

FY 2022 Budget Justification



District of Columbia Courts

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**District of Columbia Courts
FY 2022 Budget Justification
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DISTRICT OF COLUMBIA COURTS
Budget Justification
Summary
Fiscal Year 2022

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 \$357,804,000 for operations and capital improvements in FY 2022. Of this amount, \$14,910,000 is requested for the Court of Appeals operations; \$137,050,000 is requested for the Superior Court; and \$85,614,000 is requested for the Court System. For capital improvements to courthouse facilities \$120,230,000 is requested. In addition, the Courts request \$46,005,000 for the Defender Services account.

Table 1 shows the FY 2020 enacted budget, the FY 2021 enacted budget, and the FY 2022 request.

Table 1
DISTRICT OF COLUMBIA COURTS
FY 2022 Budget Justification
Comparison Table

	FY 2020	FY 2021	FY 2022
	Enacted Budget	Enacted Budget ¹	Courts' Request
Court of Appeals	14,682,000	14,910,000	14,910,000
Superior Court	125,638,000	137,050,000	137,050,000
Court System	<u>75,518,000</u>	<u>85,614,000</u>	<u>85,614,000</u>
Subtotal, Operations	215,838,000	237,574,000	237,574,000
Capital	34,250,000	30,499,000	120,230,000
Total, Federal Payment	250,088,000	250,088,000	357,804,000
Defender Services	46,005,000	46,005,000	46,005,000

¹ Reflects the planned FY 2021 transfer of \$640,000 and 5 FTEs from the Court of Appeals to the Court System administratively to consolidate information technology functions.

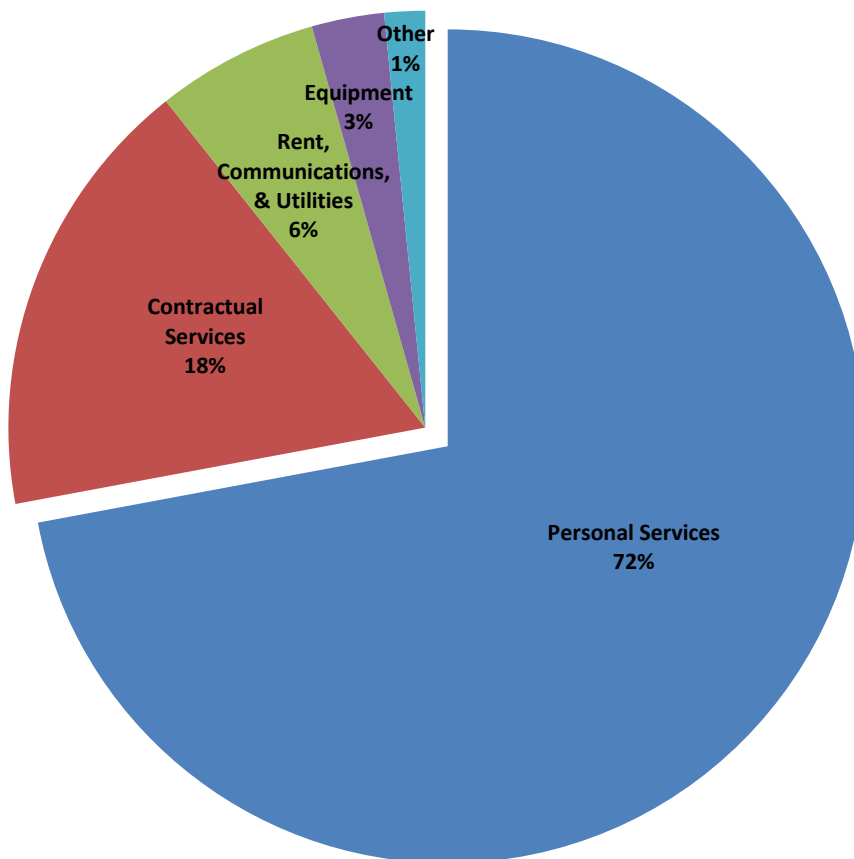
Summaries of the operating budget request by strategic goal, the capital request, and the defender services request follow under the FY 2022 Request Summary heading. Operating budget requests are described in detail in the respective division section, where detailed performance data for each division 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 (72%) finances court personnel.

The remaining budget finances necessary operations and support. For example, under contractual services the Courts finance interpreters for persons with hearing impairments and

Chart 1
Composition of DC Courts' Operating Budget
(FY 2020 Data)



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 could 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. Although the FY 2020 and FY 2021 appropriations restored funding for 16 of these positions, primarily in juvenile probation supervision, the Courts' staffing levels remain significantly reduced.

Pandemic Operations

The novel coronavirus forced drastic changes to court operations, as it impacted society at large. The Courts struggled, like other institutions, to balance competing demands to carry out its mission and to protect the health and safety of litigants, jurors, judges, and court staff.

Operationally, in mid-March 2020, the Courts closed the courthouses to the public (with few exceptions), canceled all but emergency proceedings, and transitioned judges and staff to remote work as much as possible. Policies requiring social distancing and masks were put in place to protect persons who could not avoid entering court facilities.

The Court of Appeals, which relies more on legal documents and less on evidentiary proceedings than the trial court, continued to process cases, accepting e-filings and paper documents delivered to the courthouse. Initially, the court canceled oral arguments, deciding cases based on the documents, unless the parties requested to reschedule. The Court innovated to transition almost completely to remote work, setting up an email box for emergency filings, advancing use of electronic signatures, conducting meetings by videoconference. In May, the court held its first oral argument by videoconference, live streaming the proceedings on YouTube for public access. The court also elected to offer its first-ever remote bar examination and negotiated reciprocity agreements with at least a dozen other jurisdictions to facilitate examinees' licensure and employment in multiple locations.

The Superior Court, which typically serves approximately 10,000 persons in person every day, faced increased challenges to conduct its work and provide access to justice for the community. Initially, the court canceled proceedings, except in limited cases. Over the following months, the court deployed technology to return operations to more than 80 courtrooms, most working

remotely via videoconference or telephone. In addition, the court expanded capacity to accept online payments. In April 2021, the court resumed criminal jury trials, posting a video outlining safety procedures (<https://youtu.be/sUR-mFZvuls>) and holding its first jury trial in over a year. Civil jury trials will resume in June 2021.

The Court System has worked to support both courts in transitioning to remote work and protecting the safety of personnel on site. Most prominently, Information Technology staff supported the rapid transition to nearly universal telework and audio or video court proceedings. Cleaning protocols have been intensified, plexiglass screens installed in courtrooms and public counters, and markers placed on the floor to promote social distancing. Recruitment, hiring, and onboarding new staff was conducted remotely.

The Courts explored ways to provide access remotely in an environment where large segments of the community lack Internet service and equipment to participate. Accordingly, in September 2020, the Courts opened five locations in the community where persons can use computers and Internet connections to access court services.

From a budgetary standpoint, the court increased spending for technology implementation, janitorial services to increase cleaning, personal protective equipment, and physical barriers. Conversely, with the courthouses all but closed, security savings offset these cost increases. In addition, with fewer proceedings, the Defender Services account realized savings.

Management Practices

Although the D.C. Courts are not an executive agency, many of our management and operational initiatives and practices coincide with traditional Executive Branch themes of modernized information technology; data accountability and transparency; and the workplace of the 21st Century.

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 (which was expedited during the pandemic), 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. As noted above, the Courts are now using technology for video

or teleconference court proceedings. We envision expanding technology to formal notification, document transmission, and service of process in court cases as well as new case management systems.

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. We are moving to cloud-based solutions for email, document storage, and major case management systems, with the appellate case management system migrated to the Cloud in July 2020 and the new trial court system in development for cloud implementation.



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 Evaluations and Evidence 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 17 years. This process starts with the creation of a Strategic Plan, every five years, that sets broad goals for the Courts consistent with their mission and vision for the organization's future. The Courts' Strategic Planning Leadership Council, a planning group comprised of judicial officers, court executives, managers, and employees, develops the Strategic Plan following an extensive outreach effort to gather input from a broad array of individuals and groups served by the Courts, as well as those who work within the court community. Once adopted by the Joint Committee on Judicial Administration, the Strategic Plan is implemented throughout the organization, with each court division developing its own strategic objectives, called Management Action Plans (MAPs), that are aligned to the goals of the Strategic Plan. In addition, the Courts have developed courtwide and division-level performance metrics that are tracked throughout the year to measure progress against goals and enable court leaders to make data-informed decisions to enhance operations. Our newest Plan includes publication of these metrics on our website, enhancing public accountability. Division directors are held accountable for achievement of their division MAP objectives through the annual performance review process. Staff performance plans also

incorporate achievement of division MAP objectives. The Courts' Strategic Management Division provides strategic planning and development, research, evaluation, and organizational performance analysis and management services in support of strategic management of the Courts.

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

The Courts are operating under our fourth five-year strategic plan, "Open to All, Trusted by All, Justice for All: Strategic Plan of the District of Columbia Courts 2018 – 2022", which is available on our website.² The plan delineates the Courts' mission to protect rights and liberties, uphold and interpret the law, and resolve disputes fairly and effectively in the District of Columbia. It describes the vision of the court system we aspire to be, and it guides the development of goals and priorities, resource allocation, decision-making, and day-to-day work. The plan sets five strategic goals as well as strategies to achieve them: 1) access to justice for all, 2) fair and timely case resolution, 3) professional, engaged workforce, 4) resilient and responsive technology, and 5) effective court management and administration.

- **Evidence and Evaluation**

The Courts routinely utilize independent program evaluations and the analytic capacity in our Strategic Management Division. The Evaluations and Evidence section of this request describes current formal independent evaluations of court programs and includes the 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

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

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 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.

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 2022 Request Summary

Operating Budget by Strategic Goal

The D.C. Courts are currently operating under our fourth five-year Strategic Plan, which guides 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 2022, 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 2022 budget request enhances the five strategic goals and includes performance projections for all core functions.

Goal 1: Access to Justice for All--\$2,220,000, 11 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 \$626,000 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; \$469,000 for 2 FTEs to serve as Magistrate Judges to help the court resolve litigants' cases in a timely manner; \$173,000 for 2 FTEs to address the increased mediation caseload in family cases; \$272,000 for 2 FTEs to expedite negotiated Domestic Violence cases and improve data integrity; and \$680,000 for additional resources to achieve pay parity for Superior Court Magistrate Judges.

Goal 2: Fair and Timely Case Resolution--\$3,120,000, 2 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 \$2,928,000 to promote fairness in the juror pool and to finance additional jury trials; \$113,000 for 1 FTE to speed review of complex financial records involved in court cases; and \$79,000 for 1 FTE to provide administrative support in the Court of Appeals.

Goal 3: Professional, Engaged Workforce--\$325,000, 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 \$189,000 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 \$136,000 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--\$612,000, 4 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 \$150,000 for technology services related to cloud migration and information security; \$136,000 for 1 FTE to support IT security compliance; \$136,000 for 1 FTE to support application development and automation; and \$190,000 for 2 FTEs to support courtroom technology capabilities and remote operations.

Goal 5: Effective Court Management and Administration--\$1,971,000, 5 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 \$1,620,000 to maintain the Moultrie Courthouse Addition, including 2 FTEs to support facilities maintenance and repair; \$136,000 for 1 FTE to manage capital projects in stewardship of the 1.5 million gross square feet of building space in Judiciary Square; \$79,000 for 1 FTE to provide administrative support to capital projects and facilities management functions; and \$136,000 for 1 FTE to enhance compliance with legal requirements.

Built-In Increases--\$9,737,000

The request also includes \$9,737,000 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 (10.5% in 2019 versus 16.4%, 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 \$120.23 million, including \$83

million to renovate, improve and expand the D.C. Courts' facilities and grounds, and \$37 million to maintain the D.C. 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. The Courts are in the process of reconfiguring and upgrading space in Buildings A and B to migrate court functions from Gallery Place to Judiciary Square.

Renovations, Improvements & Expansions

Recorder of Deeds Renovation

The FY 2022 Capital Budget request includes \$41 million to stabilize and restore the historic Recorder of Deeds building to meet space requirements. The building, which contains culturally significant murals, has deteriorated considerably since it was vacated by the District Government in 2008.

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

1. The D.C. Courts' anticipated space need will be fulfilled through 2030 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, but it will also 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.

Accommodating the D.C. Courts' Anticipated Growth Through 2030

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 (an urban design plan for the area) and the Facilities Master Plan to date, and to look forward 10 years to determine the D.C. Courts' facility needs through 2030. As part of the master planning effort, the team assessed 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, through 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 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 and, therefore are expected to grow as the DC population grows.

The anticipated space need through 2030 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. The rate of growth applied is 13.9% based on 2019 Census Bureau average projected growth from 2020 to 2030. This percentage is applied to D.C. Courts' divisions with significant public service functions.
- Technology improvements will offset growth in general administrative areas. For example, filing requirements are decreasing with e-filing procedures and an ongoing program to scan existing hard copy files.
- 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 Courts' formal telework policy will not reduce the anticipated space need through 2030. It allows work off-premises, however, personnel working off premises retain their assigned workspace within court buildings. To impact long-term space needs, the Courts would need to adopt new space-use policies such as shared workstations, unassigned workstations, small touchdown workstations for teleworkers, or full-time telework options for certain groups.

Providing "Greater Access to Justice for All"

As detailed above, one assumption that underlies the D.C. Courts' space needs through 2030 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 contribute to an 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, would provide the additional space required not only to fulfill the anticipated space requirement, but also to meet the intent of the Strategic Plan Goal I:

“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 12 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 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 our 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 Courts must systematically modernize courtrooms, courtroom support space, and judges' chambers campus wide. The renovation of approximately 70 courtrooms (including their supporting spaces), hearing rooms, and approximately 70 judges' chambers will be phased over 15 to 20 years. Near-term priorities include the following initiatives:

1) Modernizing Courtroom Sets for ADA Accessibility

Most of the courtrooms in the H. Carl Moultrie I Courthouse have not been significantly altered since the building was constructed in the 1970's and the same is true for courtrooms in other court buildings on Judiciary Square campus. The Courts have modified some courtrooms have

over the years to provide limited accessibility (such as wheelchair lifts for judges); however, most courtrooms are not ADA compliant. In addition, most of the Courts' portfolio of existing courtrooms lack complete fire protection systems, building systems, and technology to efficiently support contemporary courtroom practices. This targeted initiative is to ensure that all types of court cases have a fully ADA compliant venue on the Judiciary Square campus. It is, therefore, focused on the modernization of courtroom sets that are in poor condition and that the DC Courts are targeting to make ADA accessible; priority for modernization will be given to courtroom sets that are not currently ADA compliant. Modernizations will include much-needed fire and life safety, security, electrical, and HVAC upgrades; new finishes; and technology upgrades to accommodate case processing and evidence presentation equipment that was barely imaginable when these courtrooms were constructed. The result will be fully modernized, ADA accessible courtrooms with improved layouts and systems for maximum operational efficiency. This initiative will continue until the Courts' goal for provision of ADA accessible courtrooms is met.

The FY 2022 request for \$21.41 million supports the Courts' two top priorities: 1) the provision of ADA accessible courtrooms and courtroom support space, and 2) the accommodation of all court personnel in government-owned buildings to eliminate dependency on high-cost lease space. The funds requested in FY 2022 will address the following within Building B:

- Modernization of the existing Landlord Tenant and Small Claims Courtroom sets;
- Reconfiguration and modernization of existing space housing Landlord Tenant and Small Claims personnel supporting courtroom functions;
- Re-stacking, reconfiguration and modernization of space required to accommodate personnel growth within divisions who need to remain in the building for operational efficiency, require adjacency to courtrooms, and cannot be accommodated elsewhere;
- The renovation of all swing space necessary for uninterrupted court operations during the construction phase of the efforts detailed above.

The Courts prioritize the Landlord Tenant and Small Claims Courtroom sets in FY 2022 because they are high-traffic courtrooms that have experienced increased caseloads (and therefore increased space needs) in recent years. To meet those space needs they have expanded into space planned for other court functions. To ensure these courtrooms have permanent assigned space and that they operate efficiently as ADA accessible venues, complete reconfiguration and modernization of space is essential and time-sensitive.

2) Modernizing Judges Chambers

Like courtrooms, there are many judges' chambers in the Courts' Judiciary Square campus buildings that have been refreshed over the years, however, many judges' chambers still lack complete fire protection systems and have egress issues, posing a life safety threat to the personnel who work in them. Like the courtrooms, these chambers are not ADA compliant, they lack mechanical and electrical infrastructure to support modern equipment, and they have outdated finishes, fixtures and furniture. In short, they require modernization to support contemporary operations and ensure the life safety of court personnel. This initiative will continue until all chambers have complete fire protection systems and comply with ADA requirements.

The FY 2022 request for \$5.47 million includes the modernization of judges' chambers on the north and northeast perimeter of the 3rd floor of the H. Carl Moultrie I Courthouse, including adjacent support space and access pathways.

3) Refreshing Courtrooms & Chambers for Continuity of Operations

Considering that so many courtrooms and judges' chambers in the Courts' portfolio are in poor condition and that modernization of all of them will take up to twenty years, the Courts must make minor upgrades to, or "refresh," some courtrooms and chambers in the short term. This initiative targets courtrooms and chambers that are in poor condition (resulting in complaints to the facilities maintenance team) and are not planned for modernization for at least 3-5 years.

The FY 2022 request for \$810,000 includes the refresh of 10 courtrooms and 10 chambers. The Courts will identify the exact courtrooms and chambers to be refreshed and will schedule refreshes to align with other budget initiatives and master plan priorities to ensure cost and construction efficiencies.

Campus Security, Signage and Lighting

The Courts request \$11 million to complete security enhancements to the Courts' Judiciary Square campus as detailed in the Judiciary Square Master Plan and the Open Space and Perimeter Security Design. This project will provide a secure perimeter around court buildings and increase pedestrian safety. The Courts have prioritized portions of the total requirement and identified the following FY 2022 initiatives:

1) Securing the Northeast Block of Campus

This initiative will secure the perimeter of the northeast block of the Courts' campus at Judiciary Square, implementing the Open Space and Perimeter Security Design, approved by the National Capital Planning Commission (NCPC). The FY 2022 request for \$5.96 million includes the renewal of existing parking access and control measures and the addition of physical vehicle barriers (heightened curbs, fence walls, tree fences and tall trees, bollards, and hardened benches) to create a continuous security perimeter around the block on which Building B sits. It also includes the addition of site lighting and security surveillance cameras for increased safety of pedestrians and court personnel. The exterior work to secure the block is scheduled to begin as work on the interior of Building B nears completion.

2) Securing the Northwest Block of Campus

This initiative will secure the perimeter of the northwest block of the Courts' campus at Judiciary Square to implement the Open Space and Perimeter Security Design, approved by NCPC. The FY 2022 request for \$5.36 million includes the replacement of aged parking access and control devices and the addition of physical vehicle barriers (heightened curbs, fence walls, tree fences and tall trees, bollards, and hardened benches) to create a continuous security perimeter around the block on which Building A sits. It also includes the addition of site lighting and security surveillance cameras for increased pedestrian and court personnel safety. The funding request is aligned with the *Securing the Northeast Block of Campus* initiative to complete both as one project, thereby achieving construction mobilization efficiencies and cost savings.

Life Safety and Code Compliance Upgrades

The Courts request \$3.28 million in FY 2022 to complete projects in locations where life safety and code compliance issues have intensified due to increased personnel counts without expansion or reconfiguration of space to accommodate those personnel. The funds requested will be used to provide safe accommodation of two offices—the Crime Victims Compensation Program and the Landlord Tenant Resource Center.

1) Crime Victims Compensation Program Upgrades

The number of staff in the Crime Victims Compensation Program has increased since building upgrades were made over 13 years ago, in 2007. As a result, the suite they occupy on the first floor of Building A is over-populated, creating egress and other building code compliance issues. In addition, the suite lacks a complete fire protection system, posing a life safety threat; is not ADA compliant; lacks essential physical security controls to protect court personnel and visitors as well as the sensitive personal data of crime victims that is stored in the suite; lacks energy efficient lighting; and does not meet D.C. Courts Design Standards. The funds requested include not only the renovation and expansion of the existing suite, but also the cost of all relocations and swing space accommodations required for continued operations during construction.

2) Landlord Tenant Resource Center Relocation

The Center has expanded onto the 2nd floor of Building B and currently occupies space that has long been planned for court personnel migrating from Gallery Place. To accommodate the court personnel on the 2nd floor as originally planned, the Center must be relocated. The Courts have identified space on the lower level of Building B to accommodate the Center and consolidate the Center adjacent to free services provided by the DC Bar. To relocate the Center to the lower level, essential life safety, code, and ADA accessibility issues need to be addressed. For example 1) life safety systems must be completed in all space to be occupied, 2) ADA accessible restrooms must be created for public use, and 3) an accessible pathway must be created from other floors of Building B to the lower level.

Maintain Existing Infrastructure

The FY 2022 Capital Budget request also includes \$37 million to address required 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, to preserve the integrity of these historic structures, and to protect taxpayer investment in building restorations.

The D.C. Courts' request \$9 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 throughout the campus as components reach the end of their useful life.

Regarding court security, the Courts' 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 existing video management system was installed in 2004 and, at 18 years old, has aged beyond its useful life. In the event of

a system malfunction, neither tech support nor replacement parts will be available, rendering the system inoperable. The system is analog-based, much of the marketplace has ceased production of analog components, and the remaining vendors plan to do so within the next two to six years. All technology support for analog-based systems will end after 2022. The unavailability of parts has already begun to affect the repair of the existing systems. The \$2 million requested for Fire and Security Alarm Systems will fund the beginning of a multi-year effort to replace the existing analog video management system with a contemporary Internet Protocol (IP) system campus-wide. This replacement is critical for the Courts to avoid a system-wide failure, as a functional video management system allowing for continuous video monitoring of public as well as secure courthouse space is central to ensuring that the Courts provide a safe and secure environment for the administration of justice.

The \$18 million in the request for General Repair Projects will permit the Courts to continue, in all five Judiciary Square campus buildings, (1) accessibility and safety improvements; (2) replacement of fixtures, lighting, flooring, and ceiling tiles; and (3) replacement of equipment, as required due to aging and failure. General repair projects will be prioritized as the Facilities Condition Assessment Report is updated, identifying what repairs are most urgent to ensure life safety in court facilities. To keep elevators and escalators in good working order in all five Judiciary Square campus buildings, \$290,000 is requested. An additional \$290,000 is requested for Restroom Improvements to maintain public restrooms in the Judiciary Square campus buildings.

In the area of technology, the D.C. Courts request \$5 million to provide resilient and responsive technology that will support the highest level of service to the public. The technology request will focus on four major areas. First, a case management system is required for the D.C. Court of Appeals to replace a system that will be 11 years old in 2022 and lacks capabilities and efficiency enhancements found in up-to-date systems. Although the Court has put in place manual processes to accomplish its work, maximizing efficiency is crucial to timely service to the public, particularly in light of chronic judicial vacancies and the lack of an intermediate appellate court. For example, internal voting by panels of judges on cases and related motions cannot be conducted within the existing system, which hampers efficient case processing. In addition, the system's reporting capacity limits the data available for administrative decision-making. Second, expanded mobile applications will provide court participants greater access to information and data, thereby increasing access to justice, and facilitate court personnel's ability to utilize computer applications remotely. The third focus area is enhancing technology capabilities to promote operational effectiveness by seeking innovative technology solutions, specifically cloud computing, workspace virtualization, and network infrastructure enhancements. Finally, information technologies must protect court information and assets from cyber threats and internal and external risks. Implementation of these technologies will ensure compliance with federal requirements and internal standards, protect against attacks on information technology assets, ensure continuous uninterrupted service of information systems, and allow for high availability of critical court applications in the event of an emergency.

Finally, \$1.91 million is requested for maintenance of the Historic Courthouse, to protect the public investment in the building that was renovated in 2009.

Defender Services Budget Request

To support Strategic Goal 2: Access to Justice, the FY 2022 Defender Services request totals \$46,005,000, unchanged from FY 2021. The Courts have requested legislative authority to set the rates for attorneys and investigators in the Defender Services accounts, up to that paid in the Federal court. Because the increase will be implemented in phases, the account can finance it through FY 2024.

Budget Priorities

The Judicial Branch of the District of Columbia is a complex organization, that strives to meet the changing needs of the public, governed by our strategic plan. Each requested item in this budget supports the goals of the strategic plan.

Table 2
District of Columbia Courts
FY 2022 Operating Budget Request Priorities

#	FY 2021 Level	Court of Appeals		Superior Court		Court System	
		Amount	FTE	Amount	FTE	Amount	FTE
	Built-In Cost Increases to Maintain Current Level of Service	789,000	-	6,755,000	-	2,193,000	
1	IT Security Compliance Officer (IT Division)					136,000	1
2	Restoration of Positions Eliminated in FY 2018 Due to Budget Constraints						
	*Deputy Director (Center for Education and Training)					189,000	1
	*Planning for Tomorrow's Workforce (Human Resources Division)					136,000	1
	*Applications Programmer (IT Division)					136,000	1
	*Managing Capital Projects (Capital Projects and Facilities Management Division)					136,000	1
	*Administrative Assistant (Capital Projects and Facilities Management Division)					79,000	1
3	Magistrate Judges (Judges and Chambers Staff)			469,000	2		
4	Juror Fee Adjustment			2,928,000	-		
5	Expanding Access to Justice (Initiatives Section)					626,000	5
6	Maintaining Moultrie Courthouse Addition (Capital Projects and Facilities Management Division)					1,620,000	2
7	New Positions						
7.1	Strengthening DV Services (Domestic Violence Division)			272,000	2		
7.2	Administrative Assistant	79,000	1				
7.3	Multimedia Specialists (IT Division)					190,000	2
7.4	Expediting Financial Review (Clerk of Court)			113,000	1		
7.5	Mediating Cases for Families (Multi-Door Dispute Resolution Division)			173,000	2		
7.6	Enhancing Compliance with Legal Requirements (Office of the General Counsel)					136,000	1
8	Microsoft Cloud Services and Annual Subscription Fees (IT Division)					150,000	-
9	Magistrate Judge Pay Parity (Judges and Chambers Staff)			680,000	-		
Total		14,910,000	94	137,050,000	929	85,614,000	304

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

Recent Achievements

In FY 2019, the Court of Appeals and the Superior Court resolved nearly 95,000 cases (1,323 and 92,814 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. In addition to the Courts' accomplishments in response to the novel coronavirus pandemic, 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 informational videos to help guide self-represented litigants through the court process. The first videos were launched in the Court of Appeals and Landlord Tenant.
- Implementation of Forms Help Online, interactive interview software that uses self-guided interview questions to help self-represented litigants generate court forms.
- 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;
- Facilitated payment of court financial obligations with an online payment system for criminal cases and credit card machines available in the file review area in Landlord Tenant, decreasing customer wait and service times.
- Expansion of e-filing to landlord tenant and small claims cases, 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 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 (pre-pandemic);
- 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;
- Expansion of public access to court documents online by adding documents in some felony cases to the Superior Court public access portal, where the public has had access to criminal, probate and civil case dockets, as well as images of documents in all civil cases and lower level criminal cases in addition to operation of a public access portal in the D.C. Court of Appeals where the public can view docket information.

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;
- Posting of schedules online for Landlord Tenant courtrooms to facilitate litigant preparedness and speed case resolution.
- Consolidation of judge-in-chambers functions with other divisions to increase efficiency and decrease wait times in these urgent matters. For example, the Probate Division, which processes long-term guardianships for incapacitated adults now also processes emergency guardianships.
- Development of simplified forms in small claims matters to use plain language and make the form more user-friendly.
- 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 62% of employees responding, 97% 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

- Initiated implementation of a new cloud-based trial court case management system, which will also enhance data quality and link with the Courts’ business intelligence system. “Go live” for the first phase is scheduled in October 2021;
- 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 admission to 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;
- Implementation 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, including adoption of a model to provide a framework around which data governance can be assessed and progress measured, development of an open data policy communications plan, and conducting an inventory of datasets with detailed metadata information;
- 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 2020;
- Operation of an Acquisition Institute to train court staff with acquisition and contract management responsibilities;
- Construction of 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

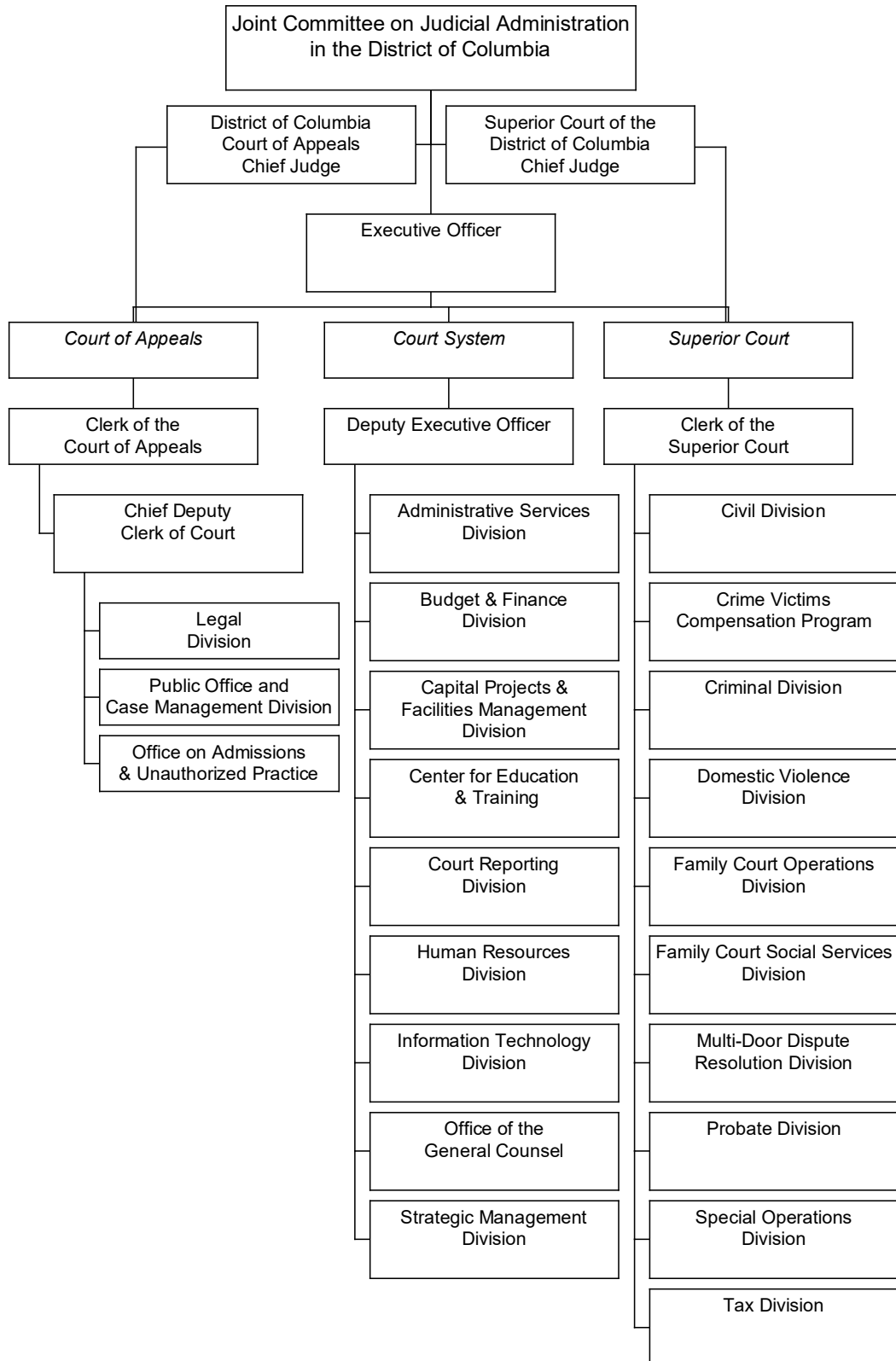


Table 3
DISTRICT OF COLUMBIA COURTS
FY 2022 Budget Justification
Summary Table
Operations

	Courts' Request <u>Amount</u>	<u>FTE</u>
District of Columbia Court of Appeals		
FY 2021 Level³	14,042,000	94
FY 2022 Requested Increases		
<i>A. Goal 2: Fair and Timely Case Resolution</i>		
1. Administrative Assistant	<u>79,000</u>	<u>1</u>
<i>Subtotal</i>	<u>79,000</u>	<u>1</u>
<i>B. Built-In Cost Increases</i>	789,000	
FY 2022 Budget, Court of Appeals	14,910,000	95
Superior Court of the District of Columbia		
FY 2021 Level	125,660,000	922
FY 2022 Requested Increases		
<i>A. Goal 1: Access to Justice for All</i>		
1. Magistrate Judge Pay Parity (Judges and Chambers Staff)	680,000	-
2. Magistrate Judges (Judges and Chambers Staff)	469,000	2
3. Strengthening DV Services (Domestic Violence Division)	272,000	2
4. Mediating Cases for Families (Multi-Door Dispute Resolution Division)	<u>173,000</u>	<u>2</u>
<i>Subtotal</i>	<u>1,594,000</u>	<u>6</u>
<i>B. Goal 2: Fair and Timely Case Resolution</i>		
1. Juror Fee Adjustment	2,928,000	-
2. Expediting Financial Review (Clerk of Court)	<u>113,000</u>	<u>1</u>
<i>Subtotal</i>	<u>3,041,000</u>	<u>1</u>
<i>C. Built-In Cost Increases</i>	6,755,000	
FY 2022 Budget, Superior Court	137,050,000	929

³ Reflects the planned FY 2021 transfer of \$640,000 and 5 FTEs from the Court of Appeals to the Court System administratively to consolidate information technology functions.

	Courts' Request	
	<u>Amount</u>	<u>FTE</u>
District of Columbia Court System		
FY 2021 Level⁴	79,887,000	290
FY 2022 Requested Increases		
A. <i>Goal 1: Access to Justice for All</i>		
1. Expanding Access to Justice (Initiatives Section)	<u>626,000</u>	<u>5</u>
<i>Subtotal</i>	<u>626,000</u>	<u>5</u>
B. <i>Goal 3: Professional, Engaged Workforce</i>		
1. *Deputy Director (Center for Education and Training)	189,000	1
2. *Planning for Tomorrow's Workforce (Human Resources Division)	<u>136,000</u>	<u>1</u>
<i>Subtotal</i>	<u>325,000</u>	<u>2</u>
C. <i>Goal 4: Resilient and Responsive Technology</i>		
1. Multimedia Specialists (IT Division)	190,000	2
2. Microsoft Cloud Services and Annual Subscription Fees (IT Division)	150,000	-
3. IT Security Compliance Officer (IT Division)	136,000	1
4. *Applications Programmer (IT Division)	<u>136,000</u>	<u>1</u>
<i>Subtotal</i>	<u>612,000</u>	<u>4</u>
D. <i>Goal 5: Effective Court Management and Administration</i>		
1. Maintaining Moultrie Courthouse Addition (Capital Projects and Facilities Management Division)	1,620,000	2
2. *Managing Capital Projects (Capital Projects and Facilities Management Division)	136,000	1
3. Enhancing Compliance with Legal Requirements (Office of the General Counsel)	136,000	1
4. *Administrative Assistant (Capital Projects and Facilities Management Division)	<u>79,000</u>	<u>1</u>
<i>Subtotal</i>	<u>1,971,000</u>	<u>5</u>
E. <i>Built-In Cost Increases</i>	<u>2,193,000</u>	
FY 2022 Budget, Court System	85,614,000	306
 Total FY 2022 Budget, D.C. Courts Operations	 237,574,000	 1,330

⁴ Reflects the planned FY 2021 transfer of \$640,000 and 5 FTEs from the Court of Appeals to the Court System administratively to consolidate information technology functions.

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

Capital Improvements

	<u>Courts' Request</u>
Renovations, Improvements & Expansions	
1. Historic Recorder of Deeds Restoration	40,870,000
2. Courtrooms and Chambers	27,690,000
<i>Modernizing Courtroom Sets for ADA Accessibility</i>	<i>21,410,000</i>
<i>Modernizing Judges' Chambers</i>	<i>5,470,000</i>
<i>Refreshing Courtrooms and Chambers for Continuity of Operations</i>	<i>810,000</i>
3. Campus Security, Signage, and Lighting	11,320,000
<i>Securing the Northeast Block of Campus</i>	<i>5,960,000</i>
<i>Securing the Northwest Block of Campus</i>	<i>5,360,000</i>
4. Life Safety and Code Compliance Upgrades	<u>3,280,000</u>
<i>Subtotal, Renovations, Improvements & Expansions</i>	<i>83,160,000</i>
Maintain Existing Infrastructure	
1. HVAC, Electrical and Plumbing Upgrades	9,260,000
2. Fire and Security Alarm Systems	2,070,000
3. General Repair Projects	18,250,000
4. Elevator and Escalator Repairs and Replacement	290,000
5. Restroom Improvements	290,000
6. Technology Infrastructure	5,000,000
7. Historic Courthouse	<u>1,910,000</u>
<i>Subtotal, Maintain Existing Infrastructure</i>	<i>37,070,000</i>
FY 2022 Budget, Capital Improvements	120,230,000

Defender Services

FY 2021 Level	46,005,000
FY 2022 Requested Increases	<u>-</u>
FY 2022 Budget, Defender Services	46,005,000

Table 4
DISTRICT OF COLUMBIA COURTS
Interagency Agreements

Partner Agency	Contract Information	Agreement Amount (in dollars)
Federal Occupational Health Services	Health Care Services	531,000
Federal Occupational Health Services	Employee Assistance Program & WorkLife4You	53,000
Federal Occupational Health Services	Medical Clearance Review Services (For Contractual Security Officers)	30,000
Federal Occupational Health Services	Medical employability case review services	25,000
Federal Occupational Health Services	Ergonomics consultation services	25,000
Federal Occupational Health Services	Dependent backup care services	18,000
General Services Administration	Steam	1,439,000
General Services Administration	WITS - FTSBILLS (Telephone services)	730,000
Interior Business Center	Accounting Operations Financial Services Support	2,746,000
Interior Business Center	Human Resources System	586,000
Office of Personnel Management	Electronic Official Personnel File (eOPF) Hosting & Maintenance	27,000
Office of Personnel Management	Adjudicated Services for Public Trust Investigations	15,000
Office of Personnel Management	FSAFEDS employee flexible spending risk reserve	1,000
US Department of Justice	US Marshals Service	648,000
US Department of Labor	Unemployment compensation	200,000
US Department of Labor	Workers' compensation	182,000
Total		7,258,000

**District of Columbia Courts
FY 2022 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] \$357,050,000 to be allocated as follows: for the District of Columbia Court of Appeals, [\$14,682,000] \$14,910,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the Superior Court of the District of Columbia, [\$125,660,000] \$137,050,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the District of Columbia Court System, [\$79,247,000] \$85,614,000, of which not to exceed \$2,500 is for official reception and representation expenses; and [\$30,499,000] \$120,230,000, to remain available until September 30, [2022]2023, 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. (*Financial Services and General Government Appropriations Act, 2021*)

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: (*Financial Services and General Government Appropriations Act, 2021*)

ADMINISTRATIVE PROVISION

SEC. ____ . ADJUSTMENTS IN COMPENSATION RATES FOR CERTAIN PERSONNEL.

(a) Attorneys Representing Indigent Defendants.—

(1) IN GENERAL.—Section 11–2604(a), District of Columbia Official Code, is amended by striking “at a fixed rate of \$90 per hour” and inserting “an hourly rate not to exceed the rate payable under section 3006A(d)(1) of title 18, United States Code”.

(2) EFFECTIVE DATE.—The amendments made by this section shall apply with respect to cases and proceedings initiated on or after the date of the enactment of this Act.

(b) Criminal Justice Investigators.—

(1) IN GENERAL.—Section 11–2605, District of Columbia Official Code, is amended by striking “(or, in the case of investigative services, a fixed rate of \$25 per hour)” each place it appears in subsections (b) and (c).

(2) EFFECTIVE DATE.—The amendments made by this section shall apply with respect to investigative services provided in connection with cases and proceedings initiated on or after the date of the enactment of this Act.

Justification

ACCOUNT: FEDERAL PAYMENT TO THE 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.

Account: FEDERAL PAYMENT FOR DEFENDER SERVICES IN DISTRICT OF COLUMBIA COURTS—
ADMINISTRATIVE PROVISION

Proposed change

Added language: “**SEC. ____ . ADJUSTMENTS IN
COMPENSATION RATES FOR CERTAIN PERSONNEL.**

(a) Attorneys Representing Indigent Defendants.—

(1) IN GENERAL.—Section 11–2604(a), District of Columbia Official Code, is amended by striking “at a fixed rate of \$90 per hour” and inserting “an hourly rate not to exceed the rate payable under section 3006A(d)(1) of title 18, United States Code”.

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(2) EFFECTIVE DATE.—The amendments made by this section shall apply with respect to investigative services provided in connection with cases and proceedings initiated on or after the date of the enactment of this Act.”

Purpose

Permits the District of Columbia Courts to set the hourly rate for attorneys appointed to represent indigent defendants, capped at the hourly rate paid in the federal courts for similar matters.

Justification

While the rate for these court-appointed attorneys in the D.C. Courts has not been increased for more than 10 years, *see* Pub. Law No. 111-8, §822(a), 125 Stat. 700 (2009) (setting the \$90 rate), the rate paid to attorneys appointed in federal cases pursuant to the Criminal Justice Act, 18 U.S.C. § 3006A, has risen to \$155 per hour. 7 Guide to Judiciary Policy: Defender Services, pt. A, §230.16(a) (last revised *February 25, 2021*), <http://www.uscourts.gov/rules-policies/judiciary-policies/cja-guidelines/chapter-2-ss-230-compensation-and-expenses>. This rate is more than 70 percent higher than the rate paid to attorneys appointed in District of Columbia cases. This disparity adversely affects the Courts’ ability to attract qualified attorneys for indigent parties who are entitled to appointed counsel. Allowing the D.C. Courts to set the hourly rate of compensation for court-appointed attorneys at a rate up to the rate paid in the federal courts would allow the Courts to pay a more comparable rate and increase its ability to attract qualified attorneys.

**District of Columbia Courts
FY 2022 Budget Justification
Initiatives**

JUROR FEE PARITY

Initiative Element	Requested Increase
Juror Fee Rate Adjustment	\$2,928,000

Problem Statement. To promote fairness in the juror pool and to finance additional jury trials pursuant to pending legislation, additional resources are required.

Trial by a jury of one's peers is a fundamental principle in American Justice, and fulfilling it requires a jury pool that represents the community. Jury service, though a basic civic duty, presents an economic hardship to citizens whose employers do not pay them while they serve. Unfortunately, this hardship disproportionately affects people at the lower end of the economic spectrum, discouraging them from serving as jurors and skewing the jury pool, making it less representative of the community and, therefore, less fair to defendants.

The Superior Court pays jurors a modest travel allowance and fee, but the fee is paid only to jurors who are chosen to serve on a jury, not to everyone who spends the day at the courthouse, away from their jobs or other responsibilities, answering questions from judges and lawyers and waiting to be chosen. The juror attendance fee is currently \$40 per day, for those selected for a jury panel, and the travel allowance is \$5 per day, rates established with an appropriation increase in in 2019.

The same pool of citizens who populate Superior Court juries also serve in the U.S. District Court across the street from the courthouse, where they are paid a daily travel allowance of \$7 and \$50 for each day they appear in the courthouse. The Federal court also pays a higher fee for longer proceedings (\$60 per day after 10 days of a trial or 45 days on a grand jury). Currently, Superior Court juror fees are capped at the Federal court rate, but legislation is pending to require that the Superior Court match the Federal juror rate.

The requested resources would finance paying Superior Court jurors at the same rate and in the same manner as Federal jurors—a daily travel allowance of \$7 and a daily fee of \$50 for every juror who reports, not limited to jurors who serve on a panel. This proposal is consistent with the practices in neighboring jurisdictions, Maryland and Virginia. The requested resources would promote fairness by encouraging service by non-salaried persons whose employers do not pay them when on jury duty, thereby helping the court establish a more representative jury pool and promoting the court's goal of extending the time between jury summonses for District residents.

In addition, the requested resources would finance increased jury trials mandated by pending legislation. The Comprehensive Policing and Justice Reform Amendment Act of 2020 expands the right of trial by jury to defendants charged with simple assault and threats to do bodily harm,

charges that currently are tried by judges alone. The Court anticipates that this legislation will generate an additional 86 jury trials each year, bringing 3,440 additional jurors to the courthouse annually, and requiring the court to issue summonses to approximately 17,200 additional jurors (typically fewer than 20% of summoned jurors appear to serve).

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

Methodology. The cost estimate is based on current daily juror fee and allowances increased to \$50 and \$7, respectively; payments expanded to include all jurors who report for service, regardless of whether they are selected for a jury panel; and the cost of the anticipated additional jury trials generated by the pending legislation.

Expenditure Plan. Juror payment policies will be modified and the fee set administratively.

Performance Indicators. A performance indicator for this initiative is an increase in the juror satisfaction score on the juror survey as well as an increase in the percentage of summoned jurors who report for service (juror yield).

EXPANDING ACCESS TO JUSTICE

Initiative Element	Requested Increase
Informational Video Production Unit <i>Audiovisual Production Specialist, 1 FTE (JS-13)</i> <i>Multimedia Specialist, 1 FTE (JS-11)</i> Video Equipment and Software	306,000
Self-Represented Litigant Assistance <i>Pro Bono Coordinator, 1 FTE (JS-14)</i>	160,000
Court Navigator Program <i>Court Navigators, 2 FTEs (JS-8/9)</i>	160,000
Total	626,000

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.

The unmet needs of self-represented litigants have become more apparent as the D.C. Courts have changed their operations from on-site to primarily remote court proceedings to ensure the safety of litigants, attorneys, judicial officers and court staff during the novel coronavirus pandemic. Remote court proceedings may enhance access to justice by allowing litigants to participate from various physical locations, thereby reducing the cost and time involved in transportation, and easing the burden on those with work and caregiving responsibilities. However, some litigants lack the technical knowledge, literacy, English proficiency or broadband availability to complete their court matters remotely. The use of remote hearings creates special challenges for litigants who lack access to technology. According to a 2018 survey by the National Digital Inclusion Alliance, over 24% of households in the District lack access to a home broadband internet connection, and 13% have no connection through a mobile device.⁵ Thirty-five percent of the residents living in Wards 5, 7 and 8 have no access to broadband. The Courts have a responsibility to eliminate barriers to meaningful participation in the judicial process.

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 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. Informational videos were recently developed to provide overviews of the appellate, landlord tenant, and small claims court processes. 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.

⁵ <https://www.digitalinclusion.org/worst-coonected-2018/>

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. Between October 1, 2018 through September 30, 2019, the Court Navigator Program provided services to more than 4,000 court participants. The top five services delivered by court navigators included directing or escorting court participants in the building, providing day of hearing information, providing information on how to start a case, connecting participants to other court services, and referring participants to external resources. Additional staff are needed to meet the caseload demands and to expand the program to other case types.

The initial survey findings on the Court Navigator Program are very favorable. A survey was conducted in August 2019 to assess progress towards the achievement of the program goals and to solicit feedback from court participants. Specifically, the survey assessed perceptions of access and fairness and customer satisfaction. A total of 106 court participants completed the survey. Ninety percent strongly agreed or agreed that they had their questions answered and ninety-two percent strongly agreed or agreed that they will return to the Court Navigator Office if they need help in the future. The survey findings revealed that participants assisted by a navigator had more positive perceptions of access to justice than participants not assisted by a navigator.

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: "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 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
99	14,682,000	94	14,042,000 ⁶	95	14,910,000	1	868,000

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 vacancy from March 2017 to January 2020 and again from August 2020 to the present. These two vacancies represent a period of over seven years with an 11% decrease in the judicial workforce, including more than 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 five components: (1) Clerk's Office; (2) Public Office and Case Management Division; (3) Appellate Mediation Office; (4) Legal Division; and (5) Office of the Committees on Admissions and the Unauthorized Practice of Law. Functionally, these components are involved in four major activities: case processing; mediation of cases; and bar admissions and unauthorized practice of law matters.

- 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 (calendaring, 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 provides library services. This office currently has 8 FTEs.

⁶ Reflects the planned FY 2021 transfer of \$640,000 and 5 FTEs from the Court of Appeals to the Court System administratively to consolidate information technology functions.

- 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.

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 5: Effective Court Management and Administration

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.

The novel coronavirus impacted the caseload in 2020, significantly reducing case filings due to limited operations in the trial court and administrative agencies and suspended filing deadlines, but through rapid adoption of telework, the court Court's output of case dispositions was near normal.

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
2019	1,307	1,323	101%	1,520**	4,354

*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.

** 2019 Cases Pending figure reflects a new methodology of accounting for the cases.

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
2019	2,941	2,685	5,626

Table 3
COURT OF APPEALS
Key Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	Actual FY 2019	Projection FY 2020	Projection FY 2021	Projection FY 2022
Productivity/ Efficiency	Clearance Rate	Court data	101%	104%	102%	102%
Output/Activity	Number of Formal Opinions	Court data	154	160	152	148
Outcome	Mediated cases: Average days from filing to settlement	Court data	137	227	140	135
Outcome	Median overall days on appeal	Court data	327	329	319	317
Outcome	Median days for briefed cases to get before panels of judges	Court data	187	171	177	180
Outcome	Median days for panels of judges to decide cases	Court data	147	114	123	128

Restructuring and Work Process Design

Pandemic Response

The novel coronavirus impacted every aspect of life in the District and across America and the world. The Court remained open to serve the public, albeit in new ways. The Court continued to accept new filings and to publish decisions online. Transitioning almost entirely to telework over the course of a few days, the court's dedicated public servants innovated to change the way the court operates, most publicly by hearing oral arguments by videoconference. In addition, the court automated processes that traditionally required an official's signature on paper, opened an email for emergency filings, and continued to process paper filings from those without email access (e.g. incarcerated persons). Furthermore, the court continued to process applications for admission to the bar and, grappling with the challenges of administering a bar examination to assure the competence of those licensed to practice law, delayed the traditional July bar exam, instead adopting a remote bar exam, the first Uniform Bar Examination jurisdiction to do so.

Business Process Working Group

The Court launched a broad initiative that supports all of our strategic goals: the Business Process Working Group, an interdisciplinary committee including a judicial liaison, appellate court staff, information technology experts, and data specialists to examine broadly court business processes, identify opportunities for improvement, and to guide implementation. The group is charged with mapping processes, gathering input from all levels of the organization, leveraging technology, identifying data that should be collected and utilized, utilizing cross-training, managing change, and planning implementation of its recommendations.

Strategic Goal 1: Access to Justice

The Court serves a large population of self-represented litigants; outside of criminal and certain types of family cases, in which parties are often eligible for publicly funded attorneys, more than half of the court's cases involve one or more self-represented parties. To make the court more

accessible to the public, particularly to these self-represented litigants, the court took the following steps recently:

- Updated the court's web page on "[How to Start an Appeal](#)." The page includes infographics that provide user-friendly help for self-represented litigants as well as more detailed information and links.
- Implemented online software that helps parties fill out the forms required to initiate their appeals cases and to request waiver of fees, along with easy-to-read instructions.
- Launched an [online video](#) that illustrates the appellate process, explaining, at a high level, how to initiate an appeal and what happens as the court considers it and renders a decision.
- Established the DC Bar Pro Bono Working Group to collaborate with the legal community to increase legal services available to parties in appeals cases, in addition to the services available for trial court cases. (also supports Strategic Goal 5)
- Created an appellate mediation pro bono counsel panel that matches self-represented litigants with volunteer attorneys who provide limited scope representation for the mediation process. Because, to assure fairness, appellate mediation is available only in cases in which both parties have attorneys, the panel allows self-represented litigants to participate in mediation and to enjoy the benefits afforded by mediated settlement of cases. The court also recruited law students to assist with representation, to provide additional resources to the parties and to build future capacity for appellate mediation in the District. (also Supports Strategic Goal 2)

In addition, the court continued to provide one-on-one information to parties in the Public Office, to offer e-filing to self-represented parties (in addition to requiring attorneys to e-file), to make court decisions and dockets available online, and to live stream oral arguments.

Strategic Goal 2: Fair and Timely Case Resolution

- As noted above, the court expanded its mediation program by including self-represented parties. The Appellate Mediation Program 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.
- To resolve cases at earlier stages of the appeals process and at lower cost to the parties, the court has continued to informally encourage parties to file motions for summary affirmance. These motions rely more heavily on staff resources for the court to issue a decision, reducing the judicial workload.
- The court continues to transition to a paperless environment through e-filing and the court's case management system.

Strategic Goal 3: A Professional and Engaged Workforce

The Court of Appeals achieved strong results on the 2019 Employee Viewpoint Survey, as indicated by three index scores that combine the results of related questions. The employee engagement index for appellate staff was 79, compared to the Federal Government engagement score of 62. Employee satisfaction increased from 71% in 2017 to 73% in 2019. Although employee perception of fairness continued to present a challenge to the court, the fairness index

increased from 41% in 2017 to 55% in 2019. In addition, 95% of staff indicated a willingness to put in extra effort to get the job done, 97% believe their work is important, and 97% believe the quality of the work in their office is high quality.

The court will continue to work with the Center for Education and Training on employee development. Scores for training assessment, employee satisfaction with job training, and supervisor support of employee development remained stable, with statistically insignificant fluctuations.

Strategic Goal 4: Resilient and Responsive Technology

The Court reorganized the small information technology unit that serves the Court of Appeals, merging it with the larger IT Division in the Court System enhance efficiency and leverage skill sets across the organization.

Strategic Goal 5: Effective Court Management and Administration

As discussed above, the court launched the DC Bar Pro Bono Working Group in collaboration with the DC Bar and the legal community. Appellate cases require legal arguments; accordingly, it is particularly challenging for the court to serve self-represented litigants and, therefore, necessary to build the services available to appellate parties who cannot afford an attorney.

FY 2022 Request

In FY 2022, the D.C. Courts' request for the Court of Appeals is \$14,910,000, an increase of \$868,000 (6%) above the FY 2021 Enacted Budget. The requested increase includes \$79,000 for one FTE to provide administrative support to the Clerk's Office; and \$789,000 for built-in cost increases.

Supporting Court Operations, 1 FTE, \$79,000 ***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. The Librarian manages online legal research subscriptions and the court’s print collection, keeps court personnel abreast of new research materials, provides research assistance, and assists with issuance of opinions. 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 6 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	63,000	16,000	79,000

Table 5
COURT OF APPEALS
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted⁷	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	10,129,000	9,622,000	10,236,000	614,000
12 - Personnel Benefits	2,420,000	2,287,000	2,436,000	149,000
<i>Subtotal Personnel Services</i>	<i>12,549,000</i>	<i>11,909,000</i>	<i>12,672,000</i>	<i>763,000</i>
21 - Travel, Transp. of Persons	60,000	60,000	63,000	3,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	99,000	99,000	104,000	5,000
24 - Printing & Reproduction	83,000	83,000	87,000	4,000
25 - Other Services	1,185,000	1,185,000	1,244,000	59,000
26 - Supplies & Materials	89,000	89,000	93,000	4,000
31 - Equipment	617,000	617,000	647,000	30,000
<i>Subtotal Non-Personnel Services</i>	<i>2,133,000</i>	<i>2,133,000</i>	<i>2,238,000</i>	<i>105,000</i>
TOTAL	14,682,000	14,042,000	14,910,000	868,000
FTE	99	94	95	1

Table 6
COURT OF APPEALS
Detail Difference, FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY2021/FY2022
11 – Personnel Compensation	Current Position WIG	94	76,000	
	Current Position COLA		475,000	
	Administrative Assistant	1	63,000	
<i>Subtotal 11</i>				<i>614,000</i>
12 – Personnel Benefits	Current Position WIG	94	20,000	
	Current Position COLA		113,000	
	Administrative Assistant	1	16,000	
<i>Subtotal 12</i>				<i>149,000</i>
<i>Subtotal Personnel Services</i>				<i>763,000</i>
21 – Travel, Transp. of Persons	Built-in Increases		3,000	
22 – Transportation of Things				
23 – Rent, Commun. & Utilities	Built-in Increases		5,000	
24 – Printing & Reproduction	Built-in Increases		4,000	
25 – Other Service	Built-in Increases		59,000	
26 – Supplies & Materials	Built-in Increases		4,000	
31 – Equipment	Built-in Increases		30,000	
<i>Subtotal Non-Personnel Services</i>				<i>105,000</i>
Total				868,000

⁷ Reflects the planned FY 2021 transfer of \$640,000 and 5 FTEs from the Court of Appeals to the Court System administratively to consolidate information technology functions.

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

Grade	FY 2020 Enacted	FY 2021 Enacted⁸	FY 2022 Request
JS-6	2	2	2
JS-7	1	1	1
JS-8	3	3	3
JS-9	8	8	9
JS-10	7	7	7
JS-11	45	43	43
JS-12	9	8	8
JS-13	5	3	3
JS-14	4	4	4
JS-15	4	4	4
CES	2	2	2
Associate Judge	8	8	8
Chief Judge	1	1	1
Total Salaries	10,129,000	9,622,000	10,236,000
Total FTEs	99	94	95

⁸ Reflects the planned FY 2021 transfer of \$640,000 and 5 FTEs from the Court of Appeals to the Court System administratively to consolidate information technology functions.

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA

Overview

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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>
921	125,638,000	922	125,660,000	929	137,050,000	7	11,390,000

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 2019, more than 82,000 new cases were filed with the Superior Court, with 52% of the caseload representing civil matters. The remainder of the new filings was 23% criminal, 12% family, 7% domestic violence matters, 4% 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>
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
2019	82,241	35,954	126,870

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 2019 data)

	Cases Disposed	Cases Added	Clearance Rate*	Cases Pending		
				1-Oct	30-Sep	Change
Civil	48,468	47,339	102%	14,862	13,733	-7.6%
Criminal**	22,296	21,178	105%	6,444	5,452	-15.4%
Domestic Violence	7,267	7,255	100%	801	787	-1.7%
Family***	10,950	11,280	97%	3,285	3,615	10%
Probate	2,919	3,293	89%	8,609	8,983	4.3%
Tax***	914	571	160%	1,953	1,610	-17.6%
Total	92,814	90,916	102%	35,594	34,180	-4.9%

*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.

***Beginning pending figures adjusted.

Impact of the Pandemic on Court Operations

In response to the novel coronavirus pandemic, the Court extended court deadlines, and implemented remote courtroom operations and methods to pay court fees and fines to ensure

access to justice to court participants and the public in a virtual environment. The Court equipped 77 courtrooms to conduct proceedings between March 18th and August 10th with judicial officers and non-judicial officers quickly adapting to remote operations and resolving technical and logistical issues in this new environment. However, the Court continues to meet challenges to completely resolve cases particularly for domestic violence, custody and criminal matters. Given health and safety concerns, the Court is not conducting jury trials nor handling cases on the high-volume calendars such as landlord tenant, debt collection, and mortgage foreclosure as they are suspended by law. Remote operations also present obstacles for litigants who do not have adequate technology to participate as a result of the digital divide, resulting in fewer cases moving forward with a hearing. These challenges have resulted in significant delays for resolving cases and meeting performance standards. The Court will continue to meet with partner agencies and stakeholders to overcome challenges to promote the administration of justice in a remote environment.

FY 2022 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 2022 budget request enhances two of the five strategic goals and includes performance projections for all core functions.

Goal 1: Access to Justice for All--\$1,594,000, 6 FTEs

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

The request includes \$469,000 for 2 FTEs to serve as Magistrate Judges to help the court resolve litigants' cases in a timely manner; \$173,000 for 2 FTEs to address the increased mediation caseload in family cases; \$272,000 for 2 FTEs to expedite negotiated Domestic Violence cases and improve data integrity; and \$680,000 for additional resources to achieve pay parity for Superior Court Magistrate Judges.

Goal 2: Fair and Timely Case Resolution--\$3,041,000, 1 FTE

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 \$2,928,000 to promote fairness in the juror pool and to finance additional jury trials and \$113,000 for 1 FTE to expedite review of complex financial records related to court cases.

Built-In Increases--\$6,755,000

The request also includes \$6,755,000 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 (10.5% in 2019 versus 16.4%, respectively).

Table 3
SUPERIOR COURT
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 – Compensation	85,811,000	86,047,000	92,148,000	6,101,000
12 – Benefits	19,839,000	19,894,000	21,370,000	1,476,000
Subtotal Personal Services	105,650,000	105,941,000	113,518,000	7,577,000
21 - Travel, Transp. of Persons	398,000	399,000	417,000	18,000
22 - Transportation of Things	14,000	14,000	15,000	1,000
23 - Rent, Commun. & Utilities	4,238,000	4,244,000	4,435,000	191,000
24 - Printing & Reproduction	582,000	582,000	607,000	25,000
25 - Other Services	12,919,000	12,941,000	16,452,000	3,511,000
26 - Supplies & Materials	944,000	945,000	987,000	42,000
31 – Equipment	893,000	594,000	619,000	25,000
Subtotal Nonpersonal Services	19,988,000	19,719,000	23,532,000	3,813,000
TOTAL	125,638,000	125,660,000	137,050,000	11,390,000
FTE	921	922	929	7

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA JUDGES AND CHAMBERS STAFF

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/FY 2022</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>
243	33,300,000	243	33,350,000	245	36,262,000	2	2,912,000

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 2019, Superior Court judges handled more than 82,000 new case filings. There are 61 Associate Judges in the Superior Court and one Chief Judge. The Associate Judges are assigned to a division by the Chief Judge on a yearly basis, with judges in the Family Court serving renewable three-year terms. Each Superior Court judge has two support staff (typically a judicial 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.

Eighteen law clerks, five judicial administrative assistants, and one paralegal support the 24 Magistrate Judges and eight part-time members of the Commission on Mental Health (2 FTEs).

FY 2022 Request

In FY 2022, the Courts' request for the Judges and Chambers Staff is \$36,262,000, an increase of \$2,912,000 (9%) above the FY 2021 Enacted Budget. The requested increase consists of \$469,000 and 2 FTEs to finance two additional Magistrate Judge positions, \$680,000 to increase the Magistrate Judge salary for federal parity, and \$1,763,000 for built-in cost increases.

Magistrate Judges (JS-15), 2 FTEs, \$469,000

Align Magistrate Judges' Pay Rate to Federal Pay Rate, \$680,000

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. In particular, 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, to meet the fairness and timeliness expectations of court participants.

In addition, the court has requested 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.

Specifically, the court critically needs additional magistrate judges to cover the following operational areas:

1. Probate Division –increase Magistrate Judge coverage of summary matters, which include motions for extra time, transmittals of the Register of Wills, capacity assessments, fee petitions, and small estate proceedings. The Probate Division handled 14,451 of these summary proceedings in FY 2019.
2. Civil Division – with the consent of the parties, settle proceedings (including uncontested and contested proceedings), determine pretrial matters (both dispositive matters that resolve the case and non-dispositive matters), make findings, and enter final judgments and orders. Specifically—
 - Landlord Tenant cases: approve disbursement orders, consent settlement agreements, and consent judgments and preside over non-jury trials and evidentiary hearings. In FY 2019, Magistrate Judges completed more than 29,000 landlord tenant cases, including 3,750 consent orders.
 - Small Claims cases (those seeking less than \$10,000 in monetary damages): manage non-jury trials and judicial arbitrations. In FY 2019 the court's Magistrate Judges completed 9,718 cases.
 - Civil Actions cases (where the amount in controversy exceeds \$10,000): preside over early mediation mortgage foreclosure cases, tax lien foreclosure cases, and debt collections cases. In FY 2019, Magistrate Judges completed 738 mortgage foreclosure cases, 438 civil actions collections cases, and 409 tax lien cases.

3. Criminal Division – hear arraignments, preliminary hearings, DC hearings (traffic and DC offenses prosecuted by the Office of the Attorney General), review bench warrants, and issue arrest and search warrants. In FY 2019, magistrate judges presided over 22,430 arraignments, 4,989 preliminary hearings, and 17,465 DC hearings.
4. Family Division – manage Paternity and Support cases; Mental Health matters, including commission, recommitment, private commitment cases, and forensic findings; uncontested divorces; and neglect matters. They also disposed of over adoption, parentage, mental habilitation, uncontested divorce, and juvenile arraignment and new referral matters. In FY 2019, Magistrate Judges completed 202 adoptions, 436 abuse and neglect, 1,878 parentage and support, 2,182 mental health commission, and 796 uncontested divorce cases and presided over 908 juvenile arraignments and new referrals. Family Court magistrate judges also monitored nearly 1,000 post-disposition abuse and neglect cases that remain open and require regular judicial reviews until the child reaches permanency, either through placement in a permanent living situation or aging out of the foster care system.
5. Domestic Violence Division – manage domestic violence misdemeanor arraignments and temporary protection order hearings. In FY 2019, Magistrate Judges presided over 1,372 misdemeanor arraignments and 5,487 temporary protection order hearings.

Even without the addition of new duties from the proposed legislation, the increased workload of Magistrate Judges has increased the time for resolving cases. The Superior Court experienced an 80% increase in the time to dispose of cases from FY 2018 (414 days) to FY 2019 (745 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 36 days in FY 2019. Given the increased duties from work process redesigns and pending legislation, the time required to schedule an initial matter before a Magistrate Judge is projected to continue to increase. The lack of judicial resources also impacts the timely resolution of motions filed by court participants. The average age of a motion increased by 57% from 63 days in FY 2018 to 99 days in FY 2019. As of June 28, 2020, there were 812 motions pending from FY 2018 and 1,354 from FY 2019.

Magistrate Judges serve a vital role for the D.C. Courts. The caseload statistics which demonstrate their management of several high volume and specialized calendars are indicators of their work product and the application of the laws in the District. As their roles and responsibilities evolve to meet the needs of agency stakeholders and the public, it is critical to address the pay gap between Superior Court Magistrate Judges and United States Magistrate Judges.

Under the Federal Magistrates Act of 1968, United States Magistrate Judges were granted greater judicial authority to meet the varying needs of the courts to which they are assigned. Superior Court Magistrate Judges and United States Magistrate Judges already have comparable duties, and the court's proposed amendment to Title 11 of the D.C. Code would make even more similar. One proposed duty is the issuance of search and arrest warrants. United States Magistrate Judges duties are only limited in scope to those that are "not inconsistent with the Constitution and laws of the United States," which allows District Court magistrate judges to perform additional duties not specified in the statute.

Although United States Magistrate Judges may hear a broader range of matters, their duties are not significantly different from those of Superior Court Magistrate Judges. The Superior Court Magistrate Judges typically handle more numerous matters than federal magistrate judges in the US District Court across the street from the Superior Court. In FY 2019, the three Magistrate Judge in the US District Court – District of Columbia handled 6,852 matters, an average of 2,284 each, compared to the more than 112,800 matters handled by the 24 Magistrate Judges at the Superior Court, an average of more than 4,700 each. The court requests compensation of Superior Court Magistrate Judges at the same pay rate as US Magistrate Judges.

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 and the Magistrate Judges’ increased pay rate. Existing staff will provide legal and administrative support to the new magistrate judges, who already share a pool of law clerks and judicial administrative assistants.

Methodology. The positions are JS-15 based on the Courts’ classification policies for comparable staff positions and the increased salary is based on the salary for United States Magistrate Judges.

Expenditure Plan. The Magistrate Judges will be recruited and hired and paid an increased salary 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	Annual Salary	Benefits	Total Personnel Costs
Magistrate Judge	JS-15	2	\$372,000	\$97,000	\$469,000

Table 2
JUDGES AND CHAMBERS STAFF
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	28,720,000	28,763,000	31,176,000	2,413,000
12 - Personnel Benefits	4,365,000	4,372,000	4,861,000	489,000
<i>Subtotal Personnel Cost</i>	<i>33,085,000</i>	<i>33,135,000</i>	<i>36,037,000</i>	<i>2,902,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	29,000	29,000	30,000	1,000
25 - Other Services				
26 - Supplies & Materials	127,000	127,000	133,000	6,000
31 - Equipment	59,000	59,000	62,000	3,000
<i>Subtotal Non-Personnel Cost</i>	<i>215,000</i>	<i>215,000</i>	<i>225,000</i>	<i>10,000</i>
TOTAL	33,300,000	33,350,000	36,262,000	2,912,000
FTE	243	243	245	2

Table 3
JUDGES AND CHAMBERS STAFF
Detail, Difference FY 2021/FY2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/FY 2022
11 - Personnel Compensation	Current Position WIG	243	210,000	
	Current Position COLA		1,292,000	
	Magistrate Judge	2	372,000	
	Magistrate Judge - Pay Adjustment	24	539,000	
<i>Subtotal 11</i>				<i>2,413,000</i>
12 - Personnel Benefits	Current Position WIG	243	55,000	
	Current Position COLA		196,000	
	Magistrate Judge	2	97,000	
	Magistrate Judge - Pay Adjustment	24	141,000	
<i>Subtotal 12</i>				<i>489,000</i>
<i>Subtotal Personnel Services</i>				<i>2,902,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Service				
26 - Supplies & Materials	Built-in Increases			6,000
31 - Equipment	Built-in Increases			3,000
<i>Subtotal Non-Personnel Services</i>				<i>10,000</i>
Total				2,912,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	112	112	112
JS-11	41	41	41
JS-12	1	1	1
JS-13			
JS-14	2	2	2
JS-15	25	25	27
Associate Judge	61	61	61
Chief Judge	1	1	1
Total Salary	28,720,000	28,763,000	31,176,000
Total FTEs	243	243	245

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

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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>
14	1,373,000	14	1,375,000	15	1,575,000	1	200,000

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 also provides oversight 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.

In 2019 the Judicial Support Unit (JSU) was established as a unit within the Office of the Clerk of Court to serve as a centralized resource that functions as support to and liaison among judges, chambers staff, and the administrative offices of the court. The primary purpose of JSU is to streamline and consolidate certain administrative functions to ensure operational efficiency and consistency for judicial chambers.

Organizational Background

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.

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, Special Operations Division, Office of the Auditor Master, and the new Judicial Support Unit. 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 or manager the responsibility to manage staff and budgetary and operating resources.

The Office of the Clerk includes the Office of the Auditor-Master and the Judicial Support Unit and is staffed by fourteen FTEs in total. Eight FTEs are assigned to the functions performed in

the Office of the Clerk of the Court: Clerk of Court, three Senior Operations Managers, two Judicial Administrative Support Specialists, and two administrative support staff. Six FTEs are assigned to the functions performed by the Office of the Auditor-Master: the Auditor-Master, Assistant Auditor Master, two Attorney Advisors, an Accountant, and an Administrative Assistant.

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 in 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 Judicial Support Unit serves as the point of contact for coordinating logistics for chambers moves and set-up; coordinating investiture and installation ceremony logistics; supporting the on-boarding and exiting/separation of judicial chambers staff; and maintaining and updating judicial library references. Additionally, the JSU provides training and support for administrative and logistical functions of chambers staff. The JSU is comprised of two Judicial Administrative Support Specialists (JASS).

Auditor-Master Workload Data

While the caseload has generally fluctuated from year to year, a 21% increase in cases were referred to the Office in FY 2019, from 74 in FY 2018 to 98 in FY 2019. The Office achieved an average clearance rate of 110% in FY 2017 (114%) and FY 2018 (105%). However, the clearance rate decreased to 54% in FY 2019 because of the caseload increase. This significant increase in workload is due to the increased caseload in the Probate Division, the source of approximately 90% of cases referred to the Auditor-Master. The number of cases is projected to steadily increase as the result of increased filings in conservatorships for the increasing number of senior citizens in need of judicial intervention. The rising value of real property and the resultant increase in the size of decedent estates and conservatorships has raised the complexity of matters referred to the office, with more assets and expenditures to account for during office investigations.

Table 1
**AUDITOR MASTER
Caseload Overview**

Fiscal Year	Case Activity			Cases Pending		
	Reports (Dispositions)	Cases Referred	Clearance Rate	Oct 1	Sep 30	Change
2018	78	74	105%	61	57	-7%
2019	53	98	54%	57	102	79%

Key Performance Indicators

Table 2
AUDITOR-MASTER
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2019		FY 2020		FY 2021		FY 2022	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Input	Cases Referred	Management Reports	80	98	80	90	90	90	90	90
Output	Cases completed within 6 months		65%	45%	65%	45%	65%	45%	65%	45%
Output	Cumulative Cases completed within 9 months		80%	77%	80%	70%	80%	70%	80%	70%
Output	Cumulative Cases completed within 12 months		85%	89%	85%	75%	85%	75%	85%	75%
Efficiency	Clearance Rate (Reduction of pending cases)		100%	54%	80%	70%	80%	70%	80%	70%
Input	Percentage of cases wherein Reports are approved		95%	97%	95%	97%	95%	97%	95%	97%

FY 2022 Request

In FY 2022, the Courts' request for the Office of the Clerk of the Court is \$1,575,000, an increase of \$200,000 (15%) above the FY 2021 Enacted Budget. The requested increase consists of \$113,000 for 1 FTE to expedite review of financial records related to court cases and \$87,000 for built-in cost increases.

Expediting Financial Review, 1 FTE, \$113,000 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. For the court to meet the Time to Disposition Standards, the Office of the Auditor-Master must complete these matters more quickly than is possible with existing resources. 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, two Attorney Advisors, an Accountant, and an Administrative Assistant. Many cases involve highly complex issues that require a great deal of time from staff with accounting skills. The accounting requires investigation and scrutiny of thousands of transactions over an average of three years and involving millions of dollars. Cases have as many as 17 boxes of financial information and cover up to 40 years of transactions. The complex and voluminous sources of data for inspection, verification, and analysis come from multiple sources, including bank and investment statements, credit card statements, spreadsheets, land records, rental records, utility

bills, and receipts from miscellaneous sources. As reflected above in Table 2, for FY 2020 and FY 2021, with only one accountant, the Office will not be equipped to address the projected caseload from the Probate Division. Moreover, the Office will not meet its performance goals of completing 60% of the cases within six months, 80% within nine months, and 100% within 12 months nor its 100% clearance rate goal.

Many of the investigated cases require the 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; another case 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 two 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 Position Requested

Position	Grade	Number	Annual Salary	Benefits	Total Personnel Costs
Accountant	JS-12	1	\$90,000	\$23,000	\$113,000

Table 4
CLERK OF THE COURT
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY2021/2022
11 - Personnel Compensation	1,034,000	1,036,000	1,193,000	157,000
12 - Personnel Benefits	290,000	290,000	331,000	41,000
Subtotal Personnel Cost	1,324,000	1,326,000	1,524,000	198,000
21 - Travel, Transp. of Persons				0
22 - Transportation of Things				0
23 - Rent, Commun. & Utilities				0
24 - Printing & Reproduction	3,000	3,000	3,000	0
25 - Other Services	7,000	7,000	7,000	0
26 - Supplies & Materials	19,000	19,000	20,000	1,000
31 - Equipment	20,000	20,000	21,000	1,000
Subtotal Non-Personnel Cost	49,000	49,000	51,000	2,000
TOTAL	1,373,000	1,375,000	1,575,000	200,000
FTE	14	14	15	1

Table 5
CLERK OF THE COURT
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/FY 2022
11 - Personnel Compensation	Current Position WIG	14	20,000	
	Current Position COLA		47,000	
	Accountant	1	90,000	
<i>Subtotal 11</i>				<i>157,000</i>
12 - Personnel Benefits	Current Position WIG	14	5,000	
	Current Position COLA		13,000	
	Accountant	1	23,000	
<i>Subtotal 12</i>				<i>41,000</i>
<i>Subtotal Personnel Services</i>				<i>198,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials				1,000
31 - Equipment				1,000
<i>Subtotal Non-personnel Services</i>				<i>2,000</i>
Total				200,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	3	3	3
JS-11	3	2	2
JS-12			1
JS-13	2	2	2
JS-14	4	5	5
JS-15	1	1	1
CES	1	1	1
Total Salary	1,034,000	1,036,000	1,193,000
Total FTEs	14	14	15

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA CIVIL DIVISION

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	8,676,000	101	9,184,000	0	508,000

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 101 full time equivalent employees (FTEs). The Division processed 45,993 civil cases in FY 2019.

Organizational Background

The Division is comprised of a Director's Office, which has 12 FTEs, and the following branches and 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 2019, there were more than 8,400 civil action cases filed. Branch responsibilities also include providing case and procedural information to the public, reviewing and processing electronically filed documents and in-person filings 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 22 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 31 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 29,200 filings in FY 2019. This branch has 22 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 2019, there were over 8,200 small claims cases filed. This branch has 14 FTEs.
5. The **Quality Management Unit** 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 2 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

Strategic Goal 1: Access to Justice for All

- **Minimize Wait Times.** In December 2018, credit card machines were placed in the file review public counter area to facilitate the processing of non-cash transactions. This enhancement improved the customer's experience by decreasing wait and service times.
- **Community Outreach.** In August 2019 staff from the Landlord Tenant Branch participated in the DC Housing Authority Landlord Symposium to promote a better understanding of the landlord and tenant court processes and share legal resources.
- **Increased Online Assistance.** In September 2019, the court implemented software to help self-represented litigants with housing issues generate forms. The software uses self-guided interview questions, similar to common tax filing software.

Strategic Goal 2: Fair and Timely Case Resolution

- **Expanded e-Filing** for Landlord Tenant and Small Claims and Conciliation Cases. In October 2018, e-Filing became mandatory for attorneys for Landlord Tenant and Small Claims and Conciliation cases to enhance efficient and timely case resolution for both bulk and individual case filings.
- **Landlord Tenant Online Calendars.** In February 2019, the court expanded posting calendars online for both of the court's landlord tenant courtrooms to ensure advanced access to information and facilitate preparedness and case resolution.
- **Improved Case Processing.** In April 2019, a workflow accountability process was implemented in the Civil Action Branch which significantly enhanced operational efficiencies and increased accountability. This enhancement improved compliance with case processing performance standards and improved customer service. The majority of e-Filings received for the branch were processed the same day or within one day, a significant reduction over the previous time standard of three days.
- **Judge in Chambers.** In July 2019 Judge in Chambers operations were consolidated into the Civil Division to increase the efficiency of case processing and reduce wait times for litigants. The office structure has been changed to accommodate the added responsibilities and training initiatives have been implemented to ensure successful training of staff.
- **Small Claims.** In September 2019, the court implemented a new simplified Statement of Claim form to improve use of plain language and separate the hearing notice to make it more prominent to litigants.

Strategic Goal 3: A Professional and Engaged Workforce

- **Workforce Training.** In October 2018, a training initiative committee was formed to establish a comprehensive workforce training plan for the entire division. The committee is comprised of a cross section of employees from all branches and units in the division. It focuses on expanding training to promote high achievement and professional development for all staff and facilitating succession planning.
- **Cross-Training.** In April 2019, as part of the training initiative, Landlord Tenant and Small Claims and Conciliation Branches deputy clerks trained on functions required in each branch.

Strategic Goal 4: Resilient and Responsive Technology

- **Movement Toward Paperless.** The Landlord Tenant Branch created new business processes for its new paperless process to identify and resolve complaint deficiencies and service issues.

Strategic Goal 5: Effective Court Management and Administration

- **Collaborative Partnerships.** The division continued its strategic partnerships with members of the bar and legal service providers to address strategic areas in Landlord Tenant, Mortgage Foreclosure, and Small Claims and Conciliation matters. These collaborative working groups meet monthly.
- **Streamlined Administration.** In July 2019, a rule change gave deputy clerks authority to approve certain prepayment of cost waiver requests, improving business processes, expediting case processing, and reducing wait times for litigants.
- **Court Management.** In September 2019, Landlord and Tenant rule changes eliminated the Interview and Judgment Officer role, shifting those duties and responsibilities to the courtroom. Through the division's strategic business process reengineering, the courtroom seamlessly absorbed this significant shift in workload without creating delay or increasing customer wait times.

Workload Data

As shown in Table 1, the Civil Division disposed of 48,468 cases in Fiscal Year 2019, comprising more than half of the Superior Court's caseload, including 9,375 civil actions cases; 29,375 landlord tenant cases; and 9,718 small claims cases. The Division maintains a caseload clearance rate of 102% (with a 107% clearance rate for civil actions cases, 112% clearance rate for small claims cases and a 98% 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 2019 Data)

	Case Filings	Dispositions	Clearance Rate*	Pending Cases		
				1-Oct	30-Sep	Change
Civil Actions	8,439	9,375	107%	7,024	6,377	-9.2%
Landlord Tenant	29,258	29,375	98%	4,105	4,655	13.4%
Small Claims	8,296	9,718	112%	3,733	2,701	-27.6%
Total	45,993	48,468	102%	14,862	13,733	-7.6%

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

Table 2
CIVIL DIVISION
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2019		FY 2020		FY 2021		FY2022	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Outcome	Customer satisfaction ratings of Good or Excellent.	Customer Surveys	95%	94%	95%	95%	95%	95%	95%	95%
Input	Case processing performed within established time standards and SOPs	BI Dashboard & CMS Reports	90%	92%	90%	92%	90%	92%	90%	92%
Outcome	Average customer wait time (Minutes)	eLobby	10	6.5	10	10	10	10	10	10
Output	Employee engagement index for the division	Employee Viewpoint Surveys, Internal Surveys	70%	58%	70%	60%	70%	62%	70%	64%

FY 2022 Request

In FY 2022, the Courts' request for the Civil Division is \$9,184,000, an increase of \$508,000 (6%) above the FY 2021 Enacted Budget. The increase consists entirely of built-in cost increases.

Table 4
CIVIL DIVISION
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY2021/2022
11 - Personnel Compensation	6,687,000	6,697,000	7,092,000	395,000
12 - Personnel Benefits	1,873,000	1,876,000	1,984,000	108,000
<i>Subtotal Personnel Cost</i>	<i>8,560,000</i>	<i>8,573,000</i>	<i>9,076,000</i>	<i>503,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	44,000	44,000	46,000	2,000
25 - Other Services				
26 - Supplies & Materials	34,000	34,000	36,000	2,000
31 - Equipment	25,000	25,000	26,000	1,000
<i>Subtotal Non-Personnel Cost</i>	<i>103,000</i>	<i>103,000</i>	<i>108,000</i>	<i>5,000</i>
TOTAL	8,663,000	8,676,000	9,184,000	508,000
FTE	101	101	101	0

Table 5
CIVIL DIVISION
Detail, Difference FY 2021/FY2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/FY 2022
11 - Personnel Compensation	Current Position WIG	101	94,000	
	Current Position COLA		301,000	
<i>Subtotal 11</i>				<i>395,000</i>
12 - Personnel Benefits	Current Position WIG	101	24,000	
	Current Position COLA		84,000	
<i>Subtotal 12</i>				<i>108,000</i>
<i>Subtotal Personnel Services</i>				<i>503,000</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			2,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-personnel Services</i>				<i>5,000</i>
Total				508,000

Table 6
CIVIL DIVISION
Detail of Full-Time Equivalent Employment

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-3			
JS-4			
JS-5			
JS-6	17	17	17
JS-7	6	6	6
JS-8	24	24	24
JS-9	27	27	27
JS-10	6	6	6
JS-11	7	7	7
JS-12	3	3	3
JS-13	8	8	8
JS-14	1	1	1
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	6,687,000	6,697,000	7,092,000
Total FTEs	101	101	101

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

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	1,331,000	13	1,403,000	0	72,000

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 with sensitivity to the dignity of the victim in a fair and consistent manner. The program assists innocent victims of violent crime, survivors of homicide, and their dependent family members with certain expenses that become 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 engage 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, affects every position and accounts 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. The program has a total of 15 staff members: 13 FTEs – one Director, one Accounting Officer, one Administrative Assistant, six Legal Claims Examiners, three Assistant Legal Claims Examiners, and one Accounting Technician; 2 positions – one Legal Claims Examiner and one Assistant Legal Claims Examiner, are currently financed by grant and administrative funds.

Crime Victims Compensation Program Funding

More than \$5.4 million in payments to victims during Fiscal Year 2019 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 formula grant is based upon past

payments to victims funded directly by Court fines, fees, and assessments: 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.⁹

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 5 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, the Crime Victims Compensation Program continues to conduct initiatives focusing on increasing access to justice for victims of crime in the District of Columbia. Specifically, the program focused on targeting the elderly and sexual assault victims. A special focus on engaging with community partners who provide sexual assault exams,

⁹ 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.

forensic interviews, and legal assistance was made to ensure victims had adequate information to seek out victim compensation assistance.

The program engaged in capacity building and maintained relationships with community partners and service providers. Through these improved relationships, workflow processes were developed that enabled the seamless flow of information between organizations and ensured the program received consolidated claims applications and invoices. This consolidated process reduces the intake process duration, ensuring the Claims Examiner has more time to review each claim and provide timely financial assistance to victims and their families.

The program participated in Metropolitan Police Department's Denim Day (sexual assault event), and other roundtables to provide information and seek out new avenues to reach the target population. Cross training amongst the program staff and external stakeholders provided opportunities for growth, and higher levels of understanding program statute and rules.

Additionally, the program sought out community partners to participate in CVCP in-service trainings during biweekly staff meetings. Presenters provided information about their organizations and services targeting victims of crime including food, housing, legal, and employment referrals to supplement the services provided by the Program. This approach has proven to be an invaluable tool because it creates a new point of contact in the organization and leads to many new referrals.

Satellite Office

The Southeast Domestic Violence Intake Center (S.E. DVIC), located at the United Medical Center in Southeast, Washington D.C., is a collaborative effort with other victim service providers and agencies in the District of Columbia, including the Superior Court's Domestic Violence 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 with all of the needed services 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 initiated a video conferencing pilot to increase the availability of program staff to S.E. DVIC clientele. The pilot has been successful and provided a much-needed mechanism to connect victims with program staff when CVCP staff could not be fully present at the S.E. DVIC.

The video conferencing pilot has also provided an opportunity to explore how services could be provided remotely in a pandemic or COOP situation. The program is currently exploring use of Avaya Scopia and WebEx for use in the satellite office and in the community. The concept is to adhere to social distancing recommendations while providing opportunities for face to face connections between victims/claimants and program staff.

During the COVID-19 Pandemic, the program has requested additional space designated for victims/claimants to use video conferencing to file new applications, request food/metro cards, and receive updates on the status of their claims. Again, this process allows for adherence to social distancing protocols. The program is exploring the use of WebEx to facilitate the aforementioned processes when the victim/claimant is in the community and has access to the internet.

Applications via email

The Council of the District of Columbia updated the statute that governs the submission of victim compensation applications¹⁰. In addition to the previously required application by mail or in-person, the statute now permits submissions via email. The program established a new application email address, updated the website, and provided a Microsoft Word and fillable Adobe PDF application. The program anticipates many victims and advocacy organizations will start using the email application system.

The program will track the number of applications received via email versus applications received via mail and in-person. If the number of applications received via email begins to exceed the number of applications received via mail and in-person, the program will reengineer its processes to include more staff available to review applications via email and/or video conferencing. The COVID-19 Pandemic has proven that applications submitted via email are successful with connecting victims/claimants to the process without forcing in-person experiences and with shorter wait times.

Workload Data

Table 1
CRIME VICTIMS COMPENSATION PROGRAM
Caseload Overview

	Actual FY 2019	Estimated FY 2020	% Change
New Cases Filed	2889	2,600	-10%
Determinations Made	2732	2,900	6%
Number of Cases Pending at End of Fiscal Year	381	150	-61%

¹⁰ D.C. Code 4-512 (a)

Key Performance Indicators

Table 2
CRIME VICTIMS COMPENSATION PROGRAM
Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY 2019		FY 2020		FY 2021		FY 2022	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Input	New claims filed	Case Management Software	3,500	2,889	3,500	2,600	3,000	2,800	3,000	2,800
Output	Claims processed	Case Management Software	3,600	2,732	3,600	2,900	3,200	2,850	3,200	2,850
Outcome	Amount of payments	Case Management Software	\$7.5M	\$5.5M	\$7.5M	\$6.1M	\$7.5M	\$6M	\$7.0M	\$5.5M
Outcome	Avg. claim processing time	Case Management Software	5 weeks	7 weeks	5 weeks	5 weeks	5 weeks	5 weeks	5 weeks	5 weeks

FY 2022 Request

For FY 2022, the Courts' request for the Crime Victims Compensation Program is \$1,403,000, an increase of \$72,000 (5%) above the FY 2021 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 3
CRIME VICTIMS COMPENSATION PROGRAM
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	1,010,000	1,012,000	1,067,000	55,000
12 - Personnel Benefits	282,000	282,000	298,000	16,000
<i>Subtotal Personnel Services</i>	<i>1,292,000</i>	<i>1,294,000</i>	<i>1,365,000</i>	<i>71,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	2,000	2,000	2,000	0
25 - Other Services	20,000	20,000	21,000	1,000
26 - Supplies & Materials	9,000	9,000	9,000	0
31 - Equipment	6,000	6,000	6,000	0
<i>Subtotal Non-Personnel Services</i>	<i>37,000</i>	<i>37,000</i>	<i>38,000</i>	<i>1,000</i>
TOTAL	1,329,000	1,331,000	1,403,000	72,000
FTE	13	13	13	0

Table 4
CRIME VICTIMS COMPENSATION PROGRAM
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 - Personnel Compensation	Current Positions WIG	13	10,000	
	Current Position COLA		45,000	
<i>Subtotal, 11</i>				<i>55,000</i>
12 - Personnel Benefits	Current Position WIG	13	3,000	
	Current Position COLA		13,000	
<i>Subtotal, 12</i>				<i>16,000</i>
<i>Subtotal Personnel Services</i>				<i>71,000</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				72,000

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

Grade	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-6			
JS-7			
JS-8			
JS-9	4	4	4
JS-10	1	1	1
JS-11	1		
JS-12	5	6	6
JS-13			
JS-14	1	1	1
JS-15			
CEMS			
CES	1	1	1
Total Salaries	1,010,000	1,012,000	1,067,000
Total FTEs	13	13	13

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA CRIMINAL DIVISION

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	10,581,000	108	11,168,000	0	587,000

Mission

The mission of the Criminal Division is to provide efficient criminal case processing to ensure public safety; to provide professional administrative and courtroom support services to judicial officers, staff, and the public; and to provide accurate criminal case information.

The Criminal Division's duties include processing 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.

Introduction

The Criminal 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. Additionally, the Division promotes high standards of professional conduct and excellent public service.

Organizational Background

During 2019, the Criminal Division reorganized its branch structure. The Community Court staff was merged into the Case Management Branch. Some staff was relocated among the different branches to have a more consistent supervisor/employee ratio throughout the division. As a result, the Criminal Division is comprised of the Director's Office and four branches; and manages nine community court misdemeanor calendars (low-level non-violent offenses).

The Director's Office is responsible for establishing policies for the division; planning, managing, and coordinating all administrative, fiscal, and personnel matters for the Criminal Division. The Director's Office has 12 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, scanning documents from court hearings and federal designation of prisoners. The Quality Assurance Branch has 17 FTEs.

The Community Court/Case Management Branch processes and maintains all felony, misdemeanor, traffic, and District of Columbia cases, motions, appeals, cases to be expunged, and sealed. The branch also assigns and monitors Community Service placement and completion. The Criminal Division oversees the operation of several specialized diversion and community courts: the Mental Health Community Court (MHCC), the Drug Court (SCDIP-Superior Court Drug Intervention Program), the 1D (First District) Community Court, the 2D/4D (Second District/Fourth District) Community Court, the 3D (Third District) Community Court, the 5D (Fifth District) Community Court, the 6D (Sixth District) Community Court, the 7D (Seventh District) Community Court, and three DC/Traffic Calendars. 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. This branch has 20 FTEs.

The Courtroom Support Branch consists of 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 46 FTEs.

The Special Proceedings Branch includes three sections, the Warrant Office, the Criminal Finance Office, and Criminal Information. 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 13 FTEs.

Criminal Division MAP Objectives

The following are the Criminal Division's strategic objectives:

- Enhance indigent persons' access to justice by increasing the availability of free, pro bono, and low-cost civil legal assistance.
- Provide targeted services for elderly court users, veterans, and individuals with mental health challenges.
- 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 an increase in the number of 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.

- 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.

Divisional Restructuring and/or Work Process Redesign

Warrant Exchange Project

The Criminal Division completed a multi-year project, the Warrant Exchange Project (WEP). This project's purpose was to enter returned warrants and update and clear misdemeanor warrants with the Metropolitan Police Department (MPD). The warrant exchange system allows the court to better serve the community by communicating misdemeanor bench warrants and civil protection orders in near real time to the Metropolitan Police Department (MPD).

Felony Images Available in e-Access

The Criminal Division worked toward making documents from criminal cases available to the public online through e-Access. Images are now available in misdemeanor cases but not in felony cases. This distinction is necessary to separate felony cases related to domestic violence matters from other felony cases. This initiative has resulted in three new Felony case types.

Launch of Electronic Payment Platform (ePay)

The Criminal Division, in conjunction with the Information Technology and Budget and Finance Divisions, implemented a “soft” launch of ePay, which allows the public to make online payments for court ordered financial obligations.

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 27,500 cases in FY 2019. This includes 1,148 D.C. misdemeanors; 5,580 Felony cases; 5,803 Traffic cases; and 15,091 U.S. Misdemeanors.

Table 1
CRIMINAL DIVISION
Caseload and Efficiency Measures (Fiscal Year 2019)

	New Filings (includes reactivated & reopened cases)	Pending Cases 30-Sep	Disposition (includes inactive status)	Clearance Rate*
D.C. Misdemeanor	596	207	1,148	106%
Felony	2,769	1,471	5,580	113%
Traffic	3,264	1,324	5,803	106%
U.S. Misdemeanors	8,225	2,450	15,091	101%
Total	14,854	5,452	27,622	105%

* The clearance rate, a measure of court efficiency, is the total number of cases disposed (including those placed in an inactive status), 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 2019 Data)

Time to Disposition			
Case Type	Key Performance Indicator: Cases Resolved within--	Goal	Actual
Felony I (Murder, Sexual Assault, etc.)	12 months	75%	63%
	18 months	90%	73%
	24 months	98%	81%
Felony II	6 months	75%	68%
	9 months	90%	80%
	12 months	98%	88%
Accelerated Felony Trial Calendar (AFTC)	6 months	75%	70%
	9 months	90%	82%
	12 months	98%	91%
U.S. Misdemeanor	4 months	75%	76%
	6 months	90%	89%
	9 months	98%	96%
D.C. Misdemeanor	4 months	75%	80%
	6 months	90%	91%
	9 months	98%	97%
D.C. Traffic	3 months	75%	64%
	6 months	90%	88%
	9 months	98%	96%
Trial Certainty: Jury Trials			
Case Type	Key Performance Indicator	Goal	Actual
Felony I	Cases resolved by the second trial date	70%	82%
Felony II		70%	74%
AFTC		70%	68%
U.S. Misdemeanor		70%	71%
Traffic		70%	80%
Trial Certainty: Non-Jury Trials			
Case Type	Key Performance Indicator	Goal	Actual
Felony	Cases resolved by the second trial date	80%	72%
U.S. Misdemeanor		80%	90%
D.C. Misdemeanor		80%	75%
Traffic		80%	94%

FY 2022 Request

The Criminal Division's FY 2022, budget request is \$11,168,000, an increase of \$587,000 (6%) above the FY 2021 Enacted Budget. The request consists entirely of built-in cost increases.

Table 4
CRIMINAL DIVISION
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	8,154,000	8,166,000	8,622,000	456,000
12 - Personnel Benefits	2,284,000	2,287,000	2,413,000	126,000
<i>Subtotal Personnel Cost</i>	<i>10,438,000</i>	<i>10,453,000</i>	<i>11,035,000</i>	<i>582,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	69,000	69,000	72,000	3,000
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 Cost</i>	<i>128,000</i>	<i>128,000</i>	<i>133,000</i>	<i>5,000</i>
TOTAL	10,566,000	10,581,000	11,168,000	587,000
FTE	108	108	108	0

Table 5
CRIMINAL DIVISION
Detail, Difference FY 2021/FY2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/FY 2022
11 - Personnel Compensation	Current Position WIG	108	89,000	
	Current Position COLA		367,000	
<i>Subtotal 11</i>				<i>456,000</i>
12 - Personnel Benefits	Current Position WIG	108	23,000	
	Current Position COLA		103,000	
<i>Subtotal 12</i>				<i>126,000</i>
<i>Subtotal Personnel Services</i>				<i>582,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			3,000
25 - Other Service				
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-personnel Services</i>				<i>5,000</i>
Total				587,000

Table 6
CRIMINAL DIVISION
Detail of Full-Time Equivalent Employment

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 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	8,166,000	8,622,000
Total FTEs	108	108	108

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA DOMESTIC VIOLENCE DIVISION

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	2,577,000	31	2,998,000	2	421,000

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.

Organizational Background

The Domestic Violence Division (DVD) is comprised of 29 FTEs, including the Director's Office, and the functions described below:

- The DVD Clerk's Office, comprised of 10 FTEs, processes all petitions for civil protection orders (CPOs), extreme risk protection orders (ERPOs), DV criminal contempt cases, and subsequent filings related to DV Misdemeanor matters. In FY 2019, the DVD Clerk's Office processed over 5,500 intrafamily offense cases, 50 paternity and support cases, over 1,000 DV misdemeanor cases, 3 ERPO cases, and 90 criminal contempt cases. The Clerk's Office is responsible for initiating cases; scanning all documents in the case management system; providing trauma-informed 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.
- The Courtroom Support Branch, comprised of 9 FTEs, processes all matters in courtrooms and provides courtroom clerk support for six judicial officers. The Courtroom (CR) Clerks maintain paperless records and simultaneously upload documents to an electronic case management system, in high-volume and fast-paced courtrooms. CR Clerks are cross trained to support the DVD's integrated adjudication of criminal and related civil matters (including CPOs, ERPOs, paternity and support, and custody matters).
- The Quality Assurance Unit (QA), comprised of 3 FTEs, reviews all cases initiated and adjudicated in the DVD due to the emergency-based nature of DV cases.
- The DVD's Attorney Negotiators, comprised of 2 FTEs, meet with all litigants, in which both parties appear, for CPO cases. As a result of the negotiations, most parties are able to come to an agreement (defined as a consent CPO without a trial or dismissal of a matter) and obtain an order in the first trial setting. In addition, negotiators ensure fair and timely case resolution in the DVD by using trauma-informed skills to explain the court process to self-represented parties, drafting clear and enforceable orders to aid in accurate enforcement and future contempt litigation, and facilitate comprehensive agreements with input from both parties.
- The Branch Supervisors, comprised of 2 FTEs, handle the operations of the DVD and manage 22 employees. The Clerk's Office Branch Supervisor supervises 10 FTEs, overseeing case initiation, processing of subsequent filings, and warrant and protection order

data entry into the national database. The Courtroom Support Branch Supervisor supervises 12 FTEs, managing caseload of civil and criminal cases in 6 courtrooms (both on-site and remotely) and the QA team's timely review of all hearings. The Branch Supervisors are responsible for training all employees and maintaining and updating the Division's Standard Operation Procedures and Business Processes.

Management Action Plan (MAP) Objectives

The DVD's main objective is to provide increased access to justice for all by ensuring that documents and information sources are in plain language and accessible in multiple languages, as well as leveraging effective, trauma-informed practices to ensure fair and timely resolution of all matters.

Other objectives for the Domestic Violence Division are to—

- Maintain and increase partnerships with community organizations, including those providing pro bono legal representation to petitioners and respondents, to enhance access to resources for all DVD customers.
- Expand remote access to litigants by implementing a low-barrier online program for the public to prepare and submit pleadings.
- Provide petitioners immediate relief through the temporary protection order (TPO) process, including access to after-hours TPOs in emergency situations.
- Implement and maintain an Electronic Sign-In System in the Clerk's Office to reduce wait times and to ensure expeditious submission of filings.
- Continued collaboration with agencies providing respondents rehabilitative support through court-ordered DV and family-violence intervention, substance abuse, parenting skills classes, mental health evaluations, and anger management treatment through deferred sentencing and judicial review procedures that ensure completion of programs by requiring respondents 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 procedures accessible in various languages.
- Enhance and assure 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 DVD case management system by implementing new technology to improve data collection and meet 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 DVD 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 to expedite case resolution.
- 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.

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 family 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, respondent accountability and rehabilitative support, and efficient and effective adjudication.

In January 2019, the Division expanded its operations to include Extreme Risk Protection Orders (ERPOs), a newly legislated form of civil relief, by collaborating with other justice partners to develop and implement business procedures for DVD judges to issue orders requiring someone who is a threat to themselves or others to surrender a firearm.

The DVD also developed two protocols in 2019 to improve its operations. In July 2019, it implemented a Language Access Protocol to ensure uniformity in the DVD's provision of services to individuals with limited English proficiency, including leveraging available resources and technology to facilitate more efficient interaction with court systems. The DVD also adopted a trauma-informed Security Protocol that incorporates de-escalation techniques to increase trust and respect and to promote safety amongst the public and staff.

Workload Data

In FY 2019, the Domestic Violence Division processed 7,500 new filings and reinstated cases and disposed of 7,430 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 2019 Data)

	Cases Added*	Cases Disposed	Clearance Rate**	Cases Pending		
				1-Oct	30-Sep	Change
Intra-family (Protection Orders)	5,878	5,919	99%	347	347	0%
U.S. Misdemeanors	1,372	1,348	98%	502	440	-14%
Extreme Risk Protection Orders	3	3	100%	0	0	0
Criminal Contempt Cases	90	91	99%	70	54	-16%
Paternity & Child Support	57	58	99%	21	45	72%
Total	7,500	7,430	99%	940	886	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 2019		FY 2020		FY 2021		FY 2022	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output/Activity	Hearings/events scheduled	CourtView	39,800	29,099*	30,000	30,000	32,000	32,000	32,900	32,900
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%
Activity	Case initiation in the SE Satellite Office	CourtView	25%	30%	30%	30%	30%	30%	30%	30%

*The decrease in the number of events is due to the improvement of service of process by the Metropolitan Police Department which led to more compliance with appearances and less continuances.

FY 2022 Request

In FY 2022, the D.C. Courts' request for the Domestic Violence Division is \$2,998,000, an increase of \$421,000 (16%) above the FY 2021 Enacted Budget. The requested increase consists of \$272,000 for 2 FTEs to expedite negotiated cases and improve data integrity, and \$149,000 for built-in cost increases.

Strengthening Domestic Violence Services, 2 FTEs, \$272,000 ***Attorney Negotiator (JS-13)*** ***Program Analyst (JS-13)***

Introduction. Additional staff is needed to address a surge in DV cases while maintaining reasonable wait times for parties and improve data collection and reporting. The DVD's integrated court model of civil and criminal matters, on-site intake center partnerships, and

unique negotiation process make it a trailblazer in DV courts around the world. But it must expand to continue to implement best practices and serve the changing needs of the public.

Problem Statement. Since the Division's inception in 1997, the needs of this population have grown exponentially, and the DVD needs the addition of an Attorney Negotiator and Program Analyst to meet the increasing number of two-party cases and manage data and reporting requirements to meet needs of the public.

Attorney Negotiator

One unique function of the Division is the use of shuttle negotiations in DV cases. Conducting negotiations in CPOs is a delicate craft, requiring highly skilled negotiators with extensive experience in DV dynamics, how to navigate trauma, and understanding that successful negotiations in this context must be driven by the needs of the parties involved in the case. As a result of the negotiation, parties are able to navigate the court process armed with information, reach comprehensive agreements (sometimes resulting in CPO case dismissals) that address safety and practical child custody considerations. Finally, this process greatly reduces the use of judicial resources because they will either receive a consent agreement, dismissal, or carefully crafted order and briefing of the salient legal and practical issues between the parties before a trial.

In FY 2019, there were over 3,000 cases in which both parties were present, or 6,000 individual litigants. While the number of individual case filings is significant, the volume of two-party cases most accurately highlights the demand for another negotiator. Collaborative efforts, including those with the Metropolitan Police Department, local law schools, and respondent-based pro-bono legal service efforts, have increased successful service and appearance of both parties in CPO cases. Meeting with litigants in traumatized and emotionally heightened conditions requires a great deal of time and expertise. Despite best efforts, the wait times for litigants to meet with a negotiator has increased from approximately 1 to 3 hours, making it harder for litigants to access the court system. Finally, negotiators have exhibited signs of vicarious trauma as a result of working with the DV population under heightened pressure to meet the increasing number of cases. An additional negotiator will make the positions more manageable and ensure court participants continue to receive this important service.

Program Analyst

The DVD needs a dedicated program analyst to support the increasing use of data gathering and analysis to make data-driven decisions to improve efficiency, facilitate future strategic planning, and conduct grant-reporting activities. This function is extremely important in the Domestic Violence Division and involves tracking trends in both civil and criminal contexts to prevent homicides and continued violence, meet the needs of vulnerable communities, and ensure respondents have opportunities to comply with court-mandated rehabilitative services. In previous years, the Director was able to gather data, but the increased cases, operational developments, and goals, make it impossible for the DVD to satisfy its basic grant-reporting obligations while implementing data-driven court-system innovations to meet the changing needs of the public.

Relationship to Courts Mission and Goals. This request supports the Courts' 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 and timeliness of reports.

Table 3
DOMESTIC VIOLENCE DIVISION
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Cost
Attorney Negotiator	JS-13	1	108,000	28,000	136,000
Program Analyst	JS-13	1	108,000	28,000	136,000
TOTAL		2	216,000	56,000	272,000

Table 4
DOMESTIC VIOLENCE DIVISION
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	1,994,000	1,997,000	2,330,000	333,000
12 - Personnel Benefits	559,000	560,000	648,000	88,000
Subtotal Personnel Cost	2,553,000	2,557,000	2,978,000	421,000
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	9,000	9,000	9,000	0
Subtotal Non-Personnel Cost	20,000	20,000	20,000	0
TOTAL	2,573,000	2,577,000	2,998,000	421,000
FTE	29	29	31	2

Table 5
DOMESTIC VIOLENCE DIVISION
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/FY 2022
11 - Personnel Compensation	Current Position WIG	29	27,000	
	Current Position COLA		90,000	
	Attorney Negotiator	1	108,000	
	Program Analyst	1	108,000	
<i>Subtotal 11</i>				<i>333,000</i>
12 - Personnel Benefits	Current Position WIG	29	7,000	
	Current Position COLA		25,000	
	Attorney Negotiator	1	28,000	
	Program Analyst	1	28,000	
<i>Subtotal 12</i>				<i>88,000</i>
<i>Subtotal Personnel Services</i>				<i>421,000</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				421,000

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

Grade	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-6	1	1	1
JS-7			
JS-8	9	9	9
JS-9	9	9	9
JS-10	4	4	4
JS-11			
JS-12	2	2	2
JS-13	2	2	4
JS-14			
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salaries	1,994,000	1,997,000	2,330,000
Total FTEs	29	29	31

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

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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>
159	15,456,000	159	15,480,000	159	16,326,000	0	846,000

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 filing fees. The CIC is the primary location for the dissemination of Family Court case status information to the public. This office has 18 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 after hearings, 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 managing the Division's budget and administrative staff. The Office of the Director oversees implementation of divisional objectives in support of the Courts' Strategic Plan and court-wide performance measures. The office is responsible for preparing all legally mandated reports on divisional operations required by the local legislature and the U.S. Congress. Including the Family Court Call Center, 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 by 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 through the Family Court Self-Help Center and other methods.

- 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 case processing time standards in compliance with Administrative Order.
- Minimize wait-times and delays by increasing the use of electronic sign-in.
- Implement procedures to start trials on their first scheduled dates and to finish them on succeeding days, beginning with Neglect cases.
- Expand the use of electronic notice and document transmission.
- 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.
- Enhance the use of attorney negotiators to increase settlement rates and improve case dispositions.
- Enhance case processing, information management, and performance measurement and reporting through targeted technology investments.
- Enhance 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 3,285 pending pre-disposition cases in the Family Court on October 1, 2018. In fiscal year 2019, there were a total of 11,085 new cases filed and 194 cases reopened in the Family Court. During the same period, 10,949 cases were disposed. As a result, there were 3,615 cases pending in the Family Court on September 30, 2019. The overall clearance rate was 97% (Table 1).

Table 1
FAMILY COURT OPERATIONS DIVISION
Caseload and Efficiency Measures (Fiscal Year 2019Data)

	Cases Added	Cases Disposed	Clearance Rate*	Cases Pending		
				1-Oct-18	30-Sep-19	Change
Abuse & Neglect	403	461	114%	109	51	-53%
Adoption	202	201	100%	163	164	0%
Divorce & Custody	4,594	4,552	99%	1,259	1,301	3%
Juvenile	1,297	1,314	101%	513	496	-3%
Mental Health**	2,559	2,531	99%	128	156	22%
Parentage & Support	2,224	1,890	85%	1,113	1,447	30%
Total	11,279	10,949	97%	3,285	3,615	10%

*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.

**There were no new mental habilitation cases in 2019; Title II of D.C. Law 22-93, the “Disability Services Reform Amendment Act of 2018,” effective May 5, 2018, amended the “Citizens with Intellectual Disabilities Constitutional Rights and Dignity Act of 1978,” ending new admissions and commitments of persons with intellectual disabilities.

Table 2
FAMILY COURT OPERATIONS DIVISION
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	2019		2020		2021		2022	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Time to Disposition	Contested Custody Cases: 98% within 270 days	Performance Measure Report	98%	90%	98%	98%	98%	98%	98%	98%
Time to Disposition	Contested Divorce Cases: 98% within 270 days		98%	93%	98%	98%	98%	98%	98%	98%
Time to Disposition	Child Support: 90% within 18 months		90%	97%	90%	90%	90%	90%	90%	90%
Time to Disposition	Neglect (Child Removed): 100% with 105 days		100%	88%	100%	100%	100%	100%	100%	100%
Time to Disposition	Neglect (Child Not Removed): 100% with 45 days		100%	75%	100%	100%	100%	100%	100%	100%
Time to Disposition	Juvenile (Released): 98% with 270 days		98%	86%	90%	90%	100%	100%	100%	100%
Persons Assisted	Number of Persons Assisted in the Self-Help Center	Family Statistics	9,100	8,516	9,100	5,000 ¹¹	9,100	9,100	9,100	9,100

¹¹The Family Court Self-Help Center is a walk-in center and despite transitioning completely to telephone support during COVID 19, the numbers of clients served will be significantly decreased from previous years.

FY 2022 Request

In FY 2022, the Courts' request for the Family Court Operations Division is \$16,326,000 an increase of \$846,000 (5%) above the FY 2021 Enacted Budget. The requested increase consists of built-in cost increases.

Table 3
FAMILY COURT OPERATIONS DIVISION
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	10,895,000	10,911,000	11,521,000	610,000
12 - Personnel Benefits	3,046,000	3,051,000	3,219,000	168,000
<i>Subtotal Personnel Cost</i>	<i>13,941,000</i>	<i>13,962,000</i>	<i>14,740,000</i>	<i>778,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	88,000	88,000	92,000	4,000
25 - Other Services	1,046,000	1,048,000	1,095,000	47,000
26 - Supplies & Materials	45,000	45,000	47,000	2,000
31 - Equipment	336,000	337,000	352,000	15,000
<i>Subtotal Non-Personnel Cost</i>	<i>1,515,000</i>	<i>1,518,000</i>	<i>1,586,000</i>	<i>68,000</i>
TOTAL	15,456,000	15,480,000	16,326,000	846,000
FTE	159	159	159	0

Table 4
FAMILY COURT OPERATIONS DIVISION
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/FY 2022
11 - Personnel Compensation	Current Position WIG	159	120,000	
	Current Position COLA		490,000	
<i>Subtotal 11</i>				<i>610,000</i>
12 - Personnel Benefits	Current Position WIG	159	31,000	
	Current Position COLA		137,000	
<i>Subtotal 12</i>				<i>168,000</i>
<i>Subtotal Personnel Services</i>				<i>778,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			4,000
25 - Other Service	Built-in Increases			47,000
26 - Supplies & Materials	Built-in Increases			2,000
31 - Equipment	Built-in Increases			15,000
<i>Subtotal Non-Personnel Services</i>				<i>68,000</i>
Total				846,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-3			
JS-4			
JS-5	1	1	1
JS-6	15	15	15
JS-7	12	12	12
JS-8	46	46	46
JS-9	32	32	32
JS-10	19	19	19
JS-11	7	7	7
JS-12	11	11	11
JS-13	13	13	13
JS-14	1	1	1
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	10,895,000	10,911,000	11,521,000
Total FTEs	159	159	159

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

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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>
141	22,419,000	141	22,452,000	141	23,636,000	0	1,184,000

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 with screening, assessing, and rehabilitating youths and their families through the provision and coordination of positive youth development frameworks, comprehensive prosocial 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, formal diversion 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 formal 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 and activities across the Division in accordance with the District of Columbia Municipal Code and Annotated Rules. The office has 5 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 4 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 oversees co-located absconder efforts and coordinated the Division's internships and staff training. The unit has 10 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 42 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 (BARJ) 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 45 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 (RAI), Social Assessment, Connors, and Sex Trafficking Assessment Review (STAR) screening tools to interview all youth within four hours of referral, ensuring sound detention/release, petitioning recommendations (following consultation with the Office of the Attorney General), and expeditious case initiation by transferring 99% of cases to appropriate teams within three business days of initial hearing.
- Provide high quality screenings for Persons In Need Of Supervision (PINS) and alleged truant youth (Status Offenders) in non-secure settings, and also ensure 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.
- Coordinate with local law enforcement (Metropolitan Police and Metro Transit Police) canvassing high traffic areas to ensure the safe passage of youth to and from school and afterschool enrichment programs.
- Maintain use of the Graduated Response Matrix guided by behavioral modification incentives for youth in compliance with court conditions, and the imposition of consequences for youth who fail to maintain compliance, consistent with BARJ principles.

Restructuring or Work Process Re-Design

The Family Court Social Services Division (CSSD) continues to enhance its strength-based, proactive, and prosocial positive youth development philosophy to guide the 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 enhance essential 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 transgressors 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.

Workload Data

Table 1
FAMILY COURT SOCIAL SERVICES DIVISION
Caseload (Fiscal Year 2019 Data)

Case Type	New Cases	Cases Closed	Cases Pending Beginning of FY '19	Cases Pending End of FY '19
Juvenile Intake	2,558	2,558	0	0
Pre/ Post Disp. Supervision	1517	1474	438	423
Status Offenders	80	105	47	38
Behavioral Health Court	61	81	56	39
*HOPE Court	26	22	17	24
Child Guidance Clinic	370	297	31	32

Table 2
FAMILY COURT SOCIAL SERVICES DIVISION
Key Performance Indicators

Performance Indicators	Data Source	FY 2019		FY 2020		FY 2021		FY 2022	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Juveniles under supervision monthly cases average of total CSSD cases	Superior Court Data	1,100	608	1,000	675	1,000	700	1,000	700
Juveniles under supervision and drug screening conducted (youth screened at lockup)	Pretrial Services Data	1,200	849	1,100	1,000	1,000	950	950	925
Juvenile probationers screening positive for drugs during probation	Pretrial Services Data	600	343	600	700	600	700	600	700
Percentage of Juveniles successfully completing probation	CSSD Statistical Reports	88%	83%	88%	85%	90%	85%	90%	85%
Juveniles arrested for new offenses during probation	Superior Court Data	18%	6%	15%	10%	15%	10%	15%	10%
Average supervision caseload	CSSD Statistical Reports	22	14	20	18	18	16	16	15
Average intensive supervision caseload	CSSD Statistical Reports	12	12	14	14	14	14	14	14
Curfew checks -- face-to-face home contact	CSSD Statistical Reports	17,500	10,728	15,500	13,500	14,500	12,500	12,500	12,000
Curfew checks -- telephone calls	CSSD Statistical Reports	24,000	16,779	22,000	20,000	18,000	16,000	17,500	17,000
Compliance with face-to-face and telephone curfew checks	CSSD Statistical Reports	80%	60%	70%	65%	73%	68%	75%	70%

Division Outcomes and Accomplishments in FY 2019

In FY 2019, with an average daily population of 608, of whom 182 or 30% were females and 426 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 evidenced-based screening and assessment tools were administered timely, resulting in 100% timely presentment of all newly arrested youth in the initial hearing. A total of 2,558 new delinquency cases were processed, representing a 1.6% increase from 2,517 in FY 2018. Additionally, the CSSD successfully screened 692 Truancy and PINS referrals. More than-two

thirds of the Truancy referrals (74%) were not petitioned in court, and returned to the referring school, based upon CSSD's findings also shared with the Office of the Attorney General.

The Division also continued to conduct face-to-face curfew visits (an average of 894 per month) with youth and families and conducted curfew calls (an average of 1,398 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 19	Nov 19	Dec 19	Jan 20	Feb 20	Mar 20	Apr 20
Youth in BARJ/ Σ supervision cases)	17/44	16/46	18/48	16/51	17/54	17/57	0*/68
% Not suspended from school	100%	100%	100%	88%	100%	100%	100%
% Not rearrested	88%	94%	94%	100%	88%	100%	100%

*No youth attended BARJ in April due to COVID-19 Shelter-In Home Mayoral Order.

Table 3 shows average outcomes achieved, by the SE BARJ Drop-In Center from October 2019 through April 2020. 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 98% were not suspended from school.

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

Month/Year	Oct 19	Nov 19	Dec 19	Jan 20	Feb 20	Mar 20	Apr 20
Youth in BARJ/ Σ supervision cases)	18/63	15/58	19/58	22/55	14/52	8/54	0*/54
% Not suspended from school	100%	100%	100%	100%	100%	100%	100%
% Not rearrested	90%	93%	100%	100%	100%	100%	100%

*No youth attended BARJ in April due to COVID-19 Shelter-In Home Mayoral Order.

Table 4 shows outcomes achieved by the NE BARJ Drop-In Center from October 2019 through April 2020. 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 98% were not re-arrested and 100% were not suspended from school.

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

Month/Year	Oct 19	Nov 19	Dec 19	Jan 20	Feb 20	Mar 20	Apr 20
Youth in BARJ/ Σ supervision cases)	20/33	22/34	20/33	27/35	27/38	23/36	0*/38
% Not suspended from school	86%	93%	94%	90%	90%	96%	100%
% Not rearrested	88%	88%	90%	91%	91%	100%	100%

*No youth attended BARJ in April due to COVID-19 Shelter-In Home Mayoral Order.

Table 5 shows outcomes achieved by the SW BARJ Drop-In Center participants from October 2019 through April 2020. 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 93% were not re-arrested and 93% were not suspended.

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

Month/Year	Oct 19	Nov 19	Dec 19	Jan 20	Feb 20	Mar 20	April 19
Youth in BARJ/Σ supervision cases)	38/64	36/63	41/67	32/68	36/74	34/70	0*/67
% Not suspended from school	85%	85%	81%	72%	47%	91%	100%
% Not rearrested	100%	89%	89%	84%	78%	92%	100%

*No youth attended BARJ in April due to COVID-19 Shelter-In Home Mayoral Order.

Table 6 shows outcomes achieved by the LOTS BARJ Drop-In Center participants from October 2019 through April 2020. 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 90% were not re-arrested and 80% were not suspended from school.

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

Month/Year	Oct 19	Nov 19	Dec 19	Jan 20	Feb 20	Mar 20	Apr 20
Truancy PINS/JBDP/HOPE (youth in BARJ/Σ supervision cases)	12/90	14/87	20/80	21/76	21/76	21/77	0*/73
% Not suspended from school	100%	100%	100%	100%	100%	100%	100%
% Not rearrested	100%	100%	95%	100%	100%	100%	100%

*No youth attended in BARJ in April due to COVID-19 Shelter-In Home Mayor Order.

Table 7 shows outcomes achieved by the BARJ Drop-In Center that serves participants in the court's juvenile solutions courts from October 2019 through April 2020. 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, 99% were not re-arrested and 100% were not suspended from school.

Table 8
FAMILY COURT SOCIAL SERVICES DIVISION
Curfew Checks

Month/Year	Oct 19	Nov 19	Dec 19	Jan 20	Feb 20	Mar 20	Apr 20
Face-to-Face	833	824	720	808	725	555	0*
Telephone	1610	1496	1200	1348	1164	2392	3825

*Officers did not conduct face-to-face visits in April due to COVID-19 Shelter-In Home Mayor Order

Table 8 illustrates a total of 4,465 face-to-face curfew checks were conducted by probations officer from October 1, 2019 through April 30, 2020, and a total of 13,035 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 19	Nov 19	Dec 19	Jan 20	Feb20	Mar 20	Apr 20
Parent Participation Orders	383	410	422	414	435	429	444
Compliance	338	337	390	388	390	385	405
% Compliance among parents	88%	82%	92%	94%	90%	90%	91%

Table 9 reveals that from October 2019 through April 2020, 90% of eligible parents complied with Parent Participation Orders. Parental involvement enables youth to build competencies and maintain higher degrees of compliance with court-ordered conditions, enhances social skills, and promotes their development into contributing citizens.

In FY 2019, the CSSD continued to enhance partnerships with local, regional and national juvenile and criminal justice, child welfare, health and behavioral health stakeholders as well as public 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, the D.C. child welfare agencies began using the tool that the Division developed to address the growing problem of child sex trafficking. The CSSD also continued to conduct year-round programs for youth under supervision, with emphasis placed on school breaks and holidays to keep youth engaged and safe, and to enhance public safety. The Summer Safety, Spring Fling, and Fright Night are examples of educational, therapeutic and recreational programs established to engage youth during school breaks. The fiscal year programming commenced with a well-attended Back-to-School banquet, recognizing more than 30% of attending youth and families for their accomplishments and rallying youth to embrace the incoming academic year with a commitment to excellence. The Summer Safety Initiative began with CSSD collaborating with the Metro Transit Police Department to monitor subway stations to ensure the safe passages of youth to and from school and after-school enrichment programs. Friday and Saturday evening CSSD Summer Initiative programming continued throughout the summer of FY 2019.

CSSD expanded access to educational, recreational, entertainment and cultural venues, for 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. 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. In response to the COVID-19 pandemic, the CSSD migrated from a partial to a complete telework schedule in mid-March 2020. Day Intake services were relocated to the adolescent pre-trial Youth Services Center (YSC). Personal Protective Equipment (PPE), social distancing measures, and access to remote court hearings enabled CSSD to maintain sound and effective operations.

FY 2022 Request

In FY 2022, the Courts' request for the Family Court Social Services Division is \$23,636,000, an increase of \$ 1,184,000 (5%) above the FY 2021 Enacted Budget. The requested increase consists of built-in cost increases.

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	13,133,000	13,153,000	13,883,000	730,000
12 - Personnel Benefits	3,647,000	3,652,000	3,852,000	200,000
<i>Subtotal Personnel Services</i>	<i>16,780,000</i>	<i>16,805,000</i>	<i>17,735,000</i>	<i>930,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	795,000	796,000	832,000	36,000
24 - Printing & Reproduction				
25 - Other Services	4,753,000	4,760,000	4,974,000	214,000
26 - Supplies & Materials	55,000	55,000	57,000	2,000
31 - Equipment	36,000	36,000	38,000	2,000
<i>Subtotal Non-Personnel Services</i>	<i>5,639,000</i>	<i>5,647,000</i>	<i>5,901,000</i>	<i>254,000</i>
TOTAL	22,419,000	22,452,000	23,636,000	1,184,000
FTE	141	141	141	0

Table 11
FAMILY COURT SOCIAL SERVICES DIVISION
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 - Personnel Compensation	Current Position WIG	141	139,000	
	Current Position COLA		591,000	
<i>Subtotal 11</i>				<i>730,000</i>
12 - Personnel Benefits	Current Position WIG	141	36,000	
	Current Position COLA		164,000	
<i>Subtotal 12</i>				<i>200,000</i>
<i>Subtotal Personnel Services</i>				<i>930,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increases			36,000
24 - Printing & Reproduction				
25 - Other Services	Built-in Increases			214,000
26 - Supplies & Materials	Built-in Increases			2,000
31 - Equipment	Built-in Increases			2,000
<i>Subtotal Non-Personnel Services</i>				<i>254,000</i>
Total				1,184,000

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

Grade	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-6	12	12	12
JS-7	2	2	2
JS-8	20	20	20
JS-9	17	17	17
JS-10	3	3	3
JS-11	3	3	3
JS-12	55	55	55
JS-13	22	22	22
JS-14	5	5	5
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	13,133,000	13,153,000	13,883,000
Total FTEs	141	141	141

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

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	3,313,000	30	3,673,000	2	360,000

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 accomplished through annual target goals that are measured through quantitative and qualitative performance data. 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 are as 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 by 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. During this fiscal year, the division began implementing remote online mediation processes to assist civil and family litigants in resolving their disputes without physically coming to the court.

Civil ADR Branch

During FY 2019, the Multi-Door Civil ADR Branch experienced a 1% (74 cases) reduction in the number of cases scheduled for mediation compared to FY 2018. This reduction in scheduled mediations follows a parallel reduction in the number of cases filed in the Civil Division. While fewer civil cases were scheduled for mediation in FY 2019, the Civil ADR Branch held mediations for 4,350 civil cases, a slight increase of 1% or 35 additional cases mediated when compared to FY 2018. Additionally, 53% of cases mediated in FY 2019 were resolved, a 2% increase over the 51% settlement rate for FY 2018.

In FY 2020, the Multi-Door Dispute Resolution Division has been and continues to be significantly impacted by the Coronavirus Pandemic. The Civil ADR Branch has used this time to organize our remote operating capacity with all employees teleworking. Our focus shifted to the development of necessary knowledge and transition to a remote mediation operation for all five of our existing civil mediation programs. This work included an extensive review of remote mediation processes and services. From this information, the branch developed remote mediation guidelines and technology instructions for our staff, mediators and mediation participants. Working with our stakeholders, we tested and refined our existing procedures including an online training program for mediators. As we continue to offer remote mediation to cases with existing scheduled mediation dates, we will refine these processes.

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 2019, CPM scheduled 296 families for mediation, representing 510 children. Of those families, 179 completed the mediation process. Parties reached an agreement on substantive issues and family services in 173 cases (97%), affecting 293 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 2019, the Family Program scheduled mediation for 1,543 cases. Of those cases, 601 completed the mediation process. Parties reached an agreement on substantive issues that resolved the court case in 230 cases (38%). The Family Program scheduled 2,542 mediations sessions in FY 2019, of which, 1,608 (63%) 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 2019, 4,565 domestic relations cases were filed, of which 1,465 were eligible for PAC. During this period, 792 parents and 197 children participated in the PAC educational seminars. PAC cases scheduled for mediation numbered 748, representing 1,496 parents. Of those cases, 568 (76%) attended mediation, representing 1,136 parents.

The Community Information and Referral Program (CIRP). The Community Information and Referral Program (CIRP) serves for people seeking help with all types of disputes before they file a court case and screens Family Court Operations Division Domestic Relations Branch (DRB) cases for mediation. DRB referrals for intake/screenings at Multi-Door increased by 3%, from 2,381 in FY 2018 to 2,461 in FY 2019.

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 2019, CARECEN referred 59 Spanish language cases to the division for resolution, including 22 cases eventually referred to another agency for assistance, 23 cases resolved with Multi-Door assistance, and 4 cases not resolved. The remaining 10 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, prior to charges being filed in the Superior Court. In FY 2019, ATTEND scheduled 378 families (435 children) for mediation. Of

those 378 families, 171 families (45%) participated in mediation and developed a plan with the school for 205 children (47%), to abate truancy.

Commencing March 2020 all in-person mediations under the Family ADR Branch, which include Family, CPM and Truancy were rescheduled for a later date due to the stay at home order caused by the pandemic. All family branch cases were rescheduled for remote mediation beginning May 2020.

Program Assessment and Training Branch

In FY 2020, the Division trained 24 new mediators to serve in the Family Mediation Program. The Division offered a 40-hour mediation skill training program that included mediation observations and six days of classroom training involving lecture and role-play. The division also delivered Permanency Mediation Training for mediators in the Child Protection Mediation program. In addition, the division delivered 39 online trainings in a two-month period to more than 100 mediators on how to conduct mediations using a web-based platform.

The Division conducted 15 advanced ADR trainings across all programs to enhance the quality of its mediator pool. The Division hosted two large groups, totaling 30 persons, of international judges, government officials, law professors, attorneys and students providing ADR educational sessions and opportunities to observe civil mediations.

During FY 2019, the division director and research partners from the Universities of Indiana and Arizona presented a full day pre-conference institute on family mediation and Intimate Partner Violence at the Association of Family and Conciliation Courts Annual Conference in Toronto, Canada and at the Mid-Atlantic Court Management Conference in Maryland. The division also participated in the annual federal *pro bono* fair 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 maintain a library of recorded ADR trainings for mediators. 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, completed improvements to its mediator database, which centralizes information on mediators' length of service as well as data on performance quality and compliance with program standards.

Workload Data

Table 1
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Caseload Overview

	Mediation Sessions Scheduled	*Mediations Held	**Cases Settled	***Settlement Rate
FY 2019 Actual	10,368	6329	2,846	45%
FY 2020 Estimated	8,201	3,746	1,591	42%

*The decreased projection of mediations held reflect the impact of the COVID pandemic on in-person mediations.

**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 2019 Actual	FY 2020 Estimated	Projection FY 2021	Projection FY 2022
Input	Cases Scheduled	CourtView	7,127	6,396	7,136	7,234
Output	Mediation Held	CourtView	4,350	2,571	4,370	4,415
Outcome	Case Settlement Rate	CourtView	53%	52%	52%	53%
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 2019 Actual	FY 2020 Estimated	Projection FY 2021	Projection FY 2022
Input	Mediation Sessions Scheduled	CourtView	3,241	1,805	3,525	3,775
Output	Mediation Sessions Held	CourtView	1,979	1,175	2,362	2,567
Outcome	*Case Settlement Rate	CourtView	61%	50%	61%	63%
Outcome/Quality	Participant satisfaction w/ process	SPSS database	86%	87%	88%	89%
Outcome/Quality	Participant satisfaction w/outcome	SPSS database	81%	82%	83%	84%
Outcome/Quality	Neutral performance satisfaction	SPSS database	88%	89%	90%	91%

*Case settlement rate reflects both full and partial settlements.

During FY 2020, the number of cases that went to in-person mediations decreased because of health and safety concerns during the COVID Pandemic and are expected to increase due to the implementation of remote mediations. Mediation projections are based on a normal year of operations as reflected in the case numbers shown in FY 2019.

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 three to five 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’s 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 2019		FY 2020		FY 2021		FY 2022	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output	Settlement Rate	IJIS database	50%	54%	50%	50%	50%	58%	50%	58%
Outcome	Overall client satisfaction (ratings of satisfied or highly satisfied)	SPSS database	80%	86%	80%	87%	80%	87%	80%	88%

FY 2022 Request

In FY 2022, the D.C. Courts’ request for the Multi-Door Dispute Resolution Division is \$3,673,000, an increase of \$360,000 (11%) above the FY 2021 Enacted Budget. The requested increase includes \$173,000 for 2 FTEs to address the increased caseload in family cases and \$187,000 for built-in cost increases.

Mediating Cases for Families, 2 FTEs, \$173,000 **Case Managers (JS-10)**

Problem Statement. To provide families timely access to mediation to help them resolve their own cases, in the face of an increased caseload, additional staff are required.

The Family ADR Branch recently broadened access to mediation and its benefits for participants. Now all eligible family cases, including those with a history of intimate partner violence and truancy diversion cases, can participate in mediation. In just two years, the number of cases scheduled for mediation increased by 62% (from 1,374 cases in FY 2017 to 2,229 cases in FY 2019) and the number of mediation sessions scheduled increased by 54% (2,104 sessions in 2017 to 3,241 sessions in 2019).

This trend it expected to continue. The court must expedite mediation of post-trial abuse and neglect permanency cases to help place children in permanent homes more quickly. Under the Adoption and Safe Families Act, the goal is to achieve permanency for abused or neglected children within 22 months. Expediting mediations for these families is critical to meeting this goal and supporting positive outcomes for the children and families.

Moreover, the court requires parties in contested matters to participate in mediation early in the case (prior to the pre-trial hearing). If, after a mediated case settles, a dispute arises regarding the settlement agreement (e.g. its interpretation or implementation) parties must return to mediation before filing an action in court. Current staffing levels in the Family ADR Branch are not adequate to serve 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 sessions, despite scheduling mediations five days each week, three evenings each week, and at least three Saturdays per month.

In addition, over the past two years, cases involving intimate partner violence have increased. Expediting mediation in these cases (through a carefully developed and tested model) affords families the opportunity to develop a self-determined resolution, avoids exacerbating the situation with contentious litigation, and expedites their access to justice.

To meet standards for timely service to families, the Family Mediation Program must complete the mediation process within 120 days from the date a case is accepted to mediation. Case managers provide a range of administrative and clerical support; coordinate the scheduling of mediation between parties and mediators; provide case information to mediators, litigants, and court personnel; and provide mediation information to litigants before mediation sessions. In accordance with best practices, case managers also contact parties two business days before the scheduled mediation session (and any subsequent sessions), which anecdotal data indicate increases settlements. With the increasing family mediation caseload, the Program requires additional staff to process new case referrals and manage on-going cases to avoid delays in case review, scheduling, and case management.

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 Division's strategic objective to provide efficient and effective alternative dispute resolution and case management to families in need of services.

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

Position	Grade	Number	Salary	Benefits	Total Personnel Cost
Case Manager	JS-10	2	\$137,000	\$36,000	\$173,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	2,169,000	2,172,000	2,437,000	265,000
12 - Personnel Benefits	606,000	607,000	678,000	71,000
Subtotal Personnel Cost	2,775,000	2,779,000	3,115,000	336,000
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	512,000	535,000	23,000
26 - Supplies & Materials	13,000	13,000	14,000	1,000
31 - Equipment	8,000	8,000	8,000	0
Subtotal Non-Personnel Cost	533,000	534,000	558,000	24,000
TOTAL	3,308,000	3,313,000	3,673,000	360,000
FTE	28	28	30	2

Table 7
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Detail, Difference FY 2021/FY2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/FY 2022
11 - Personnel Compensation	Current Position WIG	28	30,000	
	Current Position COLA		98,000	
	Case Manager	2	137,000	
<i>Subtotal 11</i>				<i>265,000</i>
12 - Personnel Benefits	Current Position WIG	28	8,000	
	Current Position COLA		27,000	
	Case Manager	2	36,000	
<i>Subtotal 12</i>				<i>71,000</i>
<i>Subtotal Personnel Services</i>				<i>336,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service	Built-in Increases			23,000
26 - Supplies & Materials				1,000
31 - Equipment				
<i>Subtotal Non-personnel Services</i>				<i>24,000</i>
Total				360,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-3			
JS-4			
JS-5			
JS-6	1	1	1
JS-7			
JS-8	2	2	2
JS-9	1	1	1
JS-10	10	10	12
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 Salary	2,169,000	2,172,000	2,437,000
Total FTEs	28	28	30

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

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	61	6,535,000	61	6,895,000	0	360,000

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 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 in the least restrictive setting 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 justice under the law.

The demographic that the Probate Division serves continues to grow and expand. 2019 was the 14th-straight year of population growth in the District, according to U.S. Census Bureau data provided in January 2020 by D.C.'s Office of the Chief Financial Officer. From 2005 to 2019, D.C.'s population grew by 138,613 (24.4%). In particular, 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," according to 2018 data from a D.C. Policy Center report titled *Portrait of D.C.'s Adults*. 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.

Clear patterns in population growth are developing. These patterns and factors influence both the volume and complexity of the matters handled by Probate. For example, 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, may be in place for decades, requiring semi-annual reporting, formal periodic review, and episodic problem resolution. Of the 3,293 probate cases filed last year, 640 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 33% 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 reviews the bi-annual Report of Guardian mandatory filing in every adult guardianship case.
- Self-Help Center – 8 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 represents 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. Expand performance measures to additional case types and further consider options to increase the efficiency and productivity of current performance measures: Triage efiled documents within one business day of receipt in the efilings queue; Issue Letters of Administration within 1 day of processing orders of appointment or qualifying for

appointment as personal representative; and Identify delinquent filings timely and take appropriate action within 10 days of delinquency.

2. Enhance efficient and timely case resolution and customer satisfaction by expanding eFiling and information platforms to all probate cases
3. Expand comprehensive workforce planning to prepare for a changing workforce and create an integrated staff portal that includes an employee performance dashboard, personalized training modules and customer experience data.
4. Enhance customer service metrics and ensure customer experience data is included in the development of self-help center tools and partnership programs.

Divisional Restructuring and/or Work Process Redesign

During FY 2019 the Probate Division:

1. Provided over 27 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 2019, expanded and restructured 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 2019, acquired the adjudication of emergency temporary guardianships that were previously decided in Judge-in-Chambers. Temporary guardians are appointed when a life-threatening emergency occurs, and no family is available to make urgent decisions for an incapacitated adult. The adjudication of emergency and other temporary adult guardianship matters was transferred to the Probate Division where 170 urgent cases have been fast-tracked since the beginning of the calendar year.
4. In September 2019, launched the George Washington University – DC Superior Court Probate Partnership. The program offers George Washington Law students an opportunity to provide legal information and, in a limited capacity, legal advice to the people served by the Probate Self Help Center. This partnership also launched an initiative to train third year law students to represent Personal Representatives at Probate Summary Hearings and to provide Pro Bono services in the Probate Self-Help Center.
5. In May 2019, extended and restructured the 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 program provides the option to make the requisite certification and attestation in open court, enabling the rapid payment of a fixed fee through the Courts' web voucher system. The FY 2019 results of the pilot are encouraging, over 611 fixed fee orders were issued reflecting a nearly 18.4% reduction in the filing of fee petitions.

Workload Data

The Probate Division processed 14,781 court orders and held 5,749 court hearings. There were 264 mandatory guardianship review reports during the 2019 fiscal year. As shown in Table 1

below, the Probate Division disposed of 2,915 cases during FY 2019, with an overall clearance rate of 88% for the fiscal year. The lower clearance rate, 58% for adult guardianship and conservatorship 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 95%.

Table 1
PROBATE DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2019 Data)

	Cases Added	Cases Disposed	Clearance Rate*	Cases Pending		
				1-Oct 2018	30-Sept 2019	Change
Cases Involving the Deceased						
Formal Probate (Decedents Estates)	1,829	1,764	96%	4,847	4,912	1%
Small Estates	642	608	95%	110	144	31%
Foreign Proceedings	168	164	98%	192	196	2%
Cases Involving the Incapacitated						
Conservatorships (Old Law) **	1	5	n/a	16	8	-50%
Guardianships (of Minors)	33	17	43%	171	187	+9%
Intervention Proceedings (Adult Guardianships/Conservatorships) ***	606	355	58%	3,171	3,422	8%
Trusts	14	2	14%	102	114	12%
Total	3,293	2,915	88%	8,609	8,983	4%
* 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. Obsolete case type.						

Key Performance Indicators

Table 2
PROBATE DIVISION
Key Performance Indicators

Performance Indicator	Data Source	FY 2019		FY 2020		FY 2021		FY 2022	
		Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Time Standard from Filing to Disposition									
Administration of Decedents Estates	Monthly Reports	30%	30%	30%	30%	30%	30%	30%	30%
Within 395 days		75%	75%	75%	75%	75%	75%	75%	75%
Within 1,125 days		98%	98%	98%	98%	98%	98%	98%	98%
Within 1,490 days									
Appointment of fiduciary or other resolution in guardianship cases (incapacitated adults/minors)	Monthly Reports								
Within 60 days		75%	75%	75%	75%	75%	75%	75%	75%
Within 90 days		98%	98%	98%	90%	98%	90%	98%	90%
Triage efiled documents w/in 1 business day of receipt in the efilings queue	Monthly Reports	90%	95%	90%	90%	90%	90%	90%	90%
Issue letters of appointment w/in 1 business day of processing order or qualifying event	Monthly Reports	90%	94%	90%	90%	90%	90%	90%	90%
Identify and act on delinquent filings w/in 10 days	Monthly Reports	90%	95%	90%	90%	90%	90%	90%	90%
Submit fee requests to Court w/in 45 days	Monthly Reports	90%	22%	90%	90%	90%	90%	90%	90%
Schedule Hearing on Approval of Account w/in 45 days	Monthly Reports	90%	100%	90%	90%	90%	90%	90%	90%
Number of GAP reports submitted	Monthly Report	500	264	500	250	500	300	500	300

FY 2022 Request

In FY 2022, the Courts' request for the Probate Division is \$6,895,000 an increase of \$360,000 (6%) above the FY 2021 Enacted Budget. The increase consists entirely of built-in cost increases.

Table 3

PROBATE DIVISION
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	4,902,000	5,016,000	5,294,000	278,000
12 - Personnel Benefits	1,371,000	1,399,000	1,476,000	77,000
<i>Subtotal Personnel Services</i>	6,273,000	6,415,000	6,770,000	355,000
21 - Travel, Transp. of Persons	14,000	14,000	15,000	1,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	7,000	7,000	7,000	0
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
<i>Subtotal Non-Personnel Services</i>	120,000	120,000	125,000	5,000
TOTAL	6,393,000	6,535,000	6,895,000	360,000
FTE	60	61	61	0

Table 4

PROBATE DIVISION
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 - Personnel Compensation	Current Position WIG	61	53,000	
	Current Position COLA		225,000	
<i>Subtotal 11</i>				278,000
12 - Personnel Benefits	Current Position WIG	61	14,000	
	Current Position COLA		63,000	
<i>Subtotal 12</i>				77,000
<i>Subtotal Personnel Services</i>				355,000
21 - Travel, Transp. of Persons				1,000
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
<i>Subtotal Non-Personnel Services</i>				5,000
Total				360,000

Table 5

PROBATE DIVISION
Detail of Full Time Equivalent Employment

Grade	FY 2020 Enacted	FY 2021 Enacted	FY 2022 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	6
JS-12	11	11	11
JS-13	7	8	8
JS-14	3	3	3
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	4,902,000	5,016,000	5,294,000
Total FTEs	60	61	61

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA SPECIAL OPERATIONS DIVISION

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	4,880,000	25	5,127,000	0	247,000

Mission

The Special Operations Division has administrative oversight for the Tax Division and provides specialized services within its six 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 five 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.

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 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.

Restructuring and Work Process Redesign

Several restructuring efforts are underway in the Special Operations Division.

The Tax Division continues to make significant strides reducing the backlog of cases pending more than 36 months as of the start of FY 2019 and ensuring all cases progress in a controlled manner towards timely disposition. Time standards and other refinements implemented in FY 2017 resulted in an 88% reduction in aged Civil Tax cases from 321 on October 1, 2017, to 39 as of September 30, 2019; an increase in clearance rate from 83% in FY 2017 to 163% in FY 2019; and an increase in the rate cases are disposed within 36 months from 65% in FY 2017 to 93% in FY 2019. The Tax Division continues to collaborate with internal and external stakeholders to refine business processes.

To improve data quality and access to historical Tax cases, the Tax Division also converted records from microfilm to a digitized format in FY 2019. Approximately 590,000 images for Civil Tax cases filed in as early as 1937 are now available in an electronic database with searchable fields, significantly reducing the processing time for staff and the waiting time for the public.

During FY 2019, 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 7,621 jurors did not have to report for jury duty, saving their time and saving the court \$34,605. The yearly juror utilization rate has increased from 67% to 72%. The Jurors' Office continues to collaborate with the Strategic Management Division to develop a more refined, data-driven predictive model to issue jury summons.

During FY 2019, the Office of Court Interpreting Services fulfilled 6,280 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, the Courts' Language Access Advisory Committee actively engaged with

interpreters and legal community stakeholders to gather feedback on the Courts' performance in meeting the needs of the limited English proficient (LEP) and Deaf communities. A subgroup of the Language Access Advisory Committee met regularly to develop a formal program that establishes minimum testing and training requirements for all freelance interpreters who provide interpreting services at the Court, including certification (or its functional equivalent) in the target language, completion of training on the Interpreter Code of Ethics, courtroom procedures and practice standards, skill-based training, and completion of annual continuing education training. This new program, The District of Columbia Courts Interpreter Registry, was launched on October 1, 2019.

In FY 2019, the Courts provided Child Care services to 352 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. The Child Care Center also implemented a database to track utilization of its services and continued its efforts to collaborate with community stakeholders to increase awareness of the availability of Child Care services for court users.

In FY 2019, the Superior Court Library implemented a database, the D.C. Superior Court Library System, to track the number of Library users and research requests received, manage/monitor the Library's collection, track subscription renewals, and monitor the delivery of Judicial Bench Materials to chambers. The new system will enable court employees to search the Library's collection through the court's intranet site and check a book out if available, and it will provide to the public the ability to view and search the Library's collection on the Court's public-facing Internet site.

Workload Data

In FY 2019, the Special Operations Division handled the following:

- The Jurors' Office issued approximately 154,000 summonses to District of Columbia residents to appear for jury service;
- The Office of Court Interpreting Services dispatched 7,775 interpreters to fulfill 6,280 requests for interpreting services;
- The Tax Division disposed of 931 cases.

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 2019		FY 2020		FY 2021		FY 2022	
			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	154,110	160,000	103,000	176,400	196,000	176,400	196,000
Output / Activity	# of jurors qualified to serve on <i>voir dire</i> panels	Business Intelligence Jury Reports	40,000	38,138	38,000	26,000	40,000	34,300	40,000	34,300
Outcome	Judicial requests for <i>voir dire</i> panels met	Business Intelligence Jury Reports	65%	72%	65%	80%	65%	68%	65%	68%
Outcome	Jury Yield*	Business Intelligence Jury Reports	40%	TBD	40%	12%	40%	15%	40%	20%

*Juror yield for FY 2019 is not shown due to conversion to a new system.

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

Type of Indicator	Key Performance Indicator	Data Source	FY 2019		FY 2020		FY 2021		FY 2022	
			Goal	Actual	Goal	Estimated*	Goal	Projection	Goal	Projection
Input	Requests for interpreters	Web Interpreter and Translator System (WITS)	6,975	6,280	6,975	5,153	6,975	6,340	6,975	6,340
Outcome	Requests for interpreters met	WITS	6,952	6,257	6,952	5,153	6,952	6,300	6,952	6,300
Outcome	Interpreters Dispatched	WITS	7,882	7,775	7,409	6,576	7,483	7,670	7,558	7,747
Efficiency	Clearance rate	WITS	99%	99%	99%	99%	99%	99%	99%	99%

*Estimates affected by COVID-19 pandemic.

Table 3
SPECIAL OPERATIONS DIVISION
Tax Division
Caseload and Efficiency Measures
(Fiscal Year 2019 Data)

	Case Filings	Dispositions	Clearance Rate*	Pending Cases		
				1-Oct	30-Sep	Change
Civil Tax	559	913	163%	1,943	1,558	-19.8%
Criminal Tax	3	3	100%	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 2019		FY 2020		FY 2021		FY 2022	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Output	Research Assistance Provided	Library Data	200	120*	200	130**	200	140	200	140
Outcome	# Library Users	Library Data	1,000	900*	1,000	775**	1,000	1,000	1,000	1,000

*Estimate derived from database implemented in FY 2019.

**Estimates affected by COVID-19 pandemic.

FY 2022 Request

In FY 2022, the Courts' request for the Special Operations Division is \$5,127,000, an increase of \$247,000 (5%) above the FY 2021 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 5
SPECIAL OPERATIONS DIVISION
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 – Personnel Compensation	2,612,000	2,616,000	2,755,000	139,000
12 – Personnel Benefits	731,000	732,000	771,000	39,000
<i>Subtotal Personnel Services</i>	<i>3,343,000</i>	<i>3,348,000</i>	<i>3,526,000</i>	<i>178,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	151,000	151,000	158,000	7,000
25 - Other Services	1,125,000	1,127,000	1,178,000	51,000
26 - Supplies & Materials	243,000	243,000	254,000	11,000
31 – Equipment	11,000	11,000	11,000	0
<i>Subtotal Non-Personnel Services</i>	<i>1,530,000</i>	<i>1,532,000</i>	<i>1,601,000</i>	<i>69,000</i>
TOTAL	4,873,000	4,880,000	5,127,000	247,000
FTE	25	25	25	0

Table 6
SPECIAL OPERATIONS DIVISION
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 - Personnel Compensation	Current Position WIG	25	22,000	
	Current Position COLA		117,000	
<i>Subtotal 11</i>				<i>139,000</i>
12 - Personnel Benefits	Current Position WIG	25	6,000	
	Current Position COLA		33,000	
<i>Subtotal 12</i>				<i>39,000</i>
<i>Subtotal Personnel Services</i>				<i>178,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			7,000
25 - Other Service	Built-in Increases			51,000
26 - Supplies & Materials	Built-in Increases			11,000
31 - Equipment				
<i>Subtotal Non-Personnel Services</i>				<i>69,000</i>
Total				247,000

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

Grade	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-6	2		
JS-7	1	3	3
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	2,616,000	2,755,000
Total FTEs	25	25	25

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

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	15,110,000	0	18,803,000	0	3,693,000

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, payments 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 2022, the Courts’ request for the Management Account is \$18,803,000, an increase of \$3,693,000 (24%) above the FY 2020 Enacted Budget. The requested increase includes \$2,928,000 to strengthen jury service by increasing juror fees, as described in the **Initiatives Section** of this request, and \$765,000 for built-in cost increases.

Table 1
MANAGEMENT ACCOUNT
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	4,501,000	4,508,000	4,778,000	270,000
12 - Personnel Benefits	785,000	786,000	839,000	53,000
<i>Subtotal Personnel Cost</i>	<i>5,286,000</i>	<i>5,294,000</i>	<i>5,617,000</i>	<i>323,000</i>
21 - Travel, Transp. of Persons	384,000	385,000	402,000	17,000
22 - Transportation of Things	14,000	14,000	15,000	1,000
23 - Rent, Commun. & Utilities	3,443,000	3,448,000	3,603,000	155,000
24 - Printing & Reproduction	188,000	188,000	196,000	8,000
25 - Other Services	5,403,000	5,413,000	8,586,000	3,173,000
26 - Supplies & Materials	336,000	337,000	352,000	15,000
31 - Equipment	331,000	31,000	32,000	1,000
<i>Subtotal Non-Personnel Cost</i>	<i>10,099,000</i>	<i>9,816,000</i>	<i>13,186,000</i>	<i>3,370,000</i>
TOTAL	15,385,000	15,110,000	18,803,000	3,693,000
FTE	0	0	0	0

Table 2
MANAGEMENT ACCOUNT
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 - Personnel Compensation	Current Position WIG		68,000	
	Current Position COLA		202,000	
<i>Subtotal 11</i>				<i>270,000</i>
12 - Personnel Benefits	Current Position WIG		18,000	
	Current Position COLA		35,000	
<i>Subtotal 12</i>				<i>53,000</i>
<i>Subtotal Personnel Services</i>				<i>323,000</i>
21 - Travel, Transp. of Persons				17,000
22 - Transportation of Things				1,000
23 - Rent, Commun. & Utilities				155,000
24 - Printing & Reproduction	Built-in Increases			8,000
25 - Other Service	Built-in Increases		245,000	
	Juror Fee Increase		2,928,000	
<i>Subtotal - 25</i>				<i>3,173,000</i>
26 - Supplies & Materials	Built-in Increases			15,000
31 – Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				<i>3,370,000</i>
Total				3,693,000

DISTRICT OF COLUMBIA COURT SYSTEM Overview

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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>
285	75,518,000	290	79,887,000 ¹²	306	85,614,000	16	5,727,000

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 2022 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 2022 budget request enhances four of the five strategic goals and includes performance projections for all core functions.

Goal 1: Access to Justice for All--\$626,000, 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.

¹² Reflects the planned FY 2021 transfer of \$640,000 and 5 FTEs from the Court of Appeals to the Court System administratively to consolidate information technology functions.

The request includes \$626,000 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--\$325,000, 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 \$189,000 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 \$136,000 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--\$612,000, 4 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 \$190,000 for 2 FTEs to support courtroom technology capabilities and remote operations; \$150,000 for technology services related to cloud migration and information security; \$136,000 for 1 FTE to support IT security compliance; and \$136,000 for 1 FTE to support application development and automation.

Goal 5: Effective Court Management and Administration--\$1,971,000, 5 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 \$1,620,000 to maintain the Moultrie Courthouse Addition, including 2 FTES to support facilities maintenance and repair; \$136,000 for 1 FTE to manage capital projects in stewardship of the 1.5 million gross square feet of building space in Judiciary Square;

\$79,000 for 1 FTE to provide administrative support to capital projects and facilities management functions; and \$136,000 for 1 FTE to enhance compliance with legal requirements.

Built-In Increases--\$2,193,000

The request also includes \$2,193,000 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 (10.5% in 2019 versus 16.4%, respectively).

Table 3
COURT SYSTEM
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted¹³	FY 2022 Request	Difference FY 2021/2022
11 – Compensation	28,690,000	30,970,000	33,411,000	2,441,000
12 – Benefits	8,223,000	8,842,000	9,496,000	654,000
<i>Subtotal Personal Services</i>	<i>36,913,000</i>	<i>39,812,000</i>	<i>42,907,000</i>	<i>3,095,000</i>
21 - Travel, Transp. of Persons	405,000	405,000	414,000	9,000
22 - Transportation of Things	6,000	6,000	6,000	0
23 - Rent, Commun. & Utilities	9,099,000	9,099,000	9,310,000	211,000
24 - Printing & Reproduction	105,000	105,000	107,000	2,000
25 - Other Services	23,822,000	25,492,000	27,714,000	2,222,000
26 - Supplies & Materials	683,000	683,000	698,000	15,000
31 – Equipment	4,485,000	4,285,000	4,458,000	173,000
<i>Subtotal Nonpersonal Services</i>	<i>38,605,000</i>	<i>40,075,000</i>	<i>42,707,000</i>	<i>2,632,000</i>
TOTAL	75,518,000	79,887,000	85,614,000	5,727,000
FTE	285	290	306	16

¹³ Reflects the planned FY 2021 transfer of \$640,000 and 5 FTEs from the Court of Appeals to the Court System administratively to consolidate information technology functions.

DISTRICT OF COLUMBIA COURT SYSTEM EXECUTIVE OFFICE

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	2,839,000	23	3,551,000	5	712,000

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' Living Our Values and Great Place to Work cultures.
- 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 2022 Request

In FY 2022, the Courts' request for the Executive Office is \$3,551,000, an increase of \$712,000 (25%) above the FY 2021 Enacted Budget. The requested increase includes \$626,000 for 5 FTEs and Equipment for an initiative to expand access to justice, described in the **Initiatives Section** of this request, and \$86,000 for built-in cost increases.

Table 1
EXECUTIVE OFFICE
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Cost
Court Navigator	JS-9	2	128,000	32,000	160,000
Multimedia Specialist	JS-11	1	75,000	20,000	95,000
Audiovisual Production Specialist	JS-13	1	108,000	28,000	136,000
Pro Bono Coordinator	JS-14	1	127,000	33,000	160,000
Total		5	438,000	113,000	551,000

Table 2
EXECUTIVE OFFICE
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	2,112,000	2,203,000	2,709,000	506,000
12 - Personnel Benefits	592,000	618,000	749,000	131,000
<i>Subtotal Personnel Services</i>	<i>2,704,000</i>	<i>2,821,000</i>	<i>3,458,000</i>	<i>637,000</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	2,839,000	3,551,000	712,000
FTE	18	18	23	5

Table 3
EXECUTIVE OFFICE
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY2021/2022
11 - Personnel Compensation	Current Position WIG	18	17,000	
	Current Position COLA	18	51,000	
	Pro Bono Coordinator	2	127,000	
	Audiovisual Production Specialist	1	108,000	
	Multimedia Specialist	1	75,000	
	Court Navigators	1	128,000	
<i>Subtotal 11</i>				<i>506,000</i>
12 - Personnel Benefits	Current Position WIG	18	4,000	
	Current Position COLA	18	14,000	
	Pro Bono Coordinator	2	33,000	
	Audiovisual Production Specialist	1	28,000	
	Multimedia Specialist	1	20,000	
	Court Navigators	1	32,000	
<i>Subtotal 12</i>				<i>131,000</i>
<i>Subtotal Personnel Services</i>				<i>637,000</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	Video Equipment and Software		75,000	
<i>Subtotal Non-personnel Services</i>				<i>75,000</i>
Total		23		712,000

Table 4
EXECUTIVE OFFICE
Detail of Full-Time Equivalent Employment

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-6			
JS-7			
JS-8			
JS-9	2	2	4
JS-10			
JS-11	2	3	4
JS-12	2	2	2
JS-13	3	3	4
JS-14	5	4	5
JS-15	2	2	2
CEMS	1	1	1
CES	1	1	1
Total Salary	2,112,000	2,203,000	2,709,000
Total FTEs	18	18	23

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

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	6,347,000	46	6,527,000	0	180,000

Organizational Structure

The Administrative Services Division (ASD) consists of the Office of the Administrative Officer, the Procurement and Contracts Branch, the Office Services Branch, and the SmartPay Purchase and Fleet Card Program Operations. 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 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 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 D.C. 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 2022, 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 anticipated increase is reflective of the new micro-purchase threshold, and novel coronavirus pandemic impacts. Each of these actions will generate the processing of a significantly higher number of mission-critical micro-purchases to support court operations.

Procurement and Contracts Branch

In FY 2022, the Procurement and Contracts Branch expects to process approximately 850 small purchases (< \$150,000) within 20 days of receipt and 65 large contracts (> \$150,000) within 120

days of receipt. These numbers reflect an estimated decrease in the number of large and small procurements due to impact of the novel coronavirus in FY 2020.

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 2022, the mailroom expects to process approximately 196,000 juror summonses, 110,000 subpoenas, and 85,000 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 6,000 members of the public per month (72,000 persons per year) at the Information Window in the courthouse and to respond to an average of 10,000 incoming calls per month (or 120,000 calls per year). Due to the novel coronavirus pandemic and new CDC guidelines for social distancing, court activity at the Information Center will drastically decrease with the use of increased electronic resources. This number may also 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.

In FY 2022 the Help Desk expects to receive approximately 14,000 calls from court personnel. The help desk has maintained its call volume traffic from 2019 into mid -March 2020 and has decreased since then due to the novel coronavirus and the Courts’ adoption of remote court proceedings. 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 have continued to streamline business practices and improve customer service.

The Records Management Unit expects to process 20,000 individual case records for storage and 1,400 requests for records. It is anticipated that the number of case records prepared for storage

and transferred to the Record Center will decrease in FY 2021 and FY 2022 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 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 2019		FY 2020		FY 2021		FY 2022	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Annual purchase card transactions	Citibank Custom Reporting Systems; US Bank Reporting	1,200	738	1,500	1,500	1,600	1,600	1600	1600
Annual fleet card transactions	Voyager Electronic Reporting System	500	377*	550	550	610	610	610	610
Transaction reviews or random checks	Citibank Card Mgmt. System; Voyager; Us Bank Reporting; Oracle Federal Financials	125	475	150	150	150	150	150	150
Program audits conducted	Cardholder Purchase/ Fleet Card Logs; Supporting Documentation	4	0*	4	4	6	6	2	2

*Decrease due to Government Shutdown

Table 2
ADMINISTRATIVE SERVICES DIVISION
Key Performance Indicators

Office Services Branch									
Performance Indicator	Data Source	FY 2019		FY 2020		FY 2021		FY 2022	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Monthly calls	Accounting Reports	18,000	11,100*	10,000**	10,000**	10,000	10,000	10,000	10,000
Jury summons processed yearly	Database	180,000	203,595	140,000**	140,000**	176,400	196,000	180,000	196,000
Subpoenas processed yearly		120,000	98,816	60,000**	60,000**	110,000	110,000	110,000	110,000
Outgoing metered mail (pieces) yearly		70,000	94,644	75,000**	75,000**	85,000	85,000	80,000	80,000
Help Desk Calls received and processed yearly	Automated Tracking System	14,000	13,980	6,000**	6,000**	14,000	14,000	13,500	13,500
Days to conduct physical inventory of all fixed assets	Electronic Data Base	45	45	45	45	45	45	45	45
Records Center requests filled yearly	Electronic Data Base	1,500	1,420	6,000**	6,000**	1,400	1,400	1,400	1,400
Records for storage yearly (individual case records)	Electronic Data Base	20,000	20,000	12,000**	12,000**	20,000	20,000	20,000	20,000

*Decrease due to Government Shutdown

**Decrease due to the Novel Coronavirus Pandemic

Procurement Branch									
Performance Indicator	Data Source	FY 2019		FY 2020		FY 2021		FY 2022	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Annual small purchases	Automated Financial System and Manual Accounting	1,250	1,250	1,250	850**	900	900	900	900
Annual large purchases		120	98*	100	65**	65	65	65	65
Annual modifications		900	900	900	600**	600	600	600	600
Small purchases processed within 20 days		95%	97%	95%	95%	95%	95%	95%	95%
Large purchases processed within 90-120 days after receipt of SOW		95%	96%	95%	95%	95%	95%	95%	95%
Acquisition courses conducted yearly	Internal Records	10	5*	8	3**	4	4	4	4

*Decrease due to Government Shutdown

**Decrease due to the Novel Coronavirus Pandemic

FY 2022 Request

In FY 2022, the D.C. Courts' request \$6,527,000 for the Administrative Services Division, an increase of \$180,000 (3%) above the FY 2021 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 2
ADMINISTRATIVE SERVICES DIVISION
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	3,665,000	3,824,000	3,938,000	114,000
12 - Personnel Benefits	1,026,000	1,070,000	1,102,000	32,000
Subtotal Personnel Services	4,691,000	4,894,000	5,040,000	146,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	64,000	64,000	65,000	1,000
25 - Other Services	1,274,000	1,274,000	1,304,000	30,000
26 - Supplies & Materials	86,000	86,000	88,000	2,000
31 - Equipment	29,000	29,000	30,000	1,000
Subtotal Non-Personnel Services	1,453,000	1,453,000	1,487,000	34,000
TOTAL	6,144,000	6,347,000	6,527,000	180,000
FTE	46	46	46	0

Table 3
ADMINISTRATIVE SERVICES DIVISION
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 - Personnel Compensation	Current Position WIG	46	25,000	
	Current Position COLA	46	89,000	
<i>Subtotal 11</i>				<i>114,000</i>
12 - Personnel Benefits	Current Position WIG	46	7,000	
	Current Position COLA	46	25,000	
<i>Subtotal 12</i>				<i>32,000</i>
<i>Subtotal Personnel Services</i>				<i>146,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Service	Built-in Increases			30,000
26 - Supplies & Materials	Built-in Increases			2,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				<i>34,000</i>
Total		46		180,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-4	1	1	1
JS-5	3	4	4
JS-6	8	9	9
JS-7	3	3	3
JS-8	3	2	2
JS-9	7	5	5
JS-10			
JS-11	2	2	2
JS-12	7	8	8
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	3,824,000	3,938,000
Total FTEs	46	46	46

DISTRICT OF COLUMBIA COURT SYSTEM BUDGET AND FINANCE DIVISION

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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>
37	5,249,000	37	5,444,000	37	5,617,000	0	173,000

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 37 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 the 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 (10 FTEs) has as its mission to ensure the accurate accounting, safeguarding and reporting of the Courts' financial resources. As part of this effort, this branch works collaboratively with the Courts' operating divisions in providing quality assurance for the receipting, accounting and banking (daily deposits) of payments received at various locations throughout the D.C. Courts.

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 business days after 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 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 2019		FY 2020		FY 2021		FY 2022	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Material weaknesses or reportable conditions noted by external auditors	Annual Financial Audit Report	0	1	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%	99%	100%	99%	100%	100%	100%	100%
Accurate completion of the monthly bank reconciliations of the D.C. Courts' bank accounts within 15 business days after each month's end.	Courts' Financial System of Record	100%	100%	100%	100%	100%	100%	100%	100%

FY 2022 Request

In FY 2022, the D.C. Courts' request \$5,617,000 for the Budget and Finance Division, an increase of \$173,000 (3%) above the FY 2021 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 2
BUDGET AND FINANCE DIVISION
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	3,518,000	3,670,000	3,793,000	123,000
12 - Personnel Benefits	986,000	1,029,000	1,063,000	34,000
<i>Subtotal Personnel Services</i>	<i>4,504,000</i>	<i>4,699,000</i>	<i>4,856,000</i>	<i>157,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	10,000	10,000	10,000	0
25 - Other Services	708,000	708,000	724,000	16,000
26 - Supplies & Materials	17,000	17,000	17,000	0
31 - Equipment	10,000	10,000	10,000	0
<i>Subtotal Non-Personnel Services</i>	<i>745,000</i>	<i>745,000</i>	<i>761,000</i>	<i>16,000</i>
TOTAL	5,249,000	5,444,000	5,617,000	173,000
FTE	37	37	37	0

Table 3
BUDGET AND FINANCE DIVISION
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY2021/2022
11 - Personnel Compensation	Current Position WIG	37	38,000	
	Current Position COLA	37	85,000	
<i>Subtotal 11</i>				<i>123,000</i>
12 - Personnel Benefits	Current Position WIG	37	10,000	
	Current Position COLA	37	24,000	
<i>Subtotal 12</i>				<i>34,000</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 Services	Built-in Increases			17,000
26 - Supplies & Materials				
31 - Equipment				
<i>Subtotal Non-personnel Services</i>				<i>16,000</i>
Total		37		173,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-6			
JS-7		1	1
JS-8	1	1	1
JS-9	5	5	5
JS-10			
JS-11	6	5	5
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	3,670,000	3,793,000
Total FTEs	37	37	37

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

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	25	8,818,000	29	10,882,000	4	2,064,000

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 Director's Office (3 FTEs) provides administrative oversight over the operations of the division and is responsible for budget preparation, planning, implementation, and management of the Courts' facilities and construction initiatives. This office is also responsible for the development of the Courts' 10-year Facilities Master Plan (updated in November 2013), that addresses the Courts' long-term space needs, required improvements to the Courts' infrastructure and physical environment, including the planned consolidation of the Family Court.
- The Building Operations Branch (18 FTEs) 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.
- The Capital Projects Branch (4 FTEs) is responsible for the planning, design and management of 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. This document assists the Capital Projects Branch to develop realistic and comprehensive project schedules while efficiently completing construction and maintenance on its 1.45 million sq. ft. Judiciary Square complex and 76,000 rentable sq. ft., providing new, high quality space and services to the D.C. Courts' employees and visitors.

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	Develop a realistic, comprehensive Capital Project schedule through FY 2023 utilizing the Facilities Master Plan.
Capital Projects	Efficiently complete construction on all 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 meet 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 2020. A number of key milestones were achieved during the last fiscal year, including the initiation of construction on Phase 2B 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. Completion of Phase 1 & 2 of the roof replacement initiative for the District of Columbia Court of Appeals
2. Installation of a new cooling tower for the District of Columbia Court of Appeals.
3. Installation campus-wide employee entrance optical turnstiles.
4. Installation of emergency call stations in the H. Carl Moultrie I Courthouse Parking Garage.
5. Installation of two new chillers in the H. Carl Moultrie I Courthouse.
6. Replacement of all visitor seating in public corridors of H. Carl Moultrie I Courthouse.
7. Replacement of courtroom entrance foyer closures throughout the Courts' campus to better ensure ADA Compliance.

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, which will be final with the completion of Phase 2B of the C Street Addition construction project.

1. Upgrade of existing mechanical, electrical and plumbing systems, code and life safety systems, vertical transportation and security systems. All infrastructure projects are sized to support the Moultrie Courthouse Addition when complete.
2. Upgrade of security within the Moultrie Courthouse continues. This project includes on-going installation of a new fire protection system with a new sprinkler system as part of a multi-year improvement plan.

The D.C. Courts' most recent Facilities Master Plan is being updated to reflect changes in court technology, organization and operations, and the expected growth of the District of Columbia's population. The update is underway and anticipated for completion in 2020. 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 2022, 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' 1.60 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 requirements.

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 Courts' 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 2020		FY 2021		FY 2022	
			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 2022 Request

In FY 2022, the Courts' request \$10,882,000 for Capital Projects and Facilities Management Division (CPFMD), an increase of \$2,064,000 (23%) above the FY 2021 Enacted Budget. The requested increase includes \$1,620,000 to maintain the Moultrie Courthouse Addition, including 2 FTES to support facilities maintenance and repair; \$136,000 for 1 FTE to manage capital projects in stewardship of the 1.5 million gross square feet of building space in Judiciary Square; \$79,000 for 1 FTE to provide administrative support to capital projects and facilities management functions; and \$229,000 for built-in cost increases.

Facilities Maintenance, Repair, and Operations (MRO) Costs for the Moultrie Courthouse Addition, \$1,478,000

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.

Facility Workers (2), (JS-8, 9), \$142,000

Problem Statement. In addition to the need to support the facilities maintenance and repair for the additional square footage realized with the full completion of the Moultrie Courthouse C Street Addition project, additional staff is needed to maintain the Courts' existing facilities as well.

Relationship to Court Mission, Vision and Strategic Plan. Adequate staff to ensure the effective and efficient maintenance and repair of all court facilities will support the Courts' Strategic Plan Goal V, "Effective Court Management and Administration." Specifically, these additional staff members will enable the Courts to better ensure that all facilities are safe, secure, well maintained and can adequately accommodate court operations and personnel.

Relationship to Divisional Objectives. The additional facility 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 the Courts' facilities.

Relationship to Existing Funding. Funding is not available in the Courts' budget to support the additional positions.

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

Key Performance Indicators. These Facility Worker positions will enable the Courts to meet required maintenance schedules. These positions will further bolster the division's ability to meet the following key performance indicators:

- Expand the CPFMD's routine replacement program to all D.C. Courts' buildings to maximize longevity of assets and reduce annual operating and repair costs.
- 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 Manager, 1 FTE, \$136,000*** ***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.

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

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, \$79,000***

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 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.

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

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, 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	13	1	108,00	28,000	136,000
Administrative Assistant	9/10	1	63,000	16,000	79,000
Facility Technician Worker	8/9	2	112,000	30,000	142,000
Total		4	283,000	74,000	357,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	2,484,000	2,760,000	3,126,000	366,000
12 - Personnel Benefits	695,000	766,000	863,000	97,000
Subtotal Personnel Services	3,179,000	3,526,000	3,989,000	463,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	5,258,000	5,258,000	6,858,000	1,600,000
26 - Supplies & Materials	26,000	26,000	27,000	1,000
31 - Equipment	8,000	8,000	8,000	0
Subtotal Non-Personnel Services	5,292,000	5,292,000	6,893,000	1,601,000
TOTAL	8,471,000	8,818,000	10,882,000	2,064,000
FTE	24	25	29	4

Table 4
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 - Personnel Compensation	Current Position WIG	25	19,000	
	Current Position COLA	25	64,000	
	Capital Projects Manager	1	108,000	
	Administrative Assistant	1	63,000	
	Facility Technician Worker	2	112,000	
Subtotal 11				366,000
12 - Personnel Benefits	Current Position WIG	25	5,000	
	Current Position COLA	25	18,000	
	Capital Projects Manager	1	28,000	
	Administrative Assistant	1	16,000	
	Facility Technician Worker	2	30,000	
Subtotal 12				97,000
Subtotal Personnel Services				463,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Moultrie Addition maintenance	1,478,000		
	Built-in increases	122,000		
Subtotal - 25				1,600,000
26 - Supplies & Materials				1,000
31 - Equipment				
Subtotal Non-Personnel Services				1,601,000
Total		29		2,064,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-6			
JS-7			
JS-8	4	4	6
JS-9	9	7	8
JS-10			
JS-11	2	4	4
JS-12	1	1	1
JS-13	4	4	5
JS-14	2	3	3
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	2,484,000	2,760,000	3,126,000
Total FTEs	24	25	29

DISTRICT OF COLUMBIA COURT SYSTEM CENTER FOR EDUCATION AND TRAINING

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	2,357,000	8	2,609,000	1	252,000

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 court staff 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 CET staff 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 CET 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, Digital Video Production and Editing, Audio Visual Operations and Video Conferencing in a Courtroom Environment, Adobe Photoshop, Adobe InDesign, Adobe Flash, Captivate, Camtasia, Audacity, Comptia A+; and CourtView and C-Track, the Courts Integrated Justice Information Systems. The CET 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 CET. 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 CET 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 offer 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 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. 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 CET 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 internal needs assessments, 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 CET 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. In 2018-19, the CET continued to address the strategic goal of increased access for all and began coaching for the Courts' mid-level managers and supervisors. CET continues to offer 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, also continue.

The Leadership Institute continues to focus 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 offer opportunities for senior management in areas such as values-based management, coaching, and skills development. Based on the results of the 2009, 2011, 2013, 2015, 2017 and 2019 Employee Viewpoint Surveys (formerly named Federal Human Capital Surveys), initiatives and teams were established in the areas of health and wellness (including mental health), 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 in 2021. In 2016-2020, 22 Court Divisions have been actively involved in various values projects designed by each Division. 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 but have taken a short hiatus due to increased workloads. Nonetheless, the discussions have been extremely well received. The CET 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 CET 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 2020, 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 CET 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 CET 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 CET has developed alternative learning methods such as virtual training and distance learning, 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 CET offers an E-learning Library from SkillPort.

The CET offered approximately 150 classes during 2019 and approximately 200 for the previous years. Training hours completed by court employees and judicial officers for each year had consistently been close to 20,000 hours but training hours decreased in 2019 to around 14,000 hours with many cancellations occurring during the government shutdown period and the month after employees returned to work needing to play “catch-up” with work which left little time for professional development. During the pandemic, the most recent indicators pointed to increased training interest using distance learning models.

Finally, another very important program administered by the CET 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 was about 1,300 visitors in 2019.

Workload Data

The workload data for the CET 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 Measure ¹	FY 2019 Actual	FY 2020 Estimate	FY 2021 Projected	FY 2022 Projected
Course Offered	140	150	190	190
Judicial Participants	464	500	650	650
Employee Participants	1,868	1,800	2,500	2,500
Divisions Supported	15	15	15	15
Number of Official Visitors	1,261	600	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 2019		FY 2020		FY 2021		FY 2022	
			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	13,375	15,000	13,000	15,000	15,000	15,000	15,000
Output	Visitors Tours and Programs	Visitors Schedule	50	70	70	50	70	75	70	80
Outcome	Bi-Annual Management Training Program Graduates	Training Schedule & Participant List	NA	NA	23	24	NA	NA	20	20
Output	Management Training Institute Courses Offered	Training Schedule	8	9	10	10	8	8	8	8
Output	Executive/Senior Leadership Development Sessions	Training & Meeting Schedule and Consultant Reports	2	2	2	2	2	2	2	2
Outcome	Judicial Leadership Team Retreats	Meeting Schedule	2	2	2	2	2	2	2	2
Output	Court of Appeals Programs Offered	Training Schedule	6	2	4	4	4	4	4	4

FY 2022 Request

In FY 2022, the Courts' request \$2,609,000 for the Center for Education and Training Division, an increase of \$252,000 (11%) above the FY 2021 Enacted Budget. The requested increase includes \$189,000 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 \$63,000 for built-in cost increases.

****Deputy Director (JS-15), 1 FTE, \$189,000***

Problem Statement. To meet the increased demand for the CET'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 CET Director, 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 CET to stay abreast of daily and increasing demands, while keeping current with Judicial Branch education trends.

The CET, with a staff of seven full time professional staff, offers over 150 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 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 fifteen 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 staffing increase will support the following Courts' Strategic Goals: Goal I: Access to Justice for All, Goal III: Professional and Engaged Workforce, and Goal V: Effective Court Management and Administration. By

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

improving CET's capacity to efficiently coordinate, develop and deliver classes (traditional, virtual and distance learning, on-line, blended, webinars), seminars, experiential learning opportunities and conferences for judicial officers and court staff, the CET 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 CET 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 Courts. The CET 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 CET 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 CET'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 available in the Courts' 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, 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	15	1	\$150,000	\$39,000	\$189,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 – Personnel Compensation	805,000	989,000	1,169,000	180,000
12 – Personnel Benefits	225,000	272,000	319,000	47,000
<i>Subtotal Personnel Cost</i>	<i>1,030,000</i>	<i>1,261,000</i>	<i>1,488,000</i>	<i>227,000</i>
21 – Travel, Transp. of Persons	274,000	274,000	280,000	6,000
22 – Transportation of Things				
23 – Rent, Commun. & Utilities				
24 – Printing & Reproduction				
25 – Other Services	808,000	808,000	827,000	19,000
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>1,121,000</i>	<i>25,000</i>
TOTAL	2,126,000	2,357,000	2,609,000	252,000
FTE	7	7	8	1

Table 5
CENTER FOR EDUCATION AND TRAINING
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 – Personnel Compensation	Current Position WIG	7	7,000	
	Current Position COLA	7	23,000	
	Deputy Director	1	150,000	
<i>Subtotal 11</i>				<i>180,000</i>
12 – Personnel Benefits	Current Position WIG	7	2,000	
	Current Position COLA	7	6,000	
	Deputy Director	1	39,000	
<i>Subtotal 12</i>				<i>47,000</i>
<i>Subtotal Personnel Services</i>				<i>227,000</i>
21 – Travel, Transp. of Persons	Built-in Increases			6,000
22 – Transportation of Things				
23 – Rent, Commun. & Utilities				
24 – Printing & Reproduction				
25 – Other Service	Built-in Increases			19,000
26 – Supplies & Materials				
31 – Equipment				
<i>Subtotal Non-Personnel Services</i>				<i>25,000</i>
Total		8		252,000

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

Grade	FY 2020 Enacted	FY 2021 Enacted	FY 2022 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			1
CES			
CEMS	1	1	1
Total Salaries	805,000	989,000	1,169,000
Total FTEs	7	7	8

DISTRICT OF COLUMBIA COURT SYSTEM COURT REPORTING DIVISION

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	6,351,000	46	6,544,000	0	193,000

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 reporting and producing the record.

Organizational Background

The CRD is responsible for producing verbatim proceedings in accordance with CRD Transcript Guidelines. 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 368,000 transcript pages in 2019. CRD utilizes resilient and responsive technology by providing instantaneous 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 DC Courts' Strategic Plan, Values Initiative, and support of all DC Courts' programs.
2. The Court Reporting Branch is comprised of Official Court Reporters who are responsible for providing instantaneous realtime translation of trial proceedings to the judiciary and preparing official transcripts in accordance with CRD's Transcript Guidelines.
3. The Case Management Branch is responsible for handling all Criminal Justice Act, *in forma pauperis*, domestic violence, civil, and juvenile appeal transcript requests and delivery of completed transcripts to the Court of Appeals.
4. The Transcription Branch is responsible for transcribing recorded proceedings held in D.C. Superior Court.
5. The Administrative Branch is responsible for processing incoming and outgoing transcript requests and entering data into the Web Transcript Tracking System (WTTS) for statistical purposes.

Division MAP Objectives

The CRD supports access to justice for all by:

- Utilizing resilient and responsive technology
- Providing instantaneous realtime translation to members of the judiciary to aid in decision-making
- Providing instantaneous realtime translation to requesting parties
- Complying with the Americans with Disabilities Act (ADA)
- Producing verbatim and timely transcripts for lower court litigation and for review by the Court of Appeals

The CRD's Management Action Plan (MAP) objectives are, as follows:

- 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 CRD 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

In 2019 the CRD launched an initiative to provide customers with the ability to utilize credit cards to purchase transcripts. Implementation of this responsive technology will provide the citizens of the District of Columbia with expanded payment alternatives.

Workload Data

Table 1
COURT REPORTING DIVISION
Workload Measures

Type of Indicator	Performance Indicator	Data Source	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate	FY 2022 Estimate
Input	Transcription Branch orders received	Division Records	4,400	2,100	5,000	5,400
Input	Court Reporting Branch orders received	Division Records	2,950	1,350	3,200	3,500
Output	Pages of court transcripts produced (appeal/non-appeal)	Division Records	368,000	185,000	380,000	400,000

Table 2
COURT REPORTING DIVISION
Key Performance Indicators

Type of Indicator	Performance Indicator	Data Source	FY 2019		FY 2020		FY 2021		FY 2022	
			Goal	Actual	Goal	Estimate	Goal	Projection	Goal	Projection
Timeliness	Average time (in days) to complete transcripts of taped appellate proceedings	Division Records	11	14	11	11	11	14	11	13
Timeliness	Average time (in days) to complete transcripts of taped <i>non</i> -appellate proceedings	Division Records	6	6	6	6	6	6	6	6
Timeliness	Average time (in days) to complete appellate transcripts by court reporters *	Division Records	37	37	36	36	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 2022 Request

In FY 2022, the Courts' request \$6,544,000 for the CRD, an increase of \$193,000 (3%) above the FY 2021 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 3
COURT REPORTING DIVISION
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	4,682,000	4,885,000	5,034,000	149,000
12 - Personnel Benefits	1,311,000	1,368,000	1,409,000	41,000
<i>Subtotal Personnel Services</i>	<i>5,993,000</i>	<i>6,253,000</i>	<i>6,443,000</i>	<i>190,000</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	6,351,000	6,544,000	193,000
FTE	46	46	46	0

Table 4
COURT REPORTING DIVISION
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 - Personnel Compensation	Current Position WIG	46	36,000	
	Current Position COLA	46	113,000	
<i>Subtotal 11</i>				<i>149,000</i>
12 - Personnel Benefits	Current Position WIG	46	9,000	
	Current Position COLA	46	32,000	
<i>Subtotal 12</i>				<i>41,000</i>
<i>Subtotal Personnel Services</i>				<i>190,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service	Built-in Increases			1,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
<i>Subtotal Non-Personnel Services</i>				<i>3,000</i>
TOTAL		46		193,000

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

Grade	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-6	1	1	1
JS-7	1	2	2
JS-8	4	4	4
JS-9	2	1	1
JS-10	6	6	6
JS-11	2	3	3
JS-12	26	25	25
JS-13	2	2	2
JS-14			
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salaries	4,682,000	4,885,000	5,034,000
Total FTEs	46	46	46

DISTRICT OF COLUMBIA COURT SYSTEM HUMAN RESOURCES DIVISION

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	3,579,000	23	3,839,000	1	260,000

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 the performance management and classification management programs and conducts internal audits and continuous process improvement functions. 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.

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 Employee Relations Unit is responsible for the strategic management and administration of the D.C. Courts' employee relations programs. 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 and 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:

- 1) Strategic Planning Leadership Council
- 2) Personnel Advisory Committee
- 3) Working or Wellness
- 4) Living Our Values Working Committee
- 5) 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:

- Provided strategic coordination, collaboration, and compliance with the Office of Management and Budget, Office of Personnel Management, Department of Interior, and the Courts' Executive Leadership Team during the longest government shutdown in history.
- Managed successfully all return to work issues for furloughed employees and the payment of the government authorized compensation in accordance with the approval of the Joint Committee on Judicial Administration.
- Conducted feasibility review to examine technology case management solutions for Employee Relations, Family Medical Leave, Employment Actions. 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 37 training sessions, open to all employees, on Sexual Harassment Personnel Policy 410.
- Promoted the second annual Asian American and Pacific Islander Heritage month program, in addition to other special emphasis programs, to further inclusion and cultural awareness.
- Continued the use of the Individual Career Development Plan that was created as a tool to assist in the on-going training and development activities (on-the-job training, courses, conferences, and self-study) to help ensure HR staff is equipped with the competencies needed to accomplish the Courts' strategic HR objectives.

- 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 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 Workers' Compensation training for branch chiefs, managers, and supervisors. This training provides guidance on compensation law and benefits, the completion of common claim forms, and understanding the roles and responsibilities should an injury occur at work.
- Conducted Time and Attendance refresher courses for timekeepers and certifiers that provided education and guidance on time and attendance policies in accordance with the D.C. Courts' Policies and applicable federal laws.
- Hosted the Annual Financial Literacy Seminar in recognition of Financial Literacy month in April.
- Hosted the D.C. One Fund Campaign and D.C. Courts Health Fair for the 2019 open enrollment season.
- Enhanced the look and feel of the HR Intranet page to make it easier to navigate for new hires not familiar with D.C. Courts or government terminology. In addition, quick links and hot topics were created that can be accessed from the main page.
- Conducted 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).
- 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 2018-19 performance management period and refined the 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 the Courts’ 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 court employees 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 2019, 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 2019, 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 2019		FY 2020		FY 2021		FY 2022	
			Goal	Actual	Goal	Estimate	Goal	Projection	Goal	Projection
Output	# of employees attending benefit seminars, retirement workshops, health fairs, etc.	Registration & attendance documents	700	700	700	700	750	750	750	750
Output	# of employees attending Performance Management Trainings and Briefings	Registration & attendance documents	200	200	250	250	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	1,305	1,305	1,305	1,305	1,305	1,305	1,305	1,305

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 2022 Request

In FY 2022, the Courts' request \$3,839,000 for the Human Resources Division, an increase of \$260,000 (7%) above the FY 2021 Enacted Budget. The requested increase includes \$136,000 for 1 FTE to help the Courts' prepare for an anticipated wave of retirements by conducting workforce and succession planning, and \$124,000 for built-in cost increases.

****Planning for Tomorrow's Workforce, 1 FTE, \$136,000 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. To manage these dramatic and inevitable changes, the Courts must prepare, develop, and implement new policies and adopt new human capital practices to enable employees to effectively execute the mission of the Courts. The Human Resources Division must be appropriately staffed for its transformational role in advising, informing, and determining our future workforce.

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

The Courts hired a consulting firm to conduct an organizational analysis of the Human Resources Division, with the goal of aligning human capital management with the Courts' strategic goals and mission accomplishment. The findings indicated that the Courts must build the Human Resources Division's internal capacity to achieve such alignment. To align human capital management with the Courts' strategic goals, a critical position –a Workforce Planning Specialist is needed. The Human Resources Specialist – Workforce Planning will provide service and support in the form of development, implementation, and administration of projects and programs that enable and promote strategic human resource management and administration in the area of workforce planning and other related human resources programs and initiatives.

Relationship to Court Mission, Vision and Strategic Goals. The requested position supports the D.C. Courts' Strategic Goal III, "A Professional and Engaged Workforce." Specifically, the

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

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 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 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	108,000	28,000	136,000

Table 3
HUMAN RESOURCES DIVISION
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	2,558,000	2,776,000	2,981,000	205,000
12 - Personnel Benefits	715,000	772,000	827,000	55,000
<i>Subtotal Personnel Cost</i>	<i>3,273,000</i>	<i>3,548,000</i>	<i>3,808,000</i>	<i>260,000</i>
21 - Travel, Transp. of Persons	10,000	10,000	10,000	0
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	12,000	12,000	12,000	0
31 - Equipment	9,000	9,000	9,000	0
<i>Subtotal Non- Personnel Cost</i>	<i>31,000</i>	<i>31,000</i>	<i>31,000</i>	<i>0</i>
TOTAL	3,304,000	3,579,000	3,839,000	260,000
FTE	22	22	23	1

Table 4
HUMAN RESOURCES DIVISION
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 - Personnel Compensation	Current Position WIG	22	33,000	
	Current Position COLA	22	64,000	
	Human Resources Specialist-Workforce Planning	1	108,000	
<i>Subtotal 11</i>				<i>205,000</i>
12 - Personnel Benefits	Current Position WIG	22	9,000	
	Current Position COLA	22	18,000	
	Human Resources Specialist-Workforce Planning	1	28,000	
<i>Subtotal 12</i>				<i>55,000</i>
<i>Subtotal Personnel Services</i>				<i>260,000</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>				<i>0</i>
Total		23		260,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7		1	1
JS-8	2		
JS-9	2	4	4
JS-10			
JS-11		1	1
JS-12	7	5	5
JS-13	5	5	6
JS-14	4	4	4
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	2,558,000	2,776,000	2,981,000
Total FTEs	22	22	23

DISTRICT OF COLUMBIA COURT SYSTEM INFORMATION TECHNOLOGY DIVISION

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u> ¹⁴	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
70	12,628,000	74	13,780,000	78	14,795,000	4	1,015,000

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 in the years to come will become more digital- and innovation-focused. Digital transformation is the continuous process by which the Courts adapt to or drive strategic changes in their services by leveraging digital competencies to delivers information systems services and support to all other court divisions. Some of the Division's major services include:

¹⁴ Reflects the planned FY 2021 transfer of \$640,000 and 5 FTEs from the Court of Appeals to the Court System administratively to consolidate information technology functions.

- Implementing the new case management system for the D.C. Superior Court that provides improved access to justice, case initiation and processing, judicial decision-making, case financial management, and data exchange with other federal and local agencies.
- Implementing the online dispute resolution system for the D.C. Superior Court which uses technology to facilitate the resolution of disputes between parties.
- 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.
- Maintaining and supporting courtroom and enterprise-wide audio and video applications.
- Managing and supporting the Courts' website, intranet, and Internet applications.

Organizational Background

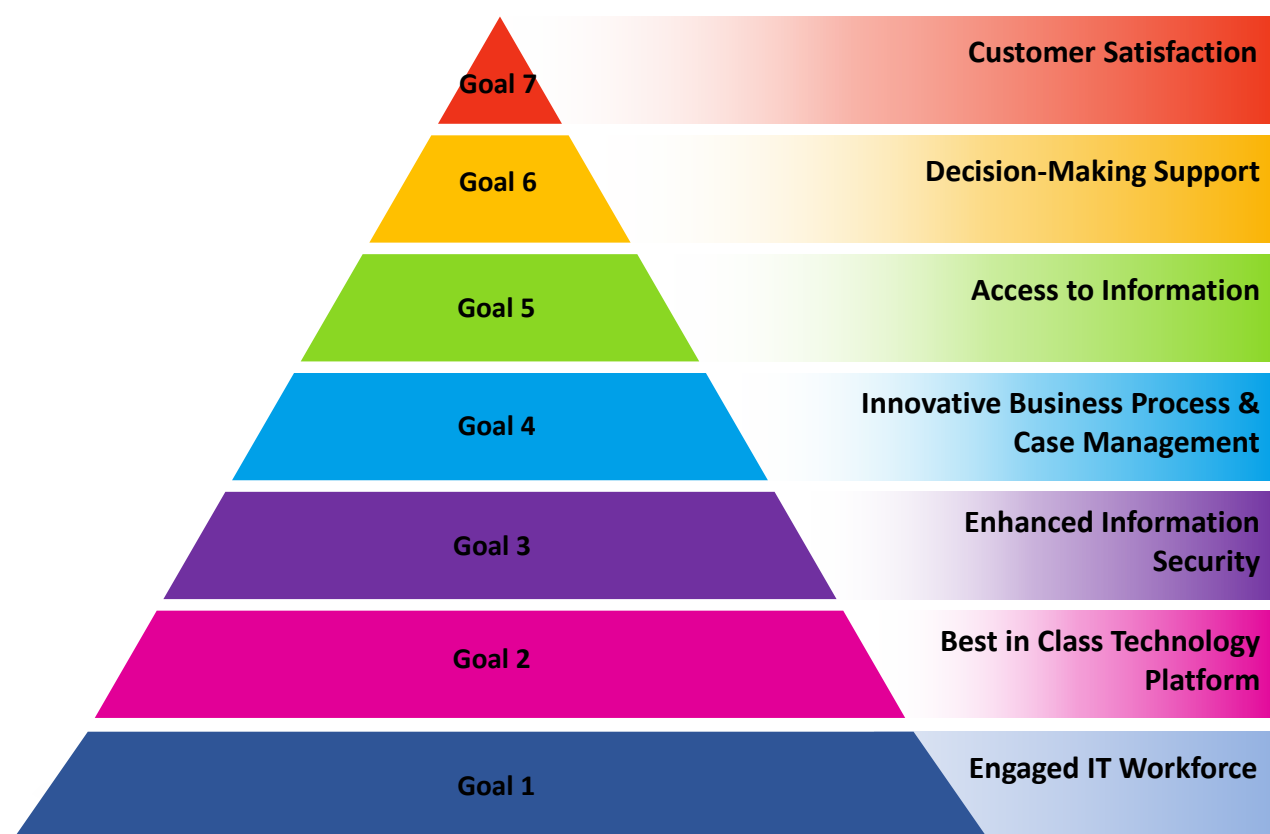
The Information Technology Division has seven primary responsibilities in support of court operations:

- *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. The Court kicked off implementation activities for its hosted Odyssey case management system (CMS) in September 2019. Combining the implementation of the new CMS with organizational change management and data governance, the Court has branded this effort as its "Integrated Justice Information System 2 (IJIS2) program.

Phase 1 involving non-charged based case types such as Civil, Probate, Tax, Multi-Door Dispute Resolution, and the Auditor Master's Office has a projected go live date of October 2021. Phase 2 of the implementation focuses on charge-based case types managed in the Criminal and Family Court Divisions. Ancillary activities such as finance, interpreter services, and transcript management are also included in each phase. Electronic data exchange including electronic

filing as well as public access and business intelligence/data warehouse integrations are incorporated in each phase. Starting in October 2019 a series of Fit-Analysis sessions were conducted by the Court's CMS vendor - Tyler Technologies to validate the business need for requirements not satisfied by out-of-the-box functionality. Requirements traceability has become an ongoing theme of the implementation.

In mid May 2020, the configuration phase of the implementation will get underway with subject matter experts working in teams with the Tyler and RSM resources to set up the Odyssey CMS. The configuration phase is scheduled to be completed by Fall 2020 to allow for converted data from the Court's current CMS to be loaded into the Odyssey database for validation. Development of electronic interfaces and other components of the implementation will continue throughout late 2020 and early 2021 with user testing anticipated in the 2nd quarter of 2021 followed by training and go live milestones.

efiling Program Enhancement – Court Filing Tool. In April 2020, the Superior Court enhanced the capability of its efilings program with the addition of a “bulk” filing designed for clerk staff responsible for transmitting a large number of processed filings back to filers daily. The Court expects to realize significant time savings with this new capability.

Forms Help Online - Interactive Interview Forms. Courts completed the last phase of the Forms Help Online Program. This software helps parties fill out the forms required to initiate their cases along with easy to read instructions,

Business Intelligence (BI) Solution - new implementations and enhancements: In November 2019, the BI dashboard for the Executive Office was implemented which includes budget trends, human resources vacancy reports, caseload activity, performance measures, attorney voucher payment information, juror statistics, and information technology services. The BI team is on track to provide dashboard feature to the Court of Appeals' Chief Judge by September 2020 and to the Clerk of the Court of Superior Court by the end of 2020. The BI solution is heavily utilized by many operating divisions for day-to-day statistical and ad-hoc reporting needs, and in the data governance initiatives.

Web Interpreter System - Phase II: The Phase I upgrades of Web Interpreting System (WIS) went live on October 1st, 2019. Phase II of the system upgrades went live in May 2020 to enhance operational efficiencies in the Office of the Interpreter Services. The system includes features, such as assigning interpreters, invoicing translation services; and uploading certifications under the interpreters' profiles.

Criminal eCheck-in System: In January 2019, the IT Division developed a new electronic check-in system for the criminal division to allow self-check-in of parties, including attorneys, police officers, probation officers, warrant processing clerks and defendants. Judges are able to see if their cases are ready to be called by looking at the color-coded party check-in status. Using this system allows the Criminal Division to track more accurate measures such as wait times and case processing times.

Civil eCheck-in / Calendaring System: The IT Division is slated to go-live with a fully automated electronic check-in and calendaring system for the Civil Division in the Fall of 2020. This web-based application for the Civil Division of the Superior Court improves the customer check-in process in the high-volume small claims and landlord and tenant courtrooms. The application will allow courtroom clerks to know which parties have checked in; what time they have checked in; when a case is ready to be called by the judge or if the case needs to be passed and called at a later time. Attorneys will also use the system to check-in. The benefits of this application include streamlined and efficient customer check-in process, reduction in the number of check-in errors, reduction in waiting times for the end users, accurate record keeping, and improved communication.

Web Voucher System 7.0: A fully redesigned and enhanced version of the web-based voucher processing system for the Court of Appeals and Superior Court CJA / CCAN and Guardianship Programs went live in July 2020. The system allows legal and expert service providers to submit vouchers for approvals by the judicial officers and allows budget and finance to process the approved vouchers for payments electronically.

Juvenile Referrals Case Status Board: In December 2019, the IT Division developed a new web-based case status board for the Family Court Division that provides real-time updates for parties on the status of their cases in the juvenile new referral courtroom. The parties can access the updated information such as papered, no papered decisions by OAG and cases ready to be called through an easy to understand color coded feature.

Federal Information Security Management Act (FISMA) Compliance Project. As part of the Court's 'internal financial audit effort, in early 2019, the Budget and Finance Division and the IT Division initiated the FISMA Compliance Project. With the support of RSM, the IT Division has completed three of four phases of this project -- Phase I: Planning & Developing the System Security Plan; Phase II: Gap Analysis & Roadmap Design; and Phase III: Develop Security Assessment Plan. Currently, the IT Division is in Phase IV: Perform Security Assessment. The output of this project is a comprehensive System Security Plan and Authorization to Operate (ATO) which will strengthen the Courts' information technology security posture.

Network Penetration Testing. In October and November 2019, the Courts completed a Network Penetration Test with the assistance of NetSecurity. The purpose of this test was as follows: 1) gain a better understanding of potential network vulnerabilities so that remediation steps can be implemented to mitigate risks to the D.C. Courts; 2) evaluate the network security architecture to ensure it is secure and meet best practices, and 3) evaluate the Courts' private and public wireless network. A risk mitigation plan was developed to address the findings from the penetration test and many of the risks have been mitigated.

Vulnerability Management. In 2020 the IT Division used the Nessus Tenable vulnerability management tools to identify, investigate and prioritize vulnerabilities for the Courts' public-facing web sites, network, and services including the Payment Card Industry (PCI) Card-not-Present platform as part of an effort to keep the Courts' IT environment secure.

IT Security Awareness Training. In October 2019, the IT Division purchased a new software to be incorporated in the Courts ongoing IT security training initiative. This software, “KnowBe4” provides an integrated security awareness training module that can simulate “real life” phishing attacks enabling end users to experience actual phishing attempts whereby the end user is alerted when they have become vulnerable by opening the content of the phishing attempt. The software additionally has a security content library complete with interactive modules. The software operates on a “learn by experience” platform. The software also provides the Courts IT security team with statistical information regarding attempted phishing attacks on the secure perimeter of the enterprise so that a dynamic defense posture can be ensured. The IT Division deployed the KnowBe4 integrated security awareness training module to court staff in May 2020, and incorporated the training into the new hire orientation training.

Other IT Infrastructure Upgrades. At the end of 2019, the IT Division completed the upgrade of the Courts’ WIFI infrastructure within the Courts’ six (6) buildings located at Judiciary Square and Gallery Place. The new WIFI will provide a wider range of coverage, improved security, bandwidth, and better overall user experience. The IT Division also upgraded the NetApp software in three data centers. The software upgrade enhanced the Courts’ disaster recovery capabilities. In January 2020, the IT Division upgraded Symantec Endpoint Protection on over 300 servers and over 1,400 workstations. This effort supported the Courts’ compliance with PCI and FISMA controls.

FY 2022 Request

In FY 2022, the Courts request \$14,795,000 for the IT Division, an increase of \$1,015,000 (7%) above the FY 2021 Enacted Budget. The requested increase includes \$462,000 for 4 FTEs to ensure compliance with security requirements, develop applications to enhance operational efficiencies and effectiveness, and provide multi-media support to enhance court proceedings; \$150,000 for Microsoft Cloud Services (Azure); and \$403,000 for built-in cost increases.

Microsoft Cloud Services and Private Network Connection to Azure (ExpressRoute) - \$150,000

Problem Statement. To keep pace with technology industry standards for efficiency and security, resources are required to support the movement of technology to the cloud, the efficient implementation of technology projects, and enhanced security services. The Courts rely on technology for our operations and public access and must 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, the Court of Appeals’ C-Track case management system was migrated to Azure (Platform-as-a-Service) and the Superior Court case management system will be cloud-based. Recently, the Courts migrated the email system to Microsoft Office 365. Cloud computing costs are based on resource utilization and are essential to provide efficient access to case management data, as well as other court technology platforms that will be migrating to the cloud in the future. To strengthen network performance and security, the Courts

must establish a secure private network connection to Microsoft Azure. This private network is called Azure ExpressRoute.

Relationship to Court Mission and Goals. The implementation of Microsoft Cloud Services and Private Network Connection to Azure supports the Courts' Strategic Goal IV of Resilient and Responsive Technology by delivering enhanced technology capabilities that the public will be able to access online and providing mission-critical technology systems in an emergency or disaster.

Relationship to Divisional Objectives. Microsoft Cloud Services and Private Network Connection to Azure implementation supports the Information Technology Division's Strategic Goal #2: Best in Class Technology Platform.

Relationship to Existing Funding. Funding for the private network connection is not available in the Courts' budget.

Methodology. The IT Division will follow Microsoft best practices, the IT Division Disaster Recovery Plan, and the Courts' Information Security Directives.

Expenditure Plan. Microsoft Cloud Services is a subscription-based service that charges based on utilization, and ExpressRoute charges are based on a pre-determined rate.

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

- Improved user satisfaction. Users will have access to case records and data whenever needed.
- System availability. Continual access to the Courts' information systems.
- Improved security and compliance. Access to court resources over a private and secure network, and a cloud platform built upon the foundational principles of security, privacy and control, compliance, and transparency.
- Business Value Delivered. Cost savings

IT Security Compliance Officer, 1 FTE (JS-13), \$136,000

Problem Statement. In 2019, the Courts hired the consulting firm, RSM, to assess the Courts' information technology infrastructure's security posture against the Federal Information Systems Management Act (FISMA) and Payment Industry Card (PCI) standards. The findings revealed that compliance gaps exist, and mitigation strategies are needed to achieve FISMA and PCI compliance. The independent compliance assessment highlighted the need for a dedicated individual to work strictly on security information event management and security compliance. An IT Security Compliance Officer is essential to implement safeguards to prevent and mitigate security risks, strengthen internal controls, and ensure that FISMA and PCI compliance goals are achieved.

As the Courts move towards becoming a Federal Information Security Modernization Act (FISMA) compliant entity and obtaining an Authorization to Operate (ATO), we must enhance our information security program. We must demonstrate the existence of an information security

program with appropriate cybersecurity controls, policies and procedures, cybersecurity governance, and ongoing risk and security assessments. As the Courts implement more and more cloud-based solutions, the need for an IT Security Compliance Officer is vital. The Security Compliance Officer must review the Federal Risk and Authorization Management Program (FedRAMP) packages and prepare an ATO for each cloud-based system. Compounding the need for a Security Compliance Officer is the expansion of payment options for the public, both at the courthouse and over the Internet, to allow credit card usage more broadly. As part of this expansion, the Courts must comply with Payment Card Industry information security requirements. The compliance requirements include the preparation of a certification and accreditation package to obtain an Authorization to Operate.

Relationship to Court Mission and Goals. The hiring of an IT Security Compliance Officer will support the Courts' Strategic Goal IV of Resilient and Responsive Technology by implementing safeguards to prevent and mitigate security risks from threats and strengthen internal controls

Relationship to Divisional Objectives. A core function of the Courts' IT Division is to ensure that the Courts' security posture is strong by following federal and local security laws and regulations, and industry best practices to maintain the availability, confidentiality, and integrity of court information against all threats. Hiring the IT Security Compliance Officer will allow the IT Division to meet the following strategic objectives:

- Enhanced Information Security
- Access to Information
- Customer Satisfaction

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

Methodology. The recent compliance assessment highlighted the need for a dedicated individual to work strictly on audit IT security controls, PCI compliance, security information event management, and security compliance.

Expenditure Plan. Funds will be used to hire one JS-13 employee in accordance with the Courts' Personnel Policies.

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

****Applications Programmer, 1 FTE - \$136,0000
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

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

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 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.

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.

Multimedia Specialists, 2 FTEs (JS-11) - \$190,000

Problem Statement. To promote efficient and effective courtroom operations, the D.C. Courts have expanded the use of technology in the courtrooms. Technology-based evidence displays, annotation monitors, witness and juror monitors, evidence cameras, and videoconferencing equipment are technologies that are being installed in new and renovated courtrooms. The D.C. Courts currently have approximately 100 courtrooms and hearing rooms. The current staffing level is inadequate to fulfill the numerous technology requests in a timely manner. To meet the technology demands of the courtrooms and support remote court operations, additional media specialists are required.

Relationship to Court Mission and Goals: The Multimedia Specialists will support the Courts' Strategic Goal I: Access to Justice for All and Strategic Goal II: Fair and Timely Case Resolution.

Relationship to Divisional Objectives. The Multimedia Specialists will support the IT Division's Strategic Goal 5: Innovative Business Processes and Case Management

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

Expenditure Plan. Funds will be allocated to hire two employees 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 courtroom technology services.

Table 1
INFORMATION TECHNOLOGY DIVISION
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Costs
IT Security Compliance Officer	JS-13	1	108,000	28,000	136,000
IT Specialist-Applications Programmer	JS-13	1	108,000	28,000	136,000
Multimedia Specialists	JS-11	2	150,000	40,000	190,000
Total		4	366,000	96,000	462,000

Table 2
INFORMATION TECHNOLOGY DIVISION
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted ¹⁵	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	6,834,000	7,744,000	8,356,000	612,000
12 - Personnel Benefits	1,914,000	2,156,000	2,319,000	163,000
Subtotal Personal Services	8,748,000	9,900,000	10,675,000	775,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	424,000	424,000	434,000	10,000
24 - Printing & Reproduction	27,000	27,000	28,000	1,000
25 - Other Services	2,852,000	2,852,000	3,068,000	216,000
26 - Supplies & Materials	169,000	169,000	173,000	4,000
31 - Equipment	408,000	408,000	417,000	9,000
Subtotal Nonpersonal Services	3,880,000	3,880,000	4,120,000	240,000
TOTAL	12,628,000	13,780,000	14,795,000	1,015,000
FTE	70	74	78	4

¹⁵ Reflects the planned FY 2021 transfer of \$640,000 and 5 FTEs from the Court of Appeals to the Court System administratively to consolidate information technology functions.

Table 3
INFORMATION TECHNOLOGY DIVISION
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 - Personnel Compensation	Current Position WIG	74	67,000	
	Current Position COLA	74	179,000	
	Multimedia Specialists	2	150,000	
	IT Security Compliance Officer	1	108,000	
	IT Specialist-Applications Programmer	1	108,000	
<i>Subtotal 11</i>				<i>612,000</i>
12 - Personnel Benefits	Current Position WIG	74	17,000	
	Current Position COLA	74	50,000	
	Multimedia Specialists	2	40,000	
	IT Security Compliance Officer	1	28,000	
	IT Specialist-Applications Programmer	1	28,000	
<i>Subtotal 12</i>				<i>163,000</i>
<i>Subtotal Personnel Services</i>				<i>775,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Comm. & Utilities	Built-in Increases			10,000
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Service	Built-in Increases			216,000
26 - Supplies & Materials	Built-in Increases			4,000
31 - Equipment	Built-in Increases			9,000
<i>Subtotal Non-personnel Services</i>				<i>240,000</i>
Total		78		1,015,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-6			
JS-7			
JS-8	7	7	7
JS-9	3	2	2
JS-10	3	4	4
JS-11	5	8	10
JS-12	3	3	3
JS-13	37	35	37
JS-14	9	12	12
JS-15			
CEMS	2	2	2
CES	1	1	1
Total Salary	6,834,000	7,744,000	8,356,000
Total FTEs	70	74	78

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

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	825,000	6	985,000	1	160,000

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, regulations, 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 2022 Request

In FY 2022, the Courts' request \$985,000 for the General Counsel Division, an increase of \$160,000 (19%) above the FY 2021 Enacted Budget. The requested increase includes \$136,000 for 1 FTE to enhance compliance with legal requirements, and \$24,000 for built-in cost increases.

Enhancing Compliance with Legal Requirements, 1 FTE, \$136,000 ***Assistant General Counsel (JS-13/14/15)***

Introduction Statement. To effectively and timely respond to current and upcoming initiatives of the D.C. Courts and legal inquiries from D.C. Courts' leadership and management and to ensure compliance with statutes, regulations, and court rules, an additional attorney for the Office of the General Counsel is required. As the D.C. Courts continues to advance its technological capabilities, the Office of General Counsel seeks an attorney with expertise in drafting and negotiating technology and software contracts and software as a service (SAAS) agreements.

Problem Statement. 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 to judges and court management, staffing committees responsible for rulemaking and policy interpretation. Goal IV of the D.C. Courts' Strategic Plan, requires the D.C. Courts to "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." As a result, the Office of the General Counsel has seen an increase in the procurement and negotiation of complex technology and software contracts and SAAS agreements. Having an attorney with expertise in these areas, especially as it relates to the procurement of such technology and services by government entities, would improve and enhance the efficiency of the Office of General Counsel operations and ensure that the D.C. Courts is well-positioned to achieve its goal of providing resilient and responsive technology. This position would also be used to develop and maintain a separate set of general contract provisions to be used in the acquisition of technology and technology-based solutions.

In addition to handling technology-related legal matters, this attorney would be responsible for handling a variety of issues, including responding to requests for legal review, advice, and recommendations from judicial officers and management officials on matters relating to court

administration, appropriations, judicial procedures, procurement, and personnel rights and benefits.

An additional attorney is critically needed to ensure the Office of the General Counsel's ability to fulfill the mission and objectives of the Office and to better serve the needs of the D.C. Courts. Many of the D.C. Courts' current and upcoming initiatives involve complex technology-related legal matters that can often take a significant amount of time. These initiatives have also increased the committee work required by the Office. With a limited number of attorneys available, it has become increasingly difficult for the Office to keep up with the demand for legal work from the D.C. Courts' leadership and the various divisions of the D.C. Courts. Delays in completing these tasks adversely impact the ability of the divisions to function efficiently and achieve many of the goals set forth in the Strategic Plan, including Goal I: Access to Justice for All, Goal II: Fair and Timely Case Resolution, Goal IV: Resilient and Responsive Technology, and Goal V: Effective Court Management and Administration.

Relationship to the D.C. Courts' Vision, Mission and Goals. The requested position directly supports the D.C. Courts' Strategic Plan Goal V: Effective Court Management and Administration.

Relationship to Divisional Objectives. This request supports the following divisional objectives: (1) the provision of timely and accurate legal advice, analysis and, drafting of memoranda of law, pending or proposed legislation, memoranda of understanding, policies, technology and software contracts, and SAAS agreements; (2) the provision of legal and administrative support for committees and working groups supporting key court initiatives, including those impacting access to justice and access to information such as language access, online case search systems, the Superior Court's transition to a new case management system, and other emerging technologies; and (3) the provision of responsive legal advice and assistance to court managers and employees in cases where such personnel are subpoenaed to testify or provide documentation as to court-related matters.

Relationship to Existing Funding. Funding is not available to support this position.

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

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

Key Performance Indicators. A new attorney position would provide the Office of General Counsel with much needed expertise in technology-related legal matters and reduce the time required to provide accurate oral and written legal advice to D.C. Courts' leadership, management, committees, and working groups, advancing the overall efficiency of court operations.

Table 2
OFFICE OF THE GENERAL COUNSEL
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Costs
Assistant General Counsel	13/14/15	1	108,000	28,000	136,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	605,000	631,000	758,000	127,000
12 - Personnel Benefits	171,000	178,000	211,000	33,000
<i>Subtotal Personnel Services</i>	<i>776,000</i>	<i>809,000</i>	<i>969,000</i>	<i>160,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	10,000	10,000	10,000	0
31 - Equipment	6,000	6,000	6,000	0
<i>Subtotal Non-Personnel Services</i>	<i>16,000</i>	<i>16,000</i>	<i>16,000</i>	<i>0</i>
TOTAL	792,000	825,000	985,000	160,000
FTE	5	5	6	1

Table 3
OFFICE OF THE GENERAL COUNSEL
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 - Personnel Compensation	Current Position WIG	5	4,000	
11 - Personnel Compensation	Current Position COLA	5	15,000	
	Assistant General Counsel	1	108,000	
<i>Subtotal 11</i>				<i>127,000</i>
12 - Personnel Benefits	Current Position WIG	5	1,000	
	Current Position COLA	5	4,000	
	Assistant General Counsel	1	28,000	
<i>Subtotal 12</i>				<i>33,000</i>
<i>Subtotal Personnel Services</i>				<i>160,000</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>				<i>0</i>
Total		6		160,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 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
JS-14	1	1	1
JS-15	2	2	2
CEMS			
CES	1	1	1
Total Salary	605,000	631,000	758,000
Total FTEs	5	5	6

DISTRICT OF COLUMBIA COURT SYSTEM STRATEGIC MANAGEMENT DIVISION

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/2022</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	1,628,000	10	1,674,000	0	46,000

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 data 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:

- Launched project activities under the Data Governance Program to adopt a maturity model to provide a framework around which data governance can be assessed and progress measured, to develop an open data policy communications plan, and to conduct an inventory of datasets with detailed metadata information.
- Collaborated with divisions to compile data and report on the key results from the 2018-2022 Strategic Plan;
- Participated in and/or co-facilitated workshops to launch implementation efforts for the new case management system.
- Collaborated with staff of the Navigator Program to develop a program binder and training course for volunteers.
- Developed a Learning Agenda, Evaluation Plan and Capacity Assessment in response to OMB's Evidence-Based Policymaking Act.
- Presented and disseminated Federal Employee Viewpoint Survey results that assess employee satisfaction with the work environment;
- Completed 1st phase of a multi-phase mental health community court program evaluation.
- Collaborated with the Capital Projects and Facilities Management Division to identify and renovate interim space for the 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;
- 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 2022 Request

In FY 2022, D.C. Courts' request for the Strategic Management Division is \$1,674,000, an increase of \$46,000 (3%) above the FY 2021 Enacted Budget. The request increase consists entirely of built-in cost increases.

Table 1
STRATEGIC MANAGEMENT DIVISION
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	1,186,000	1,237,000	1,272,000	35,000
12 - Personnel Benefits	332,000	346,000	356,000	10,000
<i>Subtotal Personnel Services</i>	<i>1,518,000</i>	<i>1,583,000</i>	<i>1,628,000</i>	<i>45,000</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	1,628,000	1,674,000	46,000
FTE	10	10	10	0

Table 2
STRATEGIC MANAGEMENT DIVISION
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 - Personnel Compensation	Current Position WIG	10	6,000	
	Current Position COLA	10	29,000	
<i>Subtotal 11</i>				<i>35,000</i>
12 - Personnel Benefits	Current Position WIG	10	2,000	
	Current Position COLA	10	8,000	
<i>Subtotal 12</i>				<i>10,000</i>
<i>Subtotal Personnel Services</i>				<i>45,000</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		10		46,000

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

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	1	1	1
JS-8			
JS-9			
JS-10	1	1	1
JS-11			
JS-12		1	1
JS-13	3	2	2
JS-14	3	3	3
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	1,186,000	1,237,000	1,272,000
Total FTEs	10	10	10

**DISTRICT OF COLUMBIA COURT SYSTEM
MANAGEMENT ACCOUNT**

<u>FY 2020 Enacted</u>		<u>FY 2021 Enacted</u>		<u>FY 2022 Request</u>		<u>Difference FY 2021/FY 2022</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	27,919,000	0	28,591,000	0	672,000

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 2022 Request

In FY 2022, the Courts’ request \$28,591,000 for the Management Account an increase of \$672,000 (2%) above the FY 2021 Enacted Budget. The request increase consists entirely of built-in cost increases.

Table 1
MANAGEMENT ACCOUNT
Budget Authority by Object Class

	FY 2020 Enacted	FY 2021 Enacted	FY 2022 Request	Difference FY 2021/2022
11 - Personnel Compensation	241,000	251,000	275,000	24,000
12 - Personnel Benefits	256,000	267,000	278,000	11,000
<i>Subtotal Personnel Services</i>	<i>497,000</i>	<i>518,000</i>	<i>553,000</i>	<i>35,000</i>
21 - Travel, Transp. of Persons	121,000	121,000	124,000	3,000
22 - Transportation of Things	6,000	6,000	6,000	0
23 - Rent, Comm. & Utilities	8,675,000	8,675,000	8,876,000	201,000
24 - Printing & Reproduction				
25 - Other Services	12,865,000	14,535,000	14,874,000	339,000
26 - Supplies & Materials	293,000	293,000	300,000	7,000
31 - Equipment	3,971,000	3,771,000	3,858,000	87,000
<i>Subtotal Non-personnel Services</i>	<i>25,931,000</i>	<i>27,401,000</i>	<i>28,038,000</i>	<i>637,000</i>
TOTAL	26,428,000	27,919,000	28,591,000	672,000
FTE	0	0	0	0

Table 2
MANAGEMENT ACCOUNT
Detail, Difference FY 2021/2022

Object Class	Description of Request	FTE	Cost	Difference FY 2021/2022
11 - Personnel Compensation	Built in increase		24,000	
12 - Personnel Benefits	Built in increase		11,000	
<i>Subtotal Personnel Services</i>				<i>35,000</i>
21 - Travel and Transportation	Built in increase		3,000	
22 - Transportation of Things				
23 - Rent, Comm. & Utilities	Built in increase		201,000	
24 - Printing & Reproduction				
25 - Other Services	Built in increase		339,000	
26 - Supplies and Materials	Built in increase		7,000	
31 – Equipment	Built in increase		87,000	
<i>Subtotal Non-Personnel Services</i>				<i>637,000</i>
TOTAL				672,000

**District of Columbia Courts
FY 2022 Budget Justification
New Positions Requested by Grade**

Position	Division	Grade	Number	Annual Salary	Benefits	Total Personnel Cost
COURT OF APPEALS						
Administrative Assistant		JS-9/10	1	63,000	16,000	79,000
<i>Court of Appeals Subtotal</i>			<i>1</i>	<i>63,000</i>	<i>16,000</i>	<i>79,000</i>
SUPERIOR COURT						
Magistrate Judge		JS-15	2	372,000	97,000	469,000
Attorney Negotiator	Domestic Violence Division	JS-13	1	108,000	28,000	136,000
Program Analyst	Domestic Violence Division	JS-13	1	108,000	28,000	136,000
Accountant	Office of Auditor Master	JS-12	1	90,000	23,000	113,000
Case Manager	Multidoor Dispute Resolution Division	JS-10	2	137,000	36,000	173,000
<i>Superior Court Subtotal</i>			<i>7</i>	<i>815,000</i>	<i>212,000</i>	<i>1,027,000</i>

Position	Division	Grade	Number	Annual Salary	Benefits	Total Personnel Cost
COURT SYSTEM						
Deputy Director	Center for Education and Training	JS-15	1	150,000	39,000	189,000
Pro Bono Coordinator	Executive Office	JS-14	1	127,000	33,000	160,000
Assistant General Counsel	Office of General Counsel	JS-13/14/15	1	108,000	28,000	136,000
Audiovisual Production Specialist	Executive Office	JS-13	1	108,000	28,000	136,000
Project Manager	Capital Projects and Facilities Management Division	JS-13	1	108,000	28,000	136,000
Human Resources Specialist - Workforce Planning	Human Resources Division	JS-13	1	108,000	28,000	136,000
IT Security Compliance Officer	Information Technology Division	JS-13	1	108,000	28,000	136,000
Applications Programmer	Information Technology Division	JS-13	1	108,000	28,000	136,000
Multimedia Specialist	Executive Office	JS-11	1	75,000	20,000	95,000
Multimedia Specialist	Information Technology Division	JS-11	2	150,000	40,000	190,000
Administrative Assistant	Capital Projects and Facilities Management Division	JS-9/10	1	63,000	16,000	79,000
Court Navigator	Executive Office	JS-9	2	128,000	32,000	160,000
Facility Worker	Capital Projects and Facilities Management Division	JS-8/9	2	112,000	30,000	142,000
<i>Court System Subtotal</i>			16	1,453,000	378,000	1,831,000
D.C. COURTS TOTAL			24	815,000	212,000	1,027,000

DISTRICT OF COLUMBIA COURTS CAPITAL BUDGET

District of Columbia Courts Fiscal Year 2022 Budget Justification Summary <i>(dollars in millions)</i>	PY-1 and earlier ¹	PY 2020	CY 2021	Request BY 2022	BY+1 2023	BY+2 2024	2025 and beyond*	Total, unfunded amounts (sum 2022 - beyond)
Historic Recorder of Deeds Restoration	0.00	0.00	0.00	40.87	0.00	0.00	0.00	40.87
Courtrooms and Judges Chambers*	41.00	0.00	2.34	27.69	19.04	15.10	205.17	267.00
<i>Modernizing courtroom sets for ADA accessibility</i>	0.00	0.00	0.00	21.41	14.11	11.74	12.70	59.96
<i>Modernizing Judges' Chambers</i>	0.00	0.00	0.00	5.47	0.00	0.00	0.00	5.47
<i>Refreshing Courtrooms & Chambers for Continuity of Operations</i>	0.00	0.00	0.00	0.81	4.93	3.36	6.23	15.33
Campus Security, Signage & Lighting	9.15	0.00	0.00	11.32	0.00	0.00	0.00	11.32
<i>Securing the Northeast Block of Campus</i>	0.00	0.00	0.00	5.96	0.00	0.00	0.00	5.96
<i>Securing the Northwest Block of Campus</i>	0.00	0.00	0.00	5.36	0.00	0.00	0.00	5.36
Life Safety and Code Compliance Upgrades	0.00	8.25	0.00	3.28	0.00	0.00	0.00	3.28
Subtotal	50.15	19.50	21.39	83.16	19.04	15.10	205.17	322.47
Maintain Existing Infrastructure								
HVAC, Electrical and Plumbing Upgrades	9.23	0.00	4.25	9.26	8.31	4.55	2.77	24.89
Fire and Security Alarm Systems	0.00	0.00	2.18	2.07	4.81	4.83	1.07	12.78
General Repair Projects	18.87	12.75	12.75	18.25	17.82	17.62	1.80	55.49
Elevator and Escalator Repairs and Replacement	0.25	0.00	0.25	0.29	0.30	0.31	1.14	2.04
Restroom Improvements	0.00	0.00	0.25	0.29	0.30	0.31	0.67	1.57
Technology Infrastructure	4.43	2.00	2.00	5.00	5.20	5.41	5.62	21.23
Restoration of the Historic Courthouse	4.90	0.00	1.00	1.91	1.99	2.07	4.39	10.36
Subtotal	37.68	14.75	22.68	37.07	38.73	35.10	17.46	128.36
Projects not Requiring Funding in Fiscal Year 2022								
Migration from Gallery Place	0.00	11.25	19.05	0.00	0.00	0.00	0.00	0.00
Total	87.83	34.25	44.07	120.23	57.77	50.20	222.63	450.83

Introduction: D.C. Courts Fiscal Year 2022 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, employing approximately 1,400 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 200 and 400 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 2022 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 2022 Capital Budget request are included for six 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 aging security equipment 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 2022 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 2022 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 (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 1.5 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. In addition, the Courts have finalized 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 increases the amount of space maintained by D.C. Courts by approximately 44,600 GSF.

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 (Master Plan) and D.C. Courts Facilities Master Plan (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 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 judges' 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 by NCPC 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 NCPC, 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 them 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 2019 and projection of the D.C. Courts' space needs 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 space need without dependency on high-cost leased space. As such, the D.C. Courts are requesting funds in FY 2022 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 re-baselining the Facilities Condition Assessment Report conducted in 2013 to update the requirements for detailed facility needs over the next 5 years and service life requirements over the next 10 years.

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 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 continued to protect the taxpayer's investment by proactively monitoring the impact of construction activities in the surrounding area and acting 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 have 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. Per 2019 Facilities Master Plan projections, even after the addition is completed and occupied, the Courts will be at capacity in government-owned buildings on the Judiciary Square campus by 2025.

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 began in 2019. The remaining courtrooms and judges' chambers are planned to be renovated as part of a systematic campus-wide courtroom 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 are working to renovate a small space in Building A and two floors in Building B to terminate the Gallery Place lease and return the support divisions housed there to the Judiciary Square campus government-owned portfolio, following completion of the Moultrie Courthouse Addition.

The D.C. Courts' Strategic Plan

The capital projects included in the FY 2022 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 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.

In 2019, the Courts finalized an agreement with the District for exclusive use of the historic *Recorder of Deeds* (ROD) building 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 restore government-owned space in the Recorder of Deeds Building to the cost to lease a comparable size of office-purposed space on or near Judiciary Square, to meet its projected space needs. The resulting “leased versus owned” investment analysis, indicates that the Courts would

realize a cost savings of approximately \$82 million over a 30-year period, should the Recorder of Deeds Building be restored and utilized, in lieu of leasing space (see details in 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 2022

The FY 2022 Capital Budget will be essential to continuing the effort to meet the Courts' long-term space needs and house all Courts personnel in government-owned buildings on the Judiciary Square campus.

Exhibit 300: Capital Asset Plan and Business Case Summary

The FY 2022 Capital Budget Request is 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 2022 Capital Budget Request totals \$120.23 million, including \$83.16 million to renovate, improve and expand the D.C. Courts' facilities and grounds, and \$37.07 million to maintain the D.C. Courts' existing facilities and surrounding public space.

Renovations, Improvements & Expansions

Recorder of Deeds Renovation

The FY 2022 Capital Budget request includes a total of \$40.87 million to stabilize and restore the historic Recorder of Deeds building to meet space requirements. The building, which contains culturally significant murals, has deteriorated considerably since it was vacated by the District Government in 2008.

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

1. The D.C. Courts' anticipated space need will be fulfilled through 2030 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, but it will also 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.

Accommodating the D.C. Courts' Anticipated Growth Through 2030

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 (an urban design plan for the area) and the Facilities Master Plan to date, and to look forward 10 years to determine the D.C. Courts' facility needs through 2030. As part of the master planning effort, the team assessed 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, through 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 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 and, therefore are expected to grow as the DC population grows.

The anticipated space need through 2030 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. The rate of growth applied is 13.9% based on 2019 Census Bureau average projected growth from 2020 to 2030. This percentage is applied to D.C. Courts' divisions with significant public service functions.
- Technology improvements will offset growth in general administrative areas. For example, filing requirements are decreasing with e-filing procedures and an ongoing program to scan existing hard copy files.
- 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 Courts' formal telework policy will not reduce the anticipated space need through 2030. It allows work off-premises, however, personnel working off premises retain their assigned workspace within court buildings. To impact long-term space needs, the Courts would need to adopt new space-use policies such as shared workstations, unassigned workstations, small touchdown workstations for teleworkers, or full-time telework options for certain groups.

Providing “Greater Access to Justice for All”

As detailed above, one assumption that underlies the D.C. Courts' space needs through 2030 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 contribute to an 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, would provide the additional space required not only to fulfill the anticipated space requirement, but also to meet the intent of the Strategic Plan Goal I:

“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 12 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 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 our 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 Courts must systematically modernize courtrooms, courtroom support space, and judges' chambers campus wide. The renovation of approximately 70 courtrooms (including their supporting spaces), hearing rooms, and approximately 70 judges' chambers will be phased over 15 to 20 years. Near-term priorities include the following initiatives:

1) Modernizing Courtroom Sets for ADA Accessibility

Most of the courtrooms in the H. Carl Moultrie I Courthouse have not been significantly altered since the building was constructed in the 1970's and the same is true for courtrooms in other court buildings on Judiciary Square campus. The Courts have modified some courtrooms over the years to provide limited accessibility (such as wheelchair lifts for judges); however, most courtrooms are not ADA compliant. In addition, most of the Courts' portfolio of existing courtrooms lack complete fire protection systems, building systems, and technology to efficiently support contemporary courtroom practices. This targeted initiative is to ensure that all types of court cases have a fully ADA compliant venue on the Judiciary Square campus. It is, therefore, focused on the modernization of courtroom sets that are in poor condition and that the DC Courts are targeting to make ADA accessible; priority for modernization will be given to courtroom sets that are not currently ADA compliant. Modernizations will include much-needed fire and life safety, security, electrical, and HVAC upgrades; new finishes; and technology upgrades to accommodate case processing and evidence presentation equipment that was barely imaginable when these courtrooms were constructed. The result will be fully modernized, ADA accessible courtrooms with improved layouts and systems for maximum operational efficiency. This initiative will continue until the Courts' goal for provision of ADA accessible courtrooms is met.

The FY 2022 request for \$21.41 million supports the Courts' two top priorities: 1) the provision of ADA accessible courtrooms and courtroom support space, and 2) the accommodation of all court personnel in government-owned buildings to eliminate dependency on high-cost lease space. The funds requested in FY 2022 will address the following within Building B:

- Modernization of the existing Landlord Tenant and Small Claims Courtroom sets;
- Reconfiguration and modernization of existing space housing Landlord Tenant and Small Claims personnel supporting courtroom functions;
- Re-stacking, reconfiguration and modernization of space required to accommodate personnel growth within divisions who need to remain in the building for operational efficiency, require adjacency to courtrooms, and cannot be accommodated elsewhere;

- The renovation of all swing space necessary for uninterrupted court operations during the construction phase of the efforts detailed above.

The Courts prioritize the Landlord Tenant and Small Claims Courtroom sets in FY 2022 because they are high-traffic courtrooms that have experienced increased caseloads (and therefore increased space needs) in recent years. To meet those space needs they have expanded into space planned for other court functions. To ensure these courtrooms have permanent assigned space and that they operate efficiently as ADA accessible venues, complete reconfiguration and modernization of space is essential and time-sensitive.

2) Modernizing Judges Chambers

Like courtrooms, there are many judges' chambers in the Courts' Judiciary Square campus buildings that have been refreshed over the years, however, many judges' chambers still lack complete fire protection systems and have egress issues, posing a life safety threat to the personnel who work in them. Like the courtrooms, these chambers are not ADA compliant, they lack mechanical and electrical infrastructure to support modern equipment, and they have outdated finishes, fixtures and furniture. In short, they require modernization to support contemporary operations and ensure the life safety of court personnel. This initiative will continue until all chambers have complete fire protection systems and comply with ADA requirements.

The FY 2022 request for \$5.47 million includes the modernization of judges' chambers on the north and northeast perimeter of the 3rd floor of the H. Carl Moultrie I Courthouse, including adjacent support space and access pathways.

3) Refreshing Courtrooms & Chambers for Continuity of Operations

Considering that so many courtrooms and judges' chambers in the Courts' portfolio are in poor condition and that modernization of all of them will take up to twenty years, the Courts must make minor upgrades to, or "refresh," some courtrooms and chambers in the short term. This initiative targets courtrooms and chambers that are in poor condition (resulting in complaints to the facilities maintenance team) and are not planned for modernization for at least 3-5 years.

The FY 2022 request for \$810,000 includes the refresh of 10 courtrooms and 10 chambers. The Courts will identify the exact courtrooms and chambers to be refreshed and will schedule refreshes to align with other budget initiatives and master plan priorities to ensure cost and construction efficiencies.

Campus Security, Signage and Lighting

The Courts request \$11.32 million to complete security enhancements to the Courts' Judiciary Square campus as detailed in the Judiciary Square Master Plan and the Open Space and Perimeter Security Design. This project will provide a secure perimeter around court buildings and increase pedestrian safety. The Courts have prioritized portions of the total requirement and identified the following FY 2022 initiatives:

1) Securing the Northeast Block of Campus

This initiative will secure the perimeter of the northeast block of the Courts' campus at Judiciary Square, implementing the Open Space and Perimeter Security Design, approved by the National

Capital Planning Commission (NCPC). The FY 2022 request for \$5.96 million includes the renewal of existing parking access and control measures and the addition of physical vehicle barriers (heightened curbs, fence walls, tree fences and tall trees, bollards, and hardened benches) to create a continuous security perimeter around the block on which Building B sits. It also includes the addition of site lighting and security surveillance cameras for increased safety of pedestrians and court personnel. The exterior work to secure the block is scheduled to begin as work on the interior of Building B nears completion.

2) Securing the Northwest Block of Campus

This initiative will secure the perimeter of the northwest block of the Courts' campus at Judiciary Square to implement the Open Space and Perimeter Security Design, approved by NCPC. The FY 2022 request for \$5.36 million includes the replacement of aged parking access and control devices and the addition of physical vehicle barriers (heightened curbs, fence walls, tree fences and tall trees, bollards, and hardened benches) to create a continuous security perimeter around the block on which Building A sits. It also includes the addition of site lighting and security surveillance cameras for increased pedestrian and court personnel safety. The funding request is aligned with the *Securing the Northeast Block of Campus* initiative to complete both as one project, thereby achieving construction mobilization efficiencies and cost savings.

Life Safety and Code Compliance Upgrades

The Courts request \$3.28 million in FY 2022 to complete projects in locations where life safety and code compliance issues have intensified due to increased personnel counts without expansion or reconfiguration of space to accommodate those personnel. The funds requested will be used to provide safe accommodation of two offices—the Crime Victims Compensation Program and the Landlord Tenant Resource Center.

1) Crime Victims Compensation Program Upgrades

The number of staff in the Crime Victims Compensation Program has increased since building upgrades were made over 13 years ago, in 2007. As a result, the suite they occupy on the first floor of Building A is over-populated, creating egress and other building code compliance issues. In addition, the suite lacks a complete fire protection system, posing a life safety threat; is not ADA compliant; lacks essential physical security controls to protect court personnel and visitors as well as the sensitive personal data of crime victims that is stored in the suite; lacks energy efficient lighting; and does not meet D.C. Courts Design Standards. The funds requested include not only the renovation and expansion of the existing suite, but also the cost of all relocations and swing space accommodations required for continued operations during construction.

2) Landlord Tenant Resource Center Relocation

The Center has expanded onto the 2nd floor of Building B and currently occupies space that has long been planned for court personnel migrating from Gallery Place. To accommodate the court personnel on the 2nd floor as originally planned, the Center must be relocated. The Courts have identified space on the lower level of Building B to accommodate the Center and consolidate the Center adjacent to free services provided by the DC Bar. To relocate the Center to the lower level, essential life safety, code, and ADA accessibility issues need to be addressed. For example 1) life safety systems must be completed in all space to be occupied, 2) ADA accessible

restrooms must be created for public use, and 3) an accessible pathway must be created from other floors of Building B to the lower level.

Maintain Existing Infrastructure

The FY 2022 Capital Budget request also includes \$37.07 million to address required 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, to preserve the integrity of these historic structures, and to protect taxpayer investment in building restorations.

The D.C. Courts' request \$9.26 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 throughout the campus as components reach the end of their useful life.

Regarding court security, the Courts' 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 existing video management system was installed in 2004 and, at 18 years old, has aged beyond its useful life. In the event of a system malfunction, neither tech support nor replacement parts will be available, rendering the system inoperable. The system is analog-based, much of the marketplace has ceased production of analog components, and the remaining vendors plan to do so within the next two to six years. All technology support for analog-based systems will end after 2022. The unavailability of parts has already begun to affect the repair of the existing systems. The \$2.07 million requested for Fire and Security Alarm Systems will fund the beginning of a multi-year effort to replace the existing analog video management system with a contemporary Internet Protocol (IP) system campus-wide. This replacement is critical for the Courts to avoid a system-wide failure, as a functional video management system allowing for continuous video monitoring of public as well as secure courthouse space is central to ensuring that the Courts provide a safe and secure environment for the administration of justice.

The \$18.25 million in the request for General Repair Projects will permit the Courts to continue, in all five Judiciary Square campus buildings, (1) accessibility and safety improvements; (2) replacement of fixtures, lighting, flooring, and ceiling tiles; and (3) replacement of equipment, as required due to aging and failure. General repair projects will be prioritized as the Facilities Condition Assessment Report is updated, identifying what repairs are most urgent to ensure life safety in court facilities. To keep elevators and escalators in good working order in all five Judiciary Square campus buildings, \$290,000 is requested. An additional \$290,000 is requested for Restroom Improvements to maintain public restrooms in the Judiciary Square campus buildings.

In the area of technology, the D.C. Courts request \$5 million to provide resilient and responsive technology that will support the highest level of service to the public. The technology request will focus on four major areas. First, a case management system is required for the D.C. Court

of Appeals to replace a system that will be 11 years old in 2022 and lacks capabilities and efficiency enhancements found in up-to-date systems. Although the Court has put in place manual processes to accomplish its work, maximizing efficiency is crucial to timely service to the public, particularly in light of chronic judicial vacancies and the lack of an intermediate appellate court. For example, internal voting by panels of judges on cases and related motions cannot be conducted within the existing system, which hampers efficient case processing. In addition, the system's reporting capacity limits the data available for administrative decision-making. Second, expanded mobile applications will provide court participants greater access to information and data, thereby increasing access to justice, and facilitate court personnel's ability to utilize computer applications remotely. The third focus area is enhancing technology capabilities to promote operational effectiveness by seeking innovative technology solutions, specifically cloud computing, workspace virtualization, and network infrastructure enhancements. Finally, information technologies must protect court information and assets from cyber threats and internal and external risks. Implementation of these technologies will ensure compliance with federal requirements and internal standards, protect against attacks on information technology assets, ensure continuous uninterrupted service of information systems, and allow for high availability of critical court applications in the event of an emergency.

Finally, \$1.91 million is requested for maintenance of the Historic Courthouse, to protect the public investment in the building that was renovated 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 2020
2. Agency: District of Columbia Courts
3. Bureau: N/A
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 2022?
(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? 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 benefit of restoring the Recorder of Deeds building for the D.C. Courts' use is three-fold:

1. The D.C. Courts' anticipated space need will be fulfilled through 2030 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.

The FY 2022 Capital Budget request includes a total of \$40.87 million to stabilize and restore the historic Recorder of Deeds building.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. N/A

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 2020	CY 2021	BY 2022	BY+1 2023	BY+2 2024	BY+3 2025 and beyond	Total unfunded (sum 2022 –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	40.87	0.00	0.00	0.00	40.87
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	40.87	0.00	0.00	0.00	40.87
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	40.87	0.00	0.00	0.00	40.87
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 2021 President's Budget request, briefly explain those changes: In 2021 \$10.94M was requested to stabilize the building, as it is vacant and in a state of deterioration.

Section C: Acquisition/Contract Strategy (All Capital Assets)

Field	Contract 1
Short description of acquisition	2022 Stabilization & Restoration of the building
Contract Status	TBD
Procurement Instrument Identifier (PIID)	N/A
Indefinite Delivery Vehicle (IDV) Reference ID	N/A
Solicitation ID	TBD
Alternative financing	N/A
EVM Required	Not Required
Ultimate Contract Value	Estimate \$40.87M
Type of Contract/Task Order (Pricing)	Design-Build
Is this contract a Performance Based Service Acquisition (PBSA)?	No
Effective Date	Quarter 2 FY 2022
Actual or expected end date of Contract/Task Order	Quarter 3 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: 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 2025 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 2020
2. Agency: District of Columbia Courts
3. Bureau: N/A
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 2022?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 should not select O&M)

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

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:

This line in the D.C. Courts' capital request includes the Courts' requirement to implement a systematic modernization of courtrooms, courtroom support space, and judges' chambers campus-wide. The renovation of approximately 70 courtrooms (to include their supporting functions), hearing rooms, and approximately 70 judges' chambers constitute the requirement that spans over the next 15-20 years. Portions of this total requirement have been prioritized and packaged into the following FY 2022 targeted initiatives:

Modernizing Courtroom Sets for ADA Accessibility

The Courts prioritizes the Landlord & Tenant and Small Claims & Conciliation courtrooms in FY 2022 because they are high-traffic courtrooms that have experienced increased caseloads (and therefore increased space needs) in recent years. To meet those space needs they have expanded into space programmed for other court personnel. The FY 2022 request for \$21.41M will address the following within the 510 4th NW building footprint to ensure the Landlord & Tenant and Small Claims & Conciliation courtrooms have permanent assigned space and that they operate efficiently as ADA accessible venues:

- The modernization of the existing Landlord & Tenant and Small Claims & Conciliation courtrooms
- The reconfiguration and modernization of existing space housing Landlord & Tenant and Small Claims & Conciliation courtroom personnel supporting courtroom functions
- The re-stacking, reconfiguration and modernization of space required to accommodate personnel growth within divisions who need to remain in the building for operational efficiency, require adjacency to courtrooms, and cannot be accommodated elsewhere.
- The renovation of all swing space necessary for uninterrupted court operations during the construction phase of the efforts detailed above

Modernizing Judges Chambers

The FY 2022 request for \$5.47M includes the modernization of judges' chambers on the north and northeast perimeter of the 3rd floor of the H. Carl Moultrie I Courthouse, to include adjacent support space and access pathways. These chambers are not ADA compliant; they lack mechanical and electrical infrastructure to support modern equipment, and they have outdated finishes, fixtures and furniture. In short, they require modernization to support contemporary operations and ensure the life safety of the personnel who inhabit them.

Refreshing Courtrooms & Chambers for Continuity of Operations

This initiative targets courtrooms and chambers that are in poor condition, resulting in complaints to the facilities maintenance team, and are not planned for modernization for at least three to five years. The FY 2022 request for \$810,000 includes the refresh of ten (10) courtrooms and ten (10) chambers. Exact courtrooms and chambers that will be refreshed will be determined and scheduled to align with other budget initiatives and master plan priorities to ensure cost and construction efficiencies.

- 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. N/A

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 2020	CY 2021	BY 2022	BY+1 2023	BY+2 2024	BY+3 2025 and beyond	Total unfunded (sum 2022 -beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	41.00	0.00	2.34	27.70	19.04	15.10	205.17	267.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00

Subtotal Planning & Acquisition (DME):	41.00	0.00	2.34	27.70	19.04	15.10	205.17	267.00
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	41.00	0.00	2.34	27.70	19.04	15.10	205.17	267.00
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 2021 President’s Budget request, briefly explain those changes:
Total scope of requirement has been prioritized and packaged into three (3) FY 2022 initiatives.

Section C: Acquisition/Contract Strategy (All Capital Assets)

Field	Contract 1		
Short description of acquisition	L&T and Small Claims Court Modernization	3 rd Floor Judges’ Chambers Modernization	Courtroom & Chamber Refresh
Contract Status	Pre-Solicitation	Pre-Solicitation	Pre-Solicitation
Procurement Instrument Identifier (PIID)	TBD	TBD	TBD
Indefinite Delivery Vehicle (IDV) Reference ID	N/A	N/A	N/A
Solicitation ID	TBD	TBD	TBD
Alternative financing	N/A	N/A	N/A
EVM Required	N/A	N/A	N/A
Ultimate Contract Value	\$21.41M	\$5.47M	\$0.9M
Type of Contract/Task Order (Pricing)	Design Build	Design Build	Design Build
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	No
Effective Date	Quarter 2	Quarter 2	Quarter 2

	FY 2022	FY 2022	FY 2022
Actual or expected end date of Contract/Task Order	Quarter 1 FY 2024	Quarter 1 FY 2024	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	A

1. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:
2. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:
 - b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1
 - c) Was the Acquisition Plan approved in accordance with agency requirements
 - d) If "yes," enter the date of approval?
 - e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?
 - f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?
 - g) If an Acquisition Plan has not been developed, provide a brief explanation.

Yes	No X
Yes	No
Yes	No
Yes	No
Yes	No
Yes	No

Section C: Performance Information

1. Performance Information Table

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
D.C. Courts Strategic Plan 2018-2022	Goal V: Effective Court Management and Administration	1. 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. 2. Public is underserved due to limitation of original design	1. Modernize courtrooms per the Facilities Master Plan. 2. Modernize chambers per Facilities Master Plan. 3. Add new ADA accessible courtrooms to the Courts' portfolio per Facilities Master Plan.	Traffic Court is being modernized w/FY 2019 dollars received. It will add one ADA accessible courtroom to Courts' portfolio.

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 2020
2. Agency: District of Columbia Courts
3. Bureau: N/A
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 2022?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 should not select O&M)

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

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

This budget line in the FY 2022 Capital Budget request includes the requirement to complete security enhancements to the Courts' Judiciary Square campus as detailed in the Judiciary Square Master Plan and the Open Space and Perimeter Security Design. The importance of fulfilling this requirement is to provide a secure perimeter around Court buildings and increased pedestrian safety. Portions of this total requirement have been prioritized and packaged into the following near-term targeted initiatives:

Securing the Northeast Block of Campus

This initiative is focused to implement the Open Space and Perimeter Security Design, approved by NCPC, to secure the perimeter of the northeast block of the Courts' campus at Judiciary Square.

The FY 2022 request for \$5.96M includes the renewal of existing parking access and control measures and the addition of physical vehicle barriers (heightened curbs, fence walls, tree fences and tall trees, bollards and hardened benches) to create a continuous security perimeter around

the block on which Building B sits. It also includes the addition of site lighting and security surveillance cameras for increased pedestrian and Court personnel safety. The project is timed so that the exterior work to secure the block may begin as work on the interior of Building B for the Migration from Gallery Place is being completed.

Securing the Northwest Block of Campus

This initiative is focused to implement the Open Space and Perimeter Security Design, approved by NCPC, to secure the perimeter of the northwest block of the Courts' campus at Judiciary Square. The FY 2022 request for \$5.36M includes the replacement of aged parking access and control devices and the addition of physical vehicle barriers (heightened curbs, fence walls, tree fences and tall trees, bollards and hardened benches) to create a continuous security perimeter around the block on which Building A sits. It also includes the addition of site lighting and security surveillance cameras for increased pedestrian and court personnel safety.

The funding request for both initiatives are aligned in the same year to complete both initiatives under one (1) contract, thereby achieving construction mobilization efficiencies and overall cost savings.

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. N/A

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 2020	CY 2021	BY 2022	BY+1 2023	BY+2 2024	BY+3 2025 and beyond	Total unfunded (sum 2022 – 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	11.33	0.00	0.00	0.00	11.33
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	11.33	0.00	0.00	0.00	11.33
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

TOTAL (not including FTE costs):	9.15	0.00	0.00	11.33	0.00	0.00	0.00	11.33
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 2021 President’s Budget request, briefly explain those changes: Total scope of requirement has been prioritized and packaged into two (2) FY 2022 initiatives.

Section C: Acquisition/Contract Strategy (All Capital Assets)

Field	Contract 1	Contract 2
Short description of acquisition	North Block of Courts’ Campus Secure Perimeter	
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	\$11.33M	
Type of Contract/Task Order (Pricing)	Design Build	
Is this contract a Performance Based Service Acquisition (PBSA)?	No	
Effective Date	Quarter 2 FY 2022	
Actual or expected end date of Contract/Task Order	Quarter 2 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	

1. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:
2.
 - a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:
 - b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1
 - c) Was the Acquisition Plan approved in accordance with agency requirements
 - d) If "yes," enter the date of approval?
 - e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?
 - f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?
 - g) If an Acquisition Plan has not been developed, provide a brief explanation.

Yes	No X
Yes	No
Yes	No
Yes	No
Yes	No
Yes	No

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.	Secure perimeter around Buildings A and B on Judiciary Square campus	

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 2020
2. Agency: District of Columbia Courts
3. Bureau: N/A
4. Name of this Investment:

Life Safety and Code Compliance

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 2022?
(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 Courts request \$3.28M in FY 2022 to complete projects in locations where life safety and code compliance issues have compounded due to increased personnel counts without expansion or reconfiguration of space to accommodate those personnel. The funds requested will be used to complete all activities required to provide safe accommodation of two (2) personnel groups—the Crime Victims Compensation Program and the Landlord & Tenant Resource Center.

3) Crime Victims Compensation Program Upgrades

The number of personnel in the Crime Victims Compensation Program has increased since building upgrades were made over thirteen (13) years ago in 2007. As a result, the suite they occupy on the first floor of Building A is currently over-populated, creating egress and other building code compliance issues. In addition, the suite lacks a complete fire protection system, posing a life safety threat; is not ADA compliant; lacks essential physical security controls to protect court personnel and visitors and personal data stored in the suite; lacks energy efficient lighting; and does not meet D.C. Courts Design Standards.

The funds requested not only include the renovation and expansion of the existing suite, but the cost of all relocations and swing space accommodations required to support continued operations during construction.

4) Landlord and Tenant Resource Center Relocation

The Center has expanded onto the 2nd floor of Building B and currently occupies space that has long been reserved for court personnel migrating from Gallery Place. To accommodate court personnel on the 2nd floor as originally planned; the Center must be relocated. The Courts have identified space on the lower level of Building B to accommodate the Center and consolidate the Center adjacent to DC Bar Pro Bono services. In order to relocate the Center to the lower level, some essential life safety, code and ADA accessibility issues need to be addressed for example 1) the completion of life safety systems in all space to be occupied, 2) the provision of ADA accessible restrooms for public use, and 3) an accessible pathway to the lower level from other floors of Building B.

- 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. N/A

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

Investment: Life Safety and Code Compliance

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 2020	CY 2021	BY 2022	BY+1 2023	BY+2 2024	BY+3 2025 and beyond	Total unfunded (sum 2022 -beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	8.25	0.00	3.28	0.00	0.00	0.00	3.28
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
	0.00	8.25	0.00	3.28	0.00	0.00	0.00	3.28
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	8.25	0.00	3.28	0.00	0.00	0.00	3.28
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 2021 President’s Budget request, briefly explain those changes: New Request.

Section C: Acquisition/Contract Strategy (All Capital Assets)

	Contract 1	Contract 2
Short description of acquisition	Crime Victims Compensation Upgrades	L& T Resource Center Relocation
Contract Status	Pre-solicitation	Pre-solicitation
Procurement Instrument Identifier (PIID)	TBD	TBD
Indefinite Delivery Vehicle (IDV) Reference ID	N/A	N/A
Solicitation ID	TBD	TBD
Alternative financing	N/A	N/A
EVM Required	N/A	N/A
Ultimate Contract Value	\$0.76M	\$2.52M
Type of Contract/Task Order (Pricing)	Design Build	Design Build
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No
Effective Date	Quarter 3 FY 2022	Quarter 2 FY 2022

Actual or expected end date of Contract/Task Order	Quarter 4 FY 2023	Quarter 1 FY 2023
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	A	A

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

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

Yes X No _____

Yes X No _____

Yes X No _____

2011

Yes N/A No _____

Yes N/A No _____

Section C: Performance Information

1. Performance Information Table

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	Existing building spaces are not ADA compliant, do not met current building codes, posing life safety threats	Modernize space to meet current building codes	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 2020
2. Agency: District of Columbia Courts
3. Bureau: N/A
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 2022?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 should not select O&M)

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

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

The HVAC, electrical, and plumbing upgrade budget line item will ensure that health and safety concerns for the public and 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.

Updating 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 2022 request includes the following HVAC, Electrical and Plumbing upgrades:

- Continue to upgrade the HVAC systems in the H. Carl Moultrie Courthouse. Distribution system piping upgrades 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;
- Replace lighting fixtures at end-of-life with energy efficient fixtures in the H. Carl Moultrie Courthouse

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. N/A

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 2020	CY 2021	BY 2022	BY+1 2023	BY+2 2024	BY+3 2025 and beyond	Total unfunded <i>(sum 2022 – beyond)</i>
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	9.23	0.00	4.25	9.26	8.31	4.55	2.77	24.89
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	9.23	0.00	4.25	9.26	8.31	4.55	2.77	24.89

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):	9.23	0.00	4.25	9.26	8.31	4.55	2.77	24.89
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 2021 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)

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 Completed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	
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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

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 and replace systems within one (1) year of identified end-of-life date, as required.	Building mechanical and electrical systems received upgrades in 2019

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 2020
2. Agency: District of Columbia Courts
3. Bureau: N/A
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 2022?
(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. 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 estimated for future funding requirements. Fire and Security Alarm Systems will require additional capital investment per the D.C. Courts Facilities Condition Assessment Report. In addition to financing the renewal of LED exit signs in the H. Carl Moultrie I Courthouse as part of the ongoing efforts to improve life safety measures, the \$2.07M requested for Fire and Security Alarm Systems will fund the start of a multiple-year effort to replace this existing analog-based video management system with a contemporary Internet Protocol (IP) system campus-wide. This replacement is critical for the Courts to avoid a system-wide failure, as a functional video management system allowing for continuous video monitoring of public as well as secure courthouse space is central to ensuring that the Courts provide a safe and secure environment for the administration of justice.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link. N/A

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 2020	CY 2021	BY 2022	BY+1 2023	BY+2 2024	BY+3 2025 and beyond	Total unfunded (sum 2022 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	2.18	2.07	4.81	4.83	1.07	12.78
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	2.18	2.07	4.81	4.83	1.07	12.78
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	2.18	2.07	4.81	4.83	1.07	12.78
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 2021` 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)

Field	Contract 1	Contract 2
Short description of acquisition	Campus Wide Video Management System Replacement	Emergency Exit Lighting Renewal
Contract Status	pre-solicitation	pre-solicitation
Procurement Instrument Identifier (PIID)	N/A	N/A
Indefinite Delivery Vehicle (IDV) Reference ID	N/A	N/A
Solicitation ID	TBD	TBD
Alternative financing	No	No
EVM Required	N/A	N/A
Ultimate Contract Value	\$800,000	\$1.27M
Type of Contract/Task Order (Pricing)	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No
Effective Date	Quarter 2 FY 2022	Quarter 3 FY 2022
Actual or expected end date of Contract/Task Order	Quarter 2 FY 2023	Quarter 2 FY 2023

Extent Completed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	TBD	TBD
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If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

2. 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

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 components	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 2020
2. Agency: District of Columbia Courts
3. Bureau: N/A
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 2022?
(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 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 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 have 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 2022 request for \$18.25 million includes projects such as the following:

- 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. N/A

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 2020	CY 2021	BY 2022	BY+1 2023	BY+2 2024	BY+3 2025 and beyond	Total unfunded (sum 2022 -beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	18.87	12.75	12.75	18.25	17.82	17.62	1.80	55.49
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	18.87	12.75	12.75	18.25	17.82	17.62	1.80	55.49
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):	18.87	12.75	12.75	18.25	17.82	17.62	1.80	55.49
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. 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 2021 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)

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	

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

Yes <u> X </u>	No <u> </u>
------------------	------------------
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1

Yes <u> X </u>	No <u> </u>
------------------	------------------
- c) Was the Acquisition Plan approved in accordance with agency requirements

Yes <u> X </u>	No <u> </u>
------------------	------------------
- d) If "yes," enter the date of approval?

<u>2011</u>	
-------------	--
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?

Yes <u> NA </u>	No <u> </u>
-------------------	------------------

- 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 NA No _____

Section C: Performance Information

1. Performance Information Table

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 2019.

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 2020
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 2022?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 should not select O&M)

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

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

In March 2013, the D.C. Courts 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 have 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 2022.

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 2022 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 2020	CY 2021	BY 2022	BY+1 2023	BY+2 2024	BY+3 2025 and beyond	Total unfunded (sum 2022 – 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	0.25	0.29	0.30	0.31	1.14	2.05
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	0.25	0.29	0.30	0.31	1.14	2.05
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	0.25	0.29	0.30	0.31	1.14	2.05
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 1 year

- and earlier”
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 2021 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)

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 2020
2. Agency: District of Columbia Courts
3. Bureau: N/A
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 have 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 2022.

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. N/A

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 2020	CY 2021	BY 2022	BY+1 2023	BY+2 2024	BY+3 2025 and beyond	Total unfunded <i>(sum 2022 – beyond)</i>
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Operations & Maintenance:	0.00	0.00	0.25	0.29	0.30	0.31	0.67	1.58
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	0.25	0.29	0.30	0.31	0.67	1.58
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	0.25	0.29	0.30	0.31	0.67	1.58
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 2021 President's Budget request, briefly explain those changes: No change.

Section C: Acquisition/Contract Strategy (All Capital Assets)

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 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 2020
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 2022?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 should not select O&M)

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

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 \$5M to provide resilient and responsive technology that will result in the highest level of service to the public. The technology request will focus on four major areas. First, is a case management system for the D.C. Court of Appeals. The current D.C. Court of Appeals' case management system will be eleven 11 years old in 2022 and lacks capabilities and efficiency enhancements found in up-to-date systems that could help the Court of Appeals manage its heavy caseload, particularly in light of chronic judicial vacancies and the lack of an intermediate appellate court. Although the Court has put in place manual processes to accomplish its work, maximizing efficiency is crucial to timely service to the public. For example, internal voting by panels of judges on cases and related motions cannot be conducted within the existing system, which hampers efficient case processing. In addition, the system's reporting capacity limits the data available for administrative decision-making. Another focus area is mobile applications that will provide court participants greater access to information and data, thereby increasing access to justice. This initiative will also provide court personnel with the ability to utilize computer applications remotely. The third focus area is enhancing technology capabilities to promote operational effectiveness by seeking innovative technology

solutions, specifically cloud computing, workspace virtualization and network infrastructure enhancements. The implementation of these technologies will ensure compliance with federal requirements and internal standards and provide information security technologies that protect 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 information systems, and provide 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. N/A

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 2020	CY 2021	BY 2022	BY+1 2023	BY+2 2024	BY+3 2025 and beyond	Total unfunded (sum 2022 -beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	4.43	0.00	2.00	5.00	5.20	5.41	5.62	21.23
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	4.43	0.00	2.00	5.00	5.20	5.41	5.62	21.23
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):	4.43	0.00	2.00	5.00	5.20	5.41	5.62	21.23

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 2021 President’s Budget request, briefly explain those changes:

NA

Section C: Acquisition/Contract Strategy (All Capital Assets)

Table I.C.1 Contracts Table		
Field	Data Description	Contract 1
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 Completed	(A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	

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

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:

Yes No

b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1

Yes No

c) Was the Acquisition Plan approved in accordance with agency requirements

Yes No

d) If "yes," enter the date of approval?

e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?

Yes No

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

Yes No

g) If an Acquisition Plan has not been developed, provide a brief explanation.

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 2020
2. Agency: District of Columbia Courts
3. Bureau: N/A
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 2022?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2021 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 1997
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The 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 2022 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.

- 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 2020	CY 2021	BY 2022	BY+1 2023	BY+2 2024	BY+3 2025 and beyond	Total unfunded (sum 2022 – 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	1.91	1.99	2.07	4.39	10.36
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	1.91	1.99	2.07	4.39	10.36
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	1.91	1.99	2.07	4.39	10.36
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 2021 President's Budget request, briefly explain those changes:

No change.

Section C: Acquisition/Contract Strategy (All Capital Assets)

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 ____ No ____

- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1

Yes ____ No ____

- c) Was the Acquisition Plan approved in accordance with agency requirements

Yes ____ No ____

- d) If "yes," enter the date of approval?

- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?

Yes ____ No ____

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

Yes ____ No ____

- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Section C: Performance Information

1. Performance Information Table

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.	

DISTRICT OF COLUMBIA COURTS
FY 2022 Budget Justification
Grant-funded Activities and Reimbursements

For Fiscal Year 2020, the District of Columbia Courts secured over \$1 million in Federal, local and private grant funds to: (1) provide services to victims of crime; (2) expedite permanent placement of children as required by ASFA legislation; (3) expand juvenile behavioral diversion programs including expanding services to address youth impacted by sex trafficking; and (4) assess organizational structure to increase efficiency, and (5) enhance access to justice by improving court interpreter services. The Courts currently receive funds through 10 active grants secured from various Federal, local and private sources. Of these, 3 grants totaling approximately \$432,000 are scheduled to expire at the end of FY 2020. Table 1 lists the Courts' grants and reimbursement funding for Fiscal Years 2020 and projected through 2022, while Table 2 lists grants scheduled to expire at the end of FY 2020. 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) 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 Courts' 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.

III. PRIVATE GRANTS

(a) Access to Justice

- *Language Access Project Grant.* State Justice Institute.

To develop the first nationwide Amharic language court interpreter certification exam and to implement the Courts' Interpreter Registry, a formal court interpreter testing and training program. Grants funds are used to contract with the National Center for State Courts (NCSC) to develop the certification exam that will test candidates in their consecutive and simultaneous interpretation and sight translation skills. The Interpreter Registry will include a database published on the Courts' website and enable interpreters to update their contact information while Court staff update and verify interpreter credentials.

(b) Organizational Assessment

- *Organizational and Management Structure Assessment Project Grant.* State Justice Institute.

To conduct an in-depth assessment of the Court of Appeals' organizational and management structure. Grants funds are used to contract with the National Center for State Courts (NCSC) to conduct an organization-wide assessment of the management structure and established procedures of the DCCA with the overall goals of enhancing the delivery of appellate court services, developing and improving access to justice, managing court performance and promoting public trust and confidence.

Table 1
DISTRICT OF COLUMBIA COURTS
Amounts Available for Obligation: Grants and Reimbursements
(\$ in thousands)

Grant or Reimbursement	Source	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
I. FEDERAL GRANTS:				
Abused and Neglected Children				
Court Improvement Program	U.S. Department of Health and Human Services	375*	282	282
Crime Victims				
Crime Victims Compensation Payments	U.S. Department of Justice	395**	895	895
Family Court- Court Social Services				
Justice and Mental Health Collaboration Program	U.S. Department of Justice	55	119	-
Commercial Sexual Exploitation of Children Program	U.S. Department of Justice	7	250	190
<i>Subtotal, Federal Grants</i>		832	1,546	1,367
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	30	38
<i>Subtotal, D.C. Federal Block Grants</i>		151	141	149
III. PRIVATE GRANTS:				
Access to Justice				
Language Access Project	State Justice Institute	26	40	-
Organizational Assessment				
Organizational and Management Structure Assessment Project	State Justice Institute	10	67	-
<i>Subtotal, Private Grants</i>		36	107	
GRANTS TOTAL		1,019	1,794	1,516
REIMBURSEMENTS:				
Child Support Enforcement	D.C. Title IV-D Agency	960	1,000	1,000
Miscellaneous Reimbursements	Pretrial Services Agency	80	80	80
Miscellaneous Reimbursements	U.S. Court of Appeals for the Armed Forces	46	46	46
REIMBURSEMENTS TOTAL		1,086	1,126	1,126
GRAND TOTAL		2,105	2,920	2,642

* Includes carry over funds from multiple awards with extended grant periods.

**The FY 2020 VOCA grant was based on FY 2018 payments minus both FY 2017 and FY 2018 grants. Therefore, the amount of \$395,000 for FY 2020 was smaller than usual because of the double deductions the previous fiscal year.

Table 2
DISTRICT OF COLUMBIA COURTS
Grants that Expired in FY 2020
(\$ in thousands)

Grant	Source	Grant Period (Includes Extensions)	Original Grant Award
Domestic Violence Project	U.S. DOJ VAWA STOP Grants	Oct. 2019 – Sept. 2020	40
Court Improvement Program	U.S. Department of Health & Human Services	Oct. 2018 – Sept. 2020	282
Supervised Visitation	U.S. Department of Health and Human Services	Oct. 2018 – Sept. 2019	111
Total			432

DISTRICT OF COLUMBIA COURTS
FY 2022 Budget Justification
PROGRAM EVALUATION and EVIDENCE TEMPLATE

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 assess to what degree its Mental Health Community Court (MHCC) aligns with the Ten Essential Elements of the Mental Health Courts as outlined by the Council of State Governments Justice Center report for the U.S. Department of Justice's Bureau of Justice Assistance. For the study, both quantitative and qualitative data were collected, including demographics and criminological data for all individuals with a case filed in 2017 and 2018 from which a subset of individuals eligible for mental health court were identified through established processes as well as a subset of individuals referred and accepted into the MHCC; recidivism data for all individuals eligible disaggregated by acceptance reasons into the MHCC; surveys for all major stakeholders; policy reviews of all agency policies related to the MHCC; and interviews with pre-trial services, judges, defense attorneys, prosecutors, and MHCC participants. The study included a process component to assess design implementation, as well as an outcome component with the primary rate of recidivism outcome, using a mixed methods design. Eligible individuals who successfully completed the MHCC were compared to eligible individuals who did not participate in the program, as well as those who began but did not complete the program. The study was completed this fiscal year and is currently undergoing internal review.

2. Southeast Balanced and Restorative Justice (SE BARJ) Drop-In Center Evaluation

The Courts' 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 next fiscal year.

3. Impact of COVID-19 on Requests for Protective Orders

The Courts' Strategic Management Division is collaborating with the Domestic Violence Division to examine the effects of the COVID-19 pandemic and the associated stay at home orders on the trends in domestic violence and requests for protective orders in the District. The study will compare not only the number of cases prior to and during the pandemic, but also the characteristics of cases, including but not limited to the severity of charges and demographics of victims and perpetrators. The study will use a mixed methods approach, utilizing primarily data from the courts' case management system, including quantitative analyses to provide information on the number and types of cases, charges, and demographics of respondents, as well as qualitative coding of documents within the case management system for information on the relationship of parties, and categories of abuse. The study is expected to be completed next fiscal year.

FY 2022 Evidence Submission

1. Agency Contributors to Evidence Submission

The individuals who contributed to the D.C. Courts' FY 2022 Evidence Submission are: a) Herbert Rouson, Jr., Interim 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 Embler, Senior Research Associate, Strategic Management Division; Evaluation Officer, and f) Jonathan Motley, Senior Court Business Analytics Associate, Strategic Management Division, Chief Data Officer.

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 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 acquired a state-of-the-art case management system for Superior Court which replaced aging technology. The new system will be fully operational in 2021. The Courts also 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 developing court-wide data standards, assessing data quality, 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, Capacity Assessment, and Evaluation Policy. Progress to date on each of these initiatives is detailed below.

(a) Learning Agenda

The Courts have prepared a draft Learning Agenda and anticipate completion by August 2020. Based on input from key stakeholders and leadership, the 2020 Learning Agenda addresses two areas from the current Strategic Plan, data quality and access to services for self-represented litigants. The Learning Agenda will be updated annually to reflect new circumstances and priorities.

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. 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 strategic goals and objectives for the court-wide Strategic Plan. The Plan identifies 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.

(b) Annual Evaluation Plan

Encompassed within the Learning Agenda are key activities which will form the basis for the Courts' Evaluation Plan, which is being developed by the Evaluation Officer. In addition to the evaluations detailed in the Evaluation Plan, the Courts will continue to conduct additional internal evaluations that address the operational needs of the organization. An evaluation of the

Courts' Mental Health Community Court was completed in June 2020 and is currently undergoing final internal review. Evaluations of the Southeast Balanced and Restorative Justice Center and the Effects of Stay at Home Orders on Domestic Violence will be completed by Summer 2021.

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 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' Strategic Management Division has developed a Capacity Assessment which assesses the coverage, quality, methods, effectiveness, and independence of the agency's statistics, evaluations, research, and analysis. Specific activities within the Capacity Assessment include a census of all evaluations/research planned or conducted within this Strategic Plan Cycle, an assessment of the organization's resources to identify potential gaps and needs, a summary of focus statistics being reported by the organization and the associated quality of each focus metric. The culminating element is the administration of a validated Capacity Assessment which will be administered to selected individuals throughout the organization.

(d) Evaluation Policy

The Courts are not a CFO-Act agency and recognize that an evaluation policy is not an explicit requirement. However, the Courts recognize the value of standards and guidance to inform internal and external research and evaluations. The Evaluation Officer and members of the Strategic Management Division have reviewed OMB's Program Evaluation Standards and reviewed the draft policies of other affected agencies. The Courts anticipate the development of internal guidance based on these standards with an accompanying dissemination and implementation plan.

(e) Data Governance

The D.C. Courts established a Data Governance Program in 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.

The Data Governance Board has identified the following areas of focus for 2020: data inventory; maturity assessment, and an open data policy. 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 directive, 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.

(f) Barriers

Despite the Courts' many investments in building capacity for using evidence to inform decision-making, the Courts are challenged to make evidence and evaluation a front and center activity given the pressing demands of 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 several 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, these systems 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's or program's needs, leading to inconsistency and the inability to analyze data across the Courts. The Data Governance Council is 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 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.

Fourth, initiatives in several areas are complicated by the lack of a Privacy Officer. While the Courts do have a point of contact for privacy and compliance within the Office of General Counsel, this is not a dedicated position. This individual has competing priorities and areas of responsibility and, as a result, is unable to fully engage in the time-consuming but necessary tasks of policy development and training.

Finally, the Courts are in the process of implementing a new Case Management System (CMS) which is consuming significant time and human capital resources. While this initiative affords the opportunity to better support research and evaluation over the long-term, changes in data entry, definitions, and coding will require realignment of previously identified metrics.

Notwithstanding these challenges, 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 an 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.

(g) 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 are fully utilizing these resources to assist with developing the Learning Agenda, Capacity Assessment, and Evaluation Plan. Staff have also participated in various webinars that have been offered by OMB. We could benefit from any peer learning opportunities and examples of implementation strategies, especially as they pertain to non-CFO agencies.

DISTRICT OF COLUMBIA COURTS
FY 2022 Budget Justification
DEFENDER SERVICES

<u>FY 2020 Enacted</u>	<u>FY 2021 Request</u>	<u>FY 2022 Request</u>	<u>Difference FY 2021/2022</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).¹⁶ 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.¹⁷ The Guardianship program provides for compensation to service providers in guardianship and protective proceedings for incapacitated adults.¹⁸ 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

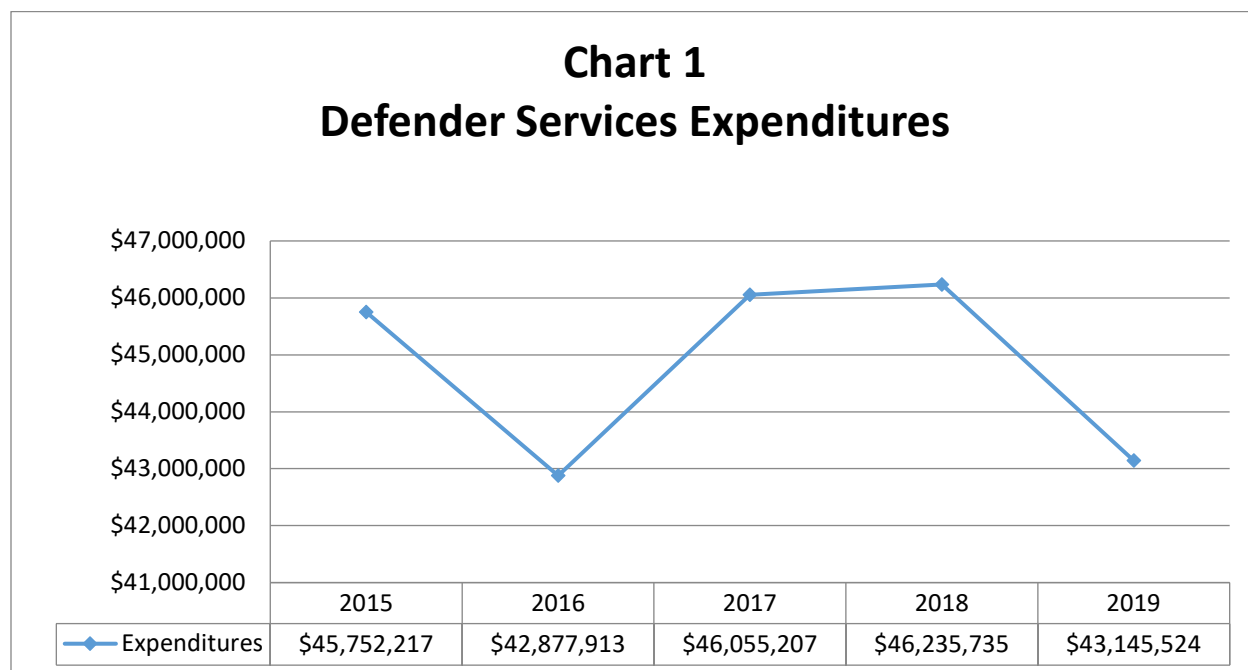
¹⁶ See D.C. Code §11-2601 *et seq.*

¹⁷ See D.C. Code §16-2304.

¹⁸ 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 Courts 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 2015 to 2019. 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.

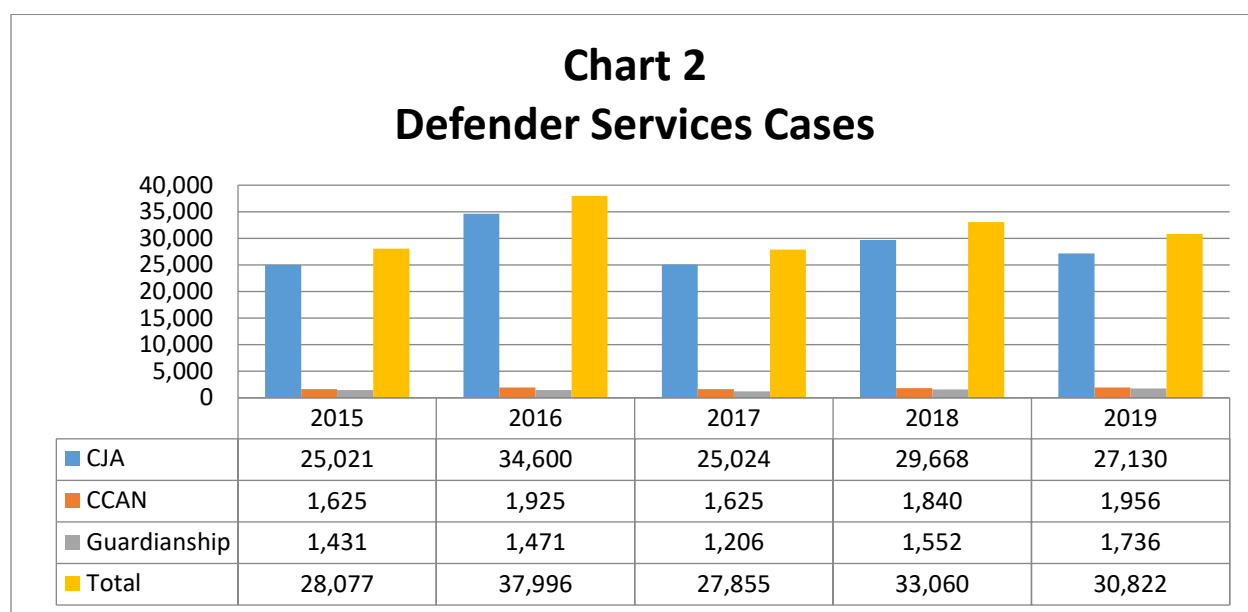
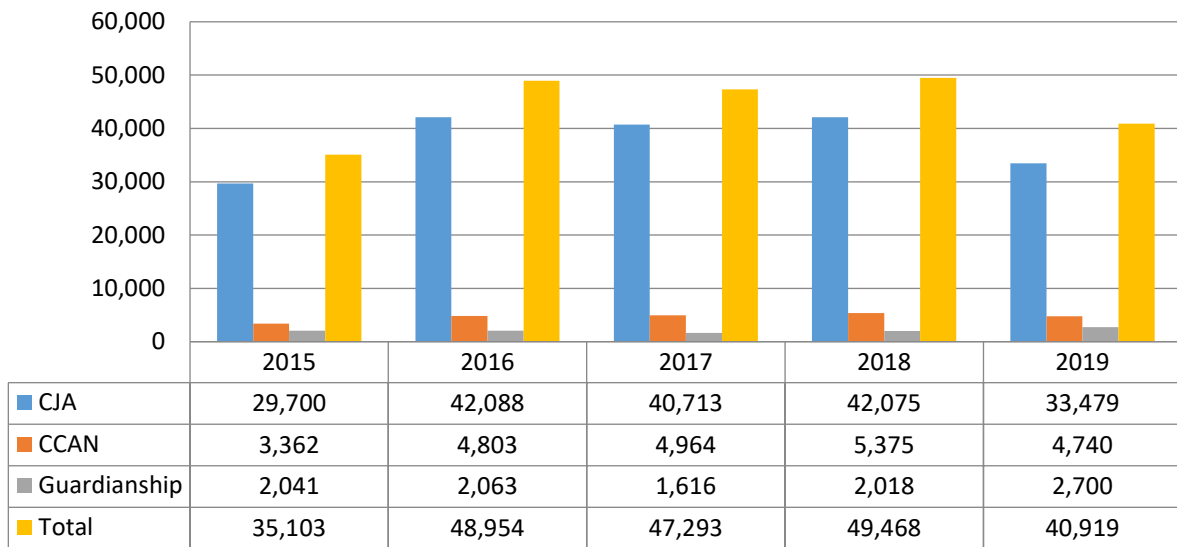


Chart 3 shows the number of vouchers issued each year, including the monthly invoices paid from the CCAN account to the non-profit contractor and Guardianship fee petitions. As is evident from the numbers, multiple vouchers are issued in many cases; these finance services of experts such as ballistics 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).

Chart 3
Defender Services Vouchers Issued



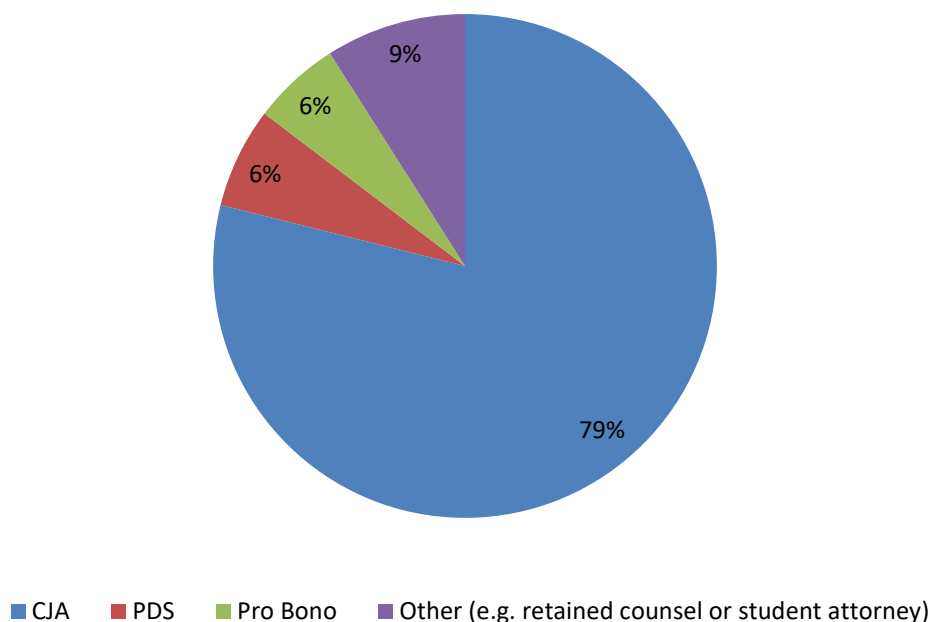
As depicted in both charts, the caseload is variable. The number of cases supported by the Defender Services account increased 35% from 2015 to 2016; followed by a 27% decrease in 2017; a 19% increase in 2018; and a 7% decrease in 2019. The number of vouchers issued similarly increased by 39% from 2015 to 2016; decreased by 4% in 2017; increased by 5% in 2018; and decreased by 17% in 2019.

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 583 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 2019.

Chart 4
Criminal and Juvenile Representation
Superior Court, 2019



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 statute¹⁹. This rate also applies to compensation

¹⁹ D.C. Code § 11-2604(a) (2012 Repl.)

for attorneys appointed for children and indigent parties in neglect, termination of parental rights, and adoption proceedings.

While the rate has not increased since 2009, eleven 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 \$152 per hour²⁰. This rate is 69% 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 D.C. 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 on Administration has approved an hourly rate increase of \$20 for attorneys and investigators, pending approval of the proposed FY 2022 appropriations language or 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 2024.

	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025
APPROPRIATIONS	\$ 46,000,000	\$ 46,000,000	\$ 46,000,000	\$ 46,000,000	\$ 46,000,000	\$ 46,000,000
Prior Year Carryover	\$ 20,400,000	\$ 26,400,000	\$ 26,067,000	\$ 20,734,000	\$ 13,401,000	\$ 6,068,000
TOTAL AVAILABLE FUNDING	\$ 66,400,000	\$ 72,400,000	\$ 72,067,000	\$ 66,734,000	\$ 59,401,000	\$ 52,068,000
LESS: TOTAL OUTLAYS	\$ 40,000,000	\$ 41,000,000	\$ 42,000,000	\$ 42,000,000	\$ 42,000,000	\$ 42,000,000
Increase in Hourly Rate						
\$20 Increase to \$110/HR for Legal Services		\$ 4,000,000	\$ 8,000,000	\$ 10,000,000	\$ 10,000,000	\$ 10,000,000
\$20 Increase to 45/HR for Investigative Services	\$ -	\$ 1,333,000	\$ 1,333,000	\$ 1,333,000	\$ 1,333,000	\$ 1,333,000
NET CARRYOVER	\$ 26,400,000	\$ 26,067,000	\$ 20,734,000	\$ 13,401,000	\$ 6,068,000	\$ (1,265,000)

FY 2022 Request

The Courts request \$46,005,000 for Defender Services in FY 2022, the same as the FY 2021 Enacted Budget.

²⁰ 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>