FY 2014
Budget Justification

District of Columbia Courts

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District of Columbia Courts
FY 2014 Budget Justification
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DISTRICT OF COLUMBIA COURTS
Budget Justification
Summary
Fiscal Year 2014

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 Nation's Capital. To support the Courts' achievement of its mission in fiscal year 2014, the Courts request $332,640,000 for operations and capital improvements. Of this amount, $13,454,000 is requested for the Court of Appeals; $116,500,000 is requested for the Superior Court; $70,336,000 is requested for the Court System; and $132,350,000 is requested for capital improvements for courthouse facilities. In addition, the Courts request $49,890,000 for the Defender Services account.

The D.C. Courts are submitting a minimal budget request, due to the economic challenges facing our Nation, and incorporates cost savings to help offset requested increases. The FY 2014 request includes operating budget reductions of $4,940,000 and increases of $10,293,000, representing a slight net increase of $5,353,000 (2.7%) and 10 full-time equivalent (FTE) positions over the FY 2013 level[1] as well as a capital budget increase of $93 million to support critical space and security needs outlined in the Facilities Master Plan and to maintain the Courts' infrastructure of five buildings and 1.2 million gross square feet of space.

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

Recent Achievements

In FY 2011 the Court of Appeals and the 2,029 and 108,286 cases, respectively. At the same time, the Courts look forward to continued success in enhancing our services to the community, modernizing and securing our facilities, and measuring our performance to ensure accountability to the public we serve. We are proud of the Courts' recent achievements that include the following:

- greater assistance to litigants without lawyers through implementation of new judicial ethics rules based on national standards that include a provision on the judge's role in facilitating self-represented litigants' right to be heard. Under the new rules, "judges should make reasonable accommodations" to help these litigants understand court proceedings and be heard. For example, the judge in a case may consider providing information about the proceedings, asking neutral questions, or explaining the basis for a ruling;

- modernization and renovation of Building C, which was built in the late 1930's, to provide up-to-date, energy efficient space for the public visiting the Multi-Door Dispute Resolution

[1] Per Administration guidance, this submission uses as the FY 2013 level the annualized amount provided in the Continuing Appropriations Resolution, 2013, P.L. 112-175.

Division and for the Information Technology Division. The new space complies with current building codes while preserving key historic elements of the building, which formerly housed the juvenile court;

- launch of a new user-friendly public website that provides ready access to juror services and case docket and calendar information and assists the public in accessing other court information and services, through live chats, video presentations, and other means;

- creation of Web-Ex Warrant Process, in conjunction with several partner agencies, which uses technology to streamline the process, decreasing travel costs and overtime pay for the Metropolitan Police Department: the police officer can scan warrants into the computer system directly from the Police District, the judge reviews the warrant over a web conference with the officer, and, if approved, the court electronically sends the warrant to the officer, who makes an arrest or executes a search;

- enhancement to the Family Court with a new Child Welfare Legal Clinic operated by the David A. Clarke School of Law at the University of the District of Columbia representing parents in abuse and neglect cases and the relocation of the clerk's offices to space adjacent to the recently-enlarged Central Family Intake Center on the JM Level of the Moultrie Courthouse;

- renovation of the arraignment courtroom in the Moultrie Courthouse, including electronic messaging and other technology improvements to enhance operational efficiency and public understanding of and access to proceedings;

- creation of self-help centers in partnership with the D.C. Bar to assist unrepresented litigants in Family Court, Landlord Tenant and Small Claims courts, and Consumer Law, Probate and Tax matters;

- expansion of the Superior Court's award-winning community court model, which address quality-of-life crimes through a blend of therapeutic and restorative justice (i.e., solve the underlying issue causing the criminal behavior and restore, or pay back, the community), city-wide, after a program evaluation showed the existing community court reduced recidivism rates by as much as 60%;

- implementation of the iCivics program in charter schools to teach students about our government and the rights and responsibilities of citizenship, thereby inspiring young people to participate actively in society, and to enhance public trust and confidence in the judicial system;

- outreach to inform the Courts' third five-year Strategic Plan to ensure strategic alignment of the Courts' goals, functions, and resources in 2013 - 2017, with a "You Be the Judge" survey of all persons conducting business at the courthouse in which approximately 1,300 court participants provided their views on fairness, timeliness, access, treatment by judges and employees, security, and other issues (nearly 80% were satisfied with their overall court

experience); a survey of almost 1,200 attorneys who recently appeared in the Courts; and surveys of D.C. Courts' judges and employees;

- initiation of a major Strategic Human Resources effort to expand the role of the Human Resources Division from a transaction-based function to a strategic partner in establishing court goals, determining the future workforce, and assuring mission delivery. To assist in this effort the Courts are in the process of developing and implementing a new comprehensive human resources information system. As part of this process, a five-year Human Resources Strategic Plan was developed;

- instigation of "Building a Great Place to Work" initiative to ensure that our employees are highly productive and fully engaged and provide excellent public service. The 2011 Employee Viewpoint Survey, with 72% of employees responding, reflected significant improvements, particularly in areas where the Courts focused following the previous survey in 2009, when teams were established in the areas of health and wellness, work/life balance, internal communications and performance management.

- 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;

- installation of a new case management system for the Court of Appeals in July 2011, thereby ensuring complete electronic access to information on all cases and easy retrieval of information from the trial court to enhance case processing and judicial decision-making;

- development and ongoing updating of a Continuity of Operations Plan (COOP) to ensure the continued administration of justice in an emergency, and upgrading of life safety systems to enhance security and safety of the public and court personnel in the Courts' facilities;

- improvement of the adult holding facilities and construction of new U.S. Marshals Service administrative space in the Moultrie Courthouse, with a comprehensive long-term plan for complete holding facilities upgrades in fiscal 2014 and construction of a new, separate juvenile holding facility, completed in May 2009, meeting current standards;

- restoration of the Historic Courthouse for the D.C. Court of Appeals, a building of importance both to the people of the District of Columbia, due to its historical and architectural significance, and to the Courts to meet critical space shortages in the trial court;

- implementation of a comprehensive revision of Court of Appeals rules of practice to reduce expenses associated with record preparation, the first such revision since the mid-1980's;

- initiation of two programs by the Court of Appeals to enhance public access and trust and confidence in the judiciary: (1) the Court hears oral arguments at community law schools through the Education Outreach Initiative, and (2) the Court broadcasts oral arguments live over the Internet;

- operation of the adult Mental Health Diversion Court, which celebrated 5 years of service in June 2012, to address the special needs of defendants suffering from mental illnesses, including a mental health clinic in the courthouse that has served over 1,000 defendants;

- operation of specialized courts for families in need: the Fathering Court, which won a "Bright Idea Award" from the Harvard University Ash Center for Democratic Governance and Innovation, provides job training and parenting education to fathers re-entering the community from incarceration, helping them pay their child support and become active in their children's lives; and the Family Treatment Court provides residential substance abuse treatment to mothers in the child welfare system, keeping their children with them, rather than placing the children in foster care, during treatment;

- initiation of enhanced case processing opportunities for persons with housing problems, including a Housing Conditions Calendar, where tenants can file expedited actions to enforce housing code violations and a D.C. Government housing inspector assists the judge;

- expansion of e-filing to nearly all civil actions, government filings in juvenile matters and abuse and neglect cases, and 90% of criminal 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,; early data indicate a 50% decrease in the time required to process new criminal cases because the data and documents are in the case management system when the defendant appears before the judge;

- completion of the Digital Wills Project, creation of a digital database containing all wills and codicils filed in the District of Columbia since 1802 so the public can easily search and retrieve any will or codicil filed with the court over the past 200 years and so the court has the extra insurance of safely storing and preserving these historical records in the event of a disaster;

- Continuing conversion from paper to electronic case records, with recent "paper-on-demand" initiatives in landlord tenant and criminal cases, in which case filings are docketed and scanned into the Court's case management system, and then the hard copy is returned to the individual filing the document to keep, as the document must be produced "on demand" of the court. In addition the Court has recently gone paperless in Mental Health and Habilitation cases;

- Pilot initiation of staggered schedules, in which Superior Court litigants are scheduled at different times during the day, rather than all being told to report first thing in the morning, to reduce wait times for litigants and enhance efficiency. Staggered schedules have been piloted in some domestic violence, paternity and support, civil, and criminal misdemeanor cases;

- improvement of the procurement process to enhance efficient use and stewardship of public financial resources, with updated *Procurement Guidelines of the District of Columbia Courts, which were* posted on the Courts' website for easy reference and the Courts'

Acquisition Institute, which offered 14 classes to improve the procurement knowledge of court staff involved in administering contracts;

- initiation of new juvenile probation programs by the Family Court Social Services Division to enhance public safety and rehabilitation of juveniles, including 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 Southeast, Northeast, and Southwest D.C. to provide community-based juvenile probation supervision and services; the restructuring of supervision for male juveniles to a seamless, one youth/family, one probation officer model; and in collaboration with other juvenile justice system agencies, a "Summer Crime Call In" meeting with high-risk youth under supervision to encourage them to comply with court-ordered conditions of probation and obey the law, which was considered a success based on data analysis;

- participation in June 2012 in Operation Safe Return for juveniles and Operation Safe Surrender for adults in August 2011, both collaborative programs with other criminal justice and child welfare agencies that allows persons with outstanding warrants (or custody orders, for juveniles) in the District to surrender voluntarily in a safe environment, resulting in enhanced public safety and confidence in the justice system;

- operation of the Crime Victims Compensation Program (CVCP), which won the Seventh Annual Violet Collins "Strengthening Families" Award from the Edgewood/Brookland Family Support Collaborative for its support and community outreach for victims of crime. The CVCP compensates innocent victims for financial losses related to a crime. In 2011, crime victims in the District received nearly $9 million in compensation, including funds from a $3.7 million federal grant.

- creation of a Guardianship Assistance Program to improve services provided to incapacitated adults through a collaborative program in which master degree social work students at local universities are appointed by the Probate Court to visit adult wards under court supervision, report on the services being provided, and work with the guardians appointed by the Court to address any unmet needs of the wards;

- implementation and updating of a 10-year *D.C. Courts Master Plan for Facilities (Facilities Master Plan),* resulting in comprehensive space renovation and facilities upgrades; newly renovated space for the Family Court, Civil Division, and other offices in the Moultrie Courthouse; new space for the Landlord Tenant and Small Claims courts and juvenile probation in Building B; renovated space in Building A for the Crime Victims Compensation Program and the Multi-Door and Probate Divisions, and renovation of Building C, as noted above;

- establishment of the District of Columbia Access to Justice Commission, by the Court of Appeals, to enhance access to civil justice for all persons without regard to economic status;

- 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 2012.

FY 2014 Request Summary

The D.C. Courts recently completed the third five-year Strategic Plan, which will guide court operations from 2013 to 2017. As noted above, the plan reflects input from the community, justice system agencies, and individuals served by the Courts, including litigants and their family members, victims, witnesses, attorneys, jurors, and others who were asked to assess their needs, views, and expectations of the Courts. The Courts' divisions develop Management Action Plans (MAP's) which prioritize their activities and align them with courtwide goals and strategies. The FY 2014 budget request incorporates the Courts' goals and includes performance projections for all core functions. To build on past accomplishments and to enhance service to the public in the District of Columbia during FY 2014, the Courts request additional resources as outlined below.

FY 2014 Operating Budget: Summary by Strategic Goal

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

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

Goal 1: Fair and timely case resolution--$95,000 and 1 FTE

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

The FY 2014 request includes $95,000 for 1 FTE to address the Courts' goal of fair and timely case resolution by strengthening the effectiveness and capacity of the problem-solving courts.

Goal 3: Strong Judiciary and Workforce--$226,000 and 2FTEs

The effective administration of justice depends upon a team of judicial officers and court personnel who are committed to public service and well-prepared to perform their duties. Continuing professional education and training is vital, since we administer justice in a constantly changing legal, technological, and

social environment. Our workforce must reflect the diversity of the community we serve in order to maintain the trust and confidence of the public.

The FY 2014 request includes $226,000 and 2 FTEs to address the Courts' goal of promoting a strong judiciary and workforce by fostering the strategic transformation of Human Resources, including leadership of organizational development, engagement in workforce planning, and the provision of increased support to court management.

Goal 4: Sound Infrastructure--$3,071,000 and 5 FTEs

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

The FY 2014 request includes $3,071,000 and 5 FTEs to address the Courts' goal of maintaining a sound infrastructure, including $2,356,000 to meet the need identified in security assessments for additional contractual security officers to augment security coverage in court buildings; $350,000 for the care of the newly renovated Building C, including utilities, cleaning, maintenance and upkeep of the grounds; $196,000 for 3 FTEs to provide increased facilities maintenance, preserving recent investments made to renovate and restore court buildings; $159,000 for 2 FTEs to address increasing requirements for audiovisual and courtroom technology services, as the Courts offer up-to-date technology for courtroom trials and proceedings; and $10,000 to enhance security by providing uniforms to facilitate identification and visibility of support staff. In addition, as discussed below, the capital budget request includes resources to enhance the Courts' infrastructure, including physical security.

Goal 5: Public Trust and Confidence--$2,355,000

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

The FY 2014 request includes $2,355,000 to address the Courts' goal of engendering public trust and confidence by creating a drop-in center in Northwest D.C. for supervision and services to enhance public safety and reduce recidivism among juvenile males under court supervision.

Built-In Increases--$4,355,000

To maintain the current level of service, the FY 2014 request also includes $3,407,000 for within-grade increases and $948,000 for a 1% cost of living adjustment.

Capital Budget Request: Infrastructure Investments

To support the Courts' Goal 4: A Sound Infrastructure by ensuring the health and safety of those conducting business in our buildings, maintaining and improving the condition of court facilities, and addressing the space needs of court operations, the FY 2014 capital request totals $132,350,000. This request focuses on the Moultrie Courthouse, safety and security, and building maintenance.

The Courts' capital budget is structured to continue progress in implementing the *Facilities Master Plan*, originally completed by the General Services Administration (GSA) in December 2002, with an update completed in 2009 to address facilities requirements through 2018. The updated *Facilities Master Plan* projects a shortfall of 87,575 occupiable square foot over the next 10 years for court operations and identifies needed maintenance and improvements to existing facilities. The updated plan continues to recommend the three-part approach to meet the Courts' space shortfall that was originally identified in 2002 and is in progress: (1) restoration of the Historic Courthouse at 430 E Street for the D.C. Court of Appeals, thereby making additional space available in the Moultrie Courthouse for trial court operations; (2) construction of an addition to the Moultrie Courthouse to provide fully consolidated and state-of-the-art Family Court facilities; and (3) reoccupation of Building C, a court building adjacent to the Historic Courthouse, that had until recently been used by the D.C. Government.

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

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

A significant portion of the FY 2014 capital budget request, $61.9 million, is for the Moultrie Courthouse Addition. This addition will add 108,000 square feet of new and renovated space to the Moultrie Courthouse and expand the building along the south façade at C Street. Funding for the construction phase of this project is distributed over several fiscal years, beginning with an appropriation of $18 million in FY 2012.

The Courts' capital budget request includes $14 million to continue the renovation and reorganization of the interior of the Moultrie Courthouse, which allows the Courts to move operations and functions within the courthouse in order to consolidate the Family Court, to make the building more inviting to the public, to increase efficiency, and to meet modern standards.

The request also includes $1.8 million for the Courtrooms and Chambers project to keep several courtrooms functional until they can be renovated. The worn public seating will be replaced in these courtrooms, which are not scheduled for refurbishment for at least five years.

Security. The Courts, like many public institutions, face security threats to daily operations and individual judges. In addition, the Courts face unique security risks due to the presence of hundreds of prisoners in the Moultrie Courthouse each day. The Courts' request includes $15.4 million to improve physical safety through perimeter security enhancements, and lighting/signage upgrades.

Infrastructure Maintenance. The capital budget also includes a request for $35.9 million to maintain and upgrade the Courts' facilities. Mechanical systems and structural repairs are necessary in order to ensure the safety of building occupants and to preserve the integrity of these historic structures. The Courts request $12.4 million for the HVAC, Electrical, and Plumbing Upgrades project to continue work on main electrical upgrades in the Moultrie Courthouse and to replace HVAC equipment as components pass their useful life. To replace heavily used fixtures in the public restrooms throughout the campus, $1.2 million is requested. The $2 million requested for Fire and Security will finance phased installation of a sprinkler system for the Moultrie Courthouse as part of the ongoing fire sprinkler program for the building. In addition, $14.7 million is requested for General Repair Projects, for, among other things, ADA accessibility, safety enhancements, and continued replacement of fixtures, lighting, flooring, ceiling tiles and other equipment and capital investments as required. To keep the elevators and escalators in working order, $570,000 is in the request. In addition, $3 million is requested for technology infrastructure enhancements. Finally, $2 million is requested in FY 2014 for maintenance of the Historic Courthouse, to protect the public investment in five years after its renovation was completed in 2009.

Additional Master Plan Activities. The Capital Budget also includes $3.4 million to reconfigure vacated space in Buildings A and B.

Defender Services Budget Request

To support Strategic Goal 2: Access to Justice, the Defender Services request totals $49,890,000. In recent years, the Courts have focused on improving the financial management

and administration of the Defender Services programs. For example, the Courts have significantly revised the Criminal Justice Act (CJA) Plan for representation of indigent defendants to ensure that expenses are reasonable and the program is properly managed, and developed CJA attorney panels to ensure that only highly qualified attorneys represent indigent defendants. In addition, the Courts have developed a new Counsel for Child Abuse and Neglect (CCAN) Plan for Family Court cases, adopting attorney practice standards and requiring attorney training and screening to ensure that attorneys appointed in these cases are well-qualified, and contracted for Guardian *ad litem* (GAL) services to enhance representation of abused and neglected children. The Guardianship Program for incapacitated adults has also been revised, imposing a training requirement on attorneys participating in the program.

Most recently, to strengthen financial management of the Defender Services accounts, the Courts engaged an independent accounting firm to undertake a study (1) analyzing and quantifying the liability associated with appointed counsel who had received vouchers but not submitted them for payment, (2) developing a methodology to recognize obligations, and (3) projecting future resource requirements. The Courts sought to improve the alignment of our financial statements, which under generally accepted accounting principles recognize this liability, with our financial system, which had recorded these obligations only upon payment. The Defender Services account had maintained a carryover balance from year to year to cover those vouchers that had been issued in prior years (at the time an attorney was appointed to a case) but not yet submitted for payment.

The study's recommendations were compelling: (1) obligation of new vouchers upon issuance instead of upon submission for payment and (2) obligation of existing vouchers that have been issued but not yet submitted for payment. The Courts began to implement these recommendations in FY 2010, converting the liability reflected in the existing vouchers to obligations in the financial system (using the carryover balance in the Defender Services account) and recording obligations at the time new vouchers are issued.

Appropriations Language and Legislative Proposal Request

The FY 2014 Budget Request includes a proposal for legislation authorizing the D.C. Courts to address budget challenges and reshape the workforce by offering voluntary separation incentive payments, or buyouts. Unlike the Federal Courts and Federal agencies, many of which have offered buyouts recently, the D.C. Courts currently have no authority to offer these payments. Buyouts could enhance the Courts' effectiveness and provide a tool to address budget cuts in the long term.

Chart 1
DISTRICT OF COLUMBIA COURTS
Organizational Structure

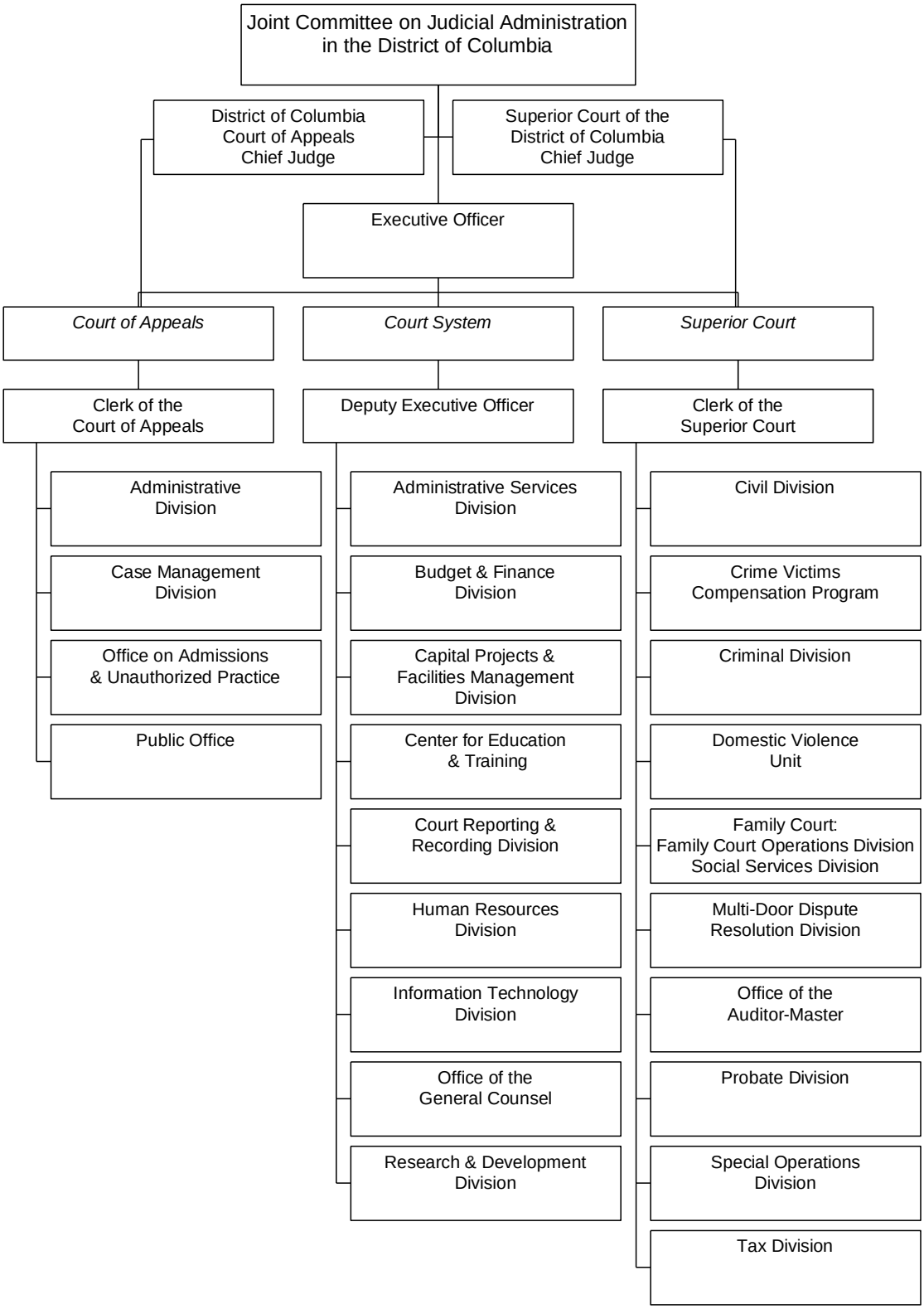

Table 1

DISTRICT OF COLUMBIA COURTS

FY 2014 Budget Justification

Overview of Request

(in dollars)

	FY 2013 Budget*	FY 2014 Request	Difference FY 2013/2014
Court of Appeals	12,909,000	13,454,000	545,000
Superior Court	114,908,000	116,500,000	1,592,000
Court System	67,120,000	70,336,000	3,216,000
Subtotal, Operations	194,937,000	200,290,000	5,353,000
Capital	39,329,000	132,350,000	93,021,000
Total, Federal Payment	234,266,000	332,640,000	98,374,000
Defender Services	49,890,000	49,890,000	0

* Per Administration guidance, this submission uses as the FY 2013 level the annualized amount provided in the Continuing Appropriations Resolution, 2013 P.L. 112-175.

DISTRICT OF COLUMBIA COURTS
FY 2014 Budget Justification
Summary Table

	Courts' Request Amount	FTE
District of Columbia Court of Appeals		
FY 2013 Level	**12,909,000**	**103**
Reductions	***-67,000***	
Requested Increases		
A. Fair and Timely Case Resolution:		
1. Enhancing Case Resolutions	191,000	2
Subtotal	191,000	2
B. Built-In Cost Increases:		
1. Cost of Living Adjustment	77,000	-
2. Within-Grade Increases	344,000	-
Subtotal	*421,000*	-
FY 2014 Budget, Court of Appeals	**13,454,000**	**105**
Superior Court of the District of Columbia		
FY 2013 Level	**114,908,000**	**948**
Reductions	***-3,552,000***	
Requested Increases		
A. Goal 1: Fair and Timely Case Resolution:		
1. Community Service Coordinator (Criminal Division)	95,000	1
Subtotal	*95,000*	*1*
B. Goal 5: Public Trust and Confidence		
1. Northwest BARJ Drop-In Center (Family Court Social Services Division)	2,355,000	-
Subtotal	*2,355,000*	-
C. Built-In Cost Increases:		
1. Cost of Living Adjustment	623,000	-
2. Within-Grade Increases	2,071,000	-
Subtotal	*2,694,000*	-
FY 2014 Budget, Superior Court	**116,500,000**	**949**
District of Columbia Court System		
FY 2013 Level	**67,120,000**	**296**
Reductions	***-1,321,000***	
Requested Increases		
A. Goal 3: A Strong Judiciary and Workforce		
1. Strategic Human Resources (Human Resources Division)	226,000	2
Subtotal	*226,000*	*2*
B. Goal 4: A Sound Infrastructure		
1. Enhancing Public Security (Initiatives Section)	2,356,000	-
2. Facilities Services for Building C (Capital Projects & Facilities Management Division)	350,000	-
3. Enhancing Facilities Maintenance (Capital Projects & Facilities Management Division)	196,000	3
4. Courtroom Technology Support (Information Technology Division)	159,000	2
5. Staff Uniforms (Capital Projects & Facilities Management Division)	10,000	-
Subtotal	*3,071,000*	*5*
C. Built-In Cost Increases:		
1. Cost of Living Adjustment	248,000	-
2. Within-Grade Increases	992,000	-
Subtotal	*1,240,000*	-
FY 2014 Budget, Court System	**70,336,000**	**303**
Grand Total, Operating Budget	**200,290,000**	**1,357**

DISTRICT OF COLUMBIA COURTS
Capital Improvements
FY 2014 Budget Justification
Summary Table

	Courts' Request
Renovations, Improvements & Expansions	
1. Moultrie Courthouse Renovation & Reorganization	14,000,000
2. Moultrie Courthouse Addition	61,919,000
3. Building A Modernization	2,100,000
4. Building B Modernization	1,250,000
5. Courtrooms and Judges Chambers	1,800,000
6. Campus Security, Signage and Lighting	15,351,000
Subtotal, Renovations, Improvements & Expansions	*96,420,000*
Maintain Existing Infrastructure	
1. HVAC Electrical and Plumbing Upgrades	12,430,000
2. Restroom Improvements	1,210,000
3. Fire and Security Alarm Systems	2,010,000
4. General Repair Projects	14,710,000
5. Elevator and Escalator Repairs and Replacement	570,000
6. Technology Infrastructure	3,000,000
7. Historic Courthouse	2,000,000
Subtotal, Maintain Existing Infrastructure	*35,930,000*
FY 2014 Budget, Capital Improvements	**132,350,000**

DISTRICT OF COLUMBIA COURTS
Defender Services
FY 2014 Budget Justification
Summary Table

	Courts' Request
FY 2013 Level	**49,890,000**
Requested Increases	-
FY 2014 Budget, Defender Services	**49,890,000**

District of Columbia Courts
FY 2014 Budget Justification
Appropriations Language and Legislative Proposal

LANGUAGE

Appropriations Language

FEDERAL PAYMENT TO THE DISTRICT OF COLUMBIA COURTS

For salaries and expenses for the District of Columbia Courts, **[**$219,651,000**]** *$332,640,000* to be allocated as follows: for the District of Columbia Court of Appeals, **[**$13,118,000**]** *$13,454,000*, of which not to exceed **[**$1,500**]** *$2,500* is for official reception and representation expenses; for the District of Columbia Superior Court, **[**$111,746,000**]** *$116,500,000*, of which not to exceed **[**$1,500**]** *$2,500* is for official reception and representation expenses; for the District of Columbia Court System, **[**$66,037,000**]** *$70,336,000*, of which not to exceed **[**$1,500**]** *$2,500* is for official reception and representation expenses; and **[**$*28,750*,000**]** *$132,350,000*, to remain available until September 30, **[**2014**]** *2015*, 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 building evaluation report: *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 $3,000,000 of the funds provided under this heading among the items and entities funded under this heading but no such allocation shall be increased by more than **[**4**]** *10* percent. (FY 2013 President's Recommendation)

FEDERAL PAYMENT FOR DEFENDER SERVICES IN DISTRICT OF COLUMBIA COURTS

For payments authorized under section 11–2604 and section 11–2605, D.C. Official Code (relating to representation provided under the District of Columbia Criminal Justice Act), payments for counsel appointed in proceedings in the Family Court of the Superior Court of the District of Columbia under chapter 23 of title 16, D.C. Official Code, or pursuant to contractual agreements to provide guardian ad litem representation, training, technical assistance, and such other services as are necessary to improve the quality of guardian ad litem representation, payments for counsel appointed in adoption proceedings under chapter 3 of title 16, D.C. Official Code, and payments authorized under section 21–2060, D.C. Official Code (relating to services provided under the District of Columbia Guardianship, Protective Proceedings, and Durable Power of Attorney Act of 1986), $49,890,000, to remain available until expended: *Provided*, That funds provided under this heading shall be administered by the Joint Committee on Judicial Administration in the District of Columbia: *Provided further*, That, notwithstanding any other provision of law, this appropriation shall be apportioned quarterly by the Office of Management and Budget and obligated and expended in the same manner as funds appropriated for expenses of other Federal agencies. (FY 2013 President's Recommendation)

Legislative Proposal[2]

VOLUNTARY SEPARATION INCENTIVE PAYMENTS

Sec. __. District of Columbia Courts. 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 individuals serving the District of Columbia Courts.

[2] Please note that the D.C. Courts will also submit legislative proposals to the appropriate authorizing authority.

JUSTIFICATION

ACCOUNT: FEDERAL PAYMENT TO THE DISTRICT OF COLUMBIA COURTS	
Proposed change	Amended Language: "For salaries and expenses for the District of Columbia Courts, **. . .** to be allocated as follows: for the District of Columbia Court of Appeals, **. . .** of which not to exceed **[**$1,500**]** *$2,500* is for official reception and representation expenses; for the District of Columbia Superior Court, **. . .** of which not to exceed **[**$1,500**]** *$2,500* is for official reception and representation expenses; for the District of Columbia Court System, **. . .** of which not to exceed **[**$1,500**]** *$2,500* is for official reception and representation expenses;"
Purpose	Restores language in fiscal 2010 - 2012 appropriations acts and fiscal 2013 appropriations bills making $2,500 available for official reception and representation expenses.
Justification	The request maintains the current level of the D.C. Courts' funds for official reception and representation purposes, required to meet responsibilities such as to support legal education in the District (home to six law schools), to work with D.C. Bar committees of volunteers, and to host the high number of international guests who visit the D.C. Courts to learn about legal systems in democratic societies. The amount requested would restore the sum appropriated each year since fiscal year 2010 and contained in both House and Senate appropriations bills for fiscal 2013, is commensurate with small federal agencies, and is considerably less than the representation funds of other District officials. For example, the Mayor, Council Chair, and several other District officials *each* have $10,600 available for official reception and representation expenses.

ACCOUNT: FEDERAL PAYMENT TO THE DISTRICT OF COLUMBIA COURTS	
Proposed change	Amended Language: "*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 $3,000,000 of the funds provided under this heading among the items and entities funded under this heading but no such allocation shall be increased by more than **[**4**]** *10* percent."
Purpose	Restores to 10% the limit on the amount by which the funds for any entity may be increased when the Courts reallocate funds among court entities.
Justification	The three entities of the District of Columbia Courts, the Court of Appeals, the Superior Court, and the Court System comprise a unified court system. As the three entities work together to develop new means of serving the public, executing their mission, and advancing administrative efficiencies, they require adequate authority to shift resources among themselves, for example, to accommodate administrative reorganizations. The requested change to a 10% limit on the amount by which the funds for any entity may be increased when the Courts reallocate funds restores the amount enacted in FY 2012 and included in both House and Senate bills for FY 2013.

Legislative Proposal: VOLUNTARY SEPARATION INCENTIVE PAYMENTS	
Proposed change	New Provision: *Sec. __. District of Columbia Courts. 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 individuals serving the District of Columbia Courts.*
Purpose	Authorize the D.C. Courts to offer voluntary separation incentive payments (buyouts).
Justification	The D.C. Courts operate in a dynamic environment; buyouts are a necessary tool to effectively administer justice in the District of Columbia while confronting budget cuts and adapting to a changing workforce and the evolving needs of the community. Budget reductions caused by the difficult economic circumstances facing the Nation are expected to continue in the future. The Courts need the tools available to the Federal Government to address budget gaps while continuing to provide quality service to the public and to fulfill our mission. The Courts are engaged in a strategic human resources initiative to manage

Legislative Proposal: VOLUNTARY SEPARATION INCENTIVE PAYMENTS
change and address workforce planning. Approximately one-third of the Courts' workforce is eligible to retire in the next five years. Changes in technology and the needs of the public drive changes in employee skill requirements. Buyout authority is an essential tool for restructuring and reshaping the Courts' workforce without sacrificing service to the public and employee productivity and morale, which would be at risk with options such as RIF's or furloughs that might become necessary in the absence of this authority. According to news reports, approximately 20 Federal agencies and the Federal courts offered buyouts during 2011 and 2012. The D.C. Courts are federally financed and D.C. Courts' employees are federal employees for purposes of retirement under the Revitalization Act (National Capital Revitalization and Self-Government Improvement Act of 1997, Pub. L. 105-33). Therefore, like federal agencies and federal courts, the D.C. Courts should have the ability to utilize buyouts as a tool to help meet budget demands and reshape the workforce. The Courts seek authority to establish a buyout program which is "substantially similar" to the federal program because the Courts have independent personnel authority and should not be subject to Office of Personnel Management approval of a Court plan to offer buyouts to employees. The suggested language is modeled on the buyout authority for the federal courts, which also have independent personnel authority. See Homeland Security Act of 2002, Pub. L. 107-296, sec. 1313(a), which created permanent authority for executive agencies and the Federal Judiciary to offer voluntary separation incentive payments ("The Director of the Administrative Office of the United States Courts may, by regulation, establish a program substantially similar to the [federal buyout] program . . . for individuals serving in the judicial branch.").

DISTRICT OF COLUMBIA COURTS
FY 2014 Budget Justification
Initiatives

ENHANCING PUBLIC SECURITY

Initiative Element	Requested Increase
Hire 25 additional Special Security Officers	$2,356,000
TOTAL	**$2,356,000**

Problem Statement. The 9/11 terrorist attacks heightened concerns for the safety and security of the District of Columbia Courts given the nature of matters handled here as well as our proximity to the U.S. Capitol, the White House and the Supreme Court. In addition, increasing incidents of violence in courthouses throughout the country has made the enhancement of courthouse security a top priority. A survey by the American Bar Association found that 60% of judges nationally have been threatened, and the U.S. Marshals Service reported an increase in threats specifically against judicial officers at the District of Columbia Courts. Compounding the security risks at the D.C. Courts' complex is the shortage of Deputy U.S. Marshals to provide protection in the courtroom and the number of volatile incidents that occur, particularly in Family Court and Domestic Violence courtrooms which are not manned by the U.S. Marshals Service. Across the nation judges and members of the public are most often injured or killed in court proceedings for these types of matters.

The District of Columbia Courts operate one of the busiest courthouse complexes in the country. On a daily basis, approximately 10,000 persons visit the D.C. Courts, and between 250 and 550 prisoners are transported to and held in the Moultrie Courthouse. With continued implementation of the Master Plan for D.C. Court Facilities, court proceedings are now occurring in all court buildings in Judiciary Square, including the Historic Courthouse, Building A, Building B, Building C, and the Moultrie Courthouse. In addition, juvenile probation services are provided in four centers located in various areas of the community.

The rising number of security incidents in courthouses throughout the country, coupled with the location of the District of Columbia Courts in the Nation's Capital, the shrinking U.S. Marshals Service resources, and an increase in the number of buildings where court services occur provided the impetus for a review of security at the D.C. Courts. To mitigate the shortage of deputy marshals, the United States Marshal for the Superior Court of the District of Columbia conducted a Special Security Officer (SSO) staffing assessment. Factors that were considered during the SSO staffing assessment were the recent assaults on court staff, the increase in courtroom violence over the past several years, the increase in the number of violent offenders brought into the courthouse for court appearances, and the increase in attempts to introduce contraband into the courthouse. The number of SSOs has remained constant for over five years, despite an increase in the number of court buildings. Since 2007 the D.C. Courts have opened two additional court buildings in Judiciary Square – the Historic Courthouse that houses the D.C. Court of Appeals and Building C, and three additional juvenile probation centers in the community. The U.S. Marshals assessment recommended a 25-officer increase in the number of

SSOs to meet the Courts' security needs. Additional security staff are essential to ensure the safety and security of our judges, staff, the criminal justice community, and the public who seek justice in the District of Columbia.

Relationship to Court Vision, Mission, and Strategic Goals. The enhancement of courthouse security supports the Courts' Goal 4.C to provide a safe and secure environment for the administration of justice and ensure continuity of operations in the event of an emergency or disaster. A secure environment is essential to the Courts' mission of protecting rights and liberties and upholding the law.

Proposed Solution. The Courts plan to procure the services of 25 Special Security Officers to enhance courthouse security.

Methodology. Currently, there are 130 SSOs that work with the U.S. Marshals Service and the Chief Security Officer on court security issues, and are responsible for the safety of the approximately 1,300 employees (including more than 100 judges), five distinct court buildings in Judiciary Square, four juvenile probation centers in the community, and 10,000 members of the public who conduct business at the D.C. Courts each day. There is a need for additional staffing resources, which should result in a more comprehensive and proactive approach when addressing court security issues.

Expenditure Plan. The procurement of the SSO services will be obtained through an interagency agreement with the U.S. Marshals Service.

Performance Indicators. Performance indicators include a reduction in incident reports and compliance with federal courthouse security standards. Ultimately, however, in the area of security the best measure of performance is the avoidance of harm to individuals and facilities. Since the precise level and nature of the risk cannot be known it is difficult, at best, to prove the efficacy of any security enhancements. The approach taken here is to identify known risks and gaps in existing security and to address them proactively.

DISTRICT OF COLUMBIA COURT OF APPEALS

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
103	12,830,000	103	12,909,000	105	13,454,000	2	624,000

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

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

Organizational Structure

The Office of the Clerk of the Court

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

- Public Office - The public office is responsible for receiving all incoming documents, docketing pleadings, maintaining the official case files, receiving and answering public inquiries, providing internal mail service, and supporting courtroom operations. This office currently has 12 FTEs.

- Case Management Division - The case management division oversees the processing of cases prior to calendaring for argument or submission without argument. The process includes handling all motions matters, establishing briefing schedules, and overseeing all deadlines and those matters expedited by order of the court. The division reviews all incoming motions and pleadings, and prepares proposed orders, *sua sponte* or in response to motions filed by the parties, for approval by the Clerk, Chief Judge, or a motions division (three judges). Attorneys in the division provide legal analyses (and recommended dispositions) in substantive motions and emergency matters and matters

brought under the court's original (e.g., mandamus) and discretionary jurisdiction (e.g., small claims and interlocutory matters). This division currently has 16 FTEs.

- Immediate Office - The immediate office, which includes the Clerk and the Chief Deputy Clerk, is responsible for the general administration of the Clerk's Office; coordination of the processing of appeals after briefing such as calendaring, case screening, and the processing of motions and orders in calendared matters; coordination of the issuance of opinions and mandates, petitions for rehearing and/or rehearing *en banc*; the processing of bar-related disciplinary, admissions, and unauthorized practice of law matters; and the preparation of court statistics. This office currently has 7 FTEs.

- Committee on Admissions and the Committee on the Unauthorized Practice of Law - The staff of the Committee on Admissions and the Committee on Unauthorized Practice of Law administers the Bar examination; processes applications for admission to the Bar by examination and motion, applications for authorization to practice as special legal consultants, applications by law students to practice under D.C. App. R. 48 and motions to appear *pro hac vice;* collects admissions and related fees; provides staff support for the investigation of complaints against unauthorized persons practicing law; and provides support to the two committees, which ensure that local legal needs are met by properly qualified and licensed attorneys. The office currently has 6 FTEs.

- Administrative Office - The administrative staff is responsible for the provision of budget and accounting, personnel, information technology, telecommunications, library, procurement, and facilities management services for the Court. This office currently has 7 FTEs.

Organizational Objectives

Strategic Goal 1: Fair and Timely Case Resolution

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

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

Strategic Goal 3: A Strong Judiciary and Workforce

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

Strategic Goal 5: Public Trust and Confidence

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

Workload Data

The Court of Appeals tracks its workload and performance for two major categories of activities: (1) cases 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 including 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 are used to assess staffing needs.

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
2010	1,699	1,785	105%	2,104	7,355
2011	1,803	2,029	110%	1,873	6,027

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

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

Fiscal Year	Bar Admission Applications Received	Multistate Bar Exam Score Transfer Requests Processed	Certificates of Good Standing Issued	Wall Certificate Orders Processed
2010	3,738	2,610	11,216	806
2011	3,294	2,290	10.446	624

Case Processing and Operational Efficiency Initiatives

The Court of Appeals has instituted many initiatives to facilitate or expedite case processing, to achieve operational efficiencies, and to enhance service to the public. This year, the following initiatives were undertaken to improve operations and case processing.

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

2 The Court implemented the first phase of a new case management system ("C-Track") to enhance case management processes. The system captures, tracks, processes, and reports case information using a standard web browser. It is designed to automatically calendar cases, set scheduled actions, assign tasks, change a case status, and generate documents

based on case processing or docketing activity. Since C-Track is highly configurable and built using modern web development technologies, it can adapt readily to the changing needs of the Court.

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

1 The Court of Appeals installed assistive listening devices in the courtroom for attorneys, litigants, judges, and the public and improved quality recording of oral arguments which can be made available on compact disks. The new system permits court staff to hear oral arguments through their desktop PC's and permits audio-streaming of the oral arguments over the internet for the public.

2 The Court developed and conducts annually a continuing legal education course on appellate practice for members of the D.C. Bar.

3 The Court of Appeals continued to enhance the instructional materials available through the internet for litigants and for attorneys seeking admission to the Bar, and to provide internet access to the Court's rules, forms, and opinions. The Court of Appeals section of the website can be accessed directly at www.dcappeals.gov.

4 The *sua sponte* expedition of appeals in cases involving adoption and the termination of parental rights to ensure prompt decisions in cases that affect the stability of the living environment of children who have been subjected to abuse and neglect.

5 Annual training of the Court's Criminal Justice Act attorneys and training of D.C. Superior Court Child Abuse and Neglect attorneys concerning appellate issues.

6 Pursuant to its updated plan for furnishing representation to indigent criminal and juvenile appellants under the Criminal Justice Act (CJA), and an extensive application process, the Court established a new list of attorneys to be appointed under the CJA in 2005. Approximately 80 well-qualified attorneys were selected from over 300 applicants. Re-evaluation of members of the panel of attorneys and consideration of new applicants occurred in every year thereafter.

7 In bar discipline cases, the Court continued to expedite the imposition of discipline and to authorize negotiated discipline where appropriate.

Table 3
COURT OF APPEALS
Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY 2011 Actual	Projection FY 2012	Projection FY 2013	Projection FY 2014
Input	Number appeals filed	Court data	1,803	1,840	1,932	2,029
Output/ Activity	Number of cases disposed	Court data	2,029	2,001	2,081	2,164
Productivity/Efficiency	Cases disposed/cases filed	Court data	110%	109%	108%	107%

FY 2014 Request

In FY 2014, the D.C. Courts request for the Court of Appeals is $13,454,000, an increase of $624,000 (4.9%) above the FY 2012 Enacted Budget. The requested increase includes $191,000 for 2 FTEs to enhance case resolutions and $433,000 for built-in cost increases.

Enhancing Case Resolutions, $191,000 and 2 FTEs

One Appeals Mediation Program Coordinator (JS-13)
One Appeals Mediation Officer (JS-11)

Problem Statement. The D.C. Courts consistently have among the highest appellate caseloads in the country. Statistics compiled by the National Center for State Courts show that the D.C. Court of Appeals has the highest population-adjusted appellate caseload of any jurisdiction without an intermediate appellate court. The Court of Appeals (COA) has made significant gains in enhancing the timely resolution of cases by achieving the lowest overall median time on appeal in eight years. This progress is largely due to increased efficiencies in case processing. The COA has renewed its commitment to resolving appeals in a more timely fashion. But an extremely heavy caseload and the complexity of appeals coming before the court argue strongly in favor of changes to our current court practices and also the need for additional resources. In order to achieve its goal of fair and timely case resolution, the COA requests resources for an Appellate Mediation Program in which certain civil appeals, identified as having issues amenable to resolution, are referred to Senior Judges and volunteer attorneys for mediation. Such a program was successfully piloted a few years ago, resulting in quicker case resolution for some matters and freeing judicial time for more difficult cases. One Appellate Mediation Program Coordinator and one Mediation Officer are requested to operate this program.

Relationship to the D.C. Court's Vision, Mission and Goals. The requested positions support the D.C. Courts' goals of fair and timely case resolution and enhanced access to justice.

Relationship to Court of Appeals MAP Objectives. The positions are critical to the success of the COA strategic objectives of enhancing services to the public, improving access to the courts and ensuring speedy and informed judicial decision-making.

Relationship to Existing Funding. There is no funding in the Court's budget to support the requested positions. In addition, reengineering and redesigning of the current resources in order to support these new functions cannot be done under current fiscal constraints.

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

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

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

Table 4

COURT OF APPEALS

New Positions Requested

Position	Grade	Number	Annual Salary	Benefits	Total Personnel Costs
Appeals Mediation Program Coordinator	13	1	$89,000	$23,000	$112,000
Appeals Mediation Program Officer	11	1	$63,000	$16,000	$79,000
Total		**2**	**$152,000**	**$39,000**	**$191,000**

Table 5

COURT OF APPEALS

Budget Authority by Object Class

	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request	Difference FY 2012/2014
11 - Personnel Compensation	9,252,000	9,309,000	9,795,000	543,000
12 - Personnel Benefits	2,326,000	2,340,000	2,466,000	140,000
Subtotal Personnel Cost	***11,578,000***	***11,649,000***	***12,261,000***	***683,000***
21 - Travel, Transp. of Persons	57,000	57,000	57,000	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	98,000	99,000	99,000	1,000
24 - Printing & Reproduction	83,000	83,000	83,000	0
25 - Other Services	252,000	254,000	187,000	-65,000
26 - Supplies & Materials	89,000	90,000	90,000	1,000
31 - Equipment	673,000	677,000	677,000	4,000
Subtotal Non-Personnel Cost	***1,252,000***	***1,260,000***	***1,193,000***	***-59,000***
TOTAL	**12,830,000**	**12,909,000**	**13,454,000**	**624,000**
FTE	103	103	105	2

Table 6
COURT OF APPEALS
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Positions WIG	103	273,000	
	Current Positions COLA		61,000	
	Appeals Mediation Prog. Coord.	1	89,000	
	Appeals Mediation Prog. Officer	1	63,000	
	Additional CR Funding of 0.612%		57,000	
Subtotal 11				*543,000*
12 - Personnel Benefits	Current Positions WIG		71,000	
	Current Positions COLA		16,000	
	Appeals Mediation Prog. Coord.		23,000	
	Appeals Mediation Prog. Officer		16,000	
	Additional CR Funding of 0.612%		14,000	
Subtotal 12				*140,000*
Subtotal Personnel Services				***683,000***
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Additional CR Funding of 0.612%			1,000
24 - Printing & Reproduction				
25 - Other Services	Additional CR Funding of 0.612%		2,000	
	Reduction		-67,000	
Subtotal 25				*-65,000*
26 - Supplies & Materials	Additional CR Funding of 0.612%			1,000
31 - Equipment	Additional CR Funding of 0.612%			4,000
Subtotal Non-Personnel Services				***-59,000***
TOTAL				**624,000**

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

Grade	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request
JS-5			
JS-6	1	1	1
JS-7	2	2	2
JS-8	2	2	2
JS-9	9	9	9
JS-10	4	4	4
JS-11	54	54	55
JS-12	9	9	9
JS-13	6	6	7
JS-14	3	3	3
JS-15	2	2	2
JS-16			
CES	2	2	2
Ungraded	9	9	9
Total Salaries	**9,252,000**	**9,309,000**	**9,795,000**
Total FTEs	103	103	105

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
Overview

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
948	114,209,000	948	114,908,000	949	116,500,000	1	2,291,000

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 as its only trial court. It receives its funding directly from the Federal government and operates in the nation's most visible arena. With the support of 113 judicial officers, including 62 active judges, 26 senior judges, and 25 magistrate judges, the Superior Court is the court of general jurisdiction over virtually all local legal matters. Supported by approximately 800 non-judicial personnel, the Court operates six major divisions identified below and the Special Operations Division (including the Tax Division), the Domestic Violence Unit, the Crime Victims Compensation Program, and the Office of the Auditor-Master. The major divisions are –

- **Civil Division**, which has general jurisdiction over any civil action at law or in equity brought in the District of Columbia, regardless of the amount in controversy, including Small Claims and Landlord and 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, marriage licenses, 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 case filings

During FY 2011, 101,941 new cases were filed with the Superior Court. Of the total new filings, 52% were civil cases; 27% were criminal cases; 11% were family cases; 7% were domestic violence cases and the remaining 3% were probate and tax cases. In addition to new case filings, as of October 1, 2011, there were 43,544 cases pending. Tables 1 and 2 provide Superior Court caseload data.

Table 1
District of Columbia Superior Court Caseload

Fiscal Year	New Cases	Start-of-Year Pending Cases	Total Cases Available for Disposition
2002	136,045	55,071	205,770
2003	133,425	56,198	204,417
2004	134,767	47,498	200,521
2005	128,468	45,892	191,265
2006	124,003	69,817	196,478
2007	121,130	54,358	177,713
2008	117,965	54,930	172,895
2009	115,045	53,876	171,972
2010	103,871	47,977	151,848
2011	101,941	45,562	157,648

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

Table 2
District of Columbia Superior Court
Efficiency Measures
(Fiscal Year 2011 data)

	Cases Disposed	Cases Added	Clearance Rate*	Cases Pending		
				01-Oct	30-Sep	Change
Civil	57,400	57,932	99%	15,146	15,678	3.5%
Criminal	30,554	30,512	109%	8,366	8,727	4.3%
Domestic Violence	7,551	7,570	100%	805	824	2.4%
Family	15,685	12,616	124%	12,883	9,814	-23.8%
Probate	2,992	2,921	102%	6,918	2,514	-1.0%
Tax	325	635	61%	1,444	1,654	14.5%
Total	**114,507**	**112,086**	**102%**	**45,562**	**43,554**	**-4.4%**

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

FY 2014 Request

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

- **Goal 1**: Fair and timely case resolution;
- **Goal 2**: Access to justice;
- **Goal 3**: A strong judiciary and workforce;
- **Goal 4**: A sound infrastructure;
- **Goal 5**: Security and disaster preparedness; and
- **Goal 6**: Public trust and confidence.

The Superior Court has aligned its FY 2014 request around two of the five goals— fair and timely case resolution and public trust and confidence.

In FY 2014, the Superior Court requests $116,500,000 and 949 FTEs, which includes a budget reduction of $3,552,000 and an increase of $5,843,000, or a net increase of $2,291,000 (2%) and 1 FTE above the FY 2012 Enacted Budget. The request includes increases to support the following Court goals:

Goal 1: Fair and timely case resolution, $95,000, 1 FTE

The Superior Court's FY 2014 request includes $95,000 for 1 FTE to address the Courts' strategic goal of fair and timely case resolution by strengthening the effectiveness and capacity of the problem solving courts.

Goal 5: Public Trust and Confidence, $2,355,000

The Superior Court's FY 2014 request includes $2,355,000 to address the Courts' strategic goal of public trust and confidence, including $2,355,000 to enhance public safety and reduce recidivism among juvenile males under court supervision by creating a drop-in center in Northwest D.C. for supervision and services.

Table 3
SUPERIOR COURT
Budget Authority by Object Class

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/2014**
11 – Compensation	75,765,000	76,230,000	78,444,000	2,679,000
12 – Benefits	17,709,000	17,819,000	18,394,000	685,000
Subtotal Personnel Cost	***93,474,000***	***94,049,000***	***96,838,000***	***3,364,000***
21 - Travel, Transp. of Persons	464,000	467,000	467,000	3,000
22 - Transportation of Things	13,000	13,000	13,000	0
23 - Rent, Commun. & Utilities	3,272,000	3,292,000	3,232,000	-40,000
24 - Printing & Reproduction	584,000	587,000	587,000	3,000
25 - Other Services	14,714,000	14,805,000	13,663,000	-1,051,000
26 - Supplies & Materials	938,000	942,000	947,000	9,000
31 – Equipment	750,000	753,000	753,000	3,000
Subtotal Non-Personnel Cost	***20,735,000***	***20,859,000***	***19,662,000***	***-1,073,000***
TOTAL	**114,209,000**	**114,908,000**	**116,500,000**	**2,291,000**
FTE	948	948	949	1

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
JUDGES AND CHAMBERS STAFF

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
204	26,400,000	204	26,562,000	204	26,910,000	0	510,000

Organizational Background

The Superior Court of the District of Columbia is the court of general jurisdiction over virtually all local legal matters. The Court is comprised of ten divisions and offices, which provide for all local litigation functions including criminal, civil (e.g., landlord tenant, and small claims), family (including abuse and neglect, juvenile, and domestic relations cases), probate and tax. In FY 2011, Superior Court judges handled more than 101,000 new case filings. The 62 judges of the Superior Court rotate to each division on a scheduled basis, with judges in the Family Court serving renewable three or five year terms. Each Superior Court judge has an administrative assistant and a law clerk.

FY 2014 Request

In FY 2014, the Courts request $26,910,000 for Judges and Chambers Staff, an increase of $510,000 (1.9%) above the FY 2012 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 1
JUDGES AND CHAMBERS STAFF
Budget Authority by Object Class

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/2014**
11 - Personnel Compensation	21,991,000	22,127,000	22,403,000	412,000
12 - Personnel Benefits	4,294,000	4,320,000	4,392,000	98,000
Subtotal Personnel Cost	***26,285,000***	***26,447,000***	***26,795,000***	***510,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	9,000	9,000	9,000	0
25 - Other Services	0	0	0	0
26 - Supplies & Materials	58,000	58,000	58,000	0
31 – Equipment	48,000	48,000	48,000	0
Subtotal Non Personnel Cost	***115,000***	***115,000***	***115,000***	***0***
TOTAL	**26,400,000**	**26,562,000**	**26,910,000**	**510,000**
FTE	204	204	204	0

Table 2
JUDGES AND CHAMBERS STAFF
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/FY 2014
11 - Personnel Compensation	Current Position WIG		196,000	
	Current Position COLA		80,000	
	Additional CR funding of 0.612%		136,000	
Subtotal 11				*412,000*
12 - Personnel Benefits	Current Position WIG		51,000	
	Current Position COLA		21,000	
	Additional CR funding of 0.612%		26,000	
Subtotal 12				*98,000*
Subtotal Personnel Services				***510,000***
21 - Travel, Transp. Of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials				
31 - Equipment				
Subtotal Non-Personnel Services				***0***
Total				**510,000**

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

Grade	2012 Enacted	2013 Annualized CR	2014 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	80	75	75
JS-11	60	65	65
JS-12	1	1	1
JS-13			
JS-14	1	1	1
JS-15			
Ungraded	62	62	62
Total Salary	**21,991,000**	**22,127,000**	**22,403,000**
Total FTEs	204	204	204

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
MAGISTRATE JUDGES AND STAFF

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
49	7,018,000	49	7,061,000	49	7,136,000	0	118,000

Organizational Background

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

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

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

FY 2014 Request

In FY 2014, the Courts request $7,136,000 for Magistrate Judges and Staff, an increase of $118,000 (1.7%) above the FY 2012 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 1
MAGISTRATE JUDGES AND STAFF
Budget Authority by Object Class

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/2014**
11 - Personnel Compensation	5,588,000	5,622,000	5,682,000	94,000
12 - Personnel Benefits	1,400,000	1,409,000	1,424,000	24,000
Subtotal Personnel Cost	***6,988,000***	***7,031,000***	***7,106,000***	***118,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	6,000	6,000	6,000	0
25 - Other Services	0	0	0	0
26 - Supplies & Materials	13,000	13,000	13,000	0
31 - Equipment	11,000	11,000	11,000	0
Subtotal Non Personnel Cost	***30,000***	***30,000***	***30,000***	***0***
TOTAL	**7,018,000**	**7,061,000**	**7,136,000**	**118,000**
FTE	49	49	49	0

Table 2
MAGISTRATE JUDGES AND STAFF
Detail Difference, FY 2012/2014

Object Class	**Description of Request**	**FTE**	**Cost**	**Difference FY 2012/FY 2014**
11 - Personnel Compensation	Current Position WIG	49	17,000	
	Current Position COLA		43,000	
	Additional CR funding of 0.612%		34,000	
Subtotal 11				*94,000*
12 - Personnel Benefits	Current Position WIG		4,000	
	Current Position COLA		11,000	
	Additional CR funding of 0.612%		9,000	
Subtotal 12				*24,000*
Subtotal Personnel Services				***118,000***
21 - Travel, Transp. Of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials				
31 - Equipment				
Subtotal Non-Personnel Services				***0***
Total				**118,000**

Table 3

MAGISTRATE JUDGES AND STAFF

Detail of Full-Time Equivalent Employment

Grade	**2012 Enacted**	**2013 Annualized CR**	**2014 Request**
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9	10	10	10
JS-10	12	12	12
JS-11			
JS-12			
JS-13			
JS-14	2	2	2
JS-15	25	25	25
JS-16			
JS-17			
CES			
Total Salary	**5,588,000**	**5,622,000**	**5,682,000**
Total FTEs	49	49	49

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

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
9	963,000	9	969,000	9	1,006,000	0	43,000

Mission Statement

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

Organizational Background

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

FY 2014 Request

For FY 2014, the D.C. Courts request $1,006,000 for the Office of the Clerk of the Court, an increase of $43,000 (4.5%) above the FY 2012 Enacted Budget. The requested increase consists entirely of built-in increases.

Table 1
CLERK OF THE COURT
Budget Authority by Object Class

	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request	Difference FY 2012/2014
11 - Personnel Compensation	789,000	794,000	823,000	34,000
12 - Personnel Benefits	160,000	161,000	169,000	9,000
Subtotal Personnel Cost	***949,000***	***955,000***	***992,000***	***43,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	0	0	0	0
26 - Supplies & Materials	9,000	9,000	9,000	0
31 - Equipment	5,000	5,000	5,000	0
Subtotal Non Personnel Cost	***14,000***	***14,000***	***14,000***	***0***
TOTAL	**963,000**	**969,000**	**1,006,000**	**43,000**
FTE	9	9	9	0

Table 2
CLERK OF THE COURT
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/FY 2014
11 - Personnel Compensation	Current Position WIG	9	23,000	
	Current Position COLA		6,000	
	Additional CR funding of 0.612%		5,000	
Subtotal 11				*34,000*
12 - Personnel Benefits	Current Position WIG		6,000	
	Current Position COLA		2,000	
	Additional CR funding of 0.612%		1,000	
Subtotal 12				*9,000*
Subtotal Personnel Services				***43,000***
21 - Travel, Transp. Of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials				
31 - Equipment				
Subtotal Non-Personnel Services				***0***
Total				**43,000**

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

Grade	2012 Enacted	2013 Annualized CR	2014 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	6	1	1
JS-9		5	5
JS-10			1
JS-11	1	1	
JS-12			
JS-13			
JS-14	1	1	1
JS-15			
JS-16			
JS-17			
CES	1	1	1
Total Salary	**789,000**	**794,000**	**823,000**
Total FTEs	9	9	9

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
CIVIL DIVISION

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
103	7,415,000	103	7,460,000	103	7,736,000	0	321,000

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

Organizational Background

The Division is comprised of a Director's Office, which has five full time equivalent staff, (FTEs), and four branches described as follows:

1. The Civil Actions Branch processes all new civil cases where the amount in controversy exceeds $5,000, including cases requesting equitable relief (such as an injunction or temporary restraining order). In FY 2011 there were more than 10,573 civil actions filed. Branch responsibilities also include providing procedural information to the public, reviewing electronically filed documents and in-person filings for compliance with Court Rules, processing all post-judgment enforcement requests, scanning documents into the case tracking system, and securely maintaining all civil cases, physically and electronically. This branch has 28 FTEs.

2. The Quality Review Branch monitors compliance with time limits imposed by Court Rules, schedules events, handles identity consolidation matters, issues notices, reviews and validates reports and manages all Civil courtroom operations. This branch has 29 FTEs.

3. The Landlord and Tenant Branch processes all actions for the possession of rental property and violations of lease agreements filed by landlords. The branch handled a caseload in excess of 37,218 filings in fiscal year 2011. This branch has 20 FTEs.

4. The Small Claims and Conciliation Branch oversees the processing, scheduling, and adjudication of cases where the amount in controversy is up to $5,000. In FY 2011, there were over 9,313 small claims cases filed. This branch has 21 FTEs.

Divisional Objectives

- Ensure prompt and efficient case processing and accurately record resulting information;
- Allow easy access to data in a prompt manner;
- Provide quality customer service promptly, professionally, and courteously;
- Partner with the Bar and community agencies to enhance services to the public;
- Provide ongoing and continuous evaluation and process improvement;
- Ensure a capable, ethical, and productive staff.

Initiatives

- Enhance case processing efficiency by collaborating with the Presiding Judge to develop a plan, including timeline and procedures, to implement a staggered calendaring system for landlord & tenant cases as well as small claims cases for implementation by the end of FY 2012.

- Enhance job knowledge and skills of supervisory and managerial staff by developing a New Employee Guidebook for each branch and job function and incorporating them into the Division's cross-training program.

- Employ technology to enhance case processing efficiencies by developing a paper-on-demand plan, including timeline and procedures, for landlord and tenant and civil actions cases.

- Expand public access to justice by institutionalizing the Housing Conditions Calendar from a pilot project to a permanent calendar.

- Expand public access to justice by increasing the e-filing capabilities to include electronic filing of the initial complaint in Civil Actions cases.

- Enhance employee engagement to increase job productivity.

Management Action Plan (MAP) Objectives

The following are Civil Division Management Action Plan (MAP) objectives, implemented to further the Strategic Plan of the District of Columbia Courts.

- Ensure timely case processing by performing Clerk's Office case processing activities within established time standards. Collaborate with judicial leadership to achieve established case processing standards in the areas of: Time to Disposition, Trial Date Certainty, and Age of Pending Pre-Disposition Caseload.

- Conduct periodic training to ensure judicial officers and court personnel understand the needs of persons who face potential barriers to Court access.

- Promote quality customer service by providing accurate and timely information to judicial officers, court personnel, and other court participants.

- Use time standards, alternative dispute resolution, and best practices to manage cases.

- Implement data collection and reporting of court wide performance measures, coordinating with the Information Technology Division and the Research and Development Division to utilize best practices, facilitate court wide report production, and ensure integrity of court wide and division-level performance data.

- Regularly review court processes and services to identify and eliminate barriers to access.

- Align the division's staffing with the Courts' strategic planning goals and objectives and the division's MAPs to enhance delivery of services and prepare for workforce changes.

  Continue a coordinated, in-house cross training program among supervisory and managerial staff that facilitates job knowledge and enhancement of skills among employees and expand knowledge by incorporating routine training.

- Review and analyze the use of a staggered calendaring system for landlord and tenant, small claims and civil actions cases.

Workload Data

As shown in Table 1 below, the Civil Division disposed of more than 57,000 cases in fiscal year 2011, including nearly 10,600 civil actions; 37,500 landlord and tenant cases; and 9,300 small claims 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 2011Data)

	Case Filings	Dispositions	Clearance Rate*		Pending Cases		
					1-Oct	30-Sep	Change
Civil Actions	10,573	10,595	102%		7,013	7,645	9%
Landlord & Tenant	37,218	37,500	102%		5,923	4,939	-17%
Small Claims	9,313	9,313	99%		2,210	2,788	26%
Total	57,104	57,408	101%		15,146	15,372	1.5%

*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
Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2011*		FY 2012**		FY 2013		FY 2014	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Time to Disposition	General Civil II Complaints disposed within 24 months	CourtView Report	100%	98%	98%	98%	98%	98%	98%	98%
Time to Disposition	Landlord & Tenant Non-Jury cases disposed within 150 days	CourtView Report	100%	100%	98%	98%	98%	98%	98%	98%
Time to Disposition	Small Claims Non-Jury cases disposed within 12 months	CourtView Report	100%	99%	98%	98%	98%	98%	98%	98%
Time to Disposition	Civil I Complaints disposed within 36 months	CourtView Report	100%	97%	98%	98%	98%	98%	98%	98%
Time to Disposition	Collection & Subrogation Cases disposed within 30 months	CourtView Report	100%	100%	98%	98%	98%	98%	98%	98%
Time to Disposition	Title 47 Tax Lien cases disposed within 36 months	CourtView Report	100%	98%	98%	98%	98%	98%	98%	98%
Time to Disposition	Housing Conditions Cases disposed of within 180 days	CourtView Report	90%	100%	90%	90%	90%	90%	90%	90%

*Time to disposition actual percentages are for cases filed after March 1, 2008 and disposed in FY 2011.
** Time to disposition estimated percentages are for cases filed after March 1, 2008 and disposed in FY 2012, year to date and based on historical monthly trends.

FY 2014 Request

In FY 2014, the Courts request $7,736,000 for the Civil Division, an increase of $321,000 (4.3%) above the FY 2012 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 3
CIVIL DIVISION
Budget Authority by Object Class

	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request	Difference FY 2012/2014
11 – Personnel Compensation	5,873,000	5,909,000	6,128,000	255,000
12 – Personnel Benefits	1,471,000	1,480,000	1,537,000	66,000
Subtotal Personnel Cost	***7,344,000***	***7,389,000***	***7,665,000***	***321,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	22,000	22,000	22,000	0
25 - Other Services	0	0	0	0
26 - Supplies & Materials	24,000	24,000	24,000	0
31 – Equipment	25,000	25,000	25,000	0
Subtotal Non-Personnel Cost	***71,000***	***71,000***	***71,000***	***0***
TOTAL	**7,415,000**	**7,460,000**	**7,736,000**	**321,000**
FTE	103	103	103	0

Table 4
CIVIL DIVISION
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Positions WIG	103	174,000	
	Current Positions COLA		45,000	
	Additional CR funding of 0.612%		36,000	
Subtotal 11				*255,000*
12 – Personnel Benefits	Current Positions WIG		45,000	
	Current Positions COLA		12,000	
	Additional CR funding of 0.612%		9,000	
Subtotal 12				*66,000*
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials				
31 – Equipment				
TOTAL				**321,000**

Table 5

CIVIL DIVISION

Detail of Full-Time Equivalent Employment

Grade	**FY 2012 Enacted**	**FY 2013 Annualized CR**	**FY 2014 Request**
JS-3			
JS-4		1	
JS-5			
JS-6	26	15	14
JS-7	14	21	15
JS-8	20	20	28
JS-9	20	22	21
JS-10	8	9	9
JS-11	3	4	4
JS-12	4	4	4
JS-13	6	6	6
JS-14			
JS-15	1	1	
CEMS			1
CES	1	1	1
Total Salaries	**5,873,000**	**5,909,000**	**6,128,000**
Total FTEs	103	103	103

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
CRIME VICTIMS COMPENSATION PROGRAM

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
7	816,000	7	821,000	7	851,000	0	35,000

Mission Statement

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

Organizational Background

During fiscal year 2011, the Compensation Program was staffed by a Director, Accounting Officer, Administrative Assistant, three Legal Claims Examiners, two Victim Advocates, three Assistant Legal Claims Examiners, and a Deputy Clerk (Temporary WAE-6 months). Of the 12 staff, seven employees are paid by the Courts' appropriation.

Administrative funds from grants and the Crime Victims Compensation Fund support additional staff for the Crime Victims Compensation Program. These funds are used to employ two Legal Claims Examiners and three Assistant Claims Examiners. These positions are in addition to the seven appropriated positions and are critically necessary to operate the program.

Administrative and Grant Funding

In addition to appropriated funds, the Crime Victims Compensation Program receives an annual grant to pay victims' claims from the U.S. Department of Justice under the Victims of Crime Act (VOCA.) The grant amount is based upon the amount of claims paid to victims. The Crime Victims Compensation Program receives 60% of the amount paid in victims' claims in the two years prior to the year of the grant award. In accordance with the administrative guidelines of the VOCA Act, up to 5% of the grant may be used for administrative expenses including staff, training and other items related to the operation of the office.

Apart from the grant, the law allows the use of a portion of the Crime Victims Assistance Fund for administrative expenses. Pursuant to D.C. Official Code § 4-515(e) no more than 5% of the Crime Victims Compensation Fund may be used to pay administrative costs necessary to operate the program. These administrative funds are separate from those of the grant.

Division MAP Objectives

The Management Action Plan objectives of the Crime Victims Compensation Program are as follows:

1. Provide timely service to crime victims by processing at least 80% of uncomplicated claims for assistance within 10-12 weeks.
2. Continue to collaborate with other agencies to enhance the coordination of services to victims.
3. Ensure the effective administration of the CVCP by securing and managing grant awards and examining internal means to ensure the longevity of the Crime Victims Fund to pay crime victim claims and operate the program.
4. Enhance public awareness of the CVCP by making at least 6 presentations at organized community events or staff meeting of agencies and organizations that have contact with victims.
5. Explore demographic trends in the domestic violence population seeking temporary emergency housing and develop appropriate responses in the Crime Victims Compensation Program.

Division Restructuring or Work Process Redesign

The major activities of the Crime Victims Compensation Program are case processing, record management, outreach, and administrative functions. The activities associated with case processing account for almost all functions of the office and affect every position. The major tasks associated with case processing are victim interview, input in the case management software, verification, and investigation of the claim, recommendation, review, and approval. This process is somewhat shortened for supplemental claims, (i.e., all additional payments made after the initial payment) because there is no need for an additional interview or input of information in the software system; however, verification of the additional payment must still take place to ensure that it is a crime-related expense.

Outreach Protocols. To strengthen program outreach, the Crime Victims Compensation Program determined that resources would be best used to establish protocols with major agencies and organizations that have direct contact with victims, such as the District of Columbia's Metropolitan Police Department (MPD), the Children's Hospital Child and Adolescent Protection Center, U.S. Attorney's Victim Witness Assistance Unit, the Office of the Attorney General for the District of Columbia, the Survivors and Advocates for Empowerment (SAFE), and the Asian Pacific American Legal Resource Center (APALRC). These protocols enhance the ability of the Compensation Program to serve greater numbers of victims of violent crime and reach victims that are likely to be eligible for compensation, reducing staff time spent with

victims that the Program cannot serve and the effort expended in the denial of a claim. Applications as well as informational brochures are provided to victims by these organizations. In addition to the traditional methods of outreach, the Crime Victims Compensation Program has established an "In-Service" Training Schedule which invites community organizations to attend our bi-weekly staff meetings and present information about their organizations and the services that they can offer crime victims, such as food, housing, legal services, and employment referrals to supplement the services provided by the Compensation Program. This has proven to be an invaluable outreach tool because it creates a new point of contact in the organization and leads to many new referrals.

Satellite Offices. The Crime Victims Compensation Program staffed two satellite offices in addition to the downtown office during 2011. Both of the offices are collaborative efforts with other victim service providers in the District of Columbia. The Crime Victims Compensation Program provides services at the Southeast Domestic Violence Intake Center which is located in the United Medical Center (formerly Greater S.E. Community Hospital). Petitions for domestic violence protection orders may be filed at this center. Representatives from several different domestic violence organizations and law enforcement agencies share office space in this center. The newest location is in the Lighthouse Center for Healing located in Northeast Washington, D.C. Representatives providing services for victims of sexual assault, homicide, and domestic violence are sharing space in this location. In both locations, a victim may come into one building and obtain the services of many different organizations. Not only does this provide a great service for the victim, but it causes the service provider to have a greater understanding of and compassion for the many challenges faced by victims.

Workload Data

Table 1
CRIME VICTIMS COMPENSATION PROGRAM
Caseload Overview

	Actual FY2011	FY 2012 Estimated	% Change
New Cases Filed	3,303	3,260	-1%
Determinations Made	2,986	3,120	+4%
Number of Cases Pending at End of Fiscal Year	978	1,115	+14%

Table 2
CRIME VICTIMS COMPENSATION PROGRAM
Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY 2011		FY 2012[3]		FY 2013[4]		FY 2014	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Input	# Of new claims filed	Case Management Software	2,950	3,303	3,200	3,200	3,200	3,200	3,200	3,200
Output	# Of claims processed	Case Management Software	3,000	2,986	3,200	3,120	3,200	3,200	3,200	3,200
Output	# Of payments	Case Management Software	8,500	7,725	8,500	7,100	8,000	8,000	8,000	8,000
Outcome	Dollar amount of payments	Case Management Software	$8.7M	$9.0M	$9.2M	$8.9M	$9.2 M	$9.2M	$9.2M	$9.2M
Outcome	Avg. claim processing time	Case Management Software	11 weeks	12 weeks	12 weeks	12 weeks	12 weeks	12 weeks	12 weeks	12 weeks

FY 2014 Request

In FY 2014, the D.C. Courts request $851,000 for the Crime Victims Compensation Program, an increase of $35,000 (4.3%) above the FY 2012 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 3
CRIME VICTIMS COMPENSATION PROGRAM
Budget Authority by Object Class

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/2014**
11 - Personnel Compensation	625,000	629,000	653,000	28,000
12 - Personnel Benefits	162,000	163,000	169,000	7,000
Subtotal Personnel Cost	***787,000***	***792,000***	***822,000***	***35,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	19,000	19,000	19,000	0
26 - Supplies & Materials	5,000	5,000	5,000	0
31 - Equipment	5,000	5,000	5,000	0
Subtotal Non-Personnel Cost	***29,000***	***29,000***	***29,000***	***0***
TOTAL	**816,000**	**821,000**	**851,000**	**35,000**
FTE	7	7	7	0

[3] Estimates are based upon data for the first 8 months of FY12.
[4] Projections are based upon the current trend in actual data from FY10 and FY11 in filings, processing and payments and estimates of FY12.

Table 4
CRIME VICTIMS COMPENSATION PROGRAM
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Positions WIG		19,000	
	Current Positions COLA		5,000	
	Additional CR funding of 0.612%		4,000	
Subtotal 11				*28,000*
12 - Personnel Benefits	Current Positions WIG		5,000	
	Current Positions COLA		1,000	
	Additional CR funding of 0.612%		1,000	
Subtotal 12				*7,000*
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials				
31 - Equipment				
Total				**35,000**

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

Grade	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	1	1	1
JS-11			
JS-12	4	4	4
JS-13			
JS-14	1	1	1
JS-15			
JS-16			
JS-17			
CES	1	1	1
Total Salaries	**625,000**	**629,000**	**653,000**
Total FTEs	7	7	7

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
CRIMINAL DIVISION

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
123	9,570,000	123	9,629,000	124	10,082,000	1	512,000

Mission Statement

The Criminal Division's mission is to provide fair and timely case processing; quality administrative and courtroom support services to judicial officers, court staff and the public; and to deliver accurate criminal case information to the Division's many constituents.

Introduction

The Criminal Division processes criminal cases prosecuted by the United States Attorney and the District of Columbia Attorney General involving violations of the United States Code, District of Columbia Official Code, and municipal and traffic regulations.

Organizational Background

D.C. Code §11-902 establishes the court's divisions and creates the Criminal Division. The Superior Court Rules for Criminal Procedure "provides for the just determination, secure simplicity in procedures and fairness in administration and the elimination of unjustifiable expense and delay of every criminal proceeding in the District of Columbia". [5]

The Criminal Division processes criminal cases in the District of Columbia that are not exclusively Federal. The Criminal Division determines case assignments; prepares judicial calendars, dockets proceedings and filings; seeks new methods to better serve the public; recommends changes and improvements to the Criminal Rules and Procedures; automates operations; and serves to promote operational efficiencies; and compiles statistical and public information. The Criminal Division also promotes high standards of professional conduct.

The Criminal Division is comprised of the Director's Office and four branches. The Division also oversees nine problem-solving courts.

- The Director's Office is responsible for managing all the administrative, fiscal and personnel matters for the Criminal Division. The Office ensures that the Criminal Division's branches comply with their obligations based on the Court Rules. The Director's Office has 7 FTEs.

- The Case Management Branch processes and maintains all felony, misdemeanor, traffic, and District of Columbia cases, motions, appeals and cases to be expunged and sealed. The

[5] Superior Court Rules of Criminal Procedures, Rule 1

branch also provides judicial officers, the public, law enforcement officers, and court staff with access to accurate criminal case information. This branch has 24 FTEs.

- The Courtroom Support Branch manages the courtroom clerks who are assigned to the many courtrooms managed by the Criminal Division. The branch also secures court evidence and trains courtroom clerks from other divisions who handle criminal cases. This branch has 43 FTEs.

- The Special Proceedings Branch manages two sections namely, the Warrant Office and the Criminal Finance Office. The Warrant Office processes and maintains all bench warrants, search warrants, arrest warrants, subpoenas, habeas corpus writs, fugitive cases, out-of-state witness cases, grand jury directives, sex offender registration matters, and contempt of court/show cause orders. The Criminal Finance Office receipts court ordered fines, fees, bonds, and restitution payments and processes bond refunds. This branch has 19 FTEs.

- The Quality Assurance Branch performs quality review of updates to the electronic case management system and the final disposition of cases, ensures that the judges' orders regarding release and commitment of defendants are followed, and handles matters regarding mental competency and federal designation of prisoners. The Quality Assurance Branch has 23 FTEs.

- Problem Solving Courts promote restorative and rehabilitative justice. The Criminal Division oversees six U.S. misdemeanor Community Court calendars, one District of Columbia and Traffic Community Court, one Mental Health Community Court and one Drug Court. These specialized courts address quality-of-life offenses (e.g. public drinking, panhandling, prostitution, shoplifting, and some drug offenses) and minor criminal traffic violations, all of which can have a significant negative impact on the community's quality of life and can lead to more serious crime. Unlike traditional courts, the Community Courts focus on therapeutic and restorative justice, with a much broader array of responses (i.e. treatment, services and community service, etc.) at their disposal. Community Courts seek not only to hold offenders accountable for their actions, but also to repair the harm caused to the community by the offense. Community Courts frequently require offenders to "pay back" the community by performing court-supervised community service. They also seek to reduce the likelihood of future criminal activities by linking offenders to treatment or services they may need. The Community Court has 8 FTEs.

Divisional MAP Objectives

The Criminal Division's strategic objectives for FY 2014 are as follows:

- Ensure that Criminal Division judges, attorneys, and staff maintain high standards of professionalism and civility by conducting an annual conference for judges, courtroom clerks, and criminal justice stakeholders to explore ways to improve services.
- Ensure that Criminal Division cases are resolved in a timely manner by maintaining the trial court performance standards within the statutory requirements that address time standards, trial certainty, staggered schedules, age of pending caseload, and accuracy of court records.

- Ensure that motions, pleadings and other filings are accurate and processed timely to reflect real time data.
- Ensure that warrants are accurately entered into the WALES warrant database to enhance public safety.
- Ensure that all fees, restitution, and court costs are receipted and accounted for timely and accurately.
- Enhance the understanding of court proceedings by providing written documentation to defendants on all dispositions.
- Pilot a DUI Court initiative.
- Ensure that problem solving court procedures and programs are effective by increasing defendant accountability and evaluating program performance.
- Build a supportive management team to enhance employee performance, engagement and satisfaction, and to increase efficiency.
- Ensure that the Court's customers are treated with respect and civility.

Divisional Restructuring and/or Work Process Redesign

The Criminal Division has established a paper on demand system, and is working to reduce the use of paper by expanding e-filing capacity for government and defense attorneys and by making some of the court document images available on-line. CourtView, the Court's database, allows the Division to maintain computerized dockets and images of all documents.

This year, the Criminal Division established an electronic filing system for new cases in which vital court information is exchanged electronically to all partnering agencies. Work is underway on the electronic exchange expansion and data validation projects.

Additionally, the Criminal Division developed procedures to reduce records storage costs by making the retrieval of vital archived information accessible electronically.

Workload Data

Table 1
CRIMINAL DIVISION
Caseload and Efficiency Measures (Calendar Year 2011)

	New Filings	Pending Cases 31-Dec	Dispositions	Clearance Rate
D.C. Misdemeanor	1,355	318	1,498	107%
Felony	4,305	1,946	4,648	102%
Traffic	5,146	2,204	6,019	109%
U.S. Misdemeanors	12,217	3,975	12,779	101%
Total	23,023	8,443	24,944	103%

Table 2
CRIMINAL DIVISION
Key Performance Indicators
Time to Disposition (Calendar Year 2011)

	Goal	Achieved
Felony I (Murder, Sexual Assault, etc.)	75 % within 12 mos. 90% within 18 mos. 98% within 24 mos.	61% within 12 mos. 77% within 18 mos. 95% with 24 mos.
Other Felony	75% within 6 mos. 90% within 9 mos. 98% within 12 mos.	75% within 6 mos. 87% within 9 mos. 95% within 12 mos.
U.S. Misdemeanor	75% within 4 mos. 90% within 6 mos. 98% within 9 mos.	79% within 4 mos. 92% within 6 mos. 97% within 9 mos.
DC Misdemeanor	75% within 4 mos. 90% within 6 mos. 98% within 9 mos.	81% within 4 mos. 90% within 6 mos. 96% within 9 mos.
D.C. Traffic	75% within 4 mos. 90% within 6 mos. 98% within 9 mos.	62% within 4 mos. 80% within 6 mos. 92% within 9 mos.

Table 3
CRIMINAL DIVISION
Trial Certainty: Jury Trials (Calendar Year 2011)

	Goal	Achieved
Felony I (Murder, Sexual Assault, etc.)	70% within 2nd trial date	91% within 2nd trial date
Felony II	70% within 2nd trial date	75% within 2nd trial date
AFTC	70% within 2nd trial date	88% within 2nd trial date
U.S. Misdemeanor	70% within 2nd trial date	88% within 2nd trial date
D.C.	70% within 2nd trial date	84% within 2nd trial date
Traffic	70% within 2nd trial date	100% within 2nd trial date

Table 4
CRIMINAL DIVISION
Trial Certainty: Non Jury Trials (Calendar Year 2011)

	Goal	Achieved
Felony	80% within 2nd trial date	91% within 2nd trial date
U.S. Misdemeanor	80% within 2nd trial date	91% within 2nd trial date
D.C.	80% within 2nd trial date	65% within 2nd trial date
Traffic	80% within 2nd trial date	82% within 2nd trial date

FY 2014 Request

In FY 2014, the D.C. Courts request $10,082,000 for the Criminal Division, an increase of $512,000 (5.4%) above the FY 2012 Enacted Budget. The requested increase consists of $95,000 for one additional FTE to increase the effectiveness and capacity of our problem-solving courts and $417,000 for built-in cost increases.

Community Service Coordinator, 1 FTE, JS-12, $95,000

Introduction. The Superior Court's Problem-Solving Courts incorporate restorative and therapeutic approaches using diversion programs and the provision of social services to hold defendants accountable, help them lead more productive lives, and reduce recidivism. One problem-solving court, the Community Court, was recently expanded from one calendar to serve the entire community in Washington, D.C. To successfully implement the expanded program, additional staffing resources are required.

Problem Statement. Similar to many courts throughout the country, the D.C. Courts have implemented Problem-Solving Courts. These courts are designed to reduce reoffending by defendants and increase the satisfaction and safety of victims and the larger community. In keeping with the principles of restorative justice, the victim, community, and offender are considered during the imposition of sanctions. In 2009 the Court contracted with Westat, a research and statistical survey organization, to conduct a study on the East of the River Community Court (ERCC). The study results revealed a significant reduction in recidivism rates for defendants involved in the ERCC when compared to a control group of participants from the 5th police district in Washington, D.C. Due to the success of ERCC in reducing recidivism, the community court model was expanded to all misdemeanor calendars in January 2012 to serve the entire District of Columbia. To support the expansion of the Community Court, a Community Service Coordinator is needed.

In FY 2012 the Court began to coordinate all community service requirements in pre-trial diversion programs and does not have sufficient resources to effectively find placements for all defendants and monitor their compliance with court-ordered community service. With the expansion of the community court concept to all misdemeanor charges filed in the District of Columbia, a significantly greater number of defendants are eligible for pre-trial diversion with many more defendants required to perform community service hours. It is anticipated that these increases will result in the completion of over 85,000 community service hours a year. A Community Service Coordinator is needed to develop a more comprehensive community service program that coordinates with non-profit organizations as well as the local and federal governments to improve the quality of life in the communities where the offenses occur.

Relationship to Court Mission, Vision and Strategic Goals. The Community Service Coordinator will assist in addressing the Court's Strategic Goal 1: Fair and Timely Case Resolution by strengthening the effectiveness and capacity of the problem solving courts.

Relationship to Division MAP Objectives. The Community Service Coordinator supports the Criminal Division MAP objective of ensuring that problem solving court procedures and programs are effective by increasing defendant accountability.

Relationship to Existing Funding. The Criminal Division's funding base is inadequate to fund this position.

Methodology. The Community Service Coordinator position was classified in accordance with the Courts' classification procedures

Expenditure Plan. The Community Service Coordinator will be recruited and selected in accordance with the Courts' Personnel Policies and Procedures.

Performance Indicators. Key performance indicators include: 1) successful completion of the program; 2) reduction in recidivism; 3) number of community service hours completed; and 4) monetary value of community service hours completed.

Table 5
CRIMINAL DIVISION
New Position Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Cost
Community Service Coordinator	JS-12	1	75,000	20,000	95,000

Table 6
CRIMINAL DIVISION
Budget Authority by Object Class

	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request	Difference FY 2012/2014
11-Personnel Compensation	7,571,000	7,617,000	7,976,000	405,000
12-Personnel Benefits	1,897,000	1,910,000	2,004,000	107,000
Subtotal Personnel Cost	***9,468,000***	***9,527,000***	***9,980,000***	***512,000***
21-Travel, Transp. of Persons	0	0	0	0
22-Transportation of Things	0	0	0	0
23-Rent, Commun. & Utilities	0	0	0	0
24-Printing & Reproduction	49,000	49,000	49,000	0
25-Other Services	0	0	0	0
26-Supplies & Materials	24,000	24,000	24,000	0
31-Equipment	29,000	29,000	29,000	0
Subtotal Non-Personnel Cost	***102,000***	***102,000***	***102,000***	***0***
TOTAL	**9,570,000**	**9,629,000**	**10,082,000**	**512,000**
FTE	123	123	124	1

Table 7
CRIMINAL DIVISION
Detail Difference FY 2012/FY 2014

Object Class	**Description of Request**	**FTE**	**Cost**	**Difference FY 2012/FY 2014**
11 - Personnel Compensation	Current Positions WIG	123	225,000	
	Current Position COLA		59,000	
	Community Service Coordinator	1	75,000	
	Additional CR funding of 0.612%		46,000	
Subtotal 11				*405,000*
12 - Personnel Benefits	Current Positions WIG		59,000	
	Current Position COLA		15,000	
	Community Service Coordinator		20,000	
	Additional CR funding of 0.612%		13,000	
Subtotal 12				*107,000*
Subtotal Personnel Services				**512,000**
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 – Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials				
31 – Equipment				
Subtotal Non-Personnel Services				**0**
Total				**512,000**

Table 8
CRIMINAL DIVISION
Detail of Full-Time Equivalent Employment

	2012 Enacted	**2013 Annualized CR**	**2014 Request**
JS-3			
JS-4			
JS-5			
JS-6	12	7	7
JS-7	15	19	19
JS-8	30	35	35
JS-9	32	29	29
JS-10	18	16	16
JS-11	2	3	3
JS-12	6	6	7
JS-13	6	5	5
JS-14		1	1
JS-15	1	1	1
JS-16			
JS-17			
CES	1	1	1
Total Salaries	**7,571,000**	**7,617,000**	**7,976,000**
Total FTEs	123	123	124

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
DOMESTIC VIOLENCE UNIT

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
28	2,314,000	28	2,328,000	28	2,415,000	0	101,000

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

Mission Statement

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

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

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

Organizational Background

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

Management Action Plan (MAP) Objectives

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

Other objectives for the Domestic Violence Unit include to:

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

Restructuring or Work Process Redesign

The Domestic Violence Unit utilizes the D.C. Court's case management system, CourtView, whereby court orders and papers are immediately scanned into a database system and are made available to law enforcement, prosecutors and advocates. This technology enhances enforcement of orders and greatly serves the victims of domestic violence. Cases involving domestic violence are among the most complex and volatile that the D.C. Courts have to address. Judges and court personnel are tasked with handling cases with the complicated dynamics of abuse in interfamily relationships. The Unit, as well as the Southeast Center, specializes in addressing these challenging cases in ways that increase victim safety, perpetrator accountability, and efficient and effective case adjudication, while assisting families affected by abuse and linking them to services and programs in the community that help victims of abuse and their families rebuild their lives free from violence.

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

Workload Data

In FY 2011, the Domestic Violence Unit processed 8,711 new filings and reinstated cases and disposed of 8,672 cases. Table 1 below provides caseload data for the Domestic Violence Unit. Table 2 provides performance data for the Domestic Violence Unit for the Fiscal Years 2011 through 2014.

Table 1
DOMESTIC VIOLENCE UNIT
Caseload and Efficiency Measures
(Fiscal Year 2011 Data)

	Cases Filed	Cases Disposed	*Clearance Rate**	Cases Pending 1-Oct	30-Sep	*Change*
Contempt Motions	347	340	98%	78	85	10%
Intrafamily (Protection Orders)	4570	4568	100%	293	295	0%
Paternity & Child Support	387	366	100%	36	57	58%
U.S. Misdemeanors	3,407	3,398	100%	520	529	0%
Total	**8,711**	**8,672**	**100%**	**927**	**966**	**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 added.

Table 2
DOMESTIC VIOLENCE UNIT
Key Performance Measures

Type of Indicator	Key Performance Indicator	Data Source	FY 2011		FY 2012		FY 2013		FY 2014	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output/ Activity	Hearings/events scheduled	Yearly stats/ Random sample	35,200	35,361	36,600	36,600	36,800	36,800	36,800	36,800
Quality	% of cases reviewed & processed within 48 hours in Court's database	Evaluation, survey, and random sample	95%	95%	95%	95%	95%	95%	95%	95%
Quality	% of cases reviewed & processed within 48 hours in MPD's database	Evaluation, survey, and random sample	100%	85%	100%	90%	100%	90%	100%	90%
End Outcome	Domestic Violence dispositions	Daily/Monthly Statistics	9,600	8,672	9,000	9,000	9,100	9,100	9,300	9,300
Productivity/ Efficiency	Case clearance rates	Yearly statistics	100%	100%	100%	100%	100%	100%	100%	100%

FY 2014 Request

The D.C. Courts' FY 2014 request for the Domestic Violence Unit is $2,415,000, an increase of $101,000 (4.4%) above the FY 2012 Enacted Budget. The requested increase consists entirely of built-in cost increases.

Table 3
DOMESTIC VIOLENCE UNIT
Budget Authority by Object Class

	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request	Difference FY 2012/2014
11 – Compensation	1,837,000	1,848,000	1,917,000	80,000
12 – Benefits	462,000	465,000	483,000	21,000
Subtotal Personnel Cost	***2,299,000***	***2,313,000***	***2,400,000***	***101,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	0	0	0	0
26 - Supplies & Materials	7,000	7,000	7,000	0
31 - Equipment	8,000	8,000	8,000	0
Subtotal Non-Personnel Cost	***15,000***	***15,000***	***15,000***	***0***
TOTAL	**2,314,000**	**2,328,000**	**2,415,000**	**101,000**
FTE	28	28	28	0

Table 4
DOMESTIC VIOLENCE UNIT
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Position WIG	28	55,000	
	Current Position COLA		14,000	
	Additional CR funding of 0.612%		11,000	
Subtotal 11				*80,000*
12 - Personnel Benefits	Current Position WIG		14,000	
	Current Position COLA		4,000	
	Additional CR funding of 0.612%		3,000	
Subtotal 12				*21,000*
Subtotal Personnel Services				***101,000***
21 - Travel, Transp. Of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials				
31 - Equipment				
Subtotal Non-Personnel Services				***0***
TOTAL				**101,000**

Table 5

DOMESTIC VIOLENCE UNIT

Detail of Full-Time Equivalent Employment

Grade	**FY 2012 Enacted**	**FY 2013 Annualized CR**	**FY 2014 Request**
JS-3			
JS-4			
JS-5			
JS-6	2	3	3
JS-7		3	3
JS-8	9	7	7
JS-9	9	8	8
JS-10	4	3	3
JS-11			
JS-12	1	1	1
JS-13	2	2	2
JS-14			
JS-15			
CES	1	1	1
Total Salaries	**1,837,000**	**1,848,000**	**1,917,000**
Total FTEs	28	28	28

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
FAMILY COURT OPERATIONS DIVISION

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
175	15,335,000	175	15,429,000	175	15,953,000	0	618,000

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. As a result of the Act, specially trained and qualified judges serve on the Family Court at least three or five years, depending on their date of appointment; 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, improve the delivery of services to a family, avoid the risk of conflicting orders, and reduce the number of court appearances for a family.

The Family Court has jurisdiction over all familial actions – child abuse and neglect, custody, termination of parental rights, adoption, paternity and support, mental health and mental habilitation, juvenile delinquency, marriage, and divorce. The Office of the Director, six administrative branches, two support offices, the Family Court Self Help Center, the Family Treatment Court, and the Fathering Court make up the Family Court Operations Division.

1. The Domestic Relations Branch processes divorce, annulment, custody, termination of parental rights and adoption cases. The branch, through its Marriage Section, also issues licenses and authorizations for marriages in the District of Columbia and maintains a list of officiates performing civil weddings in the court. This Branch operates with 20 FTEs.
2. The Paternity and Child Support Branch processes all actions seeking to establish paternity and to establish and modify child support. This Branch operates with 24 FTEs.
3. The Juvenile and Neglect Branch is responsible for cases involving children alleged to be delinquent, neglected, abused, or otherwise in need of supervision. This Branch operates with 24 FTEs.
4. The Counsel for Child Abuse and Neglect (CCAN) Office recruits, trains, and assigns attorneys to provide representation for children, eligible parents, and caretakers in proceedings of child abuse and neglect. This Branch operates with 5 FTEs.
5. The Mental Health/Mental Habilitation Branch is responsible for matters involving the emergency hospitalization or detention of individuals in need of mental health services and matters for persons with intellectual disabilities in need of habilitation services. This Branch operates with 11 FTEs.

6. The Courtroom Support and Quality Control Branch provides in court clerical support to judicial officers presiding over Family Court cases and supports all branches by processing prisoner transfer requests, preparing daily assignments for courtroom clerks and court aides, reviewing juvenile files post hearing, and conducting limited reviews of abuse and neglect files to facilitate compliance with the Adoptions and Safe Families Act (ASFA). This Branch operates with 47 FTEs.
7. The Attorney Advisor's Office, created within the Office of the Director, in response to the Family Court Act of 2001, assists the Family Court in maintaining compliance with the Federal ASFA, the D.C. ASFA and other child welfare laws applicable to abuse and neglect cases. This Office operates with 3 FTEs.
8. The Central Intake Center (CIC) is an innovation arising from the Family Court's implementation of the Family Court Act of 2001. The CIC serves as the initial point of contact between the public and the Family Court. Its primary mission is to provide comprehensive, timely, and efficient case processing services to the citizens of the District of Columbia and public agencies from one centralized location. The CIC initiates cases and receives all subsequent case filings, as well as the case filing fees. The CIC is the primary location for the dissemination of Family Court case status information to the public. This Branch operates with 26 FTEs.
9. The Family Court Self Help Center (SHC), developed in collaboration with the D.C. Bar, provides legal information and assistance to self-represented parties in Family Court cases. This Branch operates with 4 FTEs.
10. The Family Treatment Court, created as a result of a partnership between the Family Court and the Office of the Deputy Mayor for Children, Youth, Families, and Elders, in cooperation with key District health and human services stakeholders, is a voluntary comprehensive residential substance abuse treatment program for mothers/female caretakers whose children are the subject of a child neglect case. This specialty court operates with 1 FTE assigned to the Office of the Director.
11. The Fathering Reentry Court provides services to non-custodial parents returning from a period of incarceration who are unable to pay court-ordered child support and find stable employment that will enable them to become financially supportive of their children. The Fathering Court also empowers fathers to maintain a physical and emotional presence in the lives of their children. This specialty court operates with 2 FTEs assigned to the Office of the Director.
12. The Office of the Director is responsible for policy making and managing the Division's administrative staff, budgets, supplies, equipment, and physical plant in conjunction with the Court Administrative Services Division. 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 to the local legislature and the U.S. Congress. This Office operates with 11 FTEs including those in specialized assignments as noted above.

The Family Court Operations Division Management Action Plan Objectives

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

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

Restructuring or Work Process Redesign

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

The Family Court Central Intake Center (CIC) utilizes eFile Lite, a secure web based browser application that supports the electronic filing and receipt of documents in post case initiation delinquency cases. E-File Lite in the Family Court allows for the receipt of post case initiation petitions and other filings in juvenile cases from the Office of the Attorney General (OAG), the agency with responsibility for prosecuting delinquency cases in the District of Columbia. The

agency transmits pleadings to an electronic queue where they are reviewed for accuracy by CIC staff and either rejected or accepted into the Court's case management system. Upon acceptance, images of the filings immediately appear on the Court's docket and are readily available for viewing by judges and court personnel. The eFile Lite technology reduces scanning and provides a convenient method of filing for the OAG by reducing their visits to the courthouse to file documents. Plans are underway to replace the eFile Lite technology with CaseFileXpress, a more robust and reliable product that will be used for post case initiation filings in delinquency cases and also used to provide e-service to lawyers participating in the cases.

Workload Data

Table 1
FAMILY COURT OPERATIONS
Caseload and Efficiency Measures
(Fiscal Year 2011 Data)

	Cases Filed	Cases Disposed	Clearance Rate	Cases Pending		
				1-Oct	30-Sep	*Change*
Abuse & Neglect *	610	620	101.64%	119	109	-8.4%
Adoption	231	245	106.06%	307	293	-4.6%
Divorce/Custody/Miscellaneous	3,992	4,062	101.75%	3,354	3,284	-2.1%
Juvenile Delinquency	3,460	3,354	96.94%	515	621	20.6%
Family Special Proceedings	46	44	95.65%	20	22	10.0%
Mental Health	1,909	2,151	112.68%	458	216	-52.8%
Mental Habilitation	6	12	200.00%	14	8	-42.9%
Paternity & Child Support	2,325	5,312	228.47%	5,907	2,920	-50.6%
Total	12,579	15,800	125.61%	10,694	7,473	-30.1%

* In 2011, the method of calculating pending cases in abuse and neglect caseload was modified to include only cases pending an initial disposition. Excluded are post-disposition cases under review by the Court until permanency is achieved.

Table 2
FAMILY COURT OPERATIONS
Key Performance Indicators

Performance Indicator	Data Source	FY 2011		FY 2012		FY 2013		FY 2014	
		Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Prisoner Transfers Processed	Monthly Statistics	4,335	3,703	3,881	3,881	4,052	4,052	4,203	4,203
Delinquency & Neglect Cases/Orders Reviewed	Monthly Statistics	17,192	16,682	17,094	17,094	17,175	17,175	17,022	17,022
Applications for Marriage Licenses & Minister Authorizations	Computer Reports	1,944	837	888	888	895	895	867	867
Marriage Licenses & Authorizations Issued	Computer Reports	2,682	6,286	6,630	6,630	6,975	6,975	10,496	10,496
DR & Child Support Petitions & Complaints Total Intake	Computer Reports	2,536	5,787	6,081	6,081	6,374	6,374	13,590	13,590
Domestic & Child Support Hearings Set	Computer Reports	14,938	15,008	16,042	16,042	17,061	17,061	18,052	18,052
Domestic Orders Issued	Computer Reports	17,561	19,693	19,272	19,272	18,729	18,729	17,812	17,812
Child Support Orders Issued	Computer Reports	10,385	12,015	12,548	12,548	13,081	13,081	13,590	13,590
ASFA case reviews in initial, further initial, pretrial, stipulation, disposition and permanency hearings	Monthly Statistics	2,800	2,918	3,148	3,148	3,276	3,276	3,419	3,419
Data input and other error notifications distributed by Attorney Advisors	Monthly Statistics	4,366	4,142	4,339	4,590	4,621	4,621	4,874	4,874
CCAN Attorneys appointed to Adult Parties in Abuse & Neglect cases	Monthly Statistics	700	813	845	858	877	877	909	909
Guardians *ad litem* Appointed	Monthly Statistics	1,212	1,190	1,094	1,094	914	914	711	711
Trainings Provided to Attorneys	CCAN Records	688	590	548	548	459	459	359	359
Attorneys Meeting CLE Requirements	CCAN Records	16	30	30	30	30	30	30	30

FY 2014 Request

In FY 2014 the D.C. Courts' request for the Family Court Operations Division is $15,953,000 an increase of $618,000 (4.0%) above the FY 2012 Enacted Budget. The increase consists entirely of built-in cost increases.

Table 3
FAMILY COURT OPERATIONS
Budget Authority by Object Class

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/2014**
11 - Personnel Compensation	11,102,000	11,170,000	11,586,000	484,000
12 - Personnel Benefits	2,773,000	2,790,000	2,898,000	125,000
Subtotal Personnel Cost	***13,875,000***	***13,960,000***	***14,484,000***	***609,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	29,000	29,000	29,000	0
25 - Other Services	1,055,000	1,062,000	1,062,000	7,000
26 - Supplies & Materials	37,000	37,000	37,000	0
31 - Equipment	339,000	341,000	341,000	2,000
Subtotal Non-Personnel Cost	***1,460,000***	***1,469,000***	***1,469,000***	***9,000***
TOTAL	**15,335,000**	**15,429,000**	**15,953,000**	**618,000**
FTE	175	175	175	0

Table 4
FAMILY COURT OPERATIONS
Detail Difference, FY 2012/2014

Object Class	**Description of Request**	**FTE**	**Cost**	**Difference FY 2012/2014**
11 – Personnel Compensation	Current Position WIG	175	330,000	
	Current Position COLA		86,000	
	Additional CR funding of 0.612%		68,000	
Subtotal 11				*484,000*
12 – Personnel Benefits	Current Position WIG		86,000	
	Current Position COLA		22,000	
	Additional CR funding of 0.612%		17,000	
Subtotal 12				*125,000*
21 – Travel, Transp. of Persons				
22 – Transportation of Things				
23 – Rent, Commun. & Utilities				
24 – Printing & Reproduction				
25 – Other Services	Additional CR funding of 0.612%			7,000
26 – Supplies & Materials				
31 – Equipment	Additional CR funding of 0.612%			2,000
TOTAL				**618,000**

Table 5

FAMILY COURT OPERATIONS

Detail of Full-Time Equivalent Employment

Grade	**FY 2012 Enacted**	**FY 2013 Annualized CR**	**FY 2014 Request**
JS-3			
JS-4	3	1	
JS-5			
JS-6	25	9	10
JS-7	16	23	23
JS-8	52	57	57
JS-9	32	37	37
JS-10	13	13	13
JS-11	11	11	11
JS-12	6	8	8
JS-13	15	14	14
JS-14	1	1	1
JS-15			
JS-16			
JS-17			
CES	1	1	1
Total Salaries	**11,102,000**	**11,170,000**	**11,586,000**
FTEs	175	175	175

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

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
140	20,267,000	140	20,391,000	140	21,496,000	0	1,229,000

Mission Statement

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

Organizational Background

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

- The Director's Office is responsible for management and oversight of all goals, objectives, programs, and activities across the Division. This office also manages several probation officers who staff the city's Co-Located Absconder Unit, which includes several Metropolitan Police Officers (MPD) and several DYRS personnel. The office has 6 FTEs.

- The Juvenile Information Control Unit processes all cases throughout adjudication and disposition through the use of the Court's Integrated Justice Information (IJIS) CourtView database, manages distribution of court reports, oversees the general maintenance of the Division's vehicles, and provides customer service to youth and families reporting to Building B, the central office for CSSD. The unit has 5 FTEs.

- The Contract Monitoring, Data and Financial Analysis Unit coordinates all court-ordered referrals, oversees the procurement of services and coordination of reimbursement for contractual service providers, and compiles CSSD's data. The Unit also coordinates the Division's general internships and staff training. The unit has 5 FTEs.

- The Intake Services and Delinquency and Prevention Branch is comprised of three units, including two units dedicated to day and evening intake services and one unit responsible for community outreach and education as well as global positioning system (GPS) electronic monitoring. Intake Units I and II are responsible for screening each newly referred youth's risk to public safety, conducting social assessments (youth and family) on all youth referred by law enforcement, presenting all referrals before a judicial officer (juvenile equivalent of an arraignment), and making pre-trial recommendations. The Delinquency Prevention Unit (DPU) manages the Division's GPS electronic monitoring, coordinates diversion, and facilitates public safety community education presentations and outreach. Intake Units I and II operate twenty-four (24) hours a day, seven (7) days a week. The branch consists of 25 FTEs.

- The Pre/Post Probation Supervision Branch - Region I provides a seamless set of services, case management, and monitoring/supervision efforts provided by one probation officer of record. The branch consists of: 1) the Southeast Satellite Office (SESO) Balanced and Restorative Justice (BARJ) Drop-In Center, responsible for serving and supervising all youth residing in the historic Anacostia southeast quadrant of the District; 2) the Southwest Satellite Office (SWSO), created to serve youth residing in the southwest and lower northwest quadrants of the city; 3) the Interstate Probation Supervision Office (IPSO), which manages all youth adjudicated in the District who reside outside the city as well as all youth adjudicated outside the District who reside in the city; and 4) Ultimate Transitions Ultimate Responsibilities Now (UTURN), responsible for case management, and the supervision of high-risk pre-and post-adjudicated youth across the city. The branch consists of 46 FTEs.

- The Pre/Post Probation Supervision, Status Offender & Behavioral Health Branch - Region II is responsible for providing seamless services and monitoring/supervision efforts by one probation officer of record. The branch is also complimented by a unit specifically created to respond to the needs of status offenders and youth presenting with Axis I mental health needs who are eligible for diversion. The branch consists of: 1) the Northwest Satellite Office (NWSO), responsible for serving and supervising the vast majority of youth residing in the northwest quadrant of the city; 2) the Northeast Satellite Office (NESO) Balanced and Restorative Justice Drop-In Center; 3) the Status Offender and Behavioral Health Office (SOBHO) responsible for screening, diverting, petitioning, case managing, serving, and supervising all youth referred by the D.C. Public Schools, Charter Schools and/or a parent for alleged habitual truancy (status offense) or as a Person in Need of Supervision (PINS) and all youth participating in the Behavioral Health Court (BHC) diversion or post-disposition program; and 4) the Leaders of Today in Solidarity (LOTS), the city's first female gender-specific seamless probation program. This branch consists of 46 FTEs.

- The Child Guidance Clinic/Branch provides court ordered psychological, psycho-educational, neuro-psychological, competency, forensic evaluations, and Juvenile Behavioral Health initial clinical screenings to determine the needs of youth and family and guide judicial decision-making. The staff recommends eligible youth for the Juvenile Behavioral Health Court. The branch also provides psychotherapy to a limited number of uninsured youth and families. The unit has 7 FTEs and 5 paid interns.

Division Management Action Plan (MAP) Objectives

The Family Court Social Services Division will:

- Use a valid Risk Assessment Instrument and social assessment interviews on all youth within four hours of referral, ensuring sound detention/release and petitioning recommendations (subsequent to consultation), and expeditious case processing initiation by transferring 95% of all cases to appropriate units within three (3) business days of initial hearing.

- Provide high quality screenings, assessments, services, and supervision to all youth determined eligible for diversion and petitioning within fifteen (15) calendar days of petitioning as well as post-adjudication supervision.

- Ensure accurate and timely processing of all services requested by probation officers or ordered by the Court by processing all referrals and invoices within three (3) business days of the Probation Officer (PO) of record receiving the case.

- Coordinate and facilitate family group conferences (FGC) on all youth within eighteen (18) calendar days of receiving the case to determine the appropriate levels of services and community supervision necessary to achieve the objectives detailed in all pre-trial and post-disposition plans for at least 93% of all juveniles.

- Conduct high-quality, comprehensive home studies for families involved in domestic relations cases by completing 95% of home studies within six (6) weeks of the court order.

- Develop comprehensive strength-based social studies to guide services and supervision of all juveniles (as ordered by the Court) by completing 95% of all social studies due within 15 days 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 twenty (20) mile radius of the District and ensure all cases adjudicated in the District of Columbia involving youth residing outside of the radius are transferred to the appropriate jurisdiction for services and supervision.

- Provide high-quality psychological, neuro-psychological, psycho-sexual, and psycho-educational evaluations for all Court ordered youth within twenty-five (25) business days.

- Enhance CSSD employee performance and professional development by requiring at least 90% of all employees to complete a minimum of 20 hours of related training annually.

Restructuring or Work Process Re-Design

Building on a major reengineering effort launched in FY 2006, the Division utilized its strength-based model to guide juvenile probation. Additionally, the Division continued to enhance its *"One Probation Officer, One Youth/Family Model"* and expanded its Balanced and Restorative Justice (BARJ) Drop-In Center model for youth and families coming before the Family Court on delinquency matters. CSSD also secured extensive training for staff in the areas of interpersonal and skills development, substance abuse prevention, mental health services and team building.

In concert with the current District of Columbia Courts' Strategic Plan (Strategic Goal 3 - A Strong Judiciary and Workforce), the CSSD directed a great deal of effort to increasing relevant training and teambuilding opportunities for all of its personnel. Many of these trainings were coordinated by the DC Courts Center on Education and Training. However, several innovative trainings were also facilitated by psychologist and interns staffing the Division's Child Guidance Clinic. The Division ensured staff had input into the selected trainings and that the opportunities were presented consistently throughout the year.

Most recently during the May 2012 All-Division Staff Meeting, a requested training was facilitated by one of the clinical psychologists from the Division's Child Guidance Clinic. The training topic, which resulted from observations by staff of youth discussing legal and designer drugs among their peers, provided extensive education on the use and effects of several legal products, used by teens as designer drugs, that have recently trended in the city - K2 (synthetic marijuana) and Space Cadets (synthetic LSD). Additionally, in June of 2012, an Extern from the Child Guidance Clinic facilitated a division-wide training on Lesbian, Gay, Bisexual, Transgender, Queer, Intersexual and Asexual identity, entitled "Exploring the Lesbian, Gay, Bisexual, Transgender, Queer, Intersexual, and Asexual Identity."

Workload Data

Table 1
FAMILY COURT SOCIAL SERVICES DIVISION
Caseload (Fiscal Year 2011 data)

Case Type	New Cases	Cases Closed	Cases Pending Beginning of Year	Cases Pending End of Year
Juvenile Intake	3,065	3,432	369	2
Pre/ Post Disp. Supervision	2,375	2,536	1,053	892
Status Offenders	416	411	174	179
Behavior Health Court (effect. January 2011)	71	54	17	34
Domestic Relations	310	305	56	61
Child Guidance Clinic	911	916	16	11

Table 2
FAMILY COURT SOCIAL SERVICES DIVISION
Key Performance Indicators

Performance Indicators	Data Source	FY 2011		FY 2012		FY 2013		FY 2014	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Juveniles under supervision and Domestic Relations (DR) monthly cases average of total CSSD cases	Superior Court Data	1,650	1,669	1,750	1,600	1,700	1,700	1,700	1,700
Juveniles under supervision and drug screening conducted	Pretrial Services Data	5,210	2,300	5,300	5,400	5,250	5,250	5,250	5,000
Juvenile probationers screening positive for drugs during probation	Pretrial Services Data	50%	54%	50%	50%	50%	50%	50%	50%
Percentage of juveniles successfully completing probation	CSSD Statistical Reports	80%	78%	80%	78%	80%	85%	85%	85%
Juveniles arrested for new offenses during probation	Superior Court Data	20%	8%	18%	10%	15%	18%	8%	10%
Average pre and post-disposition supervision caseloads and national standards: 1:25 min, 1:25 med, 1:25 max	CSSD Statistical Reports	25	30	25	25	25	25	25	25
Average pre and post-disposition intensive supervision caseloads and national standards 1:14	CSSD Statistical Reports	14	14	14	14	14	14	14	14
Increased curfew checks -- face-to-face contact	CSSD Statistical Reports	20,000	25,835	22,000	28,000	24,000	28,000	25,500	28,000
Increased curfew checks -- telephone calls	CSSD Statistical Reports	32,000	41,234	33,000	36,500	36,000	35,000	35,000	34,000
Increased compliance among youth with face-to-face and telephone call curfew checks[6]	CSSD Statistical Reports	75%	75%	75%	75%	75%	75%	75%	75%

Division Outcomes and Accomplishments in FY 2011

In FY 2012, with an average daily population of 1,650, of whom 336 or 20% were females and 1,314 or 80% were males, the Division continued its proactive efforts to manage court-involved youth, under the front-end of the city's juvenile justice system.

The CSSD continued to provide comprehensive and timely screenings and assessments of all newly referred youth resulting in more than 97% of new cases being ready prior to the initial

[6] Fiscal years 2012, 2013 and 2014 projections were based on average juvenile arrest and offense rate trends reported by the District of Columbia Metropolitan Police Department (MPD), which show a steady volume of juvenile arrests overall across recent years; however, the data also shows a slight increase in serious offenses.

hearing. A total of 3,065 new cases were processed, representing an increase of 17% over the 2,570 new cases processed in 2011. The Division also continued weekly face-to-face curfew checks (an average of 1,900 per month) and curfew calls (an average of 3,250), family group conferences (FGC), case staffing, home and school visits and coordination of services in tandem with sound case management. Comprehensive forensic evaluations and assessments were also provided by the Child Guidance Clinic (CGC), and a bevy of innovative services under signature programs, including Leaders of Today in Solidarity (LOTS), Ultimate Transitions Ultimate Responsibilities Now (UTURN), the South East Balanced and Restorative Justice (BARJ) Drop-In Center, the NE BARJ Drop-In Center and the Juvenile Behavioral Diversion Court, launched in 2011. In September 2011, the D.C. Courts celebrated full scale operations of the NE BARJ Drop-In Center with a "Grand Opening" attended by a wide array of juvenile justice stakeholders, local law-makers, Family Court judicial officers, and court administrators and staff.

In April of 2012, seven (7) months ahead of schedule, the D.C. Courts completed construction for the SW BARJ Drop-In Center, located on South Capitol St., near the National's baseball stadium. Designated staff have moved into the facility. A "Grand Opening" is planned for September 2012. In as much as each BARJ Drop-In Center has distinguishing programmatic features, the SW BARJ is augmented by a state-of-the-art vocation center, which will offer youth under CSSD supervision the opportunity to learn silk-screen, food prep and web design.

Table 3
FAMILY COURT SOCIAL SERVICES DIVISION
S.E. BARJ Drop-In Center

Month/Year	**Oct '11**	**Nov '11**	**Dec '11**	**Jan '12**	**Feb '12**	**Mar '12**	**April '12**	**May '12**
Youth in Program	18/168	27/174	30/168	32/163	30/157	31/183	30/170	45/211
% not suspended from school	94%	96%	97%	100%	97%	97%	95%	100%
% not rearrested	94%	96%	87%	97%	93%	93%	93%	92%

Table 3 shows outcomes achieved by the S.E. BARJ Drop-In Center in FY 2011. The Center houses both BARJ activities for pre-trial youth and post-disposition services and supervision. Among the youth participating in the S.E. BARJ Drop-In Center, 93% were not re-arrested, 97% were not suspended, and more than 96% of participating youth completed the S.E. BARJ Drop-In Center program. The average daily population of thirty (30) youth attending the Center for BARJ represents nearly 20% of the facility's average daily population of 150 post-disposition youth served and supervised at the location.

Table 4
FAMILY COURT SOCIAL SERVICES DIVISION
N.E. BARJ Drop-In Center

Month/Year	**Oct '11**	**Nov '11**	**Dec '11**	**Jan '12**	**Feb '12**	**Mar '12**	**April '12**	**May '12**
Youth in Program	15/168	16/169	22/168	16/168	20/177	26/172	32/173	36/211
% not suspended from school	79%	93%	90%	75%	100%	100%	81%	95%
% not rearrested	87%	94%	77%	81%	80%	81%	97%	100%

Table 4 shows outcomes achieved by the N.E. BARJ Drop-In Center in FY 2011. The Center houses both BARJ activities for pre-trial youth and post-disposition services and supervision.

Among the youth participating in the N.E. BARJ Drop-In Center, 87% of the youth were never re-arrested, and 89% of participating youth were never suspended from school.

Table 5
FAMILY COURT SOCIAL SERVICES DIVISION
Curfew Checks

Month/Year	Oct '11	Nov '11	Dec '11	Jan '12	Feb '12	Mar '12	April '12	May '12
Face-to-Face	2,195	2,525	1,901	2,349	2,366	2,142	2,452	2,221
Telephone	3,798	3,656	2,881	3,396	2,884	2,712	2,945	2,750

Table 5 illustrates that from October 1, 2011 thru April 30, 2012, a total of 18,151 face-to-face curfew checks and 25,022 telephone curfew checks were conducted by case carrying probation officers. The population of youth receiving face-to-face curfew checks includes youth residing in the city, D.C. youth adjudicated outside the city, and youth adjudicated in D.C. who reside within a 20-mile radius of the city. The population of youth receiving telephone curfew checks includes all youth supervised by CSSD with court-ordered curfews. In addition, 2,762 face-to-face weekend curfew checks (Friday and Saturday nights) were made during the months of June through August 2011 as a part of the "D.C. Safe Streets" Initiative, which will continue over the summer months of 2012.

Table 6
FAMILY COURT SOCIAL SERVICES DIVISION
Co-Located Custody Order Initiative

Month/Year	Oct '11	Nov '11	Dec '11	Jan '12	Feb '12	Mar '12	Apr '12	May '12
Pending at the beginning of the month	131	118	119	111	109	85	76	82
Orders Issued	41	15	25	46	39	32	31	28
Orders Quashed	40	23	28	65	49	35	28	21
% of cases quashed	23%	17%	19%	41%	33%	30%	26%	19%

Table 6 illustrates outcomes of the Co-located Absconder initiative in locating juveniles with outstanding custody orders and ensuring that they are returned to the Court to quash the orders. The Co-located Team is housed in Building B with partners from the MPD and the DYRS enabling maximum collaboration in pursuit of juveniles under outstanding custody orders.

Table 7
FAMILY COURT SOCIAL SERVICES DIVISION
Parent Participation Orders

Month/Year	Oct '11	Nov '11	Dec '11	Jan '12	Feb '12	Mar '12	Apr '12	May '12
Parent Participation Orders	935	1017	994	964	926	948	929	928
Compliance	864	945	893	874	852	861	853	848
% Compliance among parents	92%	93%	90%	91%	92%	91%	92%	91%

Table 7 illustrates that from October 2011 through April 2012, 92% of parents issued Parent Participation Orders complied. National indicators confirm that parents, guardians, and custodians are the most suitable individuals to supervise and support adolescents involved in juvenile justice systems.

Additionally, the CSSD worked assiduously to strengthen its relationships with local juvenile and criminal justice stakeholders throughout the city, resulting in a reduction in recidivism and increased cross-agency initiatives. Among the many initiatives resulting from the CSSD's efforts was the implementation of an enhanced Summer Weekend Curfew measure, which augmented the broader City's Summer Safety Initiative, lead by the Office of the Mayor for the District of Columbia. Contemplating the possibility of a reduction in summer jobs and summer school enrollments, due to budget shortfalls, agencies serving children, adolescents and families were asked to identify ways to enhance or expand summer services. Along with additional city-wide efforts, the Division mobilized staff and implemented a weekend curfew measure, which ensured all high and medium-risk youth were monitored at a heightened level. Results from the summer efforts were recognized by many media outlets as having contributed to a reduction in crime during the summer of 2011.

In collaboration with the Department of Youth Rehabilitation Services (DYRS) and the Metropolitan Police Department (MPD), the CSSD also facilitated a crime prevention forum, entitled Juvenile Call-In, which brought more than 250 youth (juveniles under CSSD and DYRS supervision) and families to the Moultrie Courthouse. The gathering was supported by probation officers, case managers, social workers, community-based providers and public agency representatives. Participants were addressed by a bevy of juvenile and criminal justice agency leaders, whose remarks centered on imploring youth to remain crime free during the 2012 summer and beyond. The event was so well-attended that an overflow courtroom was opened to ensure all attendees were able to fully participate. The CSSD also continued its efforts in the "Partnership for Success," a nationally recognized high impact services and community supervision measure originating in Boston, MA in which local law-enforcement, juvenile probation, clergy and service providers collaborate to supervise high-risk youth in the community. Additional measures which were sustained in FY 2012 include enhanced information sharing among juvenile justice stakeholders and participation in an Interagency "Crossing Borders" measure, designed to reduce juvenile and adult crimes across state lines encompassing the Washington Metropolitan Area.

Notwithstanding these accomplishments, in June 2012, the CSSD in collaboration with the DYRS facilitated an effort to enable youth with outstanding custody orders to surrender to the Court. The measure, entitled Operation Safe Return, mirrored the city's Safe Surrender Initiative implemented several years ago by adult criminal justice stakeholders to quash outstanding warrants and bring adults offenders into compliance with community release conditions. Because custody orders (similar to warrants in adult criminal justice systems) can be issued for failure to appear at a court hearing, non-compliance with court requirements, loss of contact with a probation officer, case manager or social worker, and/or abscondence from a court-ordered placement, the Operation Safe Return will enable youth to resolve the custody order. Operation Safe Return was held at the NE Balanced and Restorative Justice (BARJ) Drop-In Center, equipped with a satellite courtroom and holding cells.

In FY 2012, the Division's Child Guidance Clinic (CGC) completed 786 evaluations, the lion-share completed in twenty-five (25) days or less. With the support of interns and externs, the Clinic continued to successfully operate the City's only community-based comprehensive program for juveniles adjudicated for sexual offenses and other serious charges. Additionally,

the CGC facilitated a series of presentations to judicial and law enforcement officers, juvenile justice stakeholders, as well as graduate and doctoral students at local universities and colleges. The CGC also launched a research measure to examine the effectiveness of the Juvenile Behavioral Health Court, with a focus on the services and supervision provided by the CSSD and the services provided by behavioral health providers. Finally regarding the Child Guidance Clinic, Chief Psychologist Dr. Michael Barnes was selected by the American Psychological Association (APA) as the recipient of an award for Distinguished Contributions to Institutional Practice. He received the award at the 2012 APA Convention in Orlando Florida in August 2012.

FY 2014 Request

In FY 2014, the Courts request $21,496,000 for the Family Court Social Services Division, an increase of $1,229,000 (6.1%) above the FY 2012 Enacted Budget. The FY 2014 request consists of $2,355,000 to transform the NW Satellite Office into a BARJ Drop-In Center for males residing in the Northwest quadrant of the city, $674,000 for built-in cost increases, and a $1,800,000 reduction from a non-recurring cost.

Northwest BARJ Drop-In Center, $2,355,000

Northwest (NW) BARJ Drop-In Center Cost Detail

Breakdown of Cost	Annual Lease	One time Build-Out	Youth Services	Start-Up Supplies	Court Security Services	Total
Northwest BARJ Drop-In Center	-	$1,600,000	$375,000	$5,000	$375,000	$2,355,000

Problem Statement. Historically, probation agencies across the country have used government office settings to serve youth and families. A body of literature underscores that although this approach may appear "penny wise" it is "pound foolish," as an analysis of compliance with court conditions, successful completion of probation supervision and reductions in recidivism rates correlate to the development and utilization of community-based probation services and supervision. In fact, court data compiled since the inception of the SE BARJ Drop-In Center in 2008 reveal an average recidivism rate of 10%, well below the national average rate of 25%. The data also show a reduction in school supervisions among participating youth and an average compliance rate of 90% among parents with court-issued Parent Participation Orders (PPO). Moreover, the data underscored that CSSD can better access a host of public and private agency services, at no cost to the Court, because community-based providers can more easily get to local satellite offices. This reduces the need for the Court to procure certain services, saving time and money.

To convert its probation field office in Northwest D.C. into a Balanced and Restorative Justice (BARJ) Drop-In Center the Superior Court needs funding to support construction build-out and ongoing supplies/services. CSSD seeks to broaden it proactive community-based logic-model for juveniles by further decentralizing operations across the city, as this approach has proven

more effective for the facilitation of timely case management, service delivery, and community supervision than the traditional probation model.

Relationship to Court Vision, Mission and Strategic Goals. The NW BARJ Drop-In Center supports the D.C. Courts' Strategic Goal 5-- Public Trust and Confidence. The location of D.C. Courts community-based facilities for juveniles ensures the Courts remain accessible to citizens of the District of Columbia, demonstrates an investment in how court-involved youth and families are served, and supports public safety by facilitating a daily presence in local communities where juvenile crimes occur. Further enhanced is the increased understanding of local communities and the cultural realities within neighborhoods which enables the CSSD staff to better serve their assigned youth and families.

Relationship to Division MAP Objectives. This request is directly connected to supporting the following three CSSD MAP Objectives:

- Conduct high-quality, comprehensive home studies for families involved in domestic relations cases by completing 95% of home studies within six weeks of the court order.

- Develop comprehensive strength-based social studies to guide services and supervision of all juveniles (as ordered by the Court) by completing 95% of all social studies due within 15 days 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 twenty (20) mile radius of the District and ensure all cases adjudicated in the District of Columbia involving youth residing outside of the radius are transferred to the appropriate jurisdiction for services and supervision.

The renovation and expansion of the existing Northwest Satellite Office into a BARJ facility will enable the CSSD to better meet the needs of the youth. Data tracked by the D.C. Courts, local Criminal Justice Coordinating Committee (CJCC) and the Annie E. Casey Foundation underscore reduced recidivism among youth served by the CSSD's BARJ facilities.

Relationship to Existing Funding. The Court does not have funds to transform the N.W. Satellite Office into a BARJ Drop-in Center.

Expenditure Plan. The expansion of the N.W. Satellite Office into a BARJ Drop-In Center will be procured in accordance with the Courts' Procurement Policies and Guidelines.

Performance Indicators. Key performance indicators anticipated include increases in 1) face-to-face contacts with and monitoring of youth and families; 2) family involvement; 3) school attendance and academic performance; 4) number of youth successfully completing probation; and 5) reductions in loss of contact with youth and probation revocations resulting in detention.

Table 9
FAMILY COURT SOCIAL SERVICES DIVISION
Budget Authority by Object Class

	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request	Difference FY 2012/2014
11 - Personnel Compensation	11,683,000	11,754,000	12,191,000	508,000
12 - Personnel Benefits	2,927,000	2,945,000	3,058,000	131,000
Subtotal Personnel Cost	***14,610,000***	***14,699,000***	***15,249,000***	***639,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	360,000	362,000	362,000	2,000
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	5,225,000	5,258,000	5,808,000	583,000
26 - Supplies & Materials	36,000	36,000	41,000	5,000
31 - Equipment	36,000	36,000	36,000	0
Subtotal Non-Personnel Cost	***5,657,000***	***5,692,000***	***6,247,000***	***590,000***
TOTAL	**20,267,000**	**20,391,000**	**21,496,000**	**1,229,000**
FTE	140	140	140	0

Table 10
FAMILY COURT SOCIAL SERVICES DIVISION
Detail Differences, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Position WIG	140	347,000	
	Current Position COLA		90,000	
	Additional CR funding of 0.612%		71,000	
Subtotal 11				*508,000*
12 - Personnel Benefits	Current Position WIG		90,000	
	Current Position COLA		23,000	
	Additional CR funding of 0.612%		18,000	
Subtotal 12				*131,000*
Subtotal Personnel Services				***639,000***
21 - Travel, Transp. Of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Additional CR funding of 0.612%			2,000
24 - Printing & Reproduction				
25 - Other Service	Additional CR funding of 0.612%		33,000	
	NW Office - build-out		1,600,000	
	NW Office - therapeutic services		375,000	
	NW Office - security services		375,000	
	Non-recurring cost		(1,800,000)	
Subtotal 25				*583,000*
26 - Supplies & Materials	NW Office BARJ			5,000
31 - Equipment				
Subtotal Non-Personnel Services				***590,000***
TOTAL				**1,229,000**

Table 11

FAMILY COURT SOCIAL SERVICES DIVISION

Detail of Full-Time Equivalent Employment

Grade	2012 Enacted	2013 Annualized CR	2014 Request
JS-2			
JS-3			
JS-4			
JS-5			
JS-6	3	3	2
JS-7	5	5	5
JS-8	19	19	20
JS-9	26	15	10
JS-10	1	1	1
JS-11	12	16	17
JS-12	48	54	58
JS-13	20	19	19
JS-14	4	6	6
JS-15	1		
CEMS		1	1
CES	1	1	1
Total Salaries	**11,683,000**	**11,754,000**	**12,191,000**
Total FTEs	140	140	140

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

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
25	3,134,000	25	3,153,000	25	3,250,000	0	116,000

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

1. The Civil ADR Branch provides mediation and arbitration for most of the Superior Court's civil cases. Mediation is provided for small claims, landlord/tenant, and civil cases. This branch also provides mediation services to the Tax and Probate Courts.

2. The Family ADR Branch includes three programs: Child Protection Mediation, Community Information and Referral, and Family Mediation. Child Protection Mediation is a process which includes multiple stakeholders addressing family plans and legal issues in child neglect cases. The Community Information and Referral Program provides resource information, agency referrals, conciliation, and mediation to individuals and families. The program addresses landlord-tenant, consumer fraud, contract, domestic relations, and personal injury issues before a case is filed. The Family Mediation Program addresses domestic relations issues of custody, support, visitation, and property distribution. The Family Mediation Program also includes PAC, a Parent Education Seminar for parents and their children involved in contested custody disputes. The Parent Education Seminar provides parents with valuable information regarding the effects and potential consequences of a custody dispute on children, and allows them to participate in a mediated resolution of the dispute in a manner that is in the best interest of the children.

3. The Program Assessment and Training Branch provides quality assurance through the training, evaluation, and support of 300 community-based mediators who are lawyers, social workers, government employees, retirees, and others providing ADR services to the court. Mediators receive a stipend for their services.

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

Table 1
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Caseload Overview

	Mediation Sessions Scheduled	Cases Held	*Cases Settled	Settlement Rate
FY 2011	9820	5682	3132	61%
FY 2012	8794	5144	2545	64%

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

Division MAP Objectives

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

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

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

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

- Further the delivery of justice through effective and appropriate alternative dispute resolution (ADR) in all case types by maintaining settlement and client satisfaction rates.

- Enhance case management by utilizing time standards for processing all cases referred to ADR.

- Enhance data collection and reporting procedures to ensure the integrity of courtwide data and the quality of all mediated agreements.

- Increase understanding of and access to ADR by producing high-quality written materials in multiple languages and videos that better inform and prepare lawyers, clients and the public about the mediation process.

- Improve public access to Alternative Dispute Resolution by increasing services and options for participation.

- Recruit a well-trained roster of neutrals in all mediation programs by maintaining an open enrollment application process and providing basic and advanced mediation skills training, and maintaining a bi-annual renewal process to assure the quality of mediator performance.

- Enhance current and future delivery of Multi-Door services by initiating a workforce plan that includes position reengineering, organizational and succession planning that aligns all division goals and objectives with individual employee performance plans.

- Promote diversity by outreach efforts to minority groups.

Division Restructuring or Work Process Design

The Multi-Door Dispute Resolution Division continues to explore innovative and effective approaches to resolving disputes and designing dispute systems that resolve cases early in the court process. The Division supports and collaborates with the Family, 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.

In the Civil ADR Program, there was a 36% increase in the number of tax collection cases mediated and a 42% increase in the number of small claims mediations due to the addition of a collections calendar. Overall settlement rates of mediated cases increased from 46% in 2010 to 68% in 2011 (table 1).

The Child Protection Mediation Program revamped its policy on allowing children in mediation to reflect a growing national trend to include children in this process. The decision to include a child in mediation is a collaborative process that involves the court, social workers and guardian ad litems. Each stakeholder is required to consider the age and emotional maturity of the child while assessing the potential benefit and possible risks. If all stakeholders are in agreement, the child may participate in the preliminary stages of mediation and is encouraged to share his or her views about placement and services. This program improvement gives an active voice to the person most affected by child abuse.

The Family ADR Program has an automated statistical report that was developed in consultation with the Information and Technology Division. The new report automates all the information that was previously compiled manually and allows us to perform specific queries on domestic violence screening. This enhancement not only improves program performance (e.g., time and accuracy), but helps us to identify and isolate client characteristics that may be incompatible with mediation.

Multi-Door expanded services include the Program for Agreement and Cooperation in Contested Custody Disputes (PAC) an education seminar conducted in both English and Spanish for parents involved in contested custody disputes. In this innovative program, parents have an opportunity to mediate their dispute following an education seminar on the harmful effects of contested custody disputes on children.

The Division's outreach services include a satellite office at the Central American Resource Center in the Adams Morgan section of the District of Columbia, which assists Spanish speaking residents with resolving community disputes.

During this fiscal year, in collaboration with Howard University law School, Multi-Door began a mediation internship program for third year law students in the Small Claims Mediation Program. Students come to small claims court weekly to observe mediations and co-mediate with senior Multi-Door mediators. The goal of this program is to introduce law students to the mediation of disputes early so they will be prepared to be better advocates for their future clients.

Multi-Door expanded its roster of qualified civil mediators by conducting a basic mediation skills training and specialized subject matter training for the Civil ADR Program. The division conducted more than a dozen advanced ADR trainings across all programs for its mediators during this period and has an annual continued education requirement that must be fulfilled by mediators to remain in good standing.

The Multi-Door Division utilizes several web based systems to capture the mediation experience of participants in order to improve its ADR programs and the performance of mediators (database), the crafting of mediated agreements (web based agreement writing system), and the efficiency of the stipend payment process (web based voucher system).

The database system assists the Division in improving the quality of the mediator panel by monitoring patterns and trends that will enhance the matching of mediators to disputes and improve mediator performance by informing staff of subject matter upon which to base future specialized trainings. The web based agreement writing system enhances and improves the quality of family agreements, and the web based voucher system improves the efficiency and accuracy of stipend payments to mediators.

Workload Data

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

Type of Indicator	Performance Indicator	Data Source	FY 2011 Actual	FY 2012 Estimated	Projection FY 2013	Projection FY 2014
Input	Cases Scheduled	CourtView	8,213	8,467	8,400	8,400
Output	Mediation Sessions Held	CourtView	5,422	5,705	5,660	5,660
Outcome	Case settlement rate	CourtView	54%	59%	60%	60%
Outcome/Quality	Participant Satisfaction w/ ADR Process	SPSS database	94%	89%	90%	91%
Outcome/Quality	Participant Satisfaction w/ Outcome	SPSS database	84%	71%	75%	80%
Outcome/Quality	Neutral Performance Satisfaction	SPSS database	95%	91%	92%	93%

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

Type of Indicator	Performance Indicator	Data Source	FY 2011 Actual	FY 2012 Estimated	Projection FY 2013	Projection FY 2014
Input	Mediation Sessions Scheduled	Court view	1,607	1,434	1,477	1,506
Output	Mediation sessions held	CourtView	1,170	1,060	1,092	1,114
Outcome	*Case settlement rate	CourtView	68%	69%	70%	71%
Outcome/Quality	Participant satisfaction w/ process	SPSS database	91%	88%	89%	90%
Outcome/Quality	Participant satisfaction w/outcome	SPSS database	84%	83%	84%	85%
Outcome/Quality	Neutral performance satisfaction	SPSS database	95%	93%	94%	95%

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

The quality performance elements reported in Tables 2 & 3 above are measured through participant surveys distributed to all ADR participants after mediation is completed. The statistics report the "percentage of respondents" who report being either "satisfied" or "highly satisfied" with the overall ADR process, outcome, and neutral performance.

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

Key Performance Indicators

Multi-Door will continue to exercise best efforts to achieve its objectives of quality, responsiveness, and settlement in ADR service delivery. The Division has identified performance goals to achieve these objectives. These performance goals are 1) to achieve settlement rates of at least 50% in every ADR program; and 2) to achieve ratings of "highly satisfied" from at least 30% of respondents in each of the three quality performance indicators

(ADR process, ADR outcome, and neutral performance) and overall satisfaction rates (a combination of "satisfied" and "highly satisfied" responses) of at least 80%. Key performance indicators drawn from the Multi-Door MAP are as follows:

Table 4
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2011		FY 2012		FY 2013		FY 2014	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output	Settlement Rate	IJIS database	50%	61%	50%	64%	50%	65%	50%	65%
Outcome	Overall client satisfaction (ratings of satisfied plus highly satisfied)	SPSS database	80%	90%	80%	86%	80%	87%	80%	89%

FY 2014 Request

In FY 2014, the D.C. Courts request $3,250,000 for the Multi-Door Dispute Resolution Division, an increase of $116,000 (3.7%) above the FY 2012 Enacted Budget. The FY 2014 request consists entirely of built-in cost increases.

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

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/ 2014**
11 - Personnel Compensation	2,070,000	2,083,000	2,160,000	90,000
12 - Personnel Benefits	530,000	533,000	553,000	23,000
Subtotal Personnel Cost	***2,600,000***	***2,616,000***	***2,713,000***	***113,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	516,000	519,000	519,000	3,000
26 - Supplies & Materials	10,000	10,000	10,000	0
31 – Equipment	8,000	8,000	8,000	0
Subtotal Non-Personnel Cost	***534,000***	***537,000***	***537,000***	***3,000***
TOTAL	**3,134,000**	**3,153,000**	**3,250,000**	**116,000**
FTE	25	25	25	0

Table 6
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 – Personnel Compensation	Current Positions WIG	25	61,000	
	Current Positions COLA		16,000	
	Additional CR funding of 0.612%		13,000	
Subtotal 11				*90,000*
12 – Personnel Benefits	Current Positions WIG		16,000	
	Current Positions COLA		4,000	
	Additional CR funding of 0.612%		3,000	
Subtotal 12				*23,000*
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service	Additional CR funding of 0.612%			3,000
26 - Supplies & Materials				
31 - Equipment				
Total				**116,000**

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

Grade	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	1	1	1
JS-9	1	1	1
JS-10	9	9	9
JS-11	5	5	5
JS-12	4	4	4
JS-13	3	3	3
JS-14			
JS-15	1	1	1
CES	1	1	1
Total Salaries	**2,070,000**	**2,083,000**	**2,160,000**
Total FTEs	25	25	25

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

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
4	478,000	4	481,000	4	499,000	0	21,000

Mission Statement

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

The Auditor-Master must also perform such other functions as may be assigned by the Court. Thus, the Auditor-Master is also available to assist the Judiciary in discovery and settlement negotiations and other pretrial issues, as well as post-trial monitoring of judgments, consent decrees, and settlements in litigation involving complex financial calculations.

The Auditor-Master investigates assigned matters by gathering and compiling all available documentation and evidence, issuing subpoenas for additional documentation and witnesses to supplement the record, and conducting hearings during which evidence is presented and testimony is secured under oath. Following the hearings, the Auditor-Master states the accounts by determining the value of assets, the income, allowable expenses, and liabilities; makes other complex financial calculations in the controversies between parties, and issues proposed findings of fact and conclusions of law, thus conserving judicial time and resources. The report is considered by the Court in a hearing with the parties. Over 99% of the reports issued by the Office have been approved, under the direction of the incumbent Auditor-Master. The majority of those cases have involved issues that were hotly contested by the parties before being assigned to the Office. Due to the intense investigation into the issues of each case, nearly twenty percent of cases result in settlements.

Organizational Background

The position of the Auditor-Master was created in accordance with D.C. Code §11-1724. The Office of the Auditor-Master currently consists of four FTEs: the Auditor-Master, an Attorney-Advisor, an Accountant, and a Legal Assistant.

Divisional MAP Objective

In accordance with the Time to Disposition Standards effective October 1, 2009, the Office of the Auditor-Master established new aggressively shorter time standards. The Office met three out of five categories in FY 2011. With the additional FTE (Accountant) hired in FY 2012, the Office projects that all five of the completion standards will be met or exceeded in FY 2012 as reflected in the chart below.

Workload Data

Table 1
FY 2011 Caseload Overview

Case Activity			Cases Pending		
Reports (Dispositions)	Cases Referred	Clearance Rate	Oct 1	Sep 30	Change
47	36	131%	28	18	-36%

Table 2
Projected FY 2012 Caseload Overview

Case Activity			Cases Pending		
Reports (Dispositions)	Cases Referred	Clearance Rate	Oct 1	Sep 30	Change
65	65	100%	18	18	0%

Key Performance Indicators

Table 3
Key Performance Indicators
OFFICE OF THE AUDITOR-MASTER

Type of Indicator	Key Performance Indicator	Data Source	FY 2011		FY 2012		FY 2013		FY 2014	
			Goal	Actual	Goal	Projected	Goal	Estimate	Goal	Estimate
Output	Percentage of cases completed within four months	Monthly Reports	50%	26%	55%	60%	55%	60%	55%	60%
Output	Percentage of cases completed within six months	Monthly Reports	60%	58%	75%	75%	75%	75%	75%	75%
Output	Percentage of cases completed within nine months	Monthly Reports	75%	89%	80%	85%	80%	80%	80%	85%
Output	Percentage of cases completed within 12 months	Monthly Reports	80%	96%	85%	90%	85%	85%	85%	90%
Output	Percentage of cases completed within 18 months	Monthly Reports	90%	100%	95%	95%	95%	95%	95%	95%

FY 2014 Request

In FY 2014, the D.C. Courts request $499,000 for the Office of the Auditor-Master. The increase of $21,000 (4.4%) above the FY 2012 Enacted Budget consists entirely of built-in cost increases.

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

	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request	Difference FY 2012/2014
11 – Compensation	362,000	364,000	378,000	16,000
12 – Benefits	91,000	92,000	96,000	5,000
Subtotal Personnel Cost	***453,000***	***456,000***	***474,000***	***21,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	6,000	6,000	6,000	0
26 - Supplies & Materials	6,000	6,000	6,000	0
31 – Equipment	13,000	13,000	13,000	0
Subtotal Non-Personnel Cost	***25,000***	***25,000***	***25,000***	***0***
TOTAL	**478,000**	**481,000**	**499,000**	**21,000**
FTE	4	4	4	0

Table 5
OFFICE OF THE AUDITOR-MASTER
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11- Personnel Compensation	Current Positions WIG	4	11,000	
	Current Positions COLA		3,000	
	Additional CR funding of 0.612%		2,000	
Subtotal 11				16,000
12- Personnel Benefits	Current Positions WIG	4	3,000	
	Current Positions COLA		1,000	
	Additional CR funding of 0.612%		1,000	
Subtotal 12				5,000
Subtotal Personnel Services				***21,000***
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials				
31 - Equipment				
Total				**21,000**

Table 6

OFFICE OF THE AUDITOR-MASTER

Detail of Full-Time Equivalent Employment

Grade	**FY 2012 Enacted**	**FY 2013 Annualized CR**	**FY 2014 Request**
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	1		
JS-11	1	1	1
JS-12		1	1
JS-13	1	1	1
JS-14			
JS-15			
CES	1	1	1
Total Salaries	**362,000**	**364,000**	**378,000**
Total FTEs	4	4	4

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

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
50	5,092,000	50	5,123,000	50	5,313,000	0	221,000

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 minors' estates, guardianships of mentally challenged adults, and guardianships and conservatorships of adults otherwise incapacitated. As the population ages, the work of the Division continues to increase, as more adults become incapacitated and need court-appointed fiduciaries to handle their personal, medical and financial affairs and thereafter as more decedents' estates will be opened. During FY2011, the number of adult guardianship cases filed in the Probate Division increased by 8% over the prior year.

The duties of the Division include processing requests to open a decedent's estate, requests to open a small estate when the assets are less than $40,000, requests to establish a guardianship for a minor's estate, mentally challenged adult or an adult otherwise incapacitated, requests to establish conservatorships to handle the financial affairs of incapacitated adults, requests to establish foreign estates, and requests to establish trusts. The Division also reviews and processes pleadings and accounts as required throughout the duration of the fiduciary case until the case is closed. Generally, the administration of a decedent's estate is closed upon completion, and a proceeding for a disabled person is terminated upon death or recovery or when a minor reaches the age of 18. As a result, cases that remain under the supervision of the Court are processed and maintained by the Probate Division for many years and sometimes decades. The Probate Division provides direct courtroom support and maintains an extensive computerized system, available to provide public information and to ensure notice and timely disposition of any requests. The Probate Division also provides public access via the web to docket information concerning wills, disclaimers, and major litigation in the Probate Division. An extensive Probate Division webpage has been developed, with general information, answers to frequently asked questions, an expanded web library of brochures and videos, the Probate Division Rules, and approximately 250 fillable Probate Division forms designed to assist members of the public. In December 2011, the Probate Division expanded its Probate Resource

Center, which now provides assistance to members of the public needing legal help from volunteer attorneys in preparing pleadings to open a new adult guardianship case or to bring to the attention of the court any issue regarding an existing case.

Organizational Background

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

- The Office of the Register of Wills consists of the Register of Wills, who is responsible for the management and supervision of the Division, one administrative assistant, and a Program Manager and Deputy Program Manager for the Guardianship Assistance Program, for a total of 4 FTEs.
- The Probate Clerk's Office is the operational center of the Probate Division and the primary point of contact for the public. This central office has 8 FTEs, consisting of a supervisor, case manager, and six deputy clerks who handle filings, requests for jackets and copies and all cashier functions.
- The Quality Assurance Office has 9 FTEs, and provides courtroom support for the Probate Division judges, tickler processing, and issuance of letters of appointment to fiduciaries. It ensures the accuracy of docket entries available to the public and the proper handling of all court orders. This office consists of a supervisor, one quality assurance specialist, four courtroom clerks, and three deputy clerks.
- The Legal Branch has 8 FTEs, and is headed by the Deputy Register of Wills. There are three attorneys, one legal assistant to the Branch Manager, a case manager, and two small estate specialists/paralegals. The primary duties of the attorneys are to review pleadings and prepare recommendations to the judges on uncontested matters, represent the office in hearings before the Court, and provide information to attorneys and members of the public regarding Probate Division procedures. The small estate specialists/paralegals prepare and process petitions filed, generally by members of the public who do not have legal representation, for estates having assets of $40,000 or less.
- The Auditing and Appraisals Branch audits accounts of fiduciaries in large estates, conservatorships, guardianships of minors' estates, and trusts under court supervision, examines requests for compensation, prepares audit reports, informs attorneys and fiduciaries on accounting procedures, monitors the filing of inventories, accounts, and receipts, and conducts appraisals of tangible property. This branch has 17 FTEs, consisting of a branch manager, a supervisory auditor, twelve auditors, one appraiser, and two deputy clerks.
- The Probate Systems Office has three FTEs and is responsible for all systems of the Probate Division, including CourtView and Court Cases Online. The Probate Systems Office also maintains the file room and original wills stored on site and arranges for the retrieval of off-site records as needed. This office consists of the Probate Systems Administrator, one deputy clerk, and one records clerk.

Divisional MAP Objectives

The Probate Division 2011 Management Action Plan (MAP) includes the following objectives:

Objective 1. Ensure timely case processing by performing 95% of case processing activities within established time standards (see Table 2).

Objective 2. Enhance access to the Probate Division's docket for large and small estates by remote public access.

Objective 3. Ensure continuity of operations and protect the Probate Division's vital records in the event of an emergency or disaster.

Divisional Restructuring and/or Work Process Redesign

During FY2011, the Probate Division:

- Prepared an updated Continuity of Operations Plan (COOP) for emergency planning;
- Completed the Digital Wills Project, which includes digitalized copies of all wills filed in the District dating back to 1801;
- Hosted a Third Annual Guardianship Conference and information fair for family members and attorneys appointed by the D. C. Courts to serve as guardians for incapacitated adults, which included sessions on financial exploitation issues and improving the quality of life of these wards;
- Increased the availability of Live Chat, staffed by the Probate Division as an online resource, by distributing information to all Probate Division fiduciaries at the time of appointment;
- Created Bench Cards for non-probate judges to help identify elder issues and resources available to assist those in need of a guardianship, conservatorship or protective proceeding;
- Expanded efforts to improve customer service, including staff training and the opening of the Probate Division Information Desk, located in the main lobby of the Probate Division, to serve members of the public;
- Continued work on developing, testing, and updating the Probate Division performance standards;
- Held the first ever Auditing Conference to assist members of the public appointed as fiduciaries;
- Continued the ongoing review of all open decedent estate cases filed through 2007;
- Expanded the web-based library of brochures and video presentations on topics of interest;
- Implemented a monthly Guardianship Orientation Seminar to provide assistance to new and existing guardians in understanding the mechanics of completing guardianship plans and guardianship reports and meeting filing deadlines; and
- Continued efforts to prepare for efiling and eservice of Probate Division pleadings and court orders.

Workload Data

As shown in Table 1, below, the Probate Division disposed of 2,992 cases during FY 2011, a clearance rate of 102% overall for the fiscal year. Efforts continue to close out aged large estate cases and to handle the increase in the number of cases involving incapacitated adults.

Table 1
PROBATE DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2011 Data)

	Cases Filed	Cases Disposed	Clearance Rate*	Cases Pending		
				1-Oct	30-Sept	Change
Old Law Conservatorship	3	30	**	61	34	-44%
Foreign Proceedings	159	126	79%	142	175	+23%
Decedent's Estate	1,580	1,731	109%	4,223	4,072	-3%
Guardianships of Minors	20	84	420%	300	236	-21%
Adult Guardianships/Conservatorships	460	323	***70%	1,987	2,124	+7%
Small Estates	674	675	100%	86	85	-1%
Trusts	25	23	92%	119	121	-2%
Total	2,921	2,992	102%	6,918	6,847	-1%

* 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.
** There are no new cases of this type due to enactment of the Guardianship Protective Proceedings and Durable Power of Attorney Act of 1989. Disabled persons are now included in the Adult Guardianships/Conservatorships category. Three cases are reopened in May 2011.
***These adult guardianship cases are not closed until such time as the ward dies, recovers, or the case is transferred to another jurisdiction

Key Performance Indicators

Table 2
PROBATE DIVISION
Key Performance Indicators

Performance Indicator	Data Source	FY 2011		FY 2012	
		Goal	Actual	Goal	Estimate
Time Standard from Filing to Disposition					
Small estates: within 120 days	Monthly Reports	95%	95% *	95%	95%
Requests for compensation without account and from Guardianship Fund: within 25 days	Monthly Reports	95%	98%	95%	95%
Submit accounts to Court for approval or schedule hearing on approval within 90 days of filing, absent summary hearings and objections, or Court approved time extension on requirements	Monthly Reports	95%	98%	95%	95%
Processing of new case filings within 6 business days	Monthly Reports	95%	98%	95%	95%
Processing of requests for court action on existing cases within 30 days	Monthly Reports	95%	97%	95%	95%
Supervised decedents' estates within 37 months	Monthly Reports	95%	100%*	95%	95%
Unsupervised decedents' estates within 37 months	Monthly Reports	95%	99% *	95%	95%
Intervention Proceedings – Appointment of fiduciary within 90 days of filing	Monthly Reports	95%	95% *	95%	95%

* These indicators are based upon data beginning March 2008.

FY 2014 Request

In FY 2014, the Courts request $5,313,000 for the Probate Division, an increase of $221,000 (4.3%) above the FY 2012 Enacted Budget. The requested increase consists entirely of built-in increases.

Table 3
PROBATE DIVISION
Budget Authority by Object Class

	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request	Difference FY 2012/2014
11 - Personnel Compensation	4,050,000	4,075,000	4,226,000	176,000
12 - Personnel Benefits	1,014,000	1,020,000	1,059,000	45,000
Subtotal Personnel Cost	***5,064,000***	***5,095,000***	***5,285,000***	***221,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	0	0	0	0
26 - Supplies & Materials	15,000	15,000	15,000	0
31 - Equipment	13,000	13,000	13,000	0
Subtotal Non-Personnel Cost	***28,000***	***28,000***	***28,000***	***0***
TOTAL	**5,092,000**	**5,123,000**	**5,313,000**	**221,000**
FTE	50	50	50	0

Table 4
PROBATE DIVISION
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Positions WIG		120,000	
	Current Position COLA		31,000	
	Additional CR funding of 0.612%		25,000	
Subtotal 11				*176,000*
12 - Personnel Benefits	Current Positions WIG		31,000	
	Current Position COLA		8,000	
	Additional CR funding of 0.612%		6,000	
Subtotal 12				*45,000*
Subtotal Personnel Services				**221,000**
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials				
31 - Equipment				
TOTAL				**221,000**

Table 5

PROBATE DIVISION

Detail of Full Time Equivalent Employment

Grade	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request
JS-3			
JS-4			
JS-5	2	1	1
JS-6	5	4	4
JS-7	9	4	4
JS-8	3	8	9
JS-9	0	3	2
JS-10	2	2	2
JS-11	5	4	4
JS-12	16	16	16
JS-13	5	5	5
JS-14	1	1	1
JS-15	1	1	1
CES	1	1	1
Total Salaries	**4,050,000**	**4,075,000**	**4,226,000**
Total FTEs	50	50	50

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
SPECIAL OPERATIONS DIVISION

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
31	4,129,000	31	4,154,000	31	4,252,000	0	123,000

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

Organizational Background

The Special Operations Division consists of seven units plus the Director's Office (2 FTEs), as follows:

1. 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 (10 FTEs).
2. 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 (2 FTEs).
3. The Appeals Coordinator's Office is responsible for the timely processing and service, record gathering, and record certifying of all cases on appeal and processing Court of Appeals orders and mandates (6 FTEs).
4. The Superior Court Library houses law books, legal periodicals, and electronic research tools for the use of judges, attorneys, and court staff (2 FTEs)
5. The DC Courts' Child Care Center provides childcare through the use of developmentally appropriate practices for children of jurors, witnesses, and other parties required to appear in court (2 FTEs).
6. The Office of Court Interpreting Services provides foreign language and sign language interpreters to defendants and others for judicial and quasi-judicial proceedings as well as court related translations upon request (3 FTEs).
7. The Judge-in-Chambers is responsible for handling a variety of emergency matters from every division of the Court during normal business hours that require expedited judicial decision-making. Requests include Temporary Restraining Orders, the issuing of arrest, bench, and search warrants, as well as the enforcement of foreign judgments (4 FTEs).

Division MAP Objectives

- To provide qualified jurors to judges upon request for the purpose of *voir dire* within fifteen minutes of request 100% of the time by maintaining a comprehensive, up-to-date website that allows potential jurors to qualify themselves for jury service, defer their service dates and obtain pertinent information regarding their service via the Courts' website.

- To grow the jury utilization rate to 74% by matching juror demand more closely with anticipated need; which includes information sharing with other Court Divisions that have access to future trial activity.
- To accept, certify and prepare 100% of tax cases on appeal for review by the court according to time standards, quality assurance, and standard operating procedures in compliance with the District of Columbia Official Code and Superior Court Tax Rules.
- To facilitate the timely certification of appeal records to the Court of Appeals within 60 days of receipt of the transcript lists in 86% or more of the cases. To prepare and forward all Notices of Appeal filings (preliminary packages) to the Court of Appeals within two to three days of receipt in the Appeals Coordinators' Office.
- To enhance informed judicial decision-making by maintaining a law library for judges, attorneys and court staff that provides up-to-date print and electronic resources on a broad range of subjects relevant to the administration of justice.
- To provide high quality child care services for jurors, witnesses, and other persons attending court proceedings by offering age appropriate play opportunities, supportive adult supervision, and a safe, stress-free environment.
- To ensure access to court proceedings by non-English speaking and deaf/hard of hearing persons by providing, upon request, certified foreign language and sign language interpreters for defendants and other parties for court hearings within ten minutes of receipt of a "ready" request from a courtroom at least 95% of the time. To provide interpreting related training to courtroom clerks, court employees, and judges.
- To expand access to court services for non-English and deaf/hard of hearing persons conducting business with or litigating matters at the courthouse by assisting in the implementation of remote interpreting systems.

Restructuring and Work Process Redesign

Several restructuring efforts are underway in the Special Operations Division.

The Jurors' Office continues to move toward fully paperless operations. Use of the Electronic Daily Screen was officially launched in May 2011. Jury utilization statistics are directly derived from data contained in this report. The use of paper records have been discontinued.

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

Other restructuring efforts underway include implementing methods to enhance accessibility and improve the jury experience for jurors with disabilities. These include the use of a shared electronic calendar between the Office of Court Interpreting Services (OCIS) and the Jurors' Office. This calendar, available on the Courts' Intranet, is used to schedule and match contract interpreters with Deaf and Hard of Hearing jurors. Additionally, staff from both offices will be trained on the use of a device called the Optelec Viewer. This device, which can be used to

electronically enhance printed documents for jurors with low-vision, may eventually eliminate the need for readers during the deliberative phase of jury trials.

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

The Child Care Center staff collaborated with the Information Technology Division to establish an enhanced computerized registration and admission system which has reduced the amount of time customers have to spend on the registration process after their first visit. This has made registration and document (health, dental and other forms) tracking more efficient.

With the assistance of the Information and Technology Division staff, the Appeals Coordinators' Office is using a newly designed computer software system that facilitates the management of appeal cases from receipt, processing and record certification to final disposition.

Workload Data

In FY 2011, the Special Operations Division's Jurors' Office sent 218,183 summonses to District of Columbia citizens to appear on juries; the Office of Court Interpreting Services received and fulfilled over 10,220 requests for courtroom interpreting services; the Tax Division heard and disposed of 286 tax petitions; and the Appeals Coordinators' Office received 1,437 new appeals that were processed and forwarded to the Court of Appeals within two days of receipt. This office also prepared 1,605 appeal records and supplemental records that were forwarded to the Court of Appeals within 60 days or less of receipt of transcript lists from the Court Reporting Division and Court of Appeals orders and emails. In FY 2011, 1,183 children used the Child Care Center. Tables 1 through 5 provide performance data for the Jurors' Office, the Office of Court Interpreting Services, the Tax Division, the Appeals Coordinators Office, and the Library respectively.

Table 1

SPECIAL OPERATIONS DIVISION

Jurors' Office

Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2011		FY 2012		FY 2013		FY 2014	
			Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Output/ Activity	# of summons sent to jurors to serve on jury duty	Courts' Information Technology (IT) Division	254,000	218,183	252,000	256,039	250,000	250,919	248,000	248,000
Output/ Activity	Jurors qualified to serve on *voir dire* panels	IT Division	65,000	48,134	66,000	58,306	67,000	57,140	50,000	50,000
Outcome	Judicial requests for *voir dire* panels met	Court's R & D Division	86%	59%	88%	90%	90%	78%	86%	70%
Outcome	Jury Yield	IT Division	26%	23%	28%	32%	30%	28%	28%	25%

Table 2

SPECIAL OPERATIONS DIVISION

Office of Court Interpreting Services

Key Performance Indicators

Requests for Interpretation - All Languages

Type of Indicator	Performance Indicator	Data Source	FY 2011		FY 2012		FY 2013		FY 2014	
			Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Input	Requests for interpreters	OCIS statistics	10,247	10, 220	10,759	10,329	11,297	10,845	11,862	11,388
End Outcome	Requests for interpreters met	OCIS statistics	100%	99.7%	100%	96%	100%	96%	100%	96%

Table 3

SPECIAL OPERATIONS DIVISION

Tax Division

Key Performance Indicators

Type of Indicator	Performance Indicator	Data Source	FY 2011		FY 2012		FY 2013		FY 2014	
			Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Input	Number of tax petitions filed	Court data	900	529	1,000	900	1,100	1,000	1,200	1,100
Output/ Activity	Number of cases prepared for hearing	Court data	1,450	1,444	1,400	1,450	1,300	1,400	1,200	1,300
End Outcome	Cases disposed	Court data	350	286	400	324	450	370	500	416
Productivity/ Efficiency	Cases disposed/cases filed	Court data	39%	54%	40%	36%	41%	37%	42%	38%

Table 4

SPECIAL OPERATIONS DIVISION

Appeals Coordinator's Office

Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2011		FY 2012		FY 2013		FY 2014	
			Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Input	Appeals received	Monthly statistical reports	1,200	1,216	1,200	1,220	1,225	1,225	1,225	1,225
Output/ Activity	Appeal documents to the Court of Appeals within 60 days	Transcript lists, weekly worksheets, and team lists	88%	100%	94%	96%	95%	96%	96%	96%
End Outcome	Records available for pick-up by the Court of Appeals	Court of Appeals pick-up log	98%	98%	98%	98%	98%	98%	98%	98%

Table 5
SPECIAL OPERATIONS DIVISION
Library
Key Performance Indicators

Type of Indicator	Performance Indicator	Data Source	FY 2011		FY 2012		FY 2013		FY 2014	
			Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Output	Research Assistance Provided	Library Staff Data	2,402	2,484	2,633	2,633	2,791	2,791	2,958	2,958
Outcome	Users	Library Staff Data	12,014	12,607	13,363	13,363	14,165	14,165	15,015	15,015

FY 2014 Request

In FY 2014, the Courts request $4,252,000 for the Special Operations Division, an increase of $123,000 (3.0%) above the FY 2012 Enacted Budget. The requested increase consists entirely of built-in increases.

Table 6
SPECIAL OPERATIONS DIVISION
Budget Authority by Object Class

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/2014**
11 – Personnel Compensation	2,085,000	2,098,000	2,176,000	91,000
12 – Personnel Benefits	523,000	526,000	546,000	23,000
Subtotal Personnel Cost	***2,608,000***	***2,624,000***	***2,722,000***	***114,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	151,000	152,000	152,000	1,000
25 - Other Services	1,119,000	1,126,000	1,126,000	7,000
26 - Supplies & Materials	241,000	242,000	242,000	1,000
31 - Equipment	10,000	10,000	10,000	0
Subtotal Non-Personnel Cost	***1,521,000***	***1,530,000***	***1,530,000***	***9,000***
TOTAL	**4,129,000**	**4,154,000**	**4,252,000**	**123,000**
FTE	31	31	31	0

Table 7
SPECIAL OPERATIONS DIVISION
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Positions WIG	31	62,000	
	Current Positions COLA		16,000	
	Additional CR funding of 0.612%		13,000	
Subtotal 11				*91,000*
12 - Personnel Benefits	Current Positions WIG		16,000	
	Current Positions COLA		4,000	
	Additional CR funding of 0.612%		3,000	
Subtotal 12				*23,000*
Subtotal Personnel Services				***114,000***
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing and Reproduction	Additional CR funding of 0.612%			1,000
25 - Other Services	Additional CR funding of 0.612%			7,000
26 - Supplies & Materials	Additional CR funding of 0.612%			1,000
31 - Equipment				
Subtotal Non-Personnel Services				***9,000***
Total				**123,000**

Table 8
SPECIAL OPERATIONS DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request
JS-4			
JS-5			
JS-6	4	2	2
JS-7	6	6	6
JS-8	3	5	5
JS-9	6	6	6
JS-10	1	1	1
JS-11	2	2	2
JS-12	5	5	5
JS-13	3	3	3
JS-14			
JS-15			
CES	1	1	1
Total Salaries	**2,085,000**	**2,098,000**	**2,176,000**
Total FTEs	31	31	31

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
MANAGEMENT ACCOUNT

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
0	11,278,000	0	11,347,000	0	9,601,000	0	-1,677,000

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

FY 2014 Request

In FY 2014, the Courts request $9,601,000 for the Management Account, which includes a budget reduction of $60,000 in employee information technology devices (in response to Executive Order 13589), budget reduction of $1,692,000 in other contractual services, and an increase of $75,000 for built-in costs, or a net reduction of $1,677,000 (-14.9%) from the FY 2012 Enacted Budget.

Table 1
MANAGEMENT ACCOUNT
Budget Authority by Object Class

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/2014**
11 - Personnel Compensation	139,000	140,000	145,000	6,000
12 - Personnel Benefits	5,000	5,000	6,000	1,000
Subtotal Personnel Cost	***144,000***	***145,000***	***151,000***	***7,000***
21 - Travel, Transp. of Persons	464,000	467,000	467,000	3,000
22 - Transportation of Things	13,000	13,000	13,000	0
23 - Rent, Commun. & Utilities	2,912,000	2,930,000	2,870,000	-42,000
24 - Printing & Reproduction	318,000	320,000	320,000	2,000
25 - Other Services	6,774,000	6,815,000	5,123,000	-1,651,000
26 - Supplies & Materials	453,000	456,000	456,000	3,000
31 - Equipment	200,000	201,000	201,000	1,000
Subtotal Non-Personnel Cost	***11,134,000***	***11,202,000***	***9,450,000***	***-1,684,000***
TOTAL	**11,278,000**	**11,347,000**	**9,601,000**	**-1,677,000**
FTE	0	0	0	0

Table 2
MANAGEMENT ACCOUNT
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Built-in		5,000	
	Additional CR funding of 0.612%		1,000	
12 - Personnel Benefits	Built-in		1,000	
Subtotal Personnel Services				***7,000***
21 - Travel, Transp. Of Persons	Additional CR funding of 0.612%		3,000	
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Budget Reduction		-60,000	
	Additional CR funding of 0.612%		18,000	
24 - Printing & Reproduction	Additional CR funding of 0.612%		2,000	
25 - Other Service	Additional CR funding of 0.612%		41,000	
	Budget Reduction		-1,692,000	
26 - Supplies & Materials	Additional CR funding of 0.612%		3,000	
31 – Equipment	Additional CR funding of 0.612%		1,000	
Subtotal Non-Personnel Services				***-1,684,000***
TOTAL				**-1,677,000**

DISTRICT OF COLUMBIA COURT SYSTEM
Overview

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
296	66,712,000	296	67,120,000	303	70,336,000	7	3,624,000

Introduction

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

FY 2014 Request

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

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

The Court System has aligned its FY 2014 request around three of the five strategic goals—fair and timely case resolution; a strong judiciary and workforce; and a sound infrastructure. In FY 2014, the D.C. Courts request $70,336,000 for the Court System, an increase of $3,624,000 (5.43%) above the FY 2012 Enacted Budget. The request includes increases to support the following Court goals:

Strategic Goal 1: Strong Judiciary and Workforce--$226,000 and 2 FTEs

The FY 2014 request includes $226,000 and 2 FTEs to address the Courts' strategic goal of a strong judiciary and workforce by fostering the strategic transformation of the Human Resources, including leadership of organizational development, engagement in workforce planning, and the provision of increased support to court management.

Strategic Goal 4: A Sound Infrastructure--$3,071,000 and 5 FTEs

The FY 2014 request includes $3,071,000 and 5 FTEs to address the Courts' goal of maintaining a sound infrastructure, including $2,356,000 to meet the need identified in security assessments for additional contractual security officers to augment security coverage in court buildings; $350,000 for the care of the newly renovated Building C, including utilities, cleaning, maintenance and upkeep of the grounds; $196,000 for 3 FTEs to provide increased facilities maintenance, preserving recent investments made to renovate and restore court buildings; $159,000 for 2 FTEs to address increasing requirements for audiovisual and courtroom technology services, as the Courts offer up-to-date technology for courtroom trials and proceedings; and $10,000 to enhance security by providing uniforms to facilitate identification and visibility of support staff.

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

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/2014**
11 - Personnel Compensation	26,714,000	26,879,000	28,325,000	1,611,000
12 - Personnel Benefits	6,688,000	6,729,000	7,104,000	416,000
Subtotal Personnel Cost	***33,402,000***	***33,608,000***	***35,429,000***	***2,027,000***
21 - Travel, Transp. of Persons	565,000	569,000	419,000	-146,000
22 - Transportation of Things	5,000	5,000	5,000	0
23 - Rent, Commun. & Utilities	11,052,000	11,120,000	11,220,000	168,000
24 - Printing & Reproduction	88,000	88,000	83,000	-5,000
25 - Other Services	19,273,000	19,390,000	20,830,000	1,557,000
26 - Supplies & Materials	772,000	776,000	786,000	14,000
31 - Equipment	1,555,000	1,564,000	1,564,000	9,000
Subtotal Non-Personnel Cost	***33,310,000***	***33,512,000***	***34,907,000***	***1,597,000***
TOTAL	**66,712,000**	**67,120,000**	**70,336,000**	**3,624,000**
FTE	296	296	303	7

DISTRICT OF COLUMBIA COURT SYSTEM
EXECUTIVE OFFICE

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
19	2,492,000	19	2,507,000	19	2,598,000	0	106,000

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

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

FY 2014 Request

In FY 2014, the Courts request $2,598,000 for the Executive Office, an increase of $106,000 (4.3%) above the FY 2012 Enacted. The requested increase consists entirely of built-in cost increases.

Table 1
EXECUTIVE OFFICE
Budget Authority by Object Class

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/2014**
11 - Personnel Compensation	1,973,000	1,985,000	2,057,000	84,000
12 - Personnel Benefits	505,000	508,000	527,000	22,000
Subtotal Personnel Cost	***2,478,000***	***2,493,000***	***2,584,000***	***106,000***
21 - Travel, Transp. of Persons	*0*	*0*	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	0	0	0	0
26 - Supplies & Materials	8,000	8,000	8,000	0
31 - Equipment	6,000	6,000	6,000	0
Subtotal Non-Personnel Cost	***14,000***	***14,000***	***14,000***	***0***
TOTAL	**2,492,000**	**2,507,000**	**2,598,000**	**106,000**
FTE	19	19	19	0

Table 2
EXECUTIVE OFFICE
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Position WIG	19	58,000	
	Current Position COLA		14,000	
	Additional CR funding of 0.612%		12,000	
Subtotal 11				*84,000*
12 - Personnel Benefits	Current Position WIG		15,000	
	Current Position COLA		4,000	
	Additional CR funding of 0.612%		3,000	
Subtotal 12				*22,000*
Subtotal Personnel Services				***106,000***
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials				
31 - Equipment				
TOTAL				**106,000**

Table 3
EXECUTIVE OFFICE
Detail of Full-Time Equivalent Employment

Grade	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	1	1	1
JS-8	1	1	1
JS-9			
JS-10			
JS-11	2	2	2
JS-12	3	3	3
JS-13	3	3	3
JS-14	3	3	3
JS-15	4	4	4
JS-16			
JS-17			
CES	1	1	1
Ungraded	1	1	1
Total Salaries	**1,973,000**	**1,985,000**	**2,057,000**
Total FTEs	19	19	19

DISTRICT OF COLUMBIA COURT SYSTEM
ADMINISTRATIVE SERVICES DIVISION

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
46	5,403,000	46	5,437,000	46	5,584,000	0	181,000

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

- The Information & Telecommunications Branch is responsible for providing telecommunications services; information services regarding daily court proceedings; court directory services; and mailroom operations.

- The Procurement and Contracts Branch is responsible for small purchases, major contract acquisitions, graphics and reproduction services, as well as sponsoring acquisition training and maintaining the Courts' Procurement Guidelines.

- The Office Services Branch is responsible for the warehouse and supply room operations; furniture and furnishings inventory; fixed and controllable assets; property disposal; receipt of delivery orders; special occasion room/function set-ups; staff relocation services; Help-Desk operations; records management; and vehicle fleet management (including fleet credit cards management).

Administrative Services MAP Objectives

- Develop, encourage, and support the workforce by developing a highly skilled, professional, and competent team to increase overall efficiencies and effectiveness of the Information, Telecommunications, Supply Management, and Acquisition operations.

- Ensure staff is trained, capable and prepared to continue the performance of essential operations in the event that an emergency threatens or incapacitates Court operations.

- Increase the utilization of technology to streamline the acquisition process and improve customer support at the Information Window, the Help Desk, Records Management, Supply Store, and Warehouse.

- Maintain and update, on an annual basis, the Courts' Procurement Guidelines to reflect best practices, industry standards and recommended changes by the Office of Federal Procurement Policy, as deemed necessary by the Courts.

- Plan, develop, and implement a strategy for on-going procurement training of the acquisition workforce to include contracting officer technical representatives (COTRs),

contract administrators, technical officers, project managers, source selection team members and those individuals involved in the payment and close-out process.

- Provide convenient, safe, and secure off-site storage for storing vital Court records and other critical documents, supplies and equipment.

- Employ technology to improve overall efficiency of accounting for fixed and controllable assets.

- Provide on-going surveillance and consistent oversight to prevent waste, fraud, and abuse in the Courts' SmartPay Purchase and Fleet Card Programs.

- Develop, implement, and maintain a fixed asset inventory control system for all personal property assets acquired, maintained, transferred, and disposed of throughout the assets life cycle.

Workload Data

Information & Telecommunications Branch

In FY 2014, the mailroom expects to process approximately 65,000 juror checks, 260,000 juror summonses, 240,000 subpoenas, and another 295,000 outgoing pieces of mail. The Information Center expects to respond to over 4,000 incoming calls per week (well over 200,000 calls per year). The data represent a reduction in calls due to the usage of technology via the Courts' website and interactive voice response systems. Additionally, it is projected that in FY 2014, the staff at the courthouse Information Center window will respond to an estimated 12,000 members of the public needing assistance per week (576,000 annually). This number is expected to remain constant and eventually decline in the out years as more members of the public utilize the Courts' Internet site or other social media outlets to access court information and data.

Procurement and Contracts Branch

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 "The Acquisition Training Institute" to provide internal training to the procurement staff and personnel with acquisition and contract management responsibilities. To increase subject matter expertise in procurement related matters, the Institute implemented a contracting officer technical representative (COTR) certification training program. This program provides a comprehensive understanding of the entire acquisition process. In 2012 it is estimated that 15 employees will complete the program. This number is expected to increase in 2013 and 2014 as the Institute continues to enhance the training experience with additional elective classes in grants and project management.

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

Office Services Branch

The Help-Desk expects to receive approximately 5,000 calls from court personnel, which represents 7,000 fewer records than reported in FY 2012 due to the ongoing upgrades to the facilities and infrastructure. Based on these renovations, it is anticipated that fewer calls to resolve maintenance, repair and operational issues will be made.

The Records Management Unit expects to fill approximately 4,000 record requests, which represents 40,500 fewer records than reported in FY 2012 due to the implementation of electronic records resulting in less reliance on the physical record. It is anticipated that this trend will continue as more members of the public utilize Court View to print case records. The Records Management Unit expects to process over 43,000 cases of records and files for storage or disposal. This number has increased as the Courts are digitizing older records and current records are available in the case management system. As the public demands greater access to information, digital imaging will provide greater access of records to the public, increase the preservation of historical data, as well as reduce the footprint of stored files and cost associated with maintaining records in storage facilities.

Table 1
ADMINISTRATIVE SERVICES DIVISION
Key Performance Indicators

Telecommunications Branch									
Performance Indicators	Data Source	FY2011		FY2012		FY2013		FY2014	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Number of Calls monthly	Call Accounting Reports	30,000	28,000	20,000	16,000	20,000	16,000	20,000	16,000
Jury Checks processed by mailroom yearly	Electronic Database	40,000	45,000	50,000	60,000	55,000	65,000	60,000	65,000
Jury Summons processed by mailroom yearly		250,000	200,000	260,000	220,000	270,000	250,000	275,000	260,000
Subpoenas processed by mailroom yearly		210,000	195,000	215,000	200,000	220,000	230,000	225,000	240,000
Outgoing Metered Mail (Pieces) yearly		270,000	250,000	280,000	270,000	300,000	290,000	325,000	295,000
Telecommunications additions, moves and changes yearly	Internal Audit	40,000	30,000	40,000	30,000	40,000	30,000	20,000	15,000
% of Internal Customers Satisfied **Actual percentage based on 2012 survey*	Customer survey and feedback	95%	95%	95%	89%*	93%	92%	93%	94%

Procurement Branch									
Performance Indicators	Data Source	FY2011		FY2012		FY2013		FY2014	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Number of Small Purchases Processed yearly (≤ $100,000)	Automated Financial System and Manual Accounting	650	750	850	850	900	900	1,000	1,000
Number of Large Purchases Processed yearly (> $100,000)		250	200	125	125	100	100	75	75
Number of Modifications Processed yearly		1,600	1,300	1,200	1,200	1,000	1,000	800	800
% of Small Purchases Processed within 15 days		85%	90%	90%	90%	95%	95%	95%	95%
% of Large Purchases Processed within 90-120 Days after receipt of SOW		80%	80%	85%	85%	90%	90%	95%	95%
Number of Acquisition Training Courses conducted yearly	Internal Records	10	14	12	16	18	18	20	20
% of Internal Customers Satisfied **Actual percentage based on 2012 Customer Survey*	Customer Survey and feedback	95%	95%	95%	89%*	93%	92%	93%	94%

Office Services Branch									
Performance Indicators	Data Source	FY2011		FY2012		FY2013		FY2014	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Number of Help Desk Calls Received yearly	Automated Tracking System	13,000	13,000	5,000	5,000	5,000	4,900	4,900	4,850
Number of days to conduct physical inventory and account for and reconcile discrepancies for all fixed assets	Electronic Data Base	75	65	60	55	60	55	55	50
Records Center requests for court records filled yearly	Electronic Data Base	50,000	49,000	4,000	4,000	3,500	3,500	3,000	3,000
Records for Storage yearly (cases)	Manual Accounting	20,000	21,000	20,000	43,000	44,000	44,500	44,500	45,000
% of Internal Customers Satisfied **Actual percentage based on 2012 survey*	Customer Survey and feedback	95%	96%	98%	89%*	93%	92%	93%	94%

FY 2014 Request

In FY 2014, the Courts request $5,584,000 for the Administrative Services Division, an increase of $181,000 (3.3%) above the FY 2012 Enacted. The requested increase consists entirely of built-in cost increases.

Table 2
ADMINISTRATIVE SERVICES DIVISION
Budget Authority by Object Class

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/2014**
11 - Personnel Compensation	3,190,000	3,210,000	3,327,000	137,000
12 - Personnel Benefits	797,000	802,000	832,000	35,000
Subtotal Personnel Cost	***3,987,000***	***4,012,000***	***4,159,000***	***172,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	1,302,000	1,310,000	1,310,000	8,000
26 - Supplies & Materials	85,000	86,000	86,000	1,000
31 - Equipment	29,000	29,000	29,000	0
Subtotal Non-Personnel Cost	***1,416,000***	***1,425,000***	***1,425,000***	***9,000***
TOTAL	**5,403,000**	**5,437,000**	**5,584,000**	**181,000**
FTE	46	46	46	0

Table 3
ADMINISTRATIVE SERVICES DIVISION
Detail Difference, FY 2012/FY 2014

Object Class	**Description of Request**	**FTE**	**Cost**	**Difference FY 2012/2014**
11 - Personnel Compensation	Current Position WIG	46	94,000	
	Current Position COLA		23,000	
	Additional CR funding of 0.612%		20,000	
Subtotal 11				*137,000*
12 - Personnel Benefits	Current Position WIG		24,000	
	Current Position COLA		6,000	
	Additional CR funding of 0.612%		5,000	
Subtotal 12				*35,000*
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service	Additional CR funding of 0.612%		8,000	
26 - Supplies & Materials	Additional CR funding of 0.612%		1,000	
31 - Equipment				
TOTAL				**181,000**

Table 4

ADMINISTRATIVE SERVICES DIVISION

Detail of Full-Time Equivalent Employment

Grade	**FY 2012 Enacted**	**FY 2013 Annualized CR**	**FY 2014 Request**
JS-3			
JS-4			
JS-5	6	5	5
JS-6	7	6	6
JS-7	3	4	4
JS-8	1	2	1
JS-9	3	5	5
JS-10	1		
JS-11	4	4	4
JS-12	6	4	5
JS-13	10	11	11
JS-14	3	3	3
JS-15	1	1	1
JS-16			
JS-17			
CES	1	1	1
Total Salaries	**3,190,000**	**3,210,000**	**3,327,000**
Total FTEs	46	46	46

DISTRICT OF COLUMBIA COURT SYSTEM
BUDGET AND FINANCE DIVISION

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
41	5,797,000	41	5,832,000	41	5,758,000	0	-39,000

Mission Statement

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

Organizational Background

The Budget and Finance Division is comprised of the Director's Office and four branches, and employs 41 FTEs.

Branch	FTE
Director's Office	12
Budget Branch	5
Financial Operations Branch	12
Banking & Collections Branch	6
Defender Services Branch	6
DIVISION TOTAL	41

Director's Office

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

- Develop appropriate fiscal policies to carry out the D.C. Courts' programs.
- Prepare, enact, administer, and monitor the D.C. Courts' annual spending plan (budget).
- Prepare fiscal impact statements on proposed federal and local legislation that involve the D.C. Courts.
- Develop and maintain the accounting and reporting system of the D.C. Courts.
- Monitor and audit expenditures by D.C. Court divisions 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 and implementation of internal controls and mechanisms that maximize the accounting and safeguarding of funds, while also ensuring the proper segregation of duties within the Courts.

Budget Branch

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

Financial Operations Branch

The Financial Operations Branch's mission is to provide timely, accurate, and useful financial information for making decisions, monitoring performance day-to-day, and maintaining accountability and stewardship to support the Courts' divisions and other users of court financial information.

Defender Services Branch

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

Banking and Collections Branch

The Banking and Finance Branch's mission is to ensure the accurate and secure receiving, receipting, and processing of payments received at various locations throughout the D.C. Courts, including payments processed manually, through cash registers, or through automated systems.

Budget and Finance Division MAP Objectives

- Ensure the accurate and timely receipt, safeguarding and accounting of fines, fees, costs, payments, and deposits of money or other negotiable instruments by preparing and completing monthly reconciliations of all D.C. Courts' bank accounts for 100% compliance with established Federal and District government statutes and regulations, and generally accepted accounting principles.
- Provide for the timely and accurate payment processing of valid invoices within 10 days of the division's receipt of a signed and approved invoice with an existing and funded obligation from the appropriate D.C. Courts' official.
- Generate timely and accurate tracking 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 Personal Services (PS) 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 Phase II.
- Ensure prudent fiscal management of the Courts' training resources and the timely processing of training and travel requests and reimbursements for the Courts' judicial and non-judicial personnel by managing the City Pairs program with streamlined yet well-defined policies and procedures.
- 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 CourtView.
- Enhance the Courts' compliance with grant requirements with improved procedures for preparing timely and accurate financial reports.
- Enhance the ability of the Courts' executive management to make informed decisions regarding the allocation of court resources and comply with appropriations law, by developing timely, accurate, and meaningful annual spending plans and monthly reports for the operating and capital budgets and maintaining a high level of monitoring through effective financial policy documentation.

Budget and Finance Division Accomplishments

To foster the Strategic Plan goals of accountability to the public and responsiveness to the community, the Courts' Budget and Finance Division (B&F Division) implemented a number of improvements in recent years. The Division upgraded the financial system to Pegasys 6.1, which is web-based and more user-friendly. The Division created a position control system to track more closely FTE levels and strengthen financial controls. In collaboration with the Information Technology Division, the B&F Division implemented the Web-based Voucher System to track defender services vouchers and streamline the payment process. The Division also implemented a more secured electronic process to combat fraudulent activities in our bank accounts.

Restructuring and Work Process Redesign

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

The B&F Division began utilizing the GSA's Oracle-based Discoverer reports to capture data and report payroll expenditures by position, branch, and division per pay period. This management tool provides senior managers with historical data to facilitate efficient utilization of overtime, night differential, and holiday pay.

The B&F Division has reengineered the way the D.C. Courts report their financial performance. New business processes have 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 and safeguarding of funds and proper segregation of duties, the Reporting and Controls Unit was developed under the Office of the Chief Financial Officer.

In an effort to provide more cost-efficient operations, the B&F Division analyzed its paper-based voucher payment processing and labor-intensive processes, such as paper tracking, mailing, and photocopying, and initiated the development of an automated system to enhance the ability to track CJA and CCAN vouchers from the date of submission through the date of payment. The Web-based Voucher System II is a result of a collaborative effort of the B&F Division's Defender Services Branch, Information Technology Division, Probate Division, Criminal Division, and the Family Court. The B&F Division's cost benefit analysis of the Web-based Voucher System II 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 into the Defender Services internal accounting system will permit staff to concentrate on quality control and auditing functions instead of data entry; (3) reduction of time judicial officers and attorneys expend performing voucher review administrative tasks; (4) reduction in postage and handling expenses and time; and (5) reduction in the overall paper consumption and cost. Except for the filing of petitions for compensation under the Guardianship program, the process for the issuance of vouchers, as well as for the filing and processing of all claims for services under the Defender Services programs is fully automated (see Table 1).

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

Table 1
BUDGET AND FINANCE DIVISION
Key Performance Indicators

Key Performance Indicator	Data Source	FY 2011		FY 2012		FY 2013		FY 2014	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Number of material weaknesses or reportable conditions noted by external auditors	Annual Financial Audit Report	0	0	0	0	0	0	0	0
Percentage of valid vendor invoices processed within 30 days (Prompt Pay Act) of being received and accepted by the Courts.	Payment Accounting Invoice Tracking	88%	95%	95%	97%	97%	99%	98%	99%
Complete and accurate payment of vouchers within 45 days of receipt in the Defender Services Branch.	Voucher Tracking System	98%	98%	99%	99%	100%	99%	100%	99%
Percentage of vouchers filed and processed on line	Voucher Tracking System	97%	98%	100%	100%	100%	100%	100%	100%
Accurate completion of the monthly bank reconciliations of the D.C. Courts' bank accounts within 15 days of each month's end.	Courts' Financial System of Record	100%	95%	100%	98%	100%	99%	100%	99%

FY 2014 Request

The Courts' FY 2014 request for the Budget and Finance Division is $5,758,000, a decrease of $39,000 (-0.7%) from the FY 2012 Enacted Budget. This change includes an increase of $211,000 built-in increases and a reduction of $250,000 in contractual services.

Table 2
BUDGET AND FINANCE DIVISION
Budget Authority by Object Class

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/2014**
11 - Personnel Compensation	3,790,000	3,813,000	3,953,000	163,000
12 - Personnel Benefits	948,000	954,000	990,000	42,000
Subtotal Personnel Cost	***4,738,000***	***4,767,000***	***4,943,000***	***205,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	10,000	10,000	10,000	0
25 - Other Services	1,024,000	1,030,000	780,000	-244,000
26 - Supplies & Materials	15,000	15,000	15,000	0
31 - Equipment	10,000	10,000	10,000	0
Subtotal Non-Personnel Cost	***1,059,000***	***1,065,000***	***815,000***	***-244,000***
TOTAL	**5,797,000**	**5,832,000**	**5,758,000**	**-39,000**
FTE	41	41	41	0

Table 3
BUDGET AND FINANCE DIVISION
Detail, Difference FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Positions WIG	41	112,000	
	Current Position COLA		23,000	
	Additional CR funding of 0.612%			
Subtotal 11				*163,000*
12 - Personnel Benefits	Current Positions WIG		29,000	
	Current Position COLA		7,000	
	Additional CR funding of 0.612%		6,000	
Subtotal 12				*42,000*
Subtotal Personal Cost				***205,000***
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				0
25 - Other Services	Additional CR funding of 0.612%		6,000	
	Reduction		-250,000	
Subtotal 25				*-244,000*
26 - Supplies and Materials				0
31 - Equipment				0
Total				**-39,000**

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

Grade	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request
JS-3			
JS-4			
JS-5			
JS-6	1		
JS-7			3
JS-8		1	1
JS-9	7	7	6
JS-10	1	1	1
JS-11	10	9	6
JS-12	7	6	6
JS-13	9	10	11
JS-14	4	5	5
JS-15	1		
JS-16			
CEMS		1	1
CES	1	1	1
Total Salaries	**3,790,000**	**3,813,000**	**3,953,000**
Total FTEs	41	41	41

DISTRICT OF COLUMBIA COURT SYSTEM
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
28	7,728,000	28	7,775,000	31	8,077,000	3	349,000

Mission Statement

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

Division Organizational Structure

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

- The Director's Office is responsible for providing safe, clean, efficiently managed modern facilities that support the District of Columbia Courts' (D.C. Courts) delivery of services by directing and administering the modernization of the Courts' facilities. The Director has the authority to enter into, administer, and/or terminate capital construction and lease contracts, Integrated Justice Information System (IJIS) contractual matters, landscaping contracts, and to make related determinations and findings on behalf of the District of Columbia Courts. Contracts in excess of $1,000,000 must have prior approval by the Executive Officer.
- The Building Operations Branch is responsible for facilities management and maintenance of court-owned as well as leased space; lease management; building maintenance and repair (including heating, ventilation, air conditioning, mechanical, electrical, and plumbing); grounds care; and custodial services.
- The Capital Projects Branch is responsible for budget preparation, planning, implementation, and management of capital projects pursuant to the D.C. Courts' Facilities Master Plan. The Master Plan includes the functional maintenance of the Courts' 1.18 million sq. ft. Judiciary Square complex, which is comprised of five buildings including the award-winning D.C. Court of Appeals' Historic Courthouse.

Division Strategic Plan/MAP Objectives

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

Program Area	Objective
Building Operations	Provide oversight for 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, building shell conditions, plumbing) are maintainable with assigned preventive maintenance schedules (PMS) based on industry standards and manufacturer recommendations.
Building Operations	Expand the CPFMD's routine replacement program to all of the D.C. Courts' buildings to maximize longevity of assets and reduce annual operating and repair costs.
Building Operations	Institute quality assurance programs that establish thresholds for conducting scheduled services for the preservation of the D.C. Courts' upgraded facilities and grounds.
Capital Projects	Define, assess and plan a responsible facility ADA initiative to ensure the D.C. Courts' infrastructure is effectively designed and constructed, and are efficiently operated and maintained in accordance with ADA requirements.
Capital Projects	Utilize the D.C. Courts' Facilities Master Plan, lasted updated in November 2009, to develop a realistic, comprehensive Capital Project schedule for FY 2014 and beyond.
Capital Projects	Efficiently complete construction on major Court building projects to provide new and higher quality services to the D.C. Courts' employees and visitors.
Capital Projects	Complete pre-design, design and construction projects on the D.C. Courts' campus to maximize space and modernize space planning standards to provide an open and collaborative work environment that is flexible to the evolving needs of the Courts' judicial officers and divisions.

The D.C. Courts process approximately 100,000 new cases each year and employ a staff of approximately 1,300 who directly serve the public, process the cases, and provide administrative support. The Courts' capital funding requirements are significant because they finance projects critical to maintaining, preserving, and constructing in a timely manner safe and functional courthouse facilities essential to meeting the heavy demands of the administration of justice in our Nation's Capital. To meet these demands effectively, the Courts' facilities must be both functional and emblematic of their public significance and character.

The D.C. Courts occupy over 1.18 million gross square feet of space in Judiciary Square, which is one of the original significant green spaces in the District of Columbia designated in the L'Enfant Plan for the Nation's Capital. The Courts are responsible for the Historic Courthouse at 430 E Street, NW; the Moultrie Courthouse at 500 Indiana Avenue, NW; Building A at 515 5th Street, NW; Building B at 510 4th Street, NW and Building C at 410 "E" Street, NW which was designed to LEED Gold standards and is currently awaiting certification.

The Joint Committee, as the policy-making body for the District of Columbia Courts, has responsibility for, among other things, space, and facilities issues in our court system. Capital improvements are an integral part of the D.C. Courts' Strategic Plan. In recognition of the need for court facilities to support efficient court operations "A Sound Infrastructure" was identified as a strategic goal in the D.C. Courts Strategic Plan.

Capital Projects and Facilities Management Division Achievements and Highlights

CPFMD advanced the implementation of the D.C. Courts' Facilities Plan on multiple fronts. Significant progress was made toward the completion of several important projects within the Moultrie Courthouse. CPFMD also completed the preliminary design of the Moultrie Courthouse Expansion and obtained final design approvals from the United States Commission of Fine Arts and National Capital Planning Commission. At the same time various site improvement and security projects continue in the design, planning, and implementation stages. The CPFMD focus has shifted to the Moultrie Courthouse and courthouse expansion, building systems and infrastructure upgrades, refurbishment of existing court and public facilities and the completion of the Family Court consolidation.

The Courts concluded a multi-year exterior restoration initiative for Building A and Building B which included complete repair and cleaning of the exterior stone, restoration of existing windows, and replacement of exterior doors, new signage, and landscape improvements. This exterior work follows a multi-year phased interior construction project which was completed in 2007 for Building A and in 2005 for Building B. The reconstruction of the north plaza of Building A was completed in May 2010. The exterior open space and perimeter security construction document package was completed and approved by the United States Commission of Fine Arts. Exterior façade lighting installation is underway and will be operational in July 2012.

Renovation of Building C at 410 E Street was completed in February 2012 which houses the Information Technology Division and Multi-Door Dispute Resolution Division. The project included the restoration of historic spaces and reconfiguration of the E Street entry to accommodate ADA and court security requirements. The renovation provides modern office space and brings the building into compliance with all current building, mechanical, electrical, fire, life safety, health, and accessibility codes. The renovation also preserves significant and contributing historic elements of the building. The Courts are seeking a Leadership in Energy and Environmental Design (LEED) certification for this project. Construction was started on the adjacent open space and security perimeter.

Construction of the third Balanced and Restorative Justice Drop-In Center (BARJ) was completed in April 2012. BARJ is an innovative, non-traditional juvenile rehabilitation program developed by the Family Court Social Services Division. The BARJ Drop-In Centers are multi-faceted satellite courtroom facilities that include space for pro-social activities such as tutoring, mentoring, education and prevention groups, peer mediation, and recreation.

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

- Construction was completed on the JM level for a consolidated Family Court records service center supporting Domestic Relations, Juvenile Neglect, Paternity and Support. The center improves public access and court operations.

- Design of JM level public space upgrades was completed and a phased construction process initiated. The JM level, initially upgraded in 2003 is one of the most heavily utilized areas within the courthouse. Key improvements include an expansion of the Central Intake desk and related areas, public circulation, waiting, and entry upgrades, refurbishment of hearing rooms and an expanded Family Court Self Help Center.
- The renovation of the 6th floor space vacated by the Court of Appeals was completed. The renovation provides new chambers, Executive Office, General Counsel's Office, judge's conference and dining areas, and the Superior Court Library space. Renovations to the attic space above provided space for emergency generators.
- Adult holding facilities renovations continue to progress. This is a phased construction project which will modernize all U.S. Marshals Service (USMS) holding facilities within the courthouse. Phase A, which was constructed in tandem with the reconstruction of the new Arraignment Court, was completed in 2011. These projects are a partnership between the D.C. Courts and the USMS. Phase B was initiated as was the upgrade to all courtroom holding cells.
- A related project, the renovation of the Arraignment Court (C-10) has been completed and is fully operational. The project entailed a complete redesign and reconstruction of the old arraignment courtroom. CPFMD, working closely with the various user groups, introduced state of the art communications technology and security systems to this very active component of the court system.
- USMS administrative office space improvements were completed
- Various upgrade projects are underway improving the functionality of courtrooms, hearing rooms, and public circulation spaces. In addition, Court Reporters, Senior Judges, and Associate Judges Chambers on the 5th floor were designed and construction has commenced.
- The electrical infrastructure upgrade project is underway. A number of safety-related construction projects were initiated including stairwell pressurization, which was completed in June 2012, and egress improvements. Domestic water upgrade design was initiated.
- Planning and design services for the Moultrie Courthouse Addition are underway. This is a six story addition to the south face of the Courthouse starting at the C level and rising to the 4th floor. All design approvals were obtained including a modification to the Judiciary Square Master Plan to incorporate a realignment of C Street providing improved courthouse security. The Expansion will add approximately 108,000 s.f. of new space to the Courts' inventory offsetting the future loss of leased space at Gallery Place and providing for Court growth. The design program includes six courtrooms, Family Court offices, juror facilities, and 21 judicial chambers. The Courts are seeking a LEED Gold rating for this project.
- The D.C. Courts are in the process of upgrading security within the Moultrie Courthouse. This project includes ongoing installation of a new fire protection system with a new sprinkler system as part of a multi-year improvement plan.

The D.C. Courts are updating the 2009 Facilities Master Plan Update to reflect changes in court technology, organization and operations, and the growth of the District of Columbia's population. The facilities programming is ongoing as the Courts are exploring physical options to address long term space requirements.

Workload Data

The Capital Projects and Facilities Management Division manages the initiation, planning, and construction of approximately 30 capital projects at a value of $150 million at any given time. In FY 2014, the Capital Projects & Facilities Management Division will continue to manage landscaping services as well as janitorial and cleaning services for the Courts' 1.22 million sq. ft. of net floor area (the Court of Appeals, Moultrie Courthouse, Building a at 515 5th Street, NW, Building B at 510 4th Street, NW, Building C at 410 "E" Street, NW Gallery Place, BARJ Drop-In Centers at 2575 Reed Street, NE, and 1215/1201 South Capitol Street, SW, and the southwest parking garage) in a cost-effective manner at approximately $7.86/sq. ft. The facilities maintenance, repair, and operations (MRO) costs for the entire D.C. Courts' complex in FY 2014 are projected to be $16.28/sq. ft. CPFMD administers all of its projects ensuring program accountability, real-time program management, and quality assurance oversight with project delivery and cost tracking.

Table 1
CAPITAL PROJECTS AND FACILITIES MANAGEMENT
Key Performance Indicators

Performance Indicator	Data Source	FY2012		FY2013		FY2014	
		Goal	Estimate	Goal	Estimate	Goal	Estimate
Percent of contracts which ensure contractor compliance with at least 95% of the terms and conditions	Contract Reports	100%	100%	100%	100%	100%	100%
Percent of Help Desk calls resolved in two (2) business days	CPFMD Help-Desk Reports	97%	98%	98%	98%	98%	98%
Percent of preventive maintenance work completed in accordance with CPFMD PMS	PM Schedule	95%	95%	99%	99%	99%	99%
Percent of CPFMD's routine replacement program to all of the D.C. Courts' buildings to maximize longevity of assets and reduce annual operating and repair costs	Project Schedule	90%	90%	90%	90%	90%	90%
Percent of responsible facilities management program associated with each Court building's infrastructure that includes: roof, exterior finish, interior finish, plumbing, mechanical, HVAC, electrical, and conveyance (elevators and escalators.) implemented at a rate of 100% annually	PM Schedule	90%	90%	90%	90%	90%	90%
Percent of the D.C. Courts' staff satisfied with Court managed facilities and grounds	Court Surveys	95%	98%	98%	98%	98%	98%
Percent of CPFMD projects that are 100% ADA compliant annually.	DCRA Permits; Certificate of Occupancy	100%	100%	100%	100%	100%	100%
Percent of Capital projects completed on-time and within budget	CPFMD Budget Reports	100%	100%	100%	100%	100%	100%
Percent of construction projects completed within 10% of original project budget	CPFMD Budget Reports	100%	100%	100%	100%	100%	100%
Percent of design and construction projects completed within 10% of allotted time for each project's phases	Progress Meeting Minutes	100%	100%	100%	100%	100%	100%

FY 2014 Request

In FY 2014, the Courts request for the Capital Projects & Facilities Management Division is $8,077,000, an increase of $349,000 (4.5%) above the FY 2012 Enacted Budget. The requested increase consists of $196,000 for 3 FTEs to provide increased facility engineering support for the Court facilities, $10,000 for staff uniforms, and $143,000 for built-in increases. In addition, $350,000 is requested in the Court System Management Account, as discussed below, for $100,000 in utilities for Building C and $250,000 for janitorial services and landscaping for the newly renovated court facility at 410 E Street (Building C), Northeast BARJ Drop-In Center, and Southwest BARJ Drop-in Center.

Facilities Services for Building C, $350,000

Problem Statement. With the renovation and occupancy of Building C at 410 E Street in February 2012, the amount of site area to be maintained by the Capital Projects and Facilities Management Division (CPFMD) has increased, thereby requiring the Courts to procure additional cleaning, maintenance and repair, and landscaping services. The relocation of the Information Technology Division and equipment to Building C, and its requirement for a stable physical environment, as well as the increased inventory of court space has also resulted in increased utility and steam costs.

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

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

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

Methodology. The CPFMD will contract for additional services for cleaning, landscaping, specialized equipment repair, and environmental services as needed.

Expenditure Plan. The contractual services will be solicited and procured in accordance with the Courts' procurement and contracting guidelines.

Key Performance Indicators. The Courts' facilities and grounds will be maintained to a level that matches the aesthetic precision and consistency of their federal neighbors, including the National Park Service and the United States Court of Appeals for the Armed Forces. A

reduction in the service repair calls, and the enhanced maintenance and cleanliness of court facilities are performance indicators.

Enhancing Facilities Maintenance, $196,000, 3 FTEs

2 Facilities Technician Assistants (JS-9), $131,000
1 Facilities Repair Worker (JS-8), $65,000

Problem Statement. D.C. Courts' facilities consist of the Historic Courthouse, the Moultrie Courthouse, the D.C. Courts' Buildings A, B, and C, leased space for administrative support in Gallery Place, and a number of field offices for probation services, totaling over one million gross square feet. Some buildings are open 24 hours a day, 7 days a week. Today the Courts have 18 employees who are responsible for facilities management. These individuals routinely work overtime on emergency duty, and maintain a complicated "stand by" schedule. Although the on-call response time is within 30-minutes, extensive damage can occur by systems failures during off-hours without immediate attention. Of special concern are the Courts' computer systems which are especially vulnerable to HVAC failures, and upon which the District's criminal justice system and the entire D.C. Courts are dependent.

The Moultrie Courthouse and Historic Courthouse are open round-the-clock to permit the public to file cases. Currently, the D.C. Courts routinely incur additional costs for emergency facility repairs and routine maintenance requirements because current staffing is insufficient to provide engineering support. The need for more facility engineering staff is particularly critical as judicial and division operations of the Courts have been reassigned to various Judiciary Square facilities. As these additional facilities have come on-line, their maintenance schedules must be strictly followed to protect the life of the improved infrastructure. The addition of the requested FTEs will provide the greater coverage needed to maintain the court buildings and protect the significant public investment in their renovation.

Relationship to the Court Mission, Vision and Strategic Goals. By improving the maintenance of court buildings, the additional FTEs would support the strategic goal of a sound infrastructure by ensuring that court facilities will be accessible to the public and support effective operations. It is anticipated that the number of hours necessary to close Help Desk service tickets related to facility matters will be drastically reduced. The additional FTEs would permit further facilities coverage of court buildings during the evenings and on weekends and thereby reduce court interruptions due to building system failures.

Methodology. The additional facilities staff is based on International Facilities Management Recommendation for facilities of comparable size (IFMA – Operational and maintenance benchmarks, c. 2001 IFMA Research Report #21).

Expenditure Plan. The additional facilities staff workers would be recruited and hired according to D.C. Courts' personnel policies. It is anticipated that these additional workers will enable the Courts to reduce the need for on-call differential pay for facility repair workers on an annual basis. Furthermore, it is anticipated that there will be a reduction in the need for various electrical and mechanical contracts.

Performance Indicators. Performance indicators include: 1) a reduction in the number of Help Desk calls related to facilities support, 2) a reduction in the number of hours to close Help Desk service calls related to facilities support, and 3) a reduction in facilities related blanket purchases.

Staff Uniforms, $10,000

Problem Statement. To enhance security throughout court buildings by promoting the visibility of engineering and support staff and to ensure the safety of facilities personnel, staff uniforms are necessary. In order for the Courts to provide uniforms for our building engineers, facilities maintenance workers, and mail personnel, we are advised that an appropriation specifically for this purpose is required.

Relationship to Court Mission, Vision and Strategic Goals. The uniforms will support the D.C. Courts' Strategic Goal of providing a safe and secure environment for the administration of justice.

Relationship to Divisional Objectives. The provision of uniforms to select personnel will enhance security in judicial corridors and throughout the Judiciary Square Campus and support the division's mission of promoting a positive sense of community and a commitment to people.

Relationship to Existing Funding. Funding for the uniforms currently does not exist.

Methodology. The acquisition of the uniforms will be consistent with the D.C. Courts' procurement guidelines.

Key Performance Indicators. Feedback from security personnel, judicial officers, and non-judicial employees will measure performance.

Table 2
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION
New Positions Requested

Positions	**Grade**	**Number**	**Salary**	**Benefits**	**Total Personnel Cost**
Facilities Repair Worker	8	1	52,000	13,000	65,000
Facilities Technician Assistant	9	2	104,000	27,000	131,000
Totals		**3**	**156,000**	**40,000**	**196,000**

Table 3

CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION

Budget Authority by Object Class

	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request	Difference FY 2012/2014
11 - Personnel Compensation	2,062,000	2,075,000	2,307,000	245,000
12 - Personnel Benefits	517,000	520,000	580,000	63,000
Subtotal Personnel Cost	***2,579,000***	***2,595,000***	***2,887,000***	***308,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	5,117,000	5,148,000	5,148,000	31,000
26 - Supplies & Materials	25,000	25,000	35,000	10,000
31 - Equipment	7,000	7,000	7,000	0
Subtotal Non-Personnel Cost	***5,149,000***	***5,180,000***	***5,190,000***	***41,000***
TOTAL	**7,728,000**	**7,775,000**	**8,077,000**	**349,000**
FTE	28	28	31	3

Table 4

CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION

Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Position WIG	28	61,000	
	Current Position COLA		15,000	
	Facilities Repair Worker	1	52,000	
	Facilities Technician Assistants	2	104,000	
	Additional CR funding of 0.612%		13,000	
Subtotal 11				*245,000*
12 - Personnel Benefits	Current Position WIG		16,000	
	Current Position COLA		4,000	
	Facilities Repair Worker		13,000	
	Facilities Technician Assistants		27,000	
	Additional CR funding of 0.612%		3,000	
Subtotal 12				*63,000*
21 - Travel and Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Additional CR funding of 0.612%			31,000
26 - Supplies and Materials	Staff Uniforms			10,000
31 - Equipment				
Total				**349,000**

Table 5

CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION

Detail of Full-Time Equivalent Employment

Grade	**FY 2012 Enacted**	**FY 2013 Annualized CR**	**FY 2014 Request**
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	4	4	5
JS-9	11	10	12
JS-10	1	2	2
JS-11	1	1	1
JS-12	1	1	1
JS-13	5	5	5
JS-14	2	3	3
JS-15	1		
JS-16			
CEMS	1	1	1
CES	1	1	1
Total Salaries	**2,062,000**	**2,075,000**	**2,307,000**
Total FTEs	28	28	31

DISTRICT OF COLUMBIA COURT SYSTEM
CENTER FOR EDUCATION AND TRAINING

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
7	2,188,000	7	2,202,000	7	2,086,000	0	-102,000

Mission Statement

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

Organizational Background

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

Division MAP Objectives

- Develop and implement an annual training plan that is aligned with the strategic goals of the D.C. Courts and includes comprehensive Judicial Education, the Leadership Institute, the Management Training Program, the Supervisor Training Program, a Technology Curriculum, new Employee Orientation, new Judge Training, the Spring Judicial Management Conference, the Annual Judicial Conference, the Court Wide Conference, and Community Conferences for Family and Criminal Divisions. Implement the plan in a manner that insures an efficient use of resources and a successful learning experience for all.
- Enhance the effectiveness of the judiciary by providing a myriad of judicial education opportunities to all the judicial officers in the D.C. Courts including training for divisional

Presiding Judges through participation in the Judicial Leadership Initiative; training on current issues at the Spring Judicial/Management Conference; roundtable discussions for appellate judges; training specific to Court Divisions at the Annual Judicial Conference; community topics at the Family and Criminal Court Conferences; monthly mini-training sessions; New Judge Orientation (as needed) and opportunities to attend national trainings.

- Maximize the effectiveness of the Executive Team and Senior Managers in achieving the highest levels of court performance by establishing a Leadership Institute that will offer teambuilding, leadership courses, individual assessments, coaching, enhanced orientation to new Court Executive Service members, and personal and professional development activities. Support positive organizational change through extensive involvement of executives and senior leadership in the "Building a Great Place to Work" Initiative. Conduct the "Employee Viewpoint Survey" every other year.
- Maximize the effectiveness of the Courts' managers and supervisors and increase the pool of future managers and leaders through the Management Institute to include the Management Training Program (MTP) and the Supervisors Training Program (STP). The Management Training Program offers a specially designed set of 12 courses on management, court operations, and leadership skills to a carefully selected cohort of court personnel. The Supervisors Training Program offers a customized 4-part series of workshops to equip all front line and middle management supervisors with a consistent set of skills and positive approaches to employee performance management. Advanced courses in human resources management, employee engagement, and enhancing performance at all levels are included.
- To provide at least ten hours of training for all court employees annually as well as over 20 hours of mandatory training to newly hired employees and two to three weeks of customized training for all newly appointed judges and magistrates.

Restructuring or Work Process Redesign

The Center has initiated a variety of structural, work process, and personnel changes over the last several years. The staff of seven has been completely restructured and continues to work well together to exceed the Division's goals. These changes are a result of feedback received through a myriad of assessment tools, including an internal needs assessment and direct interaction and questionnaires completed by employees, both judicial and non-judicial. Armed with a better understanding of the substantial training needs of the Courts, the Center has energetically set about making an important and needed contribution to the entire organization. Thus far, the Center has made significant progress in developing and implementing many new and creative training opportunities for the entire employee population of the Courts. The Center has implemented additional programs and initiatives such as the Leadership Institute, the Management Institute, the Judicial Leadership Initiative, the Roundtable Series for the Court of Appeals Judges and the biennial Court-wide Employee Conference.

The Leadership Institute is currently focused on team efforts to improve the D.C. Courts as a "Great Place to Work" and to offer opportunities and challenges for senior management in areas such as emotional intelligence competencies, coaching, and skills development. Based on the results of the 2009 and 2011 Federal Human Capital Surveys, initiatives and teams were established in the areas of health and wellness, work/life balance, internal communications and

performance management. Employee Engagement is now a court wide performance metric and is a focus for fiscal years 2011 through 2013. The Judicial Leadership Team attends two half-day or full-day meetings each year. A joint Judicial/Executive meeting is held annually. The efforts of court leadership and senior management are aligned with the goals outlined in the Strategic Plan.

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

With a view toward a pending wave of retirements and better development and retention of talented employees, the Center and the Management Training Committee initiated a Management Training Program (MTP) in 2007 for 20 competitively selected employees annually from each division within the Courts. The MTP offers a very successful 12-month series of classes taught by nationally recognized experts and in-house leaders. Many of the graduates from the Program have received promotions and increased responsibility. The Courts take seriously the importance of succession planning and continues to move in a proactive direction toward recruiting and retaining excellent employees. Similarly, the D.C. Courts have initiated 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, the training program was completed by 100 court supervisors in 2010 and 2011. All new supervisors will be similarly trained. Graduates of the program participate in advanced courses. Advanced classes in High Impact Feedback and Implicit Bias were provided for all supervisors in 2012.

Technology classes are the top priority training need in every needs assessment conducted by the Center. Utilizing two computer labs, there has been dedicated focus on technology training. The Center offers not only basic but also intermediate and advanced levels of computer classes such as Microsoft Office, Excel, PowerPoint, Adobe, Project Management and others. In 2011 the Center began offering Microsoft Office Specialist (MOS) Certification Testing. There has been continued need for the Center to offer technology classes on other more sophisticated, court-focused programs such as CourtView (the software for the Integrated Justice Information System) and Oracle Discoverer. The Center has developed alternative learning methods such as computer-based training, blended learning and cross training. In 2010, on-line tutorials were updated to Microsoft Office 2007. The Spanish language library of tutorials has been expanded. As part of the Strategic Human Resources re-design and implementation of the Talent Management System, the Center will migrate all on-line courses and training databases to the NBC Learning Management System in early 2013. CET will continue to host on-line classes including on-line courses for new employees.

Training has increased dramatically in terms of the number of classes offered by the Center annually, the number of participants, the number of training hours received as well as the level of satisfaction. For example, in the last six years the number of classes offered has more than doubled to approximately 200 classes annually. Between 2005 and 2012, the number of courses offered by the Center and the number of training hours completed by Court employees during the

first calendar quarter more than tripled from 15 classes/1229 training hours in 2005 to 62 classes/3,875 training hours in 2012. Training hours completed by court employees for each year have consistently been over 10,000 hours and the most recent indicators point to increased activity levels in excess of 15,000 hours.

Finally, another program administered by the Center is the International Visitors Program which has been restructured and is now headed by the Deputy Director. With more than 30 international delegations visiting per year, most of them very high-level representatives from other nations' justice systems, arranging the educational experience for international visitors is an important activity unique to the trial court of the Nation's Capital that also requires substantial preparation time and effort to coordinate speakers and resources.

Workload Data

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

Table 1
CENTER FOR EDUCATION AND TRAINING
Workload Data

Data Measure	**FY 2011 Actual**	**FY 2012 Estimate**	**FY 2013 Projected**	**FY 2014 Projected**
Courses Offered	195	180	175	175
Judicial Participants	539	500	500	500
Judicial Training Hours Completed	4095	3400	3500	3500
Non-Judicial Participants	2979	3000	3000	3000
Employee Training Hours Completed	16947	17000	17000	17000
Divisions Supported	5	5	5	5
Programs & Tours for Visitors	37	30	30	30
Number of Official Visitors	839	600	600	600

Key Performance Measures

Table 2
CENTER FOR EDUCATION AND TRAINING
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2011		FY 2012		FY 2013		FY 2014	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output	Programs Offered	Training Schedule	130	195	130	180	150	175	160	175
Outcome	Judges Trained	Participant Lists	500	539	500	500	500	500	500	500
Outcome	Employees Trained	Sign-in Sheets	1,625	2979	1,800	2,500	1,800	2,500	2,000	2,500
Input	Program Quality	Participant Evaluations	80% >3.5	95% ≥ 4.0	80% > 3.5	90% ≥ 4.0	80% >3.5	90% >3.5	80% >3.5	90% >3.5
Outcome	Judges and Employees Total Training Hours Completed	Training Database and Sign-in Sheets	18,000	21,042	18,000	19,000	19,000	19,000	20,000	20,000
Output	Court Tours & Programs	Visitors Schedule	30	37	30	35	30	30	30	30
Outcome	Management Training Program Graduates	Training Schedule & Participant List	20	15	15	15	15	0	15	15
Output	Management Training Institute Courses Offered	Training Schedule	18	20	18	16	18	10	18	18
Output	Executive/Senior Leadership Development Sessions	Training and Meeting Schedules and N-H Reports	8	5	8	8	6	6	6	6
Outcome	Judicial Leadership Team Retreats	Meeting Schedule	2	2	2	2	2	2	2	2
Output	Court of Appeals Programs Offered	Training Schedule	6	5	6	5	6	5	6	5

FY 2014 Request

In FY 2014, the Courts request $2,086,000 for the Center for Education and Training, which is a reduction of $102,000 (-4.7%) from the FY 2012 Enacted Budget. This change includes a $150,000 reduction in travel and an increase of $48,000 in built-in costs.

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

	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request	Difference FY 2012/2014
11 - Personnel Compensation	737,000	742,000	769,000	32,000
12 - Personnel Benefits	186,000	187,000	194,000	8,000
Subtotal Personnel Cost	***923,000***	***929,000***	***963,000***	***40,000***
21 - Travel, Transp. of Persons	433,000	436,000	286,000	-147,000
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	821,000	826,000	826,000	5,000
26 - Supplies & Materials	6,000	6,000	6,000	0
31 - Equipment	5,000	5,000	5,000	0
Subtotal Non-Personnel Cost	***1,265,000***	***1,273,000***	***1,123,000***	***-142,000***
TOTAL	**2,188,000**	**2,202,000**	**2,086,000**	**-102,000**
FTE	7	7	7	0

Table 4
CENTER FOR EDUCATION AND TRAINING
Detail, Difference FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Positions WIG	7	22,000	
	Current Positions COLA		5,000	
	Additional CR funding of 0.612%		5,000	
Subtotal 11				*32,000*
12 - Personnel Benefits	Current Positions WIG		6,000	
	Current Positions COLA		1,000	
	Additional CR funding of 0.612%		1,000	
Subtotal 12				*8,000*
21 - Travel and Transportation	Budget Reduction		-150,000	
	Additional CR funding of 0.612%		3,000	
Subtotal 21				*-147,000*
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Additional CR funding of 0.612%			5,000
26 - Supplies and Materials				
31 - Equipment				
TOTAL				**-102,000**

Table 5

CENTER FOR EDUCATION AND TRAINING

Detail of Full-Time Equivalent Employment

Grade	**FY 2012 Enacted**	**FY 2013 Annualized CR**	**FY 2014 Request**
JS-5			
JS-6			
JS-7			
JS-8			
JS-9		1	
JS-10	1		1
JS-11			
JS-12			
JS-13	4	4	4
JS-14			
JS-15	1	1	1
CES	1	1	1
Total Salaries	**737,000**	**742,000**	**769,000**
Total FTEs	7	7	7

DISTRICT OF COLUMBIA COURT SYSTEM
COURT REPORTING AND RECORDING DIVISION

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
55	5,853,000	55	5,888,000	55	6,102,000	0	249,000

Mission

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

Organizational Background

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

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

Division MAP Objectives

The Court Reporting and Recording Division provides transcripts for judges, lawyers, and other parties. The Division provides state-of-the-art court reporting services to the judiciary and the public, including ADA requests. The objective of the Division is to produce accurate and timely transcripts of court proceedings. The Court Reporting and Recording Division's Management Action Plan (MAP) objectives follow:

- Provide realtime to the judiciary which in turn will assist in making judicial rulings.
- Enhance efficient operations and the quality of service provided to persons conducting business with the Court Reporting and Recording Division by developing a plan to reengineer processes through the utilization of technologies 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 that transcripts of court proceedings are available to judges, litigants, and attorneys in a timely manner.
- Ensure the production of accurate transcripts by performing quarterly random audits to verify that transcripts are a verbatim record of court proceedings.

Work Process Redesign

During FY 2011, the Court Reporting and Recording Division expanded the realtime program to include an additional two judges and seven official court reporters. With this expansion, it has allowed the 27 reporters that currently provide realtime to adequately cover the 14 realtime courts. Realtime provides instant translation of the proceedings which will assist the court in strategic areas of Fair and Timely Case Resolution and Access to Justice for all. In addition to aiding the judiciary, the program continues to provide realtime translation for all ADA requests.

The CRRD continues to enhance the Web Transcript Tracking System (WTTS). In 2011, official court reporters were provided with the ability to link to WTTS in order to upload their court records; giving management the capability to access these records instantaneously. In addition, enhancement to WTTS has afforded the CRRD case managers the ability to acquire a status as to the percentage of transcripts that have been completed for each appellate case.

Workload Data

Table 1
COURT REPORTING AND RECORDING DIVISION
Workload Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY2011 Actual	FY2012 Estimate	FY2013 Estimate	FY2014 Estimate
Input	Transcription Branch orders received	Division Records	5,400	5,500	5,600	5,700
Input	Court Reporting Branch orders received	Division Records	4,000	4,100	4,200	4,300
Output	Pages of court transcripts produced (appeal/non-appeal)	Division Records	478,150	480,000	482,000	484,000

Table 2
COURT REPORTING AND RECORDING DIVISION
Key Performance Indicators

Type of Indicator	Performance Indicator	Data Source	FY2011		FY2012		FY2013	FY2014
			Goal	Actual	Goal	Estimate	Goal	Goal
Quantity	Average time to complete transcripts of taped proceedings (appeal/non-appeal)	Division Records	18 days/ 18 days	11 days/ 6 days	11days/ 6 days	11days/ 6 days	11days/ 6 days	11days/ 6 days
Quantity	Average time to complete transcripts by court reporters (appeal/non-appeal)*	Division Records	45 days/ 18 days	43 days/ 11 days	43 days/ 11days	43 days/ 11days	43 days/ 11days	43 days/ 11days

*CRRD 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 in the CRRD.

FY 2014 Request

In FY 2014, the Courts request $6,102,000 for the Court Reporting and Recording Division, an increase of $249,000, (or 4.3%) above the FY 2012 Enacted Budget. The increase consists entirely of built-in cost increases.

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

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/2014**
11 - Personnel Compensation	4,605,000	4,633,000	4,803,000	198,000
12 - Personnel Benefits	1,154,000	1,161,000	1,205,000	51,000
Subtotal Personnel Cost	***5,759,000***	***5,794,000***	***6,008,000***	***249,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	26,000	26,000	26,000	0
26 - Supplies & Materials	44,000	44,000	44,000	0
31 - Equipment	24,000	24,000	24,000	0
Subtotal Non-Personnel Cost	***94,000***	***94,000***	***94,000***	***0***
TOTAL	**5,853,000**	**5,888,000**	**6,102,000**	**249,000**
FTE	55	55	55	0

Table 4
COURT REPORTING & RECORDING DIVISION
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Position WIG	55	136,000	
	Current Position COLA		34,000	
	Additional CR funding of 0.612%		28,000	
Subtotal 11				*198,000*
12 - Personnel Benefits	Current Position WIG		35,000	
	Current Position COLA		9,000	
	Additional CR funding of 0.612%		7,000	
Subtotal 12				*51,000*
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials				
31 - Equipment				
TOTAL				**249,000**

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

Grade	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request
JS-3			
JS-4			
JS-5			
JS-6	1		
JS-7	3	1	1
JS-8	7	6	5
JS-9	2	2	3
JS-10	3	6	6
JS-11		5	
JS-12	35	32	37
JS-13		1	1
JS-14	2		
JS-15	1	1	1
JS-16			
JS-17			
CES	1	1	1
Total Salaries	**4,605,000**	**4,633,000**	**4,803,000**
Total FTEs	55	55	55

DISTRICT OF COLUMBIA COURT SYSTEM
HUMAN RESOURCES DIVISION

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
25	3,019,000	25	3,038,000	27	3,375,000	2	356,000

Mission

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

Organizational Background

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

The Office of the Director sets and aligns the strategic direction of the Division with court-wide human capital initiatives. The Office is responsible for developing, interpreting and implementing personnel policies. Residing within the Office of the Director, the Deputy Director oversees the day-to-day operations of the Division and implementation of the Division's strategic initiatives. (4 FTEs)

The Human Resources Strategic Planning Branch is responsible for the administration of the Division's Strategic Plan, internal program analysis and continuous process improvement functions, performance management programs, workforce planning, project management for the Human Resources Integrated Solutions payroll and data management system. (5 FTEs)

The Benefits and Compensation Branch is responsible for the administration of the Federal benefit programs including health, life, and long-term care insurance programs; retirement programs; transportation subsidy; flexible spending accounts programs; and Workers' Compensation. The Branch also administers the Courts' voluntary dental and vision insurance program, and Long and Short Term Disability insurance programs and serves as Contract Administrator for the Courts' Health Unit and Employee Assistance Program. The Branch is

responsible for payroll, time and attendance, compensation studies and providing financial literacy training. (8 FTEs)

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, and non-discriminatory, in accordance with federal and professional guidelines. (6 FTEs)

The Equal Employment Opportunity (EEO) Office is responsible for the administration of the EEO, Employee Relations, and ADA programs. This includes investigating, conciliating, and analyzing complaints and ADA requests for accommodation. In addition, the office is responsible for reporting staff diversity statistics, conducting training in EEO, employee relations and ethics, and overseeing the Anti-Bullying policy and complaint process. (2 FTEs)

Human Resources Accomplishments - FY 2011

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

- Acquired a Human Resources Information System (HRIS). Entered into an Inter Agency Agreement with the Department of Interior's National Business Center for the migration and implementation of a comprehensive integrated Personnel and Payroll system. The system includes a comprehensive talent acquisition and tracking system, a performance management system and a learning management system.

- Implemented the Electronic Official Personnel Folder (eOPF) in compliance with Office of Management and Budget (OMB) mandate to eliminate paper Official Personnel Folders (OPFs) by December 2013.

- Implemented the Federal Navigator Retirement calculator program. The FHR Navigator is an on-demand web based system that allows all employees to prepare their own retirement scenarios and access on-line tutorials designed to educate employees about their future retirement benefits and financial literacy. These tutorials include over 18 hours of narrated material covering many retirement and benefits topics.

- Revised comprehensive standard operating procedures to promote the continuous process improvement function ensuring exemplary comprehensive human resources management programs.

- Developed a comprehensive succession plan entitled "Who's Next: Succession Planning at the Courts?" to forecast and facilitate a workforce plan to address the future loss of staff in critical leadership positions and to prepare existing staff to assume leadership roles through talent pool professional development.

- Developed a report on Performance Management at the Courts, including an analysis of Employee Viewpoint Survey results in the area of results-oriented performance management culture. The report included recommendations in the areas of alignment, accountability, communication, and federal benchmarks. Incorporated the use of video-conferencing for structured oral interviews which afforded us the opportunity to interview candidates in a cost-effective manner.

- Developed through final policy proposal, the Courts' new Anti-Bullying Policy for adoption and approval by the Joint Committee.

Division MAP Objectives

Several of the Division MAP Objectives follow:

- Establish strategic Human Resources (HR) by developing a Human Resources Division strategic plan and implementing subsequent transformations.

- Ensure a strong workforce of the future by developing a succession planning and management program.

- Maximize recruitment activities by implementing an automated personnel action (Form 52) tracking system and an automated talent acquisition and applicant tracking system.

- Maximize staff productivity and increase employee satisfaction through electronic access to personal information and records.

- Enhance the quality of the Court's Performance Management Program and foster employee satisfaction by conducting data analyses and presenting recommendations on the performance management program that address consistency in application and perceptions of fairness.

Divisional Restructuring and /or Work Process Design

As a result of stakeholder focus group sessions, the Courts' results from OPM's *2009 Human Capital Survey and the 2011 Employee Viewpoint Survey*, analysis of best practices in human resources management, and emerging demographics and trends in the workplace, the Human Resources Division developed a challenging and comprehensive Five-Year Human Resources Strategic Plan (HRSP). The Plan is comprised of five strategic themes, including: Leading through Strategic Human Resources Management; Employee Engagement and Workplace Culture; Talent Acquisition and Development; Performance Management and Accountability;

and Human Resources Competence and Compliance Management. Key to all *HRSP* goals and objectives is the explicit link between the *HRSP* and the Courts' strategic plan.

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

Workload Data

During FY 2011, the Human Resources Division processed 123 Family Medical Leave Act requests, 14 Workers' Compensation claims, 109 recruitment actions, and approximately 4,100 employment applications. The Benefits Branch conducted over 150 individual benefit consultations and 14 group benefit workshops, seminars, fairs, etc. The EEO claims activity includes 27 employees who sought EEO counseling. Seven of the 27 filed formal complaints. Those seven complaint cases required investigations in accordance with Policy 600. Training sessions on the Courts' Equal Employment Opportunity, Sexual Harassment, and Ethics policies have been conducted quarterly in FY 2011. Session attendees averaged 25, with the classes made up mostly of new hires/probationary employees. Approximately 200 performance plans were reviewed for compliance.

Table 1
HUMAN RESOURCES DIVISION
Performance Measurement Table

Type of Indicator	Key Performance Indicator	Data Source	FY 2011		FY 2012		FY 2013	FY 2014
			Goal	Actual	Goal	Estimate	Goal	Goal
Output	# of employees attending benefit seminars, retirement workshops, Wellness fairs, etc.	Registration and attendance documents	800	500	550	600	600	600
Output	# or % of employees with access to Federal Retirement Calculation Application	Registration and attendance documents	100	150	250	250	75%	85%
Output	#/% of employees with access to eOPF application	HR Data Reports	N/A	N/A	22	22	900	1,000
Output	% of electronically filed applications	Staffing Logs	50%	55%	50%	55%	60%	75%

FY 2014 Request

In FY 2014, the Courts requests $3,375,000 for the Human Resources Division, an increase of $356,000 (11.8%) above the FY 2012 Enacted Budget. The requested increase includes $226,000 for two FTEs to promote organizational development and workforce planning and built-in cost increases of $130,000.

Strategic Human Resources, 2 FTEs (JS-13), $226,000

Problem Statement. The D.C. Courts, like many organizations, are at a crossroad: business as usual no longer retains the caliber of employees needed to execute the Courts' mission. With approximately 30% of the current workforce eligible to retire in the next three to five years and 60% of the Courts' Executive Service (senior leadership) eligible to retire, the Courts have a pressing need to engage in a significant workforce succession planning effort. The Courts must also address issues involving work/life balance, health and wellness, safety and security, and the workplace demands of a new generation of employees. To meet these dramatic and imminent changes, the Human Resources Division must be a strategic partner with the Courts' leadership.

Similar to many organizations, until recently the Courts' Human Resources Division primarily focused on internal processes to improve human resource policies and procedures. Historically, HR's role has been to ensure compliance with laws, rules, and regulations. While this is an important function, the evolving role of human capital management alignment is to integrate decisions about people with decisions about the results an organization is striving to attain[7]. Human resources departments are becoming more consultative and involved in day-to-day management activities of an organization.

As part of the transformation of the Courts' Human Resources Division into a strategic partner, a consulting firm was hired to conduct an organizational analysis of the HR Division, with the goal of aligning human capital management with the Courts' strategic goals and mission accomplishment. Preliminary findings revealed that the Courts must build internal capacity to achieve such alignment. As an initial step in the transformative process, the Human Resources Division developed a 5-year strategic plan together with a Management Action Plan (MAP). An organizational structure was proposed by the consultant which included a number of critical positions. Two of the key positions are a Performance Management Specialist and a Human Resources Information Systems Manager which were supported in the FY 2012 budget. Two additional positions are included in the Courts' FY 2014 request: a Human Resources Organizational Development & Operations Manager and a Workforce Planning Analyst.

- **The Human Resources Organizational Development and Operations Manager** will act as an organizational development liaison and advisor to the D.C. Courts leadership, and facilitate initiatives across the enterprise. This person will be responsible for the development and integration of human capital programs and associated projects to achieve strategic business goals and operational objectives.

- **The Workforce Planning Analyst** will develop and execute workforce planning initiatives. The workforce analyst must possess knowledge of the principles of organizational development, human resources management, training, and development, and the Courts' organization and culture. It will be critical to have the program manager serve as a liaison for the Human Resources Division, Center for Education and Training, and the Office of Strategic Management.

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[7] Office of Personnel Management, Strategic Human Resources Management: Aligning with the Mission, September 1999, <http://www.opm.gov/studies/alignment.pdf>.

Relationship to Court Mission, Vision and Strategic Goals. In the Strategic Plan, the D.C. Courts set forth a strategic goal to build and maintain a strong judiciary and workforce. To carry out the strategies outlined in the Strategic Plan, it is imperative that the Human Resources Division have skilled staff with the expertise to support the Courts' mission and goals.

Relationship to Divisional Objectives. The addition of professional human capital positions will support a work environment that promotes high achievement and effective utilization of human capital. The new positions will enhance the implementation and achievement of the Courts' and Division's strategic goals and objectives. The new positions will support objectives that promote enhanced service to the public through improvements in employee engagement, satisfaction and retention.

Proposed Solution. In preparation for the future, the Courts must revitalize human resource strategies in order to attract and retain a highly skilled workforce. The addition of the two FTEs will ensure that current and future human capital programs align with the Court's goals and that long-range strategies are developed to recruit and retain highly qualified staff to meet the organization's mission and vision. These professionals must possess knowledge of the principles of organizational development, human resources management, and workforce planning.

Methodology. The new positions will be key to planning efforts and developing processes to guide the division as it creates and executes human resource management initiatives. They will be instrumental in the implementation of HR's organizational and strategic plans. The reorganized and revitalized HR Division will require input and commitment from each level of management and from all its employees, utilizing the following six step process model:

Step 1: Set strategic direction.
Step 2: Conduct workforce analysis.
Step 3: Analyze performance gaps
Step 4: Develop action plans.
Step 5: Implement the action plans.
Step 6: Monitor, evaluate, and revise action plans, as necessary.

Performance Indicators. Acquiring additional staff is critical to prepare the organization for imminent human capital changes. These HR professionals will provide the Courts' leadership with a clear picture of organizational trends in human capital and enhance the organization's ability to effectively serve its stakeholders and meet its mission and objectives. Performance of the additional professional staff will be measured by the development and implementation of succession planning to assure continuity of operations in the face of expected increases in retirements over the next decade; recruitment and retention of a highly capable and efficient workforce; enhancement of employee benefits; the consolidation of compensation and benefits administration; further development and implementation of a comprehensive Human Resource Information System; and improvement or implementation and administration of performance management systems to assure ongoing fairness and equity in administration of compensation and recognition of exceptional performance.

Table 2
HUMAN RESOURCES DIVISION
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Cost
Organizational Development & Operations Manager	13	1	90,000	23,000	113,000
Workforce Planning Analyst	13	1	90,000	23,000	113,000
Total			**180,000**	**46,000**	**226,000**

Table 3
HUMAN RESOURCES DIVISION
Budget Authority by Object Class

	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request	Difference FY 2012/2014
11 - Personnel Compensation	2,389,000	2,404,000	2,672,000	283,000
12 - Personnel Benefits	604,000	608,000	677,000	73,000
Subtotal Personnel Cost	***2,993,000***	***3,012,000***	***3,349,000***	***356,000***
21 - Travel, Transp. of Persons	9,000	9,000	9,000	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	0	0	0	0
26 - Supplies & Materials	9,000	9,000	9,000	0
31 - Equipment	8,000	8,000	8,000	0
Subtotal Non-Personnel Cost	***26,000***	***26,000***	***26,000***	***0***
TOTAL	**3,019,000**	**3,038,000**	**3,375,000**	**356,000**
FTE	25	25	27	2

Table 4
HUMAN RESOURCES DIVISION
Detail, Difference FY 2012/FY 2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Position WIG	25	70,000	
	Current Position COLA		18,000	
	HR Resource Org. Dev & Oper. Mgr.	1	90,000	
	Workforce Planning Analyst	1	90,000	
	Additional CR funding of 0.612%		15,000	
Subtotal 11				*283,000*
12 - Personnel Benefits	Current Position WIG		18,000	
	Current Position COLA		5,000	
	HR Resource Org Dev& Oper. Mgr.		23,000	
	Workforce Planning Analyst		23,000	
	Additional CR funding of 0.612%		4,000	
Subtotal 12				*73,000*
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Comm. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials				
31 – Equipment				
TOTAL				**356,000**

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

Grade	**FY 2012 Enacted**	**FY 2013 Annualized CR**	**FY 2014 Request**
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	1		
JS-9	4	5	5
JS-10			
JS-11	1		
JS-12	5	6	6
JS-13	5	5	7
JS-14	6	6	6
JS-15	2	2	2
JS-16			
JS-17			
CES	1	1	1
Total Salary	**2,389,000**	**2,404,000**	**2,672,000**
Total FTEs	25	25	27

DISTRICT OF COLUMBIA COURT SYSTEM
INFORMATION TECHNOLOGY DIVISION

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
63	10,994,000	63	11,062,000	65	11,531,000	2	537,000

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 Office of the Chief Information Officer by a program management office and quality assurance and operations branches that develop applications, administer computer networks, manage databases and applications, oversee information security, provide customer service support to end users, and ensure continuity of operations.

Mission Statement

The mission of the Information Technology Division is to facilitate the fair and efficient administration of justice by providing secure access to accurate, timely, and easily accessible information and integrated information systems.

Vision Statement

To achieve its mission, the Information Technology Division has adopted the vision of "a state-of-the-art information technology enterprise architecture and environment that supports and advances the D.C. Courts' mission and maximizes efficient use of Court resources."

Introduction

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

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

- Maintaining and supporting courtroom and enterprise-wide audio and video applications.
- Managing and supporting the Courts' website, intranet, and Internet applications.

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

Organizational Background

The Information Technology Division has seven primary responsibilities:

- *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 critical Courts' case data. Additional areas include: the maintenance and monitoring of e-mail, calendaring, mass data storage, web hosting, database hosting, streaming video services and backup services throughout the Courts' campus.

- *Courts' Case Management Applications Support* involves the daily tasks associated with court case management systems. User access is managed, notices and calendars are printed, judicial proceedings are recorded, and management reports are produced.

- *Other Office Automation Support and Development* require the provision of automation tools, hardware and software, networks, servers and gateways, database administration, application development, training and assistance for all judicial and non-judicial staff.

- *Information Exchange* consists of providing automated information tools, such as the Internet and specialized research services; tools providing data exchange with other justice agencies; and tools to disseminate court information to the constituency of the District of Columbia through reports, public use terminals, kiosks, and the Internet.

- *Information Security* involves the daily tasks of protecting the Courts' information and the Courts' information systems from unauthorized access, use, disclosure, disruption, modification or destruction.

- *Courtroom Technology* enhances the legal process by use, training, and maintenance of electronic equipment, electronic documentation display, enhanced sound systems, integrated audio, multimedia presentations, teleconferencing, video evidence presentation, video recordings, and videoconferencing.

Operational Effectiveness

To improve its operational effectiveness, the IT Division followed the Software Engineering Institute's Capability Maturity Model – Integration (CMMI) Level Two (ML-2) guidelines and industry best practices to manage all major IT projects.

A new five year IT strategic plan (FY2013-FY2017) has been drafted to support the D.C. Courts' mission. A new IT Enterprise Architecture Library was also developed. In addition to the IT strategic plan and IT enterprise architecture library, the IT Division blueprint encompasses enterprise-level IT management policies, that are applicable court-wide; directives that define minimum standards and controls of how the IT Division will institute these policies into operation.

Governing these complex initiatives to continue improving the D.C. Courts' information systems, the IT Division's policies and initiatives are approved through an IT Steering Committee with the participation of the Courts' senior management. The IT Steering Committee provides general reviews of major IT projects. The committee assists with policies regarding business alignment, effective IT strategic planning and oversight of IT performance.

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

Recent Achievements and Highlights

- **New Enhanced Internet Site**

  Implemented a new and enhanced internet that utilizes combined audience-based and organization-based auxiliary functionality. Internet site browsing is user-friendly with efficient content availability. This new internet site employs powerful index and search engine capabilities with comprehensive search-result pages. It includes availability of centralized and fully indexed rules, forms, and Frequently Asked Questions (FAQ) areas. The Criminal Court calendar online function is a major new feature that replaces many manual internal and external processes and provides enhanced services to the legal and public community. In addition, the integration of Bing Maps assists users in locating directions to and from Court destinations.

- **Court Improvement Program Phase II & III**

  Implemented an enhanced bi-directional interface with Child & Family Services Administration (CFSA) that includes case worker reports for existing Abuse & Neglect

cases. In addition to reducing physical handling of case worker reports, the process provides the case judge immediate access to an electronic copy of the report. The enhanced interface includes a facility for the Court to transmit signed judicial orders (imaged documents) to CFSA as well as key data from the case management system for inclusion into the CFSA FACES system.

- **Superior Court Case e-Filing**

  Implemented a robust electronic filing program with an updated software application replacing the existing system implemented in 2005. The new e-filing program allows for rapid expansion of e-filing to other business areas beyond Civil and Tax such as Probate, Family, Small Claims, Landlord & Tenant as well as adult Criminal cases further reducing traffic at the Court. The expansion of the e-filing system allows for the reduced manual activity resulting from data entry and document scanning. The enhancement of this interface with case initiation capabilities will be key to the Court's overall objective of enterprise courtwide e-filing capability.

- **JUSTIS Data Exchange**

  Replaced the existing court hosted adult criminal outbound data sharing facility with a robust outbound interface to the Criminal Justice Coordinating Council (CJCC). Building on the success of the inbound case initiation interface with CJCC deployed in FY 2011, the focus in this current deployment is the transfer of the Court's outbound data set. While a few agency partners retrieve data from the Court directly, more criminal justice partners will have the ability to receive Court data through this new outbound interface.

- **Document Management System Enhancement**

  Converted the existing 10 year old document management and workflow system to the OnBase enterprise content management system. The new system provides Superior Court with enhanced functionality for indexing and routing images among multiple case management applications. The OnBase system will provide the technical and functional foundation for future projects aimed at reducing physical paper collection and provide automated retrieval of various types of content such as audio, video, and other digital media.

- **Jury Evidence Recording System**

  Implemented a new Jury Evidence Recording System (JERS) in Courtroom 215 on a trial basis. The JERS system provides an efficient method of capturing evidence electronically as it is presented in court during a trial. The courtroom trial presentation system is used to efficiently capture pictures, video, and various types of evidence.

- **Youth Automation System Development**

  Implementation of this system will provide a central location in which the Family Court Social Services Division's juvenile offender activity can be input, viewed, and managed,

while obtaining the base identity and juvenile case information from the CourtView case management system. The system will automate business processes for probation officers and paper and electronic documents.

- **Dark Fiber Line for Building C Data Center Installation**

  Deployed the installation of new dark fiber to connect Building C (410 E St NW) to the Courts enterprise network ring topology of six court buildings located in Judiciary Square and Gallery Place. The network architecture provides each building with redundancy of fiber connectivity to prevent any interruption of data transmission throughout the Courts' enterprise.

- **Voice Over Internet Protocol (VoIP) Deployed**

  Implemented the Voice over Internet Protocol (VoIP) phone system and infrastructure for the newly renovated Building C. This technology provides efficient and reliable voice traffic transmission over the Courts' data network. The direct benefit of this technology is reduced capital costs, decreased telecommunications costs, simplified administration efforts, and greater mobility.

- **Information Security Awareness Program Developed**

  Developed the D.C. Courts' Information Security Awareness and Training Program in accordance with the guidelines contained in the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-50. The Information Security Awareness and Training Program for FY 2012 includes two online quiz sessions of instructor-led training classes for D.C. Courts employees; judicial peer-to-peer security awareness training; Information Security Awareness and Rules of Behavior Training for all the employees, contractors, and agency partners who have access to the Courts' information systems.

Division MAP Objectives

The IT Division defined and initiated projects to achieve the following set of MAP objectives:

- Implement a Business Intelligence System that will provide scorecards and dashboards for Judges and senior managers to effectively measure court-wide performance and efficiently manage Court operations.

- Enhance inter-agency case information exchange by implementing a new generation of a JUSTIS interface to CourtView and the CIP interface Phase II and III.

- Maximize staff productivity by providing up-to-date, stable, reliable technology and business process re-engineering for the Court Social Services Division.

- Improve access to justice by implementing the HotDocs project that contains a set of application tools to assist litigants without lawyers in filing various cases.

- Build a new state-of-the-art data center at 410 E Street N.W. and implement new technologies to provide secure, reliable, high availability, low maintenance and robust enterprise network and information systems.

- Comply with GAO's FISCAM by implementing internal controls, information security management, risk management, software verification and validation, and systems monitoring.

- Implement IT Disaster Recovery & Business Continuity Operations Phase II by maintaining an operational remote site and conducting regular testing.

- Enhance bi-directional interfaces between the Courts' General Ledger System and Case Management System (CourtView) with online credit card processing capabilities.

- Provide satisfactory customer support to ensure that users can effectively operate their computer equipment and software applications.

Business Process Reengineering

As with the rest of the D.C. Courts, the IT Division is undergoing a period of transformation. Over the past few years, the D.C. Courts have developed plans to reengineer their operations to take advantage of IJIS, to offer better services to the public, and to promote greater efficiency. The IT Division faces unique challenges in this context because of demands to introduce new technology, to improve service quality, and to reduce unplanned downtime.

Performance Indicators

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

Table 1

INFORMATION TECHNOLOGY DIVISION

IT Metrics

IT Division Management Action Plan for FY 2012 as of Q3

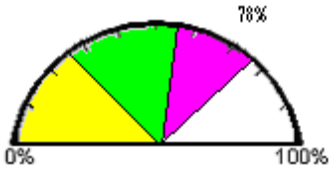
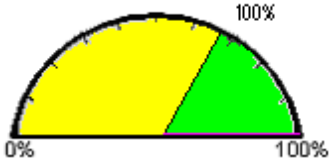
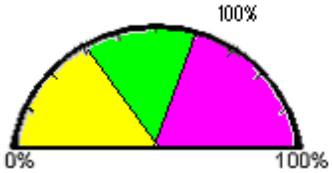
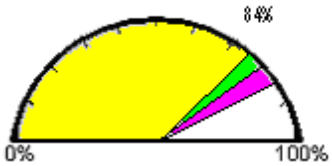
Goal and Strategy to Complete the Goal	Progress	Rating
Goal 1: The Courts will administer justice fairly and impartially. Strategy 1.2.1: Support Business Units in ensuring that best practices are used to manage cases. Strategy 1.2.3: Provide accurate, timely and useful information to judicial officers, court personnel and other court participants by implementing an enterprise-wide Business Intelligence solution.		
Goal 4B.: The Courts will ensure that physical facilities are easily accessible by all persons. Strategy 2.1.5: Enhance access for self-represented persons filing cases by implementing new and innovative technologies.		
Goal 3: A strong judiciary and workforce. Strategy 3.1.5: Establish a workforce planning and development initiative to address future human capital needs.		
Goal 4.A: The Courts will use technology that supports efficient and effective case management and information sharing. Strategy 4.2.1: Ensure that technology investments are aligned with the Courts' strategic goals and are cost-effective by establishing a new Data Center in Building C and migrating production systems to the new infrastructure. Strategy 4.2.2: Support the Courts' mission, and maximize staff productivity by ensuring the availability, reliability, and optimal performance of production systems. Strategy 4.2.2: Maximize staff productivity by providing world-class customer support. Strategy 4.2.2: Maximize staff productivity by providing up-to-date, stable, and reliable technology by implementing a Voice-Over-IP telephone system.		

Table 2

INFORMATION TECHNOLOGY DIVISION

Performance Measurements for FY 2012

The IT Division performance scorecard displays the strategic goals and strategies that the IT Division has developed to complete these goals. The progress scale displays the quarterly progress as an average of each performance target's current completion or success rate. The rating graphic is designed to display the overall performance of the strategy with regard to completion of the overall strategic goal. The rating may appear as red, yellow, or green based on progress and overall performance of the ongoing strategy. Below, are the defined metrics that have been aligned to meet the overall strategy for meeting the D. C. Courts strategic goals. Each goal has a performance target to be met by the end of FY 2012, and current performance is relative to the date at the top of this scorecard. Data will be collected on a quarterly basis. A percentage complete can be determined by dividing the current performance into the target performance. Once the percentage complete rate is determined for all metrics a composite index can be computed by equally weighting each metric and averaging the completion rates. This composite index is used to develop the graphics in the overall roll-up scorecard.

Strategy 1.2.1: Support Business Units in ensuring that best practices are used to manage cases.						
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete
# of Business Units for which the current & future business processes documented	3 Business Units	0	0	1		33%
Total Composite Index:		0%	0%	33%	0%	33%

Strategy 1.2.3: Provide accurate, timely and useful information to judicial officers, court personnel and other court participants by implementing enterprise-wide Business Intelligence solution.						
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete
# of Business Units (using CourtView) for which the solution is implemented	5 Business Units	2	4	7		100%
% of Project Life Cycle Completion	80%	30%	60%	90%		100%
Total Composite Index		39%	83%	100%	0%	100%
Total 1.2 Index:		26%	55%	78%	0%	78%

Strategy 2.1.5: Enhance access for self-represented persons filing cases by implementing new and innovative technologies.						
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete
# of Business Units forms processes automated using HotDocs and other technologies	3 Business Units	2	5	8		100%
Total 2.1 Composite Index:		67%	100%	100%	0%	100%

Strategy 3.1.5: Establish a workforce planning and development initiative to address future human capital needs						
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete
% of Project Life Cycle Completion for Human Resource Management System	100%	30%	60%	100%		100%
Total 3.1 Composite Index:		30%	60%	100%	0%	100%

Strategy 4.2.1: Ensure that technology investments are aligned with the Courts' strategic goals and are cost-effective by establishing a new Data Center in Building C and migrating production systems to the new infrastructure						
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete
% of Project Life Cycle Completion for Data Center Migration	100%	5%	10%	25%		25%
Total Composite Index:		5%	10%	25%	0%	25%

Strategy 4.2.2: 1. Support the Courts' mission, and maximize staff productivity by ensuring the availability, reliability, and optimal performance of production systems 2. Maximize staff productivity by providing world-class customer support 3. Maximize staff productivity by providing up-to-date, stable and reliable technology by implementing a Voice-Over-IP telephone system						
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete
% of Uptime of Case Management related services	98%	99%	99%	99%		100%
% of Uptime of non-Case Management related services	95%	97%	97%	97%		100%
% of Uptime of messaging related services	98%	99%	99%	99%		100%
No. of mission critical systems backed up to tape according to enterprise policy	3	0	0	0		0%
% of Uptime of infrastructure	99%	99%	99%	99%		100%
% of Customer satisfaction with IT services	80%	90%	90%	90%		100%
% of Customer satisfaction with IT products	80%	90%	90%	90%		100%
% of Calls answered	90%	90%	92%	94%		100%
% of Tickets resolved within SLAs	90%	95%	95%	95%		100%
% of Project Life Cycle Completion for VOIP	100%	30%	75%	100%		100%
Total Composite Index Total Composite Index		83%	88%	90%	0%	90%
Total 4.2 Index:		76%	80%	84%	0%	84%

Strategy 5.1.4: Implement procedures to protect the Courts' vital records in the event of an emergency or disaster by establishing and enforcing IT security policies.						
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete
% of Systems with active monitoring capabilities	98%	98%	98%	98%		100%
# of Time lag, in hours, between detection, reporting and acting upon security incidents	.5 hr	.5 hr	.5 hr	.5 hr		100%
% of Employees participating in the information security awareness training within the organization	90%	5%	10%	20%		22%
# of Various security risk assessments and reviews per year that are followed by successful and timely mitigation and resolution activities	4	0	1	2		50%
Total 5.1 Composite Index:		52%	59%	68%	0%	68%
Strategy 6.1.2: Actively participate in District and justice system interagency committees, work groups and other forums to address community issues by developing bi-directional interfaces between CourtView case management system and other external systems						
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete
% of Project Life Cycle Completion for JUSTIS	100%	20%	50%	100%		100%
% of Project Life Cycle Completion for new imaging system	100%	15%	35%	75%		75%
% of Project Life Cycle Completion for eFiling	100%	10%	30%	99%		99%
% of Project Life Cycle Completion for CIP II & III	100%	15%	40%	100%		100%
% of Project Life Cycle Completion for MIP (credit card processing)	100%	10%	25%	50%		50%
Total 6.1 Composite Index:		14%	36%	85%	0%	85%
Strategy 6.2.3: Ensure accurate and automated reporting of adopted courtwide performance measures in a timely manner						
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete
% of Court-wide Performance Measures related reports that are produced timely	95%	100%	100%	100%		100%
% of Approved Court-wide performance measures substantiated by automated reports	100%	100%	100%	100%		100%
Total Composite Index:		100%	100%	100%	0%	100%
Strategy 6.2.6: Provide effective supervision of juvenile probationers to promote public safety and rehabilitation, and reduce recidivism by implementing a Juvenile Probation Management System						
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete
% of Project Life Cycle Completion for CSS	100%	15%	30%	70%		70%
Total Composite Index:		15%	30%	70%		70%
Total 6.2.Index:		72%	77%	90%		90%

FY 2014 Request

In FY 2014, the Courts request $11,531,000 for the Information Technology Division, an increase of $537,000 (4.9%) above the FY 2012 Enacted Budget. The request includes $159,000 for 2 FTEs to support courtroom technology equipment and $378,000 for built-in cost increases.

Courtroom Technology Support
Multimedia Specialist (2) (JS-11), $159,000

Problem Statement. To enhance the conduct of court proceedings and better serve the needs of the public, attorneys, and judicial officers, the Courts are investing in courtroom technology required for modern case presentation. As courtrooms undergo renovation, up-to-date equipment is being installed to facilitate presentation of evidence and other case-related information. For example, video monitors coupled with DVD players and other professional presentation equipment make it easier for jurors to see and understand the evidence in a case. According to surveys of jurors in a pilot high-tech courtroom, PowerPoint presentations of juror instructions

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

Relationship to Court Mission, Vision and Strategic Goals. The hiring of two Multimedia Specialists will help the D.C. Courts meet the goals of timely administration of justice through the ability to support the growth of technology in a timely manner, thereby increasing the efficiency of court operations.

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

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

Expenditure Plan. Funds will be used to hire two employees at the JS-11 level.

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

Table 3
INFORMATION TECHNOLOGY DIVISION
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Costs
Multimedia Specialist	JS-11	2	126,000	33,000	159,000

Table 4
INFORMATION TECHNOLOGY DIVISION
Budget Authority by Object Class

	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request	Difference FY 2012/2014
11 - Personnel Compensation	6,680,000	6,721,000	7,093,000	413,000
12 - Personnel Benefits	1,525,000	1,534,000	1,631,000	106,000
Subtotal Personnel Cost	***8,205,000***	***8,255,000***	***8,724,000***	***519,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	432,000	435,000	435,000	3,000
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	1,770,000	1,781,000	1,781,000	11,000
26 - Supplies & Materials	170,000	171,000	171,000	1,000
31 - Equipment	417,000	420,000	420,000	3,000
Subtotal Non-Personnel Cost	***2,789,000***	***2,807,000***	***2,807,000***	***18,000***
TOTAL	**10,994,000**	**11,062,000**	**11,531,000**	**537,000**
FTE	63	63	65	2

Table 5
INFORMATION TECHNOLOGY DIVISION
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Positions WIG		197,000	
	Current Position COLA		49,000	
	Multimedia Specialists	2	126,000	
	Additional CR funding of 0.612%		41,000	
Subtotal 11				*413,000*
12 - Personnel Benefits	Current Positions WIG		51,000	
	Current Positions COLA		13,000	
	Multimedia Specialists		33,000	
	Additional CR funding of 0.612%		9,000	
Subtotal 12				*106,000*
21 - Travel and Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Additional CR funding of 0.612%			3,000
24 - Printing & Reproduction				
25 - Other Services	Additional CR funding of 0.612%			11,000
26 - Supplies and Materials	Additional CR funding of 0.612%			1,000
31 - Equipment	Additional CR funding of 0.612%			3,000
TOTAL				**537,000**

Table 6

INFORMATION TECHNOLOGY DIVISION

Detail of Full-Time Equivalent Employment

Grade	**FY 2012 Enacted**	**FY 2013 Annualized CR**	**FY 2014 Request**
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	8	8	8
JS-9	2	2	2
JS-10	2	2	2
JS-11	2	2	4
JS-12	4	1	1
JS-13	33	35	36
JS-14	9	9	8
JS-15	2	1	1
CEMS		2	2
CES	1	1	1
Total Salaries	**6,680,000**	**6,721,000**	**7,093,000**
Total FTEs	63	63	65

DISTRICT OF COLUMBIA COURT SYSTEM
OFFICE OF THE GENERAL COUNSEL

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
3	477,000	3	480,000	3	498,000	0	21,000

Mission and Organizational Background

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

Objectives and Key Performance Indicators

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

Relationship to Courtwide Strategic Goals

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

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

FY 2014 Request

In FY 2014, the Courts request $498,000 for the Office of the General Counsel, an increase of $21,000 (4.4%) above the FY 2012 Enacted Budget. The requested increase consists of entirely of built-in cost increases.

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

	FY 2012 Enacted	FY 2013 Annualized CR	FY 2014 Request	Difference FY 2012/2014
11 - Personnel Compensation	371,000	373,000	387,000	16,000
12 - Personnel Benefits	92,000	93,000	97,000	5,000
Subtotal Personnel Cost	***463,000***	***466,000***	***484,000***	***21,000***
21 - Travel, Transp. of Persons	0	0	0	0
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	0	0	0	0
24 - Printing & Reproduction	0	0	0	0
25 - Other Services	0	0	0	0
26 - Supplies & Materials	9,000	9,000	9,000	0
31 - Equipment	5,000	5,000	5,000	0
Subtotal Non-Personnel Cost	***14,000***	***14,000***	***14,000***	***0***
TOTAL	**477,000**	**480,000**	**498,000**	**21,000**
FTE	3	3	3	0

Table 2
OFFICE OF THE GENERAL COUNSEL
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY 2012/2014
11 - Personnel Compensation	Current Positions WIG	3	11,000	
	Current Positions COLA		3,000	
	Additional CR funding of 0.612%		21,000	
Subtotal 11				*16,000*
12 - Personnel Benefits	Current Positions WIG		3,000	
	Current Positions COLA		1,000	
	Additional CR funding of 0.612%		5,000	
Subtotal 12				*5,000*
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies and Materials				
31 - Equipment				
Total				**21,000**

Table 3

OFFICE OF THE GENERAL COUNSEL

Detail of Full-Time Equivalent Employment

Grade	**FY 2012 Enacted**	**FY 2013 Annualized CR**	**FY 2014 Request**
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	1	1	1
JS-11			
JS-12			
JS-13			
JS-14			
JS-15	1	1	1
JS-16			
JS-17			
CES	1	1	1
Total Salaries	**371,000**	**373,000**	**387,000**
Total FTEs	3	3	3

DISTRICT OF COLUMBIA COURT SYSTEM
MANAGEMENT ACCOUNT

FY 2012 Enacted		FY 2013 Annualized CR		FY 2014 Request		Difference FY 2012/2014	
FTE	Obligations	FTE	Obligations	FTE	Obligations	FTE	Obligations
0	21,602,000	0	21,733,000	0	23,518,000	0	1,916,000

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

FY 2014 Request

In FY 2014, the D.C. Courts request $23,518,000 for the Management Account, which is an increase of $1,916,000 (8.9%) over the FY 2012 Enacted Budget. The requested increase consists of $2,356,000 for additional special security officers to augment security coverage in court buildings (see also the discussion in the Initiatives section of this request); $350,000 for utilities, landscaping, and janitorial services for new Court facilities (see also the discussion in the Capital Projects and Facilities Management section of this request); $131,000 for built-in cost increases; and reductions of $5,000 for printing and $916,000 in contractual services.

Table 1
MANAGEMENT ACCOUNT
Budget Authority by Object Class

	FY 2012 Enacted	**FY 2013 Annualized CR**	**FY 2014 Request**	**Difference FY 2012/2014**
11 - Personnel Compensation	0	0	0	0
12 - Personnel Benefits	129,000	130,000	130,000	1,000
Subtotal Personnel Cost	***129,000***	***130,000***	***130,000***	***1,000***
21 - Travel, Transp. of Persons	123,000	124,000	124,000	1,000
22 - Transportation of Things	5,000	5,000	5,000	0
23 - Rent, Comm. &Utilities	10,620,000	10,685,000	10,785,000	165,000
24 - Printing & Reproduction	78,000	78,000	73,000	-5,000
25 - Other Services	9,213,000	9,269,000	10,959,000	1,746,000
26 - Supplies & Materials	396,000	398,000	398,000	2,000
31 – Equipment	1,038,000	1,044,000	1,044,000	6,000
Subtotal Non- Personnel Cost	***21,473,000***	***21,603,000***	***23,388,000***	***1,915,000***
TOTAL	**21,602,000**	**21,733,000**	**23,518,000**	**1,916,000**
FTE	0	0	0	0

Table 2
MANAGEMENT ACCOUNT
Detail Difference, FY 2012/2014

Object Class	Description of Request	FTE	Cost	Difference FY2012/2014
11 - Personnel Compensation				
12 - Personnel Benefits	Additional CR funding of 0.612%			1,000
21 - Travel and Transportation	Additional CR funding of 0.612%			1,000
22 - Transportation of Things				
23 - Rent, Comm. & Utilities	Additional CR funding of 0.612%		65,000	
	Utilities for Building C		100,000	
Subtotal 23				*165,000*
24 - Printing & Reproduction	Budget Reduction			-5,000
25 - Other Services	Additional CR funding of 0.612%		56,000	
	Budget Reduction		-916,000	
	Janitorial & Landscaping		250,000	
	Special Security Officer Services		2,356,000	
Subtotal 25				*1,746,000*
26 - Supplies and Materials	Additional CR funding of 0.612%			2,000
31 - Equipment	Additional CR funding of 0.612%			6,000
TOTAL				***1,916,000***

District of Columbia Courts
FY 2014 Budget Justification
New Positions Requested by Grade

Position	Division	Grade	Number	Annual Salary	Benefits	Total Personnel Cost
COURT OF APPEALS						
Appeals Mediation Program Coordinator		JS-13	1	89,000	23,000	112,000
Appeals Mediation Program Officer		JS-11	1	63,000	16,000	79,000
Court of Appeals Subtotal			***2***	***152,000***	***39,000***	***191,000***
SUPERIOR COURT						
Community Service Coordinator	Criminal	JS-12	1	75,000	20,000	95,000
Superior Court Subtotal			***1***	***75,000***	***20,000***	***95,000***
COURT SYSTEM						
Organizational Development and Operations Manager	Human Resources	JS-13	1	90,000	23,000	113,000
Workforce Planning Analyst	Human Resources	JS-13	1	90,000	23,000	113,000
Facilities Repair Worker	Capital Projects and Facilities Management	JS-8	1	52,000	13,000	65,000
Facilities Technician Assistant	Capital Projects and Facilities Management	JS-9	2	104,000	27,000	131,000
Multimedia Specialist	Information Technology	JS-11	2	126,000	33,000	159,000
Court System Subtotal			***7***	***462,000***	***119,000***	***581,000***
D.C. COURTS TOTAL			**10**	**$689,000**	**$178,000**	**$867,000**

District of Columbia Courts - Fiscal Year 2014 Budget Submission Summary (dollars in millions)	PY-1 and earlier*	PY 2012**	CY 2013	BY 2014	BY +1 2015	BY +2 2016	2017 and beyond*	Total, unfunded amounts (sum 2014 - beyond)
Renovations, Improvements & Expansions								
Moultrie Courthouse Renovation & Reorganization	21.09	11.30	0.00	14.00	14.21	12.26	1.17	41.64
Moultrie Courthouse Addition	3.00	18.00	5.54	61.92	45.54	9.00	0.00	116.46
Building A Modernization (515 5th Street NW)	19.91	0.00	0.00	2.10	0.00	0.00	0.00	2.10
Building B Modernization (510 4th Street NW)	0.99	0.00	0.00	1.25	0.00	0.18	8.72	10.15
Courtrooms and Judges Chambers	30.94	8.60	0.00	1.80	10.51	15.78	84.19	112.28
Campus Security, Signage & Lighting	4.00	0.00	4.80	15.35	10.30	0.00	0.00	25.65
Subtotal	**79.93**	**37.90**	**10.34**	**96.42**	**80.56**	**37.22**	**94.08**	**308.28**
Maintain Existing Infrastructure								
HVAC, Electrical and Plumbing Upgrades*	6.36	1.60	7.15	12.43	7.61	5.77	5.94	31.75
Restroom Improvements*	1.06	0.00	2.46	1.21	0.40	0.40	0.40	2.41
Fire and Security Alarm Systems*	2.39	1.30	1.29	2.01	2.70	2.50	1.60	8.81
General Repair Projects*	10.60	6.00	14.09	14.71	13.40	11.74	12.09	51.94
Elevator and Escalator Repairs and Replacement*	2.12	0.00	0.50	0.57	0.53	0.56	0.58	2.24
Technology Infrastructure*	2.30	1.30	3.50	3.00	2.50	3.00	3.00	11.50
Restoration of the Historic Courthouse	147.93	0.00	0.00	2.00	2.00	2.00	2.00	8.00
Subtotal	**172.76**	**10.2**	**28.99**	**35.93**	**29.14**	**25.97**	**25.61**	**116.65**
Projects Not Requiring Funding in FY 2013								
Moultrie Courthouse								
Adult Holding Facilities/USMS Space Renovation	66.49	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Building C Modernization (410 E. Street NW)	43.54	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	**110.03**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
Total	**362.72**	**48.10**	**39.33**	**132.35**	**109.70**	**63.19**	**119.69**	**424.93**

* For most projects to Maintain Existing Infrastructure, amounts listed under "PY-1 and earlier" and "2017 and beyond" represent one year of funding, as these are ongoing projects.

**Includes $10 million authorized to be transferred from the Defender Services account.

The District of Columbia Courts process over 100,000 cases each year and employ a staff of 1,200 who directly serve the public, process the cases, and provide administrative support. The Courts' capital funding requirements are significant because they include funding for projects critical to maintaining and preserving safe and functional courthouse facilities essential to meeting the heavy demands of the administration of justice in our Nation's Capital. To effectively meet these demands, the Courts' facilities must be both functional and emblematic of their public significance and character. The FY 2014 Capital Budget seeks to address these issues comprehensively.

In preparing the FY 2014 capital budget request, the Courts carefully assessed the capital requirements essential to performing our statutory and constitutionally mandated functions. The Courts' request for capital funding is particularly critical in FY 2014 because of the need: (1) to meet the Courts' growing space requirements for conducting their business, which includes the Family Court established by Congress; (2) to address essential public health and safety conditions in our busy court buildings, including our main building, the H. Carl Moultrie Courthouse, to which some 10,000 people come each day; and (3) to avoid interruption of ongoing projects, which almost certainly results in substantially increased costs.

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

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

Historic Judiciary Square

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

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

Judiciary Square Master Plan

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

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

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

Master Plan for D.C. Courts Facilities

In 2001 the D.C. Courts developed the first *Master Plan for D.C. Courts Facilities*, which delineated the Courts' space requirements and provided a blueprint for optimal space utilization, both in the near and long term. A global update of the Facilities Master Plan was completed in May 2009. This update reviewed the recommendations of the 2002 Master Plan while taking into account the significant facility improvements completed by the D.C. Courts as well as operational changes that have taken place since 2002.

The *District of Columbia Courts Master Plan for Facilities May 2009 (Facilities Master Plan)*, incorporates significant research, analysis, and planning by experts in architecture, urban design and planning. The Master Plan addresses the following:

1. Accommodation of space needs through 2018 for all Court components and Court related agencies, including expansion of the trial courtroom capacity and consolidation of the Family Court as per the D.C. Family Court Act of 2001 (Public Law Number 107-114);

2. The Court's continued enhancement of the environment within public and workplace settings;

3. Delineation of total capital requirements, schedule and phasing approach for master plan implementation;

4. Realignment of Court's functions within the existing and proposed new Court's facilities;

5. Continued implementation of new building code, life safety, security upgrades.

The Plan identified a space shortfall for the Courts of 87,575 square feet of space and provided recommendations for meeting this shortfall.

The experts proposed to meet the Courts' space needs through the three mechanisms identified in the original 2002 Facilities Master Plan, already in progress: (1) renovation of the Historic Courthouse for the District of Columbia Court of Appeals, to free critically needed space in the Moultrie Courthouse for trial court operations (completed in 2009); (2) construction of an addition to the Moultrie Courthouse, to include a separately accessible Family Court facility (partially funded); and (3) the reoccupation and renovation of Building C (construction completed on schedule in 2012). In addition, the Plan determined that all court facilities must be modernized and upgraded to meet health and safety standards and to function with greater efficiency.

Overview of the D.C. Courts' Facilities

Historic Courthouse

The restoration of the Historic Courthouse for use by the District of Columbia Court of Appeals, pivotal to meeting the growing space needs of the court system, was completed April 15, 2009, thanks to the support of the President and Congress. Investment in this restoration not only has improved efficiencies by co-locating the offices that support the Court of Appeals, but also provided 37,000 square feet of space for renovation and reorganization in the Moultrie Courthouse. This vacated space is under renovation for the Superior Court and Family Court. The restoration of the Historic Courthouse for use as a functioning court building has also preserved an historic treasure of our nation and imparted new life to one of the most significant historic buildings and precincts in Washington, D.C.

Moultrie Courthouse

The Moultrie Courthouse is uniquely designed to meet the needs of a busy trial court. It has three separate and secure circulation systems – for judges, the public, and the large number (200 - 400) of prisoners brought to the courthouse each day. Built in 1978 for 44 trial judges, today it is strained beyond capacity to accommodate 62 trial judges and 25 magistrate judges in the trial court, as well as the steady increase in the number of judges seeking senior status and more than 1,000 support staff members. Currently, the Moultrie Courthouse provides space for most Superior Court and Family Court operations and clerk's offices. Essential criminal justice and social service agencies also occupy office space in the Moultrie Courthouse. The Courts have clearly outgrown the space available in the Moultrie Courthouse. The space is inadequate for this high volume court system to serve the public in a safe, appropriately dignified, and well maintained setting. The Courts require well-planned and adequate space to ensure efficient operations in a safe and healthy environment.

Buildings A, B, and C

Buildings A and B, dating from the 1930's, have been renovated and currently house the Probate Division, Landlord and Tenant, Small Claims, and Probate and some Social Services functions. The buildings have been brought up to current codes with all new HVAC, lighting, fire sprinklers, and the building exteriors have been refurbished to include restoration of the historic windows, replacement of exterior doors, new signage, and landscape improvements. As a result, future interior reconfigurations required by the master plan will need minimal demolition and reconstruction funds.

The Building C restoration project is complete and the building is fully occupied. Occupants of Building C include the D.C. Courts' Information Technology Division and Multi-Door Dispute Resolution

Division. The restoration provides modern office space and brings the building into compliance with all current building, mechanical, electrical, fire, life safety, health, and accessibility codes. The restoration also preserves significant and contributing historic elements of the building. The Building C restoration project restored 27,300 square feet of space and relocated I.T. and multi-door employees. The Courts are seeking a Leadership in Energy and Environmental Design (LEED) "Gold" certification for this building.

Infrastructure in the Courts' Strategic Plan

The capital projects included in this request are an integral part of the Courts' Strategic Plan. The Strategic Plan articulates the mission, vision, and values of the Courts in light of current initiatives, recent trends, and future challenges. It addresses issues such as increasing cultural diversity, economic disparity, complex social problems of court-involved individuals, the increasing presence of litigants without legal representation, rapidly evolving technology, the competitive funding environment, emphasis of public accountability, competition for skilled personnel, and increased security risks.

"A Sound Infrastructure" is the Plan's Goal 4. Court facilities must support efficient operations and command respect for the independence and importance of the judicial branch in preserving a stable community. Modern technology must be employed to achieve administrative efficiencies and enhance the public's access to court information and services. The Strategic Plan states--

> Just as courts preserve and enforce the rule of law, so must our courthouses provide physical facilities and technology that serve as an appropriate foundation for a modern judicial system. Court buildings must provide sufficient, functional space for the administration of justice. Technology must meet the present and future needs of court users and the workforce. We must have proper security procedures, technology, personnel, and architectural features to protect not only the safety of the people and property within and around the courts, but also the integrity of the judicial process.

The facilities and technology enhancements in this capital budget support this strategic goal and its components:

A. The D.C. Courts will use technology to enhance case management and information sharing.

   1. Enhance case processing, information management, and performance measurement and reporting through targeted technology investments.
   2. Employ technology to readily communicate with the public and court personnel by expanding the use of electronic and social media.
   3. Utilize technology to ensure timely access to court documents, proceedings, and services by expanding video and web conferencing opportunities, providing internet and online services, and employing other means to broaden accessibility of court information and services.

B. The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.

   1. Ensure that court facilities are physically accessible to all persons and are easily navigable by the public through effective signage, information displays, and other means.
   2. Assure that capital investments are cost-effective and that the physical environment is appropriate for operations and functional for personnel and the public through continued implementation of the Courts' Facilities Master Plan.

C. The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.

1. Ensure the safety of persons in the courthouse by performing ongoing reviews of physical security, conducting a comprehensive annual Security Assessment, and implementing security enhancements based on risk levels and best practices.
2. Protect the Courts' records by implementing best practices, employing technology to secure information, and conducting annual security-awareness training.

Implementing the *Facilities Master Plan*

Thanks to the support of the President and Congress, the Courts have made significant progress in implementing the *Facilities Master Plan.*

Historic Courthouse

The renovated Court of Appeals, completed in April 2009, now houses the judiciary, courtrooms, and support services associated with the D.C. Court of Appeals. This successful project was completed on schedule and within the budget approved by Congress.

In addition to numerous notable design and construction awards the Historic Courthouse won a 2010 Design Excellence Award Citation for Preservation by the U.S. General Services Administration, the only project to receive this recognition in the United States.

The recently renovated Building C, completed in February 2012, now houses the D.C. Courts' Information Technology Division and Multi-Door Dispute Resolution Division. This successful project was completed on schedule and within the budget approved by Congress.

H. Carl Moultrie I Courthouse

Family Court
Family Court consolidation has recently achieved another major milestone, renovation and expansion of the Family Court Central Intake Center on the John Marshall Level. In addition, new space was completed for the Domestic Violence Unit. These projects bring the Courts significantly closer to meeting the Family Court mandate.

Courtrooms and Judges Chambers
A milestone completed this year included alteration of six existing undersized hearing rooms into three new fully accessible hearing rooms on the second floor of the Moultrie Courthouse. Courtroom renovations have also commenced on the second floor with the creation of two multi-use courtrooms.

Moultrie Courthouse Addition
The D.C. Courts have completed planning and pre-design services for the Moultrie Courthouse Addition. Solicitation for architect of record services is currently underway. This is a 6 story addition to the south face of the Courthouse starting at the C level and rising to the 4th floor. The Expansion will add approximately 111,000 s.f. of new and renovated space to the courts inventory offsetting the future loss of leased space at Gallery Place and providing for Court's growth. The design program includes 6 criminal capable courtrooms, 20 associate judge chambers, social services and family court related offices and juror facilities. The Courts will be seeking LEED Gold Certification of the project.

Furthermore the Moultrie Courthouse Addition is critical to meeting the goals of the D.C. Courts Facilities Master Plan. This project will address security issues, energy efficiency, and environmental principles in a cost effective manner.

The Moultrie Courthouse Addition is included in the National Capital Planning Commission (NCPC) and United States Commission of Fine Arts (CFA) approved Judiciary Square Master Plan. The Concept Design for the project was approved by the CFA in 2011.

U.S. Marshals Service

The U.S. Marshals Service (U.S.M.S.) Administrative Office Space projects were completed in 2010, providing high quality office, support, and ancillary spaces for U.S.M.S. personnel to be located on the C Street level of the Moultrie Court House. The renovation of the Arraignment Court (C10) and its associated holding cells was completed in 2011. The first two phases of the adult cellblock renovation was also completed in 2011. Multi-phased renovation of courtroom holding cells adjacent to all existing criminal courtrooms is now approximately 67% complete.

These renovation projects are a partnership between the D.C. Courts and the U.S.M.S. Renovations will improve security, health and safety of the U.S. Marshals, prisoners, and for the entire D.C. Courts. The D.C. Courts are grateful for the continued active participation of the U.S.M.S. in every aspect of the design and construction.

Infrastructure

The HVAC, electrical, and plumbing upgrade project will ensure that health and safety concerns for the public and the Courts' personnel are addressed in all of the Courts' buildings, and will enable the Courts to make much needed heating, ventilation, air conditioning, mechanical, plumbing and electrical improvements. The D.C. Courts have purchased new switchgear equipment and emergency generators that will service the Moultrie Courthouse. This multiyear installation has commenced and includes both new equipment and distribution systems and the replacement of panels throughout the building.

Improved Energy Efficiency

Implementation of the Facilities Master Plan has resulted in numerous improvements to the energy efficiency of existing Court buildings and building systems. The Historic Courthouse has been designed and renovated to meet LEED Silver standards for sustainability. In Building A and Building B, the replacement of exterior doors and windows has improved their building enclosures, resulting in significant reduction of energy loss. The replacement of mechanical systems in these same buildings has resulted in more efficient energy use as well. Building C was designed and constructed to achieve LEED Gold certification.

Recent and current projects in the Moultrie Courthouse will improve energy efficiency. Additional equipment replacements, such as replacement of all the air handler units for the Moultrie Courthouse and the U.S. Marshals Service HVAC improvement project have both resulted in more efficient energy consumption. Replacement of the steam station system that provides hot water and heat is also conserving energy. Also in the Moultrie Courthouse, all perimeter windows and glass doors have been re-gasketed to dramatically reduce energy loss. In addition, in the Moultrie Courthouse, a new solar reflective and insulated roof will improve energy efficiency and reduce solar heat gain. The adjacent skylight replacement project will also improve energy efficiency by significantly reducing solar heat gain and loss of conditioned air through exfiltration.

The D.C. Courts continues to hold greater energy efficiency as a goal as future projects are implemented. The Moultrie Courthouse Addition will also seek LEED Gold certification. The Moultrie Courthouse

renovation and reorganization project includes re-design and replacement of all lighting fixtures with energy efficient fixtures. Planned replacement of switchgear and distribution equipment with high efficiency units will contribute to improved energy performance. In addition, energy conservation measures will be the standard in upcoming courtrooms and chambers renovations.

Capital Funding in FY 2014

As the Courts progress through implementation of the Facilities Master Plan, the Courts' older buildings in Judiciary Square—the Historic Courthouse (430 E Street) and Building A (515 5th Street), Building B (510 4th Street), and Building C (410 E Street) — have all been renovated. Currently and over the next several years, the Moultrie Courthouse (500 Indiana Avenue), the Courts' largest building by far, will be the focus of most of the Courts' capital projects.

The Facilities Master Plan, updated in May 2009, outlined a 2018 campus wide space shortfall of 87,575 square feet. The Moultrie Courthouse Addition Project, now underway will address this shortfall.

The new construction will contain six criminal capable trial courtrooms, twenty judge's chambers, and Court office space. The Moultrie Courthouse Addition will fulfill the Family Court mandate by consolidating Social Services and all other Family Court functions on the John Marshall level and First Floor of the Moultrie Courthouse.

The D.C. Courts have coordinated renovations required by the D.C. Courts Facilities Master Plan with activities related to the maintenance of existing infrastructure, in order to minimize disruption to the Courts. The D.C. Courts are committed to maintaining Court operations during construction activities. For example, renovation and re-organization activities related to Family Court consolidation are coordinated with HVAC, Electrical, and Plumbing Upgrades, Restroom Improvements and Fire and Security Systems budget line items.

Exhibit 300: Capital Asset Plan and Business Case Summaries are divided into three sections. The first section includes projects to renovate, improve, and expand court facilities, as specified in the Master Plan for Facilities. The second section includes projects necessary to maintaining the existing infrastructure. The final section, containing projects not requiring funding in FY 2014, provides an update on projects financed in previous years and plans for future projects. Projects have been divided into phases to the extent practicable.

The FY 2014 capital request focuses on the Moultrie Courthouse, safety and security, and building maintenance. The Courts' capital budget request totals $132.35 million.

A significant portion of the FY 2014 capital budget request, $61.9 million, is for the Moultrie Courthouse Addition (C Street Expansion). This addition will add 108,000 s.f. of new and renovated space to the Moultrie Courthouse and expand the building along the south façade at C Street. The full funding request for this project is distributed over five fiscal years, beginning in FY 2012.

The capital budget request includes $14 million to continue the renovation and reorganization of the interior of the Moultrie Courthouse, which allows the Courts to move operations and functions within the courthouse in order to consolidate the Family Court in contiguous space on the John Marshall level.

The Courts are requesting $1.8 million to replace dilapidated seating in courtrooms not scheduled for renovation within the next five years.

The Capital Budget also includes $3.4 million to reconfigure vacant space in Buildings A and B.

The Courts, like many public institutions, face security threats to daily operations and individual judges. In addition, the Courts face unique security risks due to the presence of hundreds of prisoners in the Moultrie Courthouse each day. The Courts' request includes $15.35 million to improve physical safety through perimeter security enhancements, and lighting/signage upgrades.

The capital budget also includes a request for $35.93 million to maintain and upgrade the Courts' facilities. Mechanical systems and structural repairs are necessary in order to ensure the safety of building occupants and to preserve the integrity of these historic structures. The Courts request $12.43 million for the HVAC, Electrical, and Plumbing Upgrades. This funding will continue to upgrade electrical systems in the Moultrie Courthouse, and provide for the replacement of HVAC equipment as components pass their useful life. To replace heavily used fixtures in the public restrooms throughout the campus, $1.21 million is requested. The $2.01 million requested for Fire and Security will finance a sprinkler system for the Moultrie Courthouse as part of the ongoing fire sprinkler installation program for the building. In addition, $14.71 million is requested for General Repair Projects, for, among other things, ADA accessibility, safety enhancements, and continued replacement of fixtures, lighting, flooring, ceiling tiles and other capital investments and replacement of equipment, as required or due to emergency failure. To keep elevators and escalators in good working order, $570,000 is requested. In addition, $3 million is requested for technology infrastructure enhancements. Finally, $2 million is requested for maintenance of the Historic Courthouse, to protect the public investment in its renovation, which was completed in 2009.

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **H. Carl Moultrie Renovation and Reorganization**

5. Unique Project (Investment) Identifier: (For IT investment only, see section *53*.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 2005

8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Moultrie Courthouse Renovation and Reorganization Project will further the Family Court renovations plus upgrade and modernize the nearly 35-year-old Moultrie Courthouse to provide more efficient space for the Superior Court and Court System divisions. This project will meet the current and projected needs of the District of Columbia Courts, as described in the District of Columbia Courts Facilities Master Plan, while keeping the Courts fully operational and minimally disturbed while construction takes place in the Moultrie Courthouse. Renovation and reorganization of the interior of the Moultrie Courthouse is necessary to shift operations to vacate some of the space required to fully consolidate the Family Court within Moultrie and to upgrade and make efficient use of existing space as envisioned in the Facilities Master Plan.

The project is coordinated and interdependent with the Moultrie Courthouse Addition and is fully coordinated with the long-range recommendations of the D.C. Courts Facilities Master Plan. This project must be conducted in carefully planned phases to accommodate full Court operations in the Moultrie Courthouse as the construction proceeds.

This project's coordination and completion directly relates to the Courts' establishment of the Family Court. Due to the U.S.M.S. initiative, the Court has had to re-plan the relocation of Social Service Juvenile Intake functions from Building B to the JM Level of the Moultrie Courthouse. The relocation of the remaining Social Services functions needed to complete the Family Court consolidation requirements have been rescheduled for 2017 when the Moultrie Courthouse Addition is complete.

Funding for FY 2014 also includes upgrades in the public circulation and general waiting areas on multiple floors of the H. Carl Moultrie Courthouse, as well as a reconfiguration of the C Street level caused in part by the U.S.M.S. expansion throughout the floor.

In FY 2014, funds will be required for consolidation activities that will include

- Public Circulation and General Waiting Areas, Health & Safety Upgrades
- IT / AV Support and Court-wide Conference Center
- Complete C Street Level Renovations

Renovation and re-organization activities will require coordination with activities included under the HVAC, Electrical & Plumbing Upgrades, Restroom Improvements and Fire and Security budget lines. As the Courts continue to implement the Facilities Master Plan renovations the design and construction process will allow for extensive building system and life safety upgrades. Addressing program re-alignment and building infrastructure simultaneously will minimize operational impacts to the Courts.

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

9.

a) Did the Agency's Executive/Investment Committee approve this request? Yes _X__ No ____

b) Provide the date of the most recent or planned approved project charter. _2005_

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name	
Phone Number	
E-mail	

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. PMP Certified

(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.

(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.

(4) Project manager assigned but qualification

status review has not yet started.

(5) No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s) _____

ii. System acronym _____

iii. Unique Project Identifier (UPI) number _____

a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):

- o computer system security requirement; _____
- o internal control system requirement; _____
- o core financial system requirement according to FSIO standards; _____
- o Federal accounting standard; _____
- o U.S. Government Standard General Ledger at the Transaction Level; _____
- o this is a core financial system, but does not address a FFMIA compliance area; _____
- o Not a core financial system; does not need to comply with FFMIA _____

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user

fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: H. Carl Moultrie Courthouse Renovation & Reorganization

Table 1.B.1: Summary of Funding
(In millions of dollars)
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY–1 and earlier	PY 2012	CY 2013	BY 2014	BY+1 2015	BY+2 2016	BY+3 and beyond	Total unfunded (sum 2014 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	21.09	11.30	0.00	14.00	14.21	12.26	1.17	41.64
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	21.09	11.30	0.00	14.00	14.21	12.26	1.17	41.64
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	21.09	11.30	0.00	14.00	14.21	12.26	1.17	41.64
TOTAL (including FTE costs)	21.09	11.30	0.00	14.00	14.21	12.26	1.17	41.64
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier”	2 years (2011)
3. Insert the number of years covered in column “BY+3 and beyond”	1 year (2017)
4. If the summary of funding has changed from the FY 2013 President’s Budget request, briefly explain those changes:	Partially funded in 2012 and unfunded in 2013, planned projects continue to require funding.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2010-3 Family Court/ Marriage Bureau	2010-7 Public Circulation and General Waiting Areas, Health & Safety Upgrades	2011-1 Domestic Violence Unit Construction
Contract Status	Pre-award Pre-Solicitation	Pre-award Pre-Solicitation	Awarded
Procurement Instrument Identifier (PIID)	TBD	TBD	CPFMD-11-0721
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	TBD	TBD	CPFMD-11-0721
Alternative financing	NA	NA	NA
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	NA	Multiple Contracts/ Contractors	$ 2,791,000
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	No
Effective Date	Quarter 2 FY 2014	Quarter 1 FY 2014	Quarter 3 FY 2011
Actual or expected end date of Contract/Task Order	Quarter 4 FY 2014	Quarter 4 FY 2018	Quarter 2 FY 2013
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D	D	D

Table I.C.1 Contracts Table			
Field	**Contract 4**	**Contract 5**	
Short description of acquisition	2013-1 C Street Level Reconfiguration	2014-1 IT AV Support & Courtside Conference Center	
Contract Status	Pre-award Pre-Solicitation	Pre-award Pre-Solicitation	
Procurement Instrument Identifier (PIID)	TBD	TBD	
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	
Solicitation ID	TBD	TBD	
Alternative financing	NA	NA	
EVM Required	YES, Courts' Standard	YES, Courts' Standard	
Ultimate Contract Value	NA	NA	
Type of Contract/Task Order (Pricing)	Fixed	Fixed	
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	
Effective Date	Quarter 1 FY 2013	Quarter 2 FY 2014	
Actual or expected end date of Contract/Task Order	Quarter 4 FY 2014	Quarter 1 FY 2015	
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D	D	

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	Yes	X	No
b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1	Yes	X	No
c) Was the Acquisition Plan approved in accordance with agency requirements	Yes	X	No
d) If "yes," enter the date of approval?	2011		
e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?	Yes	NA	No
f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?	Yes	NA	No
g) If an Acquisition Plan has not been developed, provide a brief explanation.			

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?	Yes
2. If an Alternatives Analysis was conducted, answer the following questions.	
a) What is the date of the analysis?	May 2009
b) How many alternatives were considered?	Three
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	Yes
d) Briefly summarize the rationale for the selected alternative.	The D.C. Courts are proceeding with the selected alternative, Consolidating the Family Court within the Moultrie Courthouse, because it has the greatest return on investment. An underlying assumption of this alternative includes the use of existing courtrooms and circulation systems within the Moultrie Courthouse. Using and augmenting existing resources has a major cost benefit, made even greater by the high cost of constructing new specialized Court facilities. The consolidation of secure holding facilities within the Moultrie Courthouse for use by the Family Court and the Superior Court is also a benefit of this alternative because it eliminates the duplication of physical space for adult and juvenile detainees that would be needed in two separate facilities and has major operational cost benefits associated with the transport of prisoners.
3. If an Alternatives Analysis was not conducted, provide a brief explanation.	

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?	No
2. If a Risk Management Plan has been developed, answer the following questions.	
a) What is the date of the plan?	

b) Does the plan include a list of risks (yes/no)	
c) Does the plan include the probability of occurrence for each risk (yes/no)?	
d) Does the plan include the impact of each risk (yes/no)?	
e) Does the plan include a mitigation strategy for each risk (yes/no)?	
f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?	
3. If a Risk Management Plan has not been developed, provide a brief explanation.	Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table
   Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.B: The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.	Facilities have not been updated in 35 years.	All public spaces and counter will be ADA compliant. Centrally locate public division functions. Improve all public corridors and facilities.	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.B: The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.	Facilities have not been updated in 35 years.	Consolidate and/or relocate related divisions to improve efficiency and upgrade facilities to current workplace standards.	N/A

Section D: Earned Value Management – Domestic Violence Unit Construction

Table III.D.1:EVM Table

Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	$M		$3.09
Planned Value (PV)	$M		$2.16
Earned Value (EV)	$M		$2.05
Actual Costs (AC)	$M		$1.96
Cost Variance (CV)	$M	CV= EV-AC	$0.1
Cost Variance (CV %)	%	CV% = CV/EV x 100	5%

Cost Performance Index (CPI)	Ratio	CPI = EV / AC	1.05
Schedule Variance (SV)	$M	SV = EV – PV	$-0.1
Schedule Variance (%)	%	SV% = SV / PV x 100	-5%
Schedule Performance Index	Ratio	SPI = EV / PV	1.0
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	$2.95
Variance at Completion (VAC)	$M	VAC = BAC – EAC	$0.14
Variance at Completion (VAC %)	%	VASC% = VAC / BAC	5%
Percent Complete	%	% Complete = EV / BAC x 100	67%
Percent Spent	%	% Spent = AC / BAC x 100	63%
Estimated Completion Date	Date	mm/dd/yy	Quarter 2 FY 2013

1. Explanations
   Schedule extended due to required courtroom use.

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
a)What was the date of the analysis
b)Briefly summarize the results of the analysis
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation This investment does not include O&M activity.

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance

Milestone	Planned		Actual		Variance	
	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	**Date of Approval**

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **Moultrie Courthouse Addition (C Street Expansion)**

5. Unique Project (Investment) Identifier: (For IT investment only, see section *53*.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 2005

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The project goal is to fully consolidate the Family Court and build upon the work completed as part of the John Marshall Level Interim Renovation, and to meet court wide space needs. The Addition will double the number of large criminal courtrooms in the courthouse and accommodate both high profile and multi-defendant trials. This expansion proposes an addition to the Moultrie Courthouse on the south side, facing C Street. This approach builds upon several projects, including the restoration and expansion of the Old D.C. Courthouse, acquisition of Building C, and existing building renovations. The project is coordinated and interdependent with the Moultrie Courthouse Renovation and Reorganization and is fully coordinated with the long-range recommendations of the D.C. Courts Facilities Master Plan. This project must be conducted in carefully planned phases to accommodate full court operations in the Moultrie Courthouse as the construction proceeds.

To complete the full consolidation required, the D.C. Courts propose expansion of the Moultrie Courthouse. In May 2009, the D.C. Courts completed their Facilities Master Plan Update documenting system-wide space needs and addressing alternatives for meeting these needs.

The creation of additional space provided by the Moultrie Courthouse Addition has become an absolute requirement due to the mandated transfer of space in the Moultrie Courthouse from the D.C. Courts to the U.S. Marshals Service for their administrative functions. In addition to replacing space lost from this transfer, additional space is needed to meet space requirements documented in the Master Plan for Facilities. Furthermore, it will aid in offsetting the future loss of leased space at Gallery Place. The Moultrie Courthouse Addition will increase the number of trial courtrooms,

chambers and general office space. It would also further Family Court Consolidation by allowing Social Services Division Juvenile Probation functions that are currently in Building B to be relocated into the Moultrie Courthouse with the Family Court. The Moultrie Courthouse Addition will require coordination with activities included under the Moultrie Courthouse Renovation and Reorganization budget line.

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

9.

a) Did the Agency's Executive/Investment Committee approve this request? Yes _X__ No ____

b) Provide the date of the most recent or planned approved project charter. _2003_

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name	
Phone Number	
E-mail	

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
(4) Project manager assigned but qualification status review has not yet started.
(5) No project manager has yet been assigned to this investment.

PMP Certified

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s) _____
ii. System acronym _____
iii. Unique Project Identifier (UPI) number _____

a) If this investment is a financial management system AND the investment is part of the core financial system then _____

select the primary FFMIA compliance area that this investment addresses (choose only one):

- o computer system security requirement;
- o internal control system requirement;
- o core financial system requirement according to FSIO standards;
- o Federal accounting standard;
- o U.S. Government Standard General Ledger at the Transaction Level;
- o this is a core financial system, but does not address a FFMIA compliance area;
- o Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Moultrie Courthouse Addition

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY–1 and earlier	**PY 2012**	**CY 2013**	**BY 2014**	**BY+1 2015**	**BY+2 2016**	**BY+3 and beyond**	**Total unfunded (sum 2014 –beyond)**
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	3.00	18.00	5.54	61.91	45.54	9.00	0.00	116.46
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	3.00	18.00	5.54	61.91	45.54	9.00	0.00	116.46
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	3.00	18.00	5.54	61.91	45.54	9.00	0.00	116.46
TOTAL (including FTE costs)	3.00	18.00	5.54	61.91	45.54	9.00	0.00	116.46
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier"	2 (2010 and 2011)
3. Insert the number of years covered in column "BY+3 and beyond"	0
4. If the summary of funding has changed from the FY 2013 President's Budget request, briefly explain those changes:	No Change

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2009-Pre-Design	2010-Design	2010-Construction
Contract Status	Awarded	In Solicitation	Pre-award Pre-Solicitation
Procurement Instrument Identifier (PIID)	CPFMD-10-0527	TBD	TBD
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	CPFMD-10-0527	TBD	TBD
Alternative financing	No	No	No
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	$2.7 M	NA	NA
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	Yes	Yes	No
Effective Date	Quarter 1 FY 2010	Quarter 4 FY 2012	Quarter 2 FY 2014
Actual or expected end date of Contract/Task Order	Complete Quarter 4 2012	Quarter 4 FY 2013	Quarter 4 FY 2017
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	E	D	A

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	Yes	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	Yes	NA	No

13514? g) If an Acquisition Plan has not been developed, provide a brief explanation.	

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?	Yes, in the D.C. Courts Master Plan for Facilities 2002 and updated in 2009
2. If an Alternatives Analysis was conducted, answer the following questions.	
a) What is the date of the analysis?	May 2009
b) How many alternatives were considered?	Three
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	Yes
d) Briefly summarize the rationale for the selected alternative.	Consolidating the Family Court within the Moultrie Courthouse – The D.C. Courts are proceeding with this alternative because it has the greatest quantitative as well as qualitative return on investment. An underlying assumption of this alternative includes the use of existing courtrooms and circulation systems within the Moultrie Courthouse.
3. If an Alternatives Analysis was not conducted, provide a brief explanation.	

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?	No
2. If a Risk Management Plan has been developed, answer the following questions.	
a) What is the date of the plan?	
b) Does the plan include a list of risks (yes/no)	

c) Does the plan include the probability of occurrence for each risk (yes/no)?

d) Does the plan include the impact of each risk (yes/no)?

e) Does the plan include a mitigation strategy for each risk (yes/no)?

f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?

3. If a Risk Management Plan has not been developed, provide a brief explanation.

Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

2. Performance Information Table
   Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 1.B: The D.C. Courts will manage and resolve cases in a timely and efficient manner.	Facilities have not been updated in 35 years.	Six additional criminal courtrooms	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.B: The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.	Facilities underserviced	Complying with current building code.	
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.B: The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.	Facilities have not been updated in 35 years.	Six additional criminal courtrooms	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.A: The D.C. Courts will use technology to enhance case management and information sharing.	Facilities have late 1970's technology	Improved judicial control of technologies in the courtroom	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.C: The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.	Grade level air intake	Roof level air intake	N/A
2013-2017 Strategic Plan of	Goal 4.C: The D.C. Courts will provide a	NA	LEED Certification for the Addition	N/A

the D.C. Courts	safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.			
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.C: The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.	Existing courthouse not designed for progressive collapse prevention.	Structure of the addition will be designed to prevent progressive structural collapse.	N/A

Section D: Earned Value Management (Pre-Design)

Table III.D.1:EVM Table			
Performance Measure	**Units**	**Formula**	**Status**
Budget at Completion (BA)	$M		$ 3.00
Planned Value (PV)	$M		$ 3.00
Earned Value (EV)	$M		$ 2.70
Actual Costs (AC)	$M		$ 2.25
Cost Variance (CV)	$M	CV= EV-AC	0.5
Cost Variance (CV %)	%	CV% = CV/EV x 100	17%
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	1.20
Schedule Variance (SV)	$M	SV = EV – PV	$ (0.30)
Schedule Variance (%)	%	SV% = SV / PV x 100	-10%
Schedule Performance Index	Ratio	SPI = EV / PV	0.9
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	$ 2.50
Variance at Completion (VAC)	$M	VAC = BAC – EAC	$ 0.50
Variance at Completion (VAC %)	%	VASC% = VAC / BAC	17%
Percent Complete	%	% Complete = EV / BAC x 100	90%
Percent Spent	%	% Spent = AC / BAC x 100	75%
Estimated Completion Date	Date	mm/dd/yy	June 30, 2012

2. Explanations

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the

investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months?	No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:	
a)What was the date of the analysis	
b)Briefly summarize the results of the analysis	
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation	This investment does not include O&M activity.

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance

Milestone	Planned		Actual		Variance	
	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

2. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders

Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **Building A Modernization (515 5th Street)**

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 FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 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? 2003

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 project is fully coordinated with the long-range recommendations of the D.C. Courts Facilities Master Plan and the Judiciary Square Master Plan. The Building A interior renovation, which was necessary to clear space in the Moultrie Courthouse for the Family Court, was complete and occupied in July 2007 on time and within budget. The Building A exterior renovation including masonry restoration, masonry cleaning, refurbishment of the existing windows to improve energy efficiency, replacement of all doors and entry modifications to provide ADA accessibility, improved lighting and upgrade of the security perimeter and lead abatement was completed in 2010.

Due to lack of funding in FY 2013, Building A (515 5th Street) projects were deferred. In FY 2014, following the 2012 relocation of Multi-Door Dispute Resolution Division to 410 E Street (Building C), space in Building A will be configured to accommodate expansion of the Probate Division and the Crime Victims Compensation Program and relocation of the Office of the Auditor Master from leased space in 2015.

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

9.
a) Did the Agency's Executive/Investment Committee approve this request? Yes _X__ No ____
b) Provide the date of the most recent or planned approved project charter. _2003_

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name	
Phone Number	
E-mail	

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)	
ii. System acronym	
iii. Unique Project Identifier (UPI) number	
a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):	
o computer system security requirement;	
o internal control system requirement;	
o core financial system requirement according to FSIO standards;	
o Federal accounting standard;	
o U.S. Government Standard General Ledger at	

the Transaction Level;
o this is a core financial system, but does not address a FFMIA compliance area;
o Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Building A Modernization

Table 1.B.1: Summary of Funding
(In millions of dollars)
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY–1 and earlier	PY 2012	CY 2013	BY 2014	BY+1 2015	BY+2 2016	BY+3 and beyond	Total unfunded (sum 2014 –beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	19.91	0.00	0.00	2.10	0.00	0.00	0.00	2.10
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	19.91	0.00	0.00	2.10	0.00	0.00	0.00	2.10
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):	19.91	0.00	0.00	2.10	0.00	0.00	0.00	2.10
TOTAL (including FTE costs)	19.91	0.00	0.00	2.10	0.00	0.00	0.00	2.10
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier"	7 years (2005)
3. Insert the number of years covered in column "BY+3 and beyond"	1 year (2017)
4. If the summary of funding has changed from the FY 2013 President's Budget request, briefly explain those changes:	No Change.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table			
Field	**Contract 1**	**Contract 2**	**Contract 3**
Short description of acquisition	2011-01 Building A Reorganization		
Contract Status	Pre-award Pre-Solicitation		
Procurement Instrument Identifier (PIID)	TBD		
Indefinite Delivery Vehicle (IDV) Reference ID	NA		
Solicitation ID	TBD		
Alternative financing	NA		
EVM Required	YES, Courts' Standard		
Ultimate Contract Value	NA		
Type of Contract/Task Order (Pricing)	Fixed		
Is this contract a Performance Based	No		

Service Acquisition (PBSA)?			
Effective Date	Quarter 2 FY 2014		
Actual or expected end date of Contract/Task Order	Quarter 2 FY 2015		
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D		

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	Yes	X	No
b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1	Yes	X	No
c) Was the Acquisition Plan approved in accordance with agency requirements	Yes	X	No
d) If "yes," enter the date of approval?	2011		
e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?	Yes	NA	No
f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?	Yes	NA	No
g) If an Acquisition Plan has not been developed, provide a brief explanation.			

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?	Yes
2. If an Alternatives Analysis was conducted,	

answer the following questions.	
a) What is the date of the analysis?	
b) How many alternatives were considered?	Two
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	Yes
d) Briefly summarize the rationale for the selected alternative.	Building A re-organization was selected to align with the ongoing Master Plan implementation.
3. If an Alternatives Analysis was not conducted, provide a brief explanation.	

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?	No
2. If a Risk Management Plan has been developed, answer the following questions.	
a) What is the date of the plan?	
b) Does the plan include a list of risks (yes/no)	
c) Does the plan include the probability of occurrence for each risk (yes/no)?	
d) Does the plan include the impact of each risk (yes/no)?	
e) Does the plan include a mitigation strategy for each risk (yes/no)?	
f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?	
3. If a Risk Management Plan has not been developed, provide a brief explanation.	Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

3. Performance Information Table
   Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.B: The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.	Probate Division, Crime Victims Compensation and Bar Counsel are undersized for their program requirements.	Probate Division, Crime Victims Compensation and Bar Counsel to be re-organized and expanded.	N/A
2013-2017 Strategic Plan of the D.C.	Goal 4.B: The D.C. Courts will ensure	The Office of the Auditor Master is	The Office of the Auditor Master will	N/A

Courts	that facilities are accessible and support efficient and effective operations.	currently in leased space.	be relocated into Building A from leased space.	

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	**Units**	**Formula**	**Status**
Budget at Completion (BA)	$M		
Planned Value (PV)	$M		
Earned Value (EV)	$M		
Actual Costs (AC)	$M		
Cost Variance (CV)	$M	CV= EV-AC	
Cost Variance (CV %)	%	CV% = CV/EV x 100	
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	
Schedule Variance (SV)	$M	SV = EV – PV	
Schedule Variance (%)	%	SV% = SV / PV x 100	
Schedule Performance Index	Ratio	SPI = EV / PV	
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	
Variance at Completion (VAC)	$M	VAC = BAC – EAC	
Variance at Completion (VAC %)	%	VASC% = VAC / BAC	
Percent Complete	%	% Complete = EV / BAC x 100	
Percent Spent	%	% Spent = AC / BAC x 100	
Estimated Completion Date	Date	mm/dd/yy	

3. Explanations

_____

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
a)What was the date of the analysis
b)Briefly summarize the results of the analysis
3. If an Operational Analysis has not been

performed within the last 18 months, provide a brief explanation	This investment does not include O&M activity.

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
	Planned		Actual		Variance	
Milestone	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

3. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **Building B Modernization (510 4th Street)**

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 FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 2007

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Building B Modernization Project is a long-term project that includes three phases of work. Phases I and II are complete.

Due to lack of funding in FY 2013, Building B (510 4th Street) projects were deferred. FY 2014 funding will be directed to a transitional project allowing the Civil Division to efficiently meet program requirements and serve self-represented litigants.

Phase III scheduled to commence in 2017 will address final occupancy fit out and relocation of Budget and Finance, Administrative Services Division, Capital Projects and Facilities Management from leased swing space. These renovations respond to the Family Court Act of 2001, and are fully coordinated with the long-range recommendations of the D.C. Courts' Facilities Master Plan.

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

9.
a) Did the Agency's Executive/Investment Committee approve this request? Yes __X__ No ____
b) Provide the date of the most recent or planned approved project charter. _2006_

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name	
Phone Number	
E-mail	

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)	
ii. System acronym	
iii. Unique Project Identifier (UPI) number	
a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):	
o computer system security requirement;	
o internal control system requirement;	
o core financial system requirement according to FSIO standards;	
o Federal accounting standard;	
o U.S. Government Standard General Ledger at the Transaction Level;	
o this is a core financial system,	

but does not address
a FFMIA compliance area;
o Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Building B Modernization

Table 1.B.1: Summary of Funding
(In millions of dollars)
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY–1 and earlier	PY 2012	CY 2013	BY 2014	BY+1 2015	BY+2 2016	BY+3 and beyond	Total unfunded (sum 2014 –beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.99	0.00	0.00	1.25	0.00	0.18	8.72	10.15
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.99	0.00	0.00	1.25	0.00	0.18	8.72	10.15
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.99	0.00	0.00	1.25	0.00	0.18	8.72	10.15
TOTAL (including FTE costs)	0.99	0.00	0.00	1.25	0.00	0.18	8.72	10.15
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier"	9 years (2003)
3. Insert the number of years covered in column "BY+3 and beyond"	1 year (2017)
4. If the summary of funding has changed from the FY 2013 President's Budget request, briefly explain those changes:	No Change.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2011-1 Building B Phase III	2013-1 Transitional Phase – Pro Se & Civil Division	
Contract Status	3) Pre-award Pre-solicitation	(3) Pre-award Pre-solicitation	
Procurement Instrument Identifier (PIID)	TBD	TBD	
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	
Solicitation ID			
Alternative financing	No	No	
EVM Required	YES, Courts' Standard	YES, Courts' Standard	
Ultimate Contract Value	NA	NA	
Type of Contract/Task Order (Pricing)	Fixed	Fixed	
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	

Effective Date	Quarter 1, FY 2017	Quarter 2, FY 2014	
Actual or expected end date of Contract/Task Order	Quarter 4, FY 2018	Quarter 1, FY 2015	
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	A	A	

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	Yes	X	No
b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1	Yes	X	No
c) Was the Acquisition Plan approved in accordance with agency requirements	Yes	X	No
d) If "yes," enter the date of approval?	2011		
e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?	Yes	NA	No
f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?	Yes	NA	No
g) If an Acquisition Plan has not been developed, provide a brief explanation.			

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?	Yes, D.C. Courts Master Plan for Facilities
2. If an Alternatives Analysis was conducted, answer the following questions.	

a) What is the date of the analysis?	May, 2009
b) How many alternatives were considered?	Two
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	Yes
d) Briefly summarize the rationale for the selected alternative.	Building B re-organization was selected to align with the ongoing Master Plan implementation.
3. If an Alternatives Analysis was not conducted, provide a brief explanation.	

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?	No
2. If a Risk Management Plan has been developed, answer the following questions.	
a) What is the date of the plan?	
b) Does the plan include a list of risks (yes/no)	
c) Does the plan include the probability of occurrence for each risk (yes/no)?	
d) Does the plan include the impact of each risk (yes/no)?	
e) Does the plan include a mitigation strategy for each risk (yes/no)?	
f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?	
3. If a Risk Management Plan has not been developed, provide a brief explanation.	Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

4. Performance Information Table
   Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.C: The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.	Budget and Finance, Administrative Services Division, Education & Training are currently in leased swing space.	Relocation of Budget and Finance, Administrative Services Division, Education & Training to Court's space.	NA

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	**Units**	**Formula**	**Status**
Budget at Completion (BA)	$M		
Planned Value (PV)	$M		
Earned Value (EV)	$M		
Actual Costs (AC)	$M		
Cost Variance (CV)	$M	CV= EV-AC	
Cost Variance (CV %)	%	CV% = CV/EV x 100	
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	
Schedule Variance (SV)	$M	SV = EV – PV	
Schedule Variance (%)	%	SV% = SV / PV x 100	
Schedule Performance Index	Ratio	SPI = EV / PV	
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	
Variance at Completion (VAC)	$M	VAC = BAC – EAC	
Variance at Completion (VAC %)	%	VASC% = VAC / BAC	
Percent Complete	%	% Complete = EV / BAC x 100	
Percent Spent	%	% Spent = AC / BAC x 100	
Estimated Completion Date	Date	mm/dd/yy	

4. Explanations

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months?	No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:	
a)What was the date of the analysis	
b)Briefly summarize the results of the analysis	
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation	The D.C. Courts are developing solicitation documents for an Operational Analysis.

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3.

Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
	Planned		Actual		Variance	
Milestone	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

4. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **Courtrooms and Judges Chambers**

5. Unique Project (Investment) Identifier: (For IT investment only, see section *53*.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 1999

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

Past funding for the Courtroom and Chambers projects were directed to John Marshall Level and Second Level hearing rooms, renovation of three large courtrooms and the creation of a new criminal/civil courtroom, renovation of nine senior judges chambers, and the creation of five new associate judge's chambers.

Due to lack of funding in 2013 this project was deferred. FY 2014 funding for the courtroom and chambers projects will include replacement of courtroom seating that has far exceeded its useful life. Since the renovation of existing courtrooms will continue into 2020 the requested funding for seating will allow courtrooms scheduled for out year renovation to continue to function until fully renovated.

Future budget years will include the following: (1) Renovate senior judge's chambers that meet current ADA and Court's standards, (2) Renovate hearing/courtrooms, including architectural modifications to accommodate technology, such as additional space for computers, printers and staff, and power upgrades to support the aforementioned, (3) Install new fire sprinkler system in courtrooms, (4) Replace courtroom finishes that have far exceeded their useful life, (5) Upgrade chambers, including installation of standardized furniture systems, ADA restroom upgrades, and installation of fire sprinkler system.

Courtroom and Chamber activities will require coordination with activities included under HVAC, Electrical & Plumbing Upgrades and Fire and Security Alarm Systems budget lines. As the Courts continue to implement the Facilities Master Plan renovations the design and construction process will

allow for extensive building system and life safety upgrades. Addressing courtroom upgrades and building infrastructure simultaneously will minimize operational impacts to the Courts.

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

9.

a) Did the Agency's Executive/Investment Committee approve this request? Yes _X__ No ____

b) Provide the date of the most recent or planned approved project charter. _1999_

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name	
Phone Number	
E-mail	

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s) _____

ii. System acronym _____

iii. Unique Project Identifier (UPI) number _____

a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):

o computer system security

requirement;
o internal control system requirement;
o core financial system requirement according to FSIO standards;
o Federal accounting standard;
o U.S. Government Standard General Ledger at the Transaction Level;
o this is a core financial system, but does not address a FFMIA compliance area;
o Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Courtrooms and Judges Chambers

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 2012**	**CY 2013**	**BY 2014**	**BY+1 2015**	**BY+2 2016**	**BY+3 and beyond**	**Total unfunded (sum 2014 –beyond)**
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	30.94	8.60	0.00	1.80	10.51	15.78	84.19	112.28
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	30.94	8.60	0.00	1.80	10.51	15.78	84.19	112.28
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):	30.94	8.60	0.00	1.80	10.51	15.78	84.19	112.28
TOTAL (including FTE costs)	30.94	8.60	0.00	1.80	10.51	15.78	84.19	112.28
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier"	13 years (1999)
3. Insert the number of years covered in column "BY+3 and beyond"	5 years (2021)
4. If the summary of funding has changed from the FY 2013 President's Budget request, briefly explain those changes:	No Change.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2010-1 Chamber Renovations	2010-2 Courtroom Renovations, Second Floor	2011-1 New Courtrooms
Contract Status	Pre-award Pre-Solicitation	Awarded	Pre-award Pre-Solicitation
Procurement Instrument Identifier (PIID)	TBD	CPFMD 11-0601	TBD
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	TBD	CPFMD 11-0601	TBD
Alternative financing	NA	NA	NA
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	NA	$1.02 M	NA
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	No
Effective Date	Quarter 2 FY 2014	Quarter 4 FY 2011	Quarter 1 FY 2013
Actual or expected end date of Contract/Task Order	Quarter 1 FY 2021	Quarter 2 FY 2012	Quarter 3 FY 2015
Extent Competed A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D	D	D

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	Yes	X	No
b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1	Yes	X	No
c) Was the Acquisition Plan approved in accordance with agency requirements	Yes	X	No
d) If "yes," enter the date of approval?	2011		
e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?	Yes	NA	No
f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?	Yes	NA	No

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

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?	Yes, D.C. Courts Master Plan for Facilities
2. If an Alternatives Analysis was conducted, answer the following questions.	
a) What is the date of the analysis?	May, 2009
b) How many alternatives were considered?	Three
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	Yes
d) Briefly summarize the rationale for the selected alternative.	The planned Courtroom and Chambers Project was selected to align with the ongoing Master Plan implementation.
3. If an Alternatives Analysis was not conducted, provide a brief explanation.	

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?	No
2. If a Risk Management Plan has been developed, answer the following questions.	
a) What is the date of the plan?	
b) Does the plan include a list of risks (yes/no)	
c) Does the plan include the probability of occurrence for each risk (yes/no)?	
d) Does the plan include the impact of each risk (yes/no)?	
e) Does the plan include a mitigation strategy for each risk (yes/no)?	

f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?

3. If a Risk Management Plan has not been developed, provide a brief explanation.

Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table
   Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.C: The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.	1. Existing Chambers and secure corridors have had no major renovation in 15 years. 2. Existing courtrooms have had no major electrical upgrades and improvements to public spectator areas. 3. Public is underserved due to shortage of courtrooms.	1. Create and renovate chambers per Master Plan realignment. 2. Renovate courtrooms per Master Plan realignment. 3. Create new courtrooms per Master Plan realignment.	1. Design in process. 2. Design in process. 3. Design in process.

Section D: Earned Value Management – Second Floor Hearing Rooms

Table III.D.1:EVM Table

Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	$M		$1.18 M
Planned Value (PV)	$M		$1.18 M
Earned Value (EV)	$M		$1.18 M
Actual Costs (AC)	$M		$1.02M
Cost Variance (CV)	$M	CV= EV-AC	$ .16 M
Cost Variance (CV %)	%	CV% = CV/EV x 100	13.5%
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	1.15
Schedule Variance (SV)	$M	SV = EV – PV	$ 0 M
Schedule Variance (%)	%	SV% = SV / PV x 100	0%
Schedule Performance Index	Ratio	SPI = EV / PV	1
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	$1.02M
Variance at Completion (VAC)	$M	VAC = BAC – EAC	$ .16 M

Variance at Completion (VAC %)	%	VASC% = VAC / BAC	13.5%
Percent Complete	%	% Complete = EV / BAC x 100	100%
Percent Spent	%	% Spent = AC / BAC x 100	86%
Estimated Completion Date	Date	mm/dd/yy	Quarter 2 FY 2012

5. Explanations

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? No

2. If an Operational Analysis was performed within the last 18 months, answer the following questions:

a)What was the date of the analysis

b)Briefly summarize the results of the analysis

3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation This investment does not include O&M activity.

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance

Milestone	Planned		Actual		Variance	
	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

5. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders

Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **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 FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 2007

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The location of many high profile buildings within and around Judiciary Square required a comprehensive physical security plan, which serves to protect both the occupants and the users of court buildings and the Courts' property. This project will integrate new security features into landscaped property surrounding Judiciary Square to provide the greatest standoff distances between vehicles at the curb and building facades. Per the recommendation of the U.S. Marshals Service, the D.C. Courts, in connection with the U.S. Court of Appeals for the Armed Forces, are planning to implement an integrated security camera system throughout Judiciary Square. These security features will, to the greatest extent possible, meet current U.S.M.S. standards and preserve the open landscape treatment of Judiciary Square. The project includes perimeter security for Judiciary Square (bounded by 4th and 5th Streets, Indiana Avenue and F Street), new lighting and street furnishings. It will also include new exterior signage to direct people to various Court buildings including the Moultrie Courthouse, the Historic Courthouse and Buildings A, B & C.

In FY 2013, the Courts plan to construct a secure mail screening facility to replace the current practice of screening 1.8 million pieces of incoming mail each year at public entrances used by 10,000 people each day.

The number of people who would benefit from Campus Security, Lighting and Signage in Judiciary Square is enormous. These include residents and visitors in the District of Columbia and all those involved in proceedings in the District of Columbia Courts, including the public, judicial officers, court staff, all those using the open space of Judiciary Square, and all those using the Judiciary Square Metro Station at the center of Judiciary Square. The Judiciary Square Master Plan has been approved

by the National Capital Planning Commission and been coordinated with the U.S. Commission of Fine Arts and the District Department of Transportation.

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

9. .

a) Did the Agency's Executive/Investment Committee approve this request? Yes _X__ No ____

b) Provide the date of the most recent or planned approved project charter. _2007_

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name	
Phone Number	
E-mail	

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)	
ii. System acronym	
iii. Unique Project Identifier (UPI) number	
a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):	

o computer system security requirement;
o internal control system requirement;
o core financial system requirement according to FSIO standards;
o Federal accounting standard;
o U.S. Government Standard General Ledger at the Transaction Level;
o this is a core financial system, but does not address a FFMIA compliance area;
o Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: 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 2012**	**CY 2013**	**BY 2014**	**BY+1 2015**	**BY+2 2016**	**BY+3 and beyond**	**Total unfunded (sum 2014 –beyond)**
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	4.00	0.00	4.80	20.15	10.30	0.00	0.00	25.65
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	4.00	0.00	4.80	20.15	10.30	0.00	0.00	25.65
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):	4.00	0.00	4.80	20.15	10.30	0.00	0.00	25.65
TOTAL (including FTE costs)	4.00	0.00	4.80	20.15	10.30	0.00	0.00	25.65
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier"	3 years (2009)
3. Insert the number of years covered in column "BY+3 and beyond"	1 year (2017)
4. If the summary of funding has changed from the FY 2013 President's Budget request, briefly explain those changes:	No Change.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2010-2 E Street Corridor	2010-3 Campus-wide Visual Security	2013-1 Perimeter Security North of E Street
Contract Status (1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation	Pre-award Pre-Solicitation	Pre-award Pre-Solicitation	Pre-award Pre-Solicitation
Procurement Instrument Identifier (PIID)	TBD	TBD	TBD
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	TBD	TBD	TBD
Alternative financing	NA	NA	NA
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	NA	NA	NA
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	No
Effective Date	Quarter 1 FY 2014	Quarter 1 FY 2014	Quarter 1 FY 2014
Actual or expected end date of Contract/Task Order	Quarter 1 FY 2015	Quarter 1 FY 2015	Quarter 1 FY 2015
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	A	D & E	A

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	Yes	X	No
b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1	Yes	X	No
c) Was the Acquisition Plan approved in accordance with agency requirements	Yes	X	No
d) If "yes," enter the date of approval?	2011		
e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?	Yes	NA	No

f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?	Yes NA No
g) If an Acquisition Plan has not been developed, provide a brief explanation.	

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?	Yes, Judiciary Square Master Plan
2. If an Alternatives Analysis was conducted, answer the following questions.	
a) What is the date of the analysis?	July, 2005
b) How many alternatives were considered?	Two
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	Yes
d) Briefly summarize the rationale for the selected alternative.	Implement improvements through an integrated project that includes security, lighting, signage and landscape. This is the most cost effective alternative-coordinated improvements eliminate duplication of efforts.
3. If an Alternatives Analysis was not conducted, provide a brief explanation.	

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?	No
2. If a Risk Management Plan has been developed, answer the following questions.	
a) What is the date of the plan?	
b) Does the plan include a list of risks (yes/no)	
c) Does the plan include the probability of occurrence for each risk (yes/no)?	

d) Does the plan include the impact of each risk (yes/no)?	
e) Does the plan include a mitigation strategy for each risk (yes/no)?	
f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?	
3. If a Risk Management Plan has not been developed, provide a brief explanation.	Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table
   Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.B: The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.	Judiciary Square has minimal perimeter security. Existing campus signage does not adequately reflect current court program changes. Current lighting is inadequate for the safety of court personnel and participants as they move between Court buildings.	Install NCPC approved campus security, signage, and lighting.	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.C: The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.	Judiciary Square has minimal perimeter security. Existing campus signage does not adequately reflect current court program changes. Current lighting is inadequate for the safety of court personnel and participants as they move between Court buildings.	Install NCPC approved campus security, signage, and lighting.	N/A

Section D: Earned Value Management

Table III.D.1:EVM Table

Performance Measure	Units	Formula	Status
Budget at Completion (BA)	$M		
Planned Value (PV)	$M		
Earned Value (EV)	$M		
Actual Costs (AC)	$M		
Cost Variance (CV)	$M	CV= EV-AC	

Cost Variance (CV %)	%	CV% = CV/EV x 100	
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	
Schedule Variance (SV)	$M	SV = EV – PV	
Schedule Variance (%)	%	SV% = SV / PV x 100	
Schedule Performance Index	Ratio	SPI = EV / PV	
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	
Variance at Completion (VAC)	$M	VAC = BAC – EAC	
Variance at Completion (VAC %)	%	VASC% = VAC / BAC	
Percent Complete	%	% Complete = EV / BAC x 100	
Percent Spent	%	% Spent = AC / BAC x 100	
Estimated Completion Date	Date	mm/dd/yy	

6. Explanations

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? No

2. If an Operational Analysis was performed within the last 18 months, answer the following questions:

a)What was the date of the analysis

b)Briefly summarize the results of the analysis

3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation This investment does not include O&M activity.

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance

Milestone	Planned		Actual		Variance	
	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	**Date of Approval**

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **HVAC, Electrical and Plumbing Upgrades**

5. Unique Project (Investment) Identifier: (For IT investment only, see section *53*.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 1999

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The HVAC, electrical, and plumbing upgrade project will ensure that health and safety concerns for the public and the Courts' personnel are addressed in all of the Courts' buildings and will enable the Courts to make much needed heating, ventilation, air conditioning, mechanical, plumbing and electrical improvements. Analysis of the condition of the Courts' HVAC, electrical and plumbing systems indicated that it was imperative that this ongoing project be continued to eliminate identified safety and health hazards and restore adequate lighting and ventilation in the Courts' buildings. Frequent breakdowns of the aging systems negatively impact Court operations and employee productivity and morale. Recent funding has been directed to:

- Installation of stairwell pressurization system
- Fire protection sprinklers for approximately 35% of the H. Carl Moultrie Courthouse
- New electrical switchgear and emergency generators
- New Building Energy Management System for campus buildings.

Updating its inefficient, outdated infrastructure continues to be an important and ongoing project for the Courts. The D.C. Courts continue to address life safety and power distribution shortcomings identified in a Power Distribution Study in February 2007. The Courts' FY 2014 request includes the following HVAC, electrical and plumbing upgrades:

- Continue the replacement of power distribution systems and panel boards per the electrical distribution study

- Create new electrical distribution rooms on each floor to meet current codes
- Continue to upgrade the HVAC systems in the Moultrie Courthouse. Ductwork and VAV changes will be needed to properly distribute air within the Courthouse
- 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
- Upgrade Moultrie Courthouse garage systems for energy efficiency.

HVAC, Electrical and Plumbing Upgrade activities will require coordination with activities included under the Renovation and Reorganization and Courtroom and Chambers budget lines. As the Courts continue to implement the Facilities Master Plan renovations the design and construction process will allow for extensive building system and life safety upgrades. Addressing program re-alignment and building infrastructure simultaneously will minimize operational impacts to the Courts.

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

9.

a) Did the Agency's Executive/Investment Committee approve this request? Yes _X__ No ____

b) Provide the date of the most recent or planned approved project charter. _1999_

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name	
Phone Number	
E-mail	

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)
ii. System acronym
iii. Unique Project Identifier (UPI) number

a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):

o computer system security requirement;
o internal control system requirement;
o core financial system requirement according to FSIO standards;
o Federal accounting standard;
o U.S. Government Standard General Ledger at the Transaction Level;
o this is a core financial system, but does not address a FFMIA compliance area;
o Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: 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 2012**	**CY 2013**	**BY 2014**	**BY+1 2015**	**BY+2 2016**	**BY+3 and beyond**	**Total unfunded (sum 2014 –beyond)**
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	6.36	1.60	7.15	12.43	7.61	5.77	5.94	31.75
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	6.36	1.60	7.15	12.43	7.61	5.77	5.94	31.75
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):	6.36	1.60	7.15	12.43	7.61	5.77	5.94	31.75
TOTAL (including FTE costs)	6.36	1.60	7.15	12.43	7.61	5.77	5.94	31.75
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier" 1 year (2011)

3. Insert the number of years covered in column "BY+3 and beyond" 1 year (2017)

4. If the summary of funding has changed from the FY 2013 President's Budget request, briefly explain those changes: No Change.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2012-01 Switchgear & Emergency Generator Procurement	2012-02 Moultrie Electrical and Mechanical Upgrade	2014-01 Moultrie Courthouse Garage Systems Upgrade
Contract Status	Awarded	Awarded	Pre-Solicitation, Pre-Award
Procurement Instrument Identifier (PIID)	GS-00P-06-BSD-0393	CBFMD-11-0809	TBD
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	CO 0010072	CBFMD-11-0809	TBD
Alternative financing	No	No	No
EVM Required	No	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	$ 4,363,108	$ 24,968,000	NA
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	Yes	Yes	Yes
Effective Date	Quarter 1 FY 2009	Quarter 1 FY 2012	Quarter 2 FY 2014
Actual or expected end date of Contract/Task Order	Quarter 3 FY 2013	Quarter 3 FY 2013	Quarter 1 FY 2015
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D & E	D	D

Field	Contract 4		
Short description of acquisition	2014-01 Moultrie Courthouse Cooling Towers		
Contract Status	Pre-Solicitation, Pre-Award		
Procurement Instrument Identifier (PIID)	TBD		
Indefinite Delivery Vehicle (IDV) Reference ID	NA		
Solicitation ID	TBD		
Alternative financing	No		
EVM Required	YES, Courts' Standard		
Ultimate Contract Value	NA		
Type of Contract/Task Order (Pricing)	Fixed		
Is this contract a Performance Based Service Acquisition (PBSA)?	Yes		
Effective Date	Quarter 2 FY 2014		
Actual or expected end date of Contract/Task Order	Quarter 4 FY 2014		
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D		

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	Yes	X	No
b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1	Yes	X	No
c) Was the Acquisition Plan approved in accordance with agency requirements	Yes	X	No
d) If "yes," enter the date of approval?	2011		
e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?	Yes	NA	No
f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?	Yes	NA	No
g) If an Acquisition Plan has not been developed, provide a brief explanation.			

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?	No
2. If an Alternatives Analysis was conducted, answer the following questions.	
a) What is the date of the analysis?	
b) How many alternatives were considered?	
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	
d) Briefly summarize the rationale for the selected alternative.	
3. If an Alternatives Analysis was not conducted, provide a brief explanation.	HVAC, Electrical and Plumbing Projects are required to maintain current capital assets and meet life safety and environmental standard.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?	No
2. If a Risk Management Plan has been developed, answer the following questions.	
a) What is the date of the plan?	
b) Does the plan include a list of risks (yes/no)	
c) Does the plan include the probability of occurrence for each risk (yes/no)?	
d) Does the plan include the impact of each risk (yes/no)?	
e) Does the plan include a mitigation strategy for each risk (yes/no)?	
f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?	
3. If a Risk Management Plan has not been developed, provide a brief explanation.	Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

5. Performance Information Table
   Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.C: The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.	Building is currently served by 35 year old switchgear, transformers, etc.	Bring switchgear and main power distribution up to current code requirements	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.B: The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.	Building is currently served by 35 year old switchgear, transformers, etc.	Upgrade emergency generators and distribution systems to meet codes and allow portions of the courthouse to remain functional.	N/A

Section D: Earned Value Management - Moultrie Electrical and Mechanical Upgrade

Table III.D.1:EVM Table

Performance Measure	Units	Formula	Status
Budget at Completion (BA)	$M		$ 24.96
Planned Value (PV)	$M		$ 4.99
Earned Value (EV)	$M		$ 4.83
Actual Costs (AC)	$M		$ 4.83
Cost Variance (CV)	$M	CV= EV-AC	$ 0
Cost Variance (CV %)	%	CV% = CV/EV x 100	0%
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	1
Schedule Variance (SV)	$M	SV = EV – PV	- .16
Schedule Variance (%)	%	SV% = SV / PV x 100	- 3%
Schedule Performance Index	Ratio	SPI = EV / PV	.96
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	$ 24.96
Variance at Completion (VAC)	$M	VAC = BAC – EAC	0
Variance at Completion (VAC %)	%	VASC% = VAC / BAC	0

Percent Complete	%	% Complete = EV / BAC x 100	19%
Percent Spent	%	% Spent = AC / BAC x 100	19%
Estimated Completion Date	Date	mm/dd/yy	Quarter 3 FY 2013

7. Explanations

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months?	No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:	
a)What was the date of the analysis	
b)Briefly summarize the results of the analysis	
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation	Infrastructure improvements are included in the Facilities Master Plan. The D.C. Courts are developing solicitation documents for an Operational Analysis.

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
	Planned		Actual		Variance	
Milestone	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

6. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **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 FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 1999

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The ongoing restroom improvement project will enhance ADA accessibility and rebuild the aging infrastructure of the Courts' restroom facilities by making plumbing, electrical and design improvements. Approximately 15,000 persons use the multiple D.C. Courts' buildings each day, placing heavy use on the restroom facilities, many of which now require rebuilding. This is a steady state project that began in November 1999. Recent project funding will:

- Create new restrooms to increase number of fixtures to replace fixtures lost during ADA upgrades and bring total count up to code;
- Clean ductwork and repair or replace exhaust fan motors, fans, etc. to return exhaust systems to full operation.

The FY 2014 funding request includes:

- Replacement of plumbing fixtures in Building A (515 5th Street), Building B (510 4th Street) and the Moultrie Courthouse.

Restroom Improvement activities will require coordination with activities included under the Renovation and Reorganization budget line. As the Courts continue to implement the Facilities Master Plan, the design and construction process will allow for extensive building system and life safety upgrades. Addressing program re-alignment and building infrastructure simultaneously will minimize operational impacts to the Courts.

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

9.

a) Did the Agency's Executive/Investment Committee approve this request? Yes _X__ No ____

b) Provide the date of the most recent or planned approved project charter. _1999_

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name	
Phone Number	
E-mail	

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)	
ii. System acronym	
iii. Unique Project Identifier (UPI) number	
a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):	
o computer system security requirement;	

o internal control system requirement;
o core financial system requirement according to FSIO standards;
o Federal accounting standard;
o U.S. Government Standard General Ledger at the Transaction Level;
o this is a core financial system, but does not address a FFMIA compliance area;
o Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: 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 2012**	**CY 2013**	**BY 2014**	**BY+1 2015**	**BY+2 2016**	**BY+3 and beyond**	**Total unfunded (sum 2014 –beyond)**
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	1.06	0.00	2.46	1.21	0.40	0.40	0.40	2.41
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	1.06	0.00	2.46	1.21	0.40	0.40	0.40	2.41
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	1.06	0.00	2.46	1.21	0.40	0.40	0.40	2.41
TOTAL (including FTE costs)	1.06	0.00	2.46	1.21	0.40	0.40	0.40	2.41
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier"	1 year (2011)
3. Insert the number of years covered in column "BY+3 and beyond"	1 year (2017)
4. If the summary of funding has changed from the FY 2013 President's Budget request, briefly explain those changes:	No Change.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.
Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2010-01 New Restrooms	2010-02 Exhaust System Repair/Replacement	2014-01 Restroom Improvements
Contract Status	Pre-award Pre-Solicitation	Pre-award Pre-Solicitation	Pre-award Pre-Solicitation
Procurement Instrument Identifier (PIID)	TBD	TBD	TBD
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	TBD	TBD	TBD
Alternative financing	No	No	No
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	NA	NA	NA
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	No
Effective Date	Quarter 3 FY 2013	Quarter 4 FY 2013	Quarter 2 FY 2014
Actual or expected end date of Contract/Task Order	Quarter 2 FY 2014	Quarter 2 FY 2014	Quarter 4 FY 2014
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D	D	D

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	Yes	X	No
b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1	Yes	X	No
c) Was the Acquisition Plan approved in accordance with agency requirements	Yes	X	No
d) If "yes," enter the date of approval?	2011		
e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?	Yes	NA	No
f) Does the acquisition plan meet the requirements of EOs 13423 and	Yes	NA	No

13514?	
g) If an Acquisition Plan has not been developed, provide a brief explanation.	

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?	No
2. If an Alternatives Analysis was conducted, answer the following questions.	
a) What is the date of the analysis?	
b) How many alternatives were considered?	
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	
d) Briefly summarize the rationale for the selected alternative.	
3. If an Alternatives Analysis was not conducted, provide a brief explanation.	Restroom Improvements are required to maintain current capital assets and meet ADA and environmental standards.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?	No
2. If a Risk Management Plan has been developed, answer the following questions.	
a) What is the date of the plan?	
b) Does the plan include a list of risks (yes/no)	
c) Does the plan include the probability of occurrence for each risk (yes/no)?	
d) Does the plan include the impact of each risk (yes/no)?	
e) Does the plan include a mitigation strategy for each risk (yes/no)?	

f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?

3. If a Risk Management Plan has not been developed, provide a brief explanation.

Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

6. Performance Information Table
   Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.B: The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.	Currently functioning with a deficit of fixtures due to ADA renovations and a decrease in fixture count in the Moultrie Courthouse.	New public restrooms on Indiana Avenue Level and the Second Floor to meet plumbing fixture count requirements.	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.C: The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.	Currently functioning with a deficit of fixtures due to ADA renovations and a decrease in fixture count in the Moultrie Courthouse.	New public restrooms on Indiana Avenue Level and the Second Floor to meet plumbing fixture count requirements.	N/A

Section D: Earned Value Management

Table III.D.1:EVM Table

Performance Measure	Units	Formula	Status
Budget at Completion (BA)	$M		
Planned Value (PV)	$M		
Earned Value (EV)	$M		
Actual Costs (AC)	$M		
Cost Variance (CV)	$M	CV= EV-AC	
Cost Variance (CV %)	%	CV% = CV/EV x 100	
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	
Schedule Variance (SV)	$M	SV = EV – PV	
Schedule Variance (%)	%	SV% = SV / PV x 100	
Schedule Performance Index	Ratio	SPI = EV / PV	

Estimate at Completion (EAC)	$M	EAC = BAC / CPI	
Variance at Completion (VAC)	$M	VAC = BAC – EAC	
Variance at Completion (VAC %)	%	VASC% = VAC / BAC	
Percent Complete	%	% Complete = EV / BAC x 100	
Percent Spent	%	% Spent = AC / BAC x 100	
Estimated Completion Date	Date	mm/dd/yy	

8. Explanations _____

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months?	No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:	
a)What was the date of the analysis	
b)Briefly summarize the results of the analysis	
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation	Infrastructure improvements are included in the Facilities Master Plan. The D.C. Courts are developing solicitation documents for an Operational Analysis.

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance

Milestone	Planned		Actual		Variance	
	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

7. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders

Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **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 FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 1999

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Fire and Security Alarm System project is the phased implementation of a comprehensive upgrade to security within Court buildings. In FY 2014 the project will include the following:

- Continuation of the installation of the sprinkler system mains through the ceilings of the public corridors to feed future sprinkler installations in courtrooms, chambers, and other areas.
- Upgrading the fire alarm system to monitor the valves and flow switches in the expanded sprinkler system.
- Installation of new duress and monitoring security equipment in new and upgraded courtrooms and chambers.

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

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

a) Did the Agency's Executive/Investment Committee approve this request? Yes __X__ No ____

b) Provide the date of the most recent or planned approved project charter. 2004

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name	
Phone Number	
E-mail	

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)	
ii. System acronym	
iii. Unique Project Identifier (UPI) number	
a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):	
o computer system security requirement;	
o internal control system requirement;	
o core financial system requirement according to FSIO standards;	
o Federal accounting standard;	

o U.S. Government Standard General Ledger at the Transaction Level;	
o this is a core financial system, but does not address a FFMIA compliance area;	
o Not a core financial system; does not need to comply with FFMIA	

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Fire and Security Alarm Systems

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY–1 and earlier	**PY 2012**	**CY 2013**	**BY 2014**	**BY+1 2015**	**BY+2 2016**	**BY+3 and beyond**	**Total unfunded (sum 2014 –beyond)**
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	2.39	1.30	1.29	2.01	2.70	2.50	1.60	8.81
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	2.39	1.30	1.29	2.01	2.70	2.50	1.60	8.81
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	2.39	1.30	1.29	2.01	2.70	2.50	1.60	8.81
TOTAL (including FTE costs)	2.39	1.30	1.29	2.01	2.70	2.50	1.60	8.81
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier"	1 year (2011)
3. Insert the number of years covered in column "BY+3 and beyond"	1 year (2017)
4. If the summary of funding has changed from the FY 2013 President's Budget request, briefly explain those changes:	No Change.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition			
Contract Status			
Procurement Instrument Identifier (PIID)			
Indefinite Delivery Vehicle (IDV) Reference ID			
Solicitation ID			
Alternative financing			
EVM Required			
Ultimate Contract Value			
Type of Contract/Task Order (Pricing)			
Is this contract a Performance Based Service Acquisition (PBSA)?			
Effective Date			
Actual or expected end date of Contract/Task Order			
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	Yes	X	No
b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1	Yes	X	No
c) Was the Acquisition Plan approved in accordance with agency requirements	Yes	X	No
d) If "yes," enter the date of approval?	2011		
e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?	Yes	NA	No

f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?	Yes NA No
g) If an Acquisition Plan has not been developed, provide a brief explanation.	

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?	No
2. If an Alternatives Analysis was conducted, answer the following questions.	
a) What is the date of the analysis?	
b) How many alternatives were considered?	
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	
d) Briefly summarize the rationale for the selected alternative.	
3. If an Alternatives Analysis was not conducted, provide a brief explanation.	Fire and Security Alarm Systems are required to maintain current capital assets and meet life safety requirements.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?	No
2. If a Risk Management Plan has been developed, answer the following questions.	
a) What is the date of the plan?	
b) Does the plan include a list of risks (yes/no)	
c) Does the plan include the probability of occurrence for each risk (yes/no)?	
d) Does the plan include the impact of each risk (yes/no)?	
e) Does the plan include a mitigation strategy for	

each risk (yes/no)?	
f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?	
3. If a Risk Management Plan has not been developed, provide a brief explanation.	Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

7. Performance Information Table
   Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.C: The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.	No existing sprinkler system.	Installation of a sprinkler system throughout the Moultrie Courthouse.	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.C: The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.	35 year old building was constructed prior to new security requirements	Complete upgrade of fire alarm system	N/A

Section D: Earned Value Management

Table III.D.1:EVM Table

Performance Measure	Units	Formula	Status
Budget at Completion (BA)	$M		
Planned Value (PV)	$M		
Earned Value (EV)	$M		
Actual Costs (AC)	$M		
Cost Variance (CV)	$M	CV= EV-AC	
Cost Variance (CV %)	%	CV% = CV/EV x 100	
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	
Schedule Variance (SV)	$M	SV = EV – PV	

Schedule Variance (%)	%	SV% = SV / PV x 100	
Schedule Performance Index	Ratio	SPI = EV / PV	
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	
Variance at Completion (VAC)	$M	VAC = BAC – EAC	
Variance at Completion (VAC %)	%	VASC% = VAC / BAC	
Percent Complete	%	% Complete = EV / BAC x 100	
Percent Spent	%	% Spent = AC / BAC x 100	
Estimated Completion Date	Date	mm/dd/yy	

9. Explanations

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months?	No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:	
a)What was the date of the analysis	
b)Briefly summarize the results of the analysis	
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation	Infrastructure improvements are included in the Facilities Master Plan.

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance

Milestone	Planned		Actual		Variance	
	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders

Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **General Repair Projects**

5. Unique Project (Investment) Identifier: (For IT investment only, see section *53*.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? Steady State

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The General Repair Projects is designed to provide capital improvements to the aging infrastructure of the Courts' facilities by making various necessary improvements to the Historic Courthouse at 430 E Street N.W., the Moultrie Courthouse at 500 Indiana Avenue, N.W., Building A at 515 5th Street N.W., and Building B at 510 4th Street N.W. It includes replacing interior sign systems in the buildings, providing accessibility for the handicapped, painting, and, general enhancements and restoration of these aging facilities.

The General Repair Projects for FY 2014 will include both exterior and interior projects:

- Replacing fixtures, lighting, flooring, ceiling tiles and other capital investments in office areas in all Courts' Buildings.
- Replacing finishes court-wide as needed or at the end of their useful life.
- Replacing equipment, as required or due to emergency failure.
- Implementing the Courts' interior way finding and signage program.
- Investigating and resolving potential groundwater infiltration issues.

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

9.

a) Did the Agency's Executive/Investment Committee approve this request? Yes __X__ No ____
b) Provide the date of the most recent or planned approved project charter. _1999_

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name	
Phone Number	
E-mail	

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)	
ii. System acronym	
iii. Unique Project Identifier (UPI) number	
a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):	
o computer system security requirement;	
o internal control system requirement;	
o core financial system requirement according to FSIO standards;	
o Federal accounting standard;	
o U.S. Government Standard General Ledger at	

the Transaction Level; o this is a core financial system, but does not address a FFMIA compliance area; o Not a core financial system; does not need to comply with FFMIA	

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: 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 2012**	**CY 2013**	**BY 2014**	**BY+1 2015**	**BY+2 2016**	**BY+3 and beyond**	**Total unfunded (sum 2014 –beyond)**
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	10.60	6.00	13.85	14.71	13.40	11.74	12.09	51.94
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	10.60	6.00	13.85	14.71	13.40	11.74	12.09	51.94
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	10.60	6.00	13.85	14.71	13.40	11.74	12.09	51.94
TOTAL (including FTE costs)	10.60	6.00	13.85	14.71	13.40	11.74	12.09	51.94
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier"	1 year (2011)
3. Insert the number of years covered in column "BY+3 and beyond"	1 year (2017)
4. If the summary of funding has changed from the FY 2013 President's Budget request, briefly explain those changes:	No Change.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2010-2 Window & Door Gasket Replacement	2010-1 Roof Replacement	2014-1 General Projects
Contract Status	Awarded	Awarded	Pre-award Pre-Solicitation
Procurement Instrument Identifier (PIID)	CPFMD-11-0715	CPFMD-11-0810	TBD
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	CPFMD-11-0715	CPFMD-11-0810	TBD
Alternative financing	NA	NA	NA
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	$ 1,530,000	$ 5,612,500	NA
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	No
Effective Date	Quarter 4 FY 2011	Quarter 4 FY 2011	Quarter 1 FY 2014
Actual or expected end date of Contract/Task Order	Quarter 3 FY 2012	Quarter 2 FY 2013	Quarter 2 FY 2015
Extent Competed(A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	D	D	A, D & E

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	Yes	X	No
b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1	Yes	X	No
c) Was the Acquisition Plan approved in accordance with agency requirements	Yes	X	No
d) If "yes," enter the date of approval?	2011		
e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?	Yes	NA	No
f) Does the acquisition plan meet the requirements of EOs 13423 and	Yes	NA	No

13514?	
g) If an Acquisition Plan has not been developed, provide a brief explanation.	

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?	No
2. If an Alternatives Analysis was conducted, answer the following questions.	
a) What is the date of the analysis?	
b) How many alternatives were considered?	
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	
d) Briefly summarize the rationale for the selected alternative.	
3. If an Alternatives Analysis was not conducted, provide a brief explanation.	General Repairs are required to maintain current capital assets and meet life safety, code compliance and environmental standards.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?	No
2. If a Risk Management Plan has been developed, answer the following questions.	
a) What is the date of the plan?	
b) Does the plan include a list of risks (yes/no)	
c) Does the plan include the probability of occurrence for each risk (yes/no)?	
d) Does the plan include the impact of each risk (yes/no)?	
e) Does the plan include a mitigation strategy for each risk (yes/no)?	

f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?	
3. If a Risk Management Plan has not been developed, provide a brief explanation.	Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

8. Performance Information Table
   Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.C: The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.	The D.C. Courts inventory includes 645,000 OSF of space. All Court buildings are continually used and require ongoing capital refurbishment.	To maintain safe and functional facilities.	N/A

Section D: Earned Value Management – Window & Door Gasket Project

Table III.D.1:EVM Table

Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	$M		$ 1.53 M
Planned Value (PV)	$M		$ 1.53 M
Earned Value (EV)	$M		$ 1.53 M
Actual Costs (AC)	$M		$ 1.48 M
Cost Variance (CV)	$M	CV= EV-AC	$ .05 M
Cost Variance (CV %)	%	CV% = CV/EV x 100	3%
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	1.03
Schedule Variance (SV)	$M	SV = EV – PV	0
Schedule Variance (%)	%	SV% = SV / PV x 100	0
Schedule Performance Index	Ratio	SPI = EV / PV	1
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	$1.48 M
Variance at Completion (VAC)	$M	VAC = BAC – EAC	$ .05 M
Variance at Completion (VAC %)	%	VASC% = VAC / BAC	3%
Percent Complete	%	% Complete = EV / BAC x 100	100%
Percent Spent	%	% Spent = AC / BAC x 100	97%

Estimated Completion Date	Date	mm/dd/yy	Quarter 3 FY 2012

Section D: Earned Value Management – Roof Replacement

Table III.D.1:EVM Table			
Performance Measure	**Units**	**Formula**	**Status**
Budget at Completion (BA)	$M		$6.00
Planned Value (PV)	$M		$1.56
Earned Value (EV)	$M		$1.57
Actual Costs (AC)	$M		$1.47
Cost Variance (CV)	$M	CV= EV-AC	0.1
Cost Variance (CV %)	%	CV% = CV/EV x 100	6%
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	1.07
Schedule Variance (SV)	$M	SV = EV – PV	$ 0.01
Schedule Variance (%)	%	SV% = SV / PV x 100	1%
Schedule Performance Index	Ratio	SPI = EV / PV	1.0
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	$5.62
Variance at Completion (VAC)	$M	VAC = BAC – EAC	$ 0.38
Variance at Completion (VAC %)	%	VAC% = VAC / BAC	6%
Percent Complete	%	% Complete = EV / BAC x 100	26%
Percent Spent	%	% Spent = AC / BAC x 100	25%
Estimated Completion Date	Date	mm/dd/yy	Quarter 2 FY 2013

10. Explanations

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months?	No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:	
a)What was the date of the analysis	
b)Briefly summarize the results of the analysis	
3. If an Operational Analysis has not been performed within the last 18 months, provide a	Infrastructure improvements are included in the Facilities Master Plan. The D.C. Courts are

brief explanation	developing solicitation documents for an Operational Analysis.

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
	Planned		Actual		Variance	
Milestone	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

5. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **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 FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 1999

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Elevator and Escalator Repairs and Replacement Project has rebuilt the majority of nearly all the 35-year-old escalator equipment in the Moultrie Courthouse and much of the aging elevator equipment in all D.C. Courts' buildings, including peripheral equipment and controls in Buildings A and B. In the Moultrie Courthouse, there are public elevators and escalators, secure elevators for judges, freight elevators and prisoner elevators. The Moultrie Courthouse accommodates 10,000 daily visitors and the largest prisoner control facility in the nation for the U.S. Marshals Service. This multi-year project began in December 1999 and has greatly improved the vertical circulation for the public by reducing the downtime for repair and maintenance. Funds maintain the value of this investment as necessary.

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

9.
a) Did the Agency's Executive/Investment Committee approve this request? Yes __X__ No ____
b) Provide the date of the most recent or planned approved project charter. _1999_

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name _____

Phone Number _____

E-mail _____

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s) _____

ii. System acronym _____

iii. Unique Project Identifier (UPI) number _____

a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):

- o computer system security requirement; _____
- o internal control system requirement; _____
- o core financial system requirement according to FSIO standards; _____
- o Federal accounting standard; _____
- o U.S. Government Standard General Ledger at the Transaction Level; _____
- o this is a core financial system, but does not address a FFMIA compliance area; _____
- o Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: 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 2012	CY 2013	BY 2014	BY+1 2015	BY+2 2016	BY+3 and beyond	Total unfunded (sum 2014 –beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	2.12	0.00	0.50	0.57	0.53	0.56	0.58	2.24
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	2.12	0.00	0.50	0.57	0.53	0.56	0.58	2.24
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	2.12	0.00	0.50	0.57	0.53	0.56	0.58	2.24
TOTAL (including FTE costs)	2.12	0.00	0.50	0.57	0.53	0.56	0.58	2.24
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier"	1 year (2011)
3. Insert the number of years covered in column "BY+3 and beyond"	1 year (2017)
4. If the summary of funding has changed from the FY 2013 President's Budget request, briefly explain those changes:	No Change.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table			
Field	**Contract 1**		
Short description of acquisition	2013-1Elevator / Escalator Refurbishment		
Contract Status	Pre-award Post-solicitation,		
Procurement Instrument Identifier (PIID)	TBD		
Indefinite Delivery Vehicle (IDV) Reference ID	N/A		
Solicitation ID	TBD		
Alternative financing			
EVM Required	Y		
Ultimate Contract Value	N/A		
Type of Contract/Task Order (Pricing)	Fixed Price		
Is this contract a Performance Based Service Acquisition (PBSA)?	Y		
Effective Date	Quarter 3 FY 2013		
Actual or expected end date of Contract/Task Order	Quarter 4 FY 2014		
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to	D & E		

competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	Yes	X	No
b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1	Yes	X	No
c) Was the Acquisition Plan approved in accordance with agency requirements	Yes	X	No
d) If "yes," enter the date of approval?	2011		
e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?	Yes	NA	No
f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?	Yes	NA	No
g) If an Acquisition Plan has not been developed, provide a brief explanation.			

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?	No
2. If an Alternatives Analysis was conducted, answer the following questions.	
a) What is the date of the analysis?	
b) How many alternatives were considered?	
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	
d) Briefly summarize the rationale for the selected alternative.	
3. If an Alternatives Analysis was not conducted,	Elevator and Escalator Equipment Replacement is

provide a brief explanation.	required to maintain current capital assets.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?	No
2. If a Risk Management Plan has been developed, answer the following questions.	
a) What is the date of the plan?	
b) Does the plan include a list of risks (yes/no)	
c) Does the plan include the probability of occurrence for each risk (yes/no)?	
d) Does the plan include the impact of each risk (yes/no)?	
e) Does the plan include a mitigation strategy for each risk (yes/no)?	
f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?	
3. If a Risk Management Plan has not been developed, provide a brief explanation.	Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

9. Performance Information Table
   Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.B: The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.	Heavily used elevators and escalators require service calls that inconvenience the public.	Reduction in out-of-service calls	NA

Section D: Earned Value Management

Table III.D.1:EVM Table

Performance Measure	Units	Formula	Status
Budget at Completion (BA)	$M		
Planned Value (PV)	$M		
Earned Value (EV)	$M		

Actual Costs (AC)	$M		
Cost Variance (CV)	$M	CV= EV-AC	
Cost Variance (CV %)	%	CV% = CV/EV x 100	
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	
Schedule Variance (SV)	$M	SV = EV – PV	
Schedule Variance (%)	%	SV% = SV / PV x 100	
Schedule Performance Index	Ratio	SPI = EV / PV	
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	
Variance at Completion (VAC)	$M	VAC = BAC – EAC	
Variance at Completion (VAC %)	%	VASC% = VAC / BAC	
Percent Complete	%	% Complete = EV / BAC x 100	
Percent Spent	%	% Spent = AC / BAC x 100	
Estimated Completion Date	Date	mm/dd/yy	

11. Explanations

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months?	No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:	
a)What was the date of the analysis	
b)Briefly summarize the results of the analysis	
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation	Infrastructure improvements are included in the Facilities Master Plan. The D.C. Courts are developing solicitation documents for an Operational Analysis.

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
	Planned		Actual		Variance	
Milestone	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

6. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	**Date of Approval**

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **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 FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 2010

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Information Technology (IT) Technology Infrastructure Modernization initiative is a multi-year effort to modernize IT infrastructure and align routine replacement of equipment with a replenishment schedule that promotes cost effectiveness and cost predictability and is consistent with industry best practice. This initiative covers shared IT infrastructure and equipment dedicated to operate the D.C. Courts.

This ongoing initiative will improve the technical quality of the D.C. Courts' integrated case management system and its most critical information asset. D.C. Courts successfully completed the integrated case management system implementation in 2006. This project standardized the Family Court, Civil Division, Criminal Division and other Superior Court components on a single integrated system. Typically, organizations that migrate to an integrated information system on the scale of the Courts' case management system make significant investment in consolidating IT infrastructure, automating IT management tasks, and improving their information security risk posture.

The Disaster Recovery (DR) Technology Modernization project, the major Technology Infrastructure project for FY 2014, is a multi-year effort to simultaneously improve Information Technology Disaster Recovery capability and establish an equipment refresh cycle that promotes cost effectiveness, cost predictability, and is consistent with industry best practice. This initiative covers equipment and capabilities dedicated to operate the D.C. Courts in the event of a disaster or major facility/equipment failure.

Part of the overall D.C. Courts Continuity of Operations Plan (COOP) plan, this initiative will improve the service availability, reliability, and security of the integrated case management system and other mission-critical information systems. To support the DR Technology Modernization initiative, investment is required to:

- Provide off-site, disk-to-disk backup and restoration services for all D.C. Courts business and support applications and services in the event of hardware/software failures and/or operational errors.
- Provide off-site DR and COOP services to all D.C. Courts business and support applications in the event of a major or a localized disaster in the immediate D.C. Courts area on the Judiciary Square campus.
- Facilitate and house immediate and complete restoration of critical IT applications at a remote site in the event that D.C. Courts declares a disaster.

The D.C. Courts' disaster recovery infrastructure has not been upgraded since 2008. However, since 2008, the Courts has improved its service offering to the public by using applications to automate business processes, furnishing electronic means of service delivery in certain business areas, digitizing case-related files, etc. As a result of this improvement a corresponding need to sufficiently backup and secure the systems that enable and support the current and new service offerings is critical. This initiative will address these deficiencies.

This investment will reduce costs and improve efficient operations in four ways. First, it will improve efficiency and lower indirect costs by reducing the impact of unreliable performance and unplanned outages negatively affecting the productivity of the D.C. Courts' operations. Second, it will increase the efficiency of IT personnel responsible for supporting the Courts' case management and other mission-critical information systems. Third, standardizing replacement cycles for equipment will reduce component failure rates and the impact of high failure rates on employee productivity and cost predictability. Finally, investing in this initiative will mitigate the risk of a disaster rendering the Courts' critical systems non-operational for an extended and unacceptable period of time.

Disaster Recovery upgrades and the other Technology Infrastructure activities require coordination with activities included under the Facilities Master Plan. As the Courts continue to implement Facilities Master Plan renovations, the design and construction process will allow for extensive building system upgrades. Addressing program re-alignment and technology upgrades simultaneously will minimize operational impacts to the Courts.

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

9.

a) Did the Agency's Executive/Investment Committee approve this request? Yes _X__ No ____

b) Provide the date of the most recent or planned approved project charter. _2010_

10. a) Contact information of Project Manager?

Name	Yuan Burns
Phone Number	202-879-1102
E-mail	Yuan.Burns@dcsc.gov

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

Name _____

Phone Number _____

E-mail _____

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Industry Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s) _____

ii. System acronym _____

iii. Unique Project Identifier (UPI) number _____

a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):

- o computer system security requirement; _____
- o internal control system requirement; _____
- o core financial system requirement according to FSIO standards; _____
- o Federal accounting standard; _____
- o U.S. Government Standard General Ledger at the Transaction Level; _____
- o this is a core financial system, but does not address a FFMIA compliance area; _____
- o Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Technology Infrastructure

Table 1.B.1: Summary of Funding
(In millions of dollars)
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY–1 and earlier	PY 2012	CY 2013	BY 2014	BY+1 2015	BY+2 2016	BY+3 and beyond	Total unfunded (sum 2014 –beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	2.30	1.30	3.50	3.00	2.50	3.00	3.00	18.60
Planning & Acquisition Government FTE Costs								
Subtotal Planning & Acquisition (DME):	2.30	1.30	3.50	3.00	2.50	3.00	3.00	18.60
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs								
Subtotal O&M and Disposition Costs (SS)								
TOTAL FTE Costs								
TOTAL (not including FTE costs):	2.30	1.30	3.50	3.00	2.50	3.00	3.00	18.60
TOTAL (including FTE costs)								
Total number of FTE represented by Costs:								

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier"	1 year (2011)
3. Insert the number of years covered in column "BY+3 and beyond"	4 years (2018)
4. If the summary of funding has changed from the FY 2012 President's Budget request, briefly explain those changes:	NA

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table				
Field	**Data Description**	**Contract 1**	**Contract 2**	**Contract 3**
Short description of acquisition	See www.usaspending.gov/learn ?tab=FAQ#2	Disaster Recovery Infrastructure Upgrade Project		
Contract Status	(1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation	Pre-award Pre-solicitation		
Procurement Instrument Identifier (PIID)	See www.usaspending.gov/learn ?tab=FAQ#2	TBD		
Indefinite Delivery Vehicle (IDV) Reference ID	Required only for IDVs. See www.usaspending.gov/learn ?tab=FAQ#2	N/A		
Solicitation ID	See www.fbo.gov	TBD		
Alternative financing	(ESPC, UESC, EUL or N/A)	No		
EVM Required	Y/N	Y		
Ultimate Contract Value	Total Value of Contract including base and all options. Complete using dollars to two decimal places.	N/A		
Type of Contract/Task Order (Pricing)	See FAR Part 16. Can be fixed price, cost, cost plus, incentive, IDV, time and	Fixed Price		

	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.	Y		
Effective Date	MM/DD/YYYY Actual or expected Start Date of Contract/Task Order, the date that the parties agree will be the starting date for the contract's requirements.	Quarter 1 FY2014		
Actual or expected end date of Contract/Task Order	MM/DD/YYYY	Quarter 1 FY2015		
Extent Competed	(A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	A		

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	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?	2003		
e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?	Yes	NA	No
f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?	Yes	NA	No
g) If an Acquisition Plan has not been developed, provide a brief explanation.			

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Section A: General

1. a) Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. (yes/no) _X__ Yes _____ No

b) If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education. (yes/no) ____ Yes _____ No

2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. This technology is currently being reviewed and assessed for feasibility in satisfying the security and privacy requirements of the D.C. Courts using private cloud and or federal cloud deployments.

3. Provide the date of the most recent or planned Quality Assurance Plan. 11/23/2010

4. a) Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment. (comma delimited)

b) If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s). (comma delimited)

5) An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 12/01/2011

6) Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 05/01/2011

Section B: Cost and Schedule Performance

Agencies should be measuring the performance of assets against the baseline established during the planning or full acquisition phase, or, where approved, the current baseline, and be properly operating and maintaining the asset to maximize its useful life.
Agencies should represent the same timeframe and costs in the "Cost and Schedule table" as indicated in the "Summary of Funding" table. Activities planned beyond the budget year are expected to be less well defined and should be updated once the baseline is approved to a greater level of detail, typically via an Integrated Baseline Review.

Complete the following table on activities used to measure cost and schedule performance, representing only one level of the investment's Work Breakdown Structure. The activities represented in the table should be a natural derivative of the schedule maintained in the agency performance management system. Activity descriptions should follow a format including a description of the work performed and the product achieved. This should generally show Level 3 of the Work Breakdown Structure. Agencies should avoid reporting activities at a level where they span more than one fiscal year. Key activities should be apparent including planning, development iterations, deployment and decommission. For Operations and Maintenance work, provide activities used to track cost and schedule performance in the same format used for development activities in this same table. The percentages complete should relate to the value of the work planned and actually completed.

NOTE: The exhibit 300 schema includes an optional Work Breakdown Structure (WBS) field that is not depicted in the table below.

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Complete the following table to compare actual performance against the current performance baseline. For all activities listed, you should provide both the planned and actual completion dates (e.g., "03/23/2003"/ "04/28/2004"), planned and actual start dates, planned and actual total costs (in $ Millions), and planned and actual percent complete. Note that all fields are required with the exception of "Agency EA Transition Plan Milestone Identifier". This table should be kept current on the IT Dashboard on a monthly basis, at a minimum.

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier (optional)	Total Cost		Current Baseline (mm/dd/yyyy)				Percentages Complete	
			Planned Cost ($M)	Actual Cost ($M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
N/A										

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements.

The details of the analysis must be available to OMB upon request.
Insert the date of the most recent or planned operational analysis.

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation? ____ Yes _____ No

Section C: Financial Management Systems

If this investment funds one or more financial systems, please list each system and complete the table. These systems should also have been reported in the most recent Financial Management Systems Inventory (FMSI). "Type of financial system" should be one of the following per OMB Circular A-127: core financial system, procurement system, loan system, grant system, payroll system, budget formulation system, billing system, or travel system. Budget Year (BY) funding should include both contract and government costs requested for the Budget Year via this investment.

Table II.C.1: Financial Management Systems			
System(s) Name	**Systems Acronym**	**Type of Financial System**	**BY Funding**
N/A			

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Multi-agency Collaborations, such as E-Gov and LoB initiatives, should develop a joint exhibit 300. Partner agencies that provide contributions to a multi-agency collaboration do not complete Section C.

Table II.D.1. Customer Table: As a joint exhibit 300, please identify all the agency customers. Customers are not limited to agencies with financial commitment. All agency customers should be listed regardless of approval. If the partner agency has approved this joint exhibit 300 please provide the date of approval.	
Customer Agency	**Joint exhibit approval date**
N/A	

Only Managing partners of Legacy E-Gov initiatives should complete the "Shared Services Providers" Table (Table II.C.2).

Table II.D.2. Shared Service Providers Only Managing partners of Legacy E-Gov initiatives should complete this table.		
Shared Service Provider (Agency)	**Shared Service Asset Title**	**Shared Service Provider Exhibit 53 UPI (BY 2011)**
N/A		

Provide in the "Partner Funding Strategies" Table (Table II.D.3) the name(s) of partner agencies; the UPI of the partner agency investments; and the partner agency contributions for CY and BY.

Table II.D.3. For IT Investments, Partner Funding Strategies ($millions):
Please indicate partner contribution amounts (in-kind contributions should also be included in this amount) and fee-for-service amounts. (Partner Agency Asset UPIs should also appear on the Partner Agency's exhibit 53. All fee-for-service reimbursements for Shared Service Providers should be included in this table. For non-IT fee-for-service amounts the Partner exhibit 53 UPI can be left blank) (IT migration investments should not be included in this table)

Partner	**Partner exhibit**	**CY Monetary**	**CY "In-**	**CY**	**BY Monetary**	**BY "In-**	**BY**

Agency	53 UPI (BY 2012)	Contribution	Kind" Contribution	Fee-for-Service	Contribution	Kind" Contribution	Fee-for-Service
N/A							

Does this investment replace any legacy systems investments for either the Managing Partner or partner agencies? Disposition costs for the Managing partner (costs of retirement of legacy systems) may be included as a category in, Summary of Funding, or in separate investments, classified as major or non-major. For legacy system investments being replaced by this investment, include the following data on these legacy investments.

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	**Current UPI**	**Date of the System Retirement**
N/A		

Section E: Performance Information

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan, Information Resource Management plan, and Agency Strategic Plan. The investment must discuss its performance measures in support of the agency's mission and strategic goals. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 20xx, etc.). They should include the expected measurable outcomes of the investment, including both customer and business objectives. A minimum of one measure should indicate primary customer satisfaction with the investment. Agencies shall maintain records for each indicator that includes the source of measurement date, the measurement method and who is responsible for collection.

The unit of measure should describe denomination counted (e.g. hours of processing time, inquiries received from stakeholders). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as "significant," "better," "improved," that do not have a quantitative measure. Performance Measure reporting frequency should be chosen from one of four frequencies: monthly, quarterly, semi-annually, or annually. Performance Measure Direction should be reported indicating whether the performance is expected to increase or decrease. For each measure complete Tables I.D.1.a and I.D.1.b. Maintain historical performance by adding appropriate historical fiscal year measurements in Table I.D.1.b. At a minimum, performance targets should extend to the BY. The table can be extended to include performance measures for years beyond the next President's Budget. OMB has no requirement for how an agency should display the information described in their internal systems.

Specific to IT investments, agencies must report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (Mission & Business Results, Customer Results, Processes & Activities, and Technology), for each fiscal year. Operational IT investments should include at least one measure of unit

cost. Unit cost measures should be for major inputs, align with how the input is procured, and reflect commodity or near commodity hardware, software or managed services. Specific to Infrastructure Investments, 4 performance measures are required; however, measures are only expected in the technology measurement area. The PRM is available at http://www.whitehouse.gov/omb/e-gov/.

These are new initiatives. We will adopt the FEA Performance Reference Model according to the guidelines in measuring performance goals for these initiatives.

Both initiatives directly support the Strategic Goal 4.A of the District of Columbia Courts Strategic Plan 20013-2017, specifically, "The D.C. Courts will use technology to enhance case management and information sharing." The components of this goal linked to these initiatives are as follows:

1. Enhance case processing, information management, and performance measurement and reporting through targeted technology investments.
2. Employ technology to readily communicate with the public and court personnel by expanding the use of electronic and social media.
3. Utilize technology to ensure timely access to court documents, proceedings, and services by expanding video and web conferencing opportunities, providing internet and online services, and employing other means to broaden accessibility of court information and services.

Table I.E.1a. Performance Metric Attributes	
Agency Measurement Identifier	
Measurement Area (For IT Assets)	
Measurement Grouping (For IT Assets)	
Measurement Indicator	
Reporting Frequency	
Unit of Measure	
Performance Measure Direction	
Baseline	
Year Baseline Established for this measure (Origination Date)	
Measure Status (active, or deactivated)	
Reason Deactivated (only if deactivated)	

Table 1.E.1.b. Performance Metric Targets and Results				
Agency Measurement Identifier				
Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Date Actuals Last Updated (auto populated)
200x				
2010				
2011				
2012				

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Not Applicable

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **Restoration of the Historic Courthouse**

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 FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 1997

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The relocation of the Court of Appeals from its former location in the Moultrie Courthouse to the Historic Courthouse at 430 E Street was a critical step toward meeting the space needs of the D.C. Court of Appeals and providing critical additional space for Superior Court operations, including the Family Court, in the Moultrie Building. Construction, which began in March 2006, is now 100% complete. The project was completed on schedule and on budget. The Historic Courthouse was rededicated in June 2009.

The renovation of the Historic Courthouse has been widely recognized for its successful execution. In addition to providing appropriate and much-needed space for the Court of Appeals, the renovation project has won eighteen awards for architecture, construction, lighting, and historic preservation.

As custodians of this recent multi-million dollar restoration investment to the third oldest public building in Washington D.C., the D.C. Courts are requesting operations and maintenance funding for the Historic Courthouse. Resources are required to maintain the historic fabric of the building, which requires constant care, and to protect the significant public investment in its restoration, particularly in light of a planned major construction project adjacent to the Historic Courthouse that poses significant risk to the structure.

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

9.

a) Did the Agency's Executive/Investment Committee approve this request? Yes _ X__ No ____

b) Provide the date of the most recent or planned approved project charter. _2011_

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name	
Phone Number	
E-mail	

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)	
ii. System acronym	
iii. Unique Project Identifier (UPI) number	
a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):	
computer system security requirement;	
internal control system requirement;	
core financial system	

requirement according to FSIO standards;

Federal accounting standard;

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

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

Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Restoration of the Historic Courthouse

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 2012	CY 2013	BY 2014	BY+1 2015	BY+2 2016	BY+3 and beyond	Total unfunded (sum 2014 –beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	147.93	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Operations & Maintenance:	0.00	0.00	0.00	2.00	2.00	2.00	2.00	8.00
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	2.00	2.00	2.00	2.00	8.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	147.93	0.00	0.00	2.00	2.00	2.00	2.00	8.00
TOTAL (including FTE costs)	147.93	0.00	0.00	2.00	2.00	2.00	2.00	8.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier"	17 years (1997)
3. Insert the number of years covered in column "BY+3 and beyond"	1
4. If the summary of funding has changed from the FY 2013 President's Budget request, briefly explain those changes:	NA

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition			
Contract Status			
Procurement Instrument Identifier (PIID)			
Indefinite Delivery Vehicle (IDV) Reference ID			
Solicitation ID			
Alternative financing			
EVM Required			
Ultimate Contract Value			
Type of Contract/Task Order			

(Pricing)			
Is this contract a Performance Based Service Acquisition (PBSA)?			
Effective Date			
Actual or expected end date of Contract/Task Order			
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			

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

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes No

b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes No

c) Was the Acquisition Plan approved in accordance with agency requirements Yes No

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

e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes No

f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes No

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

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? _____
2. If an Alternatives Analysis was conducted, answer the following questions. _____
a) What is the date of the analysis? _____
b) How many alternatives were considered? _____
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. _____

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? _____
2. If a Risk Management Plan has been developed, answer the following questions. _____
a) What is the date of the plan? _____
b) Does the plan include a list of risks (yes/no) _____
c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
d) Does the plan include the impact of each risk (yes/no)? _____
e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____
3. If a Risk Management Plan has not been developed, provide a brief explanation. _____

Section C: Performance Information

10. Performance Information Table
Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	$M		
Planned Value (PV)	$M		
Earned Value (EV)	$M		
Actual Costs (AC)	$M		
Cost Variance (CV)	$M	CV= EV-AC	
Cost Variance (CV%)	%	CV% = CV/EV x 100	
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	
Schedule Variance (SV)	$M	SV = EV – PV	
Schedule Variance (%)	%	SV% = SV / PV x 100	
Schedule Performance Index	Ratio	SPI = EV / PV	
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	
Variance at Completion (VAC)	$M	VAC = BAC – EAC	
Variance at Completion (VAC%)	%	VASC% = VAC / BAC	
Percent Complete	%	% Complete = EV / BAC x 100	
Percent Spent	%	% Spent = AC / BAC x 100	
Estimated Completion Date	Date	mm/dd/yy	

12. Explanations

_____

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? _____

2. If an Operational Analysis was performed within the last 18 months, answer the following questions: _____

a)What was the date of the analysis
b)Briefly summarize the results of the analysis
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
	Planned		Actual		Variance	
Milestone	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

7. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **Adult Holding Facilities / U.S.M.S. Space Renovation**

5. Unique Project (Investment) Identifier: (For IT investment only, see section *53*.9. For all other, use agency ID system.) 95-1712

6. What kind of investment will this be in FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 2007

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The United States Marshals Service (U.S.M.S.) provides security and protection for the judicial officers and in the courtrooms. The U.S.M.S. facilities in the Moultrie Courthouse, the location of the largest and busiest U.S.M.S. operation nationwide, were in need of significant expansion and upgrade to meet the current U.S.M.S. standards, and the growing demands of the D.C. Courts. Built over 35 years ago, the adult prisoner holding area is inadequate to hold the hundreds of prisoners daily, and is not in compliance with many of the current security standards for detention facilities. Similarly, the U.S.M.S. administrative and support office space was significantly below U.S.M.S. standards, and was located in a decentralized configuration which was inefficient. Major upgrades were required to address health, safety and functionality concerns, and the Courts are addressing the needs of the U.S.M.S.. This project addresses the following areas: the adult prisoner holding unit, arraignment courtroom, prisoner holding areas adjacent to the courtrooms, the sally port, and U.S.M.S. administrative and support space.

Since the second quarter of 2008, the D.C. Courts completed the following work:

- Initial HVAC Upgrade to provide 100% air exchange five times per day
- Created U.S.M.S. West Administrative Area
- Renovated U.S.M.S. East Administrative Area
- Expanded and renovated the arraignment holding areas
- Renovated the arraignment courtroom
- Renovated the detainee sally port entry/exit
- Created a security control data center
- Renovated the segregated / female holding area

Work currently underway includes:

- Renovation of courtroom holding areas
- Expansion and renovation of the cellblock control center
- Phased renovation of the entire central cell block.

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

9.

a) Did the Agency's Executive/Investment Committee approve this request? Yes _X__ No ____

b) Provide the date of the most recent or planned approved project charter. _2007_

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name	
Phone Number	
E-mail	

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)	
ii. System acronym	
iii. Unique Project Identifier (UPI) number	
a) If this investment is a financial management system AND the investment is part of the core financial system then	

select the primary FFMIA compliance area that this investment addresses (choose only one):

- o computer system security requirement;
- o internal control system requirement;
- o core financial system requirement according to FSIO standards;
- o Federal accounting standard;
- o U.S. Government Standard General Ledger at the Transaction Level;
- o this is a core financial system, but does not address a FFMIA compliance area;
- o Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Adult Holding Facilities / U.S.M.S. Space Renovation

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY–1 and earlier	**PY 2012**	**CY 2013**	**BY 2014**	**BY+1 2015**	**BY+2 2016**	**BY+3 and beyond**	**Total unfunded (sum 2014 –beyond)**
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	66.49	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	66.49	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	66.49	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (including FTE costs)	66.49	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier"	4 years (2008)
3. Insert the number of years covered in column "BY+3 and beyond"	NA
4. If the summary of funding has changed from the FY 2013 President's Budget request, briefly explain those changes:	No Change.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.
Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table				
Field	**Data Description**	**Contract 1**	**Contract 2**	**Contract 3**
Short description of acquisition	See www.usaspending.gov/learn ?tab=FAQ#2	2010-1 Administrative Areas	2010-2 HVAC-Lighting Upgrades	2010-3 Cellblock Modifications
Contract Status	(1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation	(1) Awarded	(1) Awarded	(1) Awarded
Procurement Instrument Identifier (PIID)	See www.usaspending.gov/learn ?tab=FAQ#2	CPFMD-09-0123	CO0009513	CPFMD-10-0412
Indefinite Delivery Vehicle (IDV) Reference ID	Required only for IDVs. See www.usaspending.gov/learn ?tab=FAQ#2	NA	NA	NA
Solicitation ID	See www.fbo.gov			
Alternative financing	(ESPC, UESC, EUL or N/A)	No	No	No
EVM Required	Y/N	Yes	Yes	Yes
Ultimate Contract Value	Total Value of Contract including base and all options. Complete using dollars to two decimal places.	2,145,979.93	943,914	21,113,322
Type of Contract/Task Order (Pricing)	See FAR Part 16. Can be fixed price, cost, cost plus, incentive, IDV, time and materials, etc	Fixed	Fixed	Fixed
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.	No	Yes	No
Effective Date	MM/DD/YYYY Actual or expected Start Date of Contract/Task Order, the date that the parties agree will be the starting date for the contract's requirements.	Quarter 4 FY 2008	Quarter 1 FY 2008	Quarter 2 FY 2010
Actual or expected end date of Contract/Task Order	MM/DD/YYYY	Quarter 2 FY 2010	Quarter 3 FY 2012	Quarter 3 FY 2014
Extent Competed (A) Full and open competition (B) Not available for		D	E	D

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

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	Yes	X	No
b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1	Yes	X	No
c) Was the Acquisition Plan approved in accordance with agency requirements	Yes	X	No
d) If "yes," enter the date of approval?	2011		
e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?	Yes	NA	No
f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?	Yes	NA	No
g) If an Acquisition Plan has not been developed, provide a brief explanation.			

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?	No
2. If an Alternatives Analysis was conducted, answer the following questions.	
a) What is the date of the analysis?	
b) How many alternatives were considered?	
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	
d) Briefly summarize the rationale for the selected alternative.	
3. If an Alternatives Analysis was not conducted, provide a brief explanation.	The U.S. Marshals Service Facilities Feasibility Study, May 2007 developed the plan that most closely aligns with U.S.M.S. Pub. 64.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?	No
2. If a Risk Management Plan has been developed, answer the following questions.	
a) What is the date of the plan?	
b) Does the plan include a list of risks (yes/no)	
c) Does the plan include the probability of occurrence for each risk (yes/no)?	
d) Does the plan include the impact of each risk (yes/no)?	
e) Does the plan include a mitigation strategy for each risk (yes/no)?	
f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?	
3. If a Risk Management Plan has not been developed, provide a brief explanation.	Risk is managed through weekly project progress meetings and monthly scheduling meetings. Strict cost control procedures are followed.

Section C: Performance Information

11. Performance Information Table
    Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.B: The D.C. Courts will ensure that facilities are accessible and	Existing sally port, adult holding unit arraignment courtroom, and	Renovate existing cellblock with handicap accessible cells.	Sally port, arraignment court and arraignment holding areas are

	support efficient and effective operations.	courtroom prisoner holding units have not been significantly altered or upgraded since the opening of the courthouse in 1976.		now accessible.
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.C: The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.	Existing sally port, adult holding unit arraignment courtroom, and courtroom prisoner holding units have not been significantly altered or upgraded since the opening of the courthouse in 1976.	Change widths at all cellblock access doors. Relocate U.S.M.S. administrative functions to a location outside the cellblock and complete a phased renovation of the cell block while keeping it operational.	U.S.M.S. administrative functions have been relocated outside the cellblock.

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	**Units**	**Formula**	**Status**
Budget at Completion (BA)	$M		$ 66.49
Planned Value (PV)	$M		$ 61.00
Earned Value (EV)	$M		$ 46.50
Actual Costs (AC)	$M		$ 39.95
Cost Variance (CV)	$M	CV= EV-AC	6.6
Cost Variance (CV %)	%	CV% = CV/EV x 100	14%
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	1.16
Schedule Variance (SV)	$M	SV = EV – PV	$ (14.50)
Schedule Variance (%)	%	SV% = SV / PV x 100	-24%
Schedule Performance Index	Ratio	SPI = EV / PV	0.8
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	$ 57.12
Variance at Completion (VAC)	$M	VAC = BAC – EAC	$ 9.37
Variance at Completion (VAC %)	%	VASC% = VAC / BAC	14%
Percent Complete	%	% Complete = EV / BAC x 100	70%
Percent Spent	%	% Spent = AC / BAC x 100	60%
Estimated Completion Date	Date	mm/dd/yy	Quarter 3 FY 2014

13. Explanations

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months?	No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:	
a)What was the date of the analysis	
b)Briefly summarize the results of the analysis	
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation	Infrastructure improvements are included in the Facilities Master Plan. The D.C. Courts are developing solicitation documents for an Operational Analysis.

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance

Milestone	Planned		Actual		Variance	
	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

8. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders

Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012

2. Agency: District of Columbia Courts

3. Bureau: NA

4. Name of this Investment: **Building C Modernization (410 E Street, NW)**

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 FY2014?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 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? 2004

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 Family Court Act of 2001 requires that the District of Columbia immediately begin establishing and operating Family Court that is separate and physically distinct from the Superior Court. Additionally Congress has mandated the Court to upgrade the working conditions of the U.S. Marshals Service at the Moultrie Courthouse. The D.C. Courts Building C Modernization Project is one of a series of capital projects necessary to establish a fully consolidated Family Court. The completion of Building C and the relocation of the Information Technology (IT) Division to make up for space displaced by the U.S. Marshals Service, has made Building C another lynch-pin in the fulfillment of the Family Court mandate. This project is fully coordinated with the current ongoing implementation of the D.C. Courts Facilities Master Plan.

Building C construction was recently completed on budget and on schedule. All vertical circulation systems were replaced for code compliance. The mechanical and electrical infrastructures were completely replaced to meet today's technological business processes and security equipment. ADA access to the building was created and hazardous materials were removed. This project provides renovated space for the Information Technology (IT) and Multi-Door (MD) Divisions previously located in other buildings on our campus.

Building C project has received approvals by the National Capital Planning Commission and the Commission of Fine Arts and is scheduled to receive LEED Gold Certification. Building C construction was completed in February 2012.

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

9.
a) Did the Agency's Executive/Investment Committee approve this request? Yes _X__ No ____
b) Provide the date of the most recent or planned approved project charter. _2004_

10. a) Contact information of Project Manager?

Name	Joseph E. Sanchez
Phone Number	202-879-2801
E-mail	Joseph.Sanchez@dcsc.gov

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

Name	
Phone Number	
E-mail	

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.	PMP Certified
(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.	
(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.	
(4) Project manager assigned but qualification status review has not yet started.	
(5) No project manager has yet been assigned to this investment.	

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)	
ii. System acronym	
iii. Unique Project Identifier (UPI) number	
a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):	
o computer system security requirement;	
o internal control system	

requirement;
o core financial system requirement according to FSIO standards;
o Federal accounting standard;
o U.S. Government Standard General Ledger at the Transaction Level;
o this is a core financial system, but does not address a FFMIA compliance area;
o Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Building C Modernization

Table 1.B.1: Summary of Funding
(In millions of dollars)
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY–1 and earlier	PY 2012	CY 2013	BY 2014	BY+1 2015	BY+2 2016	BY+3 and beyond	Total unfunded (sum 2014 –beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	43.54	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	43.54	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (including FTE costs)	43.54	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

2. Insert the number of years covered in the column "PY-1 and earlier"	6 years (2005)
3. Insert the number of years covered in column "BY+3 and beyond"	NA
4. If the summary of funding has changed from the FY 2013 President's Budget request, briefly explain those changes:	No Change.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table				
Field	**Data Description**	**Contract 1**		
Short description of acquisition	See www.usaspending.gov/learn ?tab=FAQ#2	2010-Construction		
Contract Status	(1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation	Awarded		

Procurement Instrument Identifier (PIID)	See www.usaspending.gov/learn?tab=FAQ#2	CPFMD – 11-1004		
Indefinite Delivery Vehicle (IDV) Reference ID	Required only for IDVs. See www.usaspending.gov/learn?tab=FAQ#2	NA		
Solicitation ID	See www.fbo.gov	CPFMD – 11-1004		
Alternative financing	(ESPC, UESC, EUL or N/A)	No		
EVM Required	Y/N	YES, Courts' Standard		
Ultimate Contract Value	Total Value of Contract including base and all options. Complete using dollars to two decimal places.	$18.3 M		
Type of Contract/Task Order (Pricing)	See FAR Part 16. Can be fixed price, cost, cost plus, incentive, IDV, time and materials, etc	Fixed		
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.	No		
Effective Date	MM/DD/YYYY Actual or expected Start Date of Contract/Task Order, the date that the parties agree will be the starting date for the contract's requirements.	Quarter 3 FY 2010		
Actual or expected end date of Contract/Task Order	MM/DD/YYYY	Quarter 2 FY 2012		
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		D		

acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order				

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:			
3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:	Yes	X	No
b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1	Yes	X	No
c) Was the Acquisition Plan approved in accordance with agency requirements	Yes	X	No
d) If "yes," enter the date of approval?	2011		
e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?	Yes	NA	No
f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?	Yes	NA	No
g) If an Acquisition Plan has not been developed, provide a brief explanation.			

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?	Yes, D.C. Courts Building C Prospectus Development Study
2. If an Alternatives Analysis was conducted, answer the following questions.	
a) What is the date of the analysis?	April 2005
b) How many alternatives were considered?	Three
c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?	Yes
d) Briefly summarize the rationale for the selected alternative.	
3. If an Alternatives Analysis was not conducted,	The selected alternative allowed for flexible open

provide a brief explanation.	office plan while maintaining the historic fabric of the building.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?	No
2. If a Risk Management Plan has been developed, answer the following questions.	
a) What is the date of the plan?	
b) Does the plan include a list of risks (yes/no)	
c) Does the plan include the probability of occurrence for each risk (yes/no)?	
d) Does the plan include the impact of each risk (yes/no)?	
e) Does the plan include a mitigation strategy for each risk (yes/no)?	
f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?	
3. If a Risk Management Plan has not been developed, provide a brief explanation.	Risk is managed through weekly project progress meetings and monthly scheduling meetings. Strict cost control procedures are followed.

Section C: Performance Information

12. Performance Information Table
    Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.B: The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.	Building C is not accessible to all.	Upgrade of 27,000 OSF of Class D office space into Class A office space.	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4.C: The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.	Building C is currently suffering from extensive lack of maintenance and requires major upgrades in order to house court personnel in Class A office space that is functional and habitable.	A fully renovated building completed within budget and within the scheduled timeframe	N/A

Section D: Earned Value Management – Building C (410 E Street) Construction

Table III.D.1:EVM Table			
Performance Measure	**Units**	**Formula**	**Status**
Budget at Completion (BA)	$M		$ 17.99
Planned Value (PV)	$M		$ 17.99
Earned Value (EV)	$M		$ 17.99
Actual Costs (AC)	$M		$ 18.30
Cost Variance (CV)	$M	CV= EV-AC	-0.31
Cost Variance (CV %)	%	CV% = CV/EV x 100	-2%
Cost Performance Index (CPI)	Ratio	CPI = EV / AC	0.98
Schedule Variance (SV)	$M	SV = EV – PV	0
Schedule Variance (%)	%	SV% = SV / PV x 100	0%
Schedule Performance Index	Ratio	SPI = EV / PV	1
Estimate at Completion (EAC)	$M	EAC = BAC / CPI	18.3
Variance at Completion (VAC)	$M	VAC = BAC – EAC	-0.31
Variance at Completion (VAC %)	%	VASC% = VAC / BAC	-2%
Percent Complete	%	% Complete = EV / BAC x 100	100%
Percent Spent	%	% Spent = AC / BAC x 100	102%
Estimated Completion Date	Date	mm/dd/yy	Quarter 2 FY 2012

14. Explanations

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months?
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
a)What was the date of the analysis
b)Briefly summarize the results of the analysis
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation

4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
	Planned		Actual		Variance	
Milestone	Completion Date	Cost ($M)	Actual Completion Date	Actual Cost ($M)	Schedule (days) Planned - Actual	Cost ($M) Planned - Actual

Section F: Stakeholders

List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

DISTRICT OF COLUMBIA COURTS
FY 2014 Budget Justification
Grant-funded Activities and Reimbursements

For Fiscal Year 2012, the District of Columbia Courts secured over $4 million in Federal and local grant funds to: (1) provide services to victims of crime; (2) expedite permanent placement of children as required by ASFA legislation; and (3) explore the feasibility of establishing a DWI Initiative in the District of Columbia to reduce the number of alcohol and drug-impaired driving incidences. The Courts currently receive funds through 11 active grants secured from various Federal and local sources. Of these, 7 grants, totaling approximately $676,000 are scheduled to expire the end of FY 2012. Table 1 lists the Courts' grants and reimbursement funding for Fiscal Years 2012 and projected through 2014, while Table 2 lists grants scheduled to expire at the end of FY 2012. A brief description of the Courts' grant-funded projects follows.

I. FEDERAL GRANTS

(a) Abused and Neglected Children

- ***Court Improvement Program (CIP).*** U.S. Department of Health and Human Services, Administration for Children and Families.

  To assess and improve judicial proceedings that handle child abuse and neglect and related foster care and adoption litigation. The Superior Court continues collaboration with District child welfare agencies in examining the effectiveness of current practices and procedures, adequacy of resources, and coordination among key agencies in order to enhance the representation for children and families in the District of Columbia. With the multiple grants, funds are used to sponsor a Reunification Day, provide books for children, and continue the *Preparing Youth for Adulthood Initiative*, as well as continue to collaborate with the child welfare agency and the prosecutor's office to enhance the secure exchange of information sharing between the agencies (e.g., transfer of court reports, electronic filing of complaints), and provide skills building and information training workshops for advocates and the legal community.

(b) Crime Victims

- ***Crime Victims Compensation Program (Claims).*** U.S. Department of Justice, Office of Victims of Crime.

  To provide victim compensation payments from the Crime Victims Compensation Fund for the District of Columbia to eligible crime victims.

(c) Fathering Court Initiative

- ***Fathering Reentry Court.*** U.S. Department of Justice, Office of Justice Programs, Second Chance Act State, Local and Tribal Reentry Courts Program.

  To continue program operations of the court-supervised, sanctions-based, comprehensive program for non-custodial fathers returning to the District of Columbia who are the subject of active child support cases. In conjunction with public and private partners, the focus of the Fathering Reentry Court is to reduce recidivism by giving offenders returning to the community the support and skills needed to successfully reenter the workforce; increase the number of fathers contributing to the financial and emotional well-being of their children as measured by compliance with outstanding child support orders; increase their contact with their children; and improve co-parenting relationships with the mothers of their children. Grant funds were used to hire a Program Manager to oversee the day-to-day operations of the program, procure employment consultant services to skillfully place participants in substantive employment, and to develop a performance reporting system to comply with federal and programmatic routine statistical information.

(d) Victims of Domestic Violence

- ***Judicial Education and Court Training on Effective Court Responses to Teen Dating/Intimate Partner Violence, Sexual Assault, Domestic Violence and Stalking.*** U. S. Department of Justice, Office on Violence Against Women, Court Training and Improvements Program.

  To plan and implement a judicial education and training conference and follow-up activities to improve court services to minors ages 12-17 who are seeking protection orders in domestic violence, sexual assault, dating and intimate partner violence and stalking cases. The primary goals are to enhance judicial awareness of the emerging area of teen dating/intimate violence, sexual assault and stalking; to better address and serve young victims as they seek legal remedy from the Courts; and to inform the greater youth-serving professional community about minors involved in abusive relationships and their legal rights in the District of Columbia. Grants funds are used to convene a one-day conference, conduct community outreach and develop a bench card to inform judicial officers as they work with these minors.

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) <u>Victims of Domestic Violence</u>

- ***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 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.

(b) <u>DWI Court Training</u>

- ***DWI Court Training.*** D.C. Department of Transportation's Highway Safety Office on behalf of the U.S. Department of Transportation, Federal Highway Administration.

  To explore the feasibility of developing a jurisdictionally-appropriate DWI Court program in the District of Columbia. Grant funds are used to send a team of eight (8) local criminal justice practitioners (including judge, prosecuting and defense attorneys, treatment provider, researcher, law enforcement, probation/supervision and coordinator) to attend the National Center for DWI Courts training program.

Table 1

DISTRICT OF COLUMBIA COURTS

Amounts Available for Obligation: Grants and Reimbursements

($ in thousands)

Grant or Reimbursement	Source	FY 2012 Actual	FY 2013 Estimate	FY 2014 Estimate
I. FEDERAL GRANTS:				
Abused and Neglected Children				
Court Improvement Program	U.S. Department of Health and Human Services	475*	188	180
Crime Victims				
Crime Victims Compensation Payments	U.S. Department of Justice	3,500	3,300	3,100
Subtotal, Federal Grants		*3,975*	*3,488*	*3,280*
II. D.C. FEDERAL BLOCK GRANTS:				
Domestic Violence				
Supervised Child Visitation Center	U.S. Department of Health and Human Services	110	110	110
Domestic Violence Project	U.S. DOJ VAWA STOP Grants	36	35	33
Judicial Education and Training	U.S. OVW	46	--	---
Fathering Court Initiative				
Fathering Reentry Court Initiative	U.S. DOJ Second Chance Act Grant	142	---	--
DWI/DUI Court Training				
DWI/DUI Court Training	U.S. Department of Transportation	12	---	--
Subtotal, D.C. Federal Block Grants		*346*	*145*	*143*
GRANTS TOTAL		**4,321**	**3,633**	**3,423**
REIMBURSEMENTS:				
Child Support Enforcement	D.C. Title IV-D Agency	993	1,000	1,000
Miscellaneous Reimbursements	Pretrial Services Agency	64	64	64
REIMBURSEMENTS TOTAL		**1,057**	**1,064**	**1,064**
GRAND TOTAL		**5,378**	**4,697**	**4,487**

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

Table 2

DISTRICT OF COLUMBIA COURTS

Grants Scheduled To Expire in FY 2012

($ in thousands)

Grant	Source	Grant Period (Includes Extensions)	Original Grant Award
Domestic Violence Project	U.S. DOJ VAWA STOP Grants	Oct. 2011 – Sept. 2012	36
Court Improvement Program (FY11 includes three grants.)	U.S. Department of Health & Human Services	Jan. 2011 – Sept. 2012	286
Fathering Reentry Court	U.S. DOJ Second Chance Act	Sept. 2010 – Sept. 2012	292
Judicial Education and Training in Teen Dating Violence	U.S. DOJ VAWA	Aug. 2010 – Aug. 2012	50
DWI/DUI Court Training	U.S. Department of Transportation	Oct. 2011 – Sept. 2012	12
Total			**$676**

DISTRICT OF COLUMBIA COURTS
FY 2014 Budget Justification
Program Evaluations

PROGRAM EVALUATIONS COMPLETED AND IN PROGRESS

For the past several fiscal years the District of Columbia Courts, through a combination of appropriated and grant funds, have developed a systematic approach to evaluating new initiatives and ongoing programs. These have included program evaluations of a range of Family Court Social Services' functions, the operation of the Multi-Door Dispute Resolution Division, and the program evaluation information provided below. As new programs are developed at the Courts, each includes a performance measurement and evaluation component to permit ongoing performance monitoring and evidence-based decision making. Following are descriptions of the program evaluations that have been completed in FY 2012 or in progress at the Courts.

1. Fathering Court Information System

The District of Columbia Superior Court, Fathering Court (FC) received grant funding in FY 2010 through the Second Chance Act administered by Bureau of Justice Assistance, U.S. Department of Justice to support on-going FC service delivery and continuous quality improvement efforts. The voluntary, judicial supervised FC provides services to non-custodial male parents with outstanding child support obligations who are returning to the District of Columbia upon their release from incarceration. Services include enhancing the employment skills of program participants, monitoring their reentry into the workforce and their currency with child support payments, and improving co-parenting relationships with the custodial parent(s) of their children. Grant funds support contractual services for employment counseling, a dedicated program manager, and the first stages of a program evaluation to create an automated performance reporting system.
Completed in May 2012, the Fathering Court Application (FCA) system consists of several modules to: 1) record intake activity, including case and client background, criminal history, child support conditions, employment status, education, technical skills and treatment services; 2) generate activity reports (e.g. by participant's age and type of services such as parenting classes, mental health treatment, substance abuse treatment and housing assistance); and 3) provide client supervision reports (e.g., number and types of contacts). In June, FC program staff began to utilize the system and enter information on new program participants. It is anticipated that with this new capability program staff will generate routine case and client activity reports for a variety of uses, including information for the presiding judicial officer to use in monitoring participant performance and setting performance goals, monitoring contractor services and reporting on program outcomes to the funder. The information maintained in the automated system will have the potential of serving as the basis of any future evaluation of the FC.

2. East of the River Community Court

The Superior Court established the East of the River Community Court (ERCC) in September 2002 to address the high rates of poverty, crime, and disorder experienced in the Sixth and

Seventh Metropolitan Police Districts. The ERCC adjudicates non-domestic violence, U.S. misdemeanor offenses such as drug possession, sexual solicitation, unlawful entry, and simple assault. With the support of both federal and local criminal justice agencies, ERCC attempts to identify and re-direct eligible defendants into suitable diversion programs. Through this process, ERCC focuses on individual accountability, individual treatment and supportive social services, and repairing damage to the community by defendants through punitive measures grounded in restorative justice (e.g., community service).

In 2009, after several years of operation, the Courts selected the ERCC for an independent evaluation. The Courts selected the Westat research firm to conduct an evaluation of the ERCC to determine whether it helped reduce defendant reoffending. The primary objective of this research was to determine whether defendants involved in ERCC diversion programs had a lower rate of recidivism than a comparison group of defendants not involved in ERCC diversion.

The study, which concluded in mid-2012, focused on 4,046 defendants entering ERCC in calendar years 2007, 2008, and 2009 and examined the number participating in ERCC diversion programs, the rate of successful ERCC completions, and any reoffending activity in the District of Columbia and Maryland for approximately 12 months post-disposition.

The study findings include—

- Of the 4,046 defendants entering ERCC, 21% participated in ERCC diversion programs.
- The most common charges associated with defendants entering the ERCC were misdemeanor drug charges.
- Of the defendants involved in ERCC diversion programs, 60% successfully completed their programs.
- Overall, reoffending was significantly lower among ERCC defendants compared to a similar group of defendants not offered or eligible for diversion programs.
- While participating in their diversion programs, defendants in the ERCC had a 60% lower reoffending rate than defendants in the comparison group.
- During the 12 months post-disposition, defendants successfully completing ERCC had a 42% lower reoffending rate than defendants in the comparison group.
- During the entire study period (i.e., case initiation to post-disposition), defendants not participating in the ERCC were approximately twice as likely to reoffend compared to defendants who successfully completed an ERCC diversion program.

Based on these findings and the overall success of the ERCC, the community court program was expanded in January 2012 to include all criminal U.S. misdemeanor calendars prosecuted by the United States Attorney's Office in Superior Court to serve all seven (7) Metropolitan Police Districts, covering all eight (8) wards in the District of Columbia. The establishment of community courts in each police district also exemplifies the Courts' commitment to providing access to justice, enhancing public safety and assisting in the rehabilitation of offenders.

3. Reoffending Activity of Post-Disposition Youth in the District of Columbia

In FY 2009, the Courts contracted with the National Center for Juvenile Justice (NCJJ) to conduct a study on the reoffending activity of youth in the District of Columbia. The study examined juveniles who received a probation or commitment disposition in calendar year 2007 and examined the differences and similarities between each group. The primary goals of the study included establishing baseline information on reoffending activity, assessing the relative effects of probation vs. commitment dispositions on reoffending, and assisting in the development of a computer program to track youth reoffending in the future.

The NCJJ has completed the initial reoffending study, which focused on 1,222 juveniles whose cases were disposed in 2007 by either probation with Family Court Social Services (CSS) or commitment to the D.C. Department of Youth Rehabilitative Services (DYRS) and tracked their reoffending behavior in the District, Maryland, and Virginia for approximately 12 months following disposition.

The study findings include—

- In 2007, less than 3% of District of Columbia youth ages 10 through 17 were in the juvenile justice system.
- Delinquency cases in the District of Columbia primarily included: acts against persons (40%), motor vehicle theft (19%), drug offenses (13%), and robbery (10%).
- The majority of the juvenile offenders were placed on probation with Court Social Services (80%) rather than committed to DYRS (20%).
- Those juveniles who were committed to DYRS were older and had proportionately more violent offenses than juveniles placed on CSS probation.
- Juvenile reoffending rates in the District of Columbia were comparable to, or within the expected range of, reoffending rates in other comparable jurisdictions.
- Of the 1,222 juveniles in the study, after disposition (start of placement), only 40% had a subsequent petitioned case.
- Juveniles committed to DYRS were more likely, compared to juveniles placed on CSS probation, to reoffend with a Violent Crime Index offense, a Property Crime Index offense, or a drug offense.
- The reoffending rate for juveniles during probation supervision was 30%, which is within the range of reoffending rates in other urban jurisdictions. When tracked for the full 12 month period, half of the juveniles placed on CSS probation had a subsequent offense.
- By comparison, the reoffending rate for juveniles during DYRS supervision was 42%. When tracked for 12 months, 44% of the juveniles committed to DYRS had a subsequent offense.

Based on these results and the conclusion of NCJJ's work, the Courts are developing an automated system with capabilities to routinely track and report juvenile reoffending as well as to conduct special, comprehensive studies internally in the future.

4. District of Columbia Family Treatment Court

The Family Treatment Court (FTC) is a problem solving court administered through the Family Court of the Superior Court. Since its inception in calendar year 2003, the goal of the FTC has been the establishment of safe and permanent homes for children who have suffered neglect by their substance dependent mothers. The FTC focuses on treating mothers charged with neglect who volunteer to receive intense substance abuse treatment in order to address the conditions that led to the alleged abuse or neglect of their child or children.

The FTC has been modeled to include several best practices, such as frequent judicial contact and oversight, a 15 month comprehensive substance abuse treatment program, enhanced parental skills training and aftercare services. The FTC provides an alternative to placing children in foster care, as they remain with their mothers during substance abuse treatment.

In FY 2009, the Courts selected the FTC to be the subject of an independent program evaluation. The Westat research firm was selected through the Courts' competitive bidding process and completed an 18 month study of the FTC in June 2011. The evaluation reported that the program was implemented as designed and served a limited, screened target population, and it identified areas for program improvement and future action. Based on these suggestions, the Courts began a limited follow-up study, using internal resources in the Research and Development Division and in collaboration with the District's Child and Family Services Agency (CFSA), to assess outcomes for children whose mothers completed the program. The findings from this examination are expected in late calendar year 2012.

PROGRAM EVALUATIONS PLANNED FOR FY 2013

For FY 2013, the Courts plan to conduct three program evaluations, including a process and outcome evaluation of the expanded East of the River Community Court, the Adult Drug Court, (which is operated by the Pretrial Services Agency of the District of Columbia and partner organizations, including the Courts), and the Courts' DUI (Driving Under the Influence) Initiative, which is in development and expected to be operational in early calendar year 2013. Each of the evaluations is in the project design stage and expected outputs are being developed. At minimum, they will provide baseline information of program participants and their backgrounds, their criminal histories, treatment profiles and progress, as well as any re-offending behavior that may have occurred during the respective study periods. Additionally, the Courts seek information on the overall effectiveness of each program, the number of participants served, the resources required to operate the program, service contact hours and other specific program operation indicators. The Courts plan to conduct the three multi-year evaluations through a combination of contractor and internal research analyst resources. It is expected that, due to the anticipated scope and design of each evaluation, preliminary findings will be available within 18-24 months from the commencement of each project.

District of Columbia Courts
FY 2014 Budget Justification
DEFENDER SERVICES

As required by the Constitution and statute, the District of Columbia Courts appoint and compensate attorneys to represent persons who are financially unable to obtain representation under three Defender Services programs. The Criminal Justice Act (CJA) program provides court-appointed attorneys to indigent persons who are charged with criminal offenses.[8] The Counsel for Child Abuse and Neglect (CCAN) program provides the assistance of a court-appointed attorney in family proceedings in adoptions, where child abuse or neglect is alleged, or where the termination of the parent-child relationship is under consideration and the parent, guardian, or custodian of the child is indigent.[9] The Guardianship program provides for compensation to service providers in guardianship and protective proceedings for incapacitated adults.[10] In addition to legal representation, these programs provide indigent persons access to services such as: transcripts of court proceedings; expert witness testimony; investigations; and genetic testing.

Defender Services attorneys and service providers submit vouchers to the D.C. Courts' Budget and Finance Division detailing the time and expenses involved in working on a case. Following administrative review and approval by the judge or magistrate judge presiding over the case, the voucher is processed for payment by the General Services Administration (GSA), which remits funds from the Defender Services appropriation.

Estimating FY 2014 Resource Requirements

In its required reports and filings with the Office of Management and Budget and Congress, the Courts historically recognized Defender Services obligations at the time of payment (outlays), maintaining a carryover balance from year to year to cover those vouchers that were issued in prior years (at the time an attorney was appointed to a case) but not yet submitted to the court for payment. In contrast, however, generally accepted accounting principles require that the Courts disclose the value of these outstanding vouchers, or liabilities, on their annual financial statements. This outstanding liability was calculated by multiplying the total number of vouchers in each case type by the computed average cost paid by case type.

Predicting program obligations has historically been difficult because attorneys submit claims for reimbursement only after the conclusion of a case, or the termination of legal representation associated therewith, which may be years after their appointment to a case. In 2000 a study conducted by independent accountants found that it took seven years from the time an attorney was appointed to a case for all vouchers to be submitted to the court for payment. The Courts' budget submissions since FY 2000 have included a projection of the value of issued vouchers as a liability ("obligation") each fiscal year over and above projected outlays. Although the stated dollar value of the obligations was not posted into the financial system of record in the past, these projected obligations became the basis of each budgetary request for resources, which has

[8] See D.C. Code §11-2601 *et seq*.
[9] See D.C. Code §16-2304.
[10] See D.C. Code §21-2060.

also included a narrative on accrued and unpaid liabilities. Due to enhanced program management, operational changes (including the establishment of guideline vouchers), administrative efficiencies and business process reengineering in recent years, the time between attorney appointment to a case and payment of the voucher has been drastically reduced. Today, nearly all vouchers are paid within 3 years of the attorney appointment to a case.

In light of the foregoing, the Courts contracted with an independent accounting firm during FY 2009 to 1) analyze the current liability stream of the Defender Services programs; 2) develop a sound methodology to recognize program obligations (e.g. accounting treatment of vouchers issued under the programs); and 3) project future resource requirements. The goal of these activities was to better align the outstanding liabilities of the Defender Services programs reflected on annual financial statements with Federally required (monthly, quarterly, and annual) reports and filings, and with the Courts' budget submissions.

The accounting firm gave its recommendations, which included—

1) the obligation of vouchers upon issuance (i.e. at the time of attorney appointment) instead of upon submission for payment; and
2) the formal recognition of the financial liability of outstanding vouchers from prior years by establishing the obligation in the financial system of record through a one-time journal entry at the beginning of FY 2010.

The firm's recommendations were based in large part on a decision issued by the Comptroller General – *50 Comp. Gen. 589 (1971)*, which noted that "[i]t is clear that from the time of the attorney's appointment a contractual obligation exists on the part of the Government to pay the reasonable costs of the representation, and that the subsequent court review of the voucher is only for the purpose of determining that the actual costs claimed to have been incurred were necessarily incurred and are in fact reasonable."

The Courts adopted the firm's recommendations. The liabilities in the account (which were carried in the financial system as an unobligated balance) were converted into obligations. This action also reduced the large unobligated carryover balance in the account, which had increased steeply in FY 2008 and FY 2009 when hourly rate increases were fully funded but not in effect at the start of those fiscal years. FY 2012 represents the second full year that the Courts routinely accrued and posted voucher obligations (representing vouchers issued but not paid) to the financial system of record.

Given administrative efficiencies and business process re-engineering, the Courts' ability to project future resource requirements has been greatly enhanced. Moreover, implementation of the current methodology for accounting for prior year obligations has provided a more systematic process for ensuring sufficient funding. The Courts are confident that sufficient funding has been reserved for obligations from prior years, thereby enabling a reduction in projected future funding needs. This reduction is reflected in the Courts' FY 2013 and 2014 budget requests, which are approximately $5 million below the FY 2012 appropriation.

FY 2014 Request

The Courts request $49,890,000 for Defender Services in FY 2014, the same as the FY 2013 President's Recommendation of $49,890,000.