planning Commission (NCPC) and United States Commission of Fine Arts (CFA) approved Judiciary Square Master Plan. Though the Moultrie Courthouse Addition in its entirety has been completed over multiple phases, 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).

The D.C. Courts now occupy Phase 2A of the Moultrie Courthouse Addition and construction of Phase 2B is underway. The design program for the final phase, Phase 2B, includes six courtrooms, 20 associate judge chambers, juvenile probation and Family Court related offices, and juror facilities. The D.C. Courts are seeking LEED® Platinum Certification of the building addition. The addition addresses security issues, energy efficiency, and environmental principles in a cost-effective manner and will add approximately 61,000 USF of space to the D.C. Courts' facility portfolio. However, while the Moultrie Courthouse Addition, when completed, will add much needed space to the D.C. Courts' Judiciary Square portfolio, it will not be sufficient to meet the D.C. Courts' anticipated space need in the near future.

Family Court

The final phases of Family Court consolidation are now approaching the vision of the Family Court Act, 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 into Phase 2B of the addition will satisfy the requirements of the Family Court mandate.

Courtrooms and Judges Chambers

In support of the Moultrie Courthouse Addition, some courtrooms on the second floor have been renovated and the renovation of third floor courtrooms will begin in 2019. The remaining courtrooms and judges' chambers are planned to be renovated as part of a systematic campus-wide renovation program.

Life Safety

The D.C. Courts continue to make significant progress addressing life safety upgrades in the H. Carl Moultrie I 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 compliance with current building codes.

Infrastructure

While updating and reconfiguring interior space, the D.C. Courts have simultaneously completed building-wide HVAC, electrical and plumbing infrastructure upgrade projects, new equipment installations and utility relocations throughout the H. Carl Moultrie I Courthouse. These infrastructure upgrades provide a more robust infrastructure backbone in support of the Moultrie Courthouse Addition as it comes online and ensure that fire and life safety protection in all buildings are continuously improved. As the Facilities Master Plan vision is completed and Phase 2B of the Moultrie Courthouse Addition is constructed, the D.C. Courts will continue to implement planned infrastructure upgrades.

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

In 2007, the D.C. Courts updated Building A, originally constructed in the 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 and reconfigured 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 constructed in 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 and reconfigured to comply with 2003 building code requirements.

410 E Street N.W. (Building C)

In 2012, a full restoration of Building C provided approximately 29,000 usable square feet of modern office space compliant with all 2012 building, mechanical, electrical, fire, life safety, health, and accessibility codes. The restoration also preserved significant and contributing historic elements of the building. The D.C. Courts' Information Technology and Multi-Door Dispute Resolution Divisions were relocated to the building after its restoration. The D.C.

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 government-owned buildings located in Judiciary Square during the construction of the Moultrie Courthouse Addition. Leasing office space at Gallery Place has enabled the D.C. Courts to complete a number of projects envisioned in the Facilities Master Plan and to begin construction of the much-needed Moultrie Courthouse Addition that will add approximately 61,000 usable square feet of space to the D.C. Courts facilities portfolio. The D.C. Courts plan to terminate the lease for the Gallery Place building and return the support divisions housed there to the Judiciary Square campus government-owned portfolio following completion of both phases of the Moultrie Courthouse Addition and renovation of two floors in Building B.

The D.C. Courts' Strategic Plan

The capital projects included in the FY 2021 Capital Budget request are an integral part of the *Strategic Plan of the District of Columbia Courts 2018-2022* (Strategic Plan). The Strategic Plan articulates the mission, vision, and values of the D.C. 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 on public accountability, competition for skilled personnel, and increased security risks.

“Effective Court Management and Administration” is the Strategic 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 infrastructure upgrades and interior reconfigurations required in Buildings A and B.

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 Judiciary Square Master Plan and Facilities Master Plan

Thanks to the support of the President and Congress, the D.C. Courts have made significant progress implementing both master plans and have been diligently engaged in effective management of the facilities portfolio. With prior year funding, the D.C. Courts have successfully completed a full restoration of the Historic Courthouse at 430 E Street N.W., a full renovation of 410 E Street N.W. (Building C), and numerous projects that facilitate the completion of the Moultrie Courthouse Addition.

By systematically implementing both master plans, the D.C. Courts have maximized the potential to expand and improve the utilization of existing facilities. Notwithstanding these efforts, the D.C. Courts still face the reality of an imminent space shortfall and hold a portfolio of buildings with no capacity for further expansion. To address this reality, the D.C. Courts have explored the feasibility of multiple options to include (1) co-locating with city agencies, (2) continuing to lease space at market rate, and (3) transferring exclusive use of government-owned assets to the D.C. Courts’ facilities portfolio.

While co-locating with city agencies is possible, the dislocation of D.C. Courts functions from adjacency to others on the Judiciary Square campus is not feasible. Relying on market rate leased space to meet program demands is also possible; however, 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 D.C. Court usage as part of the lease terms. As such, it was concluded that the strategic requirement to be co-located on a central campus, as outlined in the *Strategic Plan of the District of Columbia Courts 2018-2022*, can best be met by transferring the underutilized, Recorder of Deeds Building to the D.C. Courts’ Judiciary Square government-owned portfolio. Not only will this transfer lead to the restoration of another underutilized government-owned building in the proposed Judiciary Square Historic District, it presents the opportunity for the most cost savings long term as determined by a preliminary analysis of the cost to own versus the cost to lease long-term.

The District of Columbia Government is in the process of allocating the historic *Recorder of Deeds* (ROD) building to the District of Columbia Courts (Courts) for 99 years. The ROD building, in its existing configuration, is comprised of a total of 44,600 gross square feet (GSF) and will provide approximately 20,100 useable square feet (USF) above ground, fulfilling the D.C. Courts’ projected space needs through the year 2030. The Courts performed an analysis comparing the cost to lease 44,600 GSF of office-purposed space on or near Judiciary Square, to the cost to restore 44,600 GSF of government-owned space in the Recorder of Deeds Building to meet its projected space needs. The resulting “leased versus owned” investment analysis,

indicates that the Courts would realize a cost savings of slightly more than \$91 million over a 30-year period, should the Recorder of Deeds Building be restored and utilized, in lieu of leasing space. While it is clear that the costs to “own” will be higher in the short term than pursuing a lease option, we project that the Courts will “break even” or will be paid back for the “upfront” investment that would potentially be made to restore the Recorder of Deeds building in less than ten years (see Appendix A).

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 H. Carl Moultrie I Courthouse will continue to improve energy efficiency. Additional equipment replacements, such as replacement of air handler units for the H. Carl Moultrie I 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 H. Carl Moultrie I Courthouse, new gaskets were installed on the perimeter windows and glass doors to dramatically reduce energy loss. On the Moultrie Courthouse Addition, a new solar reflective and insulated roof will improve energy efficiency and reduce solar heat gain.

The D.C. Courts continue to hold greater energy efficiency as a goal as future projects are implemented. The D.C. 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 2021

With funding received in FY 2020, the projects and upgrades required to relocate court operations and support personnel from leased space at Gallery Place to D.C. Courts’ Buildings A and B will begin. In addition, renovation of the magistrate judges’ suite to address critical life safety and code compliance issues and projects that support the Moultrie Courthouse Addition will begin as part of an overall effort to renovate the entire east side of the fourth floor of the H. Carl Moultrie I Courthouse. Receipt of the funds requested in the FY 2021 Capital Budget will be essential to the completion of these efforts and to address the modernization of aging buildings and building infrastructure and security systems across the Judiciary Square campus.

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 master plans. The second section includes projects necessary to maintain existing infrastructure in the D.C. Courts' facilities portfolio as detailed in the Facilities Condition Assessment Report.

The D.C. Courts' FY 2021 Full Capital Budget Request totals \$121.8 million—including \$86.52 million to renovate, improve and expand the D.C. Courts' facilities and grounds, and \$35.28 million to maintain the D.C. 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 leased space and provides efficient management of the D.C. Courts' facility portfolio.

The FY 2021 Capital Budget request includes the balance of \$19.05 million required to complete relevant system upgrades, reconfigure and fit out designated space on the second and third floors of Building B, and relocate personnel from Gallery Place to their permanent locations in government-owned facilities. This approach results in long-term cost savings as the D.C. Courts will no longer require leased space to house these support operations.

Building B Modernization

As the last infrastructure upgrades and interior reconfigurations were made to Building B in 2003, 18 years will have lapsed by FY 2021. At this age in a building's lifecycle, it is typical that building systems will require repair, renewal or replacement such as re-roofing, conveyance systems, plumbing distribution systems, heating and cooling systems, etc. In addition, building control, automation and management system upgrades and modernization enable greater energy efficiency, the reduction of poisonous emissions from aging building equipment, and reduce operations and maintenance expenses. The FY 2021 Capital Budget request includes the balance of \$22.92 million required to ensure completion of critical building system upgrades and the completion of interior renovations on the lower level and first floors at Building B (not included in the target budget). This modernization will result in a completely renovated building with all systems upgraded as detailed in the Facilities Condition Assessment and planned improvements completed on all floors as detailed in the Facilities Master Plan.

Recorder of Deeds Renovation

The FY 2021 Capital Budget request includes a total of \$10.94 million to stabilize the historic Recorder of Deeds building. Full restoration of the building will be initiated when FY 2022 funds are received.

The benefit of restoring the Recorder of Deeds building for the D.C. Courts' use is three-fold:

1. The D.C. Courts' anticipated 2030 space need will be fulfilled without dependency on high-cost leased space, as all D.C. Courts' components requiring functional adjacency to the courthouses will be consolidated into the D.C. Courts' Judiciary Square portfolio of government-owned facilities.
2. Adjacency to the courthouse will allow the D.C. Courts to provide greater "access to justice for all" in the D.C. community by co-locating the D.C. Courts and D.C. community partners who deliver vital services in one easily accessible location.
3. Restoration of the historic Recorder of Deeds Building will not only preserve a building that is an important part of our nation's African American history, it will lower the number of excess and underutilized properties in the District of Columbia's real property portfolio by bringing a vacant, deteriorating building back into active use.

Fulfilling the D.C. Courts' Anticipated 2030 Space Need

In 2018, the D.C. Courts commissioned a master planning team to perform an update to the Facilities Master Plan. The intent of the Facilities Master Plan update was to assess progress that has been made implementing both the Judiciary Square Master Plan and the Facilities Master Plan to date, and to look forward 10 years to determine D.C. Courts' facility needs through 2030. As part of the master planning effort, the team worked extensively with the D.C. Courts to assess space requirements based on historic patterns, current usage, current caseload, D.C. Courts space standards, funded positions, and anticipated operational changes and growth over time. Based on their research and statistical analysis of these factors, paired with the anticipated increase in District of Columbia population over the next 10 years, the master planning team concluded that by 2030 the D.C. Courts will require approximately 18,000 USF in addition to what is currently in the D.C. Courts' Judiciary Square government-owned portfolio. The Recorder of Deeds building, restored in its existing configuration, will provide approximately 20,100 USF above ground, fulfilling the D.C. Courts' projected space need through 2030.

The anticipated 2030 space need is based on the following assumptions:

- Courtrooms, chambers and needs of most D.C. Courts' organizations will not increase over the next five years. Existing courtrooms and chambers are expected to absorb projected court activity increase to 2030.
- Public-oriented D.C. Courts divisions will grow reflecting the projected District of Columbia population growth. A rate of growth of 11.7% was applied to eleven D.C. Courts' divisions with significant public service functions.
- Technology improvements will offset growth in general administrative areas, especially with e-filing policies, file scanning programs and increased telework.
- D.C. city and community partner personnel who are currently co-located with the D.C. Courts at Judiciary Square will not receive additional space in D.C. Courts' buildings.

The projected 2030 space requirements are modeled on the relationship between the size and characteristics of the D.C. population and the D.C. Courts' facilities necessary to serve them. Court operations with a high degree of public transactions are sensitive to demographic shifts and population changes. Estimates established in 2017 projected D.C.'s 2030 population at 718,000, increased from 601,723 in 2010. This estimate formed the basis for the 11.7 % growth factor used in the master plan update. However, this may prove to be a very conservative growth

factor; as of July 2018, the U.S. Census Bureau estimated the D.C. population already at 702,455.

Providing “Greater Access to Justice for All”

As detailed above, one assumption that the D.C. Courts’ 2030 space need is based on is that D.C. city and community partner personnel who are currently co-located with the D.C. Courts at Judiciary Square will not receive additional space in D.C. Courts’ buildings, as the provision of additional space would only contribute to an already anticipated space shortfall in future years. Consequently, *The Strategic Plan of the District of Columbia Courts 2018-2022*, that articulates the D.C. Courts’ goal to collaborate with city and community partners to offer expanded information and selected services at court facilities would not be realized. This goal is only realized with either (1) the addition of space to the existing D.C. Courts’ portfolio of government-owned facilities or (2) the continued use of high-cost leased space adjacent to the courthouse. A designated location, such as the Historic Recorder of Deeds Building, where specific D.C. Courts and Executive Branch resources that facilitate greater access to justice are co-located would provide the additional space required to not only fulfill the anticipated space requirement, but to meet the intent of the Strategic Plan Goal I as quoted from the 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 community partners, the Courts will work to ensure full access to the justice system and court services.”

Preserving Our Nation’s History

As noted by the D.C. Preservation League, the historic Recorder of Deeds “building [and the artwork within] expresses the interplay between political aspirations, social struggle, the search for civic identity, and even the influence of global war on the District of Columbia.” This building is listed on the District of Columbia’s inventory of Historic Sites, and an important stop on the African-American Heritage Trail now sits vacant, visibly neglected by lack of protection against 11 years of water intrusion after the building was vacated in 2008.

Review of the original building drawings, various reports, assessments and studies performed prior to 2011, combined with recent visual assessments have revealed that deterioration of the building has escalated and threatens the structural integrity of the historic building and unique artwork that together strongly identify and associate with the struggle of African-Americans for political and social rights in the United States. With the addition of the historic Recorder of Deeds Building to the D.C. Courts’ portfolio at Judiciary Square, the D.C. Courts will work with its partners to save this deteriorating landmark and continue to serve as a custodian for assets of historical significance—operating and maintaining a total of four historically significant buildings designed by Nathan Wyeth within the proposed Historic Judiciary Square District.

Courtrooms and Judges' Chambers

The D.C. Courts' request includes \$17.48 million to begin a systematic renovation of 57 courtrooms and related functions and 29 judges' chambers that have not been overhauled since the H. Carl Moultrie I 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 D.C. Courts' inventory of courtrooms and chambers is included in the Facilities Master Plan. Upon the completion of six new courtrooms in Phase 2B of the Moultrie Courthouse Addition, the D.C. Courts plan to begin the renovation of a combination of four to six courtrooms and judges' chambers per year with a goal to complete renovation of all 57 courtrooms over a 15-year period.

Campus Security, Signage and Lighting

The FY 2021 Capital Budget request includes \$2.25 million for preliminary work on security, signage, and lighting enhancements in Judiciary Square as detailed in the 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, pre-construction site studies and initial site work.

Building A Modernization

The FY 2021 Capital Budget request includes \$13.88 million to modernize Building A, as detailed in the Facilities Condition Assessment Report. As the last building upgrades were completed in 2007, FY 2021 funds requested will support replacement of the building elements requiring modernization after 15 years of high-volume traffic; heavy use interior functions; and aging or obsolete equipment, building control and automation systems, lighting, information technology, audio visual, and security systems.

Maintain Existing Infrastructure

The FY 2021 Capital Budget request also includes \$35.28 million to address necessary building maintenance and infrastructure upgrades. Significant public resources have been expended over the past decade to restore and modernize the D.C. Courts' older buildings. As detailed in the Facilities Condition Assessment Report, mechanical systems and structural repairs are necessary to ensure the safety of building occupants and to preserve the integrity of these historic structures. Also, it is critical that the Courts replace the existing video management system in multiple buildings prior to its discontinuation or a system-wide failure. 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.

The D.C. Courts' request \$9.37 million for the HVAC, Electrical, and Plumbing Upgrades project to continue to upgrade electrical systems in the H. Carl Moultrie I Courthouse and replace HVAC equipment as components reach the end of their useful life throughout the campus. The \$3.18 million requested for Fire and Security Alarm Systems will finance the installation of fire detection, alarm, suppression and control systems in the H. Carl Moultrie I Courthouse as part of the ongoing installation program for complete building coverage and the replacement of the existing analog-based video management system with an Internet Protocol (IP) system. In addition, \$17.92 million is requested for General Repair Projects in all five Judiciary Square campus buildings 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 due to aging and failure. General repair projects will be prioritized as the Facilities Condition Assessment Report is re-baselined, identifying what repairs are most urgent and are key to ensuring life safety in the Judiciary Square campus facilities. To keep elevators and escalators in good working order in all five Judiciary Square campus buildings, \$280,000 is requested. A total of \$280,000 is requested for Restroom Improvements to maintain public restrooms in the Judiciary Square campus buildings. In the area of technology, the D.C. Courts are requesting \$2.41 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. 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. Finally, \$1.84 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 2019
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 2021?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 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.

In FY 2020 the Courts' appropriation for this project was \$11.25 million. The remaining scope of work was deferred to FY 2021 and the cost associated with this work, including additional inflationary cost increases, is \$19.05 million.

With \$11.25 million in FY 2020, the D.C. Courts will complete the following:

- Develop solicitation, award and complete Building B engineering assessment
- Develop solicitation, award design and complete construction of—
 - the Office of the Auditor-Master (a small office moving to Building A)

- Predecessor Project: Renovation of space for the D.C. Bar *Pro Se* Center (Resource Center for Landlord Tenant and Small Claims litigants), which will be moved to a different location in Building B
- Develop solicitation, award and complete all furniture, fixture & equipment installations and move-in for the *Pro Se* Center and Office of Auditor Master.
- Develop solicitation, award and complete design for relocation of the Courts' divisions from Gallery Place to Building B.

The FY 2021 Capital Budget request includes the balance of \$19.05 million required to complete relevant system upgrades, reconfigure and fit out designated space on the second and third floors of Building B, and relocate personnel from Gallery Place to their permanent locations in government-owned facilities.

This approach results in long-term cost savings, as the Courts will no longer require leased space to house support operations that will move into this renovated space.

- 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

Section B: Summary of Funding (Budget Authority for Capital Assets)

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 2019	CY 2020	BY 2021	BY+1 2022	BY+2 2023	BY+3 2024 and beyond	Total unfunded (sum 2021 - beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	11.25	19.05	0.00	0.00	0.00	19.05
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	11.25	19.05	0.00	0.00	0.00	19.05
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	11.25	19.05	0.00	0.00	0.00	19.05
TOTAL (including FTE costs)	0.00	0.00	11.25	19.05	0.00	0.00	0.00	19.05
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: The two sub-total rows and total row will be calculated – not for data entry.

1. Insert the number of years covered in the column “PY-1 and earlier” N/A

2. Insert the number of years covered in column “BY+3 and beyond” N/A

3. If the summary of funding has changed from the FY 2020 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
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 2021
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under	E

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. _____

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 government-owned facilities	N/A. Funds have not been received.

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 2019
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Building B 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 2021?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 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:

As the last infrastructure upgrades and interior reconfigurations were made to Building B in 2003, eighteen (18) years will have lapsed when the FY 2021 funds are received. At this age in a building's lifecycle it is typical that building systems will require repair, renewal or replacement such as re-roofing, conveyance systems, plumbing distribution systems, heating and cooling systems, etc. In addition, building control, automation and management system upgrades and modernization enable greater energy efficiency, the reduction of poisonous emissions from aging building equipment, and reduce operations and maintenance expenses. The FY 2021 Capital Budget request includes the balance of \$22.92 million required to ensure completion of critical building system upgrades and the completion of interior renovations on the lower level and first floors of Building B. This modernization will result in a completely renovated building with all systems upgraded as detailed in the Facilities Condition Assessment Report and planned improvements completed on all floors as detailed in the Facilities Master Plan, to include the following projects:

- Complete Upgrade of Life Safety, HVAC, Electrical, Plumbing, Security and Technology Systems
- 510 4th Street N.W.—Reconfiguration and Renovation of Lower Level
- 510 4th Street N.W.—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)

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

Section B: Summary of Funding (Budget Authority for Capital Assets)

Investment: Building B 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 2019	CY 2020	BY 2021	BY+1 2022	BY+2 2023	BY+3 2024 and beyond	Total unfunded (sum 2021 –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	22.92	0.00	0.00	0.00	22.92
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	22.92	0.00	0.00	0.00	22.92
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				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	22.92	0.00	0.00	0.00	22.92
TOTAL (including FTE costs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: The two sub-total rows and total row will be calculated – not for data entry.

- | | |
|--|--|
| 1. Insert the number of years covered in the column “PY-1 and earlier” | N/A |
| 2. Insert the number of years covered in column “BY+3 and beyond” | N/A |
| 3. If the summary of funding has changed from the FY 2020 President’s Budget request, briefly explain those changes: | 4% escalation has been added, not funded in FY 2020. |

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
Short description of acquisition	2021- Design & Construction
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 22.92M
Type of Contract/Task Order (Pricing)	Design-Build
Is this contract a Performance Based Service Acquisition (PBSA)?	No
Effective Date	Quarter 3 FY 2021
Actual or expected end date of Contract/Task Order	Quarter 4 FY 2022
Extent Competed	E

(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.
-

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	Complete project at the same time as the renovation of floors 2 & 3 of the building, and prior to D.C. Courts personnel relocating from Gallery Place, to reduce added expenses incurred to complete major infrastructure work in a fully occupied building.	% of renovations completed on time and within budget.	N/A. Funds have not been received.

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 2019
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Historic Recorder of Deeds Restoration

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 2021?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2020 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 2021
8. a) 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:

By 2030 the D.C. Courts will require approximately 18,000 USF in addition to what is currently in the D.C. Courts' Judiciary Square government-owned portfolio. The Recorder of Deeds building, restored in its existing configuration, will provide approximately 20,100 USF above ground, fulfilling the D.C. Courts' projected space need through 2030.

The FY 2021 Capital Budget request includes a total of \$10.94 million to stabilize the historic Recorder of Deeds building. Full restoration of the building will be initiated when FY 2022 funds are received.

- 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

Section B: Summary of Funding (Budget Authority for Capital Assets)

Investment: Historic Recorder of Deeds Renovation

Table 1.B.1: Summary of Funding								
(In millions of dollars)								
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2019	CY 2020	BY 2021	BY+1 2022	BY+2 2023	BY+3 2024 and beyond	Total unfunded (sum 2021 - 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	10.94	28.43	0.00	0.00	39.37
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	10.94	28.43	0.00	0.00	39.37
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)	0.00	0.00	0.00					
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	10.94	28.43	0.00	0.00	39.37
TOTAL (including FTE costs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: The two sub-total rows and total row will be calculated – not for data entry.

1. Insert the number of years covered in the column “PY-1 and earlier” 0
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 2020 President’s Budget request, briefly explain those changes: This is a new requirement that was not included in the FY 2020 President’s 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
Short description of acquisition	2021 Stabilization of the building	2022 Restoration (Design & Construction)
Contract Status	TBD	TBD
Procurement Instrument Identifier (PIID)	N/A	N/A
Indefinite Delivery Vehicle (IDV) Reference ID	N/A	N/A
Solicitation ID	TBD	TBD
Alternative financing	N/A	N/A
EVM Required	Not Required	Yes
Ultimate Contract Value	Estimate \$10.94M	Estimate \$28.43M
Type of Contract/Task Order (Pricing)	Fixed	Design-Build
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No
Effective Date	Quarter 2 FY 2021	Quarter 3 FY 2022
Actual or expected end date of Contract/Task Order	Quarter 2 FY 2022	Quarter 1 FY 2024
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	A	A

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

EVM is only required for the Restoration (Design & Construction) contract.

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. The Acquisition Plan development is pending building condition assessment.
-

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 I: Access to Justice for All Goal V: Effective Court Management and Administration	By Quarter 4 of FY 2024 the Recorder of Deeds Building will be fully renovated and ready for occupancy. Pending availability of funds.	% of renovations completed on time, within scope, and within budget.	N/A

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 2019
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 2021?
(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 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 2021 funds, the D.C. Courts plan 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 2022, 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 D.C. 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.

Section B: Summary of Funding (Budget Authority for Capital Assets)

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 2019	CY 2020	BY 2021	BY+1 2022	BY+2 2023	BY+3 2024 and beyond	Total unfunded (sum 2021 -beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	39.54	1.46	0.00	17.48	16.87	21.36	180.04	235.74
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	39.54	1.46	0.00	17.48	16.87	21.36	180.04	235.74
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):	39.54	1.46	0.00	17.48	16.87	21.36	180.04	235.74
TOTAL (including FTE costs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: The two sub-total rows and total row will be calculated – not for data entry.

1. Insert the number of years covered in the column “PY-1 and earlier” 22 years (1999)
2. Insert the number of years covered in column “BY+3 and beyond” 3 years (2024)
3. If the summary of funding has changed from the FY 2020 President’s Budget request, briefly explain those changes: 4% escalation has been added, not funded in FY 2020.

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
Short description of acquisition	2019 – Courtroom 115 Renovation
Contract Status	Pre-Solicitation
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	\$1.46M
Type of Contract/Task Order (Pricing)	Design-Build
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 1 FY 2022
Extent Competed A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	A

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:
 b) Does the Acquisition Plan reflect the requirements of

Yes	No X
Yes	No

FAR Subpart 7.1

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.

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	<ol style="list-style-type: none"> Most existing courtrooms and chambers that were constructed with the building in the 1970s have not been fully renovated since, to include fire and life safety, security and technology upgrades. Public is underserved due to limitation of original design. 	<ol style="list-style-type: none"> Create and renovate courtrooms per the Facilities Master Plan. Renovate chambers per Facilities Master Plan. Create new courtrooms per Facilities Master Plan. 	

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 2019
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 2021?
(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:

In FY 2021, the D.C. Courts are requesting \$2.25 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 D.C. Courts buildings, improved pedestrian circulation, and minimized vehicle-pedestrian conflicts around Judiciary Square and all D.C. 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.

Section B: Summary of Funding (Budget Authority for Capital Assets)

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 2019	CY 2020	BY 2021	BY+1 2022	BY+2 2023	BY+3 2024 and beyond	Total unfunded (sum 2021 – 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	2.25	10.50	0.50	0.00	13.25
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	2.25	10.50	0.50	0.00	13.25
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	2.25	10.50	0.50	0.00	13.25
TOTAL (including FTE costs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: The two sub-total rows and total row will be calculated – not for data entry.

1. Insert the number of years covered in the column “PY-1 and earlier” 22 years (1999)
2. Insert the number of years covered in column “BY+3 and beyond” 3 years (2024)
3. If the summary of funding has changed from the FY 2020 President’s Budget request, briefly explain those changes: 4% escalation has been added, not funded in FY 2020.

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:
 - b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1
 - c) Was the Acquisition Plan approved in accordance with agency requirements
 - d) If "yes," enter the date of approval?
 - e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?
 - f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?
 - g) If an Acquisition Plan has not been developed, provide a brief explanation.

Yes	No X

Yes	No

Yes	No

Yes	No

Yes	No

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.	

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 2019
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Building A 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 2021?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 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 FY 2021 Capital Budget request includes \$13.88 million to complete all items through fiscal year 2026, as detailed in the Facilities Condition Assessment Report. As the last building upgrades were completed in 2007, FY 2021 funds requested will support replacement of the building elements requiring modernization after 15 years of high-volume traffic, heavy use interior functions, and aging or obsolete equipment, such as building control and automation systems, lighting, IT/AV and security systems.

- 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

Section B: Summary of Funding (Budget Authority for Capital Assets)

Investment: Building A Modernization

Table 1.B.1: Summary of Funding								
(In millions of dollars)								
<i>(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)</i>								
	PY-1 and earlier	PY 2019	CY 2020	BY 2021	BY+1 2022	BY+2 2023	BY+3 2024 and beyond	Total unfunded <i>(sum 2021 –beyond)</i>
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	13.88	0.00	0.00	0.00	13.88
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	13.88	0.00	0.00	0.00	13.88
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.00	0.00	0.00	13.88	0.00	0.00	0.00	13.88
TOTAL (including FTE costs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: The two sub-total rows and total row will be calculated – not for data entry.

1. Insert the number of years covered in the column “PY-1 and earlier” N/A
2. Insert the number of years covered in column “BY+3 and beyond” 0
3. If the summary of funding has changed from the FY 2020 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.

	Contract 1
Short description of acquisition	2021 Complete FCA Items
Contract Status	Pre-Award
Procurement Instrument Identifier (PIID)	N/A
Indefinite Delivery Vehicle (IDV) Reference ID	N/A
Solicitation ID	N/A
Alternative financing	N/A
EVM Required	Yes
Ultimate Contract Value	Estimate \$13.88M
Type of Contract/Task Order (Pricing)	Design-Build
Is this contract a Performance Based Service Acquisition (PBSA)?	No
Effective Date	Quarter 3 FY 2021
Actual or expected end date of Contract/Task Order	Quarter 4 FY 2022
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	A

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

3. a) Has an Acquisition Plan been developed? If yes, please Yes X No _____

answer the questions that follow:

- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No _____
- d) If "yes," enter the date of approval? 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.
-

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.

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	Existing building infrastructure and systems are aging, obsolete, failing or at end of life.	Replace infrastructure & systems to satisfy Facilities Condition Assessment backlog.	Funds not received yet.

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 2019
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 2021?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 should not select O&M)

Planning	_____
Full Acquisition	_____ X _____
Operations and Maintenance	_____
Mixed Life Cycle	_____

7. What was the first budget year this investment was submitted to OMB? 1999
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The HVAC, electrical, and plumbing upgrade budget line item will ensure that health and safety concerns for the public and the D.C. Courts' personnel are addressed in all of the D.C. Courts' buildings and will enable the D.C. Courts to make much needed heating, ventilation, air conditioning, mechanical, plumbing and electrical improvements. Analysis of the condition of the D.C. 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 D.C. 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 and outdated infrastructure continues to be an important and ongoing project for the D.C. Courts. In March 2013, the D.C. Courts Facilities Condition Assessment Report was completed and provided the D.C. Courts with a detailed life cycle analysis and replacement values for all D.C. Courts facility assets. Projected asset replacements were identified and costs were estimated to determine future funding requirements. The D.C. Courts has been completing HVAC, Electrical and Plumbing upgrades per the D.C. Courts Facilities Condition Assessment Report, however, many are remaining. The remaining upgrades will require additional capital investment in upcoming years.

The D.C. Courts' FY 2021 request includes the following HVAC, Electrical and Plumbing upgrades:

- Continue to upgrade the HVAC systems in the H. Carl Moultrie Courthouse. Ductwork and VAV changes will be needed to properly distribute air within the Courthouse and in particular as it interfaces with the Moultrie Courthouse Addition;
- Replace other equipment due to the failure of systems that are functioning beyond their useful lives;
- Continue the cycle of replacement for HVAC equipment, air handlers, chillers and cooling towers throughout the campus;

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 D.C. 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.

- 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

Section B: Summary of Funding (Budget Authority for Capital Assets)
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 2019	CY 2020	BY 2021	BY+1 2022	BY+2 2023	BY+3 2024 and beyond	Total unfunded (sum 2021 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	5.05	4.18	0.00	9.37	2.50	4.61	0.03	16.51
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	5.05	4.18	9.36	9.37	2.50	4.61	0.03	16.51

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	4.18	0.00	9.37	2.50	4.61	0.03	16.51
TOTAL (including FTE costs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: The two sub-total rows and total row will be calculated – not for data entry.

1. Insert the number of years covered in the column “PY-1 and earlier”

1 year

2. Insert the number of years covered in column “BY+3 and beyond”

1 year

3. If the summary of funding has changed from the FY 2020 President’s Budget request, briefly explain those changes:

Summary of funding covers FCA requirements for current budget cycle.

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
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. _____

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.

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 2019
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 2021?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 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 Facilities Condition Assessment Report was completed and provided the D.C. Courts with a detailed life cycle analysis and replacement values for all D.C. 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 Facilities Condition Assessment Report. The funding requested will finance the installation of fire detection, alarm, suppression, and control systems in the H. Carl Moultrie I Courthouse as part of the ongoing installation program for complete building coverage and the replacement of the existing analog-based video management system with an Internet Protocol (IP) system.

The security system upgrades and expansion of the Security Control Center have been completed and were another critical priority project associated with the Moultrie Courthouse Addition. The advancements in security technology and the increase in the number of

devices, such as cameras, monitors, card readers, panic switches, hardware, servers, and HVAC equipment required the D.C. Courts' Security Control Center to increase capacity. The resulting expansion of the Security Control Center now accommodates the security systems added for the Moultrie Courthouse Addition.

As the D.C. Courts continue to implement the D.C Courts Facilities Master Plan, the design and construction process will allow for extensive building system and life safety upgrades. Addressing program re-alignment and building infrastructure simultaneously will minimize operational impacts to the D.C. Courts. Future year Fire and Security Alarm System upgrades will require coordination with activities included under the Courtrooms and Judges Chambers budget lines.

- 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

Section B: Summary of Funding (Budget Authority for Capital Assets)

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 2019	CY 2020	BY 2021	BY+1 2022	BY+2 2023	BY+3 2024 and beyond	Total unfunded (sum 2021 –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	3.18	3.17	1.43	0.00	7.77
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	0.00	3.18	3.17	1.43	0.00	7.77
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	3.18	3.17	1.43	0.00	7.77
TOTAL (including FTE costs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
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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
3. Insert the number of years covered in column “BY+3 and beyond” 1 year
4. If the summary of funding has changed from the FY 2020 President’s Budget request, briefly explain those changes: Summary of funding covers FCA requirements for current budget cycle.

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2015-01 Fire Alarm Campus Wide Connectivity	2016-Fire Alarm Replacement	
Contract Status	Completed	Completed	
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, D.C. Courts’ Standard	YES, D.C. 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: 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.
-

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.

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 2019
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 2021?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 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 D.C. 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, and make general enhancements to and restore historic features of D.C. Courts buildings.

In March 2013, the D.C. Courts Facilities Condition Assessment Report was completed and provided the D.C. Courts with a detailed life cycle analysis and replacement values for all D.C. Courts facility assets. Projected replacements were identified and costs were estimated to determine future funding requirements. The D.C. Courts has been completing general repairs per the D.C. Courts Facilities Condition Assessment Report, however, many are remaining. The remaining repairs will require additional capital investment in FY 2021.

The D.C. Courts' FY 2021 request for \$17.92 million includes projects such as the following:

- Design solution and installation of new curtain wall and windows to include ballistic features for enhanced security.
- Restoration of vacated spaces throughout Judiciary Square campus, post-occupancy of Phase 2B in order to make ready for fulltime occupancy of existing spaces.
- Replacement of select courtroom and secure corridor single- and double-swinging wooden doors in existing sections of the Moultrie Courthouse.
- Continue accessibility and safety improvements,
- Continue replacement of fixtures, lighting, flooring, and ceiling tiles, and
- Continue replacement of equipment, as required due to aging and failure.

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

Section B: Summary of Funding (Budget Authority for Capital Assets)

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 2019	CY 2020	BY 2021	BY+1 2022	BY+2 2023	BY+3 2024 and beyond	Total unfunded (sum 2021 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	10.00	8.87	12.75	17.92	17.48	16.31	0.73	52.44
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	10.00	8.87	12.75	17.92	17.48	16.31	0.73	52.44
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	10.00	8.87	12.75	17.92	17.48	16.31	0.73	52.44
TOTAL (including FTE costs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
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Note: 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 |
| 3. Insert the number of years covered in column “BY+3 and beyond” | 1 year |
| 4. If the summary of funding has changed from the FY 2020 President’s Budget request, briefly explain those changes: | Summary of funding covers FCA requirements for current budget cycle. |

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
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	
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2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: _____
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes X No _____
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No _____
- d) If "yes," enter the date of approval? 2011
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

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.

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 2019
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 2021?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 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? 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 Report was completed and provided the D.C. Courts with a detailed life cycle analysis and replacement values for all D.C. Courts facility assets. Projected replacements were identified and costs were estimated to determine future funding requirements. The D.C. Courts has completed elevator and escalator upgrades and repairs per the D.C. Courts Facilities Condition Assessment Report, however, some upgrades and repairs remain. The remaining upgrades and repairs will require additional capital investment in FY 2021.

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 FY 2020 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

Section B: Summary of Funding (Budget Authority for Capital Assets)

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 2019	CY 2020	BY 2021	BY+1 2022	BY+2 2023	BY+3 2024 and beyond	Total unfunded (sum 2021 – 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	0.00	0.00	0.28	0.30	0.31	0.32	1.21
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	0.00	0.00	0.28	0.30	0.31	0.32	1.21
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	0.00	0.00	0.28	0.30	0.31	0.32	1.21
TOTAL (including FTE costs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: The two sub-total rows and total row will be calculated – not for data entry.

1. Insert the number of years covered in the column “PY-1 and earlier”

1 year

2. Insert the number of years covered in column “BY+3 and beyond” 1 year
3. If the summary of funding has changed from the FY 2020 President’s Budget request, briefly explain those changes: Summary of funding covers FCA and EEMA requirements for current budget cycle.

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table		
Field	Contract 1	Contract 2
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.
-

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	

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 2019
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 2021?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 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 D.C. Courts with a detailed life cycle analysis and replacement values for all D.C. Courts facility assets. Projected replacements were identified and costs were estimated to determine future funding requirements. The D.C. Courts has completed restroom improvements throughout D.C. Courts buildings per the D.C. Courts Facilities Condition Assessment Report, however, some improvements remain. The remaining improvements will require additional capital investment in FY 2021.

The ongoing Restroom Improvement project will continue to enhance ADA accessibility and rebuild the aging infrastructure of the D.C. 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

Section B: Summary of Funding (Budget Authority for Capital Assets)

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 2019	CY 2020	BY 2021	BY+1 2022	BY+2 2023	BY+3 2024 and beyond	Total unfunded (sum 2021 – 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:	0.00	0.00	0.00	0.28	0.30	0.31	0.32	1.21
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	0.28	0.30	0.31	0.32	1.21
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	0.28	0.30	0.31	0.32	1.21
TOTAL (including FTE costs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: The two sub-total rows and total row will be calculated – not for data entry.

1. Insert the number of years covered in the column “PY-1 and earlier” 1 year
2. Insert the number of years covered in column “BY+3” 1 year

and beyond”

3. If the summary of funding has changed from the FY 2020 President’s Budget request, briefly explain those changes:

No change.

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2
Short description of acquisition	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. _____

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 the completion of Moultrie Courthouse expansion, the number of water closets to occupants will be code compliant.	100% compliance.	Renovations are underway, as funded.

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 2019
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 2021?
 (Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 should not select O&M)

Planning	_____
Full Acquisition	_____X_____
Operations and Maintenance	_____X_____
Mixed Life	_____X_____
Cycle	

7. What was the first budget year this investment was submitted to OMB? 2021
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 \$2.41 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 funding request includes:

- Oracle Database Enterprise Edition Licenses (Leasing Year 4)
- NetApp Equipment and Licenses (Leasing Year 4)
- Network Switch Equipment and Licenses (Leasing Year 3)
- Firewall Equipment Refresh
- Computer Portable Devices Refresh (150)
- Regular PC and Peripheral Repair and Replacement Support

Three major areas where this technology request will be focused are (1) Access to information to ensure efficient access to justice and fair and timely case resolution through mobile applications that will provide court participants greater access to information and data, and 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. (3) Information security technologies that protects court information and assets from cyber threats and other risks both internal and external. The implementation of these technologies will provide effective prevention against attacks on information technology assets, ensure continuous uninterrupted service of court information systems, and provider 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 D.C. 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 D.C. Courts.

b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. NA

Section B: Summary of Funding (Budget Authority for Capital Assets)

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 2019	CY 2020	BY 2021	BY+1 2022	BY+2 2023	BY+3 2024 and beyond	Total unfunded (sum 2021–beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	1.00	3.43	2.00	2.41	4.72	4.90	5.11	17.15
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	1.00	3.43	2.00	2.41	4.72	4.90	5.11	17.15
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	3.43	2.00	2.41	4.72	4.90	5.11	17.15
TOTAL (including FTE costs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: The two sub-total rows and total row will be calculated – not for data entry. 2.

1. Insert the number of years covered in the column “PY-1 and earlier”

1 year

2. Insert the number of years covered in column “BY+3 and beyond”

4 years

3. If the summary of funding has changed from the FY 2020 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

Yes No

answer the questions that follow:

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.

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			

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 2019
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 2021?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 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 D.C. Courts have 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 one of the 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 FY 2021 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

Section B: Summary of Funding (Budget Authority for Capital Assets)

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 2019	CY 2020	BY 2021	BY+1 2022	BY+2 2023	BY+3 2024 and beyond	Total unfunded (sum 2021 – 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:	4.90	0.00	0.00	1.84	1.92	1.99	2.07	7.82
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)	4.90	0.00	0.00	1.84	1.92	1.99	2.07	7.82
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	4.90	0.00	0.00	1.84	1.92	1.99	2.07	7.82
TOTAL (including FTE costs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: The two sub-total rows and total row will be calculated – not for data entry.

1. Insert the number of years covered in the column “PY-1 and earlier” 1 year
2. Insert the number of years covered in column “BY+3 and beyond” 1 year
3. 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:

Yes	_____	No	_____
-----	-------	----	-------
- b) Does the Acquisition Plan reflect the requirements of FAR

Yes	_____	No	_____
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Subpart 7.1

- 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. _____

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.	

APPENDIX A

RECORDER OF DEEDS BUILDING LEASED VS OWNED INVESTMENT ANALYSIS

The District of Columbia Government is in the process of allocating the historic *Recorder of Deeds* Building to the District of Columbia Courts (Courts) for 99 years. The Recorder of Deeds Building, in its existing configuration, is comprised of a total of 44,600 gross square feet (GSF) and will provide approximately 20,100 useable square feet (USF) above ground, fulfilling the D.C. Courts' projected space needs through the year 2030. The Courts performed an analysis comparing the cost to lease 44,600 GSF of office-purposed space on or near Judiciary Square, to the cost to restore 44,600 GSF of government-owned space in the Recorder of Deeds Building to meet its projected space needs. The resulting "leased versus owned" investment analysis, indicates that the Courts would realize a cost savings of slightly more than \$91 million over a 30-year period, should the Recorder of Deeds Building be restored and utilized, in lieu of leasing space. While it is clear that the costs to "own" will be higher in the short term than pursuing a lease option, it is projected that the Courts will "break even" or will be paid back for the "upfront" investment that would potentially be made to restore the Recorder of Deeds Building in less than ten (10) years.

The key assumptions and costs upon which the "leased vs. owned" investment analysis is based are below:

General:

- Leased costs over 30 years are estimated at approximately \$159 million;
- Owned costs over 30 years are estimated at approximately \$68 million;
- In year one, the costs of owning are approximately \$25 million more than leasing;
- In the short term, the costs of owning are higher than leasing until the upfront costs are "recovered" over a period of time, thereby reaching a "breakeven" point;
- Under this analysis, the "breakeven" point is determined to be 9.47 years.

Leased Scenario:

- Base rent is estimated at approximately \$50 per square foot per year based on the Courts' current base rent at Gallery Place and prevailing market rates in the area;
- For the purpose of this analysis, future rents are expected to escalate at 5% annually;
- Operating expenses are based on actual costs currently being incurred for leased space at Gallery Place as a percentage of rent;
- Real estate taxes are based on actual costs currently being incurred for leased space at Gallery Place as a percentage of rent;
- Inflation is estimated at 2% per year and has been applied towards operating expenses and other costs. Year one costs are not captured in the sub-total, rather are used to drive the inflation calculations in future years;
- Base Tenant Improvement costs are standard build-out costs or costs that would be incurred to either (1) re-configure space in the Gallery Place location or (2) build-out space at a new leased location;

- Amortized Tenant Improvement costs are landlord-provided incentives to apply towards Tenant Improvement costs not covered in the Base Tenant Improvement;
- 10-year Tenant Improvement Refresh Costs represent expenses that would be expected to be incurred to refresh leased space every ten (10) years and replace outdated, worn or broken Furniture, Fixtures & Equipment (FF&E) in the workspace.

Owned Scenario:

- The Capital Replacement Reserve is the amount of monies set aside for replacing building systems and components at the end of their projected useful service life, such as those identified in the Facilities Condition Assessment process. It is estimated at 2% per year of the estimated Capital Replacement Reserve for the asset;
- The Capital Replacement Reserve is escalated at 1.5% per year to increase the base calculation;
- The initial renovation/build-out, expressed in FY 2020 dollars, is equal to the amount of funds requested in FY 2021 and FY 2022 to restore the Recorder of Deeds Building, as shown in the FY 2021 Annual Budget Request on the historic *Recorder of Deeds Restoration* budget line which totals \$39.37 million;
- Operating expenses are assumed to be equal for both leased and owned space;
- Real estate taxes are excluded, as they are not required for government-owned buildings;
- Inflation is assumed to be equal for both leased and owned space;
- 10-year Tenant Improvement Refresh Costs are assumed to be required in an owned building, just as it is for leased space.

Leased versus Owned – Cash Flow Analysis

Summary Analysis

		2020	2021	2022
Leased Scenario	\$158,870,075.51	11,167,840.00	3,097,370.62	3,103,148.12
Owned Scenario	\$ 67,859,483.37	36,482,800.00	573,769.96	580,347.18
Cost Savings	\$ 91,010,592.14	\$(25,314,960.00)	\$ 2,523,600.66	\$ 2,522,800.94
Breakeven for Owned Asset		\$(25,314,960.00)	\$ (22,791,359.34)	\$ (20,268,558.40)
Payback Period	9.47 years			
	2023	2024	2025	2026
Leased Scenario	3,109,209.75	3,115,569.64	3,122,242.59	3,129,244.16
Owned Scenario	587,023.34	593,799.92	600,678.44	607,660.41
Cost Savings	\$ 2,522,186.41	\$ 2,521,769.72	\$ 2,521,564.15	\$ 2,521,583.75
Breakeven for Owned Asset	\$ (17,746,372.00)	\$ (15,224,602.28)	\$ (12,703,038.12)	\$ (10,181,454.38)
Payback Period				
	2027	2028	2029	2030
Leased Scenario	3,136,590.68	3,144,299.30	3,152,388.02	9,557,011.16
Owned Scenario	614,747.42	621,941.02	629,242.84	3,355,012.06
Cost Savings	\$ 2,521,843.26	\$ 2,522,358.28	\$ 2,523,145.18	\$ 6,201,999.10
Breakeven for Owned Asset	\$ (7,659,611.11)	\$(5,137,252.84)	\$ (2,614,107.66)	\$ -
Payback Period				
	2040	2050		
Leased Scenario	45,716,173.54	64,318,987.93		
Owned Scenario	10,479,799.97	12,132,660.80		
Cost Savings	\$35,236,373.57	\$52,186,327.13		
Breakeven for Owned Asset	\$ -	\$ -		
Payback Period				

DISTRICT OF COLUMBIA COURTS
FY 2021 Budget Justification
Grant-funded Activities and Reimbursements

For Fiscal Year 2019, the District of Columbia Courts secured over \$4.8 million in Federal and local grant funds to: (1) provide services to victims of crime; (2) expedite permanent placement of children as required by ASFA legislation; and (3) expanded juvenile behavioral diversion programs including expanding services to address youth impacted by sex trafficking. The Courts currently receive funds through seven active grants secured from various Federal and local sources. Of these, four grants totaling approximately \$627,000 are scheduled to expire at the end of FY 2019. Table 1 lists the Courts' grants and reimbursement funding for Fiscal Years 2019 and projected through 2021, while Table 2 lists grants scheduled to expire at the end of FY 2019. 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 to enhance parental engagement with the Court, ensure that youth have a voice, ensure that permanent placements promote the child's best interests, and provide quality representation for children and families in the District of Columbia. With grant funds, the Courts will continue to provide books for children, the *Preparing Youth for Adulthood Initiative*, sponsor a Legal Clinic and provide skills-building and information-training workshops for advocates and the legal community, and enhance data sharing among partnering agencies to more effectively monitor family treatment court program participants.

(b) Crime Victims

- ***Crime Victims Compensation Program (Claims)***. U.S. Department of Justice, Office of Victims of Crime.

To provide funds from the Crime Victims Compensation Fund for District of Columbia victim compensation payments to eligible crime victims.

(c) National Criminal History Improvement Program (NCHIP)

- ***Joint Criminal History Improvement Program (MPD, CJCC, and DCSC)*** U. S. Department of Justice.

To increase the quality and quantity of records shared with the FBI and improve information sharing locally by leveraging DCSC's current warrant/protection order data feed to include relevant information fields needed for submission to NCIC and NICS. The enhancement will be linked to the District's existing justice information sharing system and will feed into MPD's WALES system to accept the expanded electronic feeds and select the relevant information to be transmitted to the FBI.

(d) Justice and Mental Health Collaboration Program

- ***Juvenile Behavioral Diversion Program (JBDP)***. U.S. Department of Justice, Bureau of Justice Assistance (BJA)

To expand targeted services to support youth with mental health challenges and combat the increasing problem of commercial sexual exploitation of children in the District. In partnership with the District's Department of Behavioral Health, the District of Columbia Family Court's Social Services Division will expand the capacity of the JBDP to accommodate more youth, train existing stakeholders and new service providers on the JBDP approach, expand the availability of community-based mental health services, and establish a specialized court and associated services to address the unique needs of CSEC youth with mental health disorders. The outcome of this program will be at least 90-100 youth enrolled and successfully complete the JBDP and CSEC-HOPE annually.

- ***Commercial Sexual Exploitation of Children (CSEC)***. U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention (OJJDP)

The DCSC through this grant funding is pursuing two program goals: (1) to increase engagement, reduce victimization and reduce delinquent behavior of HOPE Court participants by developing or expanding partnerships with local CSEC agencies to provide mentoring services and specialized support services, and (2) to increase community awareness of the problem of CSEC to reduce victim blaming and isolation, and increase engagement of community stakeholders including victims' families. The outcome of this program is to serve at least 150 youth at-risk or confirmed as CSEC victims, engage up to six direct service providers, and conduct outreach to over 10,000 District residents.

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 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
I. FEDERAL GRANTS:				
Abused and Neglected Children				
Court Improvement Program	U.S. Department of Health and Human Services	350*	282	282
Crime Victims				
Crime Victims Compensation Payments	U.S. Department of Justice	4,169**	395**	2,880
Criminal Division/Technology				
National Criminal History Improvement Program	U.S. Department of Justice,	146	0	0
Family Court- Court Social Services				
Justice and Mental Health Collaboration Program	U.S. Department of Justice	69	95	0
Commercial Sexual Exploitation of Children Program	U.S. Department of Justice	10	250	187
<i>Subtotal, Federal Grants</i>		4,744	1,022	3,349
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	40	38	38
<i>Subtotal, D.C. Federal Block Grants</i>		151	149	149
GRANTS TOTAL		4,895	1,171	3,498
REIMBURSEMENTS:				
Child Support Enforcement	D.C. Title IV-D Agency	903	903	903
Miscellaneous Reimbursements	Pretrial Services Agency	78	78	78
REIMBURSEMENTS TOTAL		981	981	981
GRAND TOTAL		5,846	2,152	4,479

* Includes carry over funds from multiple awards with extended grant periods.

** FY 2019 VOCA grant is based on FY 2017 payments minus VOCA grant. Because the FY 2017 grant was received during FY 2018, it was not deducted in the computation for the grant amount. Thus the grant amount of \$4,169,000 for FY 2019 is larger than usual. The FY 2020 VOCA grant will be based on FY 2018 payments minus both FY 2017 and FY 2018 grants. Therefore, the expected amount of \$395,000 for FY 2020 will be smaller than usual because of the double deductions the previous fiscal year.

Table 2
DISTRICT OF COLUMBIA COURTS
Grants that Expired in FY 2019
(\$ in thousands)

Grant	Source	Grant Period (Includes Extensions)	Original Grant Award
Domestic Violence Project	U.S. DOJ VAWA STOP Grants	Oct. 2018 – Sept. 2019	40
Court Improvement Program	U.S. Department of Health & Human Services	Oct. 2017 – Sept. 2019	280
National Criminal History Improvement Program (NCHIP)	U.S. Department of Justice	Oct. 2016 to Dec 2018	196
Supervised Visitation	U.S. Department of Health and Human Services	Oct. 2018 – Sept. 2019	111
Total			627

DISTRICT OF COLUMBIA COURTS
FY 2021 Budget Justification
PROGRAM EVALUATION AND EVIDENCE

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. Assessments are undertaken by internal researchers or the Courts provide oversight of independent research firms to ensure that appropriated funds are utilized prudently and to enhance accountability and transparency. Below is a description of the internal program evaluations in progress at the Courts at present:

1. Mental Health Community Court Evaluation (MHCC)

The Courts' internal research unit, the Strategic Management Division, collaborated with the Criminal Division to develop a plan to assess its Mental Health Community Court (MHCC). The purpose of the study is to determine to what degree the MHCC aligns with the Ten Essential Elements of the Mental Health Courts as outlined by the Department of Justice. Both quantitative and qualitative data will be collected, including demographics and criminological data for all individuals with a case filed in 2017 and 2018, a subset of these individuals who are eligible for mental health court as identified by the Pretrial Services Agency, and a subset of individuals referred and accepted into the MHCC; recidivism data for all individuals eligible disaggregated by acceptance into the MHCC; surveys for all major stakeholders; policy reviews of all agency policies related to the MHCC; and interviews with pre-trial services staff, judges, defense attorneys, prosecutors, and MHCC participants. The study will include a process component to assess design implementation, as well as an outcome component with the primary rate of recidivism outcome used as a quasi-experimental design. Eligible individuals who participated in the MHCC will be compared to eligible individuals who did not participate in the program. The study is scheduled to be completed next fiscal year.

2. Southeast Balanced and Restorative Justice (SE BARJ) Drop-In Center Evaluation

The Courts' internal research unit, the Strategic Management Division, collaborated with the Family Court's Social Services Division to conduct an outcome evaluation of the Southeast Balanced and Restorative Justice (SE BARJ) Drop-In Center. The SE BARJ is a revolutionary model designed to redefine court supervision for justice-involved youth. The model combines two evidence-based practices, Balanced and Restorative Justice Practice promoted by the Office of Juvenile Justice and Delinquency Programs and Evening Reporting Centers promoted by the Annie E. Casey Foundation, to establish a "one-stop" center for youth rehabilitation in the least restrictive setting. The SE BARJ provides juveniles pending adjudication or pending probation revocation an opportunity to remain in a structured, community-based environment and to strengthen skills and relationships that support well-being. Programming at the SE BARJ is built around the philosophy and principles of Balanced and Restorative Justice Practice (OJJDP). More specifically, programming is focused on promoting accountability, promoting restoration, enhancing community protection, and developing youth competencies. Prior research

demonstrated that the SE BARJ's community-based environment, after-school monitoring, emphasis on offender restoration, and access to traditional and nontraditional services and resources will best serve youth and the community. The purpose of the study is to assess the extent to which the SE BARJ is meeting its four main goals: youth will be responsible to the court and understand the impact of their delinquent behavior; youth will make amends where possible to victims and to the community; adequate monitoring and other prevention strategies will reduce reoffending; and youth will demonstrate improvements in skills that improve their ability to function as productive community members. The study is scheduled to be completed in the next fiscal year.

Evidence Submission

1. Agency Contributors to Evidence Submission

The individuals who contributed to the D.C. Courts' FY 2021 Evidence Submission are: a) Herbert Rouson, Jr., Acting Deputy Executive Officer; b) Marie Robertson, Acting Chief Deputy Clerk of the Court of Appeals; c) Lisa VanDeVeer, Director, Strategic Management Division; d) Kim Beverly, Deputy Director, Strategic Management Division; e) Sandra Emblar, Senior Research Associate, Strategic Management Division; and f) Jonathan Motley, Senior Court Business Analytics Associate, Strategic Management Division.

2. Evidence Act Implementation

The D.C. Courts are committed to building evidence and better integrating evidence into policy, programmatic, budget, operational, and management decision-making. The Courts have long invested in research, statistical analysis, and evaluation capacity, beginning in the early 1980's with the establishment of a Research and Development Division. In 2014, this division merged with the Office of Strategic Management to create the Strategic Management Division, which integrated strategic planning, grant acquisition and management, research and evaluation, statistical and policy analysis, and organizational performance measurement and management, in a single division. The Strategic Management Division leads and coordinates the Courts' evidence-building activities. Its mission 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. The Division's operational objectives include the following:

- 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; and
- To promote continuity and enhance data accuracy and reporting by coordinating data sharing and exchange with criminal justice partners, researchers and the general public;.

In addition to establishing the Strategic Management Division, the Courts have invested significantly in enhancing their technology infrastructure and systems to support the collection, use, and storage of data across all departments. In 2005, the Courts acquired an integrated case management system for Superior Court which integrated eighteen separate databases; this system is scheduled to be replaced with a new state-of-the-art system beginning in late 2019. In 2010, the Courts invested in a multi-million dollar Business Intelligence Program which has resulted in the establishment of an Enterprise Data Warehouse that serves as a central repository of court-wide data for analysis. The BI Program has enabled the creation of analytical reports and performance dashboards for court leaders and staff.

In 2019, the Courts established a Data Governance Program to support the further development of an evidence-based culture throughout the Courts. The vision of the Data Governance Program is to create a data-driven culture that promotes informed decision-making. The Data Governance Program is an integral component of evidence based activities and has been charged with developing court-wide data collection standards, providing internal training to staff, and developing policies and processes to ensure the privacy of data.

The Foundations for Evidence-Based Policymaking Act of 2018 provides a unique opportunity for the D.C. Courts to continue and expand their efforts to become an evidence-based organization. To date, the Courts have met the requirements to designate key personnel as Evaluation Officer and Chief Data Officer. The designation of a Statistical Official will take place as soon as this position can be authorized and recruited. The Courts have also established a Data Governance Program, as previously noted. Finally, the Courts have begun developing approaches to meet the requirements of the Act for a comprehensive Learning Agenda, annual Evaluation Plan, and Capacity Assessment. Progress to date on each of these initiatives is detailed below.

(a) Learning Agenda

It is anticipated that the Courts will develop their first draft Learning Agenda by mid FY 2020, with planning efforts initiated in the Summer of 2019. This first Learning Agenda will be based on the information that was gathered during the development of the Courts' 2018 – 2022 Strategic Plan. The strategic planning process entailed a very comprehensive outreach process to internal and external stakeholders of the Courts, ultimately involving more than 3,500 individuals. External and internal stakeholders were asked to identify their priorities for the Courts, and their input along with data and information from a variety of reports and studies about court operations were used to identify key strategic goals and objectives for the court-wide Strategic Plan. The Plan's strategic goals and objectives identify strategies the Courts will

implement to achieve certain outcomes, and reflect theories of change or theoretical assumptions about cause and effect that require research and evaluation to test their accuracy and effectiveness.

The Courts do not currently have an evidence building plan in place as defined in the Evidence Act. Therefore, the proposed approach to create the multi-year Learning Agenda is being developed by the Courts' Strategic Management Division in consultation with executive leadership. It is anticipated that, for the FY 2020 iteration of the Learning Agenda, the staff of the Strategic Management Division will review the Strategic Plan and develop an initial set of learning questions that emerge from and are aligned to the strategic goals and objectives of the Plan. The Division will then host a series of workshops with court stakeholders to review and revise the initial research questions to reflect broader input. Workshops will be held with the Executive Team and Chief Judges of the Courts, the Presiding and Deputy Presiding Judge team, the senior management team, and select courtwide committees such as the Data Governance Council and Board. After these workshops have concluded, the Division will revise the Learning Agenda based upon the input received, and submit the proposed final document to the executive leadership team for final approval.

It is anticipated that the Learning Agenda will address a range of evidence-building activities, including caseload characteristics and trend analysis, research and program evaluation, policy analysis, and organizational performance measurement including data quality and availability. The final product will be closely aligned with the Courts' 2018-2022 Strategic Plan, and will be updated annually to reflect new circumstances and priorities.

(b) Annual Evaluation Plan

The D.C. Courts will begin to develop an Annual Evaluation Plan upon completion of the Learning Agenda. The estimated timeline for completion of the Evaluation Plan is Summer 2020. The Courts' Strategic Management Division will lead the development of the Evaluation Plan, coordinated by the Evaluation Officer.

Although the Courts have not developed an Annual Evaluation Plan as defined in the Evidence Act, they have identified and are currently conducting two evaluation activities for FY 2020 and 2021. These two evaluations on the Courts' Mental Health Community Court and the Southeast Balanced and Restorative Justice Center were identified as significant based on their focus in the Strategic Plan and the resources dedicated to each program.

Going forward, in developing the Annual Evaluation Plan, The Courts will more fully develop the criteria for determining whether an evaluation is deemed "significant." Factors that will be considered are: the degree of association between the evaluation and a critical strategic goal of the Courts as indicated in the current Strategic Plan, the nature of the population served (with vulnerable populations deemed a priority), the resources utilized to support the program, the internal capacity to conduct the evaluation activity, and the degree to which the proposed evaluation will fill a critical gap in the Courts' evidence-building activities. The Strategic Management Division will develop a rubric whereby programs, policies, or initiatives identified through the learning agenda process can be rated across these "significance" factors to identify evaluation activities for each subsequent fiscal year.

(c) Capacity Assessment

The D.C. Courts, led by the Strategic Management Division, will undertake an assessment of the Courts' capacity for evidence-building activities after completion of the Learning Agenda and Annual Evaluation Plan. The Strategic Management Division will review existing capacity assessments that have been validated and are widely used, as well as connecting with other agencies, prior to selecting and conducting a capacity assessment. Once the capacity assessment is completed, the Courts will compare the results to the intended evaluation plan to determine gaps in policies, practices, and resource capabilities.

(d) Data Governance

The D.C. Courts established a Data Governance Program in March 2019. A Data Governance Council, chaired by the Chief Data Officer, carries out the main work of the Program and reports to an executive level Data Governance Board. The Data Governance Council is comprised of key staff from each of the Courts' major operating divisions who serve as Data Stewards for their divisions, as well as staff from the Strategic Management Division and the Information Technology Division. The Data Governance Board is comprised of members of the Courts' Executive Team (Executive Officer, Deputy Executive Officer, Clerk of the Court of Appeals, and Clerk of the Superior Court) as well as the Chief Information Officer and the Director of the Strategic Management Division.

The mission of the Data Governance Program is to leverage data as a strategic asset focusing on data quality, data security, and understanding of data, through the coordinated efforts of cross-functional teams. Because the Data Governance Program was just established, the Council is currently working on a Charter and Communication Plan.

The Data Governance Board has already identified four initial key areas of focus: data access roles and responsibilities; consistent demographic data entry, unification and alignment of courtwide codes, and alignment of courtwide forms. Through the work of the Data Governance Council, the Board is currently developing policies and processes to operationalize the key areas of focus. Future activities include the development and delivery of training to ensure consistent implementation, and the identification of additional areas of focus. The Board will set the prioritization of Council projects and review and implement approved recommendations of the Council as well as enforce compliance with directives, guidelines, and standards.

The Courts are aware of the Open Data Plan requirement in the Evidence Act and will provide an update on this requirement in a future report. Before addressing the Open Data Plan, the Council, in coordination with the Office of General Counsel, must first identify and consolidate all statutes and directives related to data confidentiality and privacy. This requirement is on the agenda of the Data Governance Council.

(e) Barriers

Despite the Courts' many investments in building capacity for using evidence to inform decision-making, fundamentally the Courts still struggle with making evidence and evaluation a front and center activity given the pressing demands of its day-to-day operation as a high volume urban court system. The Courts receive over 80,000 new case filings annually and handle tens of thousands more matters in a post-disposition review capacity. Court managers are fully occupied with the daily press of court business. Given this operational focus, there are three potential barriers to implementing the components of the Evidence Act.

First, the Courts maintain complex case management systems and employ hundreds of clerks to input data into these systems, however they were designed primarily for processing cases and making the official court record rather than analysis and research. Data are collected with the primary purpose of fulfilling the individual Division or program's needs, leading to inconsistency and the inability to analyze data across the Courts. The Data Governance Council is currently addressing this barrier through the development of policies and processes that will be implemented court-wide.

Second, given the press of business in the courtrooms and clerks' offices where data entry occurs, there are inevitable errors which compromise the quality and reliability of the data. Additionally, the Courts' data systems include data that does not originate in the Courts and over which the Courts have little oversight. The Metropolitan Police Department, for example, enters all the demographic information for defendants in the criminal court. The Data Governance Program is currently addressing data quality issues within the Courts as one of its focus areas, but has not yet identified a process to address data quality with external data.

Third, new programs and services may be brought "on line" without regard to the collection of data that will be needed for future evaluations. Evaluation is not considered sufficiently early in the development or implementation of policies, programs, or initiatives to identify or collect outcome measures. Because the Courts have traditionally focused on the day-to-day work of case processing, the consideration of the evaluation process at conception will require a shift in the culture and habits of court personnel.

Nonetheless, efforts are being made to introduce consideration of data collection for evaluative processes earlier in the process of program development and implementation. Additionally, the Courts have undertaken a court-wide effort to identify key performance indicators for all core court functions, to facilitate future performance measurement and program evaluation. With the Data Governance Program, the Courts expect to broaden the responsibilities of Data Stewards in each of the operating divisions to raise awareness of data-related issues, to enhance data quality, and to increase the use of data analysis to inform decision-making at all levels of the organization. The Courts anticipate developing an Evaluation Policy that will guide future research and evaluation efforts and integrate evidence-building activities into the organizational culture.

(f) Identification of Training Needs/Technical Support

The D.C. Courts are aware of the information and resources offered by OMB on the MAX.Gov website and intend to fully utilize these resources to assist with developing their Learning Agenda and Evaluation Plan. To date, we have reviewed existing capacity assessments, but would welcome more information on this topic or examples from other agencies. We would also like to participate in any peer learning opportunities that might be available.

3. Priority Evidence Requests

None at this time.

DISTRICT OF COLUMBIA COURTS
FY 2021 Budget Justification
DEFENDER SERVICES

<u>FY 2019 Enacted</u>	<u>FY 2020 Enacted</u>	<u>FY 2021 Request</u>	<u>Difference FY 2020/2021</u>
46,005,000	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).¹⁰ 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.¹¹ The Guardianship program provides for compensation to service providers in guardianship and protective proceedings for incapacitated adults.¹² 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

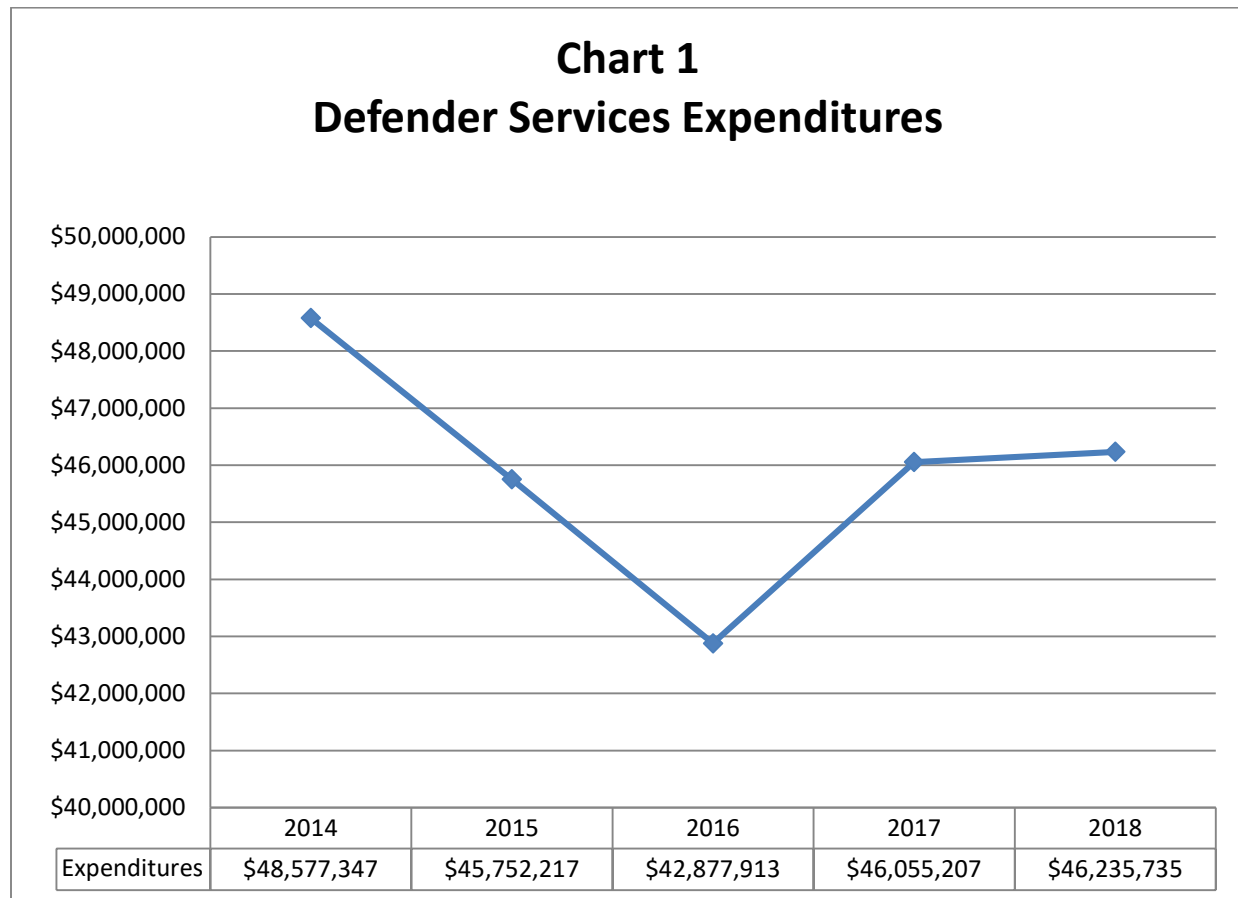
¹⁰ See D.C. Code §11-2601 *et seq.*

¹¹ See D.C. Code §16-2304.

¹² 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.

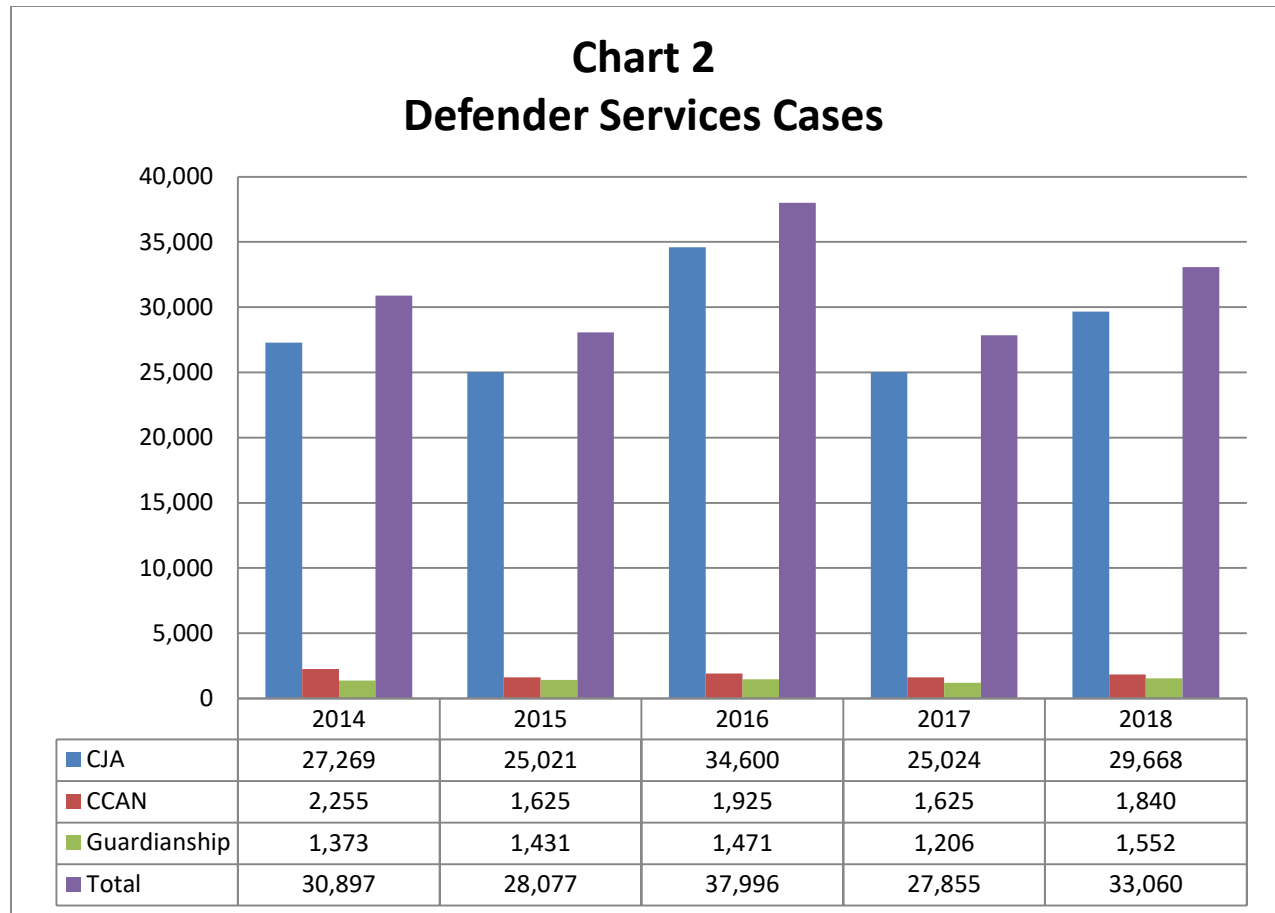
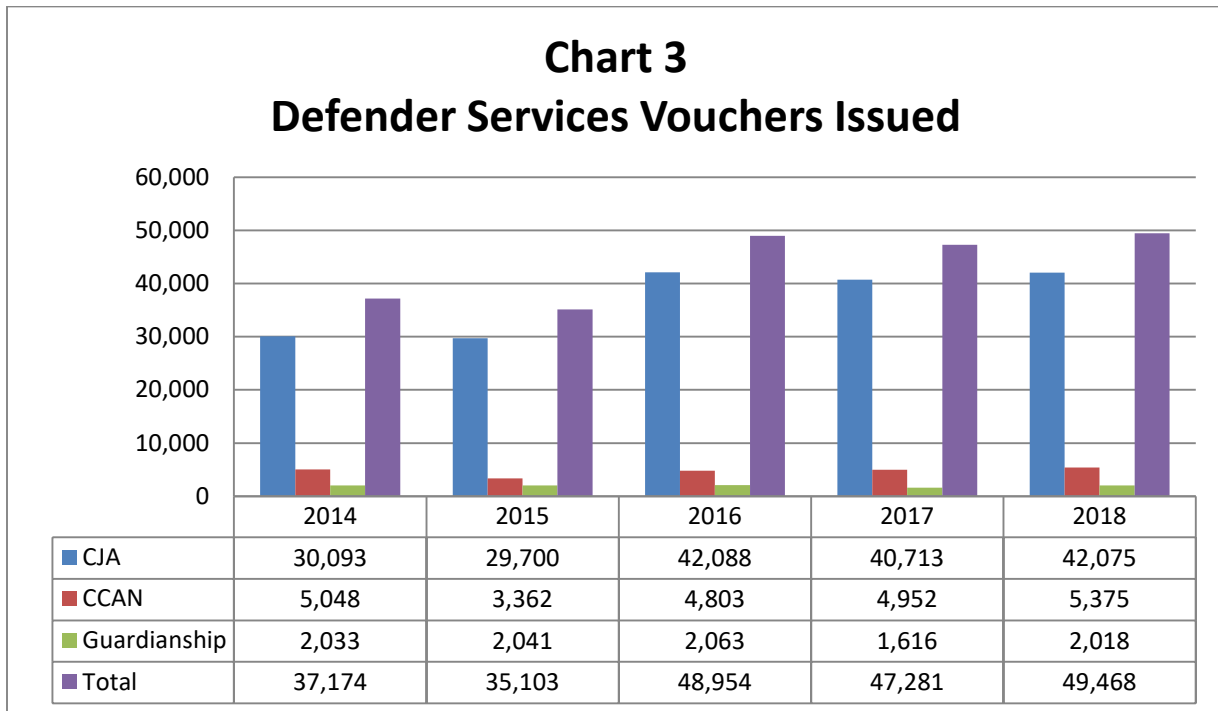


Chart 3 shows the number of vouchers issued each year, including the monthly invoices paid from the CCAN account to the non-profit contractor and Guardianship fee petitions. As is evident from the numbers, multiple vouchers are issued in many cases; these finance services of experts such as ballistics 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).

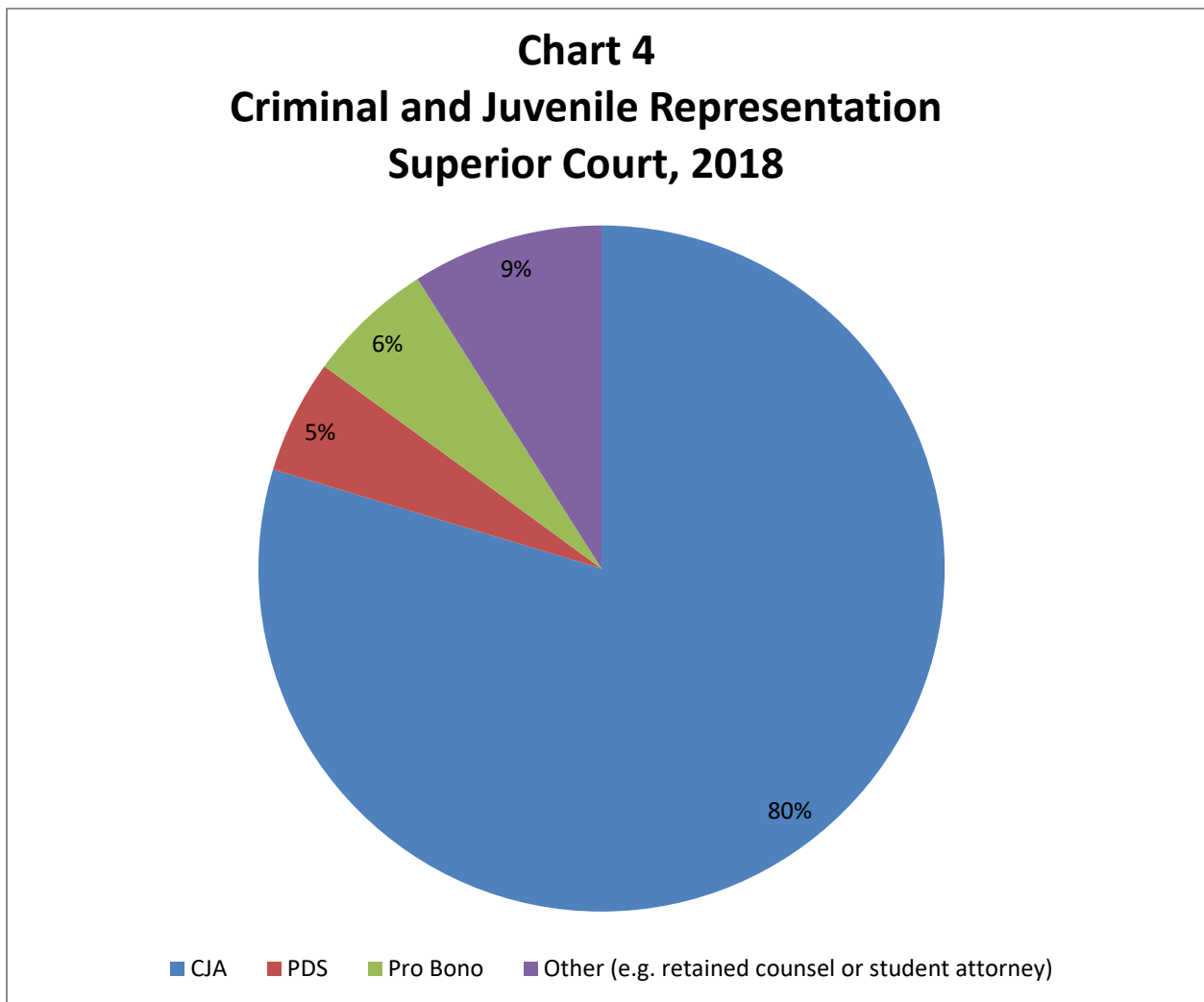


As depicted in both charts, the caseload is variable. The number of cases supported by the Defender Services account decreased 9% from 2014 to 2015, followed by a 35% increase in 2016, and a 1% decrease in 2017. The number of vouchers issued similarly decreased by 6% from 2014 to 2015, increased by 39% in 2016, and decreased by 4% in 2017.

A legislative change, the Incarceration Reduction Amendment Act or “IRAA”, is impacting the Defender Services caseload. The IRAA created a new procedure for individuals who have been sentenced for D.C. Code offenses as juveniles, have served fifteen years in prison, and have not yet come up for parole, to petition the D.C. Superior Court to have their sentences reviewed. Approximately 500 cases were filed as a result of the legislation and this caseload is expected to increase significantly. The influx of cases has resulted in an increase in the number of counsel and experts assigned to handle this caseload.

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 2018.



Rate Increase

Currently, the District of Columbia Courts pay attorneys appointed to represent indigent defendants in criminal proceedings and indigent children in delinquency and need of supervision

proceedings a rate of \$ 90 an hour, a rate set in statute¹³. This rate also applies to compensation for attorneys appointed for children and indigent parties in neglect, termination of parental rights, and adoption proceedings.

While the rate has not been increased since 2009, ten years ago at this writing, the rate paid to attorneys appointed in federal cases pursuant to the Criminal Justice Act, 18 U.S.C. § 3006A, has risen to \$148 per hour¹⁴. This rate is 64% higher than the rate paid to attorneys appointed in District of Columbia cases.

An even greater disparity exists between the hourly rate currently paid to investigators in cases under the D.C. Criminal Justice Act and investigators in federal cases under the Criminal Justice Act. The D.C. Code currently limits investigators in local D.C. Court cases to a rate of \$25 per hour. Although the rate paid to federal Criminal Justice Act investigators is not set by law, the investigators in federal matters in the District of Columbia are now paid \$65 an hour, and up to \$75 for death penalty and other complex cases. This maximum rate is three times greater than the rate paid in local cases. The disparity in pay for investigators adversely affects the DC Courts' ability to attract qualified investigators in cases involving indigent parties, and impairs defendants' rights to receive services necessary for an adequate defense.

The Courts have proposed legislation that would permit us to raise the hourly rate of compensation for court-appointed attorneys and investigators. The legislation would permit the Courts to raise the rate for attorneys up to the amount paid to attorneys in federal cases, which is tied to adjustments in the General Schedule, and to adjust the rate paid to investigators to reflect the effects of inflation and meet the need to attract qualified investigators.

To begin to address these disparities and assure quality representation necessary for the fair and efficient administration of justice, the Joint Committee has approved an hourly rate increase of \$10 for attorneys and investigators, pending enactment of the proposed legislation. As shown in Table 1, the unreserved balance in the account is projected to finance this rate increase through FY 2022.

¹³ D.C. Code § 11-2604(a) (2012 Repl.)

¹⁴ 7 Guide to Judiciary Policy: Defender Services, pt. A, § 230.16(a) (last revised May 21, 2019); Available at <http://www.uscourts.gov/rules-policies/judiciary-policies/cja-guidelines/chapter-2-ss-230-compensation-and-expenses>

Table 1						
DEFENDER SERVICES OUTLAY PROJECTIONS						
	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024
APPROPRIATIONS	\$ 46,005,000	\$ 46,005,000	\$ 46,005,000	\$ 46,005,000	\$ 46,005,000	\$ 46,005,000
Prior Year Carryover	\$ 12,000,000	\$ 13,005,000	\$ 11,344,000	\$ 7,683,000	\$ 3,022,000	\$ (1,639,000)
TOTAL AVAILABLE FUNDING	\$ 58,005,000	\$ 59,010,000	\$ 57,349,000	\$ 53,688,000	\$ 49,027,000	\$ 44,366,000
LESS: BASE OUTLAYS	\$ 45,000,000	\$ 45,000,000	\$ 45,000,000	\$ 45,000,000	\$ 45,000,000	\$ 45,000,000
\$10 Increase to \$100/HR for Legal Services		\$ 2,000,000	\$ 4,000,000	\$ 5,000,000	\$ 5,000,000	\$ 5,000,000
\$10 Increase to 35/HR for Investigative Services		\$ 666,000	\$ 666,000	\$ 666,000	\$ 666,000	\$ 666,000
NET CARRYOVER	\$ 13,005,000	\$ 11,344,000	\$ 7,683,000	\$ 3,022,000	\$ (1,639,000)	\$ (6,300,000)

FY 2021 Request

The Courts request \$46,005,000 for Defender Services in FY 2021, the same as in FY 2020.