

FY 2017 Budget Justification



District of Columbia Courts

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**District of Columbia Courts
FY 2017 Budget Justification
Table of Contents**

1. Summary	
a. Narrative	Summary-1
b. Organizational Chart	Summary-10
c. Overview of Request Table	Summary-11
d. Request Summary Table	Summary -12
2. Appropriations Language	
a. Language	Appropriations Language-15
3. Court of Appeals	
a. Narrative	Court of Appeals-17
b. Object Classification Table	Court of Appeals-24
4. Superior Court	
a. Narrative Overview	Superior Court-27
b. Object Classification Table	Superior Court-30
c. Division Narratives	Superior Court-31
5. Court System	
a. Narrative Overview	Court System-113
b. Object Classification Table	Court System-114
c. Division Narratives	Court System-115
6. New Positions Requested by Grade	
a. New Positions Requested	New Positions-179
7. Capital Budget (Exhibit 300: Capital Asset Plan and Justification)	
a. Fiscal Year 2017 Capital Budget Justification Summary Table	Capital-181
b. Capital Budget Introduction	Capital-182
c. Renovations, Improvements, & Expansions	Capital-193
d. Maintain Existing Infrastructure	Capital-225
8. Grant-funded Activities and Reimbursements	
a. Narrative	Grants and Reimbursements-297
b. Table	Grants and Reimbursements-299
9. Program Evaluation	
a. Narrative	Program Evaluations-301
10. Defender Services	
a. Narrative	Defender Services-303

DISTRICT OF COLUMBIA COURTS
Budget Justification
Summary
Fiscal Year 2017

Comprised of the Court of Appeals, the Superior Court, and the Court System, the District of Columbia Courts constitute the Judicial Branch of the District of Columbia government. The mission of the District of Columbia Courts is to protect rights and liberties, uphold and interpret the law, and resolve disputes peacefully, fairly, and effectively in the District of Columbia. To support the Courts' achievement of its mission in fiscal year 2017, the Courts request \$373,147,000 for operations and capital improvements. Of this amount, \$14,614,000 is requested for the Court of Appeals; \$126,727,000 is requested for the Superior Court; \$75,806,000 is requested for the Court System; and \$156,000,000 is requested for capital improvements for courthouse facilities. In addition, the Courts request \$49,890,000 for the Defender Services account.

The D.C. Courts' FY 2017 request includes an increase of \$6,936,000, offset by a reduction of \$1,600,000 for a non-recurring expense in FY 2016, representing a net increase of \$5,336,000 (3%) and 22 full-time equivalent (FTE) positions over the FY 2016 Enacted Budget for operations. Our capital budget request represents an increase of \$93 million to support critical space needs outlined in the Facilities Master Plan and to maintain the Courts' infrastructure of five buildings and 1.2 million gross square feet of space.

Chart 1, at p. 10, provides the organizational structure of the Courts, an overview of the request is provided at Table 1 on p. 11, and a summary is at Table 2, pp. 12-13.

Recent Achievements

In FY 2014, the Court of Appeals and the Superior Court resolved nearly 100,000 cases (1,918 and 96,799 cases, respectively). The Courts look forward to continued success in enhancing our services to youth and self-represented litigants; expediting case processing; enhancing technology and training; and managing operations. We are proud of the Courts' recent successes in achieving our strategic goals that include the following:

Goal 1: Fair and timely case resolution

- initiation of staggered schedules, in which Superior Court litigants are scheduled to appear at different times during the day, rather than being told to report first thing in the morning, to reduce wait times for litigants and enhance efficiency. Staggered schedules have been piloted in some domestic violence, paternity and support, civil, and criminal misdemeanor calendars;
- completion in July 2015 of a State Justice Institute-funded Operational Assessment of the D.C. Court of Appeals conducted by the National Center for State Courts to examine management structure, workflow processes, staffing, and application of technology to streamline internal operations to better support judicial decision-making and operational efficiency;

- expansion of alternative dispute resolution to family cases involving intimate partner violence or abuse (which is being studied by Indiana University and the University of Arizona through a grant from the National Institute for Justice to assess whether parties with high degrees of violence or abuse can be accommodated in mediation) thereby increasing access to justice for victims; to guardianship cases to help families reach agreement on the best care for incapacitated adults; and to same-day mediation in civil preliminary injunction cases, usually involving disputes between neighbors, to speed resolution of these cases;
- development of a more evidence-based approach to summoning jurors, which resulted in better use of jurors' time (80% of jurors are now sent to a courtroom compared to 66% before the new approach) and reductions in the number of citizens called to serve as jurors;
- production of a new orientation video for jurors to explain practical aspects of jury service and the significance of this civic duty to our system of justice;
- creation of a Guardianship Assistance Program to improve services provided to incapacitated adults through a collaborative program in which master degree social work students at local universities are appointed by the Probate Court to visit adult wards, report on the services being provided, and work with the guardians appointed by the court to address any unmet needs of the wards;
- expansion of the Superior Court's award-winning Community Court city-wide, which addresses quality-of-life crimes through a blend of therapeutic and restorative justice (i.e., solve the underlying issue causing the criminal behavior and restore, or pay back, the community through service hours), after a program evaluation showed the initial community court reduced recidivism rates by as much as 60%;
- operation of the adult Mental Health Community Court to address the special needs of defendants suffering from mental illnesses, including a mental health clinic in the courthouse. A recent study revealed that Mental Health Community Court participants were significantly less likely than defendants in traditional courts to be re-arrested during the year after exiting the Mental Health Court;
- operation of specialized courts for families in need: the Fathering Court provides job training and parenting education to fathers re-entering the community from incarceration, ensuring that they pay their child support and become active in their children's lives; and the Family Treatment Court, expanded in 2013, provides residential substance abuse treatment to parents in the child welfare system, keeping their children with them during treatment, rather than placing the children in foster care;
- initiation of enhanced case processing opportunities for persons with housing problems, including a Housing Conditions Calendar, where tenants can file expedited actions to enforce remediation of housing code violations, and a Foreclosure Calendar with specially trained mediators, counselors, and *pro bono* attorneys;
- cultivation of quality representation for families through a Child Welfare Legal Clinic, operated by a local law school, that represents parents in abuse and neglect cases, thereby training law students in this area of law and encouraging them to specialize in it as attorneys;
- implementation of a comprehensive revision of Court of Appeals rules of practice to reduce expenses associated with record preparation;
- continuing conversion from paper to electronic case records, with recent paperless initiatives in Civil Actions, Landlord Tenant, Domestic Violence, juvenile, and neglect matters;

Goal 2: Access to justice

- greater assistance to litigants without lawyers through implementation of new judicial ethics rules based on national standards that include a provision on the judge's role in facilitating self-represented litigants' right to be heard. For example, the judge in a case may consider providing information about the proceedings, asking neutral questions, or explaining the basis for a ruling;
- initiation of live video streaming of arguments before the Court of Appeals on the Internet, leveraging technology to provide the public greater access to the Court;
- continuation of the Public Education Outreach Initiative, in which the Court of Appeals holds oral arguments at local law schools several times each year;
- operation of self-help centers in partnership with the D.C. Bar, AARP, the Legal Aid Society, and law schools to assist unrepresented litigants in Family Court, Landlord Tenant and Small Claims courts; Consumer Law, Probate and Tax matters; and domestic violence cases;
- development of a Language Access Plan to assure meaningful access to court proceedings for limited English proficient (LEP) persons in the community;

Goal 3: A strong judiciary and workforce

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

new recruiting component of the HRIS has already expanded the applicant pool and facilitated hiring. As part of this process, a five-year Human Resources Strategic Plan was developed;

- ongoing “Building a Great Place to Work” initiative to ensure that our employees are highly productive and fully engaged and provide excellent public service. In the 2013 Employee Viewpoint Survey, with 68% of employees responding, 95% of D.C. Courts’ employees indicated they were willing to put in extra effort to get the job done. The Courts will continue to focus on the areas of health and wellness, work/life balance, internal communications, and performance management;

Goal 4: A sound infrastructure

- expansion of e-filing to appellate matters, probate cases, nearly all civil actions, and several types of family cases, which facilitates access to the court, reduces duplicative data entry thereby improving the quality of court data, and enhances efficiency at the court and other agencies;
- expansion of the use of Voice Over Internet Protocol (VoIP) technology for telephone service, making phone calls portable, decreasing costs, and simplifying administration;
- completion of the Digital Wills Project, the creation of a digital database containing all wills and codicils filed in the District of Columbia since 1802;
- creation of Web-Ex Warrant Process, in collaboration with other justice system agencies to streamline the process of issuing warrants and decrease travel costs and overtime pay for the Metropolitan Police Department: police officers scan warrants into the computer system at the Police District, a judge reviews the warrant with the officer via web conference, and, if approved, the court electronically sends the warrant to the officer, who makes an arrest or executes a search;
- construction of the foundation for an addition to the Moultrie Courthouse, which will provide additional courtrooms and administrative space, addressing space shortages and making possible the co-location of remaining Family Court functions.
- completion of a multi-year project to improve and modernize adult and juvenile holding facilities and to construct new U.S. Marshals Service administrative space in the Moultrie Courthouse;
- renovation of the criminal arraignment courtroom in the Moultrie Courthouse, including electronic messaging and other technology improvements to enhance operations and public access;
- modernization and renovation of Building C to provide up-to-date, energy efficient space for the public visiting the Multi-Door Dispute Resolution Division and for the Information Technology Division;
- implementation of physical security enhancements such as installation of additional security cameras, issuance to employees of enhanced access credentials with current photographs and other information, and upgrading of life safety systems;
- training for judges, court staff, and court-housed employees of other agencies on steps to take in the event of an active shooter or a bomb threat in the courthouse;
- upgrade of information technology equipment at the Courts’ disaster recovery site;

Goal 5: Public trust and confidence

- support efforts to strengthen the rule of law and the development of justice systems around the world by hosting international judicial system delegations sponsored by the U.S. Department of State, the U.S. Agency for International Development (USAID), World Bank, and international cultural exchange organizations, providing educational programs tailored to the needs and interests of each individual delegation;
- implementation of the iCivics program in D.C. charter schools to teach students about our government and the rights and responsibilities of citizenship;
- participation in community events and festivals to provide opportunities for the public to learn about the D.C. Courts; the Courts also sponsor and participate in community meetings;
- implementation of the Courts' third Strategic Plan to ensure strategic alignment of our goals, functions, and resources in 2013 - 2017, following extensive community input, including surveys of 1,300 persons conducting business at the courthouse, 1,200 attorneys who recently appeared in the Courts, and all D.C. Courts' judges and employees;
- adoption of courtwide performance measures to monitor and assess case processing activities, court operations and performance and initiation of a multi-year business intelligence initiative to enhance performance analysis, reporting, and public accountability;
- operation of juvenile probation programs by the Family Court Social Services Division to enhance public safety and rehabilitation of juveniles, including the Juvenile Behavioral Diversion Program to focus on juveniles with serious mental health concerns; the Leaders of Today in Solidarity (LOTS) program to address the needs of female juveniles; the Balanced and Restorative Justice Drop-In Centers in all four quadrants of D.C. to provide community-based juvenile probation supervision and services; the restructuring of supervision for juveniles to a seamless, one youth/family, one probation officer model; and the implementation of activities to engage youth in productive activities during their spring and summer breaks from school;
- 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 2014.

FY 2017 Request Summary

The D.C. Courts are implementing our third five-year Strategic Plan, which guides court operations from 2013 to 2017. As noted above, the plan reflects input from several thousand members of the community, justice system agencies, and individuals served by the Courts, including litigants and their family members, victims, witnesses, attorneys, jurors, and others who were asked to assess their needs, views, and expectations of the Courts. The Courts' divisions develop Management Action Plans (MAP's) which prioritize their activities and align them with courtwide goals and strategies. The FY 2017 budget request incorporates all five of the Courts' strategic 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 2017, the Courts request additional resources as outlined below.

FY 2017 Operating Budget: Summary by Strategic Goal

Listed below are the Courts' requested additional operating budget resources by each of the Courts' strategic goals to ensure that we perform our mission with quality, professionalism, efficiency, and fiscal integrity.

Goal 1: Fair and timely case resolution--\$953,000 and 7 FTEs

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

The request includes \$100,000 for 1 FTE to enhance appellate case resolutions; \$100,000 for 1 FTE to address appellate technology needs; \$500,000 to replace the trial court's juror management system, which has reached the end of its lifecycle; \$152,000 for 3 FTEs to address rising caseloads in the Probate Division; and \$101,000 for 2 FTEs to support increasing mediation caseloads.

Goal 2: Access to Justice--\$972,000 and 5 FTEs

Justice must be available to all members of our community. Differences such as culture, economics, language, and physical traits can serve as barriers to justice. Courts must continually strive to identify and eliminate barriers to access, assist personnel in understanding persons with different needs, and provide appropriate information and services to ensure accessibility.

The request includes \$972,000 and 5 FTEs to create a self-help center to assist unrepresented litigants in probate matters with estates and guardianships of incapacitated adults.

Goal 3: A Strong Judiciary and Workforce—\$248,000 and 2 FTEs

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 request includes \$165,000 for 1 FTE to provide a deputy director to help manage the myriad functions of the Special Operations Division, which is responsible for jury management, interpreting services for the hearing impaired and those with limited English proficiency, tax cases, emergency matters, the library, the child care center, and identifying related cases in the

case management system and \$83,000 for 1 FTE to support additional training programs offered to judicial officers and court staff.

Goal 4: Sound Infrastructure--\$221,000 and 3 FTEs

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

The request includes \$221,000 for 3 FTEs to increase the responsiveness of the Information Technology Help Desk, thereby providing better customer service to court personnel.

Goal 5: Public Trust and Confidence--\$390,000 and 5 FTEs

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 request includes \$390,000 for 5 FTEs to enhance juvenile probation services, specifically by providing additional leadership for the new Balanced and Restorative Justice Drop-in Center in Northwest DC, administrative support to free probation officers to focus on the youth, and legal analysis of new legislation and proposed programs.

Built-In Increases--\$4,152,000

To maintain the current level of service, the request also includes \$4,152,000 for built-in increases, including cost-of-living, within-grade, and non-pay inflationary increases. The Courts request funding for within-grade increases because we have very little turnover compared to the Federal Government, which can finance within-grade increases through higher turnover (6.1%¹ in 2014 versus 14.1%, respectively).

Capital Budget Request: Infrastructure Investments

To support the Courts' Goal 4: A Sound Infrastructure by addressing the space needs of court operations, ensuring the health and safety of those conducting business in our buildings, maintaining and improving the condition of court facilities, and maintaining the Courts' technology infrastructure, the FY 2017 capital request totals \$156,000,000. This request focuses on the Moultrie Courthouse, safety and security, and building maintenance.

¹ The turnover figure does not include law clerks, who serve one-year terms, for whom no within-grade funds are requested.

The Courts' capital budget is structured to continue progress in implementing the *Facilities Master Plan* which addresses facilities requirements through 2022. The updated *Facilities Master Plan* projects a shortfall of 57,250 occupiable square feet over the next 10 years for court operations, and it documents maintenance requirements and improvements to existing facilities. The space shortfall is addressed through an addition to the Moultrie Courthouse.

With the support of the President and Congress, the Courts have made significant progress in implementing the *Facilities Master Plan*. The restoration of the Historic Courthouse for the Court of Appeals was completed April 15, 2009, and the renovation of Building C was completed February 13, 2012. Buildings A and B have been renovated and now house our Landlord Tenant and Small Claims courts and the Probate Division. A separate Family Court entrance and expanded facilities, including a Central Intake Center and child-friendly waiting area, were constructed in the Moultrie Courthouse on the JM Level, and Family Court administrative offices moved to the JM Level in February 2011. A new Juvenile Holding Facility was constructed in May 2009. The renovation to the 6th Floor of the Moultrie Courthouse, vacated by the Court of Appeals in 2009, was completed in January 2011 and now houses judicial chambers, the Superior Court Library, the Executive Office, and the General Counsel's Office. The renovation of the Adult Holding facility for prisoners and the U.S. Marshals Service administrative space was completed in 2014.

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 it undergoes expansion to address the space shortfall. The construction of an addition will include six criminal-capable trial courtrooms, 20 judge's chambers, and office space. The Moultrie Courthouse Addition will fulfill the Family Court mandate by accommodating the relocation of juvenile probation from Building B to the Courthouse and consolidating all Family Court functions on two levels of the Moultrie Courthouse.

A significant portion of the FY 2017 capital budget request, \$83.14 million, finances the eastern half of the Moultrie Courthouse Addition. Construction of the foundation for the addition was completed in March 2015, and, thanks to the support of the President and Congress, funds to complete the western half of the addition are included in the FY 2016 budget. This addition will add 57,250 occupiable square feet of space to the Moultrie Courthouse and expand the building along the south façade at C Street.

The Courts, like many public institutions, face security threats to ongoing operations, where 10,000 members of the public enter our buildings each day. In addition, the Courts face unique security risks due to the presence of hundreds of prisoners in the Moultrie Courthouse as well as over 100 individual judges whose personal safety is increasingly at risk. The Courts' request includes \$8.99 million to improve physical safety through perimeter security enhancements, and lighting/signage upgrades.

To replace the Superior Court case management system, which has reached the end of its expected life and is becoming increasingly difficult and costly to maintain, \$14.35 million is requested. The case management system is the foundation of court operations—fundamental to fair and timely case resolution and required to ensure public trust and confidence in the justice

system. The new system will be web-based, enhancing public access to court information, and will be designed to leverage new technology, such as cloud computing.

The capital budget also includes a request for \$49.52 million to maintain and upgrade the Courts' facilities. A Facilities Condition Assessment (FCA) was conducted to analyze life cycle and maintenance needs for each of the court buildings. Mechanical systems and structural repairs are needed to ensure the safety of building occupants and preserve the integrity of these historic structures. The Courts request \$16.43 million for the HVAC, Electrical, and Plumbing Upgrades to continue to upgrade electrical systems and to replace the HVAC equipment as components reach the end of their useful life throughout the campus. To create new public restrooms in the Moultrie Courthouse, \$920,000 is requested. The \$2.6 million requested for Fire and Security will finance the next phase of an ongoing program to install a sprinkler system in the Moultrie Courthouse. In addition, \$21.14 million is requested for General Repair Projects, including ADA accessibility, safety enhancements, and continued replacement of equipment, fixtures, lighting, flooring, ceiling tiles and other capital investments. To keep elevators and escalators in good working order, \$300,000 is requested. In addition, \$4.87 million is requested for technology infrastructure enhancements. Also, \$1.22 million is requested for maintenance of the Historic Courthouse, to protect the public investment in its renovation, which was completed in 2009. Finally, \$2.04 million is requested for design and preliminary work to prepare to return administrative offices from leased space to Building B.

Defender Services Budget Request

To support Strategic Goal 2: Access to Justice, the FY 2017 Defender Services request totals \$49,890,000, unchanged from FY 2016.

Chart 1
DISTRICT OF COLUMBIA COURTS
 Organizational Structure

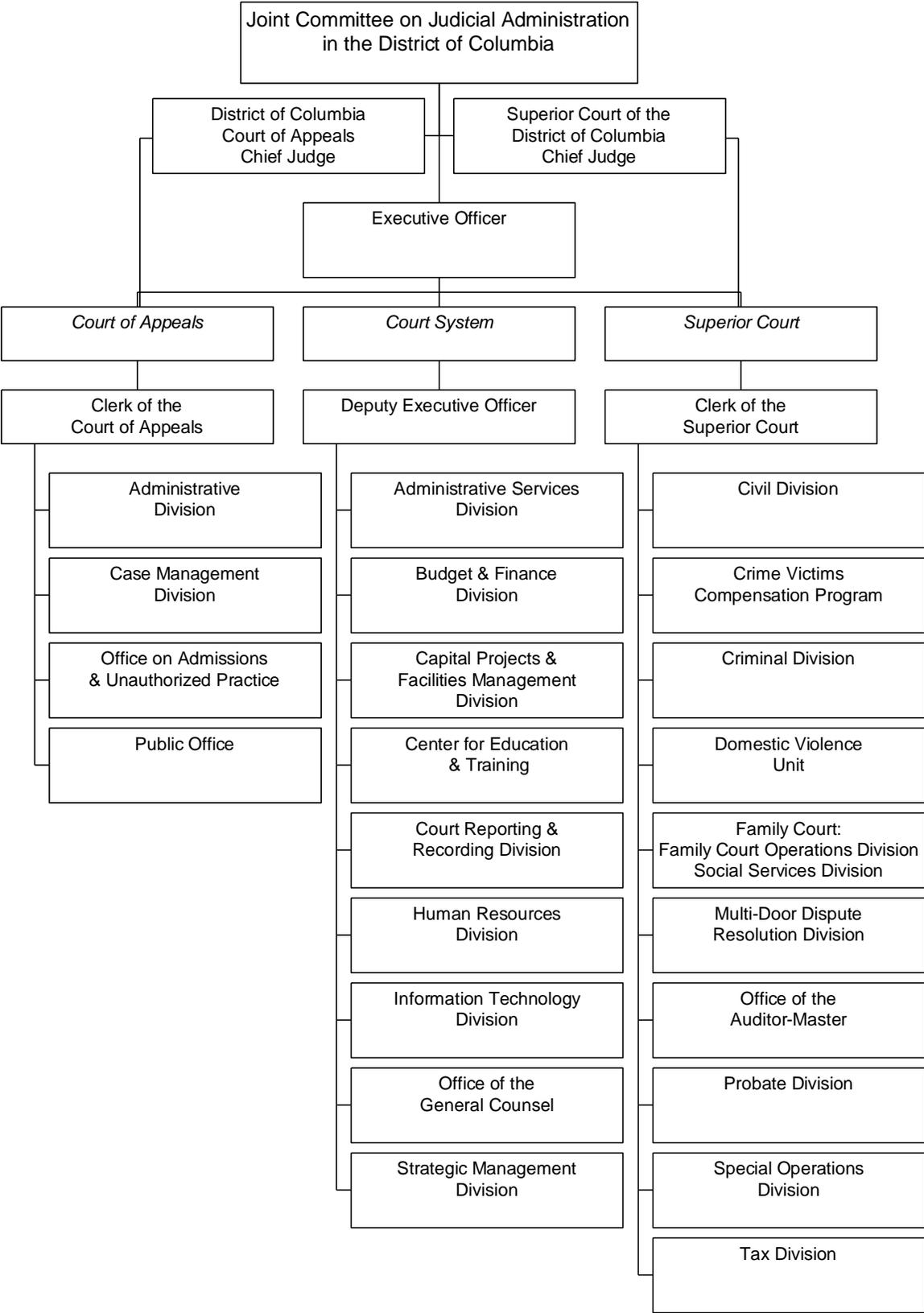


Table 1
DISTRICT OF COLUMBIA COURTS
FY 2017 Budget Justification
 Overview of Request
 (in dollars)

	<u>FY 2016 Enacted</u>	<u>FY 2017 Request</u>	<u>Difference FY 2016/2017</u>
Court of Appeals	14,192,000	14,614,000	422,000
Superior Court	123,638,000	126,727,000	3,089,000
Court System	<u>73,981,000</u>	<u>75,806,000</u>	<u>1,825,000</u>
Subtotal, Operations	211,811,000	217,147,000	5,336,000
Capital	62,590,000	156,000,000	93,410,000
Total, Federal Payment	274,401,000	373,147,000	98,746,000
Defender Services	49,890,000	49,890,000	0

Table 2
DISTRICT OF COLUMBIA COURTS
FY 2017 Budget Justification
Summary Table

Operating Budget

	<u>Amount</u>	<u>FTE</u>
District of Columbia Court of Appeals		
FY 2016 Level	14,192,000	105
FY 2017 Requested Increases		
<i>A. Fair and Timely Case Resolution:</i>		
1. Enhancing Case Resolutions	100,000	1
2. Enhancing IT Functions	<u>100,000</u>	<u>1</u>
<i>Subtotal</i>	200,000	2
<i>B. Built-In Cost Increases:</i>		
	222,000	-
FY 2017 Budget, Court of Appeals	14,614,000	107
Superior Court of the District of Columbia		
FY 2016 Level	123,638,000	976
<i>Reduction (non-recurring BARJ build-out expenses)</i>	<i>-1,600,000</i>	
FY 2017 Requested Increases		
<i>A. Goal 1: Fair and Timely Case Resolution:</i>		
1. Upgrade Juror Management System (Special Operations Division)	500,000	-
2. Enhancing Probate Case Resolution (Probate Division)	152,000	3
3. Mediation Improvements (Multi-Door Division)	<u>101,000</u>	<u>2</u>
<i>Subtotal</i>	753,000	5
<i>B. Goal 2: Access to Justice</i>		
1. Probate Self-Help Center (Probate Division)	<u>972,000</u>	<u>5</u>
<i>Subtotal</i>	972,000	5
<i>C. Goal 3: A Strong Judiciary and Workforce</i>		
1. Deputy Director (Special Operations Division)	<u>165,000</u>	<u>1</u>
<i>Subtotal</i>	165,000	1
<i>D. Goal 5: Public Trust and Confidence</i>		
1. Enhancing Juvenile Probation (Family Court Social Services Division)	<u>390,000</u>	<u>5</u>
<i>Subtotal</i>	390,000	5
<i>E. Built-In Cost Increases:</i>		
	2,409,000	
FY 2017 Budget, Superior Court	126,727,000	992

	<u>Amount</u>	<u>FTE</u>
District of Columbia Court System		
FY 2016 Level	73,981,000	299
FY 2017 Requested Increases		
A. <i>Goal 3: A Strong Judiciary and Workforce</i>		
1. Education Specialist (Center for Education and Training)	<u>83,000</u>	<u>1</u>
<i>Subtotal</i>	<i>83,000</i>	<i>1</i>
B. <i>Goal 4: A Sound Infrastructure</i>		
1. IT Customer Service Improvements (Information Technology Division)	<u>221,000</u>	<u>3</u>
<i>Subtotal</i>	<i>221,000</i>	<i>3</i>
C. <i>Built-In Cost Increases:</i>	<i>1,521,000</i>	<i>-</i>
FY 2017 Budget, Court System	75,806,000	303
Total FY 2017 Budget, D.C. Courts Operations	217,147,000	1,402

Capital Improvements

Renovations, Improvements & Expansions		
1. Moultrie Courthouse Addition	83,140,000	
2. Campus Security, Signage and Lighting	8,990,000	
3. Trial Court Case Management System	<u>14,350,000</u>	
<i>Subtotal, Renovations, Improvements & Expansions</i>	<i>106,480,000</i>	
Maintain Existing Infrastructure		
1. HVAC Electrical and Plumbing Upgrades	16,430,000	
2. Restroom Improvements	920,000	
3. Fire and Security Alarm Systems	2,600,000	
4. General Repair Projects	21,140,000	
5. Elevator and Escalator Repairs and Replacement	300,000	
6. Technology Infrastructure	4,870,000	
7. Historic Courthouse	1,220,000	
8. Building B (510 4th Street) Modernization	<u>2,040,000</u>	
<i>Subtotal, Maintain Existing Infrastructure</i>	<i>49,520,000</i>	
FY 2017 Budget, Capital Improvements	156,000,000	

Defender Services

FY 2016 Level	49,890,000
Requested Increases	-
FY 2017 Budget, Defender Services	49,890,000

**District of Columbia Courts
FY 2017 Budget Justification
Appropriations Language**

FEDERAL PAYMENT TO THE DISTRICT OF COLUMBIA COURTS

For salaries and expenses for the District of Columbia Courts, [\$274,401,000] \$373,147,000, to be allocated as follows: for the District of Columbia Court of Appeals, [\$14,192,000] \$14,614,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the Superior Court of the District of Columbia, [\$123,638,000] \$126,727,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the District of Columbia Court System, [\$73,981,000] \$75,806,000, of which not to exceed \$2,500 is for official reception and representation expenses; and [\$62,590,000] \$156,000,000, to remain available until September 30, [2017]2018, for capital improvements for District of Columbia courthouse facilities: *Provided*, That funds made available for capital improvements shall be expended consistent with the District of Columbia Courts master plan study and facilities condition assessment: *Provided further*, That notwithstanding any other provision of law, all amounts under this heading shall be apportioned quarterly by the Office of Management and Budget and obligated and expended in the same manner as funds appropriated for salaries and expenses of other Federal agencies: *Provided further*, That 30 days after providing written notice to the Committees on Appropriations of the House of Representatives and the Senate, the District of Columbia Courts may reallocate not more than \$6,000,000 of the funds provided under this heading among the items and entities funded under this heading: *Provided further*, That the Joint Committee on Judicial Administration in the District of Columbia may, by regulation, establish a program substantially similar to the program set forth in subchapter II of chapter 35 of title 5, United States Code, for employees of the District of Columbia Courts. (*District of Columbia Appropriations Act, 2016.*)

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. (*District of Columbia Appropriations Act, 2016.*)

DISTRICT OF COLUMBIA COURT OF APPEALS

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
105	13,622,000	105	14,192,000	107	14,614,000	2	422,000

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

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

Organizational Structure

The Office of the Clerk of the Court

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

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

- Immediate Office - The Immediate Office, which includes the Clerk and the Chief Deputy Clerk, handles the general administration of the Clerk's Office; coordinates the processing of appeals after briefing (calendar, case screening, and processing motions and orders in calendared matters); coordinates the issuance of opinions and mandates, petitions for rehearing and/or rehearing *en banc*; processes bar-related disciplinary, admissions, and unauthorized practice of law matters; and prepares court statistics. This office 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 practice law *pro hac vice* (in a particular case); collects admissions and related fees; provides staff support for the investigation of complaints against unauthorized persons practicing law; and provides support to the two committees; which ensure that local legal needs are met by properly qualified and licensed attorneys. This office currently has 6 FTEs.
- Administrative Office - The administrative staff is responsible for 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) case processing and (2) bar admissions and related activities. Case processing performance indicators include (1) the case clearance rate, or the ratio of cases disposed to cases filed in a given year; and (2) the reduction of cases pending at the end of the year. Factors used to assess staffing needs include the number of case filings, number and type of dispositions, cases pending, time involved in various stages of the case process, and types of cases pending.

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

Fiscal Year	Cases Filed	Cases Disposed	Case Clearance Rate*	Cases Pending	Motions and Petitions Filed
2013	1,604	2,040	127%	1,792	6,529
2014	1,558	1,875	120%	1,679	6,151

*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
2013	3,625	2,359	10,990	580
2014	3,065	1,806	7,812	420

Case Processing and Operational Efficiency Initiatives and Public Access

The Court of Appeals continues to implement many initiatives to facilitate or expedite case processing, to achieve operational efficiencies, and to enhance service to the public.

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

- To enhance public access to court proceedings, the Court audio-streams oral arguments over the Internet. The court also video-streams selected oral arguments.
- The Court implemented the Web-based Voucher System which automated the voucher payment process for attorneys appointed under the Criminal Justice Act (CJA), resulting in a more cost-efficient operation and enhanced service to attorneys for the Court.

- 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.
- The Court installed assistive listening devices in the courtroom for attorneys, litigants, judges, and the public and improved quality recording of oral arguments which can be made available on compact disks. The new system permits court staff to hear oral arguments through their desktop PC's.
- The Court developed and conducts annually a continuing legal education course on appellate practice for members of the District Columbia Bar.
- The Court continued to enhance the instructional materials available via the Internet for litigants and for attorneys seeking admission to the Bar, and to provide Internet access to the Court's rules, forms, and opinions. The Court of Appeals section of the website can be accessed directly at www.dcappeals.gov.
- 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.
- Annual training of the Court's CJA attorneys and training of D.C. Superior Court child abuse and neglect attorneys concerning appellate issues.
- Pursuant to its plan for furnishing representation to indigent criminal and juvenile appellants under the CJA, the Court evaluates members of the panel of attorneys and considers new applicants each year.
- In bar discipline cases, the Court continued to expedite the imposition of discipline and to authorize negotiated discipline where appropriate.

Table 3
COURT OF APPEALS
Key Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY 2014 Actual	Projection 2015	Projection FY 2016	Projection FY 2017
Input	Number appeals filed	Court data	1,558	1,885	1,921	1,957
Output/ Activity	Number of cases disposed	Court data	1,875	1,971	2,000	2,029
Productivity/Efficiency	Cases disposed/cases filed	Court data	120%	104%	108%	108%

FY 2017 Request

In FY 2017, the D.C. Courts request for the Court of Appeals is \$14,614,000, an increase of \$422,000 (3%) above the FY 2016 Enacted Level. The requested increase includes \$200,000 for two new FTEs to enhance case processing and enterprise-wide technology initiatives and \$222,000 for built-in cost increases.

Enhancing Case Resolutions, 1 FTE, \$100,000
Attorney (JS-12/13)

Problem Statement. To improve case processing time and implement best practices recommended in a National Center for State Courts operations study, an additional attorney for the Court's Central Legal Staff is required. The District of Columbia Court of Appeals consistently has the highest population-adjusted appellate caseload of any jurisdiction without an intermediate appellate court, according to statistics compiled by the National Center for State Courts. While the Court's heavy and complex caseload presents challenges with respect to the timely resolution of cases, the Court of Appeals has enhanced the timely resolution of cases, lowering the median time on appeal largely through increased efficiencies in case processing.

The Court's effort to maintain a high level of performance has highlighted the need to re-evaluate its staffing structure, make technological improvements, and adopt organizational and operational changes designed to maximize judicial resources and assist judges in managing their workload. With such an approach, the Court of Appeals has implemented a new appellate court case management system (C-Track), developed a soon-to-be-implemented electronic filing system, and initiated a reorganization of staff.

Staffing reorganization has been guided by an efficiency study and operational assessment, conducted by the National Center for State Courts (NCSC) through a grant from the State Justice Institute, to streamline the Court's internal operations to better support judicial decision-making. Specifically, the study made recommendations regarding management structure, workflow processes, and allocation and utilization of staff. The NCSC report recommended an additional attorney for the Central Legal Staff to enhance the timely disposition of matters pending before the court.

The Central Legal Staff provides a direct benefit to both judges and the Court, serving as counsel to judges and court staff during all stages of the appeal process. The primary function of the six attorneys is to provide research memos and accompanying draft orders on substantive motions filed in cases on appeal. Staff attorneys also perform a number of other important functions, such as screening new cases for jurisdiction; handling attorney discipline matters; making dispositional recommendations on substantive motions; reviewing the chief judge's orders; writing research memos and drafting orders for original jurisdiction matters; answering questions from the Case Management Division; providing research support for judicial committees; and preparing appellate manuals. These functions facilitate the judicial decision-making process and reduce the judges' workload.

Over the last few years the number of motions filed has increased substantially, with the number of motions for summary affirmance, for example, increasing by 70% over the last five years. Also, there has been an increase in the number and complexity of attorney discipline matters. The limited staff and the increase in workload have resulted in a four to five month delay in staff submission of dispositional recommendations to the motions panels for resolution, far beyond the Court's one-month goal. The NCSC recommended that the Court hire at least one additional attorney to assist with motions. This attorney would conduct jurisdictional screening and most non-clerical motions work (other than substantive motions) to streamline operations and simplify

the motions process and handle appointment of attorneys for indigent defendants, freeing the staff counsel for more complex matters and the review of the work of junior attorneys.

An additional attorney is critically needed to help the Court of Appeals achieve its goal of fair and timely case resolution.

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

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

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

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

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

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

Enhancing IT Functions, 1 FTE, \$100,000 **Information Technology Specialist (JS-12/13)**

Problem Statement. To effectively manage the Court of Appeals' increasingly sophisticated technology platform and services, an Information Technology Specialist is required. The Court is moving forward with enterprise-wide solutions for its information technology needs, moving from a flat to a multi-level network and increasing the complexity of the Court's network beyond the capacity of existing staffing levels.

The Court of Appeals has two IT staff who are responsible for the planning, development, and management of the information technology systems that support the Court's case flow, office automation, special programs, and management operations. These staff design and administer system configuration and architecture, including hardware and software, telecommunications, network operations, desktop systems, and system security; manage the Court's case management system and related software projects; and serve as network engineer.

As the Court expands its information technology program, an additional IT Specialist with in-depth knowledge of network engineering, virtual local area network (VLAN) design and implementation, layered routing, and core and access switch configuration is critical to manage the enterprise projects. These projects include the following:

1. Configuration and implementation of the disaster recovery site.
2. Active Directory Initiative: creating a global single sign-on for court-wide systems.
3. Voice over Internet Protocol (VOIP) system – Continuing the build-out.
4. Improvement of in-house network performance.
5. Addressing load balancing.

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

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

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

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

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

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

Table 4
COURT OF APPEALS
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Cost
Staff Attorney	JS-12	1	\$78,000	\$22,000	\$100,000
IT Specialist	JS-12	1	\$78,000	\$22,000	\$100,000
Total		2	\$156,000	\$44,000	\$200,000

Table 5
COURT OF APPEALS
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	9,517,000	9,923,000	10,227,000	304,000
12 - Personnel Benefits	2,250,000	2,364,000	2,443,000	79,000
<i>Subtotal Personnel Cost</i>	<i>11,767,000</i>	<i>12,287,000</i>	<i>12,670,000</i>	<i>383,000</i>
21 - Travel, Transp. of Persons	56,000	59,000	61,000	2,000
22 - Transportation of Things	0	0	0	0
23 - Rent, Commun. & Utilities	96,000	99,000	101,000	2,000
24 - Printing & Reproduction	80,000	83,000	85,000	2,000
25 - Other Services	890,000	906,000	924,000	18,000
26 - Supplies & Materials	86,000	89,000	91,000	2,000
31 - Equipment	647,000	669,000	682,000	13,000
<i>Subtotal Non-Personnel Cost</i>	<i>1,855,000</i>	<i>1,905,000</i>	<i>1,944,000</i>	<i>39,000</i>
TOTAL	13,622,000	14,192,000	14,614,000	422,000
FTE	105	105	107	2

Table 6
COURT OF APPEALS
Detail Difference, FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Positions COLA		144,000	
	Current Positions WIG		4,000	
	Staff Attorney	1	78,000	
	IT Specialist	1	78,000	
	<i>Subtotal, OC 11</i>			<i>304,000</i>
12 - Personnel Benefits	Current Positions COLA		34,000	
	Current Positions WIG		1,000	
	Staff Attorney		22,000	
	IT Specialist		22,000	
	<i>Subtotal, OC 12</i>			<i>79,000</i>
21 - Travel, Transp. of Persons	Built-in Increases			2,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increases			2,000
24 - Printing & Reproduction	Built-in Increases			2,000
25 - Other Services	Built-in Increases			18,000
26 - Supplies & Materials	Built-in Increases			2,000
31 - Equipment	Built-in Increases			13,000
TOTAL				422,000

Table 7

COURT OF APPEALS
Detail of Full-Time Equivalent Employment

Grade	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
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	55	55	55
JS-12	9	9	11
JS-13	7	7	7
JS-14	3	3	3
JS-15	2	2	2
CES	2	2	2
Associate Judge	8	8	8
Chief Judge	1	1	1
Total Salaries	9,517,000	9,923,000	10,227,000
Total FTEs	105	105	107

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA Overview

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
962	116,443,000	976	123,638,000	992	126,727,000	16	3,089,000

Introduction

The Superior Court of the District of Columbia is unique among the nation’s trial courts. It accounts for among the highest number of case filings per capita in the United States (as reported by the National Center for State Courts for several years) as it serves all those residing, visiting, and conducting business in the Nation’s Capital. It receives its funding directly from the Federal government and operates in the nation’s most visible arena. With the support of 113 judicial officers, including 62 active judges, 26 senior judges, and 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 operating divisions are –

- **Civil Division**, which has general jurisdiction over any civil action at law or in equity brought in the District of Columbia, regardless of the amount in controversy, including Small Claims and Landlord Tenant cases;
- **Criminal Division**, which has jurisdiction over defendants who are charged with criminal offenses under any law applicable exclusively to the District of Columbia;
- **Family Court**, which serves children and families in the District and is comprised of—
 - **Family Court Operations Division**, which has jurisdiction over the following types of cases: abuse and neglect, juvenile, domestic relations, paternity and support, mental health and habilitation, and adoptions; and
 - **Social Services Division**, which is the juvenile probation system for the District of Columbia and provides information and recommendations to assist the court in decision-making, court-supervised alternatives to incarceration, and support services to youth within the court’s purview;
- **Probate Division**, which supervises the administration of all decedents’ estates, guardianships of minors, conservatorships and guardianships of adults, certain trusts, and assignments for the benefit of creditors; and
- **Multi-Door Dispute Resolution Division**, which provides a variety of alternative dispute resolution services to assist citizens in resolving their problems without litigation.

Caseload and Efficiency Measures

During FY 2014, more than 92,000 new cases were filed with the Superior Court. Of the total new filings, 51% were civil cases; 22% were criminal cases; 14% were family cases; 9% were domestic violence cases and the remaining 4% were probate and tax cases. Tables 1 and 2 provide Superior Court caseload data.

Table 1
District of Columbia Superior Court Caseload

<u>Fiscal Year</u>	<u>New Cases</u>	<u>Start-of-Year Pending Cases</u>	<u>Total Cases Available for Disposition</u>
2010	103,871	47,977	151,848
2011	101,941	45,562	157,648
2012	99,185	44,077	151,187
2013	95,133	36,363	139,878
2014	92,274	35,095	136,381

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

Table 2
District of Columbia Superior Court
Efficiency Measures
(Fiscal Year 2014 data)

	Cases Disposed	Cases Added	Clearance Rate*	Cases Pending		
				1-Oct	30-Sep	Change
Civil	50,889	47,270	105%	13,503	11,007	-18.5%
Criminal**	20,947	20,692	101%	7,971	7,362	-7.6%
Domestic Violence	8,602	8,032	103%	913	681	-25.4%
Family	13,027	13,148	97%	4,170	4,555	9.2%
Probate	2,909	2,607	94%	7,050	7,238	2.7%
Tax	425	525	81%	1,488	1,588	6.7%
Total	96,799	92,274	96%	35,095	32,431	-7.6%

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

**Includes cases temporarily disposed and moved to inactive status (e.g. cases with arrest warrants that have not been served).

FY 2017 Request

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

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

The Superior Court has aligned its FY 2017 request around four of the five goals— fair and timely case resolution, access to justice, a strong judiciary and workforce, and public trust and confidence.

In FY 2017, the Courts requests \$126,727,000 and 992 FTEs for the Superior Court, an increase of \$4,689,000, offset by a reduction of \$1,600,000 for a non-recurring expense in FY 2016, representing a net increase of \$3,089,000 (2%) and 16 FTEs above the FY 2016 Enacted Level. The request includes increases to support the following Court goals:

Goal 1: Fair and timely case resolution, \$753,000, 5 FTEs

The request includes \$753,000 and 5 FTEs, including \$500,000 to replace the Court’s juror management system; \$152,000 for 3 FTEs to address rising caseloads in the Probate Division; and \$101,000 for 2 FTEs to support increasing mediation caseloads.

Goal 2: Access to Justice, \$972,000, 5 FTEs

The request includes \$972,000 and 5 FTEs to create a self-help center to assist unrepresented litigants in probate cases with estates and guardianships of incapacitated adults.

Goal 3: A Strong Judiciary and Workforce, \$165,000, 1 FTE

The request includes \$165,000 for 1 FTE to provide a deputy director to help manage the myriad functions of the Special Operations Division, which is responsible for jury management, interpreting services for the hearing impaired and those with limited English proficiency, tax cases, emergency matters, the library, the child care center, and identifying related cases in the case management system.

Goal 5: Public Trust and Confidence, \$390,000, 5 FTEs

The request includes \$390,000 for 5 FTEs to enhance juvenile probation services, specifically by providing additional leadership for the new Balanced and Restorative Justice Drop-in Center in Northwest, administrative support to free probation officers to focus on the youth, and legal analysis of new legislation and proposed programs.

Table 3
SUPERIOR COURT
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 – Compensation	79,019,000	82,156,000	84,723,000	2,567,000
12 – Benefits	18,836,000	19,687,000	20,334,000	647,000
<i>Subtotal Personal Services</i>	<i>97,855,000</i>	<i>101,843,000</i>	<i>105,057,000</i>	<i>3,214,000</i>
21 - Travel, Transp. of Persons	391,000	402,000	411,000	9,000
22 - Transportation of Things	12,000	13,000	14,000	1,000
23 - Rent, Commun. & Utilities	3,568,000	4,049,000	4,126,000	77,000
24 - Printing & Reproduction	570,000	586,000	603,000	17,000
25 - Other Services	12,406,000	15,044,000	14,124,000	-920,000
26 - Supplies & Materials	912,000	946,000	976,000	30,000
31 – Equipment	729,000	755,000	1,416,000	661,000
<i>Subtotal Nonpersonal Services</i>	<i>18,588,000</i>	<i>21,795,000</i>	<i>21,670,000</i>	<i>-125,000</i>
TOTAL	116,443,000	123,638,000	126,727,000	3,089,000
FTE	962	976	992	16

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
251	32,651,000	251	33,734,000	251	34,458,000	0	724,000

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 2014, Superior Court judges handled more than 92,000 new case filings. There are 62 judges in the Superior Court, with one judge presiding as Chief Judge. The 61 Associate Judges 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.

The Superior Court also has 25 Magistrate Judges, 15 of whom are assigned to Family Court matters. Magistrate Judges in the Family Court and the Domestic Violence Unit of the Superior Court are responsible for the following: (1) administering oaths and affirmations and taking acknowledgements; (2) conducting hearings, making findings and entering judgments in connection with questions of child support handled by the Family Court and Domestic Violence Unit, including establishing temporary support obligations and entering default orders; (3) making findings and entering interim and final orders or judgments in other contested or uncontested proceedings in the Family Court and Domestic Violence Unit, except for jury trials or felony trials; and (4) ordering imprisonment of up to 180 days for contempt.

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

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

FY 2017 Request

In FY 2017, the Courts request \$34,458,000 for Judges and Chambers Staff, an increase of \$724,000 (2%) above the FY 2016 Enacted Level. The requested increase consists entirely of built-in cost increases.

Table 1
JUDGES AND CHAMBERS STAFF
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	28,230,000	29,126,000	29,719,000	593,000
12 - Personnel Benefits	4,213,000	4,392,000	4,517,000	125,000
<i>Subtotal Personal Services</i>	<i>32,443,000</i>	<i>33,518,000</i>	<i>34,236,000</i>	<i>718,000</i>
21 - Travel, Transp. of Persons		0	0	0
22 - Transportation of Things		0	0	0
23 - Rent, Commun. & Utilities		0	0	0
24 - Printing & Reproduction	27,000	29,000	30,000	1,000
25 - Other Services		0	0	0
26 - Supplies & Materials	124,000	128,000	131,000	3,000
31 - Equipment	57,000	59,000	61,000	2,000
<i>Subtotal Nonpersonal Services</i>	<i>208,000</i>	<i>216,000</i>	<i>222,000</i>	<i>6,000</i>
TOTAL	32,651,000	33,734,000	34,458,000	724,000
FTE	251	251	251	0

Table 2
JUDGES AND CHAMBERS STAFF
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Position WIG		169,000	
	Current Position COLA		424,000	
<i>Subtotal 11</i>				<i>593,000</i>
12 - Personnel Benefits	Current Position WIG		6,000	
	Current Position COLA		119,000	
<i>Subtotal 12</i>				<i>125,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increase			1,000
25 - Other Service				
26 - Supplies & Materials	Built-in Increase			3,000
31 - Equipment	Built-in Increase			2,000
Total				724,000

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

Grade	2015 Enacted	2016 Enacted	2017 Request
JS-6			
JS-7			
JS-8			
JS-9	9	9	
JS-10	87	86	98
JS-11	64	65	61
JS-12	1	1	1
JS-13			1
JS-14	3	3	3
JS-99 (Mag. Judge)	25	25	25
JS-20 (Assoc. Judge)	61	61	61
JS-21 (Chief Judge)	1	1	1
Total Salary	28,230,000	29,126,000	29,719,000
Total FTEs	251	251	251

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
5	687,000	5	705,000	5	720,000	0	15,000

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 by providing managerial assistance and support to the operating divisions so they can provide fair, swift, and accessible justice; enhance public safety; and ensure public trust and confidence in the justice system.

Organizational Background

The Clerk of the Court has management and supervisory responsibility over all 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 Program, Criminal Division, Domestic Violence Unit, Family Court Operations Division, Family Court Social Services Division, Multi-Door Dispute Resolution Division, Probate Division, Special Operations Division, and the Office of the Auditor Master. The Clerk of the Court is responsible for ensuring that each division and program processes all cases in a timely manner and provides timely and accurate customer service to the judicial officers, citizens of the District of Columbia, and persons conducting business with the court. The Clerk of the Court also delegates to each director the responsibility to manage staff, budgetary, and operating resources. The Office of the Clerk is staffed by five FTEs including the Clerk of the Court, two Senior Operations Managers, and two administrative support staff.

FY 2017 Request

For FY 2017, the D.C. Courts request \$720,000 for the Office of the Clerk of the Court, an increase of \$15,000 (2%) above the FY 2016 Enacted Level. The requested increase consists entirely of built-in costs.

Table 1
CLERK OF THE COURT
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	526,000	540,000	549,000	9,000
12 - Personnel Benefits	148,000	150,000	154,000	4,000
<i>Subtotal Personal Services</i>	674,000	690,000	703,000	13,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	9,000	10,000	11,000	1,000
31 - Equipment	4,000	5,000	6,000	1,000
<i>Subtotal Nonpersonal Services</i>	13,000	15,000	17,000	2,000
TOTAL	687,000	705,000	720,000	15,000
FTE	5	5	5	0

Table 2
CLERK OF THE COURT
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Position WIG		1,000	
	Current Position COLA		8,000	
<i>Subtotal 11</i>				<i>9,000</i>
12 - Personnel Benefits	Current Position WIG		2,000	
	Current Position COLA		2,000	
<i>Subtotal 12</i>				<i>4,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials	Built-in Increase			1,000
31 - Equipment	Built-in Increase			1,000
Total				15,000

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

Grade	2015 Enacted	2016 Enacted	2017 Request
JS-6			
JS-7			
JS-8	1	1	1
JS-9			
JS-10	1	1	1
JS-11			
JS-12			
JS-13			
JS-14	2	2	2
JS-15			
JS-16			
JS-17			
CES	1	1	1
Total Salary	526,000	540,000	549,000
Total FTEs	5	5	5

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
104	8,590,000	104	8,833,000	104	8,965,000	0	132,000

Mission Statement

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

Introduction

The Civil Division has jurisdiction over any civil action at law or in equity (excluding family matters) brought in the District of Columbia, except where jurisdiction is exclusively vested in the Federal court. The Division is comprised of the Director's Office and four branches with 104 full time equivalent employees (FTEs). The Division processed 47,270 civil cases in FY 2014.

Organizational Background

The Division is comprised of a Director's Office, which has six 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 2014 there were more than 8,000 civil action cases filed. Branch responsibilities also include providing case and procedural information to the public, reviewing and processing electronically filed documents and in-person filings for compliance with Court Rules, processing all post-judgment execution requests, scanning documents into the case management system, and securely maintaining all civil cases, physically and electronically. This branch has 26 FTEs.
2. The Quality Review Branch monitors compliance with time limits imposed by Court Rules, schedules events, issues notices, reviews and validates case monitoring reports. The Branch manages and assigns Courtroom Clerks who process cases and assist judicial officers and courtroom participants for 18 civil courtrooms. This branch has 29 FTEs.
3. The Landlord Tenant Branch processes all actions for the possession of rental property and violations of lease agreements filed by landlords including writs for the eviction process. The branch handled a caseload in excess of 34,000 filings in fiscal year 2014. This branch has 21 FTEs.
4. The Small Claims and Conciliation Branch oversees the processing, scheduling, and adjudication of cases where the amount in controversy is up to \$5,000. The branch also processes all post-judgment execution requests. In FY 2014, there were over 4,900 small claims cases filed. This branch has 22 FTEs.

Divisional Management Action Plan (MAP) Objectives

The following are key Civil Division MAP objectives, implemented to further the Strategic Plan of the District of Columbia Courts.

- Ensure fair and timely case resolution by supporting efficient courtroom operations, effective case management, and timely judicial decision making with real time availability of dockets and documents in the case management system and accurate reporting of case activity;
- Ensure procedural fairness to litigants by providing respectful treatment of customers, impartial case processing, and clear explanations of court procedures;
- Enhance efficient and timely case resolution and customer satisfaction by expanding electronic filing to all civil cases;
- Enhance internal and external customer service by training court personnel on the unique needs of the elderly, self represented persons, individuals with physical and mental health issues, and cultural and generational diversity;
- Promote access to legal services for self represented litigants by employing technology such as online chats and fill-able forms.

Divisional Restructuring and/or Work Process Redesign

During FY 2014, the Civil Division consolidated all mortgage foreclosure cases to a single calendar to streamline the process for efficient case management. Attorneys from the Legal Aid Society and Legal Counsel for the Elderly and independent housing counselors are present in the courtroom and mediators have been specially trained to mediate these cases. This process eliminates barriers to court services and promotes access to justice. In July 2014 the Division implemented the paper on demand process (scan filings into the case management system in real-time and returning documents to the filer. The Division successfully implemented a chat line and provides fill-able forms to the public on the Courts' website to enhance information-sharing and promote access to court information. The Division published a "Handbook for Self Represented Parties" that is distributed to litigants to help them understand civil court proceedings and processes. The Division plans for the expansion of electronic filing for all civil cases to enhance case processing and ensure timely access to case information.

Workload Data

As shown in Table 1 below, the Civil Division disposed of 50,909 cases in fiscal year 2014 comprising more than half of the Courts' caseload, including 9,804 civil actions cases, 35,588 landlord and tenant cases, and 5,517 small claims cases. The Division maintains a caseload clearance rate in excess of 100% (with a 121% clearance rate for civil actions cases, 110% clearance rate for small claims cases and 104% clearance rate for landlord and tenant cases). The Civil Division's current caseload and efficiency measures are reflected in Table 1, and the key performance measures are displayed in Table 2.

Table 1
CIVIL DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2014 Data)

	Case Filings	Dispositions	Clearance Rate*	Pending Cases		
				1-Oct	30-Sep	Change
Civil Actions	8,125	9,804	121%	6,650	5,385	-19.0%
Landlord & Tenant	34,150	35,588	104%	5,213	4,330	-16.9%
Small Claims	4,995	5,517	110%	1,640	1,292	-21.2%
Total	47,270	50,909	108%	13,503	11,007	-18.5%

*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
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output	Customers rating service good to outstanding	Customer Surveys	90%	88%	90%	90%	90%	90%	95%	95%
Output	Staff trained for electronic case filing	Management Reports	75%	71%	95%	95%	100%	100%	100%	100%
Output	Monthly statistical reports reviewed for data quality by the 5 th day of the month	Management Reports	100%	100%	100%	100%	100%	100%	100%	100%
Output	Fill-able forms available to the public via internet	Management Reports	50%	81%	75%	75%	90%	90%	100%	100%
Output	Staff ideas to improve operations implemented quarterly	Management Reports	1	2	1	1	1	1	1	1

FY 2017 Request

In FY 2017, the Courts request \$8,965,000 for the Civil Division, an increase of \$132,000 (2%) above the FY 2016 Enacted Level. The requested increase consists entirely of built-in cost increases.

Table 3
CIVIL DIVISION
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 – Personnel Compensation	6,634,000	6,818,000	6,920,000	102,000
12 – Personnel Benefits	1,855,000	1,911,000	1,938,000	27,000
<i>Subtotal Personal Services</i>	8,489,000	8,729,000	8,858,000	129,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	44,000	45,000	46,000	1,000
25 - Other Services				
26 - Supplies & Materials	33,000	34,000	35,000	1,000
31 – Equipment	24,000	25,000	26,000	1,000
<i>Subtotal Nonpersonal Services</i>	101,000	104,000	107,000	3,000
TOTAL	8,590,000	8,833,000	8,965,000	132,000
FTE	104	104	104	0

Table 4
CIVIL DIVISION
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Positions WIG	104	1,000	
	Current Positions COLA		101,000	
<i>Subtotal 11</i>				102,000
12 – Personnel Benefits	Current Positions WIG		1,000	
	Current Positions COLA		26,000	
<i>Subtotal 12</i>				27,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Services				
26 - Supplies & Materials	Built-in Increases			1,000
31 – Equipment	Built-in Increases			1,000
TOTAL				132,000

Table 5

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

Grade	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
JS-6	5	4	11
JS-7	18	15	5
JS-8	33	35	37
JS-9	22	23	24
JS-10	9	9	9
JS-11	4	5	4
JS-12	4	4	5
JS-13	6	6	6
JS-14	1	1	1
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salaries	6,634,000	6,818,000	6,920,000
Total FTEs	104	104	104

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
9	1,155,000	11	1,342,000	11	1,375,000	0	33,000

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

The major activities of the Crime Victims Compensation Program are case processing, record management, outreach, and administrative functions. Case processing, and its associated activities, affect every position and account for the majority of functions. The major tasks associated with case processing include victim interview, input in the case management software, verification, and investigation of the claim, recommendation, review, and approval. This office has 11 FTEs: Director, Accounting Officer, Administrative Assistant, six Legal Claims Examiners, and two Assistant Legal Claims Examiners. There remains one Assistant Legal Claims Examiner currently financed by grant and administrative funds.

Crime Victims Compensation Program Funding

Payments to victims, nearly \$8 million each year, are made from the Crime Victims Fund, which is financed by court fines, fees, and assessments and an annual grant from the U.S. Department of Justice under the Victims of Crime Act (VOCA).

Operation of the Crime Victims Compensation Program (CVCP) is financed by the requested appropriation, administrative funds from the VOCA grant, and a portion of the unobligated balance in the Fund at the end of each year. The VOCA grant is based upon past payments to victims: the CVCP receives 60% of the amount paid in victims' claims two years prior to the year of the grant award. In accordance with grant guidelines, up to 5% of the grant may be used for administrative expenses including staff, training, and other costs. In addition to the VOCA

grant, administrative costs may be paid from up to 5% of the portion of the unobligated balance of the Crime Victims Fund retained by the CVCP at the end of each year.²

Division MAP Objectives

The management action plan (MAP) objectives of the Crime Victims Compensation Program are as follows:

- Provide timely service to crime victims by processing at least 80% of claims for assistance within 12 weeks.
- Explore enhanced processing, customer service and case management through the use of electronic sign-in for claimants who visit the office.
- Enhance performance measurement and grant reporting through updates to the case management system.
- Update current CVCP Application in English and Spanish to collect additional data required by the U.S. Department of Justice.
- Continue to collaborate with other agencies to enhance the coordination of services to victims.
- Effectively administer the CVCP by securing and managing grant awards to ensure the viability and longevity of the Crime Victims Fund to pay crime victim claims and operate the program.
- Promote employee engagement and professional development of staff by requiring each employee to plan and execute an in-service training on a topic that will help the office to perform duties with greater understanding of victim services and the ancillary organizations that can assist with some of the issues created by victimization.
- Enhance employee engagement by updating the Employee Handbook to reflect Court values in action as they apply to the CVCP.
- Continue collaboration with victim service providers to ensure that sufficient temporary emergency shelter sites are in place and service protocols are followed.

Division Restructuring or Work Process Redesign

The Crime Victims Compensation Program has taken several innovative and collaborative approaches in order to improve inter-agency coordination, enhance public awareness, and improve timely access to information and services.

Outreach Protocols

To strengthen program outreach, the Crime Victims Compensation Program focused its resources to establish protocols with major agencies and organizations that have direct contact with victims. These agencies and organizations include the District of Columbia's Metropolitan

² At the end of each fiscal year, in accordance with statutory requirements, the unobligated balance of the Fund is calculated and one-half is distributed to the Mayor's Office on Victim Services to fund local victim service providers. Of the remaining half retained by the CVCP, 5% is available for administrative expenses and the rest is needed to pay victims.

Police Department, the Children’s Hospital Child and Adolescent Protection Center, U.S. Attorney’s Victim Witness Assistance Unit, the Office of the Attorney General for the District of Columbia, the Survivors and Advocates for Empowerment, the Network for Victim Recovery of D.C., D.C. Forensic Nurses, and the Asian Pacific American Legal Resource Center. These 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 that invites community organizations to attend staff meetings and present information about their organizations and the services that they can offer crime victims, such as food, housing, legal services, and employment referrals to supplement the services provided by 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 Office

The Crime Victims Compensation Program has detailed one staff person to the S.E. Domestic Violence Intake Center, located at the United Medical Center in S.E., Washington (formerly Greater S.E. Community Hospital). This office is a collaborative effort with other victim service providers and agencies in the District of Columbia, including the Superior Court’s Domestic Violence Unit. Petitions for domestic violence protection orders may be filed at this center. Representatives from several different domestic violence organizations and law enforcement agencies share office space in this center. Not only does this provide great wrap-around services for the victim because all of the needed service are provided in one location, it creates among the service providers greater understanding of and compassion for the many challenges faced by victims.

Workload Data

Table 1
CRIME VICTIMS COMPENSATION PROGRAM
Caseload Overview

	Actual FY 2014	FY 2015 Estimated	% Change
New Cases Filed	3,499	3,400	-3%
Determinations Made	3,891	3,900	0%
Number of Cases Pending at End of Fiscal Year	853	353	-60%

Key Performance Indicators

Table 2
CRIME VICTIMS COMPENSATION PROGRAM
Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
			Goal	Actual	Goal	Estimated	Goal	Projection	Goal	Projection
Input	New claims filed	Case Management Software	3,550	3,499	3,550	3,400	3,550	3,400	3,400	3,400
Output	Claims processed	Case Management Software	3,800	3,891	3,800	3,900	3,800	3,900	3,900	3,900
Output	Payments	Case Management Software	12,100	13,440	13,000	14,000	13,000	14,000	14,000	14,000
Outcome	Amount of payments	Case Management Software	\$9.0M	\$7.8M	\$9.0M	\$7.7M	\$9.0M	\$8.0M	\$8.0M	\$8.0M
Outcome	Avg. claim processing time	Case Management Software	12 weeks	11 weeks	10 weeks	11 weeks	10 weeks	10 weeks	10 weeks	10 weeks

The Crime Victims Compensation Program's continued partnerships with non-profit organization service providers leads to the consolidation of payments at more affordable costs, which allows the CVCP to provide more efficient and timely financial assistance to victims and their families.

FY 2017 Request

In FY 2017, the D.C. Courts request \$1,375,000 for the Crime Victims Compensation Program, an increase of \$33,000 (2%) above the FY 2016 Enacted Level. The requested increase consists entirely of built-in cost increases.

Table 3
CRIME VICTIMS COMPENSATION PROGRAM
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	879,000	1,020,000	1,045,000	25,000
12 - Personnel Benefits	246,000	288,000	292,000	4,000
Subtotal Personal Services	1,125,000	1,308,000	1,337,000	29,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	1,000	1,000	2,000	1,000
25 - Other Services	18,000	20,000	21,000	1,000
26 - Supplies & Materials	7,000	8,000	9,000	1,000
31 - Equipment	4,000	5,000	6,000	1,000
Subtotal Nonpersonal Services	30,000	34,000	38,000	4,000
TOTAL	1,155,000	1,342,000	1,375,000	33,000
FTE	9	11	11	0

Table 4
CRIME VICTIMS COMPENSATION PROGRAM
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Positions WIG	11	9,000	
	Current Position COLA		16,000	
<i>Subtotal, OC 11</i>				25,000
12 - Personnel Benefits	Current Position WIG		1,000	
	Current Position COLA		3,000	
<i>Subtotal, OC 12</i>				4,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Services	Built-in Increases			1,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Total				33,000

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

Grade	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
JS-6			
JS-7			
JS-8			
JS-9		2	2
JS-10	1	1	1
JS-11			
JS-12	6	6	6
JS-13			
JS-14	1	1	1
JS-15			
CEMS			
CES	1	1	1
Total Salaries	879,000	1,020,000	1,045,000
Total FTEs	9	11	11

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
123	10,283,000	123	10,616,000	123	10,933,000	0	317,000

Mission Statement

The Criminal Division’s mission is to provide quality administrative and courtroom support services to judicial officers, staff, and the public; to provide efficient case processing without undue delay; and to deliver accurate criminal case information.

Introduction

The Criminal Division’s duties include the processing and trial of all criminal cases prosecuted by the United States Attorney and the District of Columbia Attorney General involving violations of the United States Code, District of Columbia Official Code, and municipal and traffic regulations.

Organizational Background

D.C. Code §11-902 establishes the court’s divisions and creates the Criminal Division. The Superior Court Rules for Criminal Procedure “provide 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”.³

The Criminal Division is responsible for processing criminal cases in the District of Columbia that are not exclusively Federal. The Criminal Division implements judicial assignments to cases; prepares judicial calendars (the list of cases assigned to each judge); docket proceedings and filings; seeks new methods to improve service to the public; recommends changes and improvements to the Criminal Rules and Procedures; automates operations; promotes operational efficiencies; and compiles statistical and public information. The Criminal Division also promotes high standards of professional conduct and excellent public service.

The Criminal Division’s structure includes the Director’s Office and four branches. Additionally, the court applied the community court model by restructuring misdemeanor calendars (low level non-violent offenses) into nine community focused problem solving courts (including Drug Court and Mental Health Court).

- The Director’s Office is responsible for managing all the administrative, fiscal, and personnel matters for the Criminal Division. The Director’s Office currently has 9 FTEs.

³ Superior Court Rules of Criminal Procedures, Rule 1

- The Quality Assurance Branch performs quality review of updates to the electronic case management system and the final disposition of cases, ensures that judges' orders regarding release and commitment of defendants are followed, and handles matters regarding mental competency and federal designation of prisoners. The Quality Assurance Branch has 19 FTEs.
- The Case Management Branch processes and maintains all felony, misdemeanor, traffic, and District of Columbia cases, motions, appeals, and cases to be expunged and sealed. The branch also provides judicial officers, the public, law enforcement officers, and court staff with access to accurate criminal case information. This branch has 22 FTEs.
- The Courtroom Support Branch manages the courtroom clerks assigned to work with the judges who preside over criminal calendars. The branch also secures court evidence and trains courtroom clerks from other divisions who handle criminal cases. This branch has 45 FTEs.
- The Special Proceedings Branch manages two sections, the Warrant Office and the Criminal Finance Office. The Warrant Office processes and maintains all bench warrants, search warrants, arrest warrants, subpoenas, habeas corpus writs, fugitive cases, out-of-state witness cases, grand jury directives, sex offender registration matters, and contempt of court/show cause orders. The Criminal Finance Office receives court ordered fines, fees, bonds, and restitution payments and processes bond refunds. This branch has 21 FTEs.
- The Criminal Division manages nine community focused problem solving courts. These courts are novel in that they not only hold offenders accountable for their actions, but also focus on ensuring the defendant receives required drug and mental health treatment, linkages to social services and, when appropriate, ongoing judicial monitoring. The Community Court has 7 FTEs.

Criminal Division MAP Objectives

The Criminal Division's strategic objectives for FY 2017 are as follows:

- Ensure procedural fairness for litigants by providing training to Criminal Division courtroom clerks about their role in creating procedural fairness.
- Provide efficient case processing by developing a case management plan for the Community Courts and the Mental Health Court.
- Ensure that Criminal Division cases are resolved in a timely and efficient manner by maintaining performance within statutory and administrative requirements that address time standards, trial certainty, staggered schedules, age of pending caseload, and accuracy of court records.
- Enhance assistance to the public by training court personnel on the unique needs of special populations such as the elderly, self-represented persons, and individuals with physical and mental issues and by providing services to meet these needs.

- Encourage professional development through mentoring, coaching, job rotation, and other educational opportunities and actively participate in the interdivisional cross-training program.
- Foster understanding and respect for all persons by implementing an Employee Code of Conduct and training on cultural competency, civility, generational differences, and the value of diversity.
- Continue to educate the community about the Court’s role and authority by participating in public meetings, conducting community forums, and increasing the number of community service sites where defendants will be held accountable for their actions by performing court-supervised community service.
- Ensure that court personnel demonstrate professionalism, exemplify the Courts’ values, and provide excellent customer service.
- Enhance the physical, emotional, social, and financial health of employees by promoting well-being initiatives.

Divisional Restructuring and/or Work Process Redesign

The Criminal Division is currently working with other agencies in the justice system and with the Courts’ Information Technology Division (IT) with a projected implementation of electronic filing in FY 2016.

Workload Data

The caseload and efficiency table below shows that the Criminal Division disposed of over 27,522 cases in 2014. This includes 1,775 D.C. misdemeanors; 3,937 felony cases; 7,649 traffic cases and 14,161 U.S. misdemeanors.

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

Table 1
CRIMINAL DIVISION
Caseload and Efficiency Measures (Calendar Year 2014)

	New Filings	Pending Cases 31-Dec	Dispositions	Clearance Rate*
D.C. Misdemeanor	1,334	326	1,775	97%
Felony	3,151	1,565	3,937	104%
Traffic	6,001	1,809	7,649	100%
U.S. Misdemeanors	9,800	3,203	14,161	104%
Total	20,286	6,903	27,522	n/a**

* The clearance rate, a measure of court efficiency, is the total number of cases disposed, divided by the total number of cases added (i.e. new filings/reactivated/reopened) during a given time period. Rates of over 100% indicate that the court disposed of more cases than were added, thereby reducing the pending caseload.

Key Performance Indicators

Table 2
CRIMINAL DIVISION
Key Performance Indicators
(Calendar Year 2014 data)

Time to Disposition			
Case Type	Key Performance Indicator: Cases Resolved within--	Goal	Actual
Felony I (Murder, Sexual Assault, etc.)	12 months	75%	68%
	18 months	90%	76%
	24 months	98%	86%
Felony II	6 months	75%	71%
	9 months	90%	84%
	12 months	98%	93%
AFTC	6 months	75%	72%
	9 months	90%	84%
	12 months	98%	94%
U.S. Misdemeanor	4 months	75%	78%
	6 months	90%	91%
	9 months	98%	97%
D.C. Misdemeanor	4 months	75%	89%
	6 months	90%	95%
	9 months	98%	99%
D.C. Traffic	3 months	75%	68%
	6 months	90%	91%
	9 months	98%	97%
Trial Certainty: Jury Trials			
Case Type	Key Performance Indicator	Goal	Actual
Felony I (Murder, Sexual Assault, etc.)	Cases resolved by the second trial date	70%	70%
Felony II		70%	71%
AFTC		70%	68%
U.S. Misdemeanor		70%	60%
D.C. Misdemeanor		70%	75%
Traffic		70%	100%
Trial Certainty: Non-Jury Trials			
Case Type	Key Performance Indicator	Goal	Actual
Felony	Cases resolved by the second trial date	80%	82%
U.S. Misdemeanor		80%	90%
D.C. Misdemeanor		80%	90%
Traffic		80%	84%

FY 2017 Request

In FY 2017, the D.C. Courts request \$10,933,000 for the Criminal Division, an increase of \$317,000 (3%) from the FY 2016 Enacted Level. The increase consists entirely of built-in increases.

Table 3
CRIMINAL DIVISION
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11-Personnel Compensation	7,934,000	8,191,000	8,438,000	247,000
12-Personnel Benefits	2,225,000	2,297,000	2,363,000	66,000
<i>Subtotal Personal Services</i>	<i>10,159,000</i>	<i>10,488,000</i>	<i>10,801,000</i>	<i>313,000</i>
21-Travel, Transp. of Persons			0	0
22-Transportation of Things			0	0
23-Rent, Commun. & Utilities			0	0
24-Printing & Reproduction	67,000	69,000	71,000	2,000
25-Other Services			0	0
26-Supplies & Materials	29,000	30,000	31,000	1,000
31-Equipment	28,000	29,000	30,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>124,000</i>	<i>128,000</i>	<i>132,000</i>	<i>4,000</i>
TOTAL	10,283,000	10,616,000	10,933,000	317,000
FTE	123	123	123	0

Table 4
CRIMINAL DIVISION
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Positions WIG	123	122,000	
	Current Position COLA		125,000	
<i>Subtotal 11</i>				<i>247,000</i>
12 - Personnel Benefits	Current Positions WIG		30,000	
	Current Position COLA		36,000	
<i>Subtotal 12</i>				<i>66,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			2,000
25 - Other Services				
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Total				317,000

Table 5
CRIMINAL DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
JS-6	6	2	3
JS-7	7	7	4
JS-8	39	37	37
JS-9	38	42	42
JS-10	16	17	17
JS-11	3	2	3
JS-12	6	6	8
JS-13	5	7	6
JS-14	1	1	1
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	7,934,000	8,191,000	8,438,000
Total FTEs	123	123	123

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
28	2,396,000	29	2,616,000	29	2,661,000	0	45,000

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

Mission Statement

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

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

- “One-stop” intake centers for victims. Victims seeking protection, child support, visitation, custody, or criminal sanctions enter through one door and file the case(s) they need, without traveling from one agency to another.
- A three-track differentiated case processing system in which specially trained judicial officers hear cases involving each family and possess detailed knowledge of other cases and decisions concerning this same family.
- 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 of 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 29 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 to litigants 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 and other non-English-speaking court users by translating all court forms into Spanish and other languages (e.g. Amharic and Chinese), ensuring that interpreters (or bilingual staff) are available during all stages of case processing, and making instructions/processes understandable.
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 Regional and 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 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 and those who are not related but share the same residence. Additionally, the Unit serves victims of stalking, sexual abuse, and sexual assault. The Unit, as well as the Southeast Center, specializes in addressing these challenging cases in ways that increase victim safety, perpetrator accountability, and efficient and effective case adjudication, while assisting those affected by abuse and linking them to services and programs in the community that help victims of abuse and their families rebuild their lives free from violence.

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

Workload Data

In FY 2014, the Domestic Violence Unit processed 8,717 new filings and reinstated cases and disposed of 8,910 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 2014 through 2017.

Table 1
DOMESTIC VIOLENCE UNIT
Caseload and Efficiency Measures
(Fiscal Year 2014 Data)

	Cases Added*	Cases Disposed	Clearance Rate**	Cases Pending		
				1-Oct	30-Sep	Change
Criminal Contempt Cases***	135	85	63%	—	50	—%
Intrafamily (Protection Orders)	5339	5284	99%	315	370	17%
Paternity & Child Support	212	223	105%	30	19	-36%
U.S. Misdemeanors****	<u>3031</u>	<u>3318</u>	110%	<u>947</u>	<u>850</u>	-10%
Total	8,717	8,910	103%	1,292	1,280	-.1%

* Includes cases filed and reopened cases.

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

*** A new way of designating and accounting for Criminal Contempt violations was established as a result of a DC Court of Appeals decision. Motions are now reviewed by the prosecutor.

**** Numbers adjusted as a result of new methodology for case status classification

Table 2
DOMESTIC VIOLENCE UNIT
Key Performance Measures

Type of Indicator	Key Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output/Activity	Hearings/events scheduled	Yearly stats/Random sample	35,500	39,580	39,600	39,600	39,700	39,700	39,800	39,800
Quality	Cases reviewed & processed within 48 hours in Court's database	Evaluation, survey, and random sample	95%	95%	95%	95%	95%	95%	95%	95%
Quality	Cases reviewed & processed within 48 hours in MPD's database	Evaluation, survey, and random sample	100%	95%	100%	98%	100%	98%	100%	98%
End Outcome	Domestic Violence dispositions	Daily/Monthly Statistics	8,200	8,910	8,900	8,900	8,900	8,900	8,900	8,900
Productivity/Efficiency	Case clearance rates	Yearly statistics	100%	103%	100%	100%	100%	100%	100%	100%

FY 2017 Request

The D.C. Courts' FY 2017 request for the Domestic Violence Unit is \$2,661,000, an increase of \$45,000 (2%) above the FY 2016 Enacted Level. This increase is requested for built-in cost increases.

Table 3
DOMESTIC VIOLENCE UNIT
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 – Compensation	1,859,000	2,028,000	2,063,000	35,000
12 – Benefits	521,000	570,000	578,000	8,000
Subtotal Personnel Cost	2,380,000	2,598,000	2,641,000	43,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	9,000	10,000	11,000	1,000
31 - Equipment	7,000	8,000	9,000	1,000
Subtotal Non Personnel Cost	16,000	18,000	20,000	2,000
TOTAL	2,396,000	2,616,000	2,661,000	45,000
FTE	28	29	29	0

Table 4
DOMESTIC VIOLENCE UNIT
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Position WIG	29	5,000	
	Current Position COLA		30,000	
<i>Subtotal 11</i>				<i>35,000</i>
12 - Personnel Benefits	Current Position WIG		1,000	
	Current Position COLA		7,000	
<i>Subtotal 12</i>				<i>8,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Total				45,000

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

Grade	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
JS-6			
JS-7	2	1	1
JS-8	11	10	11
JS-9	8	9	9
JS-10	3	4	3
JS-11			
JS-12	1	1	1
JS-13	2	2	2
JS-14			
JS-15		1	1
CEMS			
CES	1	1	1
Total Salaries	1,859,000	2,028,000	2,063,000
Total FTEs	28	29	29

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference</u> <u>FY 2016/FY 2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
173	14,918,000	177	15,641,000	177	15,866,000	0	225,000

Mission Statement

The mission of the Family Court is to protect and support children brought before it, strengthen families in trouble, provide permanency for children and decide disputes involving families fairly and expeditiously, while treating all parties with dignity and respect.

Organizational Background

The District of Columbia Family Court Act of 2001 (“the Act”) was enacted to ensure the safety and well-being of children and families in the District of Columbia. Pursuant to the Act, specially trained and qualified judges serve on the Family Court at least three years, all family cases remain assigned to judges serving on the Family Court bench, and a one judge/one family case management model is utilized to facilitate more informed decision making – thus allowing for an improvement in service delivery to families, avoiding the risk of conflicting orders, and reducing the number of court appearances for families.

The Family Court has jurisdiction over cases of child abuse and neglect, custody, termination of parental rights, adoption, paternity and support, mental health and mental habilitation, juvenile delinquency, marriage, and divorce. The division is comprised of the Office of the Director, six administrative branches, two support offices, the Family Court Self Help Center, the Family Treatment Court, and the Fathering Court.

1. The Domestic Relations Branch processes divorce, annulment, custody, termination of parental rights and adoption cases.
2. The Paternity and Child Support Branch processes paternity actions and requests to establish, modify and enforce child support orders.
3. The Juvenile and Neglect Branch is responsible for cases involving children alleged to be delinquent, neglected, abused, or otherwise in need of supervision.
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.
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.
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).

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.
8. The Central Intake Center (CIC) is an innovation arising from the Family Court's implementation of the Family Court Act of 2001 which serves as the initial point of contact between the public and the Family Court. Its primary mission is to provide comprehensive, timely, and efficient case processing services to the citizens of the District of Columbia and public agencies from one centralized location. The CIC initiates cases and receives all subsequent case filings, as well as the case filing fees. The CIC is the primary location for the dissemination of Family Court case status information to the public. Through the Marriage Bureau, the branch also issues licenses and authorizations for marriages in the District of Columbia and maintains a list of officiants who are authorized to perform civil weddings in the court.
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.
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.
11. The Fathering Court provides services to non-custodial parents 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 empowers fathers to maintain a physical and emotional presence in the lives of their children.
12. The Office of the Director is responsible for policy making and managing the division's budget and administrative staff. The Office of the Director oversees implementation of divisional objectives in support of the Courts' Strategic Plan and court-wide performance measures. The office is responsible for preparing all legally mandated reports on divisional operations required by the local legislature and the U.S. Congress.

The Family Court Operations Division Management Action Plan Objectives

- Ensure division performance by collaborating with judicial leadership to achieve established case processing time standards per Chief Judge Administrative Order.
- Enhance the administration of justice through increased monitoring and compliance with the Federal and D.C. Adoption and Safe Families Acts by reaching and maintaining 95% compliance with all hearing deadlines and content requirements.
- Increase the timely processing of cases by ensuring that 95% of court information, including exhibits, is complete and available for courtroom proceedings.
- Promote the administration of justice through the development of interfaces to electronically initiate abuse and neglect cases, receive subsequent pleadings, and exchange documents and data through automation with 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 Fathering Court programs that were developed to increase compliance with court-ordered child support payments through the provision of services, enhanced supervision, and incentives to non-custodial parents.
- Promote efficiency by adopting paperless case processing procedures that increase access to case information and eliminate the need for bulky case files in the courtrooms and storage areas.
- Decrease the wait-time for litigants in paternity and support matters by developing a staggered calendar pilot.
- Increase data accuracy through the creation and use of monitoring tools that track the number of cases reviewed and the percentage of errors detected in those cases. The tools will facilitate data correction and highlight areas for training and the creation of performance standards that promote an environment of increased accuracy.

Restructuring or Work Process Redesign

Maximizing Technology:

The Family Court 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 Case File Express, a secure web-based browser application that supports the electronic filing and receipt of documents for several Family Court case types; some case types can be initiated electronically, others require the in-person filing of the initial petition or complaint but require the electronic filing of all subsequent pleadings. Cases in the Paternity and Support Branch and in the Mental Health/Mental Habilitation Branch have yet to implement electronic filing. Upon acceptance of the filings, images of the pleadings immediately appear on the Court's docket and are readily available for viewing by judges and court personnel. The Case File Express technology reduces scanning and provides a convenient method of filing for the Office of the Attorney General by reducing their visits to the courthouse to file documents.

Table 1
FAMILY COURT
Caseload and Efficiency Measures (Calendar Year 2014)

	Cases Added*	Cases Disposed	Clearance Rate**	Cases Pending		
				1-Oct	30-Sep	Change
Abuse & Neglect	413	412	100%	102	103	1%
Adoption	253	239	94%	188	202	7%
Divorce & Custody	4,294	4,046	94%	1,447	1,695	17%
Juvenile	2,633	2,557	97%	671	747	11%
Mental Health	2,826	2,820	100%	161	167	4%
Mental Habilitation	1	2	200%	2	1	-50%
Paternity & Child Support	2,484	2,492	100%	1,401	1,393	-1%
Total	12,904	12,568	97%	3,972	4,308	8%

* Includes cases filed and reopened cases.

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

Table 2
FAMILY COURT OPERATIONS
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	2014		2015		2016		2017	
			Goal	Goal	Goal	Estimate	Goal	Estimate	Goal	Estimate
Time to Disposition	Contested Custody Cases: 270 days	Performance Measure Report	98%	98%	98%	95%	98%	98%	98%	98%
Time to Disposition	Contested Divorce Cases: 270 days	Performance Measure Report	98%	98%	98%	99%	98%	99%	98%	99%
Time to Disposition	Child Support: 18 months	Performance Measure Report	90%	90%	90%	95%	90%	96%	90%	96%
Time to Disposition	Neglect – Removed 105 days	Performance Measure Report	100%	100%	100%	90%	100%	95%	100%	95%
Time to Disposition	Neglect – Not Removed: 45 days	Performance Measure Report	100%	100%	100%	80%	100%	90%	100%	90%
Time to Disposition	Juvenile –Non secure Detention: 60 days	Performance Measure Report	100%	100%	100%	90%	100%	95%	100%	95%
Time to Disposition	Juvenile Released: 270 days	Performance Measure Report	98%	98%	98%	98%	98%	98%	98%	98%
Persons Assisted	Persons Assisted in the Self-Help Center	Monthly Statistics	8,564	8,564	8,652	8,400	8,800	8,600	9,000	8,800

FY 2017 Request

In FY 2017, the D.C. Courts’ request for the Family Court Operations Division is \$15,866,000, an increase of \$225,000 (1%) above the FY 2016 Enacted Level. The increase consists entirely of built-in cost increases.

Table 3
FAMILY COURT OPERATIONS
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	10,487,000	11,005,000	11,171,000	166,000
12 - Personnel Benefits	2,929,000	3,099,000	3,127,000	28,000
<i>Subtotal Personnel Cost</i>	<i>13,416,000</i>	<i>14,104,000</i>	<i>14,298,000</i>	<i>194,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	88,000	89,000	91,000	2,000
25 - Other Services	1,036,000	1,061,000	1,082,000	21,000
26 - Supplies & Materials	45,000	46,000	47,000	1,000
31 - Equipment	333,000	341,000	348,000	7,000
<i>Subtotal Non Personnel Cost</i>	<i>1,502,000</i>	<i>1,537,000</i>	<i>1,568,000</i>	<i>31,000</i>
TOTAL	14,918,000	15,641,000	15,866,000	225,000
FTE	173	177	177	0

Table 4
FAMILY COURT OPERATIONS
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Position WIG		11,000	
	Current Position COLA		155,000	
<i>Subtotal 11</i>				<i>166,000</i>
12 - Personnel Benefits	Current Position WIG		2,000	
	Current Position COLA		26,000	
<i>Subtotal 12</i>				<i>28,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			2,000
25 - Other Service	Built-in Increases			21,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			7,000
Total				225,000

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

	2015 Enacted	2016 Enacted	2017 Request
JS-6	13	12	9
JS-7	12	9	8
JS-8	63	64	67
JS-9	38	41	40
JS-10	11	12	14
JS-11	11	12	11
JS-12	7	6	9
JS-13	16	18	17
JS-14			
JS-15		1	
CEMS	1	1	1
CES	1	1	1
Total Salary	10,487,000	11,005,000	11,171,000
Total FTEs	173	177	177

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
144	19,555,000	147	23,040,000	152	22,165,000	5	-875,000

Mission Statement

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

Organizational Background

As the juvenile probation agency for the nation’s capital, 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) assessing each newly referred youth’s social service needs and risk to public safety following arrest; 2) making initial detention/release decisions when Court is not in session; 3) conducting youth and family assessments; 4) making petition recommendations to the Office of the Attorney General; 5) advising and making recommendations to the Court throughout the adjudication process; 6) conducting home, school, and community assessments toward the development of comprehensive pre-trial and post-disposition probation services/supervision plans and alternatives to detention; 7) facilitating Family Group Conferences; 8) recommending and facilitating commitment of youth to the DYRS; and 9) 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 Division goals, objectives, programs, and activities in accordance with the D.C. Courts’ Strategic Plan and the District of Columbia Municipal Code. The office has 5 FTEs.
- The Juvenile Information Control (JIC) Unit processes all cases through adjudication and disposition using the Superior Court’s case management system, CourtView. The JIC Unit also manages distribution of court reports and provides customer service to youth and families reporting to the CSSD’s office at Judiciary Square. The unit has 5 FTEs.
- The Contract Monitoring, Data and Financial Analysis (COMDAF) Unit coordinates all court-ordered referrals, oversees the procurement of services and payment of 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 Prevention Branch (ISDP) is comprised of three units. Intake Units I and II are responsible for screening each newly referred youth's risk to public safety, screening and assessing all truancy referrals, conducting social assessments on all youth referred by law enforcement, coordinating Conner assessments of mental health, presenting all referrals to a judicial officer at the juvenile equivalent of an arraignment in Courtroom JM15, and making pre-trial recommendations. Intake Units I and II operate 24 hours a day, seven days a week. The Delinquency Prevention Unit (DPU) manages the Division's Global Positioning System (GPS) electronic monitoring, coordinates detention diversion transportation, and facilitates public safety community education presentations and outreach throughout the city. The branch consists of 24 FTEs.
- The Pre/Post Probation Supervision Branch - Region I provides seamless services, comprehensive case management, and community monitoring/supervision 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 youth residing in the Anacostia southeast quadrant of the District; 2) the Southwest Satellite Office (SWSO) BARJ Drop-In Center, created to serve youth residing in the southwest and lower northwest quadrants of the city; 3) the Interstate Probation Supervision Office (IPSO), which manages 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), which is responsible for case management and supervision of high-risk pre- and post-adjudicated youth across the city and provides an alternative to commitment to the DYRS. The branch consists of 46 FTEs.
- The Pre/Post Probation Supervision, Status Offender & Behavioral Health Branch -Region II is responsible for providing seamless, comprehensive case management services and community monitoring/ supervision by one probation officer of record. The branch also includes a unit charged with responding to the needs of status offenders and youth presenting with a principal mental health diagnosis who are determined eligible for diversion. The branch consists of: 1) the Northwest Satellite Office (NWSO) for which development is underway for a BARJ Drop-In Center, responsible for serving and supervising most youth residing in the northwest quadrant of the city; 2) the Northeast Satellite Office (NESO) Balanced and Restorative Justice (BARJ) Drop-In Center responsible for serving youth residing in the northeast quadrant of the city; 3) the Status Offender and Juvenile Behavior Diversion Program (SOJBDP) charged with assessing, diverting, petitioning, case managing, serving, and supervising all youth referred by schools or parents 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; 4) the Leaders of Today in Solidarity (LOTS), the city's first female gender-specific seamless probation program; and 5) the Domestic Relations Unit responsible for conducting home studies as ordered during contested child custody hearings. This branch consists of 50 FTEs.
- The Child Guidance Clinic (CGC) Branch provides court-ordered psychological, psycho-educational, neuro-psychological, competency, forensic evaluations, and initial clinical screenings to determine the needs of youth and families and guide judicial decision-making. Additionally, CGC staff recommends eligible youth for the Juvenile Behavioral Health

Court, and provides psychotherapy to a limited number of uninsured youth and families. The CGC also staffs the city's residential Level of Care (LOC) Committee, oversees the facilitation of Conner screenings for all youth, and coordinates the Juvenile Behavioral Health Court's Suitability Committee. The Unit has 9 FTE's and 3 paid interns.

Division Management Action Plan (MAP) Objectives

The Family Court Social Services Division will--

1. Use a valid Risk Assessment Instrument and social assessment interviews on all youth within four hours of referral, ensuring sound detention/release and petitioning recommendations (subsequent to consultation with the OAG), and expeditious case processing initiation by transferring 98% of all cases to appropriate units within three business days of initial hearing.
2. Ensure Conner screening tool for behavioral health is utilized on all youth and the newly developed Environment Screening tool to assess for exploitation and human trafficking is used on 98% of all youth assessed during the intake phase of adjudication.
3. Provide high quality screenings, assessments, individualized services, and supervision to all youth determined eligible for pre-plea and post-disposition diversion and petitioning within 15 calendar days of the petition, as well as post-adjudication supervision.
4. Ensure accurate and timely processing of all services designated by Probation Officers (POs) or ordered by the court by processing all referrals and invoices within 10 days of the probation officer of record receiving the case.
5. Coordinate and facilitate Family Group Conferences (FGC) on all youth within 18 calendar days of receiving the case to determine the appropriate levels of services and community supervision necessary to achieve the objectives detailed in all pre-trial and post-disposition plans for at least 97% of all juveniles.
6. Conduct high-quality, comprehensive home studies for families involved in domestic relations cases by completing 97% of home studies within six weeks of the court order.
7. Develop comprehensive strength-based social studies to guide services and supervision of all juveniles (as ordered by the Court) by completing 97% of all social studies within 15 or 45 days of the court order.
8. Ensure comprehensive service delivery and community supervision for all youth referred via Interstate Compact who reside within a 20-mile radius of the city and ensure all cases adjudicated in the District of Columbia involving youth residing outside of the radius are transferred to the appropriate jurisdiction for services and supervision within 30 days of the disposition.
9. Provide high-quality psychological, neuro-psychological, psychosexual, and psycho-educational evaluations for all Court-ordered youth within 25 business days.

10. Develop and implement a Graduated Response Matrix, guided by a behavioral modification token economy, detailing incentives for youth maintaining compliance with Court-ordered conditions including community service (measured using a human capital construct), and sanctions for youth who fail to maintain compliance.

Restructuring or Work Process Re-Design

Building on major reengineering efforts launched nearly one decade ago, and refined annually, the Court Social Services Division continued to enhance its strength-based positive youth development philosophy to guide comprehensive case management services, supports and community supervision to its pre-trial and post-disposition population.

With a commitment to retain a progressive workforce, ensure timely delivery of services to youth and families, educate the public on the city’s juvenile justice system, and secure a sound infrastructure consistent with the Strategic Plan of the District of Columbia, the CSSD continued to enhance major components of its logic-model. In the spring of FY 2014 the CSSD secured six contractors to administer a baseline behavioral health Conner Screening. The CSSD also developed an Environmental Screening Tool, validated following the collection of sample-size data. Collectively, the implementation of these instruments ensures each youth referred to the CSSD is screened for baseline mental health factors as well as exploitation and human trafficking. As a result of these measures, the CSSD continues to identify youth victimized by exploitation and to refer the youth to local service providers skilled in addressing their needs.

During the spring of FY 2015, remaining Division employees were trained on restorative justice using group dynamic facilitation among youth, families, and staff, and on the correlation between community service/service learning and restoring communities, victims, and offenders. In addition, all staff participated in a Division-wide training, facilitated by a nationally recognized practitioner in human trafficking and exploitation among children and youth. Follow-up trainings in the subject areas will continue in FY 2016 and beyond.

Workload Data

Table 1
FAMILY COURT SOCIAL SERVICES DIVISION
Caseload (Fiscal Year 2014 data)

Case Type	New Cases	Cases Closed	Cases Pending Beginning of Year	Cases Pending End of Year
Juvenile Intake	3,341	3,340	0	1
Pre/ Post Disp. Supervision	2,839	2,952	1,144	1,031
Status Offenders	452	502	256	206
Behavioral Health Court	68	58	24	34
Domestic Relations	146	131	18	33
Child Guidance Clinic	714	715	9	8

Table 2
FAMILY COURT SOCIAL SERVICES DIVISION
Key Performance Indicators

Performance Indicators	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Juveniles under supervision and Domestic Relations (average monthly cases)	Superior Court Data	1,700	1,575	1,650	1,600	1,550	1,525	1,525	1,500
Juveniles under supervision and drug screening conducted (youth screened at lockup)	Pretrial Services Data	1,600	1,540	2,400	2,400	2,400	2,400	2,400	2,400
Juvenile probationers screening positive for drugs during probation	Pretrial Services Data	650	613	650	650	650	650	650	650
Juveniles successfully completing probation	CSSD Statistical Reports	85%	85%	90%	87%	90%	89%	90%	90%
Juveniles arrested for new offenses during probation	Superior Court Data	8%	3%	10%	8%	10%	8%	10%	8%
Average supervision caseload (national standard: 1:25)	CSSD Statistical Reports	25	27	25	27	25	25	25	25
Average intensive supervision caseload (national standard: 1:14)	CSSD Statistical Reports	14	13	14	14	14	14	14	14
Curfew checks -- face-to-face contact	CSSD Statistical Reports	25,000	23,747	25,500	24,000	24,000	24,000	23,500	23,500
Curfew checks -- telephone calls	CSSD Statistical Reports	35,000	31,191	35,000	34,500	34,000	33,500	33,000	32,500
Compliance among youth with face-to-face and telephone call curfew checks	CSSD Statistical Reports	75%	77%	75%	79%	79%	79%	81%	81%

Division Outcomes and Accomplishments in FY 2014

In FY 2014, with an average daily population of 1,445, of whom 404 or 28% were females (an 8% increase among adolescent girls over the past year) and 1,041 or 72% were males, the CSSD continued its innovative and comprehensive measures to serve and supervise court-involved youth, representing the front end of the city’s juvenile justice system. The Division also institutionalized several citywide measures, which proved extremely effective alternatives for engaging at-risk youth and families.

Additionally, the CSSD continued to administer timely Risk Assessment Instrument (RAI) screenings, Social Assessments, Conner Baseline Behavioral Health and Environmental Screenings to newly referred youth resulting in 100% of all new cases certified and ready for presentment prior to the initial hearing. A total of 3,106 new juvenile cases were processed, representing an increase of 8.5% from the 2,901 new cases processed in FY 2013. Additionally, the CSSD successfully screened roughly 1,700 Status Offender referrals, the vast majority of which were truancy referrals and of which 87% were deemed not eligible for petitioning and were returned to the referring schools. The Division also continued face-to-face curfew visits (an average of 2,000 per month) with youth and families, conducted curfew calls (an average of 2,600 per month), continued home and school visits, facilitated Family Group Conferences with all newly referred youth and families, and coordinated sound case

management resulting in increased access to the services managed through the CSSD’s eight satellite offices: the Northwest Satellite Office, Ultimate Transitions Ultimate Responsibilities Now (intensive supervision), the Interstate Probation Office, the Northeast, Southwest, and Southeast Balanced and Restorative Justice Drop-In Centers, and the Leaders of Today in Solidarity - LOTS and Status Offender/Juvenile Behavioral Health Offices.

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

Month/Year	Oct 14	Nov 14	Dec 14
Youth in Program	12/142	26/129	32/118
% Not suspended from school	91%	93%	93%
% Not rearrested	100%	90%	90%

Table 3 shows outcomes achieved by the SE BARJ Drop-In Center in the first quarter of FY 2014. The Center houses both BARJ activities for pre-trial youth and post-disposition supervision and services. Among the youth participating in the SE BARJ Drop-In Center, 95% were not re-arrested and 92% were not suspended. The average daily population of the SE Center was 119, including 23 youth who participated in BARJ activities and 96 post-disposition youth who were served and supervised at the location. Note: The SE Drop-In Center was closed for renovations December 31, 2014 and is slated to reopen in October 2015. While the Southeast Center is closed, the youth report to the Southwest Drop-In Center for services and supervision.

Table 4
FAMILY COURT SOCIAL SERVICES DIVISION
SE/SW Drop-In Center

Month/Year	Jan 15	Feb 15	Mar 15	Apr 15
Youth in Program	21/115	16/109	15/98	26/93
% Not suspended from school	91%	93%	93%	92%
% Not rearrested	100%	90%	90%	96%

Table 4 shows outcomes achieved by the combined SE/SW BARJ Drop-In Center during the first four months of 2015. This Center houses both BARJ activities for pre-trial youth and post-disposition supervision and services. Among the youth participating in the SE/SW BARJ Drop-In Center, 94% were not re-arrested, 92% were not suspended, and more than 75% of participating youth completed the SE/SW BARJ Drop-In Center program. The average daily population of the SE/SW Center was 119, including 23 youth who participated in BARJ activities and 96 post-disposition youth who were served and supervised at the location.

Table 5
FAMILY COURT SOCIAL SERVICES DIVISION
NE BARJ Drop-In Center

Month/Year	Oct 14	Nov 14	Dec 14	Jan 15	Feb 15	Mar 15	April 15
Youth in Program	26/153	24/161	31/155	24/148	17/152	30/144	24/145
% Not suspended from school	96%	91%	86%	86%	83%	86%	87%
% Not rearrested	100%	66%	71%	95%	100%	90%	92%

Table 4 shows outcomes achieved by the NE BARJ Drop-In Center in FY 2015. The Center houses both BARJ activities for pre-trial youth and post-disposition supervision and services. Among the youth participating in the NE BARJ Drop-In Center, 88% of the youth were not re-arrested and 88% (an increase of 5% from FY 2013) of participating youth were not suspended from school. The average daily population of the NE Center was 174, including 24 youth who participated in BARJ activities and 150 post-disposition youth who were served and supervised at the location.

Table 6
FAMILY COURT SOCIAL SERVICES DIVISION
Curfew Checks

Month/Year	Oct 14	Nov 14	Dec 14	Jan 15	Feb 15	Mar 15	Apr 15
Face-to-Face	2,766	1,953	2,295	2,072	1,820	1,727	1,370
Telephone	2,634	2,508	2,690	2,802	2,188	2,046	2,101

Table 6 illustrates that from October 1, 2014 thru April 30, 2015, a total of 14,003 face-to-face curfew checks, and 16,969 telephone curfew checks were conducted by Probation Officers. The population of youth receiving face-to-face curfew checks includes youth residing in the city, D.C. youth adjudicated outside the city, and youth adjudicated in D.C. who reside within a 20-mile radius of the city. The population of youth receiving telephone curfew checks includes all youth supervised by CSSD with court-ordered curfews. In addition, 4,771 face-to-face weekend curfew checks (Friday and Saturday nights) were made during the summer of 2014 (June – August) as a part of the “D.C. Safe Streets” Initiative, which will continue during the summer of 2015.

Table 7
FAMILY COURT SOCIAL SERVICES DIVISION
Parent Participation Orders

Month/Year	Oct 14	Nov 14	Dec 14	Jan 15	Feb 15	Mar 15	Apr 15
Parent Participation Orders	901	931	871	638	747	786	788
Compliance	822	856	798	584	666	708	720
% Compliance among parents	91%	93%	92%	92%	89%	90%	91%

Table 7 illustrates that from October 2014 through April 2015, 91% 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. The CSSD believes that parental involvement has enabled supervised youth to maintain higher degrees of compliance with court-ordered conditions.

Building on past successful outcomes, in FY 2015 the CSSD maintained its partnerships with local juvenile and criminal justice, child welfare, health, and behavioral health stakeholders as well as public and public charter school professionals throughout the city. Through collaborative meetings, convened monthly and quarterly among partners, the scope of innovative activities and programs targeting at-risk youth were increased. The results of these partnerships, which have been recognized by local media and other jurisdictions seeking to replicate these successful programs, remain low recidivism recognized nationally. During FY 2015, the CSSD hosted a site visit from Office of Juvenile Justice and Delinquency Prevention Administrator Robert L. Listenbee, including a tour of the Leaders of Today in Solidarity (LOTS) Drop-In Center

(scheduled to open in July 2015), and the Southwest BARJ Drop-In Center, meeting with youth attending the BARJ, and dinner with the youth and staff. The CSSD also hosted a delegation from Trinidad and Tobago that is conducting research on how best to develop a juvenile justice system. The two-day visit, coordinated by the National Center for State Courts, included a comprehensive overview of the Division's infrastructure, statutory requirements, programming and model initiatives as well as a tour of three BARJ Drop-In Centers, which concluded with an opportunity for the delegation to meet and dine with youth and staff at the Southwest Center. The Family Court and CSSD have been asked to continue providing consultation and support to the delegation.

Because CSSD data confirms that citywide measures to engage youth, often facilitated with cross-agency stakeholders, yield better outcomes for court-involved youth, the CSSD offered a variety of educational, recreational, and entertainment opportunities, thereby leveraging safe exposure of youth to edutainment venues. CSSD expanded its engagement with youth during weekday evenings and on Saturdays and enhanced access to cultural outings. For example, on Halloween, the CSSD staff coordinated an in-house "*Fright Night*." The Southwest and Northeast BARJ Drop-In Centers were decorated as haunted houses, and youth were treated to an evening of movies, digital games, tabletop competitions, and refreshments, including caramel and candied apples.

A variety of activities engaged youth during Spring Break. CSSD launched a Safe Spring Kick-Off in April with a block party, attended by more than 1,500 individuals, that featured a cookout, outdoor athletic activities, game trucks, and a disk jockey. The goal of the block party was to reduce violence by diverting CSSD youth from congregating at the National Zoo and Gallery Place on Easter Monday, where youth violence has occurred in past years. The block party was a major success, free from incidents warranting intervention from law enforcement. In mid-April, 50 youth under CSSD supervision toured five colleges and universities (West Virginia State, Wilberforce University, Ohio State University, Frostburg State University, Central State University) and were able to meet faculty and students, visit lecture halls and historic campus landmarks, and dine with students on campus. The youth and staff gave the tours rave reviews, and a number of youth applied for enrollment during the tours. Back in DC, more than 150 youth, divided into teams, toured the nation's capital looking for clues, important facts, and historical events, culminating in a "*DC Amazing Race*" on Friday, April 17, 2015. The winning teams received certificates and gift cards for their accomplishments. All youth were presented certificates for completing the activities, and Metropolitan Police Department officers who helped chaperone the youth were recognized. The event concluded with a barbeque.

A citywide summer weekend curfew, which began in 2011, continued during June, July, and August of 2015. The CSSD also expanded operations on Fridays and Saturdays at the BARJ Drop-In Centers, which helped reduce the volume of summer curfew checks during those times. Utilizing contract vendors, the CSSD offered mentoring, tutoring (in the form of educational outings) and other therapeutic supports to youth. Friday nights consisted of group dynamics and movies, while Saturdays included restorative justice, community service, cultural outings, and recreation.

The work of the Division was recognized when Supervisory Probation Officer Mark Jackson received the 2015 Cafritz Award, given by the George Washington University Center for Excellence in Public Leadership for distinguished public service in the District of Columbia. Presented to individuals whose hard work, dedication, and commitment to public service have made a difference, the Cafritz award is bestowed annually upon five individuals.

In FY 2014, the Division's Child Guidance Clinic (CGC) completed 715 psychological, psycho-educational, neurological, sex offender, violent risk competency and *Miranda* rights competency evaluations. The CGC continued to operate its nationally recognized pre-doctoral psychology internship training program, accredited by the American Psychological Association (APA). The CGC's Clinical Research Lab continued its contributions to the broader child and adolescent practitioner community, authoring several publications in professional journals focusing on child and adolescent development, juvenile justice, and family courts, including:

- "The Effects of Stigma Priming on Forensic Screening in African-American Youth." *The Counseling Psychologist*, Accepted May 2015.
- "Perceived Parental Security Profiles in African-American Adolescents Involved in the Juvenile Justice System." *Journal of Family Psychology*, Accepted April 2015.
- "A Pathway Model for Emotional Distress and Implications for Therapeutic Jurisprudence in African-American Juvenile Court Respondents." *Cultural Diversity and Ethnic Minority Psychology*, Accepted April 2015.
- "Concurrent Validity of Zimbardo Time Perspective Inventory Profiles: A Secondary Analysis of Data from the United Kingdom." *Journal of Adolescence*, Accepted 2015.
- "An Examination of Management Strategies and Attitudes Among Probation Officers." *Journal of Forensic Social Work*, 4 150-166.doi: 10.1111/jfcj. 12025, Accepted August 2014.

Finally, in FY 2014, the CSSD completed 1,409 Global Positioning System (GPS) installations for court-involved youth.

FY 2017 Request

In FY 2017, the Courts' request \$22,165,000 for the Family Court Social Services Division, a net decrease of \$875,000 (-4%) from the FY 2016 Enacted Level. The FY 2017 request includes a decrease of \$1,600,000 for one-time build-out expenses for the Interstate BARJ Drop-in Center funded in FY 2016 and increases of \$390,000 and 5 FTEs to co-manage the new NW BARJ Drop-In Center and provide legal advice regarding juvenile statutory matters and clerical support within the Division and \$335,000 for built-in cost increases.

Enhancing Juvenile Probation Services, 5 FTEs, \$390,000

Supervisory Probation Officer, 1FTE (JS-13)

Attorney Advisor, 1FTE (JS-13)

Deputy Clerk, 3FTEs (JS-06/07/08)

Problem Statement. To enhance supervision of juveniles by providing leadership at the new Northwest Balanced and Restorative Justice (BARJ) Drop-in Center, ongoing analysis of legal

issues and parameters, and administrative support for probation officers, five new FTEs are requested. The Division will soon open the NW BARJ Center, subsequent to the completion of construction, with 10 probation officers (PO), 2 support staff, and only 1 supervisory probation officer (SPO). The SPOs who lead the CSSD's Drop-In Centers are responsible not only for supervision of the staff, but also for development of innovative programming tailored to meet the needs of the youth at each location. Given the volume of this work, each Center requires two SPOs; an additional supervisor is needed to open and operate this new facility successfully.

The legal parameters facing the Division are complex, with ever-changing local and Federal requirements, confidentiality concerns, contractual service providers, and interactions with stakeholders from the District of Columbia's criminal justice, child welfare, educational, and broader communities. New initiatives to reduce recidivism and address the needs of the youth on probation often require reviews of statutory provisions, and staff must remain abreast of developing legal standards. An attorney advisor is required to perform legal consultations, support CSSD's leadership, train staff, and assist with oversight of contracts for services for youth. The attorney advisor will coordinate with the D.C. Courts' General Counsel, while providing day-to-day support to the CSSD.

Following reforms pioneered by the CSSD during the past decade, the duties and responsibilities of POs, SPOs, and senior managers have increased significantly. Probation officers are far more mobile and active in interacting with youth, families, juvenile justice stakeholders, and the Court. Managers are charged with supervising POs and carrying out many duties representative of a diverse portfolio. Three deputy clerks are needed to reduce the administrative burden on these professionals, freeing them from such duties as data entry, preparing referral packages, and managing youth and family contacts so that they can maintain CSSD's high-level service delivery to court-involved youth and their families.

Relationship to Court Vision, Mission and Strategic Goals. The additional FTEs to support the NW Center, provide legal consultation, and administrative services support the D.C. Courts' Strategic Goal 5A1 of enhancing Public Trust and Confidence by promoting "public safety by providing effective supervision, rehabilitation, and treatment of court-involved youth."

Relationship to Division MAP Objectives. This request supports nearly all of the CSSD MAP objectives, particularly objectives 2 – ensure Conner screening tool for behavioral health is utilized on all youth and the newly developed Environment Screening tool; 3 – provide high quality screenings, assessments, individualized services, and supervision to all youth; 5 – coordinate and facilitate Family Group Conferences on all youth; 8 – ensure comprehensive service delivery and community supervision for all youth referred via Interstate Compact; and 10 - develop and implement a Graduated Response Matrix, guided by a behavioral modification token economy.

Relationship to Existing Funding. The CSSD has assessed its existing staffing and budget, and concluded the unique skills required by each position requested cannot be absorbed by current staff nor with existing funds.

Expenditure Plan. Additional FTEs will be recruited consistent with the D.C. Courts' personnel policies.

Performance Indicators. Key performance indicators include: 1.) Sufficient management of the NW BARJ Center; 2.) Ready access to legal consultation; and 3.) Enhanced support to SPOs and POs, thereby improving services and supports to youth and families.

Table 8
FAMILY COURT SOCIAL SERVICES DIVISION
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Cost
Supervisory Probation Officer	JS-13	1	\$93,000	\$26,000	\$119,000
Attorney Advisor	JS-13	1	\$93,000	\$26,000	\$119,000
Deputy Clerk	JS-6	3	\$119,000	\$33,000	\$152,000
TOTAL		5	\$305,000	\$85,000	\$390,000

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

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	11,785,000	12,275,000	12,758,000	483,000
12 - Personnel Benefits	3,298,000	3,439,000	3,572,000	133,000
Subtotal Personal Services	15,083,000	15,714,000	16,330,000	616,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	400,000	808,000	823,000	15,000
24 - Printing & Reproduction				
25 - Other Services	3,987,000	6,426,000	4,918,000	-1,508,000
26 - Supplies & Materials	50,000	56,000	57,000	1,000
31 - Equipment	35,000	36,000	37,000	1,000
Subtotal Nonpersonal Services	4,472,000	7,326,000	5,835,000	-1,491,000
TOTAL	19,555,000	23,040,000	22,165,000	-875,000
FTE	144	147	152	5

Table 10
FAMILY COURT SOCIAL SERVICES DIVISION
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Position WIG	147	32,000	
	Current Position COLA		146,000	
	Supervisory Probation Officer	1	93,000	
	Attorney Advisor	1	93,000	
	Deputy Clerk	3	119,000	
<i>Subtotal 11</i>				<i>483,000</i>
12 - Personnel Benefits	Current Position WIG		7,000	
	Current Position COLA		41,000	
	Supervisory Probation Officer		26,000	
	Attorney Advisor		26,000	
	Deputy Clerk		33,000	
<i>Subtotal 12</i>				<i>133,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increases			15,000
24 - Printing & Reproduction				
25 - Other Services	Built-in Increases		92,000	
	Interstate BARJ Build-out		-1,600,000	
<i>Subtotal 25</i>				<i>-1,508,000</i>
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Total				-875,000

Table 11
FAMILY COURT SOCIAL SERVICES DIVISION
Detail of Full-Time Equivalent Employment

	2015 Enacted	2016 Enacted	2017 Request
JS-6	9	11	14
JS-7	3	3	2
JS-8	19	17	19
JS-9	9	19	19
JS-10	2	2	3
JS-11	17	8	4
JS-12	57	59	63
JS-13	19	20	21
JS-14	7	6	5
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	11,785,000	12,275,000	12,758,000
Total FTEs	144	147	152

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
26	3,232,000	27	3,375,000	29	3,531,000	2	156,000

Mission Statement

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

Organizational Background

The Multi-Door Dispute Resolution Division provides mediation and other ADR services to assist in the settlement of disputes brought to the D.C. 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 actions 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 that includes multiple stakeholders addressing family plans and legal issues in child neglect cases. The Community Information and Referral Program provides resource information, agency referrals, conciliation, and mediation to individuals and families. The program addresses landlord tenant, consumer fraud, contract, domestic relations, and personal injury issues before a case is filed. The Family Mediation Program addresses domestic relations issues of custody, support, visitation, and property distribution. The Family Mediation Program also includes PAC, a Parent Education Seminar for parents and their children involved in contested custody disputes. The Parent Education Seminar provides parents with information regarding the effects and potential consequences of a custody dispute on children, and allows them to participate in a mediated resolution of the dispute in a manner that is in the best interest of the children.

3. The Program Assessment and Training Branch provides quality assurance through the training, evaluation, and support of 150 community-based mediators who are lawyers, social workers, government employees, retirees, and others providing ADR services to the court. Mediators receive a stipend for their services.

International and domestic visitors look to the Multi-Door as a model program upon which to base their own programs. The 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	Mediations Held	*Cases Settled	**Settlement Rate
FY 2014	8,457	5,101	2,654	59%
FY 2015	8,818	5,541	2,508	60%

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

**settlement rate reflects number of civil and family “cases” settled as reflected in table 2 and table 3.

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 court-wide data and the quality of all mediated agreements.
- Increase understanding of and access to ADR by conducting community outreach and education, and creating high quality written materials in multiple languages and videos that better inform and prepare lawyers, clients and the public about the mediation process.

- Improve public access to Alternative Dispute Resolution by increasing services and options for participation.
- Recruit a well-trained roster of neutrals in all mediation programs by maintaining an open enrollment application process and providing basic and advanced mediation skills training, and maintaining a bi-annual renewal process to assure the quality of mediator performance.
- Enhance current and future delivery of Multi-Door services by initiating a workforce plan that includes position reengineering, cross-training, and organizational and succession planning that aligns all division goals and objectives with individual employee performance plans.
- Promote diversity by outreach efforts to minority groups.
- Promote the “Living Our Values” initiative by developing and implementing a “Values” divisional plan.
- Foster employee engagement by seeking employee input and encouraging innovation and collaboration in the development of court processes and procedures.

Division Restructuring or Work Process Design

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

Civil ADR Branch

As shown in Table 2, the Division’s civil mediations remain stable with the largest volume of civil cases stemming from Small Claims and Landlord Tenant Courts. The division expects the overall civil caseload to increase due to a backlog of cases in the tax assessor’s office and the division is poised to offer a second mediation track to address these issues.

Community cases refers to same-day mediation cases scheduled for a preliminary injunction hearing in which Temporary Restraining Orders are sought against another person, typically a neighbor. The division is currently working with Judge in Chambers to allow for same day referrals from court to mediation, thereby increasing the number of cases coming to mediation earlier in the process. The projections for cases referred and cases mediated remain steady over the next three years.

Family ADR Branch

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

In FY 2014, CPM scheduled 341 families for mediation, representing 510 children. Of those 341 families, 239 cases were mediated. Two hundred and twenty-five families completed the mediation process with 202 resolving all issues. These settlements impacted 305 children that reached an earlier decision about their permanency status.

In FY2015, 305 families, representing 468 children developed early, appropriate, and comprehensive service agreements that serve to protect the safety and best interest of the child and the family. Sixty-five percent of those families reached agreement on substantive issues and family services.

Family Mediation Program. The Family Mediation program offers parties an opportunity and setting to discuss issues of communication, separation, divorce, child custody, visitation and support, alimony, debt, divisions of property, and other family matters. During FY 2014, the family program experienced a 9% increase in case settlements (132 in FY 2013 and 150 in FY 2014). The family program scheduled 1,222 sessions. Of those sessions scheduled 70% (854) were held.

During the first 6 months of FY 2105, the program has scheduled more family matters than in all of FY 2014, representing a 20% increase in families participating in mediation in a timely and efficient manner. The program reached 100% compliance with case processing standards, scheduling cases for mediation within 14 days of acceptance into the program.

The Family Mediation Program is in the 2nd year of a partnership with nationally recognized experts to study intimate partner violence/abuse (IPV/A) and its impact on mediation. The study is supported by a National Institute for Justice Grant and by the Department of Justice Office of Violence Against Women and the Battered Women's Project. The study will assess whether parties with high degrees of IPV/A can be accommodated in mediation by randomly assigning them to shuttle mediation, mediation via video conferencing, or a judicial determination. The results of this study will increase our understanding and detection of IPV/A and increase access to victims of IPV/A who feel that mediation is the safest option to resolve their dispute. This enhancement in services will expand the type of mediation services provided to families that reside in the District of Columbia and will likely reduce the number of domestic relation cases that require significant judicial time. To date, the program screened and identified 59 cases with IPV/A that were eligible to participate in the study.

Program for Agreement and Cooperation in Contested Custody Disputes (PAC) PAC is a Family Court parent education seminar that operates adults' and children's seminars for disputed custody cases twice a month. During FY 2014, there were 4,102 domestic relations case filings, of which 2,270 were PAC cases. During this period, 734 parents and 160 children participated in PAC educational seminars provided by the Multi-Door Dispute Resolution Division. There were 385 PAC cases scheduled for mediation (770 parents). Of those cases 303 attended mediation (606 parents), and 79% of parents that attended the education seminar participated in mediation.

The Community Information and Referral Program (CIRP) The Community Information and Referral Program (CIRP) is for people seeking help with all types of disputes before they come to court. In addition to the services provided at the court, CIRP provides a bi-lingual dispute

resolution specialist on site two days per month at the Multi-Door Dispute Resolution Satellite Office at the Central American Resource Center (CARECEN) in Adams Morgan. In FY 2014, CIRP intakes increased by 13% (1,578 in FY 2013 and 1,778 in FY 2014). During this time 138 Spanish language cases were opened. Forty-six cases resolved at intake, 11 cases conciliated and nine cases settled resulting in an 82% settlement rate.

Program Assessment and Training Branch

In FY 2015, the Division conducted 23 advanced Alternative Dispute Resolution (ADR) trainings across all programs to enhance the quality of its mediator pool. The division hosted four international groups of judges and attorneys, providing ADR educational sessions and opportunities to observe family and civil mediations. The division director gave presentations on ADR and the Courts to third-year law students at George Washington University Law School and the University of the District of Columbia Law School and provided mediation observation opportunity for a group of law students from American University Law School. The division also participated in the federal *pro bono* fair as an education and outreach effort to recruit new mediators for the court.

To enhance training programs and provide additional opportunities for mediator professional development, the Division continues to add to its DVD Library of ADR trainings for mediators, adding 8 new training DVDs to its collection during this fiscal year. The continuing expansion of the DVD library has helped provide better service to mediators by making it more convenient to comply with training requirements. In turn, this should improve the services received by the parties.

The Multi-Door Division utilizes several web-based systems to capture the mediation experience of participants 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. The web-based voucher system is currently being redesigned to increase its user-friendliness and efficiency, which is expected to enhance the timeliness of payments.

Workload Data

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

Type of Indicator	Performance Indicator	Data Source	FY 2014 Actual	FY 2015 Estimated	Projection FY 2016	Projection FY 2017
Input	Cases Scheduled	CourtView	6,817	7,033	7,174	7,245
Output	Mediation Sessions Held	CourtView	4,051	4,306	4,392	4,436
Outcome	Case settlement rate	CourtView	53%	55%	55%	55%
Outcome/Quality	Participant Satisfaction w/ ADR Process	SPSS database	89%	85%	90%	91%
Outcome/Quality	Participant Satisfaction w/ Outcome	SPSS database	67%	67%	72%	78%
Outcome/Quality	Neutral Performance Satisfaction	SPSS database	90%	93%	93%	93%

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

Type of Indicator	Performance Indicator	Data Source	FY 2014 Actual	FY 2015 Estimated	Projection FY 2016	Projection FY 2017
Input	Mediation Sessions Scheduled	Court view	1,640	1,785	1,835	1,850
Output	Mediation sessions held	CourtView	1,050	1,235	1,245	1,250
Outcome	*Case settlement rate	CourtView	65%	65%	65%	65%
Outcome/Quality	Participant satisfaction w/ process	SPSS database	85%	90%	92%	92%
Outcome/Quality	Participant satisfaction w/outcome	SPSS database	79%	85%	85%	85%
Outcome/Quality	Neutral performance satisfaction	SPSS database	86%	90%	95%	96%

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

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

The caseload statistics in Tables 2 and 3 represent the total number for all programs within that branch of the division. The quality performance elements reported in Tables 2 and 3 are measured through participant surveys distributed to all ADR participants after mediation is completed. The statistics reflect the percentage of respondents who report being either “satisfied” or “highly satisfied” with the overall ADR process, outcome, and neutral performance.

Key Performance Indicators

Multi-Door will continue to exercise best efforts to achieve its objectives of quality, responsiveness, and settlement in ADR service delivery. The Division has identified performance goals to achieve these objectives. These performance goals are 1) to achieve

settlement rates of at least 50% in every ADR program; and 2) to achieve ratings of “highly satisfied” from at least 30% of respondents in each of the three quality performance indicators (ADR process, ADR outcome, and neutral performance) and overall satisfaction rates (a combination of “satisfied” and “highly satisfied” responses) of at least 80%. Key performance indicators drawn from the Multi-Door MAP are as follows:

Table 4
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output	Settlement Rate	IJIS database	50%	59%	50%	60%	50%	60%	50%	60%
Outcome	Overall client satisfaction (ratings of satisfied plus highly satisfied)	SPSS database	80%	83%	80%	85%	80%	88%	80%	89%

FY 2017 Request

In FY 2017, the D.C. Courts request \$3,531,000 for the Multi-Door Dispute Resolution Division, an increase of \$156,000 (5%) above the FY 2016 Enacted Level. The requested increase includes \$101,000 for 2 FTE mediation clerks to expedite mediations in the civil and family ADR branches and \$55,000 for built-in cost increases.

Family and Civil Mediation Improvements, 2 FTEs, \$101,000
Mediation Clerks, 2 FTEs (JS-6/7/8)

Problem Statement (Family). In January 2015 a new Family Court Case Management Plan was adopted, requiring all family cases to participate in mediation. In the first 6 months of 2015, 787 cases were referred to mediation. The number of cases referred to mediation is expected to double by year’s end to approximately 1,575. In 2014 a total of 818 family cases were referred to mediation.

Current family mediation staffing levels are not adequate to provide continuity of services for family cases or to ensure the timely scheduling of mediation sessions. Currently, one Program Officer conducts case assessments, scheduling, and mediator assignments for all family cases. The Program Officer is also responsible for processing intake information, entering cases in the court’s case management system, reviewing mediated agreements, preparing caseload reports, assessing mediator performance, conducting training, and supervising staff. A Family Mediation Clerk is needed to expedite case resolution.

Time standards require that eligibility determinations for referred cases be completed within five business days and, if accepted, a mediation session is to be scheduled within 15 days. With the increased caseload it is currently taking upwards of 40 days (twice the standard) for the first mediation session to be scheduled. As a result, families lack timely access to justice.

The Family Mediation Clerk will help to expedite case resolution by providing a range of administrative and clerical support, including coordinating the scheduling of mediation between

clients and mediators, providing important case information to mediators, litigants, and court personnel and providing mediation information to litigants in advance of mediation sessions.

Problem Statement (Civil). The Civil ADR Branch currently schedules over 6,000 cases per year for mediation with no clerical staff. Recently the caseload increased significantly due to the addition of a foreclosure caseload totaling more than 600 cases in the first year alone, with increases expected. In addition, a new process for referral of cases seeking injunctive relief added 22 cases referred by two to three judges in the pilot year. These case referrals are expected to expand once the program is opened to all 16 judges.

In the Civil Mediation Program changes in case referrals have dramatically shortened the time frame in which staff must review and assign cases to mediators. Additional changes to be implemented soon will allow the public greater choices regarding the assignment of a mediator and the scheduling and length of sessions. These changes will significantly increase the amount of staff work needed to administer the program.

In light of the changes being implemented, as discussed above, current civil mediation staffing levels are not adequate to provide continuity of services for all the types of civil actions or to ensure the timely scheduling of mediation sessions. A Civil Mediation Clerk is needed to expedite case processing.

Currently, just four case managers and three program officers manage all the scheduling and mediator assignment for six distinct civil program caseloads totaling more than 6,000 cases each year. The program managers must also review mediated agreements, produce caseload reports, conduct mediation training, and carry out staff supervision and quality review duties for full-time staff and 150 mediators. The Civil Mediation Clerk will provide clerical and administrative support to the case managers and program officers, such as coordinating and scheduling ADR sessions and responding to information inquiries from mediators, litigants, and court staff. The addition of a new clerk will allow the case managers to more appropriately focus their efforts on case preparation and assignment, as well as post-mediation case processing and agreement review.

Relationship to Court Mission, Vision, and Strategic Goals. The Civil Mediation Clerk and the Family Mediation Clerk positions would support the Courts' Strategic Goal 1- fair and timely case resolution and Goal 2 - improve access for *pro se* litigants. In particular, it supports Strategy 1.2.1, of using alternative dispute resolution to manage cases.

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

Relationship to Existing Funding. The Division has no excess personnel funding for this position.

Methodology. The position is career ladder grade 6/7/8 based on the Courts' classification procedures for comparable staff positions.

Expenditure Plan. Two Deputy Clerk positions will be recruited and hired according to D.C. Courts' Personnel Policies to serve as the Civil Mediation Clerk and the Family Mediation Clerk.

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

Table 5
MULTI-DOOR DISPUTE RESOLUTION DIVISION
New Position Requested

Position	Grade	Number	Annual Salary	Benefits	Total Personnel Costs
Deputy Clerk	6	2	\$79,000	\$22,000	\$101,000

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

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	2,116,000	2,215,000	2,326,000	111,000
12 - Personnel Benefits	589,000	618,000	650,000	32,000
<i>Subtotal Personal Services</i>	<i>2,705,000</i>	<i>2,833,000</i>	<i>2,976,000</i>	<i>143,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	1,000	1,000	2,000	1,000
25 - Other Services	507,000	520,000	530,000	10,000
26 - Supplies & Materials	12,000	13,000	14,000	1,000
31 - Equipment	7,000	8,000	9,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>527,000</i>	<i>542,000</i>	<i>555,000</i>	<i>13,000</i>
TOTAL	3,232,000	3,375,000	3,531,000	156,000
FTE	26	27	29	2

Table 7
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 – Personnel Compensation	Current Positions WIG	27	2,000	
	Current Positions COLA		30,000	
	Deputy Clerk	2	79,000	
<i>Subtotal 11</i>				<i>111,000</i>
12 – Personnel Benefits	Current Positions WIG		2,000	
	Current Positions COLA		8,000	
	Deputy Clerk		22,000	
<i>Subtotal 12</i>				<i>32,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increase			1,000
25 - Other Services	Built-in Increase			10,000
26 - Supplies & Materials	Built-in Increase			1,000
31 - Equipment	Built-in Increase			1,000
Total				156,000

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

Grade	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
JS-6		1	4
JS-7			
JS-8	1	1	
JS-9	1	1	1
JS-10	10	10	10
JS-11	5	5	5
JS-12	4	4	4
JS-13	3	3	3
JS-14			
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salaries	2,116,000	2,215,000	2,326,000
Total FTEs	26	27	29

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
5	662,000	5	678,000	5	698,000	0	20,000

Mission Statement

The primary 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 fiduciaries appointed by 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 account to the court or the parties properly. 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.

Organizational Background

D.C. Code § 11-1724 authorizes the creation of the position of the Auditor-Master for the D.C. Superior Court. The Auditor-Master performs duties set forth within orders of reference received from Superior Court judges and magistrates. The Office of the Auditor-Master investigates assigned matters by gathering and compiling all available documentation and evidence, issuing subpoenas for additional documentation and witnesses to supplement the record, and conducting hearings during which evidence is presented and testimony is secured under oath. 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. The Office of the Auditor-Master has 5 FTEs, consisting of the Auditor-Master, an Attorney Advisor, an Accountant, a Legal Assistant, and an Administrative Assistant.

Divisional MAP Objective

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

- Establish aggressively shorter time standards to assist in the timely disposition of cases as mandated by the Superior Court.
- Exceed goals in all identified case-time standards.

Division Restructuring of Work Process

In support of D.C. Courts' goal to increase case processing efficiency, the Office of the Auditor-Master has implemented several initiatives to improve the timeliness of disposition and clearance rate of all assigned matters. Some of these efforts include the following:

- Developing standard case processing forms, and other templates, which promotes intra-office consistency and improves timeliness;
- Adopting trial court case management best practices, such as status hearings, to identify the issues in contention, advance the settlement process, and resolve cases.
- Cultivating institutional knowledge by cross-training staff to independently investigate matters and assist the Auditor-Master.
- Shifting and reassigning duties and responsibilities among the staff to streamline and expedite case-processing.

With the change in case processing (a major reassignment of duties among personnel) which was implemented in FY 2013, the Office has continued to enhance the timely processing of cases. In FY 2014 74 cases were completed, which is an 8% increase in case completions from FY 2013 to FY 2014. In FY 2014, the Office reduced the pending caseload by 55% and increased the case clearance rate from 74% in FY 2013 to 129% in FY 2014. It is anticipated that all goals for FY 2015 will be met. Despite the influx of increasingly contested and complex cases, the Office has maintained a 98% report approval rate during FY 2014 and FY 2015.

Workload Data

Table 1
**OFFICE OF AUDITOR MASTER
FY 2014 Caseload Overview**

Case Activity			Cases Pending		
Reports (Dispositions)	Cases Referred	Clearance Rate	Oct 1	Sep 30	Change
95	74	129%	51	23	-55%

Table 2
**OFFICE OF AUDITOR MASTER
Projected FY 2015 Caseload Overview**

Case Activity			Cases Pending		
Reports (Dispositions)	Cases Referred	Clearance Rate	Oct 1	Sep 30	Change
69	69	100%	23	23	0%

Key Performance Indicators

Table 3
OFFICE OF THE AUDITOR-MASTER
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
			Goal	Actual	Goal	Projected	Goal	Estimate	Goal	Estimate
Output	Cases completed within 4 months	Monthly Reports	55%	29%	50%	50%	50%	50%	50%	50%
Output	Cases completed within 6 months	Monthly Reports	75%	41%	65%	65%	65%	65%	65%	65%
Output	Cases completed within 9 months	Monthly Reports	80%	73%	80%	80%	80%	80%	80%	80%
Output	Cases completed within 12 months	Monthly Reports	85%	89%	85%	85%	85%	85%	85%	85%
Output	Cases completed within 18 months	Monthly Reports	95%	100%	95%	95%	95%	95%	95%	95%

FY 2017 Request

In FY 2017, the D.C. Courts request \$698,000 for the Office of the Auditor-Master, an increase of \$20,000 (3%) above the FY 2016 Enacted Level. The requested increase consists entirely of built-in increases.

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

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 – Compensation	500,000	509,000	520,000	11,000
12 – Benefits	138,000	141,000	146,000	5,000
<i>Subtotal Personal Services</i>	<i>638,000</i>	<i>650,000</i>	<i>666,000</i>	<i>16,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	1,000	2,000	3,000	1,000
25 - Other Services	5,000	6,000	7,000	1,000
26 - Supplies & Materials	6,000	7,000	8,000	1,000
31 – Equipment	12,000	13,000	14,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>24,000</i>	<i>28,000</i>	<i>32,000</i>	<i>4,000</i>
TOTAL	662,000	678,000	698,000	20,000
FTE		5	5	0

Table 5
OFFICE OF THE AUDITOR-MASTER
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11- Personnel Compensation	Current Positions WIG		3,000	
	Current Positions COLA		8,000	
<i>Subtotal 11</i>				<i>11,000</i>
12- Personnel Benefits	Current Positions WIG		3,000	
	Current Positions COLA		2,000	
<i>Subtotal 12</i>				<i>5,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Service	Built-in Increases			1,000
26 - Supplies & Materials	Built-in Increases			1,000
31 – Equipment	Built-in Increases			1,000
Total				20,000

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

Grade	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	1	1	1
JS-11	1	1	1
JS-12	1	1	1
JS-13	1	1	1
JS-14			
JS-15			
CEMS			
CES	1	1	1
Total Salaries	500,000	509,000	520,000
Total FTEs	5	5	5

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
57	5,606,000	60	5,919,000	68	7,163,000	8	1,244,000

Mission Statement

The mission of the Probate Division/Office of the Register of Wills is to deliver quality services to the public fairly, promptly, and effectively; to record and maintain wills and case proceedings; to monitor supervised estates of decedents, incapacitated and developmentally disabled adults, guardianships of mentally challenged adults, minors and certain trusts; to audit fiduciary accounts to ensure that the funds of disabled persons and other persons under court supervision are handled properly; and to make recommendations to judges on certain matters over which the Superior Court has probate jurisdiction.

Introduction

The Probate Division/Office of the Register of Wills has jurisdiction over decedents’ estates, trusts, guardianships of the estates of minors, guardianships of mentally challenged adults, and guardianships and conservatorships of adults otherwise incapacitated. As the population continues to age, the work of the Probate Division continues to increase, with more adults becoming incapacitated and needing court-appointed fiduciaries to handle their personal, medical, and financial affairs and thereafter more decedents’ estates will be opened. Adult guardianship cases may last for a decade or longer, as needed to protect this vulnerable population. The number of adult guardianship cases newly filed in the Probate Division during FY 2014 compared with FY 2013 represented a 7% increase.

The duties of the Probate Division include processing requests to open a decedent’s estate, requests to open a small estate when the assets are less than \$40,000, requests to establish a guardianship for a minor’s estate, mentally challenged adult or an adult otherwise incapacitated, requests to establish conservatorships to handle the financial affairs of incapacitated adults, requests to establish foreign estates, and requests to establish trusts. The Probate Division also reviews and processes pleadings and accounts as required throughout the duration of the fiduciary case until the case is closed. Generally, the administration of a decedent’s estate is closed upon completion. Further, a proceeding for a disabled person is terminated upon death, recovery, or when a minor reaches the age of 18. As a result, the Probate Division processes and maintains many cases that remain under the supervision of the court 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. The Probate Division developed an extensive webpage, with general information, answers to

frequently asked questions, an expanded web library of brochures and videos, the Probate Division Rules, and now more than 350 publicly accessible Probate Division forms designed to assist members of the public. The Probate Division continues to seek technological improvements to assist in handling its increasing caseload. During FY 2014, the Probate Division also undertook substantial efforts to further refine and improve its eFiling and electronic routing system for documents, which were first introduced in FY2013.

Organizational Background

The Probate Division consists of the Office of the Register of Wills, Probate Clerk's Office, Quality Assurance Office, Legal Branch, Auditing and Appraisals Branch, Guardianship Assistance Office, and Probate Systems Office.

- The Office of the Register of Wills is responsible for the management and supervision of the Division and the Guardianship Assistance Program. This office has 3 FTEs, consisting of the Register of Wills, the Deputy Register of Wills, and one administrative assistant.
- The Probate Clerk's Office is the operational center of the Probate Division and the primary point of contact for the public. This office handles filings, requests for case information and copies, as well as all cashier functions. This central office has 11 FTEs, consisting of a supervisor, two case managers, and eight deputy clerks.
- The Quality Assurance Office provides courtroom support for the Probate Division judges, processes tickler reports, and issues 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 has 10 FTEs, consisting of one supervisor, one quality assurance specialist, one case manager, five courtroom clerks, and two deputy clerks.
- The Legal Branch reviews pleadings, prepares recommendations for judges on uncontested matters, represents the office in hearings before the Court, and provides information to attorneys and members of the public regarding Probate Division procedures. Additionally, the small estate specialists 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. This office has 9 FTEs, consisting of the Legal Branch Manager, three attorneys, one legal assistant, one case manager, two small estate specialists, and one deputy clerk.
- The Auditing and Appraisals Branch audits accounts of fiduciaries in large estates, conservatorships, guardianships of minors' estates, and trusts under court supervision, examines requests for compensation, prepares audit reports, informs attorneys and fiduciaries on accounting procedures, monitors the filing of inventories, accounts, and receipts, and conducts appraisals of tangible property. This branch has 12 FTEs, consisting of a branch manager, a supervisory auditor, eight auditors, one appraiser, and one deputy clerk.
- The Guardianship Assistance Office provides support to the public, guardians, persons under guardianship, and care providers through educational training, referrals to community resources, and information regarding guardianship and alternatives to guardianship. This program also conducts in-depth reviews of the needs of those incapacitated adults under court supervision and whether or not there is a continued need for guardianship. This office has 9 FTEs, consisting of a Program Manager, Deputy Program Manager, six case manager social workers conducting periodic reviews of the incapacitated persons under court supervision, and one deputy clerk.

- The Probate Systems Office is responsible for all systems of the Probate Division, including CourtView, OnBase, and Court Cases Online. The Probate Systems Office also maintains the file room and original wills stored on site and arranges for the retrieval of off-site records as needed. This office has 3 FTEs, consisting of the Probate Systems Administrator, one deputy clerk, and one records clerk.

Division MAP Objectives

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

- Triage eFiled documents within 1 business day of receipt in the eFiling queue.
- Issue Letters of Administration within 1 day of processing order of appointment or qualifying for appointment as personal representative.
- Identify delinquent filings timely and take appropriate action within 10 days of delinquency.

Divisional Restructuring and/or Work Process Redesign

During FY 2014 the Probate Division:

- Hosted the Annual Guardianship Conference focused on the changing landscape of adult guardianship in the District of Columbia, with presentations on the Guardian's Guide to Safety Planning and Guardianship Trends: A View from the Top. The conference also included an information fair of service providers with information on the services available to guardians;
- Developed an extensive eFiling triage syllabus, posted on the Court's website, to assist electronic filers and provide helpful information on what is needed to successfully eFile pleadings and other documents in the Probate Division;
- Expanded the Probate fiduciary list, available for court appointments in adult guardianship cases, by selecting and training a permanent, non-lawyer panel of health care professionals available to serve a guardians, including professional in the fields of social work, nursing and occupational therapy;
- Implemented a series of legislative changes to the guardianship law, including creation of new forms, information handouts, webpage explanations, and courtroom procedures needed to require criminal background checks of persons newly appointed as guardians in the District of Columbia;
- Utilized technology to promote shared information throughout the Probate Division through the development of the Probate Division Collaborative Space, available to all judicial officers and staff members;
- Created WINGS (Working Interdisciplinary Network of Guardianship Stakeholders), an innovative program designed to improve adult guardianships by promoting a collaborative court and community partnership;
- Continued to expand and update the web-based library of forms and brochures on topics of interest to District residents and their legal representatives;
- Worked together with the District Bar to develop an updated Probate Law Digest to assist the court as well as members of the bar and members of the public seeking to identify, review and litigate important Probate issues; and

- Participated in leadership and values management training to increase employee productivity, engagement, and workflow.

Workload Data

As shown in Table 1, below, the Probate Division disposed of 2,909 cases during FY 2014, with an overall clearance rate of 94% for the fiscal year. The lowest clearance rate, 78% for adult guardianships/conservatorships, is to be expected as these cases are often open for many years until the death of the incapacitated ward. Absent these adult guardianship/conservatorship cases, the overall clearance rate in the Probate Division is 97%. Efforts continue to close out aged decedent 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 2014 Data)

	Cases Added	Cases Disposed	Clearance Rate*	Cases Pending		
				1-Oct 2013	30-Sept 2014	Change
Cases Involving the Deceased						
Formal Probate (Decedents Estates)	1,728	1,629	94%	4,064	4,163	2%
Small Estates	582	584	100%	130	128	-1%
Foreign Proceedings	178	167	94%	171	182	6%
Cases Involving the Incapacitated						
Conservatorships (Old Law) **	0	3	n/a	27	24	-11%
Guardianships (of Minors)	22	40	182%	216	198	-8%
Intervention Proceedings (Adult Guardianships/Conservatorships)	570	447	78%	2,319	2,442	5%
Trusts	17	39	229%	123	101	-18%
Total	3,097	2,909	94%	7,050	7,238	3%
* Ratio of cases disposed to cases added in a given year. A standard efficiency measure is 100%, meaning one case disposed for each case filed. The lower clearance rate for Intervention Proceedings reflects the fact that these cases are often held open for many years, generally until the death of the ward.						
** "Conservatorships (Old Law)" refers to conservatorships created prior to 1989.						

Key Performance Indicators

Table 2
PROBATE DIVISION
Key Performance Indicators

Performance Indicator	Data Source	FY 2012		FY 2013		FY 2014		FY 2015	
		Goal	Actual	Goal	Actual	Goal	Actual	Goal	Projection
Time Standard from Filing to Disposition									
Administration of Decedents Estates	Monthly Reports	30%	41%	30%	41%	30%	41%	30%	30%
Within 395 days		75%	97%	75%	95%	75%	95%	75%	80%
Within 1,125 days		98%	100%	98%	99%	98%	98%	98%	98%
Appointment of fiduciary or other resolution in guardianship cases (incapacitated adults and minors)	Monthly Reports								
Within 60 days		75%	80%	75%	78%	75%	78%	75%	75%
Within 90 days		98%	94%	98%	91%	98%	89%	98%	90%
Triage eFiled documents w/in 1 business day of receipt in the eFiling queue*	Monthly Reports	N/A	N/A	N/A	N/A	90%	92%	90%	90%
Issue letters of appointment w/in 1 business day of processing order or qualifying event*	Monthly Reports	N/A	N/A	N/A	N/A	90%	81%	90%	90%
Identify and act on delinquent filings w/in 10 days*	Monthly Reports	N/A	N/A	N/A	N/A	90%	98%	90%	95%
Requests for compensation without account and from Guardianship Fund: within 25 days	Monthly Reports	95%	98%	90%	99%	90%	62%	90%	90%
Schedule accounts in adult conservatorship cases for hearing within 90 days and submit all other accounts within 90 days, absent summary hearings and objections, or Court approved time extension on requirements	Monthly Reports	95%	97%	90%	98%	90%	99%	90%	95%
Process requests for additional court action on existing cases within 30 days	Monthly Report	95%	97%	90%	95%	90%	95%	90%	90%

* New performance standards were developed to reflect the adoption of a Division-wide perspective and the start of eFiling in the Probate Division.

FY 2017 Request

In FY 2017, the Courts request \$7,163,000 for the Probate Division, an increase of \$1,244,000 or 21% above the FY 2016 Enacted Level. The FY 2017 request includes \$972,000 and 5 FTEs to create a new Self-Help Center for District residents, \$152,000 and 3 FTEs to meet the demands of an increasing caseload, and \$120,000 for built-in cost increases.

Self-Help Center, \$972,000

5 FTEs, \$407,000

Program Manager, 1 FTE (JS-13)

Supervisory Small Estate Specialist, 1 FTE (JS-12)

Paralegal, 2 FTEs (JS-9)

Deputy Clerk, 1 FTE (JS-6/7/8)

Design & Construction, \$411,000

Equipment & Supplies, \$143,000

Contractual Services, \$11,000

Problem Statement. Currently, the Probate Resource Center offers a limited number of self-represented persons the opportunity to meet with experienced volunteer lawyers (available four hours per week) for decedents’ estate cases and adult guardianship cases. These services are provided by lawyers recruited and trained by the D.C. Bar and are free of charge to members of the public. For decedents’ estate cases, the volunteer lawyers provide information regarding the probate process, assist in the preparation of the petition for probate and related court filings, and respond to basic inquiries regarding the distribution of assets to the beneficiaries of the decedent’s estate. Services are provided on a first-come/first-served basis. For adult guardianship cases, self-represented persons may receive assistance in the preparation of petitions to open a new guardianship or conservatorship case or to bring matters to the attention of the court. Volunteer services are provided by appointment, with appointments currently scheduled from three to six weeks from the date of request. There is a substantial unmet need for information and assistance in both of these areas, due to the limited hours of operation, the limited number of persons served and the limited nature of a volunteer services based operation.

In recent years, the Probate Resource Center has expanded its services in an effort to begin to address the growing needs of self-represented litigants. Prior to FY 2012, the Center served approximately 50 persons per year in cases involving decedents’ estates only. Beginning in December of FY 2012, the Center added four hours per week of services in adult guardianship cases. Services were expanded again in FY 2013, when the Center increased the number of volunteer attorneys in decedent estate cases and manner in which services were provided. The following chart shows the growth in the Probate Resource Center services:

Table 3
PROBATE DIVISION
Resource Center Services

Fiscal Year	# served in adult guardianship cases	# served in decedent estate cases	Total
2011	0	50	50
2012	116	89	205
2013	185	498	683
2014	168	593	761

The need for services for self-represented persons continues to expand and substantially outpace the services provided, as the population ages and the caseload of the Probate Division continues to grow. This trend in the District of Columbia is part of and consistent with the national trend of an aging population. In 2006, over 36.8 million Americans were age 65 or older, but by 2030, it is estimated that this population will reach 71.5 million.⁴ Adults 60 years of age and older in the District of Columbia is estimated to be 98,512 based upon the 2010 census.⁵ According to A Snapshot of the Elderly Population in Washington, DC,⁶ this population makes up 16%, or one out of every seven District residents, and since 2000 this population has increased 5% (while the

⁴ U.S. Administration on Aging. Table 12, Projections of the Population by Age and Sex for the United States 2010 to 2050 (NP2008-T12), Population Division, U.S. Census Bureau Release Date August 14, 2008.

⁵ DC Office on Aging. (September 13, 2011) Ward Elderly Population Data Census 2000 – 2010 Chart. Retrieved from <http://dcoa.dc.gov/node/555692>.

⁶ A Snapshot of the Elderly Population in Washington, DC, DC Office on Aging, Customer Service and Community Affairs Unit, release date January 2008.

under 60 population increased by only 1%).

Similarly the caseload in the Probate Division continues to expand. The substantial increase in both new case filings and number of cases pending in adult guardianship cases are shown below.

Table 4
PROBATE DIVISION
New Adult Guardianship Cases

Fiscal Year	new case filings	% increase	cases pending, 9/30	% increase
2009	391		1,841	
2010	426	9%	1,987	8%
2011	460	8%	2,124	7%
2012	535	16%	2,190	3%
2013	534	0%	2,319	6%
2014	570	7%	2,442	5%

The increase in adult guardianships is part of an overall increase in the number of Probate Division cases, rising from 6,847 at the close of FY 2011 to 7,238 at the close of FY 2014, and is expected to continue and accelerate as the “baby boomer” generation ages.

Self-represented persons handling decedents’ estates present special challenges to the Probate Division as it strives to provide fair and equal access to the justice system. The work of serving as a personal representative, the title given to the person appointed by the court to administer the estate of a deceased person, is difficult and often very challenging, particularly as this is a role that a person may only do once in his or her lifetime and it is taken on at a time when that person is grieving the loss of a loved one. Depending upon the circumstances of the decedent, the work of a personal representative includes some or all of the following tasks:

- Preparing a petition for probate to open an estate in the District of Columbia
- Providing notice to all heirs of the decedent and persons named in the Decedents will, if any
- Determining what are the assets of the estate and collecting all of those assets
- Paying just debts of the decedent and handling claims
- Ensuring that the published notice is correct, paid for by the estate and submitted to the court along with other required court filings
- Selling or transferring real property of the estate
- Hiring professionals as needed to assist in the administration of the estate, such as the hiring of an attorney to prepare deeds transferring any real property or opening an estate in another jurisdiction if there is property of the decedent outside the District of Columbia or hiring a tax preparer to prepare and file the income tax returns of the decedent and fiduciary and estate tax returns of the estate if any
- Preparing an estate inventory and account
- Distributing the estate assets after payment of all administrative expenses and allowances provided by law
- Closing the estate

Relationship to the Courts’ vision, mission, and goals. This request supports Access to Justice, Strategic Goal 2A4, and would enhance the Courts’ vision of a court that is open to all and support the goal of promoting access to legal services for litigants without lawyers.

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

Proposed Solution. The D.C. Courts propose to establish and staff a Self Help Center that would work in partnership with the D.C. Bar to assist self-represented persons. A Program Manager (JS-13) would (1) develop policies and procedures for the Self Help Center, (2) create orientation and instructional videos, and (3) bring the Self Help Center into operation and manage it. A Deputy Clerk (JS-6) would provide basic information and forms to members of the public and assess whether additional information may be needed in order to prepare a request to the court. Paralegal staff (2 JS-9's) would assist self-represented persons in filling out forms, provide procedural assistance and information, assist persons appointed as a fiduciary by the court to identify the issues that must be addressed in administration of a decedent's estate, and screen completed documents. In addition, existing FTEs assigned to Small Estate cases would be moved from the Legal Branch to the Self Help Center, where Petitions for Administration of Small Estates would be reviewed and processed for submission to court. A Supervisory Small Estate Specialist (JS-12) would supervise the processing of Small Estates cases, provide direct service to self-represented persons, and report to the program manager. When providing information and assistance, the Self-Help Center staff and volunteers are not intended to serve as counsel or to provide legal advice. However they should be able to provide to members of the public an overview, or roadmap, of the tasks generally required when serving as personal representative of an estate as delineated above and provide information by means of handouts, brochures, and videos of the steps generally needed to be undertaken by the personal representative in order to successfully complete the administration of the estate. Computers would be available for viewing instructional videos and using specialized software to fill out forms. In addition, members of the public could take information packages to guide them through the process. The Self-Help Center would occupy a central location in the Probate Division visible to and easily accessible by the general public.

Methodology. The cost estimate for the Self Help Center would provide for the design, construction, security, furniture, signage, and equipment for space within the Probate Division that is now able to be repurposed due to the Probate Division's implementation, beginning in October 2013, of "paperless" filings. It also includes personnel costs, printing of information packages, relocation of existing workstations whenever possible, and creation of a series of instructional videos to be available at the Self-Help Center and on the D.C. Courts website.

Expenditure Plan. Space would be designed and constructed and all staff would be recruited and hired in accordance with the Courts' personnel policies.

Relationship to Existing Funding. The Self-Help Center would be a new unit in the Probate Division.

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

Key Performance Indicators. The main performance indicator of this initiative would be increased customer satisfaction and a substantial increase in the number of District residents

served. More generally, the service center will enhance the quality of justice in the District of Columbia.

Table 5
PROBATE DIVISION
Key Performance Indicator for Additional Self-Help Center Funding Request

Key Performance Indicator	Data Source	FY 2017		FY 2018		FY 2019	
		Goal	Projection	Goal	Projection	Goal	Projection
Persons seeking assistance at the Probate Resource Center	Monthly Statistics	1,750	1,750	3,500	3,500	3,500	3,500

Enhancing Probate Case Resolution, 3 FTEs, \$152,000
Deputy Clerk, 3 FTEs (JS-6/7/8)

Problem Statement. The Probate Division has only 13 deputy clerk FTEs to perform a myriad of services, including

- Staffing the public window, which is open from 8:30 am-5:00 pm each business day to triage and process filings;
- Reviewing and processing eFilings (other than account related filings);
- Responding to electronic inquiries made through Live Chat inquiries, which is open from 9:00 am–12:00 pm and 1:00 pm– 4:00 pm daily;
- Responding to telephone inquiries;
- Setting court hearings;
- Processing court orders;
- Setting ticklers to implement court orders and identify delinquent filings;
- Issuing notices;
- Responding to copy and search requests;
- Preparing triple seal documents for use in transferring assets and other official acts;
- Other case management functions, such as electronic transmittal of filings to judicial officers.

The chart below provides applicable workload information:

Table 6
PROBATE DIVISION
Workload Statistics

	FY 2012	FY 2013	FY 2014
Visitors served at public window	No data	5,855*	18,188
Filings processed (other than eFilings)	29,556	28,877	13,934
eFilings processed	No data	32	14,254
Live Chat inquiries	625	1,309	2,080
Telephone inquiries	No Data	No data	23,753
Orders processed	10,531	12,038	14,781
Ticklers processed	2,925	3,083	3,744

* Data collection began in July 2013.

The Probate Division is challenged daily to meet the increasing demands attendant to the increasing caseload. Three additional deputy clerks are needed to manage the workload, ensure efficient operations, and maintain public service.

Relationship to Courtwide Strategic Goals. This request would support the Courts’ Strategic Goals --Public Trust and Confidence and Fair and Timely Case Resolution.

Relationship to Existing Funding. The addition of three deputy clerk FTEs would enhance the quality of services provided to the public.

Proposed Solution. Increase the staffing level by three deputy clerk FTEs to better serve the needs of the public, including providing more timely information in response to inquiries made by telephone, mail, and the Live Chat on-line services.

Expenditure Plan. The Probate Division will hire the additional staff in accordance with the Courts’ Personnel Policies.

Performance Indicators. The main performance indicators of this initiative would be the number of persons served and increased customer satisfaction.

Table 7
PROBATE DIVISION
Key Performance Indicator for Additional Deputy Clerk FTEs

Key Performance Indicator	Data Source	FY 2017		FY 2018		FY 2019	
		Goal	Projection	Goal	Projection	Goal	Projection
Telephone calls and Live Chat inquiries	Monthly Statistics	25,000	25,000	27,000	27,000	28,000	28,000

Table 8
PROBATE DIVISION
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Cost
Self-Help Center Program Manager	JS-13	1	93,000	26,000	119,000
Self-Help Center Supervisory Small Estate Specialist	JS-12	1	78,000	22,000	100,000
Self-Help Center Paralegal	JS-9	2	108,000	30,000	138,000
Self-Help Center Deputy Clerk	JS-6	1	40,000	11,000	51,000
Quality Assurance Deputy Clerk	JS-6	3	119,000	33,000	152,000
Total		8	\$438,000	\$122,000	\$560,000

Table 9

**PROBATE DIVISION
Budget Authority by Object Class**

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	4,306,000	4,544,000	5,073,000	529,000
12 - Personnel Benefits	1,203,000	1,273,000	1,419,000	146,000
<i>Subtotal Personal Services</i>	5,509,000	5,817,000	6,492,000	675,000
21 - Travel, Transp. of Persons	12,000	13,000	14,000	1,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	6,000	6,000	7,000	1,000
25 - Other Services	44,000	45,000	467,000	422,000
26 - Supplies & Materials	16,000	17,000	23,000	6,000
31 - Equipment	19,000	21,000	160,000	139,000
<i>Subtotal Nonpersonal Services</i>	97,000	102,000	671,000	569,000
TOTAL	5,606,000	5,919,000	7,163,000	1,244,000
FTE	57	60	68	8

Table 10

**PROBATE DIVISION
Detail, Difference FY 2016/2017**

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Position WIG	57	23,000	
	Current Position COLA		68,000	
	Self-Help Center Program Manager	1	93,000	
	Self-Help Center Supv Small Estate Specialist	1	78,000	
	Self-Help Center Paralegal	2	108,000	
	Self-Help Center Deputy Clerk	1	40,000	
	Quality Assurance Deputy Clerk	3	119,000	
<i>Subtotal 11</i>				<i>529,000</i>
12 - Personnel Benefits	Current Position WIG		6,000	
	Current Position COLA		18,000	
	Self-Help Center Program Manager		26,000	
	Self-Help Center Supv Small Estate Specialist		22,000	
	Self-Help Center Paralegal		30,000	
	Self-Help Center Deputy Clerk		11,000	
	Quality Assurance Deputy Clerk		33,000	
<i>Subtotal 12</i>				<i>146,000</i>
21 - Travel, Transp. of Persons	Built-in Increases			1,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Services	Built-in Increases		1,000	
	Design & Construct Self-Help Center		411,000	
	Ongoing Services for Self-Help Center		10,000	
<i>Subtotal 25</i>				<i>422,000</i>
26 - Supplies & Materials	Built-in Increases		1,000	
	Supplies for new staff		5,000	
<i>Subtotal 26</i>				<i>6,000</i>
31 - Equipment	Built-in Increases		1,000	
	Furniture/Equipment for Self-Help Center		138,000	
<i>Subtotal 31</i>				<i>139,000</i>
Total				1,244,000

Table 11

PROBATE DIVISION
Detail of Full Time Equivalent Employment

Grade	2015 Enacted	2016 Enacted	2017 Request
JS-5	1	1	1
JS-6	8	8	13
JS-7	2	3	2
JS-8	6	5	4
JS-9	10	14	17
JS-10	1	1	1
JS-11	5	5	5
JS-12	13	12	13
JS-13	6	6	7
JS-14	3	3	3
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	4,306,000	4,544,000	5,073,000
Total FTEs	57	60	68

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
37	4,744,000	37	4,900,000	38	5,706,000	1	806,000

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 (5 FTEs), as follows:

- The Tax Division is responsible for the daily management of all tax appeals filed in the District of Columbia and for preparing and certifying these records on appeal. This office has 2 FTEs.
- The Jurors’ Office maintains a listing of potential jurors, processes summons, qualifies jurors, obtains information on the size of the juror panel needed, randomly selects and disperses jurors, and selects and swears-in grand jurors. This office has 11 FTEs.
- The Superior Court Library houses law books, legal periodicals, and electronic research tools for the use of judges, attorneys, court staff, and the public. This office has 2 FTEs.
- The Child Care Center provides childcare through the use of developmentally appropriate practices for children of jurors, witnesses, other parties appearing in court, and court staff. This office has 2 FTEs.
- The Office of Court Interpreting Services provides foreign language and sign language interpreters to parties and others for judicial and quasi-judicial proceedings as well as court related translations upon request. The Office is also responsible for developing and monitoring the D.C. Courts’ Language Access Plan. This office has 4 FTEs.
- The Judge-in-Chambers is responsible for handling a variety of emergency matters from every division of the Superior Court during normal business hours that require expedited judicial decision-making. Requests include Temporary Restraining Orders; the issuing of arrest, bench, and search warrants; as well as the enforcement of foreign judgments. This office has 5 FTEs.
- The Identity Consolidation Unit is responsible for authenticating and consolidating multiple and disparate identities in cases and records throughout the Court’s case processing divisions, as maintained in CourtView, into a single standardized identity. This office has 6 FTEs.

Division MAP Objectives

The Special Operation Division developed a management action plan (MAP) with the following objectives:

- To provide qualified jurors to judges upon request for the purpose of *voir dire* within 15 minutes of request 100% of the time by maintaining a comprehensive, up-to-date website that

allows potential jurors to qualify themselves for jury service, defer their service dates, and obtain pertinent information regarding their service.

- To grow the jury utilization rate to 90% by matching juror demand more closely with juror availability, which includes information sharing with other court divisions that have access to future trial activity.
- To enhance informed judicial decision-making by maintaining a law library for judges, law clerks, attorneys and court staff that provides up-to-date print and electronic resources on a broad range of subjects relevant to the administration of justice.
- To provide high quality child care services for jurors, witnesses, and other persons attending court proceedings by offering age appropriate play opportunities, supportive adult supervision, and a safe, stress-free environment.
- To ensure access to court proceedings and services by non-English speaking and deaf/hard of hearing persons by providing, upon request, certified foreign language and sign language interpreters for defendants and other parties for court hearings within ten minutes of receipt of a “ready” request from a courtroom at least 95% of the time. To provide interpreting related training to court employees and judges in order to improve efficiency in providing language access services.
- To expand access to court services for non-English and deaf/hard of hearing persons conducting business with or litigating matters at the courthouse by assisting in the implementation of remote interpreting systems and developing and monitoring the Language Access Plan.
- To provide fair, timely, and efficient resolution of emergency matters requiring expedited judicial decision-making during the Court’s normal business hours.

Restructuring and Work Process Redesign

Several restructuring efforts are underway in the Special Operations Division.

The Jurors’ Office continues to improve operational efficiencies through enhanced reporting and related analysis that enable the Court to monitor and implement improvements related to the effective use of jurors who are summoned to appear for service.

The Jurors’ Office has restructured the business process used to convey information between Criminal and Civil Division courtroom clerks and Jurors’ Office staff once jurors are sent for the *voir dire* process. All 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 the Jurors’ Office staff. This enhanced communication between the Jurors’ Office and courtroom staff has increased the efficiency by which jurors can be dispatched to courtrooms for service.

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, which can be used to enhance printed

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

Additionally, the Jurors' Office continues to convey to the citizens of the District of Columbia, the importance of juror service through the production of a new Juror Orientation video, as well as through plans to increase community outreach and engagement around this important matter. One such outreach initiative has been that of formally recognizing Juror Appreciation Week in the Court – complete with opportunities for judges to interact with jurors as part of the juror orientation process. The Jurors' Office has also introduced the use of debit cards as the means for compensating jurors for their service. Implementation of the debit card program enhances overall convenience related to juror payments, improves administrative efficiency, and strengthens the Jurors' Office internal controls through mitigating opportunities for waste, fraud, or abuse.

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. Additionally, the OCIS is working to leverage the use of technology to streamline the process through which contract interpreters and translators are compensated for services provided to court participants.

The Child Care Center staff continues to collaborate with the Information Technology Division to enhance its computerized registration and admission system to expand ways for court participants to pre-register, as well as submit other registration forms (e.g. health, and dental) in advance of arriving to Court. This is designed to reduce the amount of time customers have to spend on the child care registration process after arriving to Court, and to make registration and document tracking more efficient.

Workload Data

In FY 2014, the Special Operations Division's Jurors' Office sent 146,545 summonses to District of Columbia citizens to appear on juries; the Office of Court Interpreting Services received and fulfilled over 8,000 requests for courtroom interpreting services; the Tax Division heard and disposed of 425 tax petitions; and 585 children used the Child Care Center. Tables 1 through 4 provide performance data for the Jurors' Office, the Office of Court Interpreting Services, the Tax Division, and the Library respectively.

Table 1
SPECIAL OPERATIONS DIVISION
Jurors' Office
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
			Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Output/Activity	# of summons sent to jurors to serve on jury duty	Courts' Information Technology Division	248,000	146,545	246,000	246,000	245,000	245,000	200,000	200,000
Output/Activity	Jurors qualified to serve on <i>voir dire</i> panels	IT Division	67,000	31,001	51,000	51,000	60,000	60,000	40,000	40,000
Outcome	Judicial requests for <i>voir dire</i> panels met	Courts' Strategic Mgt Division	86%	80%	90%	80%	90%	80%	90%	80%
Outcome	Jury Yield	IT Division	28%	22%	28%	25%	28%	25%	28%	25%

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

Type of Indicator	Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
			Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Input	Requests for interpreters	OCIS statistics	9,534	8,137	10,011	9,911	10,511	10,601	11,000	10,500
Outcome	Requests for interpreters met	OCIS statistics	100%	98%	100%	98%	100%	98%	100%	98%

Table 3
SPECIAL OPERATIONS DIVISION
Tax Division
Key Performance Indicators

Type of Indicator	Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
			Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Input	Number of tax petitions filed	Court data	1,200	525	1,200	600	1,350	700	1,200	500
Output/Activity	Number of cases prepared for hearing	Court data	1,200	1,588	1,100	1,000	1,000	900	1,300	1,200
End Outcome	Cases disposed	Court data	400	425	550	350	450	400	500	400
Productivity/Efficiency	Cases disposed/cases filed	Court data	33%	77%	42%	58%	33%	57%	70%	70%

Table 4
SPECIAL OPERATIONS DIVISION
Library
Key Performance Indicators

Type of Indicator	Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
			Goal	Actual	Goal	Projection	Goal	Projection	Goal	Projection
Output	Research Assistance Provided	Library Staff Data	2,958	1,909	3,000	3,000	3,500	3,500	4,000	4,000
Outcome	Users	Library Staff Data	15,015	5,411	16,500	16,500	17,000	17,000	17,500	17,500

FY 2017 Request

In FY 2017, the Courts request \$5,706,000 for the Special Operations Division, an increase of \$806,000 (17%) above the FY 2016 Enacted Level. The requested increase includes \$500,000 to upgrade the Court's Jury Management System, \$165,000 for one FTE to enhance the design and delivery of efficient customer service through the Special Operations Division, and \$141,000 for built-in cost increases.

Upgrade Juror Management System, \$500,000

Introduction. The Court's Juror Management System distributes over 150,000 summonses annually and enrolls over 30,000 citizens who report for jury duty each year. The Juror System also manages the assembly of jury panels for trials and establishes budgetary controls associated with paying jurors for their service.

Problem Statement. The existing Juror Management System, implemented in 2008, is approaching the end of its useful life. Over the past 6 years, enhancements and customizations have been added to the Juror Management System to enable the Court to deliver value-added service and efficiencies to the citizens who serve as jurors. The vendor that supports the system has notified the Court that it will not provide technical support beyond FY 2016. The effective management of juror resources, which is critical to the fair and timely administration of justice, requires the procurement of a new Juror Management System.

Relationship to Courtwide Strategic Issues, Goals or Strategies. A replacement Juror Management System would enable the Courts to further meet the following Strategic Goals: Goal 1 - Fair and Timely Case Resolution through ensuring that the Courts can manage and resolve cases in a timely and efficient manner, Goal 4 – A Sound Infrastructure through ensuring that the Courts use targeted technology investments to enhance case management and information sharing, and Goal 5 – Public Trust and Confidence through ensuring that the D.C. Courts are accountable to the public.

Relationship to Division MAP Objectives. A new Juror Management System supports the Special Operations Division's mission to deliver value-added public service for the citizens of the District of Columbia through engagement, innovation, and excellence. Having adequate technology tools in place which support the effective management of the jury process, is critical to the effective administration of justice for the citizens of the District of Columbia.

Relationship to Existing Funding. Additional funding for this initiative is needed as the existing budget is inadequate to cover the purchase of a new Juror Management System.

Methodology. The amount of funding required to purchase the Jury Management System was developed by obtaining cost estimates from vendors, and evaluating those estimates based on the degree to which the products offered would address the Court's needs.

Expenditure Plan. The Juror Management System will be procured in accordance with the D.C. Courts' Procurement Guidelines.

Key Performance Indicators. The key performance indicators for this initiative are the number of jurors summoned and processed, the effective assembly of the jury panels, and enhanced customer service.

Deputy Director, 1 FTE (JS-15), \$168,000

Introduction. The Special Operations Division is in need of a Deputy Director to assist in the development, implementation, management, and evaluation of enhanced policies and procedures for its 7 offices (and 37 staff) – each with separate and independent roles in fulfilling the Courts’ strategic goals and objectives. This position would also allow the Special Operations Division to have continuity of senior level leadership and decision making in the absence of the Division Director.

Problem Statement. The Special Operations Division has made tremendous strides in expanding its operational and technological effectiveness in meeting the needs of its internal and external customers. For example, the Jurors Office recently implemented a nationally recognized debit card payment system for compensating citizens for juror service. Additionally, it continues to examine ways to expand the number of citizens who respond to jury summonses, as well as the rate at which jurors are utilized for cases once they report for service. The Office of Court Interpreting Services is exploring ways to meet the increasing need for different language interpreters in light of changing demographics in the District of Columbia. The Judge-in-Chambers Unit is developing and implementing modified business processes that enable it to be more effective and responsive to the increasing need for emergency judicial decision making. Each of these units, along with the Division’s other units, requires an ongoing degree of senior level strategic oversight and management. In the absence of the Division Director progress is compromised, which adversely impacts the Special Operations Division’s ability to meet the growing needs of its internal and external customers.

In support of the goal of ensuring public trust and confidence, the Courts remain dedicated to establishing meaningful performance measurement tools, providing exceptional customer service, and implementing effective approaches to succession management. As the only Superior Court Division without a Deputy Director, the Special Operations Division has limited resources to dedicate to these important initiatives. As the Courts develop a more sophisticated performance measurement infrastructure that meets the objectives of our strategic plan, the assistance of a Deputy Director is needed to develop and monitor the Special Operations Division’s performance measures. The Deputy Director would assist in the development of dashboards in the Courts’ business intelligence system that will highlight key performance indicators that facilitate evidence-based management. The new position will help monitor performance to ensure that case processing standards for service to the public are met.

The Special Operations Division serves the critical role in both supporting the administration of justice for all operating divisions, and enhancing access to justice. As a result, improvements to the functionality of the Special Operations Division have a cascading affect on court operations. The eclectic nature of the Special Operations Division makes it very time and labor intensive to coordinate and collaborate with the various operating divisions and stakeholders to ensure that

their specific needs are served. A Deputy Director would assist in addressing emerging issues, developing and implementing policies and procedures, and improving court processes.

Relationship to Courtwide Strategic Issues, Goals or Strategies. The request would support the D.C. Courts' Strategic Goal 1: Fair and Timely Case Resolution by providing efficient case processing through the implementation of case management plans, performance standards, and other best practices.

Relationship to Division MAP Objectives. The addition of a Deputy Director supports the Special Operations Division's mission to deliver value-added public service for the citizens of the District of Columbia through engagement, innovation, and excellence. An additional senior level staff person within the Special Operations Division will result in operational efficiencies and enhance public service.

Relationship to Existing Funding. Currently the Director is the only senior manager in the Special Operations Division. The Division's existing budget is inadequate to fund the Deputy Director position.

Methodology. It was determined that this position should be graded at the JS-15 level based on the D.C. Courts' classification standards.

Expenditure Plan. The Division will recruit for this position in accordance with the D.C. Courts' Personnel Policies.

Key Performance Indicators. The addition of a Deputy Director will enhance the Special Operation Division's ability to serve the public and to develop procedures that are more efficient and data driven.

Table 5
SPECIAL OPERATIONS DIVISION
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Cost
Deputy Director	JS-15	1	\$129,000	\$36,000	\$165,000

Table 6
SPECIAL OPERATIONS DIVISION
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 – Personnel Compensation	2,523,000	2,615,000	2,832,000	217,000
12 – Personnel Benefits	707,000	734,000	792,000	58,000
<i>Subtotal Personal Services</i>	<i>3,230,000</i>	<i>3,349,000</i>	<i>3,624,000</i>	<i>275,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	149,000	153,000	156,000	3,000
25 - Other Services	1,116,000	1,142,000	1,164,000	22,000
26 - Supplies & Materials	240,000	246,000	251,000	5,000
31 - Equipment	9,000	10,000	511,000	501,000
<i>Subtotal Nonpersonal Services</i>	<i>1,514,000</i>	<i>1,551,000</i>	<i>2,082,000</i>	<i>531,000</i>
TOTAL	4,744,000	4,900,000	5,706,000	806,000
FTE	37	37	38	1

Table 7
SPECIAL OPERATIONS DIVISION
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Positions WIG	37	49,000	
	Current Positions COLA		39,000	
	Deputy Director	1	129,000	
<i>Subtotal 11</i>				<i>217,000</i>
12 - Personnel Benefits	Current Positions WIG		11,000	
	Current Positions COLA		11,000	
	Deputy Director		36,000	
<i>Subtotal 12</i>				<i>58,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing and Reproduction	Built-in Increase			3,000
25 - Other Services	Built-in Increase			22,000
26 - Supplies & Materials	Built-in Increase			5,000
31 - Equipment	Built-in Increase		1,000	
	Jury Management System Upgrade		500,000	
<i>Subtotal 31</i>				<i>501,000</i>
Total				806,000

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

Grade	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
JS-6	4	4	3
JS-7	5	5	5
JS-8	5	6	7
JS-9	10	9	9
JS-10	1	1	1
JS-11	2		
JS-12	5	6	6
JS-13	3	4	4
JS-14	1	1	1
JS-15			1
CEMS			
CES	1	1	1
Total Salaries	2,523,000	2,615,000	2,832,000
Total FTEs	37	37	38

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
0	11,964,000	0	12,239,000	0	12,486,000	0	247,000

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

FY 2017 Request

In FY 2017, the Courts request \$12,486,000 for the Management Account, an increase of \$247,000 (2%) from the FY 2016 Enacted Level. The increase is comprised entirely of built-in cost increases.

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

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	1,240,000	1,270,000	1,309,000	39,000
12 - Personnel Benefits	764,000	775,000	786,000	11,000
<i>Subtotal Personal Services</i>	<i>2,004,000</i>	<i>2,045,000</i>	<i>2,095,000</i>	<i>50,000</i>
21 - Travel, Transp. of Persons	379,000	389,000	397,000	8,000
22 - Transportation of Things	12,000	13,000	14,000	1,000
23 - Rent, Commun. & Utilities	3,168,000	3,241,000	3,303,000	62,000
24 - Printing & Reproduction	186,000	191,000	195,000	4,000
25 - Other Services	5,693,000	5,824,000	5,935,000	111,000
26 - Supplies & Materials	332,000	341,000	348,000	7,000
31 - Equipment	190,000	195,000	199,000	4,000
<i>Subtotal Nonpersonal Services</i>	<i>9,960,000</i>	<i>10,194,000</i>	<i>10,391,000</i>	<i>197,000</i>
TOTAL	11,964,000	12,239,000	12,486,000	247,000
FTE	0	0	0	0

Table 2
MANAGEMENT ACCOUNT
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Built-in Increase			39,000
12 - Personnel Benefits	Built-in Increase			11,000
21 - Travel, Transp. of Persons	Built-in Increase			8,000
22 - Transportation of Things	Built-in Increase			1,000
23 - Rent, Commun. & Utilities	Built-in Increase			62,000
24 - Printing & Reproduction	Built-in Increase			4,000
25 - Other Services	Built-in Increase			111,000
26 - Supplies & Materials	Built-in Increase			7,000
31 - Equipment	Built-in Increase			4,000
TOTAL				247,000

**DISTRICT OF COLUMBIA COURT SYSTEM
Overview**

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
297	71,155,000	299	73,981,000	303	75,806,000	4	1,825,000

Introduction

The District of Columbia Court Reform and Criminal Procedure Act of 1970 created a unified court system. The Act assigns responsibility for the administrative management of the District of Columbia Courts to the Executive Officer. The following nine Court System divisions are managed by the Executive Office and provide administrative support to both the Court of Appeals and the Superior Court: 1) Administrative Services; 2) Budget and Finance; 3) Capital Projects and Facilities Management; 4) Center for Education and Training; 5) Court Reporting and Recording; 6) Office of the General Counsel; 7) Human Resources; 8) Information Technology; and 9) Office of Strategic Management.

FY 2017 Request

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

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

The Court System has aligned its FY 2017 request around two of the five strategic goals—a strong judiciary and workforce and a sound infrastructure. In FY 2017, the D.C. Courts request \$75,806,000 for the Court System, an increase of \$1,825,000 (2%) above the FY 2016 Enacted Level. The request includes increases to support the following Court goals:

Strategic Goal 3: A Strong Judiciary and Workforce--\$83,000 and 1 FTE

The request includes \$83,000 for 1 FTE to support the expansion of training programs available to judicial officers and court staff.

Strategic Goal 4: A Sound Infrastructure--\$221,000 and 3 FTEs

The request includes \$221,000 for 3 FTEs to increase the responsiveness of the Court's Information Technology Help Desk, thereby providing better customer service to court personnel.

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

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	28,533,000	29,300,000	30,173,000	873,000
12 - Personnel Benefits	8,208,000	8,407,000	8,646,000	239,000
Subtotal Personal Services	36,741,000	37,707,000	38,819,000	1,112,000
21 - Travel, Transp. of Persons	404,000	414,000	424,000	10,000
22 - Transportation of Things	4,000	5,000	6,000	1,000
23 - Rent, Commun. & Utilities	9,079,000	9,353,000	9,532,000	179,000
24 - Printing & Reproduction	100,000	105,000	110,000	5,000
25 - Other Services	20,451,000	21,095,000	21,498,000	403,000
26 - Supplies & Materials	681,000	701,000	721,000	20,000
31 - Equipment	3,695,000	4,601,000	4,696,000	95,000
Subtotal Nonpersonal Services	34,414,000	36,274,000	36,987,000	713,000
TOTAL	71,155,000	73,981,000	75,806,000	1,825,000
FTE	297	299	303	4

**DISTRICT OF COLUMBIA COURT SYSTEM
EXECUTIVE OFFICE**

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
18	2,730,000	18	2,809,000	18	2,852,000	0	43,000

Introduction

The Executive Office is responsible for the administration and management of the District of Columbia Courts, including the District of Columbia Court of Appeals and the Superior Court of the District of Columbia. The Executive Officer 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 Strategic Management.

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

Mission Statement

The Executive Office supports the mission of the D.C. Courts by fostering leadership, supporting staff, and shaping the direction of the organization to ensure courtwide success in the delivery of justice.

Management Action Plan (MAP) Objectives

- Foster a safe environment for the administration of justice by coordinating security planning, conducting assessments and training, and implementing procedures that enhance personal safety at the Courts.
- Ensure that the judiciary functions during emergencies by maintaining a Continuity of Operations Plan (COOP) in coordination with all District justice system partners.
- Provide access to court services by operating a Supervised Visitation Center that provides non-custodial parents in domestic violence or custody matters a neutral place to spend time with their children.
- Ensure that the Courts are accessible to the public and persons with disabilities by coordinating access initiatives and monitoring compliance.
- Promote effective operations by reengineering business processes, optimizing process documentation, and implementing court improvement projects that reflect best practices and enhance accountability.

- Maintain fiscal integrity and an appropriate level of funding by preparing the Courts’ budget requests, monitoring budget execution, and managing public funds.
- Enhance employee well-being by developing and promoting employee engagement, work-life balance, and wellness initiatives, reinforcing the Courts’ Great Place to Work culture.
- Improve work processes by creating internal communications programs and providing change management support.
- Promote transparency, financial accountability, and effective operations by conducting internal audits, risk assessments, and program evaluations.
- Provide information to the public on court services and programs by managing media outreach, and online channels disseminating court information.
- Enhance public and inter-governmental understanding of the judicial branch through government relations, legislative analysis, and community outreach activities.

FY 2017 Request

In FY 2017, the Courts request \$2,852,000 for the Executive Office, an increase of \$43,000 (2%) above the FY 2016 Enacted Level. The requested increase consists entirely of built-in cost increases.

Table 1
EXECUTIVE OFFICE
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	2,120,000	2,180,000	2,213,000	33,000
12 - Personnel Benefits	595,000	612,000	620,000	8,000
<i>Subtotal Personal Services</i>	<i>2,715,000</i>	<i>2,792,000</i>	<i>2,833,000</i>	<i>41,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	10,000	11,000	12,000	1,000
31 - Equipment	5,000	6,000	7,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>15,000</i>	<i>17,000</i>	<i>19,000</i>	<i>2,000</i>
TOTAL	2,730,000	2,809,000	2,852,000	43,000
FTE	18	18	18	0

Table 2
EXECUTIVE OFFICE
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY2016/2017
11 - Personnel Compensation	Current Position WIG	18	3,000	
	Current Position COLA		30,000	
<i>Subtotal 11</i>				<i>33,000</i>
12 - Personnel Benefits	Current Position WIG		1,000	
	Current Position COLA		7,000	
<i>Subtotal 12</i>				<i>8,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Total				43,000

Table 4
EXECUTIVE OFFICE
Detail of Full-Time Equivalent Employment

	2015 Enacted	2016 Enacted	2017 Request
JS-6			
JS-7	1	1	1
JS-8	1	1	
JS-9	1	1	1
JS-10			
JS-11	2	2	2
JS-12	3	3	3
JS-13	2	2	
JS-14	3	3	5
JS-15	3	3	3
CEMS	1	1	2
CES	1	1	1
Total Salary	2,120,000	2,180,000	2,213,000
Total FTEs	18	18	18

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
46	6,195,000	46	6,337,000	46	6,437,000	0	100,000

Organizational Structure

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, public 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.

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.
- Increase the utilization of technology to streamline the acquisition process and improve customer service at the Information Window, the Help Desk, Supply Store, the Warehouse, and in Records Management, and to improve the overall efficiency of accounting for fixed and controllable assets.
- 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 D.C. Courts' acquisition workforce, including 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 vital court records and other critical documents, supplies and equipment.
- Provide on-going monitoring and consistent oversight to prevent waste, fraud, and abuse in the Courts' SmartPay Purchase and Fleet Card Programs.
- Implement and maintain a fixed asset inventory control system for all property assets acquired, maintained, transferred, and disposed throughout the asset's life cycle.

Workload Data

Information & Telecommunications Branch

In FY 2017, the mailroom expects a reduction in the mailing of jury checks from 25,000 to fewer than 500 as a result of the Superior Court's implementation of a juror debit card program in 2015. The processing of jury checks will no longer be required and eventually become obsolete. In addition, the mailroom expects to process an estimated 155,000 juror summonses, 140,000 subpoenas, and 200,000 other outgoing pieces of mail. These numbers represents a decrease of approximately 100,000 for each annually. It is anticipated these reductions in the Courts' output of mail will continue due to advancements in technology, online forms, and electronic communications methods.

The Information Center expects to assist an estimated 52,000 members of the public per month (624,000 persons per year) at the Information Window in the courthouse and to respond to over 20,000 incoming calls per month (or 240,000 calls per year). This number is expected to remain constant in the near future and eventually decline as more members of the public utilize the Courts' Internet site, on-line chats, and social media outlets to access court information and data.

Procurement and Contracts Branch

In FY 2017, the Procurement and Contracts Branch (PCB) expects to process approximately 500 small purchases (< \$100,000) within 20 days of receipt and 80 large contracts (> \$100,000) within 120 days of receipt. The PCB expects that the number of micro-purchases (< \$3,000) it processes will decrease significantly due a renewed emphasis on decentralized small procurements in which each division uses its purchase card. The Courts new Contract Lifecycle Management (CLM) procurement system and processes will increase the quality of original procurement requirement documents and contract documents, thereby decreasing the number of modifications to 800 or fewer in 2017 and beyond.

The complexity of major acquisitions and changing technology requires the Courts to maintain a knowledgeable and experienced acquisition workforce with the required critical thinking and business expertise to support the needs of the Courts. The Procurement and Contracts Branch established an "Acquisition Training Institute" to provide internal training to the procurement staff and to court personnel with acquisition and contract management responsibilities. Despite the staff resources required to implement the new CLM system, the Acquisition Training Institute has continued to provide one-on-one classes as well as some formal training sessions to

Court personnel. In 2017, the PCB expects to offer a full complement of courses and enhance the online presence of the Institute, allowing Court employees to take courses and course exams from the convenience of their own offices. The Institute will continue to enhance the training experience with refresher courses and course highlights on the ASD intranet page.

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 as well as the production of the Annual Report, programs, brochures, and posters.

Office Services Branch

In FY 2017, the Help Desk expects a decrease in calls from 10,000 to approximately 1,500 calls. Historically, the Division processed all help desk calls court-wide. In FY 2015, the Capital Projects and Facilities Management Division implemented an automated system to process Help Desk calls. With this new system, the Courts can streamline business practices and enhance customer service.

The Records Management Unit expects to process over 25,000 individual case records for storage or disposal. It is anticipated that the number of case records prepared for storage and transfer to the Record Center will continue to decrease due to the online availability of case information to the public, efilng and scanning of current case documents, and the digitizing of older case records.

Table 1
ADMINISTRATIVE SERVICES DIVISION
 Key Performance Indicators

Telecommunications Branch									
Performance Indicator	Data Source	FY2014		FY2015		FY2016		FY2017	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Monthly calls	Call Accounting Reports	15,000	20,000	20,000	20,000	20,000	20,000	20,000	20,000
Jury checks processed yearly	Electronic Database	70,000	25,353	25,000	19,000	1,000	1,000	500	500
Jury summons processed yearly		255,000	153,375	155,000	155,000	155,000	155,000	155,000	155,000
Subpoenas processed yearly		235,000	135,287	140,000	140,000	140,000	140,000	140,000	140,000
Outgoing metered mail (pieces) yearly		295,000	209,973	200,000	200,000	200,000	200,000	200,000	200,000
Telecommunications additions, moves and changes yearly	Internal Audit	15,000	15,000	15,000	15,000	15,000	15,000	15,000	15,000
Internal customers satisfied	Customer feedback	95%	95%	95%	95%	95%	95%	95%	95%

Procurement Branch									
Performance Indicator	Data Source	FY2014		FY2015		FY2016		FY2017	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Small purchases processed yearly	Automated Financial System and Manual Accounting	1,000	1,100	1,000	1,000	500	500	500	500
Large purchases processed yearly		75	80	80	80	80	80	80	80
Modifications processed yearly		800	850	900	900	900	900	800	800
Small purchases processed within 20 days		95%	95%	95%	95%	95%	95%	95%	95%
Large purchases processed within 90-120 days after receipt of SOW		95%	95%	95%	95%	95%	95%	95%	95%
Acquisition courses conducted yearly	Internal Records	12	4	12	12	12	12	12	12
Internal customers satisfied	Customer feedback	93%	95%	95%	95%	95%	95%	95%	95%

Office Services Branch									
Performance Indicators	Data Source	FY2014		FY2015		FY2016		FY2017	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Help Desk Calls Received and Processed yearly	Automated Tracking System	10,000	10,018	10,000	10,000	1,500	1,500	1,500	1,500
Days to conduct physical inventory and account for and reconcile discrepancies for all fixed assets	Electronic Data Base	45	50	45	45	45	45	45	45
Records Center requests filled yearly	Electronic Data Base	2,000	2,012	2,000	2,000	2,000	2,000	2,000	2,000
Records for Storage yearly (individual case records)	Electronic Data Base	50,000	37,250	35,000	35,000	30,000	30,000	25,000	25,000
Internal Customers Satisfied	Customer feedback	93%	95%	95%	95%	95%	95%	95%	95%

FY 2017 Request

In FY 2017, the Courts request \$6,437,000 for the Administrative Services Division, an increase of \$100,000 (2%) above the FY 2016 Enacted Level. The request consists entirely of built-in cost increases.

Table 2
ADMINISTRATIVE SERVICES DIVISION
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	3,699,000	3,784,000	3,840,000	56,000
12 - Personnel Benefits	1,034,000	1,061,000	1,075,000	14,000
<i>Subtotal Personnel Cost</i>	<i>4,733,000</i>	<i>4,845,000</i>	<i>4,915,000</i>	<i>70,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	63,000	63,000	67,000	2,000
25 - Other Services	1,285,000	1,310,000	1,335,000	25,000
26 - Supplies & Materials	86,000	88,000	90,000	2,000
31 - Equipment	28,000	29,000	30,000	1,000
<i>Subtotal Non Personnel Cost</i>	<i>1,462,000</i>	<i>1,492,000</i>	<i>1,522,000</i>	<i>30,000</i>
TOTAL	6,195,000	6,337,000	6,437,000	100,000
FTE	46	46	46	0

Table 3
ADMINISTRATIVE SERVICES DIVISION
Detail, Difference FY 2016/FY 2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/FY 2017
11 - Personnel Compensation	Current Position WIG	46	4,000	
	Current Position COLA		52,000	
<i>Subtotal 11</i>				<i>56,000</i>
12 - Personnel Benefits	Current Position WIG		1,000	
	Current Position COLA		13,000	
<i>Subtotal 12</i>				<i>14,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			2,000
25 - Other Service	Built-in Increases			25,000
26 - Supplies & Materials	Built-in Increases			2,000
31 - Equipment	Built-in Increases			1,000
Total				100,000

Table 4

ADMINISTRATIVE SERVICES DIVISION
Detail of Full-Time Equivalent Employment

Grade	2015 Enacted	2016 Enacted	2017 Request
JS-5	5	4	3
JS-6	6	7	6
JS-7	4	7	7
JS-8	2	1	1
JS-9	5	4	6
JS-10			
JS-11	4	4	2
JS-12	4	5	8
JS-13	11	10	9
JS-14	3	4	4
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	3,699,000	3,784,000	3,840,000
Total FTEs	46	46	46

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
38	5,201,000	38	5,334,000	38	5,501,000	0	167,000

Background

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

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

Organizational Structure

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

- The Director’s Office (7 FTEs) has a mission to serve as the Executive Officer’s chief financial policy advisor, promote responsible resource allocation through the D.C. Courts’ annual spending plan, and ensure the financial integrity of the D.C. Courts. The primary responsibilities of this office are to:
 - Develop appropriate fiscal policies to carry out the D.C. Courts’ programs.
 - Prepare, enact, administer, and monitor the D.C. Courts’ annual spending plan (budget).

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

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

Budget and Finance Division MAP Objectives

- Ensure the accurate and timely receipt, safeguarding and accounting of fines, fees, costs, payments, and deposits of money or other negotiable instruments by preparing and completing monthly reconciliations of all D.C. Courts' bank accounts (within 15 days of the end of each month) for 100% compliance with established Federal and District government statutes and regulations and generally accepted accounting principles.
- Provide for the timely and accurate payment processing of valid invoices within 30 days (45 days for claim submissions under the Defender Services Programs) of being received and accepted by the Courts in accordance with the *Prompt Pay Act*.
- Generate timely and accurate accounts and reports of all collections, disbursements, escrows, deposits and fund balances under the Courts' stewardship for internal control purposes that are in compliance with generally accepted accounting practices/principles (GAAP) and audit standards.
- Enhance efficient use of resources and the availability of accurate and current financial information by preparing monthly division-level financial reports for division directors.
- Ensure the prudent use of the Courts' fiscal resources by managing the Courts' operating budget in compliance with law and the Courts' financial and contracting policies and regulations, ensuring that expenditures do not exceed budgetary limits, and maximizing achievement of strategic objectives and performance targets.
- Enhance the Courts' ability to reconcile defender services accounts, project defender services obligations, and, at the same time, improve customer service to attorneys and reduce the cycle time for payments on vouchers that have been correctly prepared and submitted with the Web Voucher System.
- Ensure prudent fiscal management of the Courts' training resources and the timely processing of training and travel requests and reimbursements for the Courts' personnel by managing with streamlined yet well defined policies and procedures.
- Ensure the continued development of sound financial business processes that enable the routine reconciliation of the Courts' general ledger accounts, as well as for the preparation of the Courts' financial statements, including the Courts' annual financial statements due 45 days from the end of the fiscal year (i.e. by November 15th of the next year).
- Ensure prudent fiscal management of the D.C. Courts' resources by continuing to develop sound financial management and reporting systems that result in "no material weaknesses" in annual audits.
- Implement management controls sufficient to ensure the maximum collection of court-ordered restitution payments and the accurate and timely disbursement of restitution funds with uniform policies/procedures and an automated tracking and reporting mechanism through the Courts' integrated justice information system (CourtView).
- Enhance the Courts' compliance with grant requirements with improved procedures for preparing timely and accurate financial reports.
- Enhance the ability of the Courts' executive management to make informed decisions regarding the allocation of court resources and comply with appropriations law, by developing timely, accurate, and meaningful annual spending plans and monthly reports for the operating and capital budgets and maintaining a high level of monitoring through effective financial policy documentation.

Budget and Finance Division Accomplishments

To foster the Strategic Plan goals of accountability to the public and responsiveness to the community, the Courts' Budget and Finance Division (B&F Division) implemented a number of improvements in recent years. The Division created a position control system to track more closely FTE levels and strengthen financial controls. In collaboration with the Information Technology Division, the B&F Division fully implemented the Web-based Voucher System to track defender services vouchers and streamline the payment process. The Division also implemented a more secure electronic process to combat fraudulent activities in our bank accounts. To enhance customer service, the Division expanded options for paying Court obligations to include credit cards, as well as ACH and wire payments. The division also introduced debit cards as an efficient means to compensate subpoenaed witnesses and jurors.

Restructuring and Work Process Redesign

The Budget and Finance Division has re-engineered the D.C. Courts' financial reporting systems, including its related business processes, 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 and branch.

The B&F Division reengineered the way the D.C. Courts report their financial performance. New business processes resulted in the division's issuing the D.C. Courts' Federal Financial Statements, which include the Courts' audited financial statements and accompanying financial reports as prescribed by the Federal Accounting Standards Advisory Board (FASAB). Further, in an effort to augment controls over the Courts' accounting, safeguarding of funds, and proper segregation of duties, the Reporting and Controls Unit was developed.

In an effort to provide more cost-efficient operations, the B&F Division analyzed its paper-based voucher payment processing and labor-intensive processes, such as paper tracking, mailing, and photocopying, and initiated an automated system to enhance tracking of CJA and CCAN vouchers from submission through payment. The continued development and enhancement of the Courts' Web-based Voucher System is a result of a collaborative effort of the B&F Division's Defender Services Branch, the Information Technology Division, the Probate Division, the Criminal Division, and the Family Court. The B&F Division's cost benefit analysis of the Web-based Voucher System revealed the following potential cost-saving features and areas of efficiency gains: (1) reduction of staff time on the telephone with clients/customers; (2) increase in staff productivity because data entered online with appropriate links to the Defender Services internal accounting system reduces data entry, permitting staff to concentrate on quality control and auditing functions; (3) reduction of time judicial officers and attorneys expend performing administrative tasks related to voucher review; (4) reduction in expenses and time for postage and handling; and (5) reduction in paper consumption and cost. Except for petitions for compensation under the Guardianship program, the process for issuing vouchers, as well as for filing and processing all claims for services under the Defender Services programs, is fully automated (see Table 1). This technology has been leveraged to support other Court operations that require processing of invoices for recurring services as well.

To support the implementation of the Superior Court’s case management system (*CourtView*), the B&F Division collaborated 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 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 payment of fines and fees due to the U.S. Treasury and expect to expand the program to include on-line payments.

Table 1
BUDGET AND FINANCE DIVISION
Key Performance Indicators

Key Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Material weaknesses or reportable conditions noted by external auditors	Annual Financial Audit Report	0	0	0	0	0	0	0	0
Valid vendor invoices processed within 30 days (Prompt Pay Act) of being received and accepted by the Courts.	Payment Accounting Invoice Tracking	98%	99%	100%	90%	100%	95%	100%	99%
Complete and accurate payment of vouchers within 45 days of receipt in the Defender Services Branch.	Voucher Tracking System	100%	97%	100%	98%	100%	99%	100%	100%
Accurate completion of the monthly bank reconciliations of the D.C. Courts’ bank accounts within 15 days of each month’s end.	Courts’ Financial System of Record	100%	99%	100%	100%	100%	100%	100%	100%

FY 2017 Request

In FY 2017, the Courts request \$5,501,000 for the Budget and Finance Division, an increase of \$167,000 (3%) above the FY 2016 Enacted Level. The increase consists entirely of built-in cost increases.

Table 2
BUDGET AND FINANCE DIVISION
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	3,479,000	3,569,000	3,686,000	117,000
12 - Personnel Benefits	974,000	1,000,000	1,033,000	33,000
<i>Subtotal Personal Services</i>	4,453,000	4,569,000	4,719,000	150,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Communication & Utilities				
24 - Printing & Reproduction	9,000	10,000	11,000	1,000
25 - Other Services	714,000	728,000	742,000	14,000
26 - Supplies & Materials	16,000	17,000	18,000	1,000
31 - Equipment	9,000	10,000	11,000	1,000
<i>Subtotal Nonpersonal Services</i>	748,000	765,000	782,000	17,000
TOTAL	5,201,000	5,334,000	5,501,000	167,000
FTE	38	38	38	0

Table 3
BUDGET AND FINANCE DIVISION
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Position WIG	38	63,000	
	Current Position COLA		54,000	
<i>Subtotal 11</i>				<i>117,000</i>
12 - Personnel Benefits	Current Position WIG		17,000	
	Current Position COLA		16,000	
<i>Subtotal 12</i>				<i>33,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Service	Built-in Increases			14,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Total				167,000

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

	2015 Enacted	2016 Enacted	2017 Request
JS-6			
JS-7	2	2	
JS-8	1		1
JS-9	4	6	5
JS-10	1	1	1
JS-11	6	6	7
JS-12	6	5	4
JS-13	9	10	13
JS-14	7	6	5
JS-15			
CEMS	1	1	1
CES	1	1	1
Total Salary	3,479,000	3,569,000	3,686,000
Total FTEs	38	38	38

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
28	8,261,000	28	8,686,000	28	8,874,000	0	188,000

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 and judicial staff, and detainees by creating and maintaining structural facilities that are clean, healthy, functional, and safe.

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 planning, developing, implementing, managing, and directing capital construction projects; real property and facilities management; and related environmental programs. The Capital Projects and Facilities Management Division is comprised of the Office of the Director and two branches:

- The Director’s Office is responsible for providing safe, clean, efficiently managed modern facilities that support the D.C. Courts’ delivery of services by directing and administering the modernization of the Courts’ facilities. The Director has the authority to negotiate, administer, and/or terminate capital construction and lease contracts, Integrated Justice Information System (IJIS) contractual matters, landscaping contracts, and housekeeping/custodial contracts and to make related determinations and findings on behalf of the D.C. 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, and air conditioning, mechanical, electrical, and plumbing. This Branch also provides oversight for housekeeping/custodial and landscaping services on behalf of the D.C. Courts and visitors so they can operate in a clean and well-maintained environment.
- The Capital Projects Branch is responsible for budget preparation, planning, implementation, and management of all new construction, expansion, renovation, or replacement to the Courts’ infrastructure pursuant to the D.C. Courts’ Facilities Master Plan and in accordance with Americans with Disabilities Act (ADA) requirements. The 2002 Facilities Master Plan (updated in November 2013) addressed the Courts’ long-term space needs, required improvements to infrastructure and the physical environment, and the planned consolidation of the newly mandated Family Court. This document helps the Capital Projects Branch develop realistic and comprehensive project schedules while efficiently completing

construction and maintenance on its 1.26 million sq. ft. Judiciary Square complex providing new, high quality space and services to the D.C. Courts’ employees and visitors.

Division Strategic Plan/MAP Objectives

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

Program Area	Objective
Building Operations	Provide oversight for housekeeping/custodial and landscaping services on behalf of the D.C. Courts’ employees and visitors so they can operate in a clean and well-maintained environment.
Building Operations	Develop and maintain a quality control system for ensuring that customer building operational concerns are addressed expeditiously.
Building Operations	Ensure mechanical systems (i.e. HVAC, elevators, plumbing) and building shell conditions are maintainable with assigned preventive maintenance schedules (PMS) based 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	Implement the D.C. Courts’ Facilities Master Plan, updated in November 2013, to develop a realistic, comprehensive Capital Project schedule for FY 2014 and beyond.
Capital Projects	Efficiently complete construction on major court building projects to provide new and high quality services to the D.C. Courts’ visitors and employees.
Capital Projects	Complete pre-design, design and construction projects on the D.C. Courts’ campus to maximize space and modernize space planning standards to provide an open and collaborative work environment that is flexible to the evolving needs of the Courts’ visitors, judicial officers, and staff.

The Courts’ 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 significant 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 1.2 million gross square feet of space in Judiciary Square, which is one of the original significant green spaces in the District of Columbia as designated in the L’Enfant Plan for the Nation’s Capital. The Courts are responsible for the Historic Courthouse at 430 E Street, NW (designed and constructed to a LEED Silver standard); the Moultrie Courthouse at 500 Indiana Avenue, NW; 449 5th Street, NW; 515 5th Street, NW; 510 4th Street, NW and 410 E Street, NW which is LEED Gold certified.

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 2013-2017 Strategic Plan.

Capital Projects and Facilities Management Division Achievements and Highlights

CPFMD has advanced the implementation of the D.C. Courts' Facilities Plan across the spectrum with significant progress being made during FY 2014. Major milestones were achieved but, most importantly, foundation construction for the Moultrie Courthouse Addition reached substantial completion, and, following submission of Construction Documents for the superstructure, the D.C. Department of Consumer and Regulatory Affairs (DCRA) issued construction permits for Phase 2A and Phase 2B. 100% Core and Shell and Interior Construction Documents were developed for bidding in June 2015. This design package included upgrades to the secure judicial corridors adjoining the new construction.

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

- Adult holding renovations were completed. This phased construction project modernized all U.S. Marshals Service (USMS) holding facilities for defendants within the courthouse. It included all space within the central holding facility and the upgrade of holding cells adjacent to courtrooms.
- Completed the phased renovation of the Criminal Division on the 4th Floor of the Courthouse.
- Completed the phased renovation of the 5th Floor for the Court Reporting and Recording Division and associate judge swing space.
- Advanced court infrastructure projects: continued upgrade of electrical systems; advanced the domestic water upgrade construction; and planned and implemented multiple code and life safety upgrades. These infrastructure projects are sized to support the Moultrie Courthouse Addition when complete.
- Construction was completed on two Balanced and Restorative Justice Drop-In Centers (BARJ). BARJ is an innovative, non-traditional juvenile rehabilitation program developed by the Family Court Social Services Division. The BARJ Drop-In Centers are multi-faceted satellite facilities that include space for counseling and social activities such as tutoring, mentoring, education and prevention groups, peer mediation, and recreation. Both units were occupied in 2014.
- Upgrade of security within the Moultrie Courthouse continues. This project includes ongoing installation of a new fire protection system with a new sprinkler system as part of a multi-year improvement plan.
- Initiated a series of "precursor" tasks in the Moultrie Courthouse required to seamlessly integrate the existing building and the addition as well as provide swing space for court personnel (including judges) who need to be moved out of the way of construction activity. These tasks include:
 - Design and construction of suites 2440 and 3440 as swing space for relocated Associate Judges;
 - Design of a temporary IT help Desk;
 - Update of documents prepared in 2012 and 2013 for C Street level renovations including the new mailroom, second floor west courtroom and secure/prisoner corridor renovations, the new Marriage Bureau, and cable clean up. These documents

were all issued for permit ahead of a DCRA code change effective in 2015. All projects were subsequently bid.

- Initiated design and construction of an expanded Central Security Control Room on the Indiana Level of the existing Courthouse.

The D.C. Courts have continuously coordinated the Facilities Master Plan, updated November 15, 2013, to reflect changes in technology, organization, and court operations.

Workload Data

The Capital Projects and Facilities Management Division recognized the need to baseline the results of taxpayer investment in the Courts' campus. With the completion of multiple construction projects, infrastructure upgrades, and enhancements, the D.C. Courts are committed to protecting the public's investment in court facilities. Baselines were established in a Facilities Conditions Assessment (FCA) completed in March 2013. This document provided the Courts with a detailed lifecycle analysis and replacement values for all facility assets. Projected replacements and continued maintenance were identified and costs estimated for future funding requirements.

In addition to the Facilities Conditions Assessment, CPFMD has procured and initiated the use of a Computerized Maintenance Management System (CMMS). This software provides CPFMD with a tool to efficiently manage the Court's facilities, property, and services by tracking work orders, work requests, and recurring preventive maintenance tasks.

The CMMS software also provides an inventory management system that allows CPFMD to monitor and track inventory supplies and repair materials. The ability to track inventory facilitates better use of storage by ordering on an as-needed basis and examining trends in the quality of certain manufacturers to determine the need for new products. This inventory visibility allows CPFMD to monitor supplies and to predict the annual supplies needed per fiscal year.

In FY 2017, the Capital Projects & Facilities Management Division will continue to manage housekeeping/custodial services for the Courts' 1.26 million sq. ft. of net floor area⁷ in a cost-effective manner at approximately \$8.50/sq. ft. In addition, the Division manages the vertical transportation maintenance contract to ensure all elevators, escalators and lifts are functioning properly and to code, and the landscape maintenance contract for lawn cutting, tree pruning and irrigation maintenance for the Courts' 4.2 acres of green space.

In 2017, CPFMD will continue to provide services to all of the divisions of the D.C. Courts for infrastructure maintenance, repair, and operations to "*Ensure that facilities are accessible and support efficient and effective operations*" (Strategic Goal 4B, A Sound Infrastructure). The facilities maintenance, repair, and operations costs for the entire D.C. Courts' complex in FY 2017 are projected to remain \$10.00/sq. ft.

⁷ 430 E Street, NW; 449 5th Street, NW; 500 Indiana Avenue, NW; 515 5th Street, NW; 510 4th Street, NW; 410 E Street, NW; Gallery Place; 2041 Martin Luther King Jr. Avenue, SE; 2575 Reed Street, NE; 920 Rhode Island, NE; 1215/1201 South Capitol Street, SW; 118 Q Street, NE; and 4209 9th Street, NW

Table 1
CAPITAL PROJECTS AND FACILITIES MANAGEMENT DIVISION
Key Performance Indicators

Performance Indicator	Data Source	FY2015		FY2016		FY2017	
		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%
Help Desk calls resolved in two (2) business days	CPFMD Help-Desk Reports	98%	98%	98%	98%	98%	98%
Preventive maintenance work completed in accordance with CPFMD PMS	PM Schedule	99%	99%	99%	99%	99%	99%
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	94%	94%	96%	96%	98%	98%
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	93%	93%	95%	95%	97%	98%
D.C. Courts' staff satisfied with Court managed facilities and grounds	Court Surveys	98%	98%	98%	98%	98%	98%
CPFMD projects that are 100% ADA compliant annually and ensure the D.C. Courts are 100% compliant with ADA requirements annually	DCRA Permits; Certificate of Occupancy	100%	100%	100%	100%	100%	100%
Capital projects completed on-time and within budget	CPFMD Budget Reports	100%	100%	100%	100%	100%	100%
Construction projects completed within 10% of original project budget	CPFMD Budget Reports	100%	100%	100%	100%	100%	100%
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 2017 Request

In FY 2017, the Courts request for the Capital Projects & Facilities Management Division is \$8,874,000, an increase of \$188,000 (2%) above the FY 2016 Enacted Level. The requested increase consists entirely of built-in cost increases.

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

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	2,480,000	2,537,000	2,602,000	65,000
12 - Personnel Benefits	694,000	710,000	728,000	18,000
Subtotal Personal Services	3,174,000	3,247,000	3,330,000	83,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	5,056,000	5,406,000	5,509,000	103,000
26 - Supplies & Materials	25,000	26,000	27,000	1,000
31 - Equipment	6,000	7,000	8,000	1,000
Subtotal Nonpersonal Services	5,087,000	5,439,000	5,544,000	105,000
TOTAL	8,261,000	8,686,000	8,874,000	188,000
FTE	28	28	28	0

Table 3
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Position WIG	28	27,000	
	Current Position COLA		38,000	
Subtotal 11				65,000
12 - Personnel Benefits	Current Position WIG		8,000	
	Current Position COLA		10,000	
Subtotal 12				18,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in Increases			103,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Total				188,000

Table 4
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION
Detail of Full-Time Equivalent Employment

Grade	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
JS-6			
JS-7			
JS-8	4	4	4
JS-9	10	9	9
JS-10	2	2	2
JS-11	1	2	2
JS-12	1	1	1
JS-13	5	5	5
JS-14	3	3	3
JS-15			
JS-16	1	1	1
CEMS	1	1	1
CES	1	1	1
Total Salaries	2,480,000	2,537,000	2,602,000
Total FTEs	28	28	28

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
7	2,135,000	7	2,177,000	8	2,309,000	1	132,000

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, special populations, 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 that pertain to their employment at the Courts, such as Sexual Harassment, Understanding Courts, Ethics, Court Security, Personnel Policies, and the Courts’ Strategic Plan. Newly appointed Associate and Magistrate Judges receive 3 weeks of individualized training arranged by the Center. Community conferences for lawyers, social workers, educators and other justice system professionals are held several times per year. All training is aligned with the Strategic Plan and complements procedural and technical training provided by operating and support divisions. Based upon needs assessments and employee development plans, a Training Plan is developed annually. The Center also develops and provides educational programs for court visitors, including many delegations of international guests visiting to learn about the rule of law and to help develop and improve the justice systems in their countries.

Division MAP Objectives

- **Courtwide Training Plan** – Develop an annual training plan that is aligned with the Courts’ strategic goals and offers comprehensive job-related programs including judicial, leadership, management, supervisor, technology, soft skills, cross-training, and various conferences. Ensure an efficient use of resources and a successful learning experience for all.
- **Judicial Institute** – Enhance the effectiveness of the judiciary by providing a myriad of judicial education opportunities to all judicial officers in the D.C. Courts, including

leadership, current issues, legal topics, roundtable discussions for appellate judges, training specific to Court Divisions, annual community conferences for several Divisions, comprehensive orientation and peer coaching for all new judges, and opportunities to attend national trainings.

- **Leadership Institute** – Maximize effectiveness of the Executive Team and Senior Managers in achieving the highest levels of court performance by establishing a Leadership Institute that will offer teambuilding, leadership courses, individual assessments, coaching, enhanced orientation to new Court Executive Service (CES) employees, and personal and professional development activities. Support positive organizational change through extensive involvement of executives and senior leadership in the “Building a Great Place to Work” initiative and the Organizational Values Initiative.
- **Management Institute and Strategic Training** – Maximize the effectiveness of the Courts’ managers and supervisors and increase the pool of future managers and leaders through the Management Institute to include the Management Training Program (MTP) and the Supervisors Training Program (STP). Focus the training of managers, supervisors, and employees on issues relevant to achieving the goals outlined in the Strategic Plan of the District of Columbia Courts (2013-2017), including values, special populations, and cultural competency. Position managers and supervisors as court leaders, change agents, and role models in these efforts.
- **Visitors Program** – Provide a quality educational experience for international, national, and local delegations visiting the D.C. Courts, thereby increasing access, and understanding of the justice system at many levels. Provide campus tours for all new employees.

Restructuring or Work Process Redesign

The Center has institutionalized a variety of structural and work process changes over the last decade. The staff of seven has been completely restructured and works well together to achieve the Division’s goals. These changes are a result of feedback received through a myriad of assessment tools, including an internal needs assessment, direct interaction, and questionnaires completed by employees, both judicial and non-judicial. Most recently, in FY 2013 and FY 2014, an external *Strategic Training Needs Assessment* and an internal independent review process were conducted. In FY 2015, the Center developed a two-year Strategic Plan addressing all the recommendations in the needs assessments. The Plan is designed to enhance communications, increase outreach, update and streamline organizational processes, and redesign all training curricula. Execution of the plan began in 2015, and it is expected to be fully implemented in 2017. Other recent initiatives such as the Leadership Institute, the Management Institute, the Judicial Leadership Initiative, the Roundtable Series for the Court of Appeals judges, and the biennial Courtwide Employee Conference, continue.

The Leadership Institute is currently focused on team efforts to improve the D.C. Courts as a “Great Place to Work” and to offer opportunities and challenges for senior management in areas such as values-based management, coaching, and skills development. Based on the results of the 2009, 2011, and 2013 Employee Viewpoint Surveys (formerly named Federal Human Capital

Surveys), initiatives and teams were established in the areas of health and wellness, work/life balance, internal communications, performance management, cross-training and *Living Our Values*. Employee Engagement is now a courtwide performance metric. The Judicial Leadership Team attends two or more meetings each year. The Executive Team holds monthly leadership meetings, and a joint Judicial/Executive meeting is held annually. In 2014, the first *Leadership Summit* for judicial and executive leaders of Superior Court operating divisions was held. In 2014 and 2015, the values and leadership initiatives were expanded to include middle and first line managers. All court leadership and senior management change initiatives 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 to meet the unique needs of the Court of Appeals.

In light of a pending wave of retirements and the need for better development and retention of talented employees, the Center and the Management Training Committee initiated a Management Training Program (MTP) in 2007 for 20 employees competitively selected from each division within the Courts. The MTP offers every other year a very successful 12-month series of classes taught by nationally recognized experts and in-house leaders. Many of the graduates from the Program have received promotions and increased responsibility. The Courts take seriously the importance of succession planning and continue to move in a proactive direction toward recruiting and retaining excellent employees. Similarly, the D.C. Courts have established a seven-day, four-segment training program for supervisors. Based on the Supervisory Leadership Program offered by the U.S. Office of Personnel Management and using some of the same faculty, this training program has been completed by 98% of court supervisors. All new supervisors are similarly trained. Graduates of the programs participate in advanced courses on leadership, performance management, employee development, and cultural competence.

Technology and skill development classes are an evolving training need. Utilizing two computer labs, there is a new focus on more advanced technology training, as almost all employees now possess requisite office computer skills. The Center offers Microsoft Office Specialist (MOS) Certification training and testing. Employees are developing new skill sets to enable them to produce E-learning classes, stylish publications, and audio video materials. In addition to on-line tutorials, the new focus is on classes that teach operating processes unique to courts. There is an ongoing need for the Center to offer technology classes on other more sophisticated, court-focused programs such as CourtView (the software for the Integrated Justice Information System) and Oracle Discoverer. The Center has developed alternative learning methods such as computer-based training, blended learning, flipped classrooms, and cross training. As part of the Strategic Human Resources redesign and implementation of the Talent Management System, the Center offers an E-learning Library from SkillPort and will transfer all on-line courses and training databases to the National Business Center Learning Management System in 2016.

Training has increased dramatically in terms of the number of classes offered by the Center annually, the number of participants, the number of training hours delivered, the subject matters covered as well as the level of satisfaction. The Center offers approximately 150 classes each

year. Training hours completed by court employees and judicial officers for each year have consistently been well over 10,000 hours and the most recent indicators point to increased training activity levels exceeding 15,000 hours.

Finally, another very important program administered by the Center is the International Visitors Program, which supports efforts to strengthen the rule of law and the development of justice systems around the world. More than 30 international delegations visit each year, most of them very high-level representatives from other nations’ justice systems. Providing educational experiences for international visitors is an important function unique to the trial court of the Nation’s Capital. Many of these visiting groups are sponsored by the U.S. Department of State, USAID, World Bank, or international cultural exchange organizations, and each educational program is tailored to the needs and interests of the individual delegation. Recently, the number of international delegations and the number of visitors hosted by the D.C. Courts has increased to about 50 groups and more than 1,000 visitors per year.

Workload Data

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

Table 1
CENTER FOR EDUCATION AND TRAINING
Workload Data

Data Measure	FY 2014 Actual	FY 2015 Estimate	FY 2016 Projected	FY 2017 Projected
Courses Offered	141	150	160	160
Judicial Participants ⁸	504	500	500	500
Employee Participants ¹	1,445	2,000	2,000	2,000
Divisions Supported	8	6	5	5
Number of Official Visitors	1,670	1,200	1,000	1,000

⁸ A judicial officer or employee may participate in multiple training programs during the year.

Key Performance Measures

Table 2
CENTER FOR EDUCATION AND TRAINING
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
			Goal	Actual	Goal	Estimate	Goal	Projected	Goal	Projected
Outcome	Program Quality	Participant Evaluations	80% >3.5	93% >4.0	80% >3.5	90% >4.0	85% >3.5	90% >4.0	85% >3.5	90% >4.0
Outcome	Judges and Employees Total Training Hours Completed	Training Database and Sign-in Sheets	16,500	15,073	15,000	15,000	15,000	15,000	15,000	15,000
Output	Visitors Tours & Programs	Visitors Schedule	30	55	50	70	50	50	50	50
Outcome	Bi-Annual Management Training Program Graduates	Training Schedule & Participant List	15	17	NA	NA	20	20	NA	NA
Output	Management Training Institute Courses Offered	Training Schedule	18	16	10	6	14	14	10	10
Output	Executive/Senior Leadership Development Sessions	Training & Meeting Schedules and N-H Reports	6	3	6	6	6	6	6	6
Outcome	Judicial Leadership Team Retreats	Meeting Schedule	2	3	2	1	2	2	2	2
Output	Court of Appeals Programs Offered	Training Schedule	6	2	6	2	6	6	6	6

FY 2017 Request

In FY 2017, the Courts request \$2,309,000 for the Center for Education and Training, an increase of \$132,000 (6%) from the FY 2016 Enacted Level. The requested increase includes \$83,000 for one FTE to meet the demand for education and training services and \$49,000 for built-in cost increases.

Education Specialist (JS-11/12/13) \$83,000

Problem Statement. To meet the skyrocketing demand for the Center’s guidance and expertise, address the recommendation of a recent needs assessment, and keep pace with the D.C. Courts’ educational and training requirements, an Education Specialist is necessary. A recent Training Needs Assessment Report, performed for the Center by an outside consulting firm, recommended an additional staff person to allow the Center to stay abreast of daily and increasing demands, while keeping current with Judicial Branch education trends. Current workload demands are pushing beyond the capacity of the existing staff. Staff produce at a very high level, often work extra hours, and are at risk of burnout. The Center is requesting another Education Specialist position to support the increased activity and special events offered throughout the year by the Center and the other divisions that sponsor these events. The Center

staff is fully committed to continuing to make the D.C. Courts an exemplary learning organization.

In the past ten years, the D.C. Courts have revamped the education and training function, helping to enhance the work of court employees by better preparing them to take on the constant challenges that come with living in an ever-changing, highly technological world and working in a high-volume, urban court system in the Nation's Capital, but also increasing the Center's workload. One of the primary duties of any court is to provide access to justice to its constituents (Goal 2 of the D.C. Courts' Strategic Plan). To do this in a meaningful way, the D.C. Courts must train personnel on the distinctive needs of specific populations that might visit the D.C. Court system. Accordingly, the Center has tailored classes and seminars to the specific needs of the community, such as cultural differences and biases, language, limited English language, self-represented litigants, mental health issues, technology challenges, customer service, and others. The Courts' strategic plan also speaks to building a strong judiciary and workforce (Goal 3) and building public trust and confidence (Goal 5). The Center has planned and executed numerous programs to support these goals: national conferences for judges, staff, and court stakeholders on racial and ethnic fairness in the courts, procedural fairness, community conferences for various Superior Court Divisions; Courtwide Employee Conferences for all staff; and several other conferences on an annual basis. Furthermore, each week the Center presents several classes in leadership, project management, computer skills, customer service, writing, and public speaking. The Center also hosts international judges, lawyers and visitors to the Courts—approximately 50 groups and nearly 1,000 visitors annually. In addition to the regular classes that are offered, there are numerous special projects and initiatives that demand the Center's resources such as Building a Great Place to Work, Judicial Leadership, Management Training Program, Employee Viewpoint Survey, Living Our Values, Cross-Training Program, Option-Finder Programs, On-Line registration support, Management and Supervisor Training, and Judicial Education for both the Superior Court and the Court of Appeals. Planning and organizing all of these events is a time-consuming and detail-oriented endeavor; it requires additional staff.

Relationship to Court Mission and Goals. The proposed staff increase will support the Courts' strategic goals of a strong judiciary and workforce, engaged employees and community access. Specifically, the request supports the Courts' Goals related to Access to Justice (Goal 2), a Strong Judiciary and Workforce (Goal 3), and Public Trust and Confidence (Goal 5). By improving our capacity to efficiently coordinate, develop and deliver classes (traditional, on-line, blended, webinars), seminars, experiential learning opportunities and conferences for judicial officers and court staff, the Center will continue to develop and maintain the professional excellence of our workforce. By offering conferences and events to the public and the local professional communities we serve, the Center will enhance public understanding of the judicial branch and educate both local and international justice system professionals about the rule of law and about the operations of various Divisions within the Court system. The Center further emphasizes the Courts' ongoing values initiative by modeling accountability, excellence, fairness, integrity, respect, and transparency to its end users and constituents.

Relationship to Divisional Objectives. The Center is charged with providing learning and professional development opportunities to all court personnel and developing high-level strategic

planning. All of the aforementioned training programs are key elements of the Center's Management Action Plans (Courtwide Training, Judicial Institute, Leadership Institute, Management Institute, and Visitors Program) to implement the Courts' Strategic Plan.

Relationship to Existing Funding. Funding for this position is not currently available in the Center's budget. The current budget supports only the seven positions currently filled.

Proposed Solution. Given the significantly increased levels of large conferences, special events and cross-training, leadership, management and supervisor initiatives in recent years, the Center proposes to recruit and hire one additional staff member whose responsibilities will include development and oversight of cutting-edge classes, procurement, contracting, marketing, logistics, regulatory compliance, technical support and event planning.

Methodology. The recent Training Needs Assessment Report determined that one additional employee is necessary, based on the Center's workload.

Expenditure Plan. The job position of Education Specialist will be classified in accordance with the Courts' Classification Procedures and similar to the other Education Specialist positions. It is anticipated that it will be a full time, permanent position at the JS-11/12/13 level. The Center will follow the Courts' Personnel Policies to recruit and select the best candidate for the position.

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

Table 3
CENTER FOR EDUCATION AND TRAINING
New Positions Requested

Positions	Grade	Number	Salary	Benefits	Total Personnel Cost
Education Specialist	JS-11	1	\$65,000	\$18,000	\$83,000

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

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	809,000	823,000	908,000	85,000
12 - Personnel Benefits	227,000	231,000	254,000	23,000
<i>Subtotal Personal Services</i>	<i>1,036,000</i>	<i>1,054,000</i>	<i>1,162,000</i>	<i>108,000</i>
21 - Travel, Transp. of Persons	275,000	281,000	287,000	6,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	814,000	830,000	846,000	16,000
26 - Supplies & Materials	6,000	7,000	8,000	1,000
31 - Equipment	4,000	5,000	6,000	1,000
<i>Subtotal Nonpersonal Services</i>	<i>1,099,000</i>	<i>1,123,000</i>	<i>1,147,000</i>	<i>24,000</i>
TOTAL	2,135,000	2,177,000	2,309,000	132,000
FTE	7	7	8	1

Table 5
CENTER FOR EDUCATION AND TRAINING
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Positions WIG	7	7,000	
	Current Positions COLA		13,000	
	Education Specialist	1	65,000	
<i>Subtotal 11</i>				<i>85,000</i>
12 - Personnel Benefits	Current Positions WIG		2,000	
	Current Positions COLA		3,000	
	Education Specialist		18,000	
<i>Subtotal 12</i>				<i>23,000</i>
21 - Travel and Transportation	Built-in increase			6,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in increase			16,000
26 - Supplies and Materials	Built-in increase			1,000
31 - Equipment	Built-in increase			1,000
TOTAL				132,000

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

Grade	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	1	1	1
JS-11			1
JS-12			
JS-13	4	4	4
JS-14			
JS-15	1	1	1
CES	1	1	1
CEMS			
Total Salaries	809,000	823,000	908,000
Total FTEs	7	7	8

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
55	6,083,000	55	6,174,000	55	6,381,000	0	207,000

Mission

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

Organizational Background

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

1. The Office of the Director is responsible for developing initiatives, overseeing project management, as well as leading division-wide operational and administrative initiatives in furtherance of the Strategic Plan and other D.C. Courts’ programs 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 preparing official transcripts.
3. The Transcription Branch is responsible for transcribing verbatim transcripts of recorded proceedings in D.C. Superior Court that were not taken by an Official Court Reporter.
4. The Case Management Branch is responsible for handling all Criminal Justice Act, *in forma pauperis*, domestic violence, civil, and juvenile appeal transcript requests. This includes maintaining transcripts in the division for all appellate cases and forwarding them to the Court of Appeals when all transcripts have been completed in that appeal. This Branch is also responsible for maintaining statistics on appellate cases.
5. The Administrative Branch is responsible for processing incoming and outgoing transcript requests from various agencies and the public. In addition to entering relevant data into the Web Transcript Tracking System (WTTS) for the Court Reporting and Recording Division, this branch is responsible for maintaining statistics on non-appellate 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 technology and increased automation.
- Ensure the timely availability of transcripts of court proceedings for judges, attorneys, litigants, and other parties by producing 100% of appeal transcripts within 60 days and 100% of non-appeal transcripts within 30 days.
- Ensure the production of accurate transcripts by performing quarterly random audits to verify that transcripts are a verbatim record of court proceedings.

Work Process Redesign

In July 2014, the Court Reporting and Recording Division commenced Phase I of the Bridge Mobile Pilot Project. The Bridge Mobile Pilot Project consists of testing an application called Bridge Mobile that allows a court reporter to send a stream of realtime by a secure wireless router from the court reporter’s laptop to the judge’s iPad. The benefit of this project includes the accessibility of realtime due to the mobility of the iPad; thus offering quick and efficient access to information. Six members of the judiciary participated in the Bridge Mobile Pilot Project with the Court Reporting and Recording Division.

Providing better customer service was the goal when CRRD transitioned to a “One Stop Shopping Division”. The entire process of receiving deposits from customers ordering transcripts was streamlined. A customer no longer had to make the deposit when the transcript was ordered or pay the balance due when the transcript was picked up in the Civil Clerk’s Office. In February 2014, all monies were handled in CRRD, thus eliminating the need for the customer to make several trips back and forth from the Civil Clerk’s Office to CRRD.

Workload Data

Table 1
COURT REPORTING AND RECORDING DIVISION
Workload Measures

Type of Indicator	Performance Indicator	Data Source	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate	FY 2017 Estimate
Input	Transcription Branch orders received	Division Records	5,162	5,800	5,900	5,950
Input	Court Reporting Branch orders received	Division Records	3,403	4,400	4,500	4,550
Output	Pages of court transcripts produced (appeal/non-appeal)	Division Records	434,547	452,000	453,000	454,000

Table 2
COURT REPORTING AND RECORDING DIVISION
Key Performance Indicators

Type of Indicator	Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
			Goal	Actual	Goal	Estimate	Goal	Projection	Goal	Projection
Timeliness	Average time (in days) to complete transcripts of taped appellate proceedings	Division Records	11	18	11	11	10	10	10	10
Timeliness	Average time (in days) to complete transcripts of taped <i>non</i> -appellate proceedings	Division Records	6	9	6	6	8	8	8	8
Timeliness	Average time (in days) to complete appellate transcripts by court reporters *	Division Records	43	45	43	43	42	42	42	42
Timeliness	Average time (in days) to complete <i>non</i> -appellate transcripts by court reporters *	Division Records	11	15	11	11	10	10	10	10

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

FY 2017 Request

In FY 2017, the Courts request \$6,381,000 for the Court Reporting and Recording Division, an increase of \$207,000 (3%) above the FY 2016 Enacted Level. The increase consists entirely of built-in cost increases.

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

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	4,679,000	4,747,000	4,905,000	158,000
12 - Personnel Benefits	1,310,000	1,329,000	1,374,000	45,000
Subtotal Personal Services	5,989,000	6,076,000	6,279,000	203,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	2,000	3,000	4,000	1,000
25 - Other Services	25,000	26,000	27,000	1,000
26 - Supplies & Materials	44,000	45,000	46,000	1,000
31 - Equipment	23,000	24,000	25,000	1,000
Subtotal Nonpersonal Services	94,000	98,000	102,000	4,000
TOTAL	6,083,000	6,174,000	6,381,000	207,000
FTE	55	55	55	0

Table 4
COURT REPORTING & RECORDING DIVISION
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Position WIG	55	86,000	
	Current Position COLA		72,000	
<i>Subtotal 11</i>				<i>158,000</i>
12 - Personnel Benefits	Current Position WIG		24,000	
	Current Position COLA		21,000	
<i>Subtotal 12</i>				<i>45,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Service	Built-in Increases			1,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
TOTAL				207,000

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

Grade	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
JS-6			
JS-7	1		2
JS-8	5	4	2
JS-9	3	5	5
JS-10	6	6	6
JS-11		1	2
JS-12	37	36	35
JS-13	1	1	1
JS-14			
JS-15	1	1	1
CES	1	1	1
Total Salaries	4,679,000	4,747,000	4,905,000
Total FTEs	55	55	55

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
25	3,321,000	25	3,407,000	25	3,461,000	0	54,000

Mission

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

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

Organizational Background

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

The Office of the Director sets and aligns the strategic direction of the Division with court-wide human capital initiatives. The Office is responsible for developing, interpreting, and implementing personnel policies. The Office of the Director also administers and manages position and classification management actions. The Deputy Director oversees the day-to-day operations of the Division and implementation of the Division’s strategic initiatives and serves as Contract Administrator for the Courts’ Health Unit and Employee Assistance Program. Also in the Office of the Director, the EEO Officer is responsible for the administration of the Courts’ EEO program. This includes investigating, conciliating, and analyzing complaints. In addition, the EEO Officer is responsible for reporting staff diversity statistics, conducting EEO related training, and overseeing the Anti-Bullying policy and complaint process (5 positions).

The Office of Human Resources Strategic Planning is responsible for the administration of the Division’s Strategic Plan, internal program analysis and continuous process improvement functions, workforce planning, succession planning, and project management for various human resources related special projects and initiatives (2 positions).

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. The Branch is responsible for payroll, time and attendance, new employee orientation, compensation studies and retirement and financial literacy training (7 positions).

The Talent Acquisition Branch is responsible for recruiting highly qualified talent for all competitive court positions. This includes performing job analyses; developing announcements, crediting plans and other performance and ability measurements; conducting computer testing for clerical and other positions; developing referral and recommendation panels; and making job offers. The Branch ensures that all selection measures are valid, job-related, fair, non-discriminatory, and compliant with federal and professional guidelines (7 positions).

The Performance and Employee Relations Unit is responsible for the strategic management and administration of the D.C. Courts' employee performance management and employee relations programs. Performance management involves using coaching, feedback, and basic management tools to maintain and improve individual performance of job duties and requirements. Employee Relations focuses on the employer-employee relationship and workplace conduct to ensure compliance with applicable laws, regulations, rules, and policies (2 positions).

The Human Resources Information Systems Unit is responsible for providing analytical support in the pursuit of maintaining and advancing the Human Resources Division's technical systems. This support involves ensuring quality and consistency of HR's electronic information; serving as liaison and providing HR-related technical support within the division and court-wide. In addition, this unit is responsible for assessing and making recommendations for technical enhancements to all HR functional areas. The unit is currently responsible for the implementation of the comprehensive integrated payroll and personnel system, which will automate and improve HR processes. Post implementation, the unit will manage all HR information systems and provide support for court-wide access, processing, and training (2 positions).

Division MAP Objectives

Several of the Division MAP Objectives follow:

- Build strategic partnerships with the Courts' leadership to enhance workforce success.
- Support efficient operations by performing targeted HR activities within established timeframes and/or in accordance with Standard Operating Procedures.
- Maximize staff productivity and applicant convenience by implementing and administering an automated talent acquisition and applicant tracking system.

- Ensure a diverse workplace reflective of the community it serves by conducting audits of recruiting, hiring, retention, promotion practices, and demographics throughout the D.C. Courts.
- Maximize staff productivity and increase employee knowledge of and access to their benefits through electronic access to personal information and records.
- Ensure a strong workforce by enhancing the quality of the Court's Performance Management Program by conducting data analyses and presenting recommendations to address consistency in application and perceptions of fairness of the program.
- Ensure a strong future workforce by collaborating with Court Leadership and the Center for Education and Training to implement the HR Succession Management plan.

Divisional Restructuring and /or Work Process Design

As a result of stakeholder focus group sessions, *Employee Viewpoint Survey* findings, 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) for calendar years 2011-2015. The HRSP is comprised of five strategic themes: 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 continue to reorganize its internal workforce structure, as it improves its processes and procedures, leverages new technology to proactively manage people, forecasts and plans 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 their customers. During FY 2014, the Human Resources Division accomplished the initiation, development, and implementation of many human resources initiatives that were tactically and progressively linked to the strategic plan of the Division and the Courts, including:

1st Qtr FY 2014 – October 2013 – December 2013

- **October:** Reviewed all personnel and pay database tables with the HRIS project team and IBC to establish development requirements and solidify the HR and payroll system infrastructure and security parameters. The HRIS Unit worked diligently with IBC on this critical data migration.
- **October:** Launched the 2013 Seasonal Flu campaign, offered on-site flu vaccinations for DC courts employees and United States Marshals serving the courts.
- **October:** Established HRIS policy review team to evaluate the Courts business operation as it relates to ongoing development of IBC's comprehensive HR and payroll systems. Began ongoing performance management consultations with supervisors, managers, and employees to provide guidance and information on the DC Court's performance management process and

best practices. Assumed the responsibility of all HR functions for the DC Court of Appeals. This new responsibility included Benefits, Payroll, Staffing, and Performance Management.

- **November:** Conducted an immensely successful employee open season health fair that was attended by over 400 employees or 40% of the non-judicial staff and supported the DC One Fund in conjunction.
- **November:** Completed analysis of current performance management process, including process mapping and workflow. Increased communications and support to supervisors and employees on performance management issues.
- **November:** Conducted two brown bag luncheons for court employees. During these luncheons, representatives from the Flexible Spending Program and the Federal Long Term Care Program educated court employees on their programs.
- **December:** Conducted process improvement reviews of the new Applicant Tracking System that was rolled-out in January 2013 as part of the comprehensive HR technology transformation initiatives that will be integrated into Human Resources Information Systems.

2nd Qtr FY 2014 – January 2014 – March 2014

- **January:** Addressed post implementation issues resulting from the transition to a fully automated applicant tracking systems.
- **February:** Revised and developed organization codes in alignment with labor cost codes to strengthen payroll accountability and internal control over creating, assigning, and updating labor cost codes to improve communication and management between the Human Resource Division and the Budget & Finance Division. Advised the Joint Committee on Judicial Administration and the Executive Officer on the status of equal employment opportunity activities, of any existing deficiencies, of the necessity for specific programs, and of the need for any changes in the (Affirmative Action) Plan.
- **March:** Conducted an in-depth review of the DC Courts' Comprehensive Personnel Policy manual.

3d Qtr FY 2014 – April 2014 – June 2014

- **April:** Coordinated with D.C. Courts' Information Technology Division and the Department of Interior to develop, configure and customize the HRIS platform for the seamless migration of data and business processes for HR and payroll operations
- **April:** Conducted a Financial Literacy and Retirement brown bag lunch in compliance with the "Thrift Savings Plan Open Elections Act of 2004 (Public Law 108-469)" that requires agencies to develop and implement a retirement financial literacy and education strategies for employees.
- **May:** Conducted Time and Attendance (T&A) systems development and training assessments to ensure development of D.C. Courts T&A business processes and employee acceptance of new technology for entering and approving time and attendance. Conducted two full day classes on the Road to Retirement Seminars as part of the Retirement and Benefits Educational Program.
- **June:** Redesigned the HR Intranet page to a make it user-friendly and streamlined.

4th Qtr FY 2014 – July 2014 – September 2014

- **July:** Conducted a full day training class on the Road to Retirement.
- **July:** Presented a comprehensive proposal to the Executive Team on the design, development, implementation, and evaluation of a court-wide Non-monetary Awards Program. Proposal was accepted for formal development and implementation.
- **August:** Consulted with the Magistrate Judges to assist in development of standard operating procedures; clarification of personnel policy matters; and performance planning and supervision best practices.
- **September:** Conducted judicial retirement seminars for the associate and magistrate judges. Completed the successful close-out of the 2013-14 performance management period, with 940 ratings received and the timely processing of all performance awards for employees whose performance was rated at the Exceeds Expectations or Outstanding levels. Led the project management initiative for the court-wide Flex Place pilot program. Provided training courses for supervisors and managers on performance management principles and best practices and the D.C. Court's performance management process.

Workload Data

During FY 2014, the Human Resources Division processed 160 Family Medical Leave Act requests, 12 Workers' Compensation claims, and approximately 11,800 job applications for 56 announced vacancies. The HRD staff is projected to process over 12,000 electronically filed employment applications in FY 2015. Over 8,000 individual employee benefit consultations were conducted via telephone and walk-ins, benefit workshops, seminars, and fairs, etc. Approximately 940 performance evaluations were received and processed for FY 2014. Four (4) mandatory training sessions on EEO law and sexual harassment were held and 43 new hires attended. Twenty-two supervisors and managers participated in the 5-day mandatory course facilitated by the Human Resource Division and the Office of Personnel Management. There were 10 matters filed in the EEO Office as case activity.

Table 1
HUMAN RESOURCES DIVISION
Key Performance Indicators

Type of Indicator	Key Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
			Goal	Estimate	Goal	Estimate	Goal	Projection	Goal	Projection
Output	# of employees attending benefit seminars, retirement workshops, health fairs, etc.	Registration & attendance documents	600	625	600	650	700	700	750	750
Output	# of employees attending Performance Management Training and Briefings	Registration & attendance documents	100	200	150	170	250	250	300	300
Output	Performance Evaluations Processed	Rec'd Evals	800	940	940	900	900	900	900	900
Output	# of employees with access to eOPF application	HR Data Reports	1,300	1,300	1,300	1,300	1,300	1,300	1,300	1,300

FY 2017 Request

In FY 2017, the Courts request \$3,461,000, for the Human Resources Division, an increase of \$54,000 (2%) above the FY 2016 Enacted Level. The increase consists entirely of built-in cost increases.

Table 2
HUMAN RESOURCES DIVISION
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	2,576,000	2,641,000	2,680,000	39,000
12 - Personnel Benefits	719,000	737,000	749,000	12,000
Subtotal Personal Services	3,295,000	3,378,000	3,429,000	51,000
21 - Travel, Transp. of Persons	8,000	9,000	10,000	1,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	11,000	12,000	13,000	1,000
31 – Equipment	7,000	8,000	9,000	1,000
Subtotal Nonpersonal Services	26,000	29,000	32,000	3,000
TOTAL	3,321,000	3,407,000	3,461,000	54,000
FTE	25	25	25	0

Table 3
HUMAN RESOURCES DIVISION
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Position WIG	25	2,000	
	Current Position COLA		37,000	
<i>Subtotal 11</i>				<i>39,000</i>
12 - Personnel Benefits	Current Position WIG		2,000	
	Current Position COLA		10,000	
<i>Subtotal 12</i>				<i>12,000</i>
21 - Travel, Transp. of Persons	Built-in Increases			1,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials	Built-in Increases			1,000
31 – Equipment	Built-in Increases			1,000
Total				54,000

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

	2015 Enacted	2016 Enacted	2017 Request
JS-6			
JS-7			
JS-8			
JS-9	5	5	5
JS-10			
JS-11			
JS-12	6	6	6
JS-13	7	7	7
JS-14	4	4	4
JS-15	2	2	2
CEMS			
CES	1	1	1
Total Salary	2,576,000	2,641,000	2,680,000
Total FTEs	25	25	25

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
63	11,341,000	65	11,717,000	68	12,121,000	3	404,000

The Information Technology (IT) Division acquires, develops, implements, administers, and secures the D.C. Courts’ information and technology systems. Its responsibilities are carried out under the direction of the Chief Information Officer by a program management office and quality assurance and operations branches that develop applications, administer computer networks, administer databases and applications, oversee information security, provide customer service support to end users, and ensure continuity of operations.

Mission Statement

The mission of the Information Technology Division is to provide quality services, cost-effective technology solutions, and accessible information to assist judicial and administrative decision-making and timely case resolution.

Vision Statement

To achieve its mission, the Information Technology Division will be leaders in innovation, partners in service, and contributors to justice.

Introduction

The Information Technology Division delivers information systems services and support to all other court divisions. Some of the Division’s major services include:

- Designing, developing, implementing, and maintaining information systems to enable case processing 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 court operations.
- Overseeing the D.C. Courts’ Integrated Justice Information System (IJIS) and case management workflow improvements.
- Maintaining and supporting courtroom and enterprise-wide audio and video applications.
- Managing and supporting the Courts’ website, intranet, and Internet applications.

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

Organizational Background

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

- *General Workstation and End-User Support* consists of selecting, configuring, ordering, implementing, and maintaining desktop and portable computers, software, and all peripherals that support the Courts' end-user community.
- *Servers and Group Services Support* consists of server management, operating system maintenance, optimization of servers that deliver the court-wide applications and data storage repository services that host the Courts' critical case data. Additional areas include maintaining and monitoring 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.
- *Office Automation Support and Development* requires 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 public through reports, public use terminals, kiosks, and the Internet.
- *Information Security* involves the daily tasks of protecting the Courts' information and information systems from unauthorized access, use, disclosure, disruption, modification, or destruction.
- *Courtroom Technology* enhances the legal process through the use of electronic equipment, electronic documentation display, enhanced sound systems, integrated audio, multimedia presentations, teleconferencing, video evidence presentation, video recordings, and videoconferencing.

IT Strategic Goals and Objectives

To support the D.C. Courts' mission, the IT Division released a new five-year IT Strategic Plan 2013-2017 in December 2012. The Plan aligns IT priorities with the Courts' strategic goals and defines how IT will help achieve courtwide strategic goals of fair and timely case resolution, access to justice, a strong judiciary and workforce, a sound infrastructure, and public trust and confidence in the courts. The IT Division goals follow:

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

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

Operational Effectiveness

To improve its operational effectiveness, the IT Division manages all major IT operations and projects following industry best practices, including the Software Engineering Institute's Capability Maturity Model – Integration (CMMI) Level Two (ML-2) guidelines, and the Information Technology Infrastructure Library (ITIL v3) methodology.

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

Governing these complex initiatives, the IT Division's policies and initiatives are approved through an IT Steering Committee with the participation of the Courts' judiciary and senior management. The IT Steering Committee provides general reviews of major IT projects and policies regarding business alignment, effective IT strategic planning and oversight of IT performance.

The IT Enterprise Architecture Board (EAB) consists of a cross-section of technology experts who assess, evaluate, and recommend new technologies that will meet the D.C. Courts' current and future needs and that will result in measurable returns on investments. The EAB complements the Information Technology Steering Committee (ITSC) by providing advice in establishing technology standards, planning IT investments, and evaluating new technologies.

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 the goal of maintaining the quality of services provided to the Courts' end users, adhering to the Courts' IT architecture, and maximizing the interoperability, reliability, availability, and security of the Courts' information systems. The CCB operates within the parameters set by the Courts' policies for Information Technology Management and directives supporting the implementation and effectiveness of these policies.

Recent Achievements and Highlights

1. Case Management and Business Intelligence

- Enhanced efilings program with addition of efile Case Initiation in March 2015

The D.C. Superior Court expanded the scope of the enterprise efilings program to include efile case initiation capability starting with Civil Action cases. Private attorneys, government organizations, and self-represented filers can now initiate the majority of Civil Action cases without having to physically travel to the Court. Expanding the efilings program to case initiation is expected to enhance court access and operational efficiency by eliminating

commuting time and costs associated with the initiating of cases at a court location. Another benefit is the court staff time savings due to the elimination of the need to scan case initiation documents into the Document Management System.

- Implemented Rules-based Workflow to support the processing of Civil Action case initiation filings in March 2015

This workflow solution eliminates the need for clerks to print documents and apply signature stamps, text, or seals during processing. Court documents are automatically entered into the CourtView case management system resulting in time savings.

- Office of Attorney General (OAG) Electronic Orders Pilot project in May 2015

A pilot project has been initiated to digitize the existing paper-based four-page court order that establishes an official child support order in the District of Columbia. Although updated by OAG, a Superior Court judge must finalize the document. The current paper-based workflow for this document was inconvenient, error prone, and time intensive for both OAG staff and Superior Court judges. Implementation of this pilot project has several benefits, including reduced staff processing time, a reduction in data entry errors, and decreased printing costs.

- Business Intelligence solution new implementations and enhancements, throughout 2015

The Courts enterprise Business Intelligence solution continues to provide the following capabilities:

- Added additional Data Sources to the Enterprise Data Warehouse, including data from the Superior Court's case management system (CourtView), Web Voucher System, OnBase Document Management System, Web Mediation System, Surveys, and Management Action Plans.
- Customized interactive dashboards
 - Delivered meaningful information to judges including enhanced and daily-refreshed motions tracking reports and caseload reports;
 - Developed Division Director's dashboards for IT, Probate, Family, Civil, and Criminal Divisions and the Center for Education and Training;
 - Provided historical trends across a wide range of data and business processes.

2. Software Applications for Business Processes Automation and Productivity

- Developed a new Payroll processing module for the Web Voucher System (WVS) in October 2014. The goal and scope of this project was to replace the existing payroll processing module due to the change of the D.C. Courts' Financial processing vendor from the General Services Administration (GSA) to the Interior Business Center (IBC).

- Implemented a feedback option to the CJA Panel Selection System in February 2015. This enhancement provides a feedback option to the judges, permitting them to enter information about the ongoing performance of an attorney after completion of the evaluation/selection process. This facilitates the retention of information on potential applicants who may apply for a future panel.
- Enhanced the Efile Reconciliation Application in April 2015, which increases the accuracy and effectiveness of the efile fee reconciliation process.
- Redesigned On-Base Workflow Monitor Application in December 2014. This application allows users to search for cases, move a case to another queue, retrieve workflow documents, view workflow history, and reassign documents within the queue.
- Implemented the Criminal Caseload Senior Judge Calendaring Tool in January 2015 to track the assignment of senior judges.
- Implemented the Family Court Central Intake Sign-in Application in December 2014, which is used to process court users and track and monitor staff assignments; thereby streamlining the processing of court cases.
- Enhanced the Bar Applicant Tracking System (BATS) in April 2015. The BATS tracks all applications and motions filed with the Committee on Admissions and the Committee on Unauthorized Practice of Law.
- Implemented the Civil Caseload Judicial Assignment Tracking Application in May 2015, which tracks and monitors judicial assignments.
- Enhanced the Marriage Bureau Sign-in Application for Family Court in May 2015. The enhancement adds electronic form processing and ordering for various marriage license and application forms.
- Implemented the Crime Victims Compensation Sign-in Application for the Crime Victims Compensation Program (CVCP) in August 2015. The CVCP serves the public on a walk-in basis and the electronic sign-in system (ESS) allows the CVCP to track the number of individuals that walk into the office and the purpose of their visit. The ESS is designed to improve customer service by enhancing interoffice communication. The ESS also generates performance reports that collect data on the types of services provided by the program.

3. IT Security and Compliance

- Deployed Citrix NetScaler solution in April 2015 and integrated it with the DUO Security software application that provides a user-friendly, highly secure remote access environment.
- Conducted and supported multiple internal and external audits throughout 2015. The auditing exercises are used to enhance the Courts' information security posture and minimize security risks.

- Launched the Security Awareness Training Program in June 2014 and April 2015. In June 2014, the IT Division conducted a courtwide Security Awareness Training Program that consisted of online training and a quiz. All judicial and court staff were required to pass the quiz in order to continue to use the Courts' computer systems. In addition to conducting two court-wide cyber security awareness training sessions in April 2015, the IT Division also launched a mock phishing attack exercise in May using commercially available software tools to evaluate the Courts' level of susceptibility in a safe, controlled manner.

4. IT Service Improvement

- ITIL implementation commenced in 2015. ITIL, formerly known as the Information Technology Infrastructure Library, is a set of best practices for IT service management (ITSM) that focuses on aligning IT services with business needs. An organization that practices the concepts of the ITIL framework is more efficient and effective and delivers high quality work to its user community. As an effort to improve IT services, during FY 2014 and FY 2015, most of the IT managers participated in ITIL Foundation training. Additionally, the Court contracted with a company called "Beyond20" to conduct an analysis of the Division's ITIL readiness. The resulting gap analysis and roadmap clearly outline the path to ensure greater IT Division effectiveness. While the IT Division is working on the "quick wins" that were identified in the roadmap, it is planning Phase II, which involves maturing six particular ITIL processes that will offer the largest area of improvement in IT services.

5. IT Infrastructure

- Voice over Internet Protocol (VoIP) Expanded throughout 2015.

By September 2014, VoIP technology had been extended to Building A, Building B, and the D.C. Court of Appeals. Efforts are currently underway to assess the entire D.C. Courts telephonic infrastructure and design a comprehensive enterprise-wide VoIP solution. Implementation is expected to commence in September 2015. Benefits of VoIP include reduced capital costs, decreased telecommunications costs, and simplified administration efforts.

- Network and Directory Services Project to be implemented in September 2015

The IT Division is currently working with the D.C. Court of Appeals to implement an infrastructure solution that will allow the two Courts to securely share data resources on an as-needed basis across the network.

- Upgraded the Disaster Recovery (DR) Site Equipment in February 2015

The enterprise storage system at the Courts' DR site hardware upgrade has been successfully completed and existing DR servers have been upgraded as well. Upgrading the existing equipment in lieu of purchasing new servers provides considerable cost savings while continuing to meet the Courts' IT disaster recovery objectives.

- End-user Computing Modernization Project, first phase implementation in June 2015

Currently underway, the End-user Computing Modernization Project consists of replacing end-of-life workstations/computers for court staff with a combination of two innovative solutions— Dell All-in-One (AIO) devices and WYSE Smart Clients, using virtual desktop infrastructure (VDI) technology. The AIO devices primarily provide a more robust and compact computing environment for users. In addition to these benefits, the VDI solution also adds value in other ways, such as allowing judicial officers and others with more than one duty station (e.g. chambers and courtroom) to have a consistent desktop experience; allowing courtroom clerks to utilize any courtroom computer without a need to locally store multiple profiles; and allowing users to securely and conveniently connect to their desktops from anywhere, including from outside the network.

- Digital Signage, throughout 2015

The IT Division participated in the expansion of digital signage to enhance access to court information. The Family Division added new monitors to display informational videos. They also added a monitor that displays information for people waiting for services in the Self-Help Center. The Civil Division is now displaying docket information and next hearing date/time/information on monitors outside the Landlord & Tenant and Small Claims courtrooms. Civil also added a monitor in the waiting room of the Small Claims mediation room, enabling court users to track their place in line for mediation.

Table 1
INFORMATION TECHNOLOGY DIVISION
Key Performance Indicators

Key Performance Indicator	Data Source	FY 2014		FY 2015		FY 2016		FY 2017	
		Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
% of customer satisfaction with IT overall services	Footprints Tracking Software	80%	85%	85%	87%	90%	90%	95%	95%
% of first call resolution		35%	35%	40%	45%	45%	45%	50%	50%
% of all calls answered		90%	91%	90%	94%	95%	95%	98%	98%
% of Help Desk tickets created and documented in the tracking system		45%	45%	50%	55%	80%	80%	90%	90%
% of tickets resolved within an acceptable timeframe		85%	85%	90%	91%	95%	95%	97%	97%

FY 2017 Request

In FY 2017, the Courts request \$12,121,000 for the Information Technology Division, an increase of \$404,000 (3%) above the FY 2016 Enacted Level. The request includes \$221,000 for 3 FTEs in the Information Technology Help Desk area to support Court end users throughout the enterprise and \$183,000 for built-in cost increases.

IT Customer Service Improvements, 3 FTEs, \$221,000

IT Tier 1 Customer Service Technician, 2 FTEs (JS-9), \$138,000

IT Tier 2 Customer Service Technician, 1 FTE (JS-11), \$83,000

Introduction. Information technology customer service is a critical function and the public face of the IT Division that judges, courtroom clerks, and other end users utilize when they experience issues and difficulties in chambers, courtrooms, offices, and public areas where technology is employed.

Problem Statement. Increased IT “Help Desk” call volume, which requires timely resolution of both hardware and software issues, has caused a degradation of customer service provided to the end user community; three additional customer service technicians are required. As a result of insufficient staffing, the Tier 1 technicians who are tasked with answering and documenting the initial calls to the Help Desk (and assessing the severity of the issue) often need to assist in problem resolution tasks that cause them to physically leave the Help Desk call area. The resulting lack of responsiveness to Help Desk calls leads to poor customer service, end-user frustration, and decreased productivity. In addition, these same staff are responsible for the physical move of employee workstations and peripherals resulting from the Moultrie Courthouse Addition Project currently in progress. This requires the physical migration of court staff throughout the Moultrie Courthouse and auxiliary buildings. Due to increases in call volume and associated duties, the D.C. Courts are requesting funding for two Tier 1 Technicians and one Tier 2 Technician. The addition of these three technicians will greatly improve customer service and enhance operational efficiency.

An independent assessment by Beyond 20 of the Courts’ IT services rated the Courts at 2.15 on a 5-point scale in the area of incident management and service desk. The assessment recommended that the service desk be the single point of contact for all operational issues and that the IT Division expand its current Help Desk to become a more comprehensive customer service desk. A staffing plan was proposed, which included additional staff to meet the IT service needs of the Courts.

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

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 three Customer Service Technicians will allow the IT Division to meet three of its strategic objectives, which are to:

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

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

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

Expenditure Plan. Funds will be used to hire two employees at the JS-9 level and one employee at the JS-11 level in accordance with the Courts' Personnel Policies.

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

Table 3
INFORMATION TECHNOLOGY DIVISION
New Positions Requested

Position	Grade	Number	Salary	Benefits	Total Personnel Costs
Tier I Tech (Help Desk)	JS-9	2	108,000	30,000	138,000
Tier II Tech (Help Desk)	JS-11	1	65,000	18,000	83,000
Total		3	173,000	48,000	221,000

Table 4
INFORMATION TECHNOLOGY DIVISION
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	6,688,000	6,934,000	7,210,000	276,000
12 - Personnel Benefits	1,872,000	1,946,000	2,018,000	72,000
Subtotal Personal Services	8,560,000	8,880,000	9,228,000	348,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	426,000	435,000	444,000	9,000
24 - Printing & Reproduction	26,000	27,000	28,000	1,000
25 - Other Services	1,749,000	1,783,000	1,817,000	34,000
26 - Supplies & Materials	169,000	173,000	177,000	4,000
31 - Equipment	411,000	419,000	427,000	8,000
Subtotal Nonpersonal Services	2,781,000	2,837,000	2,893,000	56,000
TOTAL	11,341,000	11,717,000	12,121,000	404,000
FTE	63	65	68	3

Table 5
INFORMATION TECHNOLOGY DIVISION
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Position WIG	65	2,000	
	Current Position COLA		101,000	
	IT Tier I Tech (Help Desk)	2	108,000	
	IT Tier II Tech (Help Desk)	1	65,000	
<i>Subtotal 11</i>				<i>276,000</i>
12 - Personnel Benefits	Current Position WIG		1,000	
	Current Position COLA		23,000	
	IT Tier I Tech (Help Desk)		30,000	
	IT Tier II Tech (Help Desk)		18,000	
<i>Subtotal 12</i>				<i>72,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Comm. & Utilities	Built-in Increases			9,000
24 - Printing & Reproduction	Built-in Increases			1,000
25 - Other Service	Built-in Increases			34,000
26 - Supplies & Materials	Built-in Increases			4,000
31 - Equipment	Built-in Increases			8,000
Total				404,000

Table 6
INFORMATION TECHNOLOGY DIVISION
Detail of Full-Time Equivalent Employment

	2015 Enacted	2016 Enacted	2017 Request
JS-6			
JS-7			
JS-8	8	8	8
JS-9	2	2	4
JS-10	2	2	1
JS-11	2	4	6
JS-12	1	1	2
JS-13	36	36	35
JS-14	8	8	8
JS-15	1	1	1
CEMS	2	2	2
CES	1	1	1
Total Salary	6,688,000	6,934,000	7,210,000
Total FTEs	63	65	68

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
5	801,000	5	814,000	5	830,000	0	16,000

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 2017 Request

In FY 2017, the Courts request \$830,000 for the Office of the General Counsel, an increase of \$16,000 (2%) above the FY 2016 Enacted Level. The requested increase consists entirely of built-in cost increases.

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

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	615,000	624,000	634,000	10,000
12 - Personnel Benefits	173,000	175,000	179,000	4,000
Subtotal Personal Services	788,000	799,000	813,000	14,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	9,000	10,000	11,000	1,000
31 - Equipment	4,000	5,000	6,000	1,000
Subtotal Nonpersonal Services	13,000	15,000	17,000	2,000
TOTAL	801,000	814,000	830,000	16,000
FTE	5	5	5	0

Table 2
OFFICE OF THE GENERAL COUNSEL
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Positions WIG	5	2,000	
	Current Positions COLA		8,000	
Subtotal 11				10,000
12 - Personnel Benefits	Current Positions WIG		2,000	
	Current Positions COLA		2,000	
Subtotal 12				4,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies and Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Total				16,000

Table 3

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

Grade	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	1	1	1
JS-11			
JS-12			
JS-13			
JS-14	2	2	1
JS-15	1	1	2
CES	1	1	1
Total Salaries	615,000	624,000	634,000
Total FTEs	5	5	5

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

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference FY 2016/FY 2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
12	1,548,000	12	1,600,000	12	1,637,000	0	37,000

Mission Statement

The Strategic Management Division’s mission is to provide innovative strategies and evidence based information to develop policies, enhance the administration of justice, and improve the quality of services at the D.C. Courts.

Organizational Background

The Strategic Management Division leads and coordinates efforts to build the Courts’ capacity to develop, execute, and evaluate strategy and performance of its mission to serve the public. The Division was created in 2014 through a re-organization and consolidation of the D.C. Courts’ former Office of Strategic Management and Research and Development Division. With this merger, the Courts have integrated planning, analysis, research, and performance measurement in one division, enabling all functions to interface seamlessly with one another and to maintain a strategic focus. This re-structuring represents an important step in the Courts’ continuing efforts to deliver the highest quality of justice to the community we serve and to deliver high performance in all aspects of our services and operations as a public institution.

Core services of the Division include strategic planning and development, research and evaluation, performance measurement, policy and data analysis, and business analytics services that enable judges and court administrators to make decisions based on evidence and best practices and facilitate the Courts’ performance monitoring and accountability to the public as the District’s judicial branch.

The Strategic Management Division directly supports Goal 5 of the Courts’ Strategic Plan, *Public Trust and Confidence*. The Plan identifies the following strategies to enable the Courts to be accountable to the public, thereby fostering trust and confidence in the Judicial Branch:

1. Ensure that appropriate programs and services are available to the public by monitoring changing demographics, seeking community input, and implementing best practice strategies.
2. Ensure the effectiveness of court operations by establishing performance measures, monitoring results, and evaluating programs and services.
3. Operate transparently by making caseload information, financial reports, budgets, and program assessments readily available.

The Strategic Management Division supports the first strategy by conducting research on local and national social, demographic, economic, technological, justice system and other trends and issues affecting the Courts. The Division also collaborates with court divisions and committees to seek grants and to conduct surveys, focus groups and other outreach to gather input from court users and stakeholders that can be used to develop new projects and to evaluate and improve court services and inter-agency collaboration.

The Strategic Management Division supports the second strategy by working with court leadership to identify organizational performance measures that align with the Strategic Plan, to ensure that measures are meaningful and focused on outcomes of importance to the public, and to assist divisions in developing data collection procedures that adhere to quality standards and are cost-effective. The Strategic Management Division also designs and implements rigorous research studies, program evaluations, data, policy, and business process analyses to develop or evaluate court programs, services and operations.

The Strategic Management Division supports the third strategy, to operate transparently, by working to promote the availability and use of data to inform decision-making and by preparing statistical reports, performance reports, research and evaluation reports, and other information that can be shared and analyzed by decision-makers and others. The Division is co-leading a business intelligence program with the Information Technology Division which will expand the ready availability of data through an enterprise data warehouse.

Division MAP Objectives

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

1. To ensure the D.C. Courts employ a robust and inclusive court-wide strategic planning process by developing targeted, systematic approaches to gather input from court stakeholders to inform the 2018-2022 Strategic Plan;
2. To assist court divisions and committees in developing strategic objectives and performance measures (MAPs) that align with the Courts' Strategic Plan and enterprise performance metrics;
3. To plan and facilitate strategy planning, execution, and performance review sessions among court leaders by providing information and data, analyses, and recommendations regarding goals, performance measures, outcomes and results;
4. To foster strategic development initiatives by working collaboratively with divisions and committees to conceptualize and design court improvement projects and new processes, programs or services;
5. To lead and coordinate the Courts' grant-seeking initiatives to leverage development opportunities that align with the Courts' mission and strategic goals;

6. To elevate the role and uses of research and evaluation in court planning, operations, and administration by implementing a proactive research program that is aligned with the Courts' strategic agenda and that meets the needs of court divisions;
7. To promote collaborative partnerships with and advise independent research organizations to support research and evaluation initiatives that will enhance the Courts' mission and goals;
8. To deliver just-in-time analyses, reports and recommendations that support informed judicial and executive decision-making;
9. To develop and implement an organizational performance management function that systematically assesses court performance, reports results, and makes recommendations to court leadership to enhance court performance and service to the public;
10. To promote a results- or outcome-based organizational culture including the institutionalization of performance standards and monitoring and reporting of performance results.

Accomplishments

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

- Designed and executed defender services payment study to support budgeting process by Budget and Finance Division;
- In collaboration with the Probate Division, successfully sought grant funding to enable the District of Columbia to participate in the National Guardianship Network's Working Interdisciplinary Networks of Guardianship Stakeholders (WINGS) initiative, which establishes a multi-agency group of stakeholders to provide a coordinated community response to families and individuals facing guardianship issues;
- Designed and executed evaluation of Courts' pilot Flexplace program and served on Flexplace Pilot Implementation Committee;
- Oversaw process evaluation of Community Court Expansion Project which was completed in December;
- Oversaw process evaluation of Adult Drug Court which was completed in May;
- Continued to work with the Chief Judge's monthly Performance Standards Committee to enhance performance measurement and improvement within Superior Court, by planning monthly committee meetings, developing procedures and reports to track judicial post-disposition workload, working with divisions to develop case management plans, and assisting divisions with developing performance data presentations;

- Collaborated with the Information Technology Division to continue implementation of the Courts' Business Intelligence program, designed to enhance information and data management, performance analysis, executive decision-making, and public accountability;
- Worked with court divisions to identify key performance indicators and other business requirements as well as to enhance data quality for business intelligence dashboards and performance reports;
- Worked with court divisions to compile annual caseload statistics and prepare Courts' Annual Statistical Summary;
- Compiled data for and wrote Family Court Annual Report, in collaboration with staff of the Family Court;
- Prepared grant applications for the Court Improvement Project which were approved, ensuring the continuation of the Child Welfare Legal Clinic at Howard University School of Law and the Preparing Youth for Adulthood initiative in collaboration with CASA for Children of DC. Grant funds also supported the continued enhancement of legal skills for attorney in child welfare cases.
- Compiled information from divisions and developed Mid-Point Accomplishments report, highlighting Courts' progress to date in implementing 2013-2017 Strategic Plan;
- Continued teaching classes for new employees and providing briefings to judges to integrate strategic management as a core business process;
- Completed facilitated team-building and visioning/management action planning sessions with staff to build team identity and commitment to shared mission.

Restructuring

The Strategic Management Division completed a management action planning process which resulted in a new mission and set of objectives for the team. In accordance with the Division's new mission and objectives, a new staffing plan was developed for the division, position descriptions were updated for current staff, and new position descriptions were developed for several existing FTEs that were vacant pending a lifting of the hiring freeze in 2014 and the completion of a Division Management Action Plan.

While Division staff each have their primary areas of expertise, the Division performs its work cross-functionally to optimize collaboration and creativity. Project teams are assembled based upon the skill requirements and workloads of staff.

Workload and Performance Measures

The Strategic Management Division establishes and monitors performance metrics for its functional areas (strategic planning and development, research and evaluation, and

organizational performance management) on a project by project basis, depending upon the particular goals and requirements of the work. Generally, the Division monitors the quality of work products in terms of: 1) accuracy; 2) responsiveness to requirements of requestor; 3) adherence to accepted professional standards and Division protocols; 4) adherence to management directives; in addition to quality measures the Division monitors 5) whether work products were produced in compliance with any budgetary limits, the 6) efficiency of resources used in completing deliverables, and the 7) timeliness of submission of deliverables.

FY 2017 Request

For FY 2017, the Courts request \$1,637,000 for the Strategic Management Division, an increase of \$37,000 (2%) over the FY 2016 Enacted Level. The request consists entirely of built-in cost increases.

Table 1
STRATEGIC MANAGEMENT DIVISION
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	1,149,000	1,216,000	1,242,000	26,000
12 - Personnel Benefits	358,000	340,000	348,000	8,000
Subtotal Personal Services	1,507,000	1,556,000	1,590,000	34,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	31,000	32,000	33,000	1,000
26 - Supplies & Materials	5,000	6,000	7,000	1,000
31 - Equipment	5,000	6,000	7,000	1,000
Subtotal Nonpersonal Services	41,000	44,000	47,000	3,000
TOTAL	1,548,000	1,600,000	1,637,000	37,000
FTE	12	12	12	0

Table 2
STRATEGIC MANAGEMENT DIVISION
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Current Position WIG	12	7,000	
	Current Position COLA		19,000	
<i>Subtotal 11</i>				<i>26,000</i>
12 - Personnel Benefits	Current Position WIG		2,000	
	Current Position COLA		6,000	
<i>Subtotal 12</i>				<i>8,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service	Built-in Increases			1,000
26 - Supplies & Materials	Built-in Increases			1,000
31 - Equipment	Built-in Increases			1,000
Total				37,000

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

	2015 Enacted	2016 Enacted	2017 Request
JS-6			
JS-7	1	1	1
JS-8			
JS-9			1
JS-10	1	1	
JS-11			1
JS-12	5	3	2
JS-13	2	4	2
JS-14	1	1	3
JS-15	1	1	1
CEMS			
CES	1	1	1
Total Salary	1,149,000	1,216,000	1,242,000
Total FTEs	12	12	12

**DISTRICT OF COLUMBIA COURT SYSTEM
MANAGEMENT ACCOUNT**

<u>FY 2015 Enacted</u>		<u>FY 2016 Enacted</u>		<u>FY 2017 Request</u>		<u>Difference</u> <u>FY 2016/FY 2017</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
0	23,539,000	0	24,926,000	0	25,403,000	0	477,000

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

FY 2017 Request

In FY 2017, the D.C. Courts request \$25,403,000 for the Management Account, an increase of \$477,000 (2%) over the FY 2016 Enacted Level. The requested increase consists entirely of built-in cost increases.

Table 1
MANAGEMENT ACCOUNT
Budget Authority by Object Class

	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request	Difference FY 2016/2017
11 - Personnel Compensation	239,000	245,000	253,000	8,000
12 - Personnel Benefits	252,000	266,000	268,000	2,000
<i>Subtotal Personal Services</i>	<i>491,000</i>	<i>511,000</i>	<i>521,000</i>	<i>10,000</i>
21 - Travel, Transp. of Persons	121,000	124,000	127,000	3,000
22 - Transportation of Things	4,000	5,000	6,000	1,000
23 - Rent, Comm. & Utilities	8,653,000	8,918,000	9,088,000	170,000
24 - Printing & Reproduction				
25 - Other Services	10,777,000	10,980,000	11,189,000	209,000
26 - Supplies & Materials	300,000	306,000	312,000	6,000
31 - Equipment	3,193,000	4,082,000	4,160,000	78,000
<i>Subtotal Nonpersonal Services</i>	<i>23,048,000</i>	<i>24,415,000</i>	<i>24,882,000</i>	<i>467,000</i>
TOTAL	23,539,000	24,926,000	25,403,000	477,000
FTE	0	0	0	0

Table 2
MANAGEMENT ACCOUNT
Detail, Difference FY 2016/2017

Object Class	Description of Request	FTE	Cost	Difference FY 2016/2017
11 - Personnel Compensation	Built in increase			8,000
12 - Personnel Benefits	Built in increase			2,000
21 - Travel and Transportation	Built in increase			3,000
22 - Transportation of Things				1,000
23 - Rent, Comm. & Utilities	Built in increase			170,000
24 - Printing & Reproduction				
25 - Other Services	Built in increase			209,000
26 - Supplies and Materials	Built in increase			6,000
31 - Equipment	Built in increase			78,000
TOTAL				477,000

**District of Columbia Courts
FY 2017 Budget Justification
New Positions Requested by Grade**

Position	Division	Grade	Number	Annual Salary	Benefits	Total Personnel Cost
COURT OF APPEALS						
Staff Attorney		JS-12	1	78,000	22,000	100,000
IT Specialist		JS-12	1	78,000	22,000	100,000
<i>Court of Appeals Subtotal</i>			2	156,000	44,000	200,000
SUPERIOR COURT						
Deputy Director	Special Operations	JS-15	1	129,000	36,000	165,000
Attorney Advisor	Family Court Social Services	JS-13	1	93,000	26,000	119,000
Supervisory Probation Officer	Family Court Social Services	JS-13	1	93,000	26,000	119,000
Self-Help Center Program Manager	Probate	JS-13	1	93,000	26,000	119,000
Self-Help Center Supervisory Small Estate Specialist	Probate	JS-12	1	78,000	22,000	100,000
Self-Help Center Paralegal	Probate	JS-9	2	108,000	30,000	138,000
Deputy Clerk	Family Court Social Services	JS-6	3	119,000	33,000	152,000
Deputy Clerk	Multi-Door	JS-6	2	79,000	22,000	101,000
Quality Assurance Deputy Clerk	Probate	JS-6	3	119,000	33,000	152,000
Self-Help Center Deputy Clerk	Probate	JS-6	1	40,000	11,000	51,000
<i>Superior Court Subtotal</i>			16	951,000	265,000	1,216,000
COURT SYSTEM						
Education Specialist	Center for Education and Training	JS-11	1	65,000	18,000	83,000
Tier II Tech (Help Desk)	Information Technology	JS-11	1	65,000	18,000	83,000
Tier I Tech (Help Desk)	Information Technology	JS-9	2	108,000	30,000	138,000
<i>Court System Subtotal</i>			4	238,000	66,000	304,000
D.C. COURTS TOTAL			22	1,345,000	375,000	1,720,000

**DISTRICT OF COLUMBIA COURTS
CAPITAL BUDGET JUSTIFICATION**

District of Columbia Courts - Fiscal Year 2017 Budget Justification Summary <i>(dollars in millions)</i>	PY-1 and earlier	PY 2015	CY 2016	BY 2017	BY+1 2018	BY+2 2019	2020 and beyond*	Total, unfunded amounts (sum 2017 - beyond)
Renovations, Improvements & Expansions								
H. Carl Moultrie I Courthouse								
Moultrie Courthouse Addition	40.44	26.19	45.29	83.14	15.21	0.00	0.00	98.34
Campus Security, Signage & Lighting	9.15	0.00	0.00	8.99	15.55	12.91	15.76	53.20
Trial Court Case Management System	0.00	0.00	0.00	14.35	3.04	0.97	2.40	20.76
Subtotal	49.59	26.19	45.29	106.48	33.79	13.88	18.16	172.31
Maintain Existing Infrastructure								
HVAC, Electrical and Plumbing Upgrades*	5.43	6.42	5.05	16.43	11.34	12.29	15.18	55.23
Restroom Improvements*	0.00	1.21	0.00	0.92	0.47	0.49	0.65	2.53
Fire and Security Alarm Systems*	1.36	0.27	0.00	2.60	1.54	2.40	14.79	21.32
General Repair Projects*	12.67	5.97	10.00	21.14	11.32	13.02	19.96	65.44
Elevator and Escalator Repairs and Replacement*	0.00	0.25	0.25	0.30	0.29	1.58	0.00	2.18
Technology Infrastructure*	1.50	2.00	1.00	4.87	3.51	3.65	6.00	18.03
Restoration of the Historic Courthouse*	0.50	0.45	1.00	1.22	1.17	1.22	1.50	5.11
510 4th Street NW Modernization*	0.00	1.00	0.00	2.04	19.13	0.00	0.00	21.16
Subtotal	21.46	17.57	17.30	49.52	48.76	34.64	58.08	288.86
Projects Not Requiring Funding in FY 2017								
H. Carl Moultrie I Courthouse								
Renovation & Reorganization	32.39	0.00	0.00	0.00	11.94	5.94	1.62	19.50
Courtrooms and Judges Chambers	39.54	0.00	0.00	0.00	12.29	18.12	115.92	146.32
410 E. Street NW Modernization	43.54	0.00	0.00	0.00	0.00	0.00	0.00	0.00
515 5th Street NW Modernization	0.00	0.13	0.00	0.00	2.41	9.83	0.00	12.24
Northeast Garage	0.00	0.00	0.00	0.00	2.05	1.82	45.02	48.89
Subtotal	115.47	0.13	0.00	0.00	28.69	35.71	162.56	226.96
Total	186.52	43.89	62.59	156.00	111.25	84.23	238.80	688.13

NOTE:

* For projects to Maintain Existing Infrastructure, amounts listed under "PY-1 and earlier" and "2020 and beyond" represent one year of funding, as these are ongoing projects.

Introduction: Budget Narrative

The District of Columbia Courts process over 100,000 cases each year and employ a staff of 1,300 who directly serve the public, process the cases, and provide administrative support. To effectively meet these demands, the Courts' facilities must be both functional and emblematic of its public significance and character. The FY 2017 Capital Budget seeks to address these issues comprehensively.

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.

The D.C. Courts differ from the U.S. Federal Courts in critical areas.

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

In preparing the FY 2017 capital budget request, the Courts carefully assessed the capital requirements essential to performing our statutory and constitutionally mandated functions. The Courts' request for capital funding in FY 2017 supports critical priority goals that are aligned with the National Strategy for the Efficient Use of Real Property that was released by OMB in March of 2015. This funding request supports improved utilization in our courthouses, consolidation/co-location of vital business functions, and cost effective use of owned properties rather than the continued use of high-cost and less secure leased space. The capital projects in this request directly support the need to address (1) dynamic space requirements, including the Family Court consolidation as mandated by Congress; (2) essential public health and safety conditions in busy, visitor-centric buildings, such as the H. Carl Moultrie Courthouse, with more than 10,000 visitors per day; and (3) efficient capital investments that increase building resiliency, enhance sustainability, and avoid substantially increased costs by phasing and implementing projects according to industry leading practices.

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. In 2004, the District government vacated 410 E Street N.W., returning this building to the D.C. Courts' inventory. The Courts brought the building into code compliance while modernizing the building to create a more flexible and highly functional workplace. This LEED Gold-certified historic restoration is now fully occupied, and is exemplary of the Courts' capabilities to maximize the return on taxpayer investments.

The D.C. Courts have dedicated significant time and resources to enhancing and supporting the administration of justice, as well as creating and maintaining a healthy and safe 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. As these projects are implemented, the Courts utilize small business entities as part of a commitment to enhancing economic opportunities for the local community.

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 at 515 5th (Building A), 510 4th (Building B), and 410 E Streets (Building C), dating from the 1930's, are situated symmetrically along the view corridor comprised of the National Building Museum, 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 historic green spaces in the District of Columbia awaiting revitalization. The Master Plan incorporates civic green space and new pedestrian paths to create a campus-like environment that is fully integrated into the growing residential community. Judiciary Square continues to become a place where citizens can feel safe and secure at any hour, day or night; whether on campus conducting Court business or travelling to nearby destinations.

The intent of the site design for the D.C. Courts Campus is to restore or protect the open spaces with native or adapted vegetation to provide habitat and promote biodiversity. The plans also limit or eliminate the use of potable water or other natural surface or subsurface water resources available on or near the project site for landscape irrigation.

Master Plan for D.C. Courts Facilities

In 2001, the D.C. Courts developed the Master Plan for D.C. Courts Facilities, which delineated the Courts’ space requirements and provided a blueprint for optimal space utilization through co-location and consolidation into lower cost owned facilities. An update of the Facilities Master Plan was completed November 2013 to review the recommendations of previous versions of the plan while taking into account the significant facility improvements completed by the D.C. Courts as well as operational changes that have taken place since 2002.

The District of Columbia Courts Master Plan for Facilities November 2013 (Facilities Master Plan) incorporates significant research, analysis, and planning by experts in architecture, urban design and planning. The Master Plan addresses the following:

1. Accommodation of space needs through 2022 for all Court components and Court related agencies, including expansion of the trial courtroom capacity and consolidation of the Family Court as per the D.C. Family Court Act of 2001 (Public Law Number 107-114);
2. The Courts’ continued enhancements to create and maintain a healthy and safe environment within public and workplace settings;
3. Delineation of total capital requirements, schedule and phasing approach for master plan implementation;

4. Realignment of Courts' functions within the existing and proposed new Courts' facilities;
5. Continued implementation of required building code, life safety, security upgrades;
6. Accommodation of new technologies, particularly in courtrooms.

The Plan identified a space shortfall for the Courts of 57,250 square feet of space and provided recommendations for meeting this shortfall.

Overview of the D.C. Courts' Facilities

The Courts' are committed to protecting the significant public investment that has been made in its facilities. As noted in prior budget submissions, the D.C. Courts recognized the need to preserve the results of taxpayer investment in the Courts' campus. With the completion of multiple construction projects, infrastructure upgrades and enhancements, D.C. Courts' facilities are at a current level of good repair. Baselines were established in a Facilities Condition Assessment (FCA), which the Courts completed in March 2013. This document provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected replacements were identified and costs estimated for future funding requirements.

Using the Facilities Conditions Index (FCI) method, which measures the condition of an asset (building, site element, portfolio, etc.) relative to its replacement value, the D.C. Courts facilities rated good overall. Notably the Moultrie Courthouse received a fair to poor rating reflective of the yet to be completed upgrades to building infrastructure and physical environment. Cost data findings of the FCA have been used in the development of future funding requests.

Historic Courthouse

The restoration of the Historic Courthouse for use by the District of Columbia Court of Appeals, pivotal to meeting the growing space needs of the court system, was completed April 15, 2009, thanks to the support of the President and Congress. This \$130 million dollar capital project involved approval of external stakeholders including National Capital Planning Commission, Commission for Fine Arts, and D.C. State Historic Preservation Office. Numerous complex technical challenges were met with state of the art solutions bringing the project to successful conclusion on time and within budget.

Investment in this restoration has not only improved efficiencies by co-locating the offices that support the Court of Appeals, but also provided 37,000 square feet of space for renovation and reorganization in the Moultrie Courthouse. This vacated space has been renovated for the Superior Court and Court System. The restoration of the Historic Courthouse for use as a functioning court building has also preserved an historic treasure of our nation and imparted new life to one of the most significant historic buildings and precincts in Washington, D.C. The transformation of a nearly 200-year-old building into a 21st century courthouse required the integration of expanded facilities and modern systems with minimal disruption to the historic structure.

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.

515 5th Street N.W

The 515 5th Street Building, dating from the 1930's, has been renovated and currently houses the Probate Division, Crime Victims Compensation, courtrooms, and chambers. The building has been brought up to current codes with all new HVAC, lighting, fire sprinklers, and the building exterior has been refurbished to include restoration of the historic windows, replacement of exterior doors, new signage, and landscape improvements. As a result, future interior reconfigurations required by the master plan will need demolition and reconstruction funds.

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

The 510 4th Street Building, also dating from the 1930s, has been renovated and currently houses the Landlord and Tenant and Small Claims branches of the Civil Division, and the Social Services Division. The building has been brought up to current codes with all new HVAC, lighting, fire sprinklers, and the building exterior has been refurbished to include restoration of the historic windows, replacement of exterior doors, new signage, and landscape improvements. Future interior reconfigurations required by the master plan will address final occupancy fit out and relocation of Budget and Finance, Administrative Services Division, Capital Projects and Facilities Management from leased space.

410 E Street N.W. (Building C)

The 410 E Street restoration project is complete and the building is fully occupied. Occupants of 410 E Street include the D.C. Courts' Information Technology Division and Multi-Door Dispute Resolution Division. The restoration provides modern office space and brings the building into compliance with all current building, mechanical, electrical, fire, life safety, health, and accessibility codes. The restoration also preserves significant and contributing historic elements of the building. The restoration project restored 27,300 square feet of space and relocated IT and Multi-Door employees. The Courts have received a Leadership in Energy and Environmental Design (LEED®) Gold certification for this building.

Infrastructure in the Courts' Strategic Plan

The capital projects included in this request are an integral part of the Courts' Strategic Plan. The Strategic Plan articulates the mission, vision, and values of the Courts in light of current initiatives, recent trends, and future challenges. It addresses issues such as increasing cultural diversity, economic disparity, complex social problems of court-involved individuals, the increasing presence of litigants without legal representation, rapidly evolving technology, the competitive funding environment, emphasis of public accountability, competition for skilled personnel, and increased security risks.

“A Sound Infrastructure” is the Plan’s Goal 4. Court facilities must support efficient operations and command respect for the independence and importance of the judicial branch in preserving a stable community. Modern technology must be employed to achieve administrative efficiencies and enhance the public’s access to court information and services. Goal 4 of the Strategic Plan states--

Just as courts preserve and enforce the rule of law, so must our courthouses provide physical facilities and technology that serve as an appropriate foundation for a modern judicial system. Court buildings must provide sufficient, functional space for the administration of justice. Technology must meet the present and future needs of court users and the workforce. We must have proper security procedures, technology, personnel, and architectural features to protect not only the safety of the people and property within and around the courts, but also the integrity of the judicial process.

The capital budget supports this strategic goal through facilities and technology enhancements by implementing projects that meet the three objectives of Goal 4. The strategic plan states the three objectives of Goal 4 as the following:

- A. The D.C. Courts will use technology to enhance case management and information sharing.
 - 1. Enhance case processing, information management, and performance measurement and reporting through targeted technology investments;
 - 2. Employ technology to readily communicate with the public and court personnel by expanding the use of electronic and social media;
 - 3. Utilize technology to ensure timely access to court documents, proceedings, and services by expanding video and web conferencing opportunities, providing internet and online services, and employing other means to broaden accessibility of court information and services.

- B. The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.
 - 1. Ensure that court facilities are physically accessible to all persons and are easily navigable by the public through effective signage, information displays, and other means;

2. Assure that capital investments are cost-effective and that the physical environment is appropriate for operations and functional for personnel and the public through continued implementation of the Courts' Facilities Master Plan.
- C. The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.
1. Ensure the safety of persons in the courthouse by performing ongoing reviews of physical security, conducting a comprehensive annual Security Assessment, and implementing security enhancements based on risk levels and best practices;
 2. Protect the Courts' records by implementing best practices, employing technology to secure information, and conducting annual security-awareness training.

Implementing the Facilities Master Plan

Thanks to the support of the President and Congress, the Courts have made significant progress in implementing the Facilities Master Plan. Through past funding, the D.C. Courts have successfully completed the full restoration of 410 E Street (Building C), the U.S.M.S. Adult Holding, and are renovating space on the C Level of the Moultrie Courthouse.

The Moultrie Courthouse Addition represents the majority of the funding request for the FY 2017 budget. Previous funding for this project has supported design and the start of construction. The D.C. Courts have responded to partial funding in FY 2015 and FY 2016, by phasing the project into multiple activities. The D.C. Courts are now beginning the Moultrie Courthouse above ground construction with project procurement underway. Construction documents received permit approval in April 2015. Foundations were completed in March 2015, on schedule and within budget. Full funding will allow the Courts to proceed with above ground construction without further additional phasing activities that result in costly disruptions.

The Renovation & Reorganization and Courtrooms and Chambers projects have not received funding for the last four years. This has required prioritization of a series of interdependent projects that must be completed prior to construction of the Moultrie Courthouse Addition. These include security systems upgrades and expansion of the Security Control Center, the C-Level Interior Improvements, and the Second and Third Floor Courtroom Renovations. These critical path projects are now fully integrated into the phased construction schedule for the new addition.

The D.C. Courts have a successful record of accomplishment in completing large and complex projects. The restoration of the Historic Courthouse was completed on time and within budget. In addition, the project received numerous notable design and construction awards. The recently renovated LEED® Gold D.C. Courts' building at 410 E Street (Building C) was also completed on time and within the budget as approved by Congress. The D.C. Courts have been diligently engaged in effective management of the facilities portfolio. Through implementation of the Facilities Master Plan, past renovations have resulted in improved utilization of existing facilities.

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

Notwithstanding the success of these efforts, the D.C. Courts are over capacity. To meet this challenge the D.C. Courts have explored multiple temporary options to satisfy this need, including co-locating with city agencies, transferring assets to the Courts' portfolio and relying on market rate leased space to meet program demands. The cost of leased space is an uncontrollable long-term expense, as new rental rates for a renegotiated lease are subject to increases to meet current market rates. In addition, many landlords will put restrictions on Court usage as part of the lease terms. The strategic requirement of being co-located on a central campus can only be met with expansion of existing facilities.

H. Carl Moultrie I Courthouse

Moultrie Courthouse Addition

The D.C. Courts have completed planning and pre-design services for the Moultrie Courthouse Addition. This is a six-story addition to the south face of the Courthouse starting at the C level and rising to the 4th floor. The Addition will add and renovate approximately 175,000 GSF of space to the Courts' inventory offsetting the future loss of leased space at Gallery Place and providing for Courts' growth. The design program includes six criminal-capable courtrooms, twenty associate judge chambers, social services and family court related offices and juror facilities. The Courts will be seeking LEED® Platinum Certification of the project. This project will address security issues, energy efficiency, and environmental principles in a cost effective manner.

The Moultrie Courthouse Addition is included in the National Capital Planning Commission (NCPC) and United States Commission of Fine Arts (CFA) approved Judiciary Square Master Plan. The Concept Design for the project was approved by the CFA in 2011.

Family Court

The final phases of Family Court consolidation are now approaching the vision of the Family Court Act of 2001 with the Moultrie Courthouse Addition. The C Level Northwest Renovation, a major precursor project to the Addition, is now under construction. The Addition is planned to house the remaining Social Services branches currently located in 510 4th Street (Building B). The completion of these projects will satisfy the requirements of the Family Court mandate.

Courtrooms and Judges Chambers

Due to budget constraints, these projects have been deferred and no major milestones have been achieved recently.

Life Safety

The D.C. Courts continue to make significant progress in addressing life safety upgrades in the

Moultrie Courthouse. The Moultrie Courthouse, built in the 1970s, does not meet today's life safety building standards, such as the inadequate fire sprinkler system. With each renovation project, sprinkler systems are being installed and overall building coverage has increased, improving life safety and bringing the building closer to the goal of current code compliance.

Infrastructure

The HVAC, electrical, and plumbing upgrade project will ensure that health and safety concerns for the public and the Courts' personnel are addressed in all of the Courts' buildings, and will enable the Courts to make much needed heating, ventilation, air conditioning, mechanical, plumbing and electrical improvements. The D.C. Courts have purchased new switchgear equipment and emergency generators that will service the Moultrie Courthouse. This multiyear installation is complete to include both new equipment and distribution systems and the replacement of panels throughout the building.

Improved Energy Efficiency

Implementation of the Facilities Master Plan has resulted in numerous improvements to the energy efficiency of existing Court buildings and building systems. The Historic Courthouse has been designed and renovated to meet LEED[®] Silver standards for sustainability. In 515 5th Street (Building A) and 510 4th Street (Building B), the replacement of exterior doors and windows has improved the building enclosures, resulting in significant reduction of energy loss. The replacement of mechanical systems in these same buildings has resulted in more efficient energy use as well. Building 410 E Street (Building C) was designed, constructed and achieved LEED[®] Gold certification.

Recent and current projects in the Moultrie Courthouse will improve energy efficiency. Additional equipment replacements, such as replacement of all the air handler units for the Moultrie Courthouse and the U.S. Marshals Service HVAC improvement project have both resulted in more efficient energy consumption. Replacement of the steam station system that provides hot water and heat is also conserving energy. Also in the Moultrie Courthouse, all perimeter windows and glass doors have been re-gasketed to dramatically reduce energy loss. In addition, in the Moultrie Courthouse, a new solar reflective and insulated roof has improved energy efficiency and reduced solar heat gain. The adjacent skylight replacement project has also improved energy efficiency by significantly reducing solar heat gain and loss of conditioned air through exfiltration. Notably, this project was completed on schedule, within budget and with minimal disruption to Courts' operations.

The D.C. Courts continue to hold greater energy efficiency as a goal as future projects are implemented. The Moultrie Courthouse Addition will also seek LEED[®] Platinum certification. The Moultrie Courthouse renovation and reorganization project includes re-design and replacement of all lighting fixtures with energy efficient fixtures. Planned replacement of electrical switchgear and related distribution equipment with high efficiency units will contribute to improved energy performance. In addition, energy conservation measures will be the standard in upcoming courtrooms and chambers renovations.

Capital Funding in FY 2017

As the Courts progress through implementation of the Facilities Master Plan, the Courts' older buildings in Judiciary Square—the Historic Courthouse, 515 5th Street (Building A), 510 4th Street, (Building B) and 410 E Street (Building C) — have all been renovated. Currently and over the next several years, the Moultrie Courthouse, the Courts' largest building by far, will be the focus of most of the Courts' capital projects.

The Moultrie Courthouse Addition project, now underway, will address space needs by constructing 111,700 gross square feet of space. The new construction will contain six trial courtrooms that meet standards for criminal proceedings, twenty judicial chambers, and Court office space. The project will also include a significant amount of site-work, landscaping, street-work, and perimeter security. The scope will include replacement of underground utilities, a new curb line, bio-retention tree pits, entry drives, and handicap ramps, stationary and pop up vehicle security barriers and an exterior security monitoring and access system. 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 two sections. The first section includes projects to renovate, improve, and expand court facilities, as specified in the Master Plan for Facilities, and the second section includes projects necessary to maintaining the existing infrastructure. Projects have been divided into phases to the extent practicable.

The FY 2017 capital request focuses on the Moultrie Courthouse, safety and security, and building maintenance. The Courts' capital budget request totals \$156 million.

A significant portion of the FY 2017 capital budget request, \$83.14 million, finances the eastern half of the Moultrie Courthouse Addition. Construction of the foundation for the addition was completed in March 2015, and funds to complete the western half of the addition are included in the FY 2016 budget. This addition will add 57,250 occupiable square feet of space to the Moultrie Courthouse and expand the building along the south façade at C Street.

The Courts, like many public institutions, face security threats to ongoing operations, where 10,000 members of the public enter our buildings each day. In addition, the Courts face unique security risks due to the presence of hundreds of prisoners in the Moultrie Courthouse as well as over 100 individual judges whose personal safety is increasingly at risk. The Courts' request

includes \$8.99 million to improve physical safety through perimeter security enhancements, and lighting/signage upgrades.

To replace the Superior Court case management system, which has reached the end of its expected life and is becoming increasingly difficult and costly to maintain, \$14.35 million is requested. The case management system is the foundation of court operations—fundamental to fair and timely case resolution and required to ensure public trust and confidence in the justice system. The new system will be web-based, enhancing public access to court information, and will be designed to leverage new technology, such as cloud computing.

The capital budget also includes a request for \$49.52 million to maintain and upgrade the Courts' facilities. A Facilities Condition Assessment (FCA) was conducted to analyze life cycle and maintenance needs for each of the court buildings. Mechanical systems and structural repairs are needed to ensure the safety of building occupants and preserve the integrity of these historic structures. The Courts request \$16.43 million for the HVAC, Electrical, and Plumbing Upgrades to continue to upgrade electrical systems and to replace the HVAC equipment as components reach the end of their useful life throughout the campus. To create new public restrooms in the Moultrie Courthouse, \$920,000 is requested. The \$2.6 million requested for Fire and Security will finance the next phase of an ongoing program to install a sprinkler system in the Moultrie Courthouse. In addition, \$21.14 million is requested for General Repair Projects, including ADA accessibility, safety enhancements, and continued replacement of equipment, fixtures, lighting, flooring, ceiling tiles and other capital investments. To keep elevators and escalators in good working order, \$300,000 is requested. In addition, \$4.87 million is requested for technology infrastructure enhancements. Also, \$1.22 million is requested for maintenance of the Historic Courthouse, to protect the public investment in its renovation, which was completed in 2009. Finally, \$2.04 million is requested for design and preliminary work to prepare to return administrative offices from leased space to Building B.

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 2015
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Moultrie Courthouse Addition

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY 2017?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2016 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 2005
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

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

The Moultrie Courthouse addition provides a cost-effective solution for a variety of space

requirements with a primary focus on meeting space requirements identified in the Facilities Master Plan. The new addition capitalizes on the existing prisoner circulation system, which facilitates prisoner logistics and maintains physical security.

Furthermore, the addition will replace high-cost leased space at Gallery Place, while also increasing the number of trial courtrooms, chambers, and more efficient office space. The interior design of the new office space will add workplace flexibility and increase densification. In the construction of the interior space, the Courts are using a reconfigurable wall and furniture system that reduces the level of effort for future reconfigurations, thus meeting future space needs in a more cost effective manner. This project would also enable Family Court Consolidation by allowing Social Services Division's juvenile probation functions that are currently in Building B to be relocated into the Moultrie Courthouse with the Family Court.

This plan builds upon several projects, including the restoration and expansion of the Historic Courthouse, acquisition of Building C, and existing building renovations. The project is coordinated and interdependent with the Moultrie Courthouse Renovation and Reorganization as well as 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. In addition, a series of interdependent projects are prerequisite requirements to construction of the Moultrie Courthouse Addition. These include, but are not limited to, security systems upgrades and expansion of the Security Control Center, the C-Level Interior Improvements, Marriage Bureau relocation/renovation, and the Third Floor Courtroom Renovations. In future years, 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. 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

a) Contact information of Project Manager?

Name	<u>Joseph E. Sanchez</u>
Phone Number	<u>202-879-2801</u>
E-mail	<u>Joseph.Sanchez@dcsc.gov</u>

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

Name	_____
Phone Number	_____
E-mail	_____

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. PMP Certified
- (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. _____
- (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. _____
- (4) Project manager assigned but qualification status review has not yet started. _____
- (5) No project manager has yet been assigned to this investment. _____

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s) _____
- ii. System acronym _____
- iii. Unique Project Identifier (UPI) number _____
 - a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):
 - computer system security requirement; _____
 - internal control system requirement; _____
 - core financial system requirement according to FSIO standards; _____
 - Federal accounting standard; _____
 - U.S. Government Standard General Ledger at the Transaction Level; _____
 - this is a core financial system, but does not address a FFMIA compliance area; _____
 - Not a core financial system; does not need to comply with FFMIA _____

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the

investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Moultrie Courthouse Addition

Table 1.B.1: Summary of Funding								
(In millions of dollars)								
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2015	CY 2016	BY 2017	BY+1 2018	BY+2 2019	BY+3 2020 and beyond	Total unfunded (sum 2017 -beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	40.44	26.19	45.29	83.14	15.21	0.00	0.00	98.34
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	40.44	26.19	45.29	83.14	15.21	0.00	0.00	98.34
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):	40.44	26.19	45.29	83.14	15.21	0.00	0.00	98.34
TOTAL (including FTE costs)	40.44	26.19	45.29	83.14	15.21	0.00	0.00	98.34
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

1. Insert the number of years covered in the column “PY-1 and earlier” 5 (2010, 2011, 2012, 2013, 2014)
2. Insert the number of years covered in column “BY+3 and beyond” N/A
3. If the summary of funding has changed from the FY 2016 President’s Budget request, briefly explain those changes: Partially funded in FY 2015 & FY 2016 budgets

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2010-Design	2010-Construction	2016-Foundation
Contract Status	Awarded	Pre-award Pre-Solicitation	Awarded
Procurement Instrument Identifier (PIID)	CO-0013482	TBD	CPFMD-13-0712
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	CPFMD-12-0802	TBD	CPFMD-13-0712
Alternative financing	No	No	No
EVM Required	NA	YES, Courts’ Standard	YES, Courts’ Standard
Ultimate Contract Value	\$3.6M	NA	\$6.92 M
Type of Contract/Task Order (Pricing)	Fixed	Fixed	Fixed
Is this contract a Performance Based Service Acquisition (PBSA)?	Yes	No	No
Effective Date	Quarter 4 FY 2012	Quarter 1 FY 2015	Quarter 1 FY 2014
Actual or expected end date of Contract/Task Order	Quarter 4 FY 2013	Quarter 1 FY 2019	Quarter 2 FY 2015
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not	D	A	A

competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			
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Field	Contract 4	Contract 5	Contract 6
Short description of acquisition	2010-3 Family Court/Marriage Bureau	2013-1 C Level Northwest Renovation	
Contract Status	Awarded	Awarded	
Procurement Instrument Identifier (PIID)			
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	
Solicitation ID	CPFMD-15-1202	CPFMD-14-0418	
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 3 FY 2015	Quarter 1 FY 2015	
Actual or expected end date of Contract/Task Order	Quarter 1 FY 2016	Quarter 4 FY 2016	
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 Yes X No

that follow:

- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No
- d) If "yes," enter the date of approval? 2011
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No
- g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

- 1. Was an Alternatives Analysis conducted (yes/no)? Yes, in the D.C. Courts Master Plan for Facilities 2002 and updated in 2013

- 2. If an Alternatives Analysis was conducted, answer the following questions.
 - a) What is the date of the analysis? November 2013
 - b) How many alternatives were considered? Three
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? Yes
 - d) Briefly summarize the rationale for the selected alternative. Consolidating the Family Court within the 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

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 1, B2: Fair & Timely Case Resolution Goal 4, B1: Sound Infrastructure	Facilities have not been updated in 35 years.	Six additional criminal courtrooms	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B1: Sound Infrastructure	Facilities underserved	Complying with current building code.	N/A
2013-2017	Goal 4A: Sound	Facilities have late	Improved judicial	N/A

Strategic Plan of the D.C. Courts	Infrastructure	1970's technology	control of technologies in the courtroom	
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	Grade level air intake	Roof level air intake	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4: Sound Infrastructure	NA	LEED® Certification for the Addition	N/A
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	Existing courthouse not designed for progressive collapse prevention.	Structure of the addition will be designed to prevent progressive structural collapse.	N/A

Section D: Earned Value Management – Design

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$M		\$3.70
Planned Value (PV)	\$M		\$3.70
Earned Value (EV)	\$M		\$3.70
Actual Costs (AC)	\$M		\$3.70
Cost Variance (CV)	\$M	$CV = EV - AC$	\$0.00
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	0%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	1.00
Schedule Variance (SV)	\$M	$SV = EV - PV$	-
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	0%
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.0
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$3.70
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$0.00
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	0%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	100%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	100%
Estimated Completion Date	Date	mm/dd/yy	October 31, 2014

Section D: Earned Value Management – Foundation

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$M		\$7.37

Planned Value (PV)	\$M		\$7.30
Earned Value (EV)	\$M		\$7.30
Actual Costs (AC)	\$M		\$7.35
Cost Variance (CV)	\$M	$CV = EV - AC$	0.00
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	-1%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	0.99
Schedule Variance (SV)	\$M	$SV = EV - PV$	\$0.00
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	0%
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.0
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$7.42
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$-0.05
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	-1%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	99%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	100%
Estimated Completion Date	Date	mm/dd/yy	March 30, 2015

Section D: Earned Value Management – C Level Northwest Renovation

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$M		\$8.30
Planned Value (PV)	\$M		\$1.04
Earned Value (EV)	\$M		\$1.04
Actual Costs (AC)	\$M		\$1.14
Cost Variance (CV)	\$M	$CV = EV - AC$	-\$0.10
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	-10%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	0.91
Schedule Variance (SV)	\$M	$SV = EV - PV$	\$0.00
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	0%
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.00
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$9.10
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	-\$0.80
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	-10%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	13%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	14%
Estimated Completion Date	Date	mm/dd/yy	September 30, 2016

1. Explanations:

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis _____
 - b) Briefly summarize the results of the analysis _____
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation This investment does not include O&M activity.
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2015
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Campus Security, Signage, and Lighting

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY 2017?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2016 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 of the investment and justification, 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, have begun 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 and C.

The Courts have commenced work on the new central secure mail screening facility at 515

5th Street NW. This new location is in a building with vehicle access and away from high traffic areas in the Moultrie Courthouse. The operation of this facility will replace the current practice of receiving approximately 2 million pieces of incoming mail each year through a non-secure process.

This budget request will fund perimeter security in the northwest corner of Judiciary Square in proximity to the mailroom and will control vehicle access to the building through physical barriers, a guard booth and security system.

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 has 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. NA

9. a) Did the Agency's Executive/Investment Committee approve this request Yes X No
- b) Provide the date of the most recent or planned approved project charter 2007

10. a) Contact information of Project Manager?

Name	<u>Joseph E. Sanchez</u>
Phone Number	<u>202-879-2801</u>
E-mail	<u>Joseph.Sanchez@dcsc.gov</u>

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

Name	_____
Phone Number	_____
E-mail	_____

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

- (1) Project manager has been validated 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: 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 2015	CY 2016	BY 2017	BY+1 2018	BY+2 2019	BY+3 2020 and beyond	Total unfunded (sum 2017 –beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	9.15	0.00	0.00	8.99	15.55	12.91	15.76	53.20
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	9.15	0.00	0.00	8.99	15.55	12.91	15.76	53.20
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	9.15	0.00	0.00	8.99	15.55	12.91	15.76	53.20
TOTAL (including FTE costs)	9.15	0.00	0.00	8.99	15.55	12.91	15.76	53.20
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” 6 years (2009, 2013)
3. Insert the number of years covered in column “BY+3 and beyond” 1 year (2020)
4. If the summary of funding has changed from the FY 2016 President’s Budget request, briefly explain those changes: Partially funded in FY2013 budget.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2010-2 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 2016	Quarter 1 FY 2016	Quarter 1 FY 2016
Actual or expected end date of Contract/Task Order	Quarter 1 FY 2017	Quarter 1 FY 2017	Quarter 1 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	A	D & E	A

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

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes X No _____
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No _____
- d) If "yes," enter the date of approval? 2011
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation.

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? Yes, 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, B1: Sound Infrastructure	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 4C1: Sound Infrastructure & Safe Environment	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 - Secure Mail Screening Facility

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		\$0.61
Planned Value (PV)	\$M		\$0.33
Earned Value (EV)	\$M		\$0.33
Actual Costs (AC)	\$M		\$0.37
Cost Variance (CV)	\$M	$CV = EV - AC$	0.0
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	-12%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	0.89
Schedule Variance (SV)	\$M	$SV = EV - PV$	\$0.00
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	0%
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.0
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$0.68
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	-\$0.07
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	-12%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	54%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	61%
Estimated Completion Date	Date	mm/dd/yy	----

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? 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

of system updating and maintenance, and provides ease of web access deployment allowing wider access to court information. The new system will enhance the security of court data by providing another layer of security and lower costs due to the use of a simplified architecture, which streamlines the implementation of system modifications.

The successful full lifecycle implementation of the existing legacy system has resulted in court staff having a significant knowledge base and experience in all phases of full system lifecycle implementation from requirements analysis through system deployment. The Courts will utilize the successes, challenges, and lessons learned from the previous system implementation to support and ensure the success of this initiative.

This initiative will advance and support three major strategic goals of the Court. The benefits in support of these goals (Fair and Timely Case Resolution, Access to Justice, Ensuring a Strong Infrastructure) are highlighted as follows:

Fair and Timely Case Resolution

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

Access to Justice

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

Ensuring a Strong Infrastructure

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

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

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

9. a) Did the Agency’s Executive/Investment Committee approve this request Yes X No
 b) Provide the date of the most recent or planned approved project charter N/A New Initiative

10. a) Contact information of Project Manager?

Name	<u>Yuan Burns</u>
Phone Number	<u>202-879-0028</u>
E-mail	<u>Yuan.Burns@dsc.gov</u>

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

Name	<u>Anne Wicks</u>
------	-------------------

Phone Number
E-mail

202-879-1700
Anne.Wicks@dcsc.gov

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. ITIL Expert
 - (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. _____
 - (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. _____
 - (4) Project manager assigned but qualification status review has not yet started. _____
 - (5) No project manager has yet been assigned to this investment. _____
12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):
- i. Financial management system name(s) _____
 - ii. System acronym _____
 - iii. Unique Project Identifier (UPI) number _____
 - a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):
 - 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: Trial Court Case Management System

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 2015	CY 2016	BY 2017	BY+1 2018	BY+2 2019	BY+3 2020 and beyond	Total unfunded (sum 2017 -beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	14.35	3.04	0.97	2.40	20.76
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	14.35	3.04	0.97	2.40	20.76
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.00	0.00	0.00	14.35	3.04	0.97	2.40	20.76
TOTAL (including FTE costs)	0.00	0.00	0.00	14.35	3.04	0.97	2.40	20.76
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

2. Insert the number of years covered in the column "PY-1 and earlier" 0 year
3. Insert the number of years covered in column "BY+3 and beyond" 3 years (2020)
4. If the summary of funding has changed from the FY 2014 President's Budget request, briefly explain those changes: N/A

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

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	N/A		
Contract Status	(1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation	Pre-solicitation		
Procurement Instrument Identifier (PIID)	See www.usaspending.gov/learn?tab=FAQ#2	N/A		
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 materials, etc	Fixed Price		
Is this contract a Performance Based Service	Y/N Indicates whether the contract is a PBSA as defined by FAR 37.601 .	Y		

Acquisition (PBSA)?	A PBSA describes the requirements in terms of results rather than the methods of performance of the work.			
Effective Date	MM/DD/YYYY Actual or expected Start Date of Contract/Task Order, the date that the parties agree will be the starting date for the contract's requirements.	Quarter 1 FY2017		
Actual or expected end date of Contract/Task Order	MM/DD/YYYY	Quarter 4 FY2020		
Extent Completed	(A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	A		

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

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow: Yes _____ No X
- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes _____ No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes _____ No _____
- d) If "yes," enter the date of approval? N/A
- 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 Yes _____ 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.

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)

Yes No

b) If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education. (yes/no)

Yes No

2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. This technology is currently being reviewed and assessed for feasibility in satisfying the security and privacy requirements of the D.C. Courts using private cloud and or federal cloud deployments.

3. Provide the date of the most recent or planned Quality Assurance Plan. 04/28/2015

4. a) Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment. (comma delimited)

b) If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s). (comma delimited)

5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 08/19/2013

6. Risks must be actively managed throughout the lifecycle of the

investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 05/01/2012

Section B: Cost and Schedule Performance

Agencies should be measuring the performance of assets against the baseline established during the planning or full acquisition phase, or, where approved, the current baseline, and be properly operating and maintaining the asset to maximize its useful life.

Agencies should represent the same timeframe and costs in the “Cost and Schedule table” as indicated in the “Summary of Funding” table. Activities planned beyond the budget year are expected to be less well defined and should be updated once the baseline is approved to a greater level of detail, typically via an Integrated Baseline Review.

Complete the following table on activities used to measure cost and schedule performance, representing only one level of the investment’s Work Breakdown Structure. The activities represented in the table should be a natural derivative of the schedule maintained in the agency performance management system. Activity descriptions should follow a format including a description of the work performed and the product achieved. This should generally show Level 3 of the Work Breakdown Structure. Agencies should avoid reporting activities at a level where they span more than one fiscal year. Key activities should be apparent including planning, development iterations, deployment and decommission. For Operations and Maintenance work, provide activities used to track cost and schedule performance in the same format used for development activities in this same table. The percentages complete should relate to the value of the work planned and actually completed.

NOTE: The exhibit 300 schema includes an optional Work Breakdown Structure (WBS) field that is not depicted in the table below.

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Complete the following table to compare actual performance against the current performance baseline. For all activities listed, you should provide both the planned and actual completion dates (e.g., "03/23/2003"/ "04/28/2004"), planned and actual start dates, planned and actual total costs (in \$ Millions), and planned and actual percent complete. Note that all fields are required with the exception of “Agency EA Transition Plan Milestone Identifier”. This table should be kept current on the IT Dashboard on a monthly basis, at a minimum.

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier (optional)	Total Cost		Current Baseline (mm/dd/yyyy)				Percentages Complete	
			Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
N/A										

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements.

The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

___ Yes ___ No

Section C: Financial Management Systems

If this investment funds one or more financial systems, please list each system and complete the table. These systems should also have been reported in the most recent Financial Management Systems Inventory (FMSI). “Type of financial system” should be one of the following per [OMB Circular A-127](#): core financial system, procurement system, loan system, grant system, payroll system, budget formulation system, billing system, or travel system. Budget Year (BY) funding should include both contract and government costs requested for the Budget Year via this investment.

Table II.C.1: Financial Management Systems			
System(s) Name	Systems Acronym	Type of Financial System	BY Funding
N/A			

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Multi-agency Collaborations, such as E-Gov and LoB initiatives, should develop a joint exhibit 300.

Partner agencies that provide contributions to a multi-agency collaboration do not complete Section C.

Table II.D.1. Customer Table:	
As a joint exhibit 300, please identify all the agency customers. Customers are not limited to agencies with financial commitment. All agency customers should be listed regardless of approval. If the partner agency has approved this joint exhibit 300 please provide the date of approval.	
Customer Agency	Joint exhibit approval date
N/A	

Only Managing partners of Legacy E-Gov initiatives should complete the “Shared Services Providers” Table (Table II.C.2).

Table II.D.2. Shared Service Providers		
Only Managing partners of Legacy E-Gov initiatives should complete this table.		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
N/A		

Provide in the "Partner Funding Strategies" Table (Table II.D.3) the name(s) of partner agencies; the UPI of the partner agency investments; and the partner agency contributions for CY and BY.

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Please indicate partner contribution amounts (in-kind contributions should also be included in this amount) and fee-for-service amounts. (Partner Agency Asset UPIs should also appear on the Partner Agency's exhibit 53. All fee-for-service reimbursements for Shared Service Providers should be included in this table. For non-IT fee-for-service amounts the Partner exhibit 53 UPI can be left blank) (IT migration investments should not be included in this table)							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
N/A							

Does this investment replace any legacy systems investments for either the Managing Partner or partner agencies? Disposition costs for the Managing partner (costs of retirement of legacy systems) may be included as a category in, Summary of Funding, or in separate investments, classified as major or non-major. For legacy system investments being replaced by this investment, include the following data on these legacy investments.

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
N/A		

Section E: Performance Information

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan, Information Resource Management

plan, and Agency Strategic Plan. The investment must discuss its performance measures in support of the agency's mission and strategic goals. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 20xx, etc.). They should include the expected measurable outcomes of the investment, including both customer and business objectives. A minimum of one measure should indicate primary customer satisfaction with the investment. Agencies shall maintain records for each indicator that includes the source of measurement date, the measurement method and who is responsible for collection.

The unit of measure should describe denomination counted (e.g. hours of processing time, inquiries received from stakeholders). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as "significant," "better," "improved," that do not have a quantitative measure. Performance Measure reporting frequency should be chosen from one of four frequencies: monthly, quarterly, semi-annually, or annually. Performance Measure Direction should be reported indicating whether the performance is expected to increase or decrease. For each measure complete Tables I.D.1.a and I.D.1.b. Maintain historical performance by adding appropriate historical fiscal year measurements in Table I.D.1.b. At a minimum, performance targets should extend to the BY. The table can be extended to include performance measures for years beyond the next President's Budget. OMB has no requirement for how an agency should display the information described in their internal systems.

Specific to IT investments, agencies must report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (Mission & Business Results, Customer Results, Processes & Activities, and Technology), for each fiscal year. Operational IT investments should include at least one measure of unit cost. Unit cost measures should be for major inputs, align with how the input is procured, and reflect commodity or near commodity hardware, software or managed services. Specific to Infrastructure Investments, 4 performance measures are required; however, measures are only expected in the technology measurement area. The PRM is available at <http://www.whitehouse.gov/omb/e-gov/>.

These are new initiatives. We will adopt the FEA Performance Reference Model according to the guidelines in measuring performance goals for these initiatives.

This initiative directly supports the Strategic Goal 4 of the District of Columbia Courts Strategic Plan 2013–2017, specifically The D.C. Courts will use technology to enhance case management and information sharing. The strategies to support this goal linked to these initiatives are as follows:

Strategy 4.1 – Enhance case processing, information management, and performance measurement and reporting through targeted technology investments.

Strategy 4.2 – Employ technology to readily communicate with the public and court personnel by expanding the use of electronic and social media.

Strategy 4.3 – Utilize technology to ensure timely access to court documents, proceedings, and services by expanding video and web conferencing opportunities, providing internet and online services, and employing other means to broaden accessibility of court information and services.

Table I.E.1a. Performance Metric Attributes	
<i>Agency Measurement Identifier</i>	
Measurement Area (For IT Assets)	
Measurement Grouping (For IT Assets)	
Measurement Indicator	
Reporting Frequency	
Unit of Measure	
Performance Measure Direction	
Baseline	
Year Baseline Established for this measure (Origination Date)	
Measure Status (active, or deactivated)	
Reason Deactivated (only if deactivated)	

Table 1.E.1.b. Performance Metric Targets and Results				
Agency Measurement Identifier				
Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Date Actuals Last Updated (auto populated)
2015				
2016				
2017				
2018				

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

Not Applicable

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2015
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

HVAC, Electrical and Plumbing Upgrades

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY 2017?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2016 should not select O&M)

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

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

The HVAC, electrical, and plumbing upgrade 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 85% of the H. Carl Moultrie Courthouse office space and non public circulation space;
- New electrical switchgear and emergency generators.

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 which initiated the electrical switchgear and emergency generator project. In March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all facility assets. Projected replacements were identified and costs estimated for future funding requirements. HVAC, Electrical and Plumbing upgrades will require additional capital investment per the FCA Report.

The D.C. Courts are nearing completion on the Moultrie Courthouse Mechanical and Electrical Upgrade Project. This project includes the complete service upgrade of the Courthouse's primary and secondary electrical system and the complete upgrade of the critical emergency generator system. The scope also includes installation of a new fuel oil system, new shafts for building distribution, architectural and structural renovations of the mechanical penthouse and expansion of the parking garage substation rooms. This project has improved resiliency of the Moultrie Courthouse, providing adequate and stable electrical power which will minimize costly downtime.

Additional projects completed with recent funding include:

- Cooling tower deck refurbishment at 515 5th Street NW and 510 4th Street NW
- Public corridor lighting upgrade in the Moultrie Courthouse
- Installation of variable fan drives on chillers at the Moultrie Courthouse for economy, efficiency and enhanced service life
- Upgrade Moultrie Courthouse garage systems for energy efficiency.

The Courts' FY 2017 request includes the following HVAC, Electrical and Plumbing upgrades:

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

HVAC, Electrical and Plumbing Upgrade activities will require coordination with activities included under the Renovation and Reorganization and Courtrooms 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. NA

9. a) Did the Agency's Executive/Investment Committee approve this request Yes No
- b) Provide the date of the most recent or planned approved project charter 1999

10. a) Contact information of Project Manager?

Name 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):
- computer system security requirement; _____
 - internal control system requirement; _____
 - core financial system requirement according to FSIO standards; _____
 - Federal accounting standard; _____
 - U.S. Government Standard General Ledger at the Transaction Level; _____
 - this is a core financial system, but does not address a _____

- FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA
-
-

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: HVAC, Electrical and Plumbing Upgrades

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2015	CY 2016	BY 2017	BY+1 2018	BY+2 2019	BY+3 2020 and beyond	Total unfunded (sum 2017 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	5.43	6.42	5.05	16.43	11.34	12.29	15.18	55.23
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	5.43	6.42	5.05	16.43	11.34	12.29	15.18	55.23
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	5.43	6.42	5.05	16.43	11.34	12.29	15.18	55.23
TOTAL (including FTE costs)	5.43	6.42	5.05	16.43	11.34	12.29	15.18	55.23
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

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

1 year (2014)

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

1 year (2020)

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

No Change.

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

Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2012-02 Moultrie Electrical and Mechanical Upgrade	2014-01 Moultrie Courthouse Garage Systems Upgrade	2014-01 Moultrie Courthouse Cooling Towers
Contract Status	Awarded	Awarded	Solicitation In Process
Procurement Instrument Identifier (PIID)	CPFMD-11-0809	CPFMD-13-0906	CPFMD-15-0615
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	NA
Solicitation ID	CBFMD-11-0809	CPFMD-13-0906	TBD
Alternative financing	No	No	No
EVM Required	YES, Courts' Standard	YES, Courts' Standard	YES, Courts' Standard
Ultimate Contract Value	\$ 24,968,000	\$557,611	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 2012	Quarter 1 FY 2014	Quarter 2 FY 2015
Actual or expected end date of Contract/Task Order	Quarter 3 FY 2015	Quarter 2 FY 2015	Quarter 4 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 III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? No
2. If an Alternatives Analysis was conducted, answer the following questions.
- a) What is the date of the analysis? _____
- b) How many alternatives were considered? _____
- c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
- d) Briefly summarize the rationale for the selected alternative. _____

3. If an Alternatives Analysis was not conducted, provide a brief explanation. HVAC, Electrical and Plumbing Projects are required to maintain current capital assets and meet life safety and environmental standards.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No
2. If a Risk Management Plan has been developed, answer the following questions.
- a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
 - f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____
3. If a Risk Management Plan has not been developed, provide a brief explanation. Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	Building is currently served by 35 year old switchgear, transformers, etc.	Bring switchgear and main power distribution up to current code requirements	In progress.
2013-2017 Strategic	Goal 4, B1: Sound	Building is currently	Upgrade emergency	In progress.

Plan of the D.C. Courts	Infrastructure	served by 35 year old switchgear, transformers, etc.	generators and distribution systems to meet codes and allow portions of the courthouse to remain functional.	
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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		\$ 26.83
Planned Value (PV)	\$M		\$ 24.27
Earned Value (EV)	\$M		\$ 24.27
Actual Costs (AC)	\$M		\$ 25.55
Cost Variance (CV)	\$M	$CV = EV - AC$	-1.28
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	-5%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	0.95
Schedule Variance (SV)	\$M	$SV = EV - PV$	\$0.00
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	0.00%
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.00
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$ 28.25
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$ -1.42
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	-5%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	90%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	95%
Estimated Completion Date	Date	mm/dd/yy	Quarter 3 FY 2015

Section D: Earned Value Management – Stairwell Pressurization Project

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$M		\$2.15
Planned Value (PV)	\$M		\$2.15
Earned Value (EV)	\$M		\$2.15
Actual Costs (AC)	\$M		\$2.15
Cost Variance (CV)	\$M	$CV = EV - AC$	0.0
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	0%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	1.00

Schedule Variance (SV)	\$M	$SV = EV - PV$	\$0.00
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	0%
Schedule Performance Index	Ratio	$SPI = EV / PV$	1.00
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$2.15
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$0.00
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	0%
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	100%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	100%
Estimated Completion Date	Date	mm/dd/yy	12/31/14

1. Explanations:

Construction completion delayed due to project re-scoping and coordination issues related to equipment pre-order.

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Conditions Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis Baseline March 2013, Validation Annually
 - b) Briefly summarize the results of the analysis The report confirmed that the ongoing attention to our infrastructure has proven beneficial.
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2015
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Restroom Improvements

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY 2017?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2016 should not select O&M)

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

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

The 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 10,000 persons use the multiple D.C. Courts' buildings each day, placing heavy use on the restroom facilities, many of which now require rebuilding. This is a steady state project that began in November 1999. Past project funding was used to:

1. Design of new restrooms to increase number of fixtures to replace fixtures lost during ADA upgrades and bring total count up to code;
2. Replace plumbing fixtures in Building A (515 5th Street), Building B (510 4th Street) and the Moultrie Courthouse.

In March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all facility assets. Projected replacements were identified and costs estimated for future funding

(5) No project manager has yet been assigned to this investment. _____

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s) _____
- ii. System acronym _____
- iii. Unique Project Identifier (UPI) number _____
 - a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):
 - computer system security requirement; _____
 - internal control system requirement; _____
 - core financial system requirement according to FSIO standards; _____
 - Federal accounting standard; _____
 - U.S. Government Standard General Ledger at the Transaction Level; _____
 - this is a core financial system, but does not address a FFMIA compliance area; _____
 - Not a core financial system; does not need to comply with FFMIA _____

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Restroom Improvements

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 2015	CY 2016	BY 2017	BY+1 2018	BY+2 2019	BY+3 2020 and beyond	Total unfunded (sum 2017 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	1.21	0.00	0.92	0.47	0.49	0.65	2.53
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	1.21	0.00	0.92	0.47	0.49	0.65	2.53
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.00	1.21	0.00	0.92	0.47	0.49	0.65	2.53
TOTAL (including FTE costs)	0.00	1.21	0.00	0.92	0.47	0.49	0.65	2.53
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

- Insert the number of years covered in the column “PY-1 and earlier” 1 year (2014)
- Insert the number of years covered in column “BY+3 and beyond” 1 year (2020)
- If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes: Partially funded in FY 2015 budget.

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

- 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	
Contract Status	Pre-award Pre-Solicitation	Awarded	
Procurement Instrument Identifier (PIID)	TBD	CO 0014887	
Indefinite Delivery Vehicle (IDV) Reference ID	NA	NA	
Solicitation ID	TBD	NA	
Alternative financing	No	No	
EVM Required	YES, Courts' Standard	YES, Courts' Standard	
Ultimate Contract Value	NA	\$250,000	
Type of Contract/Task Order (Pricing)	Fixed	Fixed	
Is this contract a Performance Based Service Acquisition (PBSA)?	No	No	
Effective Date	Quarter 3 FY 2017	Quarter 1 FY 2015	
Actual or expected end date of Contract/Task Order	Quarter 2 FY 2019	Quarter 2 FY 2016	
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 III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

- 1. Was an Alternatives Analysis conducted (yes/no)? No
- 2. If an Alternatives Analysis was conducted, answer the following questions.
 - a) What is the date of the analysis? _____
 - b) How many alternatives were considered? _____
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
 - d) Briefly summarize the rationale for the selected alternative. _____
- 3. If an Alternatives Analysis was not conducted, provide a brief explanation. Restroom Improvements are required to maintain current capital assets and meet ADA and environmental standards.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

- 1. Has a Risk Management Plan been developed (yes/no)? No

2. If a Risk Management Plan has been developed, answer the following questions.

a) What is the date of the plan? _____

b) Does the plan include a list of risks (yes/no) _____

c) Does the plan include the probability of occurrence for each risk (yes/no)? _____

d) Does the plan include the impact of each risk (yes/no)? _____

e) Does the plan include a mitigation strategy for each risk (yes/no)? _____

f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____

3. If a Risk Management Plan has not been developed, provide a brief explanation.

Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B1: Sound Infrastructure	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.	In design.

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BA)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	

Percent Complete	%	% Complete = EV / BAC x 100	
Percent Spent	%	% Spent = AC / BAC x 100	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Condition Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis March 2013
 - b) Briefly summarize the results of the analysis The report confirmed that the ongoing attention to our infrastructure has proven beneficial.
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2015
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Fire and Security Alarm Systems

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY 2017?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2016 should not select O&M)

Planning	
Full Acquisition	X
Operations and Maintenance	
Mixed Life Cycle	

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

The Fire and Security Alarm System project includes the phased implementation of a comprehensive upgrade to security and life safety systems within court buildings. In March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all facility assets. Projected replacements were identified and costs estimated for future funding requirements. Fire and Security Alarm Systems will require additional capital investment per the FCA Report.

The security systems upgrades and expansion of the Security Control Center is another critical priority project associated with the Moultrie Courthouse Addition, due to the scope of the project and its impact on the entire courthouse. The advancements in security technology and the increase in the number of devices, such as cameras, monitors, card readers, panic switches and hardware, servers, and the additional HVAC equipment and wiring required to support this equipment has the D.C. Courts' current Security Control Center at capacity. The resulting expansion of the Security Control Center will accommodate the security systems

upgrades necessary for the Moultrie Courthouse Addition.

In FY 2017 the project will include the following:

1. Upgrade and expand the Security Control Center
2. Upgrade the fire alarm system to monitor the valves and flow switches in the expanded sprinkler system.

Projects completed with recent funding include:

- Complete replacement of Moultrie Courthouse Garage sprinkler system

Future year Fire and Security Alarm System upgrades will require coordination with activities included under the Renovation and Reorganization and Courtrooms 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. 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 2004

10. a) Contact information of Project Manager?

Name	<u> Joseph E. Sanchez </u>
Phone Number	<u> 202-879-2801 </u>
E-mail	<u> Joseph.Sanchez@dcsc.gov </u>

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

Name	<u> </u>
Phone Number	<u> </u>
E-mail	<u> </u>

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. 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: 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 2015	CY 2016	BY 2017	BY+1 2018	BY+2 2019	BY+3 2020 and beyond	Total unfunded (sum 2017 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	1.36	0.27	0.00	2.60	1.54	2.40	14.79	21.32
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	1.36	0.27	0.00	2.60	1.54	2.40	14.79	21.32
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	1.36	0.27	0.00	2.60	1.54	2.40	14.79	21.32
TOTAL (including FTE costs)	1.36	0.27	0.00	2.60	1.54	2.40	14.79	21.32
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier” 1 year (2014)
3. Insert the number of years covered in column “BY+3 and beyond” 1 year (2020)
4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes: _____

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2015-01 Fire Alarm Campus Wide Connectivity		
Contract Status	Awarded		
Procurement Instrument Identifier (PIID)	CO 0013953		
Indefinite Delivery Vehicle (IDV) Reference ID	NA		
Solicitation ID	TBD		
Alternative financing	No		
EVM Required	YES, Courts' Standard		
Ultimate Contract Value	\$300,000.00		
Type of Contract/Task Order (Pricing)	Fixed		
Is this contract a Performance Based Service Acquisition (PBSA)?	No		
Effective Date	Quarter 2 FY 2014		
Actual or expected end date of Contract/Task Order	Quarter 4 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 III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? No
2. If an Alternatives Analysis was conducted, answer the following questions.
- a) What is the date of the analysis? _____
- b) How many alternatives were considered? _____
- c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
- d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. Fire and Security Alarm Systems are required to maintain current capital

assets and meet life safety requirements.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No

2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
 - f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____

3. If a Risk Management Plan has not been developed, provide a brief explanation. Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	No existing sprinkler system.	Installation of a sprinkler system throughout the Moultrie Courthouse.	In progress.
2013-2017 Strategic Plan of the D.C. Courts	Goal 4C1: Sound Infrastructure & Safe Environment	35 year old building was constructed prior to new security requirements	Complete upgrade of fire alarm system and upgrade the security control center.	In progress.

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Condition Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis March 2013
 - b) Briefly summarize the results of the analysis The report confirmed that the ongoing attention to our infrastructure has proven beneficial
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2015
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

General Repair Projects

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY 2017?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2016 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 of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The General Repair Projects line item provides capital improvements that protect the public investment in the infrastructure of the Courts' facilities by making various necessary improvements to the Historic Courthouse at 430 E Street N.W., the Moultrie Courthouse at 500 Indiana Avenue, N.W., Building A at 515 5th Street N.W., Building B at 510 4th Street N.W., and Building C at 410 E Street N.W. It also includes replacing interior sign systems in the buildings, providing accessibility for the handicapped, painting, and, general enhancements and restoration of these facilities.

In March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all facility assets. Projected replacements were identified and costs estimated for future funding requirements. General Repairs will require additional capital investment per the FCA Report.

The General Repair Projects for FY 2017 will include both exterior and interior projects:

1. Replacing fixtures, lighting, flooring, ceiling tiles and other capital investments in office areas in all Courts' Buildings;
2. Replacing finishes court-wide as needed or at the end of their useful life;
3. Replacing equipment, as required or due to emergency failure;
4. Continuing the Courts' interior way finding and signage program as the interface to the Moultrie Courthouse Addition comes on line;
5. Investigating and resolving groundwater infiltration issues;
6. Installation of a new keying system at 515 5th Street N.W. and 510 4th Street N.W.

Projects completed with recent funding include:

- Replacement of Moultrie Courthouse 6th Floor exterior sliding doors
- Non-structural repairs to building façades due to earthquake damage in 430 E Street NW, 510 4th Street NW and 515 5th Street NW.
- Non-structural interior plaster repairs due to earthquake damage in 430 E Street NW, 510 4th Street NW and 515 5th Street NW.
- Resolved 75% of the campus groundwater infiltration issues through interior building remediation work.

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 1999

10. a) Contact information of Project Manager?

Name	<u> Joseph E. Sanchez </u>
Phone Number	<u> 202-879-2801 </u>
E-mail	<u> Joseph.Sanchez@dcsc.gov </u>

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

Name	<u> </u>
Phone Number	<u> </u>
E-mail	<u> </u>

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. 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

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 2015	CY 2016	BY 2017	BY+1 2018	BY+2 2019	BY+3 2020 and beyond	Total unfunded (sum 2017 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	12.67	5.97	10.00	21.31	11.32	13.02	19.96	65.61
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	12.67	5.97	10.00	21.31	11.32	13.02	19.96	65.61
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):	12.67	5.97	10.00	21.31	11.32	13.02	19.96	65.61
TOTAL (including FTE costs)	12.67	5.97	10.00	21.31	11.32	13.02	19.96	65.61
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier” 1 year (2014)
3. Insert the number of years covered in column “BY+3 and beyond” 1 year (2020)
4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes: No Change.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition	2015-1 General Projects		
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 Service Acquisition (PBSA)?	No		
Effective Date	Quarter 1 FY 2016		
Actual or expected end date of Contract/Task Order	Quarter 2 FY 2017		
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	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 13514? Yes NA No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? No _____
2. If an Alternatives Analysis was conducted, answer the following questions.
- a) What is the date of the analysis? _____
- b) How many alternatives were considered? _____
- c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
- d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. General Repairs are required to maintain current capital assets and meet life safety, code compliance and environmental standards.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk

Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No

2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
 - f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____

3. If a Risk Management Plan has not been developed, provide a brief explanation. Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal4.B. Ensure that court facilities are accessible and support efficient and effective operations.	The D.C. Courts inventory includes 645,000 OSF of space. All Court buildings are continually used and require ongoing capital refurbishment.	To maintain safe and functional facilities.	N/A

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VAC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Condition Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis March 2013
 - b) Briefly summarize the results of the analysis The report confirmed that the ongoing attention to our infrastructure has proven beneficial
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the

results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2015
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

Elevator and Escalator Repairs and Replacement

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY 2017?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2016 should not select O&M)

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

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

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.

In June 2012 the D.C. Courts Elevator and Escalator Maintenance Audit (EEMA) was completed. This report confirmed that the ongoing attention to our infrastructure has proven beneficial. In addition in March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all facility assets. Projected replacements were identified and costs

- a) If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one):
- computer system security requirement;
 - internal control system requirement;
 - core financial system requirement according to FSIO standards;
 - Federal accounting standard;
 - U.S. Government Standard General Ledger at the Transaction Level;
 - this is a core financial system, but does not address a FFMIA compliance area;
 - Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Elevator and Escalator Repairs and Replacement

Table 1.B.1: Summary of Funding								
(In millions of dollars)								
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2015	CY 2016	BY 2017	BY+1 2018	BY+2 2019	BY+3 2020 and beyond	Total unfunded (sum 2017 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Operations & Maintenance:	0.00	0.25	0.25	0.30	0.29	1.58	0.00	2.18
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	0.25	0.25	0.30	0.29	1.58	0.00	2.18
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.00	0.25	0.25	0.30	0.29	1.58	0.00	2.18
TOTAL (including FTE costs)	0.00	0.25	0.25	0.30	0.29	1.58	0.00	2.18
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier” 1 year (2014)
3. Insert the number of years covered in column “BY+3 and beyond” 1 year (2020)
4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes: Revised funding request per the FCA and EEMA Reports

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar

values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table			
Field	Contract 1	Contract 1	Contract 2
Short description of acquisition	2015-01 Freight Elevator Renovation	2017-01Service Elevator Renovation	
Contract Status	Awarded	Awarded	
Procurement Instrument Identifier (PIID)	CO 00146553	CO 0012211	
Indefinite Delivery Vehicle (IDV) Reference ID	N/A	N/A	
Solicitation ID	CPFMD	CPFMD	
Alternative financing			
EVM Required	N	N	
Ultimate Contract Value	\$225,850	\$362,386	
Type of Contract/Task Order (Pricing)	Fixed Price	Fixed Price	
Is this contract a Performance Based Service Acquisition (PBSA)?	Y	Y	
Effective Date	Quarter 4 FY 2014	Quarter 3 FY 2014	
Actual or expected end date of Contract/Task Order	Quarter 3 FY 2015	Quarter 2 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	E	E	

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

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

follow:

- b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 Yes X No _____
- c) Was the Acquisition Plan approved in accordance with agency requirements Yes X No _____
- d) If "yes," enter the date of approval? 2011
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

Part II: IT Capital Investments
Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments
Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

- 1. Was an Alternatives Analysis conducted (yes/no)? No _____
- 2. If an Alternatives Analysis was conducted, answer the following questions.
 - a) What is the date of the analysis? _____
 - b) How many alternatives were considered? _____
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
 - d) Briefly summarize the rationale for the selected alternative. _____
- 3. If an Alternatives Analysis was not conducted, provide a brief explanation. Elevator and Escalator Equipment Replacement is required to maintain current capital assets.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No

2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
 - f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____

3. If a Risk Management Plan has not been developed, provide a brief explanation. Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results
2013-2017 Strategic Plan of the D.C. Courts	Goal 4, B1: Sound Infrastructure	Heavily used elevators and escalators require service calls that inconvenience the public.	Reduction in out-of-service calls	Upgrade of prisoner elevators.

Section D: Earned Value Management - Freight Elevator Renovation

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		\$0.36
Planned Value (PV)	\$M		\$0.36
Earned Value (EV)	\$M		\$0.36
Actual Costs (AC)	\$M		\$0.36
Cost Variance (CV)	\$M	$CV = EV - AC$	0.00
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	0%
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	1.00
Schedule Variance (SV)	\$M	$SV = EV - PV$	-
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	0%

Schedule Performance Index	Ratio	$SPI = EV / PV$	1.0
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	\$0.36
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	\$0.00
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	\$0.00
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	0%
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	100%
Estimated Completion Date	Date	mm/dd/yy	-----

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, Elevator and Escalator Maintenance Audit and the Facilities Condition Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis June 2012 and March 2013
 - b) Briefly summarize the results of the analysis Reports confirmed that the ongoing attention to our infrastructure has proven beneficial
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2015
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 FY2017?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2017 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 investments in consolidating IT infrastructure, automating IT management tasks, and improving their information security risk posture.

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.

Technology Infrastructure activities require coordination with activities included under the Facilities Master Plan. As the Courts continue to implement Facilities Master Plan renovations, 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. 2014

10. a) Contact information of Project Manager?

Name	<u> Yuan Burns </u>
Phone Number	<u> 202-879-1102 </u>
E-mail	<u> Yuan.Burns@dcsc.gov </u>

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

Name	<u> </u>
Phone Number	<u> </u>
E-mail	<u> </u>

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

- | | |
|---|----------------------|
| (1) Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment. | <u> ITIL Expert </u> |
| (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. | <u> </u> |
| (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. | <u> </u> |
| (4) Project manager assigned but qualification status review has not yet started. | <u> </u> |
| (5) No project manager has yet been assigned to this investment. | <u> </u> |

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- | | |
|---|----------|
| i. Financial management system name(s) | <u> </u> |
| ii. System acronym | <u> </u> |
| iii. Unique Project Identifier (UPI) number | <u> </u> |
| a) If this investment is a financial management | <u> </u> |

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: 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 2015	CY 2016	BY 2017	BY+1 2018	BY+2 2019	BY+3 2020 and beyond	Total unfunded (sum 2017 –beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	1.50	2.00	1.00	4.87	3.51	3.65	6.00	18.03
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	1.50	2.00	1.00	4.87	3.51	3.65	6.00	18.03
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):	1.50	2.00	1.00	4.87	3.51	3.65	6.00	18.03
TOTAL (including FTE costs)	1.50	2.00	1.00	4.87	3.51	3.65	6.00	18.03
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 (2014)

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

1 year (2020)

4. If the summary of funding has changed from the FY 2015 President’s Budget request, briefly explain those changes:

NA

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and

other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Table I.C.1 Contracts Table				
Field	Data Description	Contract 1	Contract 2	Contract 3
Short description of acquisition	See www.usaspending.gov/learn?tab=FAQ#2			
Contract Status	(1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation			
Procurement Instrument Identifier (PIID)	See www.usaspending.gov/learn?tab=FAQ#2			
Indefinite Delivery Vehicle (IDV) Reference ID	Required only for IDVs. See www.usaspending.gov/learn?tab=FAQ#2			
Solicitation ID	See www.fbo.gov			
Alternative financing	(ESPC, UESC, EUL or N/A)			
EVM Required	Y/N			
Ultimate Contract Value	Total Value of Contract including base and all options. Complete using dollars to two decimal places.			
Type of Contract/Task Order (Pricing)	See FAR Part 16 . Can be fixed price, cost, cost plus, incentive, IDV, time and materials, etc			
Is this contract a Performance Based Service Acquisition (PBSA)?	Y/N Indicates whether the contract is a PBSA as defined by FAR 37.601 . A PBSA describes the requirements in terms of results rather than the methods of performance of the work.			
Effective Date	MM/DD/YYYY Actual or expected Start Date of Contract/Task Order, the date that the parties agree will be the starting date for the contract's requirements.			
Actual or expected end date	MM/DD/YYYY			

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

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

Section A: General

1. a) Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. (yes/no)

 X Yes No

b) If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education. (yes/no)

 Yes No

2. Describe the progress of evaluating cloud computing

alternatives for service delivery to support this investment. This technology is currently being reviewed and assessed for feasibility in satisfying the security and privacy requirements of the D.C. Courts using private cloud and or federal cloud deployments.

3. Provide the date of the most recent or planned Quality Assurance Plan. 04/28/2015

4. a) Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment. (comma delimited)

b) If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s). (comma delimited)

5) An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 08/19/2013

6) Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 05/01/2012

Section B: Cost and Schedule Performance

Agencies should be measuring the performance of assets against the baseline established during the planning or full acquisition phase, or, where approved, the current baseline, and be properly operating and maintaining the asset to maximize its useful life.

Agencies should represent the same timeframe and costs in the “Cost and Schedule table” as indicated in the “Summary of Funding” table. Activities planned beyond the budget year are expected to be less well defined and should be updated once the baseline is approved to a greater level of detail, typically via an Integrated Baseline Review.

Complete the following table on activities used to measure cost and schedule performance, representing only one level of the investment’s Work Breakdown Structure. The activities represented in the table should be a natural derivative of the schedule maintained in the agency performance management system. Activity descriptions should follow a format including a description of the work performed and the product achieved. This should generally show Level 3 of the Work Breakdown Structure. Agencies should avoid reporting activities at a level where they span more than one fiscal year. Key activities should be apparent including planning, development iterations, deployment and decommission. For Operations and Maintenance work, provide activities used to track cost and schedule performance in the same format used for

development activities in this same table. The percentages complete should relate to the value of the work planned and actually completed.

NOTE: The exhibit 300 schema includes an optional Work Breakdown Structure (WBS) field that is not depicted in the table below.

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Complete the following table to compare actual performance against the current performance baseline. For all activities listed, you should provide both the planned and actual completion dates (e.g., "03/23/2003"/ "04/28/2004"), planned and actual start dates, planned and actual total costs (in \$ Millions), and planned and actual percent complete. Note that all fields are required with the exception of "Agency EA Transition Plan Milestone Identifier". This table should be kept current on the IT Dashboard on a monthly basis, at a minimum.

Description of Activity	DM E or SS	Agency EA Transition Plan Milestone Identifier (optional)	Total Cost		Current Baseline (mm/dd/yyyy)				Percentages Complete	
			Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
N/A										

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements.

The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

_____ Yes _____ No

Section C: Financial Management Systems

If this investment funds one or more financial systems, please list each system and complete the table. These systems should also have been reported in the most recent Financial Management Systems

Inventory (FMSI). “Type of financial system” should be one of the following per [OMB Circular A-127](#): core financial system, procurement system, loan system, grant system, payroll system, budget formulation system, billing system, or travel system. Budget Year (BY) funding should include both contract and government costs requested for the Budget Year via this investment.

Table II.C.1: Financial Management Systems			
System(s) Name	Systems Acronym	Type of Financial System	BY Funding
N/A			

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Multi-agency Collaborations, such as E-Gov and LoB initiatives, should develop a joint exhibit 300.

Partner agencies that provide contributions to a multi-agency collaboration do not complete Section C.

Table II.D.1. Customer Table:	
As a joint exhibit 300, please identify all the agency customers. Customers are not limited to agencies with financial commitment. All agency customers should be listed regardless of approval. If the partner agency has approved this joint exhibit 300 please provide the date of approval.	
Customer Agency	Joint exhibit approval date
N/A	

Only Managing partners of Legacy E-Gov initiatives should complete the “Shared Services Providers” Table (Table II.C.2).

Table II.D.2. Shared Service Providers		
Only Managing partners of Legacy E-Gov initiatives should complete this table.		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
N/A		

Provide in the "Partner Funding Strategies" Table (Table II.D.3) the name(s) of partner agencies; the UPI of the partner agency investments; and the partner agency contributions for CY and BY.

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Please indicate partner contribution amounts (in-kind contributions should also be included in this amount) and fee-for-service amounts. (Partner Agency Asset UPIs should also appear on the Partner Agency's exhibit 53. All fee-for-service reimbursements for Shared Service Providers should be included in this table. For non-IT fee-for-service amounts the Partner exhibit 53 UPI can be left blank) (IT migration investments should not be included in this table)							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
N/A							

Does this investment replace any legacy systems investments for either the Managing Partner or partner agencies? Disposition costs for the Managing partner (costs of retirement of legacy systems) may be included as a category in, Summary of Funding, or in separate investments, classified as major or non-major. For legacy system investments being replaced by this investment, include the following data on these legacy investments.

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
N/A		

Section E: Performance Information

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan, Information Resource Management plan, and Agency Strategic Plan. The investment must discuss its performance measures in support of the agency’s mission and strategic goals. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 20xx, etc.). They should include the expected measurable outcomes of the investment, including both customer and business objectives. A minimum of one measure should indicate primary customer satisfaction with the investment. Agencies shall maintain records for each indicator that includes the source of measurement date, the measurement method and who is responsible for collection.

The unit of measure should describe denomination counted (e.g. hours of processing time, inquiries received from stakeholders). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as "significant," "better," "improved," that do not have a quantitative measure. Performance Measure reporting frequency should be chosen from one of four frequencies: monthly, quarterly, semi-annually, or annually. Performance Measure Direction should be reported indicating whether the performance is expected to increase or decrease. For each measure complete Tables I.D.1.a and I.D.1.b. Maintain historical performance by adding appropriate historical fiscal year measurements in Table I.D.1.b. At a minimum, performance targets should extend to the BY. The table can be extended to include performance measures for years beyond the next President's Budget. OMB has no requirement for how an agency should display the information described in their internal systems.

Specific to IT investments, agencies must report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (Mission & Business Results, Customer Results, Processes & Activities, and Technology), for each fiscal year. Operational IT investments should include at least one measure of unit

cost. Unit cost measures should be for major inputs, align with how the input is procured, and reflect commodity or near commodity hardware, software or managed services. Specific to Infrastructure Investments, 4 performance measures are required; however, measures are only expected in the technology measurement area. The PRM is available at <http://www.whitehouse.gov/omb/e-gov/>.

These are new initiatives. We will adopt the FEA Performance Reference Model according to the guidelines in measuring performance goals for these initiatives.

Both initiatives directly support the Strategic Goal 4.2 of the District of Columbia Courts Strategic Plan 2008-2012, specifically The D.C. Courts will employ technology to support efficient operations and informed judicial decision-making. The strategies to support this goal linked to these initiatives are as follows:

Strategy 4.2.1 – Ensure that technology investments are aligned with the Courts’ strategic goals are cost-effective.

Strategy 4.2.2 – Maximize staff productivity by providing up-to-date, stable and reliable technology and customer support.

Table I.E.1a. Performance Metric Attributes	
<i>Agency Measurement Identifier</i>	
Measurement Area (For IT Assets)	
Measurement Grouping (For IT Assets)	
Measurement Indicator	
Reporting Frequency	
Unit of Measure	
Performance Measure Direction	
Baseline	
Year Baseline Established for this measure (Origination Date)	
Measure Status (active, or deactivated)	
Reason Deactivated (only if deactivated)	

Table 1.E.1.b. Performance Metric Targets and Results				
Agency Measurement Identifier				
Fiscal Year	Target	Actual Results	Target “Met” or “Not Met”	Date Actuals Last Updated (auto populated)
200x				
2010				
2011				
2012				

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

Not Applicable

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2015
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

A. Restoration of the Historic Courthouse - Maintenance

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY 2017?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2016 should not select O&M)

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

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

The renovation of the Historic Courthouse has been widely recognized for its successful execution. In addition to providing appropriate and much-needed space for the Court of Appeals, the renovation project has won eighteen awards for architecture, construction, lighting, and historic preservation.

As custodians of this recent multi-million dollar restoration investment to the third oldest public building in Washington D.C., the D.C. Courts are requesting operations and maintenance funding for the Historic Courthouse.

In March 2013, the D.C. Courts Facilities Condition Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all facility assets. Projected Operations and Maintenance replacements were identified and costs estimated for future funding requirements.

Resources are required to maintain the historic fabric of the building, which requires constant

care, and to protect the significant public investment in its restoration, particularly in light of 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. 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 2011

10. a) Contact information of Project Manager?

Name	<u> Joseph E. Sanchez </u>
Phone Number	<u> 202-879-2801 </u>
E-mail	<u> Joseph.Sanchez@dcsc.gov </u>

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

Name	<u> </u>
Phone Number	<u> </u>
E-mail	<u> </u>

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA)

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. 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;

- internal control system requirement; _____
- core financial system requirement according to FSIO standards; _____
- Federal accounting standard; _____
- U.S. Government Standard General Ledger at the Transaction Level; _____
- this is a core financial system, but does not address a FFMIA compliance area; _____
- Not a core financial system; does not need to comply with FFMIA _____

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Historic Courthouse Maintenance

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2015	CY 2016	BY 2017	BY+1 2018	BY+2 2019	BY+3 2020 and beyond	Total unfunded (sum 2017 – beyond)
Planning:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Acquisition :	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Operations & Maintenance:	0.50	0.45	1.00	1.22	1.17	1.22	1.50	5.11
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)	0.50	0.45	1.00	1.22	1.17	1.22	1.50	5.11
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.50	0.45	1.00	1.22	1.17	1.22	1.50	5.11
TOTAL (including FTE costs)	0.50	0.45	1.00	1.22	1.17	1.22	1.50	5.11
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

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

1 year (2014)

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

1 year (2020)

4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes:

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to

be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

Field	Contract 1	Contract 2	Contract 3
Short description of acquisition			
Contract Status			
Procurement Instrument Identifier (PIID)			
Indefinite Delivery Vehicle (IDV) Reference ID			
Solicitation ID			
Alternative financing			
EVM Required			
Ultimate Contract Value			
Type of Contract/Task Order (Pricing)			
Is this contract a Performance Based Service Acquisition (PBSA)?			
Effective Date			
Actual or expected end date of Contract/Task Order			
Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order			

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

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

Yes _____ No _____

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

Yes _____ No _____

- c) Was the Acquisition Plan approved in accordance with agency requirements Yes _____ No _____
- d) If "yes," enter the date of approval? _____
- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes _____ No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes _____ No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

- 1. Was an Alternatives Analysis conducted (yes/no)? _____
- 2. If an Alternatives Analysis was conducted, answer the following questions.
 - a) What is the date of the analysis? _____
 - b) How many alternatives were considered? _____
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
 - d) Briefly summarize the rationale for the selected alternative. _____
- 3. If an Alternatives Analysis was not conducted, provide a brief explanation. _____

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

- 1. Has a Risk Management Plan been developed (yes/no)? _____
- 2. If a Risk Management Plan has been developed, answer the

following questions.

- a) What is the date of the plan? _____
- b) Does the plan include a list of risks (yes/no) _____
- c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
- d) Does the plan include the impact of each risk (yes/no)? _____
- e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
- f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____

3. If a Risk Management Plan has not been developed, provide a brief explanation. _____

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

Table III.C.1: Performance Information Table				
Fiscal Year	Strategic Goal(s) Supported	Performance Baseline	Performance Goals	Action Results

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	$CV = EV - AC$	
Cost Variance (CV %)	%	$CV\% = CV / EV \times 100$	
Cost Performance Index (CPI)	Ratio	$CPI = EV / AC$	
Schedule Variance (SV)	\$M	$SV = EV - PV$	
Schedule Variance (%)	%	$SV\% = SV / PV \times 100$	
Schedule Performance Index	Ratio	$SPI = EV / PV$	
Estimate at Completion (EAC)	\$M	$EAC = BAC / CPI$	
Variance at Completion (VAC)	\$M	$VAC = BAC - EAC$	
Variance at Completion (VAC %)	%	$VASC\% = VAC / BAC$	
Percent Complete	%	$\% \text{ Complete} = EV / BAC \times 100$	
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Condition Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis March 2013
 - b) Briefly summarize the results of the analysis The report confirmed that the ongoing attention to our infrastructure has proven beneficial.
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2015
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment:

510 4th Street NW Modernization (Building B)

1. Unique Project (Investment) Identifier: (For IT investment only, see section 53.9. For all other, use agency ID system.) 95-1712
2. What kind of investment will this be in FY 2017?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY 2016 should not select O&M)

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

3. What was the first budget year this investment was submitted to OMB? 2007
4. 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 510 4th Street NW Modernization Project is a long-term project that includes three phases of work. Phases I and II are complete.

Phase III, scheduled to commence in 2018 will address final occupancy fit out and relocation of Budget and Finance, Administrative Services Division, Capital Projects and Facilities Management from high-cost leased space at Gallery Place. 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 and the Moultrie Courthouse Addition.

FY 2017 funding will be directed to Phase III design, and may include commencement of hazardous materials abatement activities and heating and cooling equipment replacement and new plumbing distribution based on the D.C. Courts' Facilities Condition Assessment (FCA), which provided the Courts with a detailed life cycle analysis and replacement values for all facility assets.

(choose only one):

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: 510 4th Street NW Modernization

Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2015	CY 2016	BY 2017	BY+1 2018	BY+2 2019	BY+3 2020 and beyond	Total unfunded (sum 2017 – beyond)
Planning:	0.00	0.00	0.00	2.04	0.00	0.00	0.00	2.04
Acquisition :	0.00	1.00	0.00	0.00	19.13	0.00	0.00	19.13
Planning & Acquisition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal Planning & Acquisition (DME):	0.00	1.00	0.00	2.04	19.13	0.00	0.00	21.16
Operations & Maintenance:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Disposition Costs (optional)								
Operations, Maintenance, Disposition Government FTE Costs				0.00	0.00	0.00	0.00	0.00
Subtotal O&M and Disposition Costs (SS)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL FTE Costs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL (not including FTE costs):	0.00	1.00	0.00	2.04	19.13	0.00	0.00	21.16
TOTAL (including FTE costs)	0.00	1.00	0.00	2.04	19.13	0.00	0.00	21.16
Total number of FTE represented by Costs:	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column “PY-1 and earlier” 10 years (2003 last year of funding)
3. Insert the number of years covered in column “BY+3 and beyond” N/A
4. If the summary of funding has changed from the FY 2016 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		
Contract Status	3) Pre-award Pre-solicitation		
Procurement Instrument Identifier (PIID)	TBD		
Indefinite Delivery Vehicle (IDV) Reference ID	NA		
Solicitation ID			
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)?	No		
Effective Date	Quarter 3, FY 2017		
Actual or expected end date of Contract/Task Order	Quarter 2, FY 2019		
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?

2011

- e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? Yes NA No _____
- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No _____
- g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part III should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? 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

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, B2: Sound Infrastructure, Appropriate Physical Work Environment	Budget and Finance, Administrative Services Division, Education & Training are currently in leased swing space.	Relocation of Budget and Finance, Administrative Services Division, Education & Training to Courts' space.	NA

Section D: Earned Value Management

Table III.D.1:EVM Table			
Performance Measure	Units	Formula	Status
Budget at Completion (BAC)	\$M		
Planned Value (PV)	\$M		
Earned Value (EV)	\$M		
Actual Costs (AC)	\$M		
Cost Variance (CV)	\$M	CV= EV-AC	
Cost Variance (CV %)	%	CV% = CV/EV 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	%	$\% \text{ Complete} = EV / BAC \times 100$	
Percent Spent	%	$\% \text{ Spent} = AC / BAC \times 100$	
Estimated Completion Date	Date	mm/dd/yy	

1. Explanations:

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? Yes, the Facilities Condition Assessment
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis Baseline March 2013, Validation Annually
 - b) Briefly summarize the results of the analysis The report confirmed that the ongoing attention to our infrastructure has proven beneficial.
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

Table III.E.4: O&M Cost and Schedule Performance						
Milestone	Planned		Actual		Variance	
	Completion Date	Cost (\$M)	Actual Completion Date	Actual Cost (\$M)	Schedule (days) Planned - Actual	Cost (\$M) Planned - Actual

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

Table III.F.1. Stakeholders	
Partner Agency	Date of Approval

DISTRICT OF COLUMBIA COURTS
FY 2017 Budget Justification
Grant-funded Activities and Reimbursements

For Fiscal Year 2015, the District of Columbia Courts secured over \$3.5 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) develop a coordinated community-based structure to routinely discuss/address guardianship matters. The Courts currently receive funds through 15 active grants secured from various Federal and local sources. Of these, 5 grants, totaling approximately \$424,000 are scheduled to expire the end of FY 2015. Table 1 lists the Courts' grants and reimbursement funding for Fiscal Years 2015 and projected through 2017, while Table 2 lists grants scheduled to expire at the end of FY 2015. A brief description of the Courts' grant-funded projects follows.

I. FEDERAL GRANTS

(a) Abused and Neglected Children

- ***Court Improvement Program (CIP)***. U.S. Department of Health and Human Services, Administration for Children and Families.

To assess and improve judicial proceedings that handle child abuse and neglect and related foster care and adoption litigation. The Superior Court continues collaboration with District child welfare agencies in examining the effectiveness of current practices and procedures, adequacy of resources, and coordination among key agencies in order to enhance the representation for children and families in the District of Columbia. With grant funds, the Courts will continue to provide books for children, the *Preparing Youth for Adulthood Initiative*, sponsor a Legal Clinic and provide skills-building and information-training workshops for advocates and the legal community, and enhance data sharing among partnering agencies to more effectively monitor family treatment court program participants.

(b) Crime Victims

- ***Crime Victims Compensation Program (Claims)***. U.S. Department of Justice, Office of Victims of Crime.

To provide funds from the Crime Victims Compensation Fund for District of Columbia victim compensation payments to eligible crime victims.

(c) Victims of Domestic Violence

- ***Judicial Education and Training Project to Enhance the Courts' Response to Elderly Victims of Domestic Violence***. 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 stakeholders' workshops in an effort to provide an improved, comprehensive legal response for individuals aged 60 years or older seeking protection from the Courts in cases involving domestic violence. The primary goals are to identify gaps and training needs of judicial officers, court staff, and stakeholders to develop an appropriate training and education curriculum to address issues involving elderly victims of domestic violence seeking a protection order; train judicial officers, court staff and stakeholders on the issues involved with handling such cases; and to develop protocols and standard procedures. Grant funds are used to convene a half-day conference of judicial officers, court staff, and stakeholders; conduct training workshops; and develop a bench card.

II. D.C. FEDERAL BLOCK GRANTS

For each of the grants listed in this section, the District of Columbia Courts are a sub-grantee of the District of Columbia.

(a) Victims of Domestic Violence

- ***Supervised Child Visitation Center.*** Office of the Attorney General (U.S. Department of Health and Human Services, Access and Visitation Grant).

To support the Superior Court's supervised visitation center through a grant from the Health and Human Services agency. The Center serves as a safe, neutral location in which non-custodial parents in domestic violence cases may visit their children.

- ***Domestic Violence Project.*** D.C. Office of Victim Services on behalf of the U.S. Department of Justice, Office of Violence Against Women, STOP Grant Program.

To enhance the safety and improve services of domestic violence victims residing in Wards 7 and 8. Grant funds are used to support operations at the Southeast Domestic Violence Center and support domestic violence and sexual assault training for judicial officers and staff in the Domestic Violence Unit and Family Court.

III. PRIVATE GRANTS

(a) Guardianship

- ***Working Interdisciplinary Network of Guardianship Stakeholders (WINGS).*** The National Guardianship Network is a conglomerate of national organizations such as AARP, the American Bar Association Commission on Law and Aging, the ABA Section of Real Property, Trust and Estate Law, the Alzheimer's Association, the American College of Trust and Estate Counsel, the Center for Guardianship Certification, the National Academy of Elder Law Attorneys, the National Center for State Courts, the National College of Probate Judges, the National Disability Rights Network, and the National Guardianship Association.

To establish a coordinated community-based group that will routinely discuss guardianship matters or undertake pro-active planning to identify strengths and gaps in the District; to address policy and practice issues; to expand outreach, education and training; and to develop comprehensive community responses. Grants funds will be used to establish a Steering Community and sponsor stakeholders meetings to discuss guardianship issues in the District and identify “target” areas that can be addressed during the grant period, such as the development of complaint procedures for members of the public to raise issues regarding guardianship; training on least restrictive alternatives to guardians, visitors, examiners, mediators and bar members; and, the creation of public-friendly videotape presentations on guardianship issues.

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

Grant or Reimbursement	Source	FY 2015 Actual	FY 2016 Estimate	FY 2017 Estimate
I. FEDERAL GRANTS:				
Abused and Neglected Children				
Court Improvement Program	U.S. Department of Health and Human Services	280*	280	280
Crime Victims				
Crime Victims Compensation Payments	U.S. Department of Justice	3,200	3,300	3,300
Domestic Violence				
Judicial Education and Training	U.S. Department of Justice, Office on Violence Against Women	35	5	--
<i>Subtotal, Federal Grants</i>		<i>3,515</i>	<i>3,585</i>	<i>3,580</i>
II. D.C. FEDERAL BLOCK GRANTS:				
Domestic Violence				
Supervised Child Visitation Center	U.S. Department of Health and Human Services	111	111	111
Domestic Violence Project	U.S. DOJ VAWA STOP Grants	33	35	35
<i>Subtotal, D.C. Federal Block Grants</i>		<i>144</i>	<i>146</i>	<i>146</i>
III. PRIVATE GRANTS				
Guardianship				
WINGS	National Guardianship Network	7	--	--
<i>Subtotal, Private Grants</i>		<i>7</i>	<i>--</i>	<i>--</i>
GRANTS TOTAL		3,666	3,731	3,726
REIMBURSEMENTS:				
Child Support Enforcement	D.C. Title IV-D Agency	1,120	1,140	1,140
Miscellaneous Reimbursements	Pretrial Services Agency	83	84	85
REIMBURSEMENTS TOTAL		1,203	1,224	1,225
GRAND TOTAL		4,869	4,955	4,951

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

Table 2
DISTRICT OF COLUMBIA COURTS
Grants that Expired in FY 2015
(\$ in thousands)

Grant	Source	Grant Period (Includes Extensions)	Original Grant Award
Domestic Violence Project	U.S. DOJ VAWA STOP Grants	Oct. 2014 – Sept. 2016	33
Court Improvement Program (FY14 includes three grants.)	U.S. Department of Health & Human Services	Oct. 2014 – Sept. 2015	280
Supervised Visitation	U.S. Department of Health and Human Services	Oct. 2014 – Sept. 2015	111
Total			\$424

DISTRICT OF COLUMBIA COURTS
FY 2017 Budget Justification
Program Evaluation

The District of Columbia Courts have implemented a systematic approach to evaluating new initiatives and ongoing programs. Such assessments are essential in identifying program operations that more effectively serve the citizens of the District. The Courts provide oversight of program assessments by independent research firms to ensure that appropriated funds are utilized prudently and to enhance accountability and transparency. Below is a description of the program evaluations in progress at the Courts in 2015:

1. Community Court Expansion Project Evaluation

Westat, an independent research firm, was selected through a competitive bidding process to undertake a 30-month program evaluation of the Community Court Expansion Project. The program evaluation is comprised of two phases: a process evaluation and an outcome evaluation. The process evaluation tasked Westat with examining the fidelity of the actual implementation of the program in all Superior Court U.S. Misdemeanor calendars compared to traditional community court model, as well as assessing the operational procedures and processes, including case volume and flow in the new community courts. Upon completion of the process evaluation, Westat is to provide the Courts with a report outlining the current operation of the Expansion Project and include recommendations for possible modifications. Also expected is a recommendation and plan for the second phase of the evaluation which, if approved, will examine the effect that community court participation has on defendants while under supervision by the court. The specific focus of the outcome study would be the community court's impact on defendant experiences in the program, including any re-offending activities.

During the summer of 2014, a draft process evaluation report was provided to the Courts for review. As a result of the findings, judicial officers and court administrators determined that in the absence of documented and consistent program procedures and supportive model documentation, it was not feasible to proceed with an outcome evaluation at this time. Rather, the Courts are working to develop a comprehensive program model for community court. In addition, discussions are underway with court officials to determine the feasibility of utilizing residual funds.

2. Superior Court Drug Intervention Program (Adult Drug Court)

Based on 2011 recommendations from an independent assessment of current practices, the Pretrial Services Agency (PSA) for the District of Columbia began implementing enhancements to make the Adult Drug Court more consistent with national drug court principles and evidence-based practices of a problem-solving court. The Adult Drug Court, managed by PSA, is designed to reduce recidivism among defendants charged with misdemeanor and non-violent felony offenses, whose substance abuse or dependence heightened the risk of future re-arrest.

The Courts contracted with NPC Research to assess the enhancements and a 30-month two-phased evaluation is underway. The first phase of the evaluation, the process evaluation, will determine if program modifications have been implemented as designed; to what extent the program is meeting its objectives, including reaching the intended target population; and how participants perceive their treatment by the judicial officer and program staff, or their “procedural justice” experiences in the program. The second phase of the evaluation consists of an outcome evaluation that includes a defendant follow-up period of up to 12 months after completion of the program, or from case disposition. The outcome evaluation will assess whether the program services are delivered as planned and document participant graduation characteristics (who, how long, rate, differences compared to those who do not graduate) and any re-arrest activity of defendants who participated in the program compared to those who did not participate.

The process evaluation was completed in May 2015 and concluded that the Drug Court had changed significantly and better aligns with the 10 Key Components of drug courts and the best practices that research indicates are related to positive outcomes. Some of the most notable enhancements include: daily staffing sessions consisting of the judge, defense attorney, prosecutor, treatment representative, etc., immediately prior to each court session to discuss participants’ progress in drug court; the assignment of a single defense attorney for a minimum of one-year; designation of a drug court coordinator to organize and ensure communication between all agency representatives on the team; implementation of random drug testing; and utilization of a greater variety of sanctions and rewards, while limiting the use of jail as a sanction. Additional recommendations resulting from the process evaluation currently under review by the drug court team include: extending the tenure of both the judge and defense attorney for continuity; revising status report updates to maximize real-time status and include information that can help the team make efficient and appropriate decisions; considering whether there are ways to shorten arrest to program entry time for eligible participants; providing more education for team members about addiction, treatment, and drug test results; and providing role specific training for attorneys. NPC is currently working on the “procedural justice” component, as well as the outcome evaluation, expected to be completed in 2017.

DISTRICT OF COLUMBIA COURTS
FY 2017 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.⁹ 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.¹⁰ The Guardianship program provides for compensation to service providers in guardianship and protective proceedings for incapacitated adults.¹¹ 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 from the Defender Services appropriation.

FY 2017 Request

The Courts request \$49,890,000 for Defender Services in FY 2017, the same as the FY 2016 Enacted Budget.

⁹ See D.C. Code §11-2601 *et seq.*

¹⁰ See D.C. Code §16-2304.

¹¹ See D.C. Code §21-2060.