

FY 2015 Budget Justification



District of Columbia Courts

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**District of Columbia Courts
FY 2015 Budget Justification
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DISTRICT OF COLUMBIA COURTS
Budget Justification
Summary
Fiscal Year 2015

Comprised of the Court of Appeals, the Superior Court, and the Court System, the District of Columbia Courts constitute the Judicial Branch of the District of Columbia government. The mission of the District of Columbia Courts is to protect rights and liberties, uphold and interpret the law, and resolve disputes peacefully, fairly and effectively in the Nation's Capital. To support the Courts' achievement of its mission in fiscal year 2015, the Courts request \$347,256,000 for operations and capital improvements. Of this amount, \$13,853,000 is requested for the Court of Appeals; \$117,955,000 is requested for the Superior Court; \$72,578,000 is requested for the Court System; and \$142,870,000 is requested for capital improvements for courthouse facilities. In addition, the Courts request \$49,890,000 for the Defender Services account.

The D.C. Courts are submitting a minimal budget request, due to the economic challenges facing our Nation. The FY 2014 request includes an increase of \$6,936,000 (3.5%) and 13 full-time equivalent (FTE) positions over the FY 2014 enacted level for operations as well as a capital budget increase of \$108 million to support critical space and security needs outlined in the Facilities Master Plan and to maintain the Courts' infrastructure of five buildings and 1.2 million gross square feet of space.

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

Recent Achievements

In FY 2013 the Court of Appeals and the Superior Court resolved 1,974 and 98,840 cases, respectively. The Courts look forward to continued success in enhancing our services to youth, families, and vulnerable elderly persons in the community, modernizing and securing our facilities, and measuring our performance to ensure accountability to the public we serve. We are proud of the Courts' recent achievements that include the following:

- greater assistance to litigants without lawyers through implementation of new judicial ethics rules based on national standards that include a provision on the judge's role in facilitating self-represented litigants' right to be heard. Under the new rules, "judges should make reasonable accommodations" to help these litigants understand court proceedings and be heard. For example, the judge in a case may consider providing information about the proceedings, asking neutral questions, or explaining the basis for a ruling;
- modernization and renovation of Building C, which was built in the late 1930's, to provide up-to-date, energy efficient space for the public visiting the Multi-Door Dispute Resolution Division and for the Information Technology Division. The new space complies with current building codes while preserving key historic elements of the building, which formerly housed the juvenile court. The project received the Leadership in Energy and Environmental Design

(LEED) Gold certification and the Courts were awarded Honorable Mention for the United States Green Building Council-National Capital Region Project of the Year Award;

- launch of a user-friendly public website that provides ready access to juror services and case docket and calendar information and assists the public in accessing other court information and services, through live chats, video presentations, and other means;
- creation of Web-Ex Warrant Process, in conjunction with several partner agencies, which uses technology to streamline the process, decreasing travel costs and overtime pay for the Metropolitan Police Department: the police officer can scan warrants into the computer system directly from the Police District, the judge reviews the warrant over a web conference with the officer, and, if approved, the court electronically sends the warrant to the officer, who makes an arrest or executes a search;
- enhancement to the Family Court with a new Child Welfare Legal Clinic operated by the Howard University School of Law representing parents in abuse and neglect cases and the relocation of the clerk's offices to space adjacent to the recently-enlarged Central Family Intake Center on the JM Level of the Moultrie Courthouse;
- renovation of the arraignment courtroom in the Moultrie Courthouse, including electronic messaging and other technology improvements to enhance operational efficiency and public understanding of and access to proceedings;
- creation of self-help centers in partnership with the D.C. Bar, 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 guardianship, decedent estate, and domestic violence cases;
- development of a Language Access Plan by the newly appointed Language Access Program Coordinator to assure meaningful access to court proceedings for limited English proficient (LEP) persons in the community;
- expansion of the Superior Court's award-winning community court model, which address quality-of-life crimes through a blend of therapeutic and restorative justice (i.e., solve the underlying issue causing the criminal behavior and restore, or pay back, the community), city-wide, after a program evaluation showed the existing community court reduced recidivism rates by as much as 60%;
- implementation of the iCivics program in charter schools to teach students about our government and the rights and responsibilities of citizenship, thereby inspiring young people to participate actively in society, and to enhance public trust and confidence in the judicial system;
- introduction of the Courts' third five-year Strategic Plan to ensure strategic alignment of the Courts' goals, functions, and resources in 2013 - 2017, following extensive community input, including a "You Be the Judge" survey of all persons conducting business at the courthouse

in which approximately 1,300 court participants provided their views on fairness, timeliness, access, treatment by judges and employees, security, and other issues (nearly 80% were satisfied with their overall court experience); a survey of almost 1,200 attorneys who recently appeared in the Courts; and surveys of D.C. Courts' judges and employees. The new plan presents five strategic goals to guide court services to the public and incorporates a renewed focus on values to inform court culture;

- participation in area events and festivals to reach out to the community and provide additional avenues for the public to learn about the D.C. Courts; the Courts also sponsor and participate in community meetings;
- initiation of a major Strategic Human Resources effort to expand the role of the Human Resources Division from a transaction-based function to a strategic partner in establishing court goals, determining the future workforce, and assuring mission delivery. To assist in this effort, the Courts are in the process of developing and implementing a new comprehensive human resources information system. As part of this process, a five-year Human Resources Strategic Plan was developed;
- initiation of “Building a Great Place to Work” initiative to ensure that our employees are highly productive and fully engaged and provide excellent public service. The 2011 Employee Viewpoint Survey, with 72% of employees responding, reflected significant improvements, particularly in areas where the Courts focused following the previous survey in 2009, when teams were established in the areas of health and wellness, work/life balance, internal communications and performance management.
- adoption of courtwide performance measures to monitor and assess case processing activities, court operations and performance and initiation of a multi-year business intelligence initiative to enhance performance analysis, reporting, and public accountability;
- installation of a new case management system for the Court of Appeals in July 2011, thereby ensuring complete electronic access to information on all cases and easy retrieval of information from the trial court to enhance case processing and judicial decision-making;
- development and ongoing updating of a Continuity of Operations Plan (COOP) to ensure the continued administration of justice in an emergency, and upgrading of life safety systems to enhance security and safety of the public and court personnel in the Courts' facilities;
- improvement of the adult holding facilities and construction of new U.S. Marshals Service administrative space in the Moultrie Courthouse, with a comprehensive long-term plan for complete holding facilities upgrades in fiscal 2014 and construction of a new, separate juvenile holding facility, completed in May 2009, meeting current standards;
- restoration of the Historic Courthouse for the D.C. Court of Appeals, a building of importance both to the people of the District of Columbia, due to its historical and architectural significance, and to the Courts to meet critical space shortages in the trial court;

- implementation of a comprehensive revision of Court of Appeals rules of practice to reduce expenses associated with record preparation, the first such revision since the mid-1980's;
- initiation of two programs by the Court of Appeals to enhance public access and trust and confidence in the judiciary: the Court hears oral arguments at community law schools through the Education Outreach Initiative, and the Court broadcasts oral arguments live over the Internet;
- operation of the adult Mental Health Community Court, which celebrated 5 years of service in June 2012, to address the special needs of defendants suffering from mental illnesses, including a mental health clinic in the courthouse that served over 1,500 defendants in 2012. A recent study revealed that Mental Health Community Court participants were significantly less likely than their counterparts 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, which won a "Bright Idea Award" from the Harvard University Ash Center for Democratic Governance and Innovation, provides job training and parenting education to fathers re-entering the community from incarceration, helping them pay their child support and become active in their children's lives; and the Family Treatment Court, which was revised and expanded in 2013, provides residential substance abuse treatment to mothers, and now also fathers, in the child welfare system, keeping their children with them, rather than placing the children in foster care, during treatment;
- initiation of enhanced case processing opportunities for persons with housing problems, including a Housing Conditions Calendar, where tenants can file expedited actions to enforce housing code violations and a D.C. Government housing inspector assists the judge;
- expansion of e-filing to probate cases, nearly all civil actions, government filings in juvenile matters and abuse and neglect cases, and 90% of criminal cases, which facilitates access to the court, reduces duplicative data entry thereby improving the quality of court data, and enhances efficiency at the court and other agencies; early data indicate a 50% decrease in the time required to process new criminal cases because the data and documents are in the case management system when the defendant appears before the judge;
- completion of the Digital Wills Project, creation of a digital database containing all wills and codicils filed in the District of Columbia since 1802 so the public can easily search and retrieve any will or codicil filed with the court over the past 200 years and so the court has the extra insurance of safely storing and preserving these historical records in the event of a disaster;
- continuing conversion from paper to electronic case records, with recent "paper-on-demand" initiatives in landlord tenant and criminal cases, in which case filings are docketed and scanned into the Court's case management system, and then the hard copy is returned to the individual filing the document to keep, as the document must be produced "on demand" of

the court. In addition, the Court has recently gone paperless in Mental Health and Habilitation cases;

- pilot initiation of staggered schedules, in which Superior Court litigants are scheduled at different times during the day, rather than all being told to report first thing in the morning, to reduce wait times for litigants and enhance efficiency. Staggered schedules have been piloted in some domestic violence, paternity and support, civil, and criminal misdemeanor cases;
- improvement of the procurement process to enhance efficient use and stewardship of public financial resources, with updated *Procurement Guidelines of the District of Columbia Courts*, which were posted on the Courts' website for easy reference and the Courts' Acquisition Institute, which offered 14 classes to improve the procurement knowledge of court staff involved in administering contracts;
- initiation of new juvenile probation programs by the Family Court Social Services Division to enhance public safety and rehabilitation of juveniles, including 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 male juveniles to a seamless, one youth/family, one probation officer model; and, in collaboration with other juvenile justice system agencies, a "Summer Crime Call In" meeting with high-risk youth under supervision to encourage them to comply with court-ordered conditions of probation and obey the law, which was considered a success based on data analysis;
- participation in June 2012 in Operation Safe Return for juveniles and Operation Safe Surrender for adults in August 2011, both collaborative programs with other criminal justice and child welfare agencies that allow persons with outstanding warrants (or custody orders, for juveniles) in the District to surrender voluntarily in a safe environment, resulting in enhanced public safety and confidence in the justice system;
- operation of the Crime Victims Compensation Program (CVCP), which won the Seventh Annual Violet Collins —"Strengthening Families" Award from the Edgewood/Brookland Family Support Collaborative for its support and community outreach for victims of crime. The CVCP compensates innocent victims for financial losses related to a crime. In 2013, crime victims in the District received nearly \$9 million in compensation, including funds from a \$3.1 million federal grant.
- creation of a Guardianship Assistance Program to improve services provided to incapacitated adults through a collaborative program in which master degree social work students at local universities are appointed by the Probate Court to visit adult wards under court supervision, report on the services being provided, and work with the guardians appointed by the Court to address any unmet needs of the wards;

- implementation and updating of a 10-year *D.C. Courts Master Plan for Facilities (Facilities Master Plan)*, resulting in comprehensive space renovation and facilities upgrades; newly renovated space for the Family Court, Civil Division, Domestic Violence Unit, and other offices in the Moultrie Courthouse; new space for the Landlord Tenant and Small Claims courts and juvenile probation in Building B; renovated space in Building A for the Crime Victims Compensation Program and the Multi-Door and Probate Divisions, and renovation of Building C, as noted above;
- establishment of the District of Columbia Access to Justice Commission, by the Court of Appeals, to enhance access to civil justice for all persons without regard to economic status;
- continuation of sound fiscal management, including a transition to Federal financial statements and “unqualified” opinions on the Courts’ annual independent financial audits conducted in accordance with OMB Circular No. A-133 for fiscal years 2000 through 2013.

FY 2015 Request Summary

The D.C. Courts recently completed the third five-year Strategic Plan, which will guide court operations from 2013 to 2017. As noted above, the plan reflects input from the community, justice system agencies, and individuals served by the Courts, including litigants and their family members, victims, witnesses, attorneys, jurors, and others who were asked to assess their needs, views, and expectations of the Courts. The Courts’ divisions develop Management Action Plans (MAP’s) which prioritize their activities and align them with courtwide goals and strategies. The FY 2015 budget request incorporates four of the Courts’ five 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 2015, the Courts request additional resources as outlined below.

FY 2015 Operating Budget: Summary by Strategic Goal

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

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

Goal 1: Fair and timely case resolution--\$424,000 and 5 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 FY 2015 request includes \$424,000 for 5 FTEs to address the Courts' goal of fair and timely case resolution, including \$373,000 and 4 FTEs for attorney negotiators to help families with domestic relations cases resolve their disputes and case managers to improve business processes, thereby enhancing timeliness, and \$51,000 and 1 FTE for a mediation clerk to expedite mediations to help families resolve domestic relations cases.

Goal 2: Access to Justice--\$205,000 and 3 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 FY 2015 request includes \$205,000 and 3 FTE's to address the Courts' goal of enhancing access to justice by increasing the oversight of guardians appointed to meet the needs of vulnerable, incapacitated adults who are wards of the court.

Goal 4: Sound Infrastructure--\$2,200,000 and 2 FTEs

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

The FY 2015 request includes \$2,200,000 and 2 FTEs to address the Courts' goal of maintaining a sound infrastructure, including \$1,750,000 to replace the security access control system that programs the electronic locks on courthouse doors and has reached the end of its lifecycle; \$350,000 to maintain new court facilities, including utilities, cleaning, maintenance and upkeep of the grounds; and \$100,000 for 2 FTEs to staff the secure mail facility that is under construction in FY 2013. In addition, as discussed below, the capital budget request includes resources to enhance the Courts' infrastructure, including physical security.

Goal 5: Public Trust and Confidence--\$201,000 and 3 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 FY 2015 request includes \$201,000 and 3 FTEs to address the Courts' goal of engendering public trust and confidence by assessing and conducting home studies for families with disputed child custody cases.

Built-In Increases--\$5,106,000

To maintain the current level of service, the FY 2015 request also includes \$1,499,000 for a 1% cost of living adjustment, \$1,825,000 for a pay adjustment required by *Barker v. US*, \$735,000 for within-grade increases, and \$1,045,000 for non-pay inflationary increases. The Courts request funding for within-grade increases because we have very little turnover¹ compared to the Federal Government, which can finance within-grade increases through turnover (6% in 2012 versus 13.8%, respectively).

Capital Budget Request: Infrastructure Investments

To support the Courts' Goal 4: A Sound Infrastructure by ensuring the health and safety of those conducting business in our buildings, maintaining and improving the condition of court facilities, addressing the space needs of court operations, and maintaining the Courts' technology infrastructure, the FY 2015 capital request totals \$142,870,000. This request focuses on the Moultrie Courthouse, safety and security, and building maintenance.

The Courts' capital budget is structured to continue progress in implementing the *Facilities Master Plan*, originally completed by the General Services Administration (GSA) in December 2002, with an update completed in 2013 to address facilities requirements through 2022. The updated *Facilities Master Plan* projects a shortfall of 57,250 occupiable square foot over the next 10 years for court operations and documents maintenance requirements and improvements to existing facilities.

With the support of the President and Congress, the Courts have made significant progress in implementing the *Facilities Master Plan*. The restoration of the Historic Courthouse for the Court of Appeals was completed April 15, 2009, and the renovation of Building C was completed February 13, 2012, when the Multi-Door Dispute Resolution and Information Technology Divisions moved into the building. Buildings A and B have been renovated and now house our Landlord Tenant and Small Claims courts and the Probate Division, freeing space in the Moultrie Courthouse for critical trial court functions. 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 clerks' offices moved into adjacent space on the JM Level in February 2011. This space became available in March 2009 when the Civil Division moved to newly-renovated space on the 5th Floor of the Moultrie Courthouse. A new Juvenile Holding Facility was constructed in May 2009. The renovation to the 6th Floor of the Moultrie Courthouse, vacated by the Court of Appeals in 2009, was completed in January 2011 and now houses judicial chambers, the Superior Court Library, the Executive Office, and the General Counsel's Office. The renovation of the Adult Holding

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

facility is underway, and renovations to the U.S. Marshals Service administrative space is complete.

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. The Facilities Master Plan addresses the Courts' space shortfall by expanding the Moultrie Courthouse. This new construction will contain six criminal-capable trial courtrooms, 20 judge's chambers, and office space. The Moultrie Courthouse Addition will fulfill the Family Court mandate by allowing the relocation of juvenile probation from Building B to the Courthouse and consolidating probation services with all other Family Court functions on two levels of the Moultrie Courthouse.

A significant portion of the FY 2015 capital budget request, \$61.18 million, is for the Moultrie Courthouse Addition (C Street Expansion). This addition will add nearly 100,000 of useable space to the Moultrie Courthouse and expand the building along the south façade at C Street. The full funding request for this project is distributed over six fiscal years, beginning in FY 2012.

The capital budget request includes \$7.56 million to continue the renovation and reorganization of the interior of the Moultrie Courthouse, to allow the Courts to move operations and functions within the courthouse, to continue to consolidate the Family Court in contiguous space, and to prepare for the phased construction of the Moultrie Courthouse Addition.

The request also includes \$14.80 million to renovate four large courtrooms, create two new criminal courtrooms, and replace courtroom seating that has far exceeded its useful life in courtrooms not scheduled for renovation within the next five years.

The Courts, like many public institutions, face security threats to daily operations and individual judges. In addition, the Courts face unique security risks due to the presence of hundreds of prisoners in the Moultrie Courthouse each day. The Courts' request includes \$10.15 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, \$10 million is requested. The new system will be web-based, enhancing public access to court information and leveraging new technology, such as cloud computing.

The capital budget also includes a request for \$39.18 million to maintain and upgrade the Courts' facilities. Significant public resources have been expended over the past decade to modernize the Courts' older buildings. A recent Facilities Condition Assessment (FCA), which analyzed life cycle and maintenance needs for court buildings, guides this maintenance request. Mechanical systems and structural repairs are necessary to ensure the safety of building occupants and to preserve the integrity of these historic structures. The Courts request \$11.46 million for the HVAC, Electrical, and Plumbing Upgrades project to continue to upgrade electrical systems in the Moultrie Courthouse and provide for the replacement of HVAC

equipment as components reach the end of their useful life throughout the campus. To create new public restrooms in the Moultrie Courthouse, \$1.21 million is requested. The \$4.90 million requested for Fire and Security will finance a sprinkler system for the Moultrie Courthouse as part of the ongoing fire sprinkler installation program for the building. In addition, \$13.51 million is requested for General Repair Projects, for, among other things, ADA accessibility, safety enhancements, and continued replacement of fixtures, lighting, flooring, ceiling tiles and other capital investments and replacement of equipment, as required or due to emergency failure in Courts' facilities. To keep elevators and escalators in good working order, \$250,000 is requested. To maintain the Courts' technology infrastructure, \$4 million is requested. The Capital Budget also includes \$1.85 million to maintain Buildings A and B, as recommended by the FCA. Finally, \$2 million is requested for maintenance of the Historic Courthouse, to protect the public investment in its renovation, which was completed in 2009.

Defender Services Budget Request

To support Strategic Goal 2: Access to Justice, the FY 2015 Defender Services request totals \$49,890,000, unchanged from FY 2014. In recent years, the Courts have focused on improving the financial management and administration of the Defender Services programs. For example, the Courts have significantly revised the Criminal Justice Act (CJA) Plan for representation of indigent defendants to ensure that expenses are reasonable and the program is properly managed, and developed CJA attorney panels to ensure that only highly qualified attorneys represent indigent defendants. In addition, the Courts have developed a new Counsel for Child Abuse and Neglect (CCAN) Plan for Family Court cases, adopting attorney practice standards and requiring attorney training and screening to ensure that attorneys appointed in these cases are well-qualified, and contracted for Guardian *ad litem* (GAL) services to enhance representation of abused and neglected children. The Guardianship Program for incapacitated adults has also been revised, imposing a training requirement on attorneys participating in the program.

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

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

Chart 1
DISTRICT OF COLUMBIA COURTS
 Organizational Structure

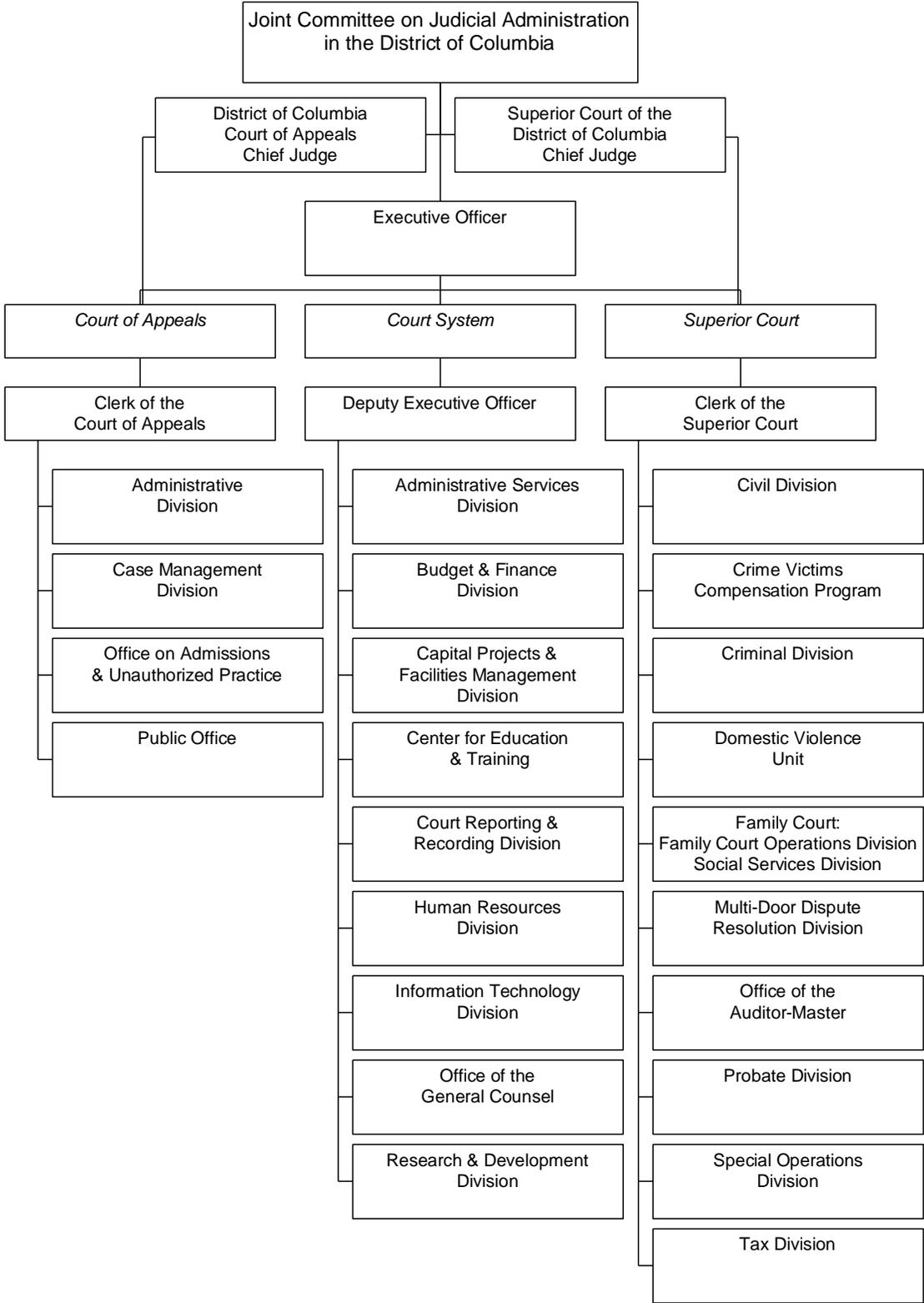


Table 1
DISTRICT OF COLUMBIA COURTS
FY 2015 Budget Justification
 Summary of Request
 (in dollars)

| | <u>FY 2014</u> <u>Enacted</u> | <u>FY 2015</u> <u>Request</u> | <u>Difference</u> <u>FY 2014/2015</u> |
|------------------------|----------------------------------|----------------------------------|--|
| Court of Appeals | 13,374,000 | 13,853,000 | 479,000 |
| Superior Court | 114,921,000 | 117,955,000 | 3,034,000 |
| Court System | <u>69,155,000</u> | <u>72,578,000</u> | <u>3,423,000</u> |
| Subtotal, Operations | 197,450,000 | 204,386,000 | 6,936,000 |
| Capital | 35,362,000 | 142,870,000 | 107,508,000 |
| Total, Federal Payment | 232,812,000 | 347,256,000 | 114,444,000 |
| Defender Services | 49,890,000 | 49,890,000 | 0 |

Table 2
DISTRICT OF COLUMBIA COURTS
FY 2015 Budget Justification
Summary Table

Operating Budget

| | <u>Amount</u> | <u>FTE</u> |
|--|--------------------|--------------|
| District of Columbia Court of Appeals | | |
| FY 2014 Level | 13,374,000 | 105 |
| Requested Increases | | |
| <i>A. Built-In Cost Increases:</i> | | |
| 1. COLA, FY 2015 (1%) | 118,000 | - |
| 2. Within-Grade Increases | 55,000 | - |
| 3. Non-pay built-in cost increases | 26,000 | - |
| 4. Pay Adjustment Required by <i>Barker v. US</i> | 280,000 | - |
| <i>Subtotal</i> | 479,000 | - |
| FY 2015 Budget, Court of Appeals | 13,853,000 | 105 |
| | | |
| Superior Court of the District of Columbia | | |
| FY 2014 Level | 114,921,000 | 952 |
| <i>Reductions</i> | <i>-1,200,000</i> | |
| Requested Increases | | |
| <i>A. Goal 1: Fair and Timely Case Resolution:</i> | | |
| 1. Enhancing Processing of Domestic Matters (Family Court Operations Division) | 373,000 | 4 |
| 2. Family Mediation Improvements (Multi-Door Division) | 51,000 | 1 |
| <i>Subtotal</i> | 424,000 | 5 |
| <i>B. Goal 2: Access to Justice</i> | | |
| 1. Guardianship Assistance Program Expansion (Probate Division) | 205,000 | 3 |
| <i>Subtotal</i> | 205,000 | 3 |
| <i>C. Goal 5: Public Trust and Confidence</i> | | |
| 1. Child Custody Assessments (Family Court Social Services Division) | 201,000 | 3 |
| <i>Subtotal</i> | 201,000 | 3 |
| <i>D. Built-In Cost Increases:</i> | | |
| 1. COLA, FY 2015 (1%) | 1,013,000 | - |
| 2. Within-Grade Increases | 485,000 | - |
| 3. Non-pay built-in cost increases | 361,000 | - |
| 4. Pay Adjustment Required by <i>Barker v. US</i> | 1,545,000 | - |
| <i>Subtotal</i> | 3,404,000 | - |
| FY 2015 Budget, Superior Court | 117,955,000 | 963 |
| | | |
| District of Columbia Court System | | |
| FY 2014 Level | 69,155,000 | 297 |
| Requested Increases | | |
| <i>A. Goal 4: A Sound Infrastructure</i> | | |
| 1. Enhancing Public Security (Initiatives Section) | 1,750,000 | - |
| 2. Maintenance Services for New Court Facilities (Capital Proj & Facilities Mgt Div) | 350,000 | - |
| 3. Securing Mail Services (Administrative Services Division) | 100,000 | 2 |
| <i>Subtotal</i> | 2,200,000 | 2 |
| <i>B. Built-In Cost Increases:</i> | | |
| 1. COLA, FY 2015 (1%) | 368,000 | - |
| 2. Within-Grade Increases | 197,000 | - |
| 3. Non-pay built-in cost increases | 658,000 | - |
| <i>Subtotal</i> | 1,223,000 | - |
| FY 2015 Budget, Court System | 72,578,000 | 299 |
| | | |
| FY 2015 Budget, Operations | 204,386,000 | 1,367 |

Capital Improvements

| | <u>Courts' Request</u> |
|---|------------------------|
| Renovations, Improvements & Expansions | |
| 1. Moultrie Courthouse Renovation & Reorganization | 7,560,000 |
| 2. Moultrie Courthouse Addition | 61,180,000 |
| 3. Courtrooms and Judges Chambers | 14,800,000 |
| 4. Campus Security, Signage and Lighting | 10,150,000 |
| 5. Integrated Web-Based Case Management System | <u>10,000,000</u> |
| <i>Subtotal, Renovations, Improvements & Expansions</i> | <i>103,690,000</i> |
| Maintain Existing Infrastructure | |
| 1. HVAC Electrical and Plumbing Upgrades | 11,460,000 |
| 2. Restroom Improvements | 1,210,000 |
| 3. Fire and Security Alarm Systems | 4,900,000 |
| 4. General Repair Projects | 13,510,000 |
| 5. Elevator and Escalator Repairs and Replacement | 250,000 |
| 6. Technology Infrastructure | 4,000,000 |
| 7. Historic Courthouse | 2,000,000 |
| 8. Building A Modernization | 130,000 |
| 9. Building B Modernization | <u>1,720,000</u> |
| <i>Subtotal, Maintain Existing Infrastructure</i> | <i>39,180,000</i> |
| FY 2015 Budget, Capital Improvements | 142,870,000 |

Defender Services

| | |
|--|-------------------|
| FY 2014 Level | 49,890,000 |
| Requested Increases | - |
| FY 2015 Budget, Defender Services | 49,890,000 |

**District of Columbia Courts
FY 2015 Budget Justification
Appropriations Language and Legislative Proposal**

LANGUAGE

Appropriations Language

FEDERAL PAYMENT TO THE DISTRICT OF COLUMBIA COURTS

For salaries and expenses for the District of Columbia Courts, [\$232,812,000] \$347,256,000 to be allocated as follows: for the District of Columbia Court of Appeals, [\$13,374,000] \$13,853,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the District of Columbia Superior Court, [\$114,921,000] \$117,955,000, of which not to exceed \$2,500 is for official reception and representation expenses; for the District of Columbia Court System, [\$69,155,000] \$72,578,000, of which not to exceed \$2,500 is for official reception and representation expenses; and [\$35,362,000] \$142,870,000, to remain available until September 30, [2015] 2016, for capital improvements for District of Columbia courthouse facilities: *Provided*, That funds made available for capital improvements shall be expended consistent with the District of Columbia Courts master plan study and [building evaluation report] *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 individuals serving the District of Columbia Courts. (*District of Columbia Appropriations Act, 2014*)

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, 2014)*

JUSTIFICATION

| ACCOUNT: FEDERAL PAYMENT TO THE DISTRICT OF COLUMBIA COURTS | |
|--|--|
| Proposed change | Amended Language: <i>Provided</i> , That funds made available for capital improvements shall be expended consistent with the District of Columbia Courts master plan study and [building evaluation report] <i>facilities condition assessment</i> : |
| Purpose | Updates the title of the report assessing maintenance requirements of District of Columbia Courts' facilities. |
| Justification | The D.C. Courts commissioned an updated evaluation of the condition and maintenance requirements of court facilities, following the renovation of several historic buildings. The new report, titled "District of Columbia Courts Facilities Condition Assessment," was completed in March 2013. The proposed language change clarifies that the appropriated funds are to be expended consistent with the updated assessment. |

**District of Columbia Courts
FY 2015 Budget Justification
Initiatives**

ENHANCING PUBLIC SECURITY

| Initiative Element | Requested Increase |
|---|--------------------|
| Acquire and Install New Access Control System | \$1,750,000 |

Problem Statement. The Courts’ current access control system, Picture Perfect, was installed in 2004 and is reaching the end of its useful life. United Technologies Corporation, the company responsible for the operation and maintenance of the system, announced that it will no longer support the system after 2014. In the event of system malfunction, replacement parts will not be available, rendering the system inoperable. To ensure the safety and security of court facilities it is critical that the Courts replace the existing access control system prior to its discontinuation.

The D.C. Courts operate one of the busiest courthouse complexes in the country. On a daily basis, between 10,000 and 15,000 persons visit the D.C. Courts, and between 150 and 350 prisoners are processed in the Moultrie Courthouse. With progress being made on the Master Plan for the D.C. Courts Facilities, court proceedings are now occurring in all court buildings, including the Historic Courthouse, Buildings A, B, and C, and the Moultrie Courthouse. The Courts have support offices located in Gallery Place. In addition, juvenile probation services are provided in four centers located in various areas of the community.

Increasing incidents of violence in courthouses throughout the country has made the enhancement of courthouse security a top priority nationwide. A survey by the American Bar Association found that 60% of judges have been threatened, and locally the U.S. Marshals Service has reported an increase in threats against judicial officers at the District of Columbia Courts.

Central to ensuring that the Courts provide a safe and secure environment for the administration of justice is an up to date, functional access control system which programs the electronic locks on interior and exterior courthouse doors and limits who can enter. The access control system serves as the first line of defense, enabling the Courts to manage access into court buildings and into secure areas within those buildings. The system permits authorized persons to enter an area by swiping their ID badges. It integrates with other security systems, including the closed circuit television (CCTV) system, the fire alarm system, intrusion detection modules, duress alarms, the intercom system, remote control of doors and cameras, and the public address system.

Relationship to Court Vision, Mission and Strategic Goals. The replacement of our access control system supports the Courts’ Objective 4.C – “The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.” A secure environment is essential to the Courts’ mission of protecting rights and liberties and upholding the law.

Proposed Solution. The Courts plan to procure and install a new access control system in all court facilities.

Methodology. The cost estimate is based on responses to a Request for Information issued by the Courts.

Expenditure Plan. The access control system will be procured in accordance with the Courts' Procurement Policies and Guidelines.

Performance Indicators. Performance indicators include continued operation of the access control system and compliance with federal courthouse security standards. Ultimately in the area of security, the best measure of performance is the avoidance of harm to individuals and facilities. Since the precise level and nature of the risks cannot be known, it is difficult, at best, to prove the efficacy of any security enhancement. The approach taken here is to identify known risks and gaps in existing security and to address them proactively.

DISTRICT OF COLUMBIA COURT OF APPEALS

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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> |
| 103 | 12,804,000 | 105 | 13,374,000 | 105 | 13,853,000 | 0 | 199,000 |

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

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

Organizational Structure

The Office of the Clerk of the Court

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

- **Public Office** - The public office is responsible for receiving all incoming documents, docketing pleadings, maintaining the official case files, receiving and answering public inquiries, providing internal mail service, and supporting courtroom operations. This office currently has 12 FTEs.
- **Case Management Division** - The case management division oversees the processing of cases prior to calendaring for argument or submission without argument. The process includes handling all motions matters, establishing briefing schedules, and overseeing all deadlines and those matters expedited by order of the court. The division reviews all incoming motions and pleadings, and prepares proposed orders, *sua sponte* or in response to motions filed by the parties, for approval by the Clerk, Chief Judge, or a motions division (three judges). Attorneys in the division provide legal analyses (and recommended dispositions) in substantive motions and emergency matters and matters

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

- Immediate Office - The immediate office, which includes the Clerk and the Chief Deputy Clerk, is responsible for the general administration of the Clerk's Office; coordination of the processing of appeals after briefing such as calendaring, case screening, and the processing of motions and orders in calendared matters; coordination of the issuance of opinions and mandates, petitions for rehearing and/or rehearing *en banc*; the processing of bar-related disciplinary, admissions, and unauthorized practice of law matters; and the preparation of court statistics. This office currently has 7 FTEs.
- Committee on Admissions and the Committee on the Unauthorized Practice of Law - The staff of the Committee on Admissions and the Committee on Unauthorized Practice of Law administers the Bar examination; processes applications for admission to the Bar by examination and motion, applications for authorization to practice as special legal consultants, applications by law students to practice under D.C. App. R. 48 and motions to appear *pro hac vice*; collects admissions and related fees; provides staff support for the investigation of complaints against unauthorized persons practicing law; and provides support to the two committees, which ensure that local legal needs are met by properly qualified and licensed attorneys. The office currently has 6 FTEs.
- Administrative Office - The administrative staff is responsible for the provision of budget and accounting, personnel, information technology, telecommunications, library, procurement, and facilities management services for the Court. This office currently has 7 FTEs.

Organizational Objectives

Strategic Goal 1: Fair and Timely Case Resolution

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

Management Action Plan: To review and revise, as appropriate, time standards for responding to requests for information and documentation, docketing information submitted for appeal purposes, case processing and implementing quality assurance 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 programs 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: case processing and bar admissions and related activities. Case processing performance indicators include the case clearance rate, or the ratio of cases disposed to cases filed in a given year; and the reduction of cases pending at the end of the year. Factors including the number of case filings, number and type of dispositions, cases pending, time involved in various stages of the case process, and types of cases pending are used to assess staffing needs.

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

| Fiscal Year | Cases Filed | Cases Disposed | Case Clearance Rate* | Cases Pending | Motions and Petitions Filed |
|--------------------|--------------------|-----------------------|-----------------------------|----------------------|------------------------------------|
| 2011 | 1,803 | 2,029 | 110% | 1,873 | 6,027 |
| 2012 | 2,126 | 1,845 | 88% | 2,191 | 6,523 |

*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 |
|--------------------|--|--|---|--|
| 2011 | 3,294 | 2,290 | 10,446 | 624 |
| 2012 | 3,957 | 2,429 | 11,454 | 537 |

Case Processing and Operational Efficiency Initiatives

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

- The Court of Appeals implemented the Web-based Voucher System which automated the voucher payment process for attorneys appointed under the Criminal Justice Act, resulting in a more cost-efficient operation and enhanced service to attorneys for the Court.
- The Court implemented the first phase of a new case management system (“e-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 next phase of implementation is e-filing which facilitates access to the court and enhances operational efficiency.

- The Court is working with the National Center for State Courts to examine operations in the Clerk's Office and to provide recommendations to enhance operational efficiencies. Best practices research and a staffing analysis are included as part of the project.
- The Court implemented two programs to enhance public access and trust and confidence in the judiciary: (1) through the Education Outreach Initiative the Court hears oral arguments at community law schools, and (2) oral arguments are broadcast live over the Internet.
- The Court of Appeals installed assistive listening devices in the courtroom for attorneys, litigants, judges, and the public and improved quality recording of oral arguments which can be made available on compact disks. The system permits court staff to hear oral arguments through their desktop PC's and permits audio-streaming of the oral arguments over the internet for the public.
- The Court developed and conducts annually a continuing legal education course on appellate practice for members of the D.C. Bar.
- The Court of Appeals continued to enhance the instructional materials available through the internet for litigants and for attorneys seeking admission to the Bar, and to provide internet access to the Court's rules, forms, and opinions. The Court of Appeals section of the website can be accessed directly at www.dcappeals.gov.
- 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 Criminal Justice Act attorneys and training of D.C. Superior Court Child Abuse and Neglect attorneys concerning appellate issues.
- Pursuant to its updated plan for furnishing representation to indigent criminal and juvenile appellants under the Criminal Justice Act (CJA), and an extensive application process, the Court established a new list of attorneys to be appointed under the CJA in 2005. Approximately 80 well-qualified attorneys were selected from over 300 applicants. Re-evaluation of members of the panel of attorneys and consideration of new applicants occurred in every year thereafter.

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

Table 3
COURT OF APPEALS
Performance Measurement Table

| Type of Indicator | Performance Indicator | Data Source | FY 2012 Actual | Projection FY 2013 | Projection FY 2014 | Projection FY 2015 |
|-------------------------|----------------------------|-------------|----------------|--------------------|--------------------|--------------------|
| Input | Number appeals filed | Court data | 2,126 | 1,932 | 2,029 | 2,125 |
| Output/ Activity | Number of cases disposed | Court data | 1,845 | 2,081 | 2,164 | 2,233 |
| Productivity/Efficiency | Cases disposed/cases filed | Court data | 88% | 108% | 107% | 106% |

FY 2015 Request

In FY 2015, the D.C. Courts request for the Court of Appeals is \$13,853,000 an increase of \$479,000 (3.58%) above the FY 2014 enacted level. The requested increase consists entirely of built-in cost increases, including a pay adjustment required by *Barker v. U.S.*.

Table 4
COURT OF APPEALS
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|------------------------------------|-------------------|-------------------|-------------------|-------------------------|
| 11 - Personnel Compensation | 9,234,000 | 9,329,000 | 9,688,000 | 359,000 |
| 12 - Personnel Benefits | 2,321,000 | 2,204,000 | 2,298,000 | 94,000 |
| Subtotal Personnel Cost | 11,555,000 | 11,533,000 | 11,986,000 | 453,000 |
| 21 - Travel, Transp. of Persons | 57,000 | 55,000 | 57,000 | 2,000 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 98,000 | 95,000 | 97,000 | 2,000 |
| 24 - Printing & Reproduction | 83,000 | 79,000 | 81,000 | 2,000 |
| 25 - Other Services | 251,000 | 884,000 | 889,000 | 5,000 |
| 26 - Supplies & Materials | 88,000 | 85,000 | 87,000 | 2,000 |
| 31 - Equipment | 672,000 | 643,000 | 656,000 | 13,000 |
| Subtotal Non-Personnel Cost | 1,249,000 | 1,841,000 | 1,867,000 | 26,000 |
| TOTAL | 12,804,000 | 13,374,000 | 13,853,000 | 479,000 |
| FTE | 103 | 105 | 105 | 0 |

Table 5
COURT OF APPEALS
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---------------------------------|--|-----|---------|----------------------------|
| 11 - Personnel Compensation | Current Positions COLA | 105 | 91,000 | |
| | Current Positions WIG | 105 | 42,000 | |
| | Pay Adjustment Required by <i>Barker v. U.S.</i> | | 226,000 | |
| Subtotal, 11 | | | | 359,000 |
| 12 - Personnel Benefits | Current Positions COLA | 105 | 27,000 | |
| | Current Positions WIG | 105 | 13,000 | |
| | Pay Adjustment Required by <i>Barker v. U.S.</i> | | 54,000 | |
| Subtotal, 12 | | | | 94,000 |
| 21 - Travel, Transp. of Persons | Built-In Increase | | | 2,000 |
| 22 - Transportation of Things | | | | 0 |
| 23 - Rent, Commun. & Utilities | Built-In Increase | | | 2,000 |
| 24 - Printing & Reproduction | Built-In Increase | | | 2,000 |
| 25 - Other Services | Built-In Increase | | | 5,000 |
| 26 - Supplies & Materials | Built-In Increase | | | 2,000 |
| 31 - Equipment | Built-In Increase | | | 13,000 |
| TOTAL | | | | 479,000 |

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

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|--------------------|--------------------|--------------------|
| JS-5 | | | |
| JS-6 | 1 | 1 | 1 |
| JS-7 | 2 | 2 | 2 |
| JS-8 | 2 | 2 | 2 |
| JS-9 | 9 | 9 | 9 |
| JS-10 | 4 | 4 | 4 |
| JS-11 | 54 | 55 | 54 |
| JS-12 | 9 | 9 | 10 |
| JS-13 | 6 | 7 | 7 |
| JS-14 | 3 | 3 | 3 |
| JS-15 | 2 | 2 | 2 |
| JS-16 | | | |
| CES | 2 | 2 | 2 |
| Ungraded | 9 | 9 | 9 |
| Total Salaries | 9,234,000 | 9,329,000 | 9,688,000 |
| Total FTEs | 103 | 105 | 105 |

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA

Overview

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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> |
| 952 | 113,981,000 | 952 | 114,921,000 | 963 | 117,955,000 | 11 | 3,034,000 |

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 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 2012, nearly 100,000 new cases were filed with the Superior Court. Of the total new filings, 56% were civil cases; 21% were criminal cases; 13% were family cases; 7% were domestic violence cases and the remaining 3% 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> |
|--------------------|------------------|------------------------------------|--|
| 2008 | 117,965 | 54,930 | 172,895 |
| 2009 | 115,045 | 53,876 | 171,972 |
| 2010 | 103,871 | 47,977 | 151,848 |
| 2011 | 101,941 | 45,562 | 157,648 |
| 2012 | 99,185 | 44,077 | 151,187 |

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

Table 2
District of Columbia Superior Court Efficiency Measures (Fiscal Year 2012 data)

| | Cases Disposed | Cases Added | Clearance Rate* | Cases Pending | | |
|-------------------|----------------|----------------|-----------------|---------------|---------------|------------|
| | | | | 01-Oct | 30-Sep | Change |
| Civil | 56,686 | 56,500 | 100% | 15,712 | 15,526 | -1% |
| Criminal | **28,614 | 26,893 | 106% | 8,727 | 7,174 | -18% |
| Domestic Violence | 7,441 | 7,599 | 98% | 824 | 982 | 19% |
| Family | 15,095 | 12,713 | 119% | 10,522 | 8,140 | -23% |
| Probate | 3,000 | 3,045 | 99% | 6,847 | 6,892 | 1% |
| Tax | 521 | 360 | 145% | 1,445 | 1,284 | -11% |
| Total | 106,095 | 107,110 | 99% | 44,077 | 39,998 | -9% |

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

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

FY 2015 Request

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

- **Goal 1:** Fair and timely case resolution;
- **Goal 2:** Access to justice;

- **Goal 3:** A strong judiciary and workforce;
- **Goal 4:** A sound infrastructure;
- **Goal 5:** Public trust and confidence.

The Superior Court has aligned its FY 2015 request around three of the five goals— fair and timely case resolution, access to justice, and public trust and confidence.

In FY 2015, the Superior Court requests \$117,955,000 and 963 FTEs, an increase of \$4,234,000 offset by a reduction for non-recurring costs of \$1,200,000, for a net increase of \$3,034,000 (2.6%) and 11 FTEs above the FY 2014 enacted level. The request includes increases to support the following Court goals:

Goal 1: Fair and timely case resolution, \$424,000, 5 FTEs

The Superior Court's FY 2015 request includes \$424,000 for 5 FTEs to address the Courts' strategic goal of fair and timely case resolution, including \$373,000 and 4 FTEs to enhance timeliness in domestic matters as recommended by a D.C. Bar task force and \$51,000 and 1 FTE to enhance the timeliness of family mediations.

Goal 2: Access to Justice, \$205,000, 3 FTEs

The Superior Court's FY 2015 request includes \$205,000 and 3 FTEs to enhance access to justice by increasing oversight of guardians appointed to meet the needs of vulnerable incapacitated adults who are wards of the court.

Goal 5: Public Trust and Confidence, \$201,000 and 3 FTEs

The Superior Court's FY 2015 request includes \$201,000 and 3 FTEs to address the Courts' goal of engendering public trust and confidence by assessing and conducting home studies for families with disputed child custody cases.

Table 3
SUPERIOR COURT
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 – Compensation | 75,619,000 | 76,889,000 | 80,056,000 | 3,167,000 |
| 12 – Benefits | 17,675,000 | 18,392,000 | 19,098,000 | 706,000 |
| <i>Subtotal Personal Services</i> | <i>93,294,000</i> | <i>95,281,000</i> | <i>99,154,000</i> | <i>3,873,000</i> |
| 21 - Travel, Transp. of Persons | 463,000 | 385,000 | 393,000 | 8,000 |
| 22 - Transportation of Things | 13,000 | 11,000 | 12,000 | 1,000 |
| 23 - Rent, Commun. & Utilities | 3,266,000 | 3,120,000 | 3,580,000 | 460,000 |
| 24 - Printing & Reproduction | 582,000 | 558,000 | 572,000 | 14,000 |
| 25 - Other Services | 14,680,000 | 13,965,000 | 12,593,000 | -1,372,000 |
| 26 - Supplies & Materials | 936,000 | 893,000 | 920,000 | 27,000 |
| 31 – Equipment | 747,000 | 708,000 | 731,000 | 23,000 |
| <i>Subtotal Nonpersonal Services</i> | <i>20,687,000</i> | <i>19,640,000</i> | <i>18,801,000</i> | <i>-839,000</i> |
| TOTAL | 113,981,000 | 114,921,000 | 117,955,000 | 3,034,000 |
| FTE | 952 | 952 | 963 | 11 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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> |
| 204 | 26,349,000 | 204 | 24,128,000 | 204 | 26,008,000 | 0 | 1,880,000 |

Organizational Background

The Superior Court of the District of Columbia is the court of general jurisdiction over virtually all local legal matters. In FY 2012, Superior Court judges handled more than 98,000 new case filings. The judges of the Superior Court rotate to each division on a scheduled basis, with judges in the Family Court serving renewable three year terms. Each Superior Court judge has an administrative assistant and a law clerk.

FY 2015 Request

In FY 2015, the Courts request \$26,008,000 for Judges and Chambers Staff, an increase of \$1,880,000 (8%) above the FY 2014 enacted level. The request consists entirely of built-in cost increases, including a pay adjustment required by *Barker v. U.S.*

Table 1
**JUDGES AND CHAMBERS STAFF
Budget Authority by Object Class**

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 21,948,000 | 21,518,000 | 23,154,000 | 1,636,000 |
| 12 - Personnel Benefits | 4,286,000 | 2,502,000 | 2,742,000 | 240,000 |
| <i>Subtotal Personal Services</i> | <i>26,234,000</i> | <i>24,020,000</i> | <i>25,896,000</i> | <i>1,876,000</i> |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 9,000 | 7,000 | 8,000 | 1,000 |
| 25 - Other Services | 0 | 0 | 0 | 0 |
| 26 - Supplies & Materials | 59,000 | 55,000 | 57,000 | 2,000 |
| 31 - Equipment | 47,000 | 46,000 | 47,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | <i>115,000</i> | <i>108,000</i> | <i>112,000</i> | <i>4,000</i> |
| TOTAL | 26,349,000 | 24,128,000 | 26,008,000 | 1,880,000 |
| FTE | 204 | 204 | 204 | 0 |

Table 2
JUDGES AND CHAMBERS STAFF
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/FY 2015 |
|---|--|-----|-----------|-------------------------------|
| 11 - Personnel Compensation | Current Position WIG | 204 | 47,000 | |
| | Current Position COLA | | 208,000 | |
| | Pay Adjustment Required by <i>Barker v. U.S.</i> | | 1,381,000 | |
| <i>Subtotal 11</i> | | | | <i>1,636,000</i> |
| 12 - Personnel Benefits | Current Position WIG | | 14,000 | |
| | Current Position COLA | | 62,000 | |
| | Pay Adjustment Required by <i>Barker v. U.S.</i> | | 164,000 | |
| <i>Subtotal 12</i> | | | | <i>240,000</i> |
| <i>Subtotal Personal Services</i> | | | | <i>1,876,000</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 | | | 0 |
| 26 - Supplies & Materials | Built-in Increase | | | 2,000 |
| 31 - Equipment | Built-in Increase | | | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | <i>4,000</i> |
| Total | | | | 1,880,000 |

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

| Grade | 2013 Enacted | 2014 Enacted | 2015 Request |
|---------------------|-------------------|-------------------|-------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | | | |
| JS-7 | | | |
| JS-8 | | | |
| JS-9 | | | |
| JS-10 | 75 | 75 | 76 |
| JS-11 | 65 | 65 | 64 |
| JS-12 | 1 | 1 | 1 |
| JS-13 | | | |
| JS-14 | 1 | 1 | 1 |
| JS-15 | | | |
| Ungraded | 62 | 62 | 62 |
| Total Salary | 21,948,000 | 21,518,000 | 23,154,000 |
| Total FTEs | 204 | 204 | 204 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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> |
| 49 | 7,004,000 | 49 | 7,099,000 | 49 | 7,184,000 | 0 | 85,000 |

Organizational Background

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

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

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

FY 2015 Request

In FY 2015, the Courts request \$7,184,000 for Magistrate Judges and Staff, an increase of \$85,000 (1%) above the FY 2014 enacted level. The requested increase consists entirely of built-in cost increases.

Table 1
MAGISTRATE JUDGES AND STAFF
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 5,577,000 | 5,528,000 | 5,591,000 | 63,000 |
| 12 - Personnel Benefits | 1,397,000 | 1,547,000 | 1,566,000 | 19,000 |
| <i>Subtotal Personal Services</i> | 6,974,000 | 7,075,000 | 7,157,000 | 82,000 |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 6,000 | 4,000 | 5,000 | 1,000 |
| 25 - Other Services | 0 | 0 | 0 | 0 |
| 26 - Supplies & Materials | 13,000 | 11,000 | 12,000 | 1,000 |
| 31 - Equipment | 11,000 | 9,000 | 10,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | 30,000 | 24,000 | 27,000 | 3,000 |
| TOTAL | 7,004,000 | 7,099,000 | 7,184,000 | 85,000 |
| FTE | 49 | 49 | 49 | 0 |

Table 2
MAGISTRATE JUDGES AND STAFF
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/FY 2015 |
|---|-------------------------------|------------|-------------|---------------------------------------|
| 11 - Personnel Compensation | Current Position WIG | 49 | 7,000 | |
| | Current Position COLA | | 56,000 | |
| <i>Subtotal 11</i> | | | | 63,000 |
| 12 - Personnel Benefits | Current Position WIG | | 2,000 | |
| | Current Position COLA | | 17,000 | |
| <i>Subtotal 12</i> | | | | 19,000 |
| <i>Subtotal Personal Services</i> | | | | 82,000 |
| 21 - Travel, Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | | | | |
| 24 - Printing & Reproduction | Built-in Increase | | | 1,000 |
| 25 - Other Services | | | | |
| 26 - Supplies & Materials | Built-in Increase | | | 1,000 |
| 31 - Equipment | Built-in Increase | | | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | 3,000 |
| Total | | | | 85,000 |

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

| Grade | 2013 Enacted | 2014 Enacted | 2015 Request |
|---------------------|------------------|------------------|------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | | | |
| JS-7 | | | |
| JS-8 | | | |
| JS-9 | 10 | 10 | 9 |
| JS-10 | 12 | 12 | 13 |
| JS-11 | | | |
| JS-12 | | | |
| JS-13 | | | |
| JS-14 | 2 | 2 | 2 |
| JS-15 | 25 | 25 | 25 |
| CES | | | |
| Total Salary | 5,577,000 | 5,528,000 | 5,591,000 |
| Total FTEs | 49 | 49 | 49 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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 | 610,000 | 5 | 673,000 | 5 | 688,000 | 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 Superior Court divisions and offices, reviews and issues final decisions in employee disciplinary actions and grievances, approves division requests for staff, equipment and other resources, plans and monitors the implementation of court improvement projects, and develops the Superior Court’s annual budget. The Office of the Clerk of the Court contributes to the Court’s strategic goals of providing managerial assistance and support to the operating divisions so they can provide fair, swift, and accessible justice, enhance public safety, and ensure public trust and confidence in the justice system.

Organizational Background

Court divisions and offices under the administrative authority of the Clerk of the Court include the Civil Division; Crime Victim’s Compensation Office; Criminal Division; Domestic Violence Unit; Family Court Operations Division; Multi-Door Dispute Resolution Division; Probate Division; Special Operations Division; and the Office of the Auditor Master. The Clerk of the Court is responsible for ensuring that each division and program processes all cases in a timely manner and provides the judicial officers, citizens of the District of Columbia and the persons conducting business with the court with timely and accurate customer service. The Clerk of the Court also delegates to each director the responsibility to manage staff, budgetary, and operating resources. The Office of the Clerk has 5 FTEs, consisting of the Clerk of the Court, two Senior Operations Managers, and two administrative support employees.

FY 2015 Request

For FY 2015, the D.C. Courts request \$688,000 for the Office of the Clerk of the Court, an increase of \$15,000 (2%) above the FY 2014 enacted level. The requested increase consists entirely of built-in cost increases.

Table 1
CLERK OF THE COURT
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 509,000 | 518,000 | 528,000 | 10,000 |
| 12 - Personnel Benefits | 87,000 | 145,000 | 148,000 | 3,000 |
| <i>Subtotal Personal Services</i> | 596,000 | 663,000 | 676,000 | 13,000 |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 0 | 0 | 0 | 0 |
| 26 - Supplies & Materials | 9,000 | 7,000 | 8,000 | 1,000 |
| 31 - Equipment | 5,000 | 3,000 | 4,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | 14,000 | 10,000 | 12,000 | 2,000 |
| TOTAL | 610,000 | 673,000 | 688,000 | 15,000 |
| FTE | 5 | 5 | 5 | 0 |

Table 2
CLERK OF THE COURT
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/FY 2015 |
|---|-------------------------------|------------|-------------|---------------------------------------|
| 11 - Personnel Compensation | Current Position WIG | 5 | 4,000 | |
| | Current Position COLA | | 6,000 | |
| <i>Subtotal 11</i> | | | | 10,000 |
| 12 - Personnel Benefits | Current Position WIG | | 1,000 | |
| | Current Position COLA | | 2,000 | |
| <i>Subtotal 12</i> | | | | 3,000 |
| <i>Subtotal Personal Services</i> | | | | 13,000 |
| 21 - Travel, Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | | | | |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | | | | |
| 26 - Supplies & Materials | Built-in Increases | | | 1,000 |
| 31 - Equipment | Built-in Increases | | | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | 2,000 |
| Total | | | | 15,000 |

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

| Grade | 2013 Enacted | 2014 Enacted | 2015 Request |
|---------------------|-------------------------|-------------------------|-------------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | | | |
| JS-7 | | | |
| JS-8 | 1 | 1 | 1 |
| JS-9 | | | |
| JS-10 | | 1 | 1 |
| JS-11 | 1 | | |
| JS-12 | | | |
| JS-13 | | | |
| JS-14 | 2 | 2 | 2 |
| JS-15 | | | |
| CES | 1 | 1 | 1 |
| Total Salary | 509,000 | 518,000 | 528,000 |
| Total FTEs | 5 | 5 | 5 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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 | 7,464,000 | 104 | 8,315,000 | 104 | 8,460,000 | 0 | 145,000 |

The Civil Division has jurisdiction over any civil action at law or in equity (excluding family matters) brought in the District of Columbia, except where jurisdiction is exclusively vested in the Federal court. The Division is comprised of four branches. The Division’s mission is to deliver quality services to all users of the civil case processing system, to support the judiciary and to facilitate timely dispositions, thereby increasing the public's trust and confidence in the Court.

Organizational Background

The Division is comprised of a Director’s Office, which has five full time equivalent employees, (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 2012 there were more than 9,500 civil action cases filed. Branch responsibilities also include providing procedural information to the public, reviewing electronically filed documents and in-person filings for compliance with Court Rules, processing all post-judgment enforcement requests, scanning documents into the case tracking system, and securely maintaining all civil cases, physically and electronically. This branch has 28 FTEs.
2. The Quality Review Branch monitors compliance with time limits imposed by Court Rules, schedules events, handles identity consolidation matters, issues notices, reviews and validates reports, and manages all civil courtroom operations. This branch has 30 FTEs.
3. The Landlord Tenant Branch processes all actions for the possession of rental property and violations of lease agreements filed by landlords. The branch handled a caseload in excess of 36,200 filings in fiscal year 2012. This branch has 20 FTEs.
4. The Small Claims and Conciliation Branch oversees the processing, scheduling, and adjudication of cases where the amount in controversy is up to \$5,000. In FY 2012, there were over 7,900 small claims cases filed. This branch has 21 FTEs.

Divisional Management Action Plan (MAP) Objectives

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

- Ensure fair and timely case resolution by providing optimal resources to judicial officers that support efficient courtroom operations, effective case management, and timely judicial decision making.
- Ensure procedural fairness to litigants by providing respectful treatment of customers, impartial case processing, and clear explanations of court procedures.
- Enhance customer service to the public by training court personnel on the unique needs of the elderly, self represented persons and individuals with physical and mental health issues.
- Promote access to legal services for self represented litigants by employing technology such as online chats and fillable forms.
- Maintain accurate data collection and reporting of division statistics and court performance measures by coordinating with the Information Technology Division, the Office of Strategic Management, and the Research and Development Division to utilize best practices and ensure integrity and transparency of division performance data.
- Align the Division's staffing with the Courts' strategic plan and the Division's MAP to enhance delivery of services and prepare for workforce changes.
- Encourage professional development through collaborative, intra-divisional cross training and strengthen internal communication to enhance workplace satisfaction and employee engagement.
- Maintain a strong workforce by fostering understanding and respect for all persons through cultural competency, civility, generational difference, and diversity training.

Divisional Restructuring and/or Work Process Redesign

During FY 2012, the Civil Division minimized delays for court participants through the use of staggered calendars. The Landlord and Tenant Branch implemented rule changes and procedures to further minimize wait time and reduce scheduling conflicts for court participants. The Division employed real-time docketing and scanning of court documents to ensure timely access to court information and documents. A pilot paper on demand process enhanced case processing in the Small Claims and Conciliation Branch and has just been extended to the Civil Actions Branch. The Division maintained a strong workforce that continues to adhere to the highest standards of excellence through intra-divisional cross-training and Employee Guidebooks. The Housing Conditions Calendar, which expedites tenants' actions to enforce housing code regulations, resolved 98% of its cases within 365 days of case initiation. With more than 53,000 new cases filed, the Division maintains a caseload clearance rate in excess of

100% (with a 105% clearance rate for civil actions cases, 101% clearance rate for small claims cases and 100% clearance rate for Landlord Tenant cases).

Workload Data

As shown in Table 1 below, the Civil Division disposed of more than 53,000 cases in fiscal year 2012, including more than 9,500 civil actions, 36,000 landlord and tenant cases, and 7,900 small claims cases. The Civil Division’s current caseload and efficiency measures are reflected in Table 1, and the key performance measures are displayed in Table 2.

Table 1
CIVIL DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2012 Data)

| | Case Filings | Dispositions | Clearance Rate* | Pending Cases | | |
|-------------------|---------------|---------------|-----------------|---------------|--------------|--------------|
| | | | | 1-Oct | 30-Sep | Change |
| Civil Actions | 9,581 | 10,475 | 105% | 7,524 | 7,551 | 0.4% |
| Landlord & Tenant | 36,217 | 36,569 | 100% | 5,589 | 5,893 | -19.9% |
| Small Claims | 7,930 | 8,321 | 101% | 2,599 | 2,082 | 5.4% |
| Total | 53,728 | 55,365 | 101% | 15,712 | 15526 | -1.2% |

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

Table 2
CIVIL DIVISION
Performance Indicators

| Type of Indicator | Key Performance Indicator | Data Source | FY 2012* | | FY 2013** | | FY 2014 | | FY 2015 | |
|-------------------|---|------------------|----------|--------|-----------|----------|---------|----------|---------|----------|
| | | | Goal | Actual | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Output | General Civil II Complaints disposed within 24 months | CourtView Report | 98% | 96% | 98% | 98% | 98% | 98% | 98% | 98% |
| Output | Landlord & Tenant Non-Jury cases disposed within 150 days | CourtView Report | 98% | 93% | 98% | 98% | 98% | 98% | 98% | 98% |
| Output | Small Claims Non-Jury cases disposed within 12 months | CourtView Report | 98% | 97% | 98% | 98% | 98% | 98% | 98% | 98% |
| Output | Civil I Complaints disposed within 36 months | CourtView Report | 98% | 82% | 98% | 98% | 98% | 98% | 98% | 98% |
| Output | Collection & Subrogation Cases disposed within 30 months | CourtView Report | 98% | 99% | 98% | 98% | 98% | 98% | 98% | 98% |
| Output | Title 47 Tax Lien cases disposed within 36 months | CourtView Report | 98% | 96% | 98% | 98% | 98% | 98% | 98% | 98% |
| Output | Housing Conditions Cases disposed of within 180 days | CourtView Report | 90% | 89% | 90% | 90% | 90% | 90% | 90% | 90% |

*Time to disposition actual percentages are for cases filed after March 1, 2008 and disposed in FY 2012.

** Time to disposition estimated percentages are for cases filed after March 1, 2008 and disposed in FY 2013.

FY 2015 Request

In FY 2015, the Courts request \$8,460,000 for the Civil Division, an increase of \$145,000 (2%) above the FY 2014 enacted level. The requested increase consists entirely of built-in cost increases.

Table 3
CIVIL DIVISION
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 – Personnel Compensation | 5,911,000 | 6,448,000 | 6,557,000 | 109,000 |
| 12 – Personnel Benefits | 1,481,000 | 1,802,000 | 1,835,000 | 33,000 |
| <i>Subtotal Personal Services</i> | <i>7,392,000</i> | <i>8,250,000</i> | <i>8,392,000</i> | <i>142,000</i> |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 22,000 | 20,000 | 21,000 | 1,000 |
| 25 - Other Services | 0 | 0 | 0 | 0 |
| 26 - Supplies & Materials | 24,000 | 22,000 | 23,000 | 1,000 |
| 31 – Equipment | 26,000 | 23,000 | 24,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | <i>72,000</i> | <i>65,000</i> | <i>68,000</i> | <i>3,000</i> |
| TOTAL | 7,464,000 | 8,315,000 | 8,460,000 | 145,000 |
| FTE | 104 | 104 | 104 | 0 |

Table 4
CIVIL DIVISION
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---------------------------------|-------------------------------|------------|-------------|------------------------------------|
| 11 - Personnel Compensation | Current Positions WIG | 104 | 45,000 | |
| | Current Positions COLA | | 64,000 | |
| <i>Subtotal 11</i> | | | | <i>109,000</i> |
| 12 – Personnel Benefits | Current Positions WIG | | 14,000 | |
| | Current Positions COLA | | 19,000 | |
| <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 | | | 1,000 |
| 25 - Other Services | | | | |
| 26 - Supplies & Materials | Built-in | | | 1,000 |
| 31 – Equipment | Built-in | | | 1,000 |
| TOTAL | | | | 145,000 |

Table 5
CIVIL DIVISION
Detail of Full-Time Equivalent Employment

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|--------------------|--------------------|--------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | 15 | 14 | 6 |
| JS-7 | 21 | 15 | 18 |
| JS-8 | 21 | 29 | 33 |
| JS-9 | 22 | 21 | 22 |
| JS-10 | 9 | 9 | 9 |
| JS-11 | 4 | 4 | 4 |
| JS-12 | 4 | 4 | 4 |
| JS-13 | 6 | 6 | 6 |
| JS-14 | | | |
| JS-15 | 1 | | |
| CEMS | | 1 | 1 |
| CES | 1 | 1 | 1 |
| Total Salaries | 5,911,000 | 6,448,000 | 6,557,000 |
| Total FTEs | 104 | 104 | 104 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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> |
| 127 | 9,819,000 | 127 | 10,433,000 | 127 | 10,620,000 | 0 | 187,000 |

Mission Statement

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

Introduction

The Criminal Division’s duties include: 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”.²

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

The Criminal Division is comprised of the Director’s Office, four branches, and nine problem-solving courts.

- The Director’s Office is responsible for managing all the administrative, fiscal and personnel matters for the Criminal Division. The Office ensures that the Criminal Division’s branches comply with their obligations based on the Court Rules. The Director’s Office has 8 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

² Superior Court Rules of Criminal Procedures, Rule 1

branch also provides judicial officers, the public, law enforcement officers, and court staff with access to accurate criminal case information. This branch has 22 FTEs.

- The Courtroom Support Branch manages the courtroom clerks assigned to the many courtrooms managed by the Criminal Division. The branch also secures court evidence and trains courtroom clerks from other divisions who handle criminal cases. This branch has 43 FTEs.
- The Special Proceedings Branch manages two sections, 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 19 FTEs.
- The Quality Assurance Branch performs quality review of updates to the electronic case management system and the final disposition of cases, ensures that the judges' orders regarding release and commitment of defendants are followed, and handles matters regarding mental competency and federal designation of prisoners. The Quality Assurance Branch has 27 FTEs.
- The Criminal Division oversees six U.S. Misdemeanor Community Court calendars, the District of Columbia and Traffic Community Court, the Mental Health Community Court and the Drug Court. These specialized courts address quality-of-life offenses (e.g. public drinking, panhandling, prostitution, shoplifting, and some drug offenses) and minor criminal traffic violations, all of which can have a significant negative impact on the community's quality of life and can lead to more serious crime. Unlike traditional courts, Community Courts seek not only to hold offenders accountable for their actions, but also to repair the harm caused to the community by the offense. Offenders are frequently required to "pay back" the community by performing court-supervised community service. They also seek to reduce the likelihood of future criminal activities by linking offenders to treatment or services they may need. The Criminal Division Community Court has 7 FTEs.

Divisional MAP Objectives

The Criminal Division's strategic objectives for FY 2015 are as follows:

- Ensure procedural fairness for litigants by providing appropriate opportunities to be heard, respectful treatment, impartial case processing, and clear explanations of court procedures and decisions.
- Ensure that Criminal Division cases are resolved in a timely manner by maintaining the trial court performance standards within the statutory requirements that address time standards, trial certainty, staggered schedules, age of pending caseload, and accuracy of court records.
- Ensure efficient case processing by implementing case management plans, performance standards, and other best practices for all case types; processing motions and orders;

conducting case review; and processing all case dismissals and releases based on standard operating procedures.

- Ensure that warrants are accurately entered into the WALES warrant database to enhance public safety.
- Ensure timely case resolution by providing optimal resources to judicial officers that support courtroom operations, effective case management, and timely judicial decision-making by staffing courtroom operations with technologically savvy staff.
- Ensure that problem solving court procedures and programs are effective by increasing defendant accountability and evaluating program performance.
- Enhance employee performance by building a supportive management team to foster employee engagement and satisfaction to increase efficiency.
- Enhance assistance to the public by training court personnel on the unique needs of special populations such as the elderly and self-represented persons.
- Ensure respect and understanding for all persons by implementing an Employee Code of Conduct and developing training on the value of diversity and civility and on generational differences.
- Ensure that court personnel demonstrate professionalism, exemplify the Courts' values, and provide excellent customer service

Divisional Restructuring and/or Work Process Redesign

The Criminal Division continues its paper reduction and storage elimination work by scanning all documents into the Superior Court's database system, CourtView. This facilitates electronic exchange of vital court information with all criminal justice partners.

The Court will implement On Base imaging software. On Base will augment paper reduction initiative by expanding the ability to e-file government and defense motions and give the court the capacity to make some document images available on-line. On Base will also store documents directly to the docket. This will significantly reduce the need to scan files.

In addition to enhancing efficiency through paper reduction efforts, the Criminal Division enhanced assistance to the public by implementing a "More Than Three" policy, meaning that when there are more than three customers waiting in the line more staff is assigned to make sure that customers do not have to wait in long lines. In addition, customers are now able to request case information over the phone, reducing their need to appear in person for simple case information.

The new phone management system tracks the length of time a customer is left on hold, whether a call is dropped, and the overall number of incoming customer calls and assists management in assessing the quality of service to the public. Annual customer service training is also provided to all staff.

Workload Data

The caseload and efficiency table below shows that the Criminal Division disposed of over 34,186 cases in fiscal year 2012. This includes 1,809, D.C. misdemeanors; 6,160 felony cases; 8,028 traffic cases and 17,837 U.S. misdemeanors.

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

Table 1
CRIMINAL DIVISION
Caseload and Efficiency Measures (Calendar Year 2012)

| | New Filings | Pending Cases 31-Dec | Dispositions | Clearance Rate** |
|-------------------|-------------|-------------------------|--------------|------------------|
| D.C. Misdemeanor | 1,155 | 232 | 1,674 | 112% |
| Felony | 3,618 | 1,595 | 4,544 | 105% |
| Traffic | 5,041 | 1,559 | 6,676 | 109% |
| U.S. Misdemeanors | 10,494 | 3,650 | 14,298 | 103% |
| Total | 20,308 | 7,036 | 27,192 | 105% |

**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.

Table 2
Key Performance Indicators
CRIMINAL DIVISION
Time to Disposition (Calendar Year 2012)

| | Goal | Achieved |
|---|--------------------|--------------------|
| Felony I (Murder, Sexual Assault, etc.) | 75% within 12 mos. | 72% within 12 mos. |
| | 90% within 18 mos. | 88% within 18 mos. |
| | 98% within 24 mos. | 92% with 24 mos. |
| Felony II | 75% within 6 mos. | 78% within 6 mos. |
| | 90% within 9 mos. | 89% within 9 mos. |
| | 98% within 12 mos. | 95% within 12 mos. |
| AFTC | 75% within 6 mos. | 80% within 6 mos. |
| | 90% within 9 mos. | 88% within 9 mos. |
| | 98% within 12 mos. | 96% within 12 mos. |
| U.S. Misdemeanor | 75% within 4 mos. | 76% within 4 mos. |
| | 90% within 6 mos. | 91% within 6 mos. |
| | 98% within 9 mos. | 97% within 9 mos. |
| D.C. Misdemeanor | 75% within 4 mos. | 83% within 4 mos. |
| | 90% within 6 mos. | 92% within 6 mos. |
| | 98% within 9 mos. | 96% within 9 mos. |
| D.C. Traffic | 75% within 4 mos. | 57% within 4 mos. |
| | 90% within 6 mos. | 87% within 6 mos. |
| | 98% within 9 mos. | 96% within 9 mos. |

Table 3
CRIMINAL DIVISION
Trial Certainty: Jury Trials (Calendar Year 2012)

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

Table 4
CRIMINAL DIVISION
Trial Certainty: Non Jury Trials (Calendar Year 2012)

| | Goal | Achieved |
|------------------|---------------------------------------|---------------------------------------|
| Felony | 80% within 2 nd trial date | 82% within 2 nd trial date |
| U.S. Misdemeanor | 80% within 2 nd trial date | 87% within 2 nd trial date |
| D.C. Misdemeanor | 80% within 2 nd trial date | 90% within 2 nd trial date |
| Traffic | 80% within 2 nd trial date | 82% within 2 nd trial date |

FY 2015 Request

In FY 2015, the D.C. Courts request is \$10,620,000 for the Criminal Division. This request reflects an \$187,000 (2%) increase from FY 2014 enacted level. The requested increase consists entirely of built-in increases.

Table 5
CRIMINAL DIVISION
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|-------------------------|--------------------------|--------------------------|----------------------------|
| 11-Personnel Compensation | 7,768,000 | 8,077,000 | 8,219,000 | 142,000 |
| 12-Personnel Benefits | 1,950,000 | 2,260,000 | 2,302,000 | 42,000 |
| <i>Subtotal Personal Services</i> | <i>9,718,000</i> | <i>10,337,000</i> | <i>10,521,000</i> | <i>184,000</i> |
| 21-Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22-Transportation of Things | 0 | 0 | 0 | 0 |
| 23-Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24-Printing & Reproduction | 49,000 | 47,000 | 48,000 | 1,000 |
| 25-Other Services | 0 | 0 | 0 | 0 |
| 26-Supplies & Materials | 24,000 | 22,000 | 23,000 | 1,000 |
| 31-Equipment | 28,000 | 27,000 | 28,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | <i>101,000</i> | <i>96,000</i> | <i>99,000</i> | <i>3,000</i> |
| TOTAL | 9,819,000 | 10,433,000 | 10,620,000 | 187,000 |
| FTE | 127 | 127 | 127 | 0 |

Table 6
CRIMINAL DIVISION
Detail Difference FY 2014/FY 2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/FY 2015 |
|---|-------------------------------|------------|-------------|---------------------------------------|
| 11 - Personnel Compensation | Current Positions WIG | 127 | 61,000 | |
| | Current Position COLA | | 81,000 | |
| <i>Subtotal 11</i> | | | | <i>142,000</i> |
| 12 - Personnel Benefits | Current Positions WIG | | 18,000 | |
| | Current Position COLA | | 24,000 | |
| <i>Subtotal 12</i> | | | | <i>42,000</i> |
| <i>Subtotal Personal Services</i> | | | | <i>184,000</i> |
| 21 - Travel, Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | | | | |
| 24 - Printing & Reproduction | Built-in Increases | | | 1,000 |
| 25 - Other Services | | | | |
| 26 - Supplies & Materials | Built-in Increases | | | 1,000 |
| 31 - Equipment | Built-in Increases | | | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | <i>3,000</i> |
| Total | | | | 187,000 |

Table 7
CRIMINAL DIVISION
Detail of Full-Time Equivalent Employment

| Grade | 2013 Enacted | 2014 Enacted | 2015 Request |
|---------------------|-------------------------|-------------------------|-------------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | 7 | 7 | 8 |
| JS-7 | 21 | 21 | 8 |
| JS-8 | 37 | 37 | 39 |
| JS-9 | 29 | 29 | 38 |
| JS-10 | 16 | 16 | 16 |
| JS-11 | 3 | 2 | 3 |
| JS-12 | 6 | 7 | 6 |
| JS-13 | 5 | 5 | 5 |
| JS-14 | 1 | 1 | 1 |
| JS-15 | 1 | 1 | 2 |
| CEMS | | | |
| CES | 1 | 1 | 1 |
| Total Salary | 7,768,000 | 8,077,000 | 8,219,000 |
| Total FTEs | 127 | 127 | 127 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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 | 816,000 | 7 | 922,000 | 7 | 935,000 | 0 | 13,000 |

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 are victim interview, input in the case management software, verification, and investigation of the claim, recommendation, review, and approval. This office has 7 FTEs, consisting of a Director, Accounting Officer, Administrative Assistant, and four Legal Claims Examiners.

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

Administrative and Grant Funding

In addition to appropriated funds, the Crime Victims Compensation Program receives an annual grant to pay victims' claims from the U.S. Department of Justice under the Victims of Crime Act (VOCA.) The grant amount is based upon the amount of claims paid to victims. The Crime Victims Compensation Program receives 60% of the amount paid in victims' claims in the two years prior to the year of the grant award. In accordance with the administrative guidelines of

the VOCA Act, up to 5% of the grant may be used for administrative expenses including staff, training and other items related to the operation of the office.

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

Division MAP Objectives

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

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

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

In order to strengthen program outreach, the Crime Victims Compensation Program focused its limited 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 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., 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 assigns 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 D.C. 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, but it causes the service provider to have a greater understanding of and compassion for the many challenges faced by victims.

Workload Data

Table 1
CRIME VICTIMS COMPENSATION PROGRAM
Caseload Overview

| | Actual FY2012 | FY 2013 Estimated | % Change |
|---|---------------|-------------------|----------|
| New Cases Filed | 3,458 | 3,505 | +1% |
| Determinations Made | 3,090 | 3,645 | +18% |
| Number of Cases Pending at End of Fiscal Year | 1,320 | 1,180 | -11% |

Key Performance Indicators

Table 2
CRIME VICTIMS COMPENSATION PROGRAM
Performance Measurement Table

| Type of Indicator | Performance Indicator | Data Source | FY 2012 | | FY 2013 | | FY 2014 | | FY 2015 | |
|-------------------|----------------------------|--------------------------|----------|----------|----------|-----------|----------|------------|----------|------------|
| | | | Goal | Actual | Goal | Estimated | Goal | Projection | Goal | Projection |
| Input | # Of new claims filed | Case Management Software | 3,200 | 3,458 | 3,200 | 3,505 | 3,550 | 3,550 | 3,550 | 3,550 |
| Output | # Of claims processed | Case Management Software | 3,200 | 3,090 | 3,200 | 3,645 | 3,800 | 3,800 | 3,800 | 3,800 |
| Output | # Of payments | Case Management Software | 12,300 | 12,310 | 12,300 | 12,150 | 12,100 | 12,100 | 12,100 | 12,100 |
| Outcome | Dollar amount of payments | Case Management Software | \$9.2M | \$8.8M | \$9.2M | \$8.9M | \$9.0 M | \$9.0M | \$9.0M | \$9.0M |
| Outcome | Avg. claim processing time | Case Management Software | 12 weeks | 12 weeks | 12 weeks | 12 weeks | 11 weeks | 11 weeks | 11 weeks | 11 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 Office to provide more efficient and timely financial assistance to victims and their families.

FY 2015 Request

In FY 2015, the D.C. Courts request \$935,000 for the Crime Victims Compensation Program, an increase of \$13,000 (1%) above the FY 2014 enacted level. The requested increase consists entirely of built-in cost increases.

Table 3
CRIME VICTIMS COMPENSATION PROGRAM
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|------------------------|------------------------|------------------------|--------------------------------|
| 11 - Personnel Compensation | 624,000 | 702,000 | 710,000 | 8,000 |
| 12 - Personnel Benefits | 162,000 | 197,000 | 199,000 | 2,000 |
| <i>Subtotal Personal Services</i> | <i>786,000</i> | <i>899,000</i> | <i>909,000</i> | <i>10,000</i> |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 20,000 | 17,000 | 18,000 | 1,000 |
| 26 - Supplies & Materials | 5,000 | 3,000 | 4,000 | 1,000 |
| 31 – Equipment | 5,000 | 3,000 | 4,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | <i>30,000</i> | <i>23,000</i> | <i>26,000</i> | <i>3,000</i> |
| TOTAL | 816,000 | 922,000 | 935,000 | 13,000 |
| FTE | 7 | 7 | 7 | 0 |

Table 4
CRIME VICTIMS COMPENSATION PROGRAM
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---------------------------------|------------------------|-----|-------|----------------------------|
| 11 - Personnel Compensation | Current Positions WIG | 7 | 1,000 | |
| | Current Position COLA | | 7,000 | |
| <i>Subtotal, OC 11</i> | | | | <i>8,000</i> |
| 12 - Personnel Benefits | Current Position COLA | | 2,000 | |
| <i>Subtotal, OC 12</i> | | | | <i>2,000</i> |
| 21 - Travel, Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | | | | |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | Built-in Increases | | | 1,000 |
| 26 - Supplies & Materials | Built-in Increases | | | 1,000 |
| 31 - Equipment | Built-in Increases | | | 1,000 |
| Total | | | | 13,000 |

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

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|--------------------|--------------------|--------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | | | |
| JS-7 | | | |
| JS-8 | | | |
| JS-9 | | | |
| JS-10 | 1 | 1 | 1 |
| JS-11 | | | |
| JS-12 | 4 | 4 | 4 |
| JS-13 | | | |
| JS-14 | 1 | 1 | 1 |
| JS-15 | | | |
| CES | 1 | 1 | 1 |
| Total Salaries | 624,000 | 702,000 | 710,000 |
| Total FTEs | 7 | 7 | 7 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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 | 2,310,000 | 28 | 2,337,000 | 28 | 2,385,000 | 0 | 48,000 |

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 28 employees who support five judicial officers in administering justice and providing services to victims and perpetrators of domestic violence.

Management Action Plan (MAP) Objectives

The program's main objective is to provide increased access, improved convenience and clear, concise understanding of the court process 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 are 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. The Unit, as well as the Southeast Center, specializes in addressing these challenging cases in ways that increase victim safety, perpetrator accountability, and efficient and effective case adjudication, while assisting families affected by abuse and linking them to services and programs in the community that help victims of abuse and their families rebuild their lives free from violence.

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

Workload Data

In FY 2012, the Domestic Violence Unit processed 8,310 new filings and reinstated cases and disposed of 8,180 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 2012 through 2015.

Table 1
DOMESTIC VIOLENCE UNIT
Caseload and Efficiency Measures
(Fiscal Year 2012 Data)

| | Cases Filed | Cases Disposed | Clearance Rate* | Cases Pending | | |
|---------------------------------|--------------|----------------|-----------------|---------------|--------------|--------|
| | | | | 1-Oct | 30-Sep | Change |
| Contempt Motions | 352 | 350 | 99% | 85 | 87 | 2% |
| Intrafamily (Protection Orders) | 4,640 | 4,559 | 98% | 295 | 376 | 27% |
| Paternity & Child Support | 359 | 389 | 108% | 57 | 27 | -52% |
| U.S. Misdemeanors | <u>2,959</u> | <u>2,882</u> | 98% | <u>529</u> | <u>606</u> | 15% |
| Total | 8,310 | 8,180 | 98% | 966 | 1,096 | 13% |

Table 2
DOMESTIC VIOLENCE UNIT
Key Performance Measures

| Type of Indicator | Key Performance Indicator | Data Source | FY 2012 | | FY 2013 | | FY 2014 | | FY 2015 | |
|-------------------------|---|---------------------------------------|---------|--------|---------|----------|---------|----------|---------|----------|
| | | | Goal | Actual | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Output/Activity | Hearings/events scheduled | Yearly stats/Random sample | 36,600 | 35,371 | 35,500 | 35,500 | 35,500 | 35,500 | 35,500 | 35,500 |
| Quality | % of cases reviewed & processed within 48 hours in Court's database | Evaluation, survey, and random sample | 95% | 95% | 95% | 95% | 95% | 95% | 95% | 95% |
| Quality | % of cases reviewed & processed within 48 hours in MPD's database | Evaluation, survey, and random sample | 100% | 88% | 100% | 90% | 100% | 95% | 100% | 98% |
| End Outcome | Domestic Violence dispositions | Daily/Monthly Statistics | 9,000 | 8,180 | 8,200 | 8,200 | 8,300 | 8,300 | 8,400 | 8,400 |
| Productivity/Efficiency | Case clearance rates | Yearly statistics | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% |

FY 2015 Request

The D.C. Courts' FY 2015 request for the Domestic Violence Unit is \$2,385,000, an increase of \$48,000 (2%) above the FY 2014 enacted level. The requested increase consists entirely of built-in cost increases.

Table 3
DOMESTIC VIOLENCE UNIT
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 – Compensation | 1,834,000 | 1,818,000 | 1,853,000 | 35,000 |
| 12 – Benefits | 461,000 | 508,000 | 519,000 | 11,000 |
| <i>Subtotal Personal Services</i> | 2,295,000 | 2,326,000 | 2,372,000 | 46,000 |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 0 | 0 | 0 | 0 |
| 26 - Supplies & Materials | 7,000 | 5,000 | 6,000 | 1,000 |
| 31 - Equipment | 8,000 | 6,000 | 7,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | 15,000 | 11,000 | 13,000 | 2,000 |
| TOTAL | 2,310,000 | 2,337,000 | 2,385,000 | 48,000 |
| FTE | 28 | 28 | 28 | 0 |

Table 4
DOMESTIC VIOLENCE UNIT
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/ 2015 |
|---|-------------------------------|------------|-------------|-------------------------------------|
| 11 - Personnel Compensation | Current Position WIG | 28 | 16,000 | |
| | Current Position COLA | | 19,000 | |
| <i>Subtotal 11</i> | | | | 35,000 |
| 12 - Personnel Benefits | Current Position WIG | | 5,000 | |
| | Current Position COLA | | 6,000 | |
| <i>Subtotal 12</i> | | | | 11,000 |
| <i>Subtotal Personal Services</i> | | | | 46,000 |
| 21 - Travel, Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | | | | |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | | | | |
| 26 - Supplies & Materials | Built-in Increases | | | 1,000 |
| 31 - Equipment | Built-in Increases | | | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | 2,000 |
| Total | | | | 48,000 |

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

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|----------------------------|----------------------------|----------------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | 3 | 3 | |
| JS-7 | 3 | 3 | 3 |
| JS-8 | 7 | 7 | 10 |
| JS-9 | 8 | 8 | 8 |
| JS-10 | 3 | 3 | 3 |
| JS-11 | | | |
| JS-12 | 1 | 1 | 1 |
| JS-13 | 2 | 2 | 2 |
| JS-14 | | | |
| JS-15 | | | |
| CEMS | | | |
| CES | 1 | 1 | 1 |
| Total Salaries | 1,834,000 | 1,818,000 | 1,853,000 |
| Total FTEs | 28 | 28 | 28 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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> |
| 175 | 15,304,000 | 175 | 14,872,000 | 179 | 15,506,000 | 4 | 634,000 |

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. 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. This Branch operates with 21 FTEs.
2. The Paternity and Child Support Branch processes paternity actions and requests to establish, modify and enforce child support orders. This Branch operates with 25 FTEs.
3. The Juvenile and Neglect Branch is responsible for cases involving children alleged to be delinquent, neglected, abused, or otherwise in need of supervision. This Branch operates with 21 FTEs.
4. The Counsel for Child Abuse and Neglect (CCAN) Office recruits, trains, and assigns attorneys to provide representation for children, eligible parents, and caretakers in proceedings of child abuse and neglect. This Branch operates with 5 FTEs.
5. The Mental Health/Mental Habilitation Branch is responsible for matters involving the emergency hospitalization or detention of individuals in need of mental health services and

matters for persons with intellectual disabilities in need of habilitation services. This Branch operates with 10 FTEs.

6. The Courtroom Support and Quality Control Branch provides in-court clerical support to judicial officers presiding over Family Court cases and supports all branches by processing prisoner transfer requests, preparing daily assignments for courtroom clerks and court aides, reviewing juvenile files post-hearing, and conducting limited reviews of abuse and neglect files to facilitate compliance with the Adoptions and Safe Families Act (ASFA). This Branch operates with 49 FTEs.
7. The Attorney Advisor's Office, created within the Office of the Director, in response to the Family Court Act of 2001, assists the Family Court in maintaining compliance with the Federal ASFA, the D.C. ASFA and other child welfare laws applicable to abuse and neglect cases. This Office operates with 3 FTEs.
8. The Central Intake Center (CIC) serves as the initial point of contact between the public and the Family Court. Its mission is to provide comprehensive, timely, and efficient case processing services to the citizens of the District of Columbia and public agencies from one centralized location. The CIC initiates cases and receives all subsequent case filings, as well as the case filing fees. The CIC is the primary location for the dissemination of Family Court case status information to the public. This Branch operates with 25 FTEs.
9. The Family Court Self Help Center (SHC), developed in collaboration with the D.C. Bar, provides legal information and assistance to self-represented parties in Family Court cases. This Branch operates with 5 FTEs.
10. The Family Treatment Court, created as a result of a partnership between the Family Court and the Office of the Deputy Mayor for Children, Youth, Families, and Elders, in cooperation with key District health and human services stakeholders, is a voluntary comprehensive residential substance abuse treatment program for mothers/female caretakers whose children are the subject of a child neglect case. This specialty court operates with 1 FTE assigned to the Office of the Director.
11. The Fathering Court provides services to non-custodial parents exiting the penal system 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 these fathers to maintain a physical and emotional presence in the lives of their children. This specialty court operates with 2 FTEs assigned to the Office of the Director.
12. The Office of the Director is responsible for managing the division's budget, administrative staff, and resources. The Office of the Director oversees implementation of divisional objectives in support of the Courts' Strategic Plan and courtwide performance measures. The office is responsible for preparing all legally mandated reports on divisional operations to the local legislature and the U.S. Congress. This Office operates with 8 FTEs including those in specialized assignments as noted above.

The Family Court Operations Division Management Action Plan Objectives

- Ensure division performance by collaborating with judicial leadership to achieve established case processing time standards per Chief Judge Administrative Order.
- Enhance the administration of justice through increased monitoring and compliance with the Federal and D.C. Adoption and Safe Families Acts by reaching and maintaining 95% compliance with all hearing deadlines and content requirements.

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

Restructuring or Work Process Redesign

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

The Family Court Central Intake Center (CIC) utilizes 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 initial petition or complaint be filed in-person but require all subsequent pleadings to be filed electronically. The Paternity and Support Branch and 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.

Workload Data

Table 1
FAMILY COURT OPERATIONS
Case Activity FY 2012

| | Cases Filed | Cases Disposed | Clearance Rate | Cases Pending | | |
|---------------------------------------|--------------|----------------|----------------|---------------|--------------|--------|
| | | | | 1-Oct | 30-Sep | Change |
| Abuse & Neglect * | 455 | 487 | 107% | 109 | 77 | -29% |
| Adoption | 166 | 186 | 112% | 267 | 247 | -8% |
| Divorce/Custody/Miscellaneous | 4,432 | 4,392 | 99% | 1,840 | 1,880 | 2% |
| Juvenile Delinquency | 2,939 | 3,022 | 103% | 603 | 520 | -14% |
| Family Special Proceedings | 16 | 21 | 131% | 9 | 8 | -11% |
| Mental Health/ Mental Habilitation | 2,335 | 2,391 | 102% | 216 | 160 | -26% |
| Paternity & Child Support | 5 | 8 | 160% | 8 | 5 | -38% |
| | <u>2,319</u> | <u>4,348</u> | 187% | <u>3,848</u> | <u>1,819</u> | -53% |
| Total | 12,667 | 14,855 | 117% | 6,900 | 4,716 | -32% |

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

Table 2
FAMILY COURT OPERATIONS
Key Performance Indicators

| Type of Indicator | Key Performance Indicator | Data Source | 2012 | | 2013 | | 2014 | | 2015 | |
|---------------------|--|----------------------------|-------|--------|-------|----------|-------|----------|-------|----------|
| | | | Goal | Actual | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Time to Disposition | Contested Custody Cases (98% within 270 days) | Performance Measure Report | 98% | 81% | 98% | 85% | 98% | 89% | 98% | 98% |
| Time to Disposition | Contested Divorce Cases (98% within 270 days) | Performance Measure Report | 98% | 88% | 98% | 92% | 98% | 96% | 98% | 98% |
| Time to Disposition | Child Support (90% within 18 months) | Performance Measure Report | 90% | 64% | 90% | 70% | 90% | 81% | 90% | 90% |
| Time to Disposition | Neglect –Removed (100% with 105 days) | Performance Measure Report | 100% | 85% | 100% | 89% | 100% | 94% | 100% | 100% |
| Time to Disposition | Neglect – Not Removed (100% with 45 days) | Performance Measure Report | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% |
| Time to Disposition | Juvenile –Non secure Detention (100% within 60 days) | Performance Measure Report | 100% | 39% | 100% | 45% | 100% | 52% | 100% | 60% |
| Time to Disposition | Juvenile Released (98% with 270 days) | Performance Measure Report | 98% | 98% | 98% | 98% | 98% | 98% | 98% | 98% |
| Persons Assisted | Number of Persons Assisted in the Self-Help Center | Monthly Statistics | 8,537 | 8,039 | 8,516 | 8,074 | 8,564 | 8,235 | 8,652 | 8,400 |

FY 2015 Request

In FY 2015, the D.C. Courts' request for the Family Court Operations Division is \$15,506,000, an increase of \$634,000 (4%) above the FY 2014 enacted level. The increase consists of \$373,000 (4 FTEs) to enhance timeliness and efficiency of domestic relations cases and \$261,000 for built-in cost increases.

Enhancing Processing of Domestic Matters, 4 FTEs, \$373,000

Attorney Negotiator, 2 FTEs (JS-13), \$236,000

Domestic Relations Case Manager, 2 FTEs (JS-9/10), \$137,000

Problem Statement. To address the recommendations of the D.C. Bar Family Law Task Force (–Task Force”) and adopt best practices, two attorney negotiators are required to expand access to justice and promote efficiency and two case managers are needed to improve the administration of justice in two of the Family Court branches where many parties do not have the assistance of counsel. In domestic relations and paternity and child support cases, indigent parties do not have a right to appointed counsel, and the vast majority of the parties are self-represented. The requested attorney negotiators will help the parties resolve disputes, enhancing service to the public by increasing timely case resolution and reducing the amount of in-court time needed. The requested case managers will resolve scheduling issues that lead to delays in case processing and resolution.

The March 2013 Task Force report recommended the creation of attorney negotiator positions to help parties in domestic matters resolve disputes and reach agreements at the initial hearings in divorce, custody, visitation, and support matters. Presently pro bono attorneys coordinate and staff the existing program. Between June 2011 and June 2013, 4,887 initial hearings were held in such matters – an average of 195 hearings per month. Because the existing attorney negotiators are volunteers, staffing is unreliable and many of the nearly 5,000 cases did not receive the assistance of an attorney negotiator. Judges report that when an attorney negotiator is available to assist the parties, at least one-third of the cases are wholly or partially resolved at the initial hearing. Cases are settled, issues are narrowed, and agreements are reached on temporary orders – all of which reduce the judicial time spent on the case, helping with efforts to meet time standards, reduce delay, and enhance service to the public. Without consistently available attorney negotiators, the time standards have not been met. In FY 2012, despite a goal to complete 98% of these cases within 270 days, only 81% of the contested custody cases and 88% of contested divorce cases were completed within the standard. This request would allow more litigants to be assisted by full-time attorney negotiators, supplemented by volunteers, increasing timeliness for the families appearing before the court.

The Task Force also recommended case managers in the Domestic Relations Branch to improve business processes. The Branch is responsible for thousands of contested and uncontested cases—4,283 were filed in FY 2012. Currently, court hearings are automatically scheduled in domestic matters, but oftentimes the case is not ready to proceed due to a variety of procedural issues and/or the lack of completed court-ordered reports. Nevertheless, the matter remains on the calendar consuming valuable judicial time and requiring unnecessary appearances for parties, which are especially costly for hourly and low-wage earners. This practice also prevents

calendar ready cases from proceeding as trial dates are being held by cases not ripe for resolution. Cases not prepared to proceed are then rescheduled for a hearing several months in the future, increasing judicial caseloads, wasting families’ time, and delaying case resolution, which negatively impacts the Family Courts’ ability to meet time standards. The DR case managers would determine case readiness and reduce wasted resources by rescheduling matters prior to the hearing when they are not in the correct procedural posture or do not have all the required documents (e.g. home studies or mental health exams). Case managers would streamline the business process of the Domestic Relations Branch and enhance service to the public and improve the administration of justice in the Family Court, including fewer court appearances and shorter wait-times for families.

Relationship to Court Mission, Vision and Strategic Goals. The requested positions would support Strategic Goal 1 – fair and timely case resolution by enhancing settlement, minimizing delays, and increasing efficiency.

Relationship to Divisional Objectives. These positions would have a direct impact on divisional objectives of disposing of matters in a timely fashion and would reduce the number of active pending cases on the Domestic Relations calendar.

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

Methodology. The positions are classified based on the Court’s classification for comparable staff positions.

Expenditure Plan. The positions will be recruited and hired according to the Court’s Personnel Policies.

Performance Indicators. Success of the position will be measured through the division’s improved performance measures (time to disposition) and through the employee’s performance plan.

Table 3
FAMILY COURT OPERATIONS DIVISION
New Positions Requested

| Positions | Grade | Number | Salary | Benefits | Total Personnel Cost |
|----------------------------------|--------------|---------------|------------------|-----------------|-----------------------------|
| Attorney Negotiator | 13 | 2 | \$182,000 | \$54,000 | \$236,000 |
| Case Manager- Domestic Relations | 9 | 2 | \$105,000 | \$32,000 | \$137,000 |
| TOTAL | | 4 | \$287,000 | \$86,000 | \$373,000 |

Table 4
FAMILY COURT OPERATIONS
 Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 11,081,000 | 10,527,000 | 10,992,000 | 465,000 |
| 12 - Personnel Benefits | 2,767,000 | 2,936,000 | 3,076,000 | 140,000 |
| <i>Subtotal Personal Services</i> | 13,848,000 | 13,463,000 | 14,068,000 | 605,000 |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 28,000 | 27,000 | 28,000 | 1,000 |
| 25 - Other Services | 1,053,000 | 1,020,000 | 1,040,000 | 20,000 |
| 26 - Supplies & Materials | 37,000 | 35,000 | 36,000 | 1,000 |
| 31 - Equipment | 338,000 | 327,000 | 334,000 | 7,000 |
| <i>Subtotal Nonpersonal Services</i> | 1,456,000 | 1,409,000 | 1,438,000 | 29,000 |
| TOTAL | 15,304,000 | 14,872,000 | 15,506,000 | 634,000 |
| FTE | 175 | 175 | 179 | 4 |

Table 5
FAMILY COURT OPERATIONS
 Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/FY 2015 |
|---|----------------------------------|------------|-------------|---------------------------------------|
| 11 - Personnel Compensation | Current Position WIG | 175 | 66,000 | |
| | Current Position COLA | | 112,000 | |
| | Attorney Negotiator | 2 | 182,000 | |
| | Case Manager- Domestic Relations | 2 | 105,000 | |
| <i>Subtotal 11</i> | | | | 465,000 |
| 12 - Personnel Benefits | Current Position WIG | | 20,000 | |
| | Current Position COLA | | 34,000 | |
| | Attorney Negotiator | | 54,000 | |
| | Case Manager- Domestic Relations | | 32,000 | |
| <i>Subtotal 12</i> | | | | 140,000 |
| <i>Subtotal Personal Services</i> | | | | 605,000 |
| 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 | | | 20,000 |
| 26 - Supplies & Materials | Built-in Increases | | | 1,000 |
| 31 - Equipment | Built-in Increases | | | 7,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | 29,000 |
| Total | | | | 634,000 |

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

| Grade | 2013 Enacted | 2014 Enacted | 2015 Request |
|---------------------|-------------------|-------------------|-------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | 8 | 8 | 12 |
| JS-7 | 23 | 23 | 12 |
| JS-8 | 57 | 57 | 63 |
| JS-9 | 37 | 37 | 40 |
| JS-10 | 13 | 13 | 11 |
| JS-11 | 11 | 11 | 11 |
| JS-12 | 8 | 8 | 9 |
| JS-13 | 15 | 15 | 18 |
| JS-14 | 1 | 1 | 1 |
| JS-15 | 0 | 0 | 0 |
| CEMS | 1 | 1 | 1 |
| CES | 1 | 1 | 1 |
| Total Salary | 11,081,000 | 10,527,000 | 10,992,000 |
| Total FTEs | 175 | 175 | 179 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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> |
| 140 | 18,072,000 | 140 | 20,486,000 | 143 | 19,798,000 | 3 | -688,000 |

Mission Statement

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

Organizational Background

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

- The Director’s Office is responsible for management and oversight of all goals, objectives, programs, and activities across the Division. The office has 6 FTEs.
- The Juvenile Information Control (JIC) Unit processes all cases through adjudication and disposition using of the Court’s case management system, CourtView. The JIC Unit also manages distribution of court reports, oversees the general maintenance of the Division’s vehicles, and provides customer service to youth and families reporting to Building B, the central office for CSSD. The unit has 5 FTEs.
- The Contract Monitoring, Data and Financial Analysis Unit coordinates all court-ordered referrals, oversees the procurement of services and coordination of reimbursement for contractual service providers, and compiles CSSD’s data. The Unit also coordinates the Division’s general internships and staff training. The unit has 5 FTEs.

- The Intake Services and Delinquency and Prevention Branch is comprised of three units, including two units dedicated to day and evening intake services and one unit responsible for community outreach and education as well as global positioning system (GPS) electronic monitoring. Intake Units I and II are responsible for screening each newly referred youth's risk to public safety, conducting social assessments (youth and family) on all youth referred by law enforcement, coordination of Conner assessments, presenting all referrals before a judicial officer (juvenile equivalent of an arraignment), and making pre-trial recommendations. The Delinquency Prevention Unit (DPU) manages the Division's GPS electronic monitoring, coordinates diversion, and facilitates public safety community education presentations and outreach. Intake Units I and II operate 24 hours a day, seven days a week. The branch consists of 25 FTEs.
- The Pre/Post Probation Supervision Branch - Region I provides a seamless set of services, case management, and monitoring/supervision efforts provided by one probation officer of record. The branch consists of: 1) the Southeast Satellite Office (SESO) Balanced and Restorative Justice (BARJ) Drop-In Center, responsible for serving and supervising all youth residing in the historic Anacostia southeast quadrant of the District; 2) the Southwest Satellite Office (SWSO), created to serve youth residing in the southwest and lower northwest quadrants of the city; 3) the Interstate Probation Supervision Office (IPSO), which manages all youth adjudicated in the District who reside outside the city as well as all youth adjudicated outside the District who reside in the city; and 4) Ultimate Transitions Ultimate Responsibilities Now (UTURN), responsible for case management, and the supervision of high-risk pre-and post-adjudicated youth across the city. The branch consists of 46 FTEs.
- The Pre/Post Probation Supervision, Status Offender & Behavioral Health Branch - Region II is responsible for providing seamless services and monitoring/supervision efforts by one probation officer of record. The branch is also complimented by a unit specifically created to respond to the needs of status offenders and youth presenting with Axis I mental health needs who are eligible for diversion. The branch consists of: 1) the Northwest Satellite Office (NWSO), responsible for serving and supervising the vast majority of youth residing in the northwest quadrant of the city; 2) the Northeast Satellite Office (NESO) Balanced and Restorative Justice Drop-In Center; 3) the Status Offender and Behavioral Health Office (SOBHO) responsible for screening, diverting, petitioning, case managing, serving, and supervising all youth referred by the D.C. Public Schools, Charter Schools, private schools and/or a parent/guardian/custodian for alleged habitual truancy (status offense) or as a Person in Need of Supervision (PINS) and all youth participating in the Behavioral Health Court (BHC) diversion or post-disposition program; and 4) the Leaders of Today in Solidarity (LOTS), the city's first female gender-specific seamless probation program. This branch consists of 46 FTEs.
- The Child Guidance Clinic (CGC) Branch provides court-ordered psychological, psycho-educational, neuro-psychological, competency, forensic evaluations, and Juvenile Behavioral Health initial clinical screenings to determine the needs of youth and families and guide judicial decision-making. Additionally, CGC staff recommends eligible youth for the Juvenile Behavioral Health Court. The branch also provides psychotherapy to a

limited number of uninsured youth and families. The Unit has 9 FTE's and 6 paid interns.

Division Management Action Plan (MAP) Objectives

The Family Court Social Services Division will:

- Use a valid Risk Assessment Instrument and social assessment interviews on all youth within four hours of referral, ensuring sound detention/release and petitioning recommendations (subsequent to consultation), and expeditious case processing initiation by transferring 95% of all cases to appropriate units within three business days of initial hearing.
- Provide high quality screenings, assessments, services, and supervision to all youth determined eligible for diversion and petitioning within 15 calendar days of petitioning as well as post-adjudication supervision.
- Ensure accurate and timely processing of all services requested by probation officers or ordered by the Court by processing all referrals and invoices within three business days of the Probation Officer of record receiving the case.
- 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 93% of all juveniles.
- Conduct high-quality, comprehensive home studies for families involved in domestic relations cases by completing 95% of home studies within six weeks of the court order.
- Develop comprehensive strength-based social studies to guide services and supervision of all juveniles (as ordered by the Court) by completing 95% of all social studies due within 15 or 45 days of the court order.
- Ensure comprehensive service delivery and community supervision for all youth referred via Interstate Compact who reside within a 20 mile radius of the city and ensure all cases adjudicated in the District of Columbia involving youth residing outside of the radius are transferred to the appropriate jurisdiction for services and supervision.
- Provide high-quality psychological, neuro-psychological, psycho-sexual, and psycho-educational evaluations for all Court-ordered youth within 25 business days.
- Enhance CSSD employee performance and professional development by requiring at least 95% of all employees to complete a minimum of 20 hours of related training annually.

Restructuring or Work Process Re-Design

Building on major reengineering efforts launched in FY 2006 and augmented in 2008, the Division utilized its strength-based model to guide its pre-trial and post-disposition juvenile probation efforts. Additionally, the Division continued to enhance its “*One Probation Officer, One Youth/Family Model*” and expanded its Balanced and Restorative Justice (BARJ) Drop-In Center model for youth and families coming before the Family Court on delinquency matters.

In an effort to sustain an engaged workforce, and in concert with the Strategic Plan of the District of Columbia Courts (Strategic Plan Goal 3.), an effort was launched in October 2011 to automate the business processes of the CSSD. The Information Technology Division, in collaboration with the CSSD, designed and developed a web-based system called the Youth Automated System (YAS). The YAS, which was launched on May 6, 2013, provides high-performance uploaded access to the CourtView data system. In short, YAS offers a multi-faceted solution enabling CSSD staff to monitor and manage the activities of CSSD youth. YAS also provides automated information which expedites court reports and generates quantitative reports necessary to inform internal and external stakeholders (e.g., D.C. Courts, D.C. Council, and Congress).

Additionally in 2013, the Division continued to direct considerable attention and effort to increasing relevant training and teambuilding opportunities for all CSSD staff. Many of these trainings were coordinated by the D.C. Courts’ Center for Education and Training. However, several innovative trainings were coordinated by CSSD and/or facilitated by psychologists and interns staffing the Division’s Child Guidance Clinic. The CSSD ensured staff had input into the selected trainings and that the opportunities were presented consistently throughout the year. Also in 2013, the CSSD collaborated with the Office of the Attorney General (OAG) who facilitated a training session on Juvenile Confidentiality for all CSSD staff.

During FY 2012, the CSSD launched an effort to train all staff in Food Handling and to certify all as Food Protection Managers. With the advent of BARJ Centers, the CSSD staff realized the need to provide refreshments and meals to the youth to ensure that the CSSD youth were receiving adequate nutrition and to support program participation. Therefore, food prep training was necessary to ensure all meals prepared for youth in our satellite offices were provided in accordance with municipal regulations. So far, 40% of CSSD employees are trained in Food Safety and licensed in the District of Columbia as Food Protection Managers, and the training is scheduled to be complete in 2014.

In June 2013, Child Guidance Clinic (CGC) staff participated in a Webinar discussing the soon-to-be-released Diagnostic Statistical Manual, Volume Five (DSM-V). As the release date of this revised diagnostic manual draws near, it is critical all CGC staff, externs, and interns remain current in their understanding of the new diagnostic criteria and classification system and ensures a current state of knowledge regarding behavioral health disorders. DSM-V incorporates the latest scientific understanding of behavioral health disorders and characteristics of such disorders and diagnosis. The webinar focused on the changes in the DSM-V from the DSM-IV. Further in June 2013, the Child Guidance Clinic participated in a panel discussion on Synthetic Drug Abuse. The Panel Discussion and presentation was coordinated by the Honorable Zoe Bush,

Presiding Judge of the Family Court and also included the Metropolitan Police Department (MPD), the Pre-Trial Services Agency (PSA), as well as two (2) state/local funded substance abuse providers, Riverside Services and the Hillcrest Children's Center. The Panel Discussion offered an opportunity for Family Court Judges, CSSD staff, and local stakeholder and community organizations to expand their knowledge and understanding of synthetic marijuana

Workload Data

Table 1
FAMILY COURT SOCIAL SERVICES DIVISION
Caseload (Fiscal Year 2012 data)

| Case Type | New Cases | Cases Closed | Cases Pending Beginning of Year | Cases Pending End of Year |
|--|-----------|--------------|---------------------------------|---------------------------|
| Juvenile Intake | 2901 | 2903 | 2 | 0 |
| Pre/ Post Disp. Supervision | 2362 | 2381 | 892 | 873 |
| Status Offenders | 430 | 359 | 179 | 250 |
| Behavior Health Court (effective January 2011) | 55 | 67 | 34 | 17 |
| Domestic Relations | 260 | 295 | 61 | 26 |
| Child Guidance Clinic | 842 | 836 | 11 | 17 |

Table 2
FAMILY COURT SOCIAL SERVICES DIVISION
Key Performance Indicators

| Performance Indicators | Data Source | FY 2012 | | FY 2013 | | FY 2014 | | FY 2015 | |
|--|--------------------------|---------|--------|---------|----------|---------|----------|---------|----------|
| | | Goal | Actual | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Juveniles under supervision and Domestic Relations monthly cases average of total CSSD cases | Superior Court Data | 1,750 | 1,600 | 1,700 | 1,700 | 1,700 | 1,700 | 1,650 | 1,650 |
| Juveniles under supervision and drug screening conducted | Pretrial Services Data | 5,300 | 4,000 | 4,000 | 4,000 | 4,000 | 4,000 | 4,000 | 4,000 |
| Juvenile probationers screening positive for drugs during probation | Pretrial Services Data | 50% | 42% | 50% | 42% | 50% | 50% | 50% | 50% |
| Juveniles successfully completing probation | CSSD Statistical Reports | 80% | 70% | 80% | 85% | 85% | 85% | 85% | 85% |
| Juveniles arrested for new offenses during probation | Superior Court Data | 18% | 7% | 15% | 10% | 8% | 10% | 6% | 6% |
| Average supervision caseload (national standard: 1:25) | CSSD Statistical Reports | 25 | 25 | 25 | 25 | 25 | 25 | 25 | 25 |
| Average intensive supervision caseload (national standard: 1:14) | CSSD Statistical Reports | 14 | 14 | 14 | 14 | 14 | 14 | 14 | 14 |
| Curfew checks -- face-to-face contact | CSSD Statistical Reports | 22,000 | 23,745 | 24,000 | 28,000 | 25,500 | 25,000 | 25,000 | 25,000 |
| Curfew checks -- telephone calls | CSSD Statistical Reports | 33,000 | 34,000 | 36,000 | 35,000 | 35,000 | 34,000 | 35,000 | 34,500 |
| Compliance among youth with face-to-face and telephone call curfew checks | CSSD Statistical Reports | 75% | 68% | 75% | 75% | 75% | 75% | 75% | 75% |

Division Outcomes and Accomplishments in FY 2012

In FY 2012, with an average daily population of 1,550, of whom 300 or 20% were females and 1,250 or 80% were males, the Division continued its proactive efforts to manage court-involved youth, under the front-end of the city’s juvenile justice system.

The CSSD continued to provide comprehensive and timely screenings and assessments of all newly referred youth resulting in more than 97% of new cases being ready prior to the initial hearing. A total of 2,901 new cases were processed, representing a decrease of 5% from the 3,065 new cases processed in 2012. However, the Division increased face-to-face contact visits (an average of 2,298 per month) with youth and families as part of a division-wide initiative to increase direct supervision efforts. CSSD continued to conduct curfew calls (an average of 3,090 per month), Family Group Conferences (FGC), case staffing, home and school visits, and coordination of services in tandem with sound case management.

Comprehensive forensic evaluations and assessments were also provided by the Child Guidance Clinic (CGC), and the Division continued innovative services, including Leaders of Today in Solidarity (LOTS), Ultimate Transitions Ultimate Responsibilities Now (UTURN), the South East Balanced and Restorative Justice (BARJ) Drop-In Center, the NE BARJ Drop-In Center, and the Juvenile Behavioral Diversion Court, launched in 2011.

In September 2012, the D.C. Courts hosted a Grand Opening to celebrate completion of the Southwest Balanced and Restorative Justice (SW BARJ) Drop-In Center. The SW BARJ, which also includes a state-of-the-art Vocation Center, will enable the CSSD to offer vocational skills to youth in the areas of food preparation, silk-screen, and computer design. The Grand Opening was well received by the neighboring community and attended by a wide array of stakeholders, including representatives from the Office of the Mayor, child and adolescent as well as adult juvenile and criminal justice agencies.

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

| Month/Year | Oct 12 | Nov 12 | Dec 12 | Jan 13 | Feb 13 | Mar 13 | April 13 |
|-----------------------------|---------------|---------------|---------------|---------------|---------------|---------------|-----------------|
| Youth in Program | 19/105 | 19/99 | 17/103 | 12/96 | 19/96 | 24/94 | 16/111 |
| % not suspended from school | 83% | 84% | 74% | 85% | 90% | 73% | 62% |
| % not rearrested | 99% | 98% | 96% | 94% | 94% | 94% | 94% |

Table 3 shows outcomes achieved by the SE BARJ Drop-In Center in FY 2012. The Center houses both BARJ activities for pre-trial youth and post-disposition services and supervision. Among the youth participating in the SE BARJ Drop-In Center, 96% were not re-arrested, 79% were not suspended, and more than 96% of participating youth completed the SE BARJ Drop-In Center program. The average daily population of thirty (30) youth attending the Center represents nearly 20% of the facility’s average daily population of 150 post-disposition youth served and supervised at the location.

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

| Month/Year | Oct 12 | Nov 12 | Dec 12 | Jan 13 | Feb 13 | Mar 13 | April 13 |
|-----------------------------|--------|--------|--------|--------|--------|--------|----------|
| Youth in Program | 19/148 | 24/148 | 24/153 | 29/155 | 24/163 | 24/165 | 29/169 |
| % not suspended from school | 81% | 78% | 78% | 68% | 94% | 76% | 66% |
| % not rearrested | 95% | 93% | 95% | 99% | 94% | 95% | 93% |

Table 4 shows outcomes achieved by the NE BARJ Drop-In Center in FY 2012. The Center houses both BARJ activities for pre-trial youth and post-disposition services and supervision. Among the youth participating in the NE BARJ Drop-In Center, 95% of the youth were not rearrested (an increase of 7% from FY 2011), and 78% of participating youth were not suspended from school.

Table 5
FAMILY COURT SOCIAL SERVICES DIVISION
Curfew Checks

| Month/Year | Oct 12 | Nov 12 | Dec 12 | Jan 13 | Feb 13 | Mar 13 | April 13 |
|--------------|--------|--------|--------|--------|--------|--------|----------|
| Face-to-Face | 2,196 | 2,171 | 2,221 | 2,150 | 2,378 | 2,408 | 2,557 |
| Telephone | 2,932 | 2,963 | 2,831 | 3,262 | 2,832 | 3,322 | 3,490 |

Table 5 illustrates that from October 1, 2012 thru April 30, 2013, a total of 16,081 face-to-face curfew checks and 21,632 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, 2,660 face-to-face weekend curfew checks (Friday and Saturday nights) were made during the months of June through August 2012 as a part of the “D.C. Safe Streets” Initiative, which will continue over the summer of 2013.

Table 6
FAMILY COURT SOCIAL SERVICES DIVISION
Parent Participation Orders

| Month/Year | Oct 12 | Nov 12 | Dec 12 | Jan 13 | Feb 13 | Mar 13 | Apr 13 |
|-----------------------------|--------|--------|--------|--------|--------|--------|--------|
| Parent Participation Orders | 840 | 775 | 828 | 830 | 868 | 891 | 952 |
| Compliance | 779 | 708 | 752 | 760 | 783 | 812 | 851 |
| % Compliance among parents | 93% | 91% | 91% | 92% | 90% | 91% | 89% |

Table 6 illustrates that from October 2012 through April 2013, 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.

Similar to 2012, in 2013 the CSSD continued to work aggressively with local juvenile and criminal justice as well as child welfare and behavioral health stakeholders throughout the city, resulting in a reduction in recidivism and increased cross-agency initiatives. Among the many initiatives launched by the CSSD or in collaboration with external agencies, the most effective have been those which strategically engage court-involved youth during out-of-school time.

Partnerships with local stakeholders, local sports teams and cultural organizations, and other community organizations have provided CSSD youth with unique, structured, positive leisure time activities, including a week of Spring Break Activities.

In April 2013, during the D.C. Public Schools 2013 Spring Break, the CSSD facilitated and hosted a variety of strength-based, pro-social activities for CSSD youth, to help them stay out of trouble while they were out of school. Forty CSSD youth and five probation officers took a three-day tour of historically black colleges and universities to encourage youth to achieve life's goals through education, and provide opportunities for them to experience higher education institutions. On April 1st, CSSD staff, in collaboration with other agencies, conducted a full scale canvass of the National Zoo for the traditional African-American Family Day festivities, which have been marred by youth violence in recent years, and of the Gallery Place area, popular with youth. As a result, no youth were arrested that day. CSSD also hosted Spring Fling, with educational games, entertainment, and hot dogs. Guest speaker Joshua Lewis Morgan, Redskins Wide Receiver and D.C. native, shared his experiences growing up in the District of Columbia and encouraged the youth to stay focused on positive goals. In addition, youth attended a play at the Kennedy Center and participated in a neighborhood block cleanup effort, picking up litter near the NE BARJ Center and distributing flyers for the local Police Service Area and Civic Association Meetings.

An enhanced Summer Weekend Curfew, which was initiated during the summer of 2011, continued through the summer of 2013. Given the possibility of a reduction in summer jobs and summer school enrollments, agencies serving children, adolescents, and families were asked to identify ways to enhance or expand summer services. Along with additional city-wide efforts, the CSSD mobilized staff and implemented a weekend curfew measure, which ensured all high- and medium-risk youth were monitored at a heightened level, with three to four curfew checks per week, rather than the standard one or two. CSSD expects a successful outcome over the summer months of 2013.

In July 2013, the Juvenile Call-In Initiative continued. During the 2012 collaboration between the CSSD, DYRS, and the MPD, the Division facilitated a crime prevention forum, entitled Juvenile Call-In, which brought more than 250 youth (juveniles under CSSD and DYRS supervision) and parents to the Moultrie Courthouse. The gathering was supported by probation officers, case managers, social workers, community-based providers and public agency representatives. Participants were addressed by juvenile and criminal justice agency leaders, whose remarks centered on imploring youth to remain crime free during the 2012 summer and beyond. The event was so well-attended that an overflow courtroom was opened to ensure all attendees were able to fully participate. In July 2013, the Call-In was held at the D.C.'s Armory for approximately 350 youth and parents.

In June 2012, the CSSD, in collaboration with the DYRS, facilitated an effort to enable youth with outstanding custody orders to surrender to the Court. This effort continued during the summer of 2013. The measure, entitled Operation Safe Return, enables the Court to resolve a number of custody orders, thereby reducing the impact to youth roaming the community subject to arrest because of their custody order status.

In FY 2013, the Division's Child Guidance Clinic (CGC) completed 842 evaluations, most within 25 days. With the support of interns and externs, the Clinic continued to successfully operate the City's only community-based comprehensive program for juveniles adjudicated for sexual offenses and other serious charges. Additionally, the CGC facilitated a series of presentations to judicial and law enforcement officers, juvenile justice stakeholders, as well as graduate and doctoral students at local universities and colleges. The CGC also launched a research measure to examine the effectiveness of the Juvenile Behavioral Health Court, with a focus on the services and supervision provided by the CSSD and the services provided by behavioral health providers. Finally regarding the Child Guidance Clinic, Chief Psychologist Dr. Michael Barnes was selected by the American Psychological Association (APA) as the recipient of an award for Distinguished Contributions to Institutional Practice. He received the award at the 2012 APA Convention.

FY 2015 Request

In FY 2015, the Courts request \$19,798,000 for the Family Court Social Services Division, a decrease of \$688,000 (-3%) from the FY 2014 enacted level. The FY 2015 request consists of a decrease of \$1,200,000 for a nonrecurring FY 2014 expense, an increase of \$201,000 for 3 FTEs to assess and conduct home studies for families with disputed child custody cases, and \$311,000 for built-in increases.

Child Custody Assessments, 3 FTEs, \$201,000 ***Domestic Relations Case Manager, 3FTEs (JS-9/10)***

Problem Statement. The District of Columbia is currently the only jurisdiction that uses Probation Officers to staff domestic relations cases in which child custody is disputed. The Court believes it is essential that CSSD establish Domestic Relations Case Manager (DRCM) positions with the requisite specialized training and expertise to assume responsibility for handling these cases of at-risk youth, instead of utilizing the services of juvenile probation officers whose expertise is working with juvenile offenders and truants.

The DRCM would conduct an initial meeting with both parents, assess the feasibility of mediation (which can resolve disputes without the need for a home study) and, if necessary, conduct home and school visits and interviews with other family members to complete a comprehensive home study which provides recommendations to the judicial officer presiding over the case. On average, the CSSD assists with 90 to 120 domestic relations cases at a time.

The use of Domestic Relations Case Managers to provide this specialized service would free up probation officers to provide critical services to juvenile status offenders referred to CSSD by District schools. Status offender cases have steadily increased since 2012. Due to recent local legislative changes reducing from 25 to 15 the number of unexcused school absences that require a referral to the Family Court, the CSSD anticipates an increase of some 1,000 new truancy referrals each school year. Considerable time and attention will be required to screen and assess each of these referrals to determine which youth require the additional attention of court supervision, which we estimate at 300 youth.

Relationship to Court Vision, Mission and Strategic Goals. The additional FTEs to staff Domestic Relations and Contested Custody Cases supports the D.C. Courts’ Strategic Goal 5, Public Trust and Confidence, Strategic Goal 1 Fair and Timely Case Resolution, and Strategic Goal 2 Access to Justice.

Relationship to Division MAP Objectives. The additional FTE request is consistent with the essential CSSD MAP objective to conduct high-quality, comprehensive home studies for families involved in DR cases.

Relationship to Existing Funding. Existing funds are not sufficient to support the additional FTEs necessary to ensure the CSSD can continue to staff DR cases and the influx of truancy referrals expected to commence in the fall of the 2013/2014 school year.

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

Performance Indicators. Key performance indicators include 1) increased utilization of mediation; 2) completion of home studies within six weeks of court orders; and 3) expedited screening of truancy and PINS referrals within five business days.

Table 7
FAMILY COURT SOCIAL SERVICES DIVISION
New Positions Requested

| Positions | Grade | Number | Salary | Benefits | Total Personnel Cost |
|---------------------------------|-------|--------|-----------|----------|----------------------|
| Domestic Relations Case Manager | 9 | 3 | \$155,000 | \$46,000 | \$201,000 |

Table 8
FAMILY COURT SOCIAL SERVICES DIVISION
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|--------------------------------------|--------------------|--------------------|--------------------|----------------------------|
| 11 - Personnel Compensation | 11,661,000 | 11,516,000 | 11,859,000 | 343,000 |
| 12 - Personnel Benefits | 2,921,000 | 3,221,000 | 3,324,000 | 103,000 |
| Subtotal Personal Services | 14,582,000 | 14,737,000 | 15,183,000 | 446,000 |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 400,000 | 400,000 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 3,418,000 | 5,678,000 | 4,142,000 | -1,536,000 |
| 26 - Supplies & Materials | 36,000 | 37,000 | 38,000 | 1,000 |
| 31 - Equipment | 36,000 | 34,000 | 35,000 | 1,000 |
| Subtotal Nonpersonal Services | 3,490,000 | 5,749,000 | 4,615,000 | -1,134,000 |
| TOTAL | 18,072,000 | 20,486,000 | 19,798,000 | -688,000 |
| FTE | 140 | 140 | 143 | 3 |

Table 9
FAMILY COURT SOCIAL SERVICES DIVISION
Detail Differences, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---|---------------------------------|-----|------------|----------------------------|
| 11 - Personnel Compensation | Current Position WIG | 140 | 72,000 | |
| | Current Position COLA | | 116,000 | |
| | Domestic Relations Case Manager | 3 | 155,000 | |
| <i>Subtotal 11</i> | | | | <i>343,000</i> |
| 12 - Personnel Benefits | Current Position WIG | | 22,000 | |
| | Current Position COLA | | 35,000 | |
| | Domestic Relations Case Manager | | 46,000 | |
| <i>Subtotal 12</i> | | | | <i>103,000</i> |
| <i>Subtotal Personal Services</i> | | | | <i>446,000</i> |
| 21 - Travel, Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | Lease cost, FY 2014 new BARJ | | | 400,000 |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | One-time BARJ build-out | | -1,600,000 | |
| | Built-in increase | | 64,000 | |
| <i>Subtotal 25</i> | | | | <i>-1,536,000</i> |
| 26 - Supplies & Materials | Built-in increase | | | 1,000 |
| 31 - Equipment | Built-in increase | | | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | <i>-1,134,000</i> |
| TOTAL | | | | -688,000 |

Table 10
FAMILY COURT SOCIAL SERVICES DIVISION
Detail of Full-Time Equivalent Employment

| Grade | 2013 Enacted | 2014 Enacted | 2015 Request |
|-----------------------|-------------------|-------------------|-------------------|
| JS-2 | | | |
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | 3 | 2 | 4 |
| JS-7 | 5 | 5 | 3 |
| JS-8 | 19 | 20 | 19 |
| JS-9 | 15 | 10 | 13 |
| JS-10 | 1 | 1 | 2 |
| JS-11 | 16 | 17 | 17 |
| JS-12 | 54 | 58 | 57 |
| JS-13 | 19 | 19 | 19 |
| JS-14 | 6 | 6 | 7 |
| JS-15 | | | |
| CEMS | 1 | 1 | 1 |
| CES | 1 | 1 | 1 |
| Total Salaries | 11,661,000 | 11,516,000 | 11,859,000 |
| Total FTEs | 140 | 140 | 143 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</u> | |
|------------------------|--------------------|------------------------|--------------------|------------------------|--------------------|------------------------------------|--------------------|
| <u>FTE</u> | <u>Obligations</u> | <u>FTE</u> | <u>Obligations</u> | <u>FTE</u> | <u>Obligations</u> | <u>FTE</u> | <u>Obligations</u> |
| 24 | 2,924,000 | 24 | 2,937,000 | 25 | 3,042,000 | 1 | 105,000 |

Mission Statement

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

Organizational Background

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

1. The Civil ADR Branch provides mediation and arbitration for most of the Superior Court’s civil cases. Mediation is provided for small claims, landlord/tenant, and civil cases. This branch also provides mediation services to the Tax and Probate Courts.
2. The Family ADR Branch includes three programs: Child Protection Mediation, Community Information and Referral, and Family Mediation. Child Protection Mediation is a process which includes multiple stakeholders addressing family plans and legal issues in child neglect cases. The Community Information and Referral Program provides resource information, agency referrals, conciliation, and mediation to individuals and families. The program addresses landlord-tenant, consumer fraud, contract, domestic relations, and personal injury issues before a case is filed. The Family Mediation Program addresses domestic relations issues of custody, support, visitation, and property distribution. The Family Mediation Program also includes PAC, a Parent Education Seminar for parents and their children involved in contested custody disputes. The Parent Education Seminar provides parents with valuable information regarding the effects and potential consequences of a custody dispute on children, and allows them to participate in a mediated resolution of the dispute in a manner that is in the best interest of the children.
3. The Program Assessment and Training Branch provides quality assurance through the training, evaluation, and support of 300 community-based mediators who are lawyers, social workers, government employees, retirees, and others providing ADR services to the court. Mediators receive a stipend for their services.

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

Table 1
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Caseload Overview

| | Mediation Sessions Scheduled | Mediations Held | *Cases Settled | Settlement Rate |
|---------|------------------------------|-----------------|----------------|-----------------|
| FY 2012 | 9730 | 5865 | 3094 | 53% |
| FY 2013 | 9270 | 5380 | 2825 | 53% |

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

Division MAP Objectives

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

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

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

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

- Further the delivery of justice through effective and appropriate alternative dispute resolution (ADR) in all case types by maintaining settlement and client satisfaction rates.
- Enhance case management by utilizing time standards for processing all cases referred to ADR.
- Enhance data collection and reporting procedures to ensure the integrity of 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.

Division Restructuring or Work Process Design

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

Civil ADR Branch

As shown in Table 2, the Division mediated more civil matters during FY 2012 than FY 2011, which reflects an increase in both debt collection cases and property tax evaluation cases filed. The caseload projection for FY 2013 in Table 2 reflects fewer debt collection cases being filed during this fiscal year. In FY 2013, the Division resolved 172 attorney/education fee cases in 4 separate mediations, successfully resolving all fee matters related to these cases. As a result of the mediated agreements, we were able to reduce the number of potential cases and the impact on judicial and staff resources.

In FY 2013, a pilot program was added for community cases referred to mediation when they appear before a civil calendar judge for a preliminary injunction. The litigants first undergo an assessment for mediation suitability and, if appropriate, are scheduled for mediation the same day.

Multi-Door, in collaboration with the Probate Division, launched a pilot program, —Elder Mediation Services for Older Adults and Persons with Disabilities.” With more than 350 intervention cases filed in the Probate Division each year, we expect at least 25% of those cases to be referred to mediation in the next two years.

Family ADR Branch

In FY 2012 the Family ADR Branch partnered with nationally recognized researchers to conduct a study on intimate partner violence/abuse (IPV/A) and its impact on mediation. The Mediator's Assessment of Safety Issues and Concerns (MASIC) Research Project will be comprised of two distinct studies. In FY 2013, Study 1 will compare the Multi-Door screening questionnaire to the MASIC screening questionnaire, which is a behaviorally specific intimate partner violence/abuse screen, to determine which screening questionnaire is more likely to detect various forms of IPV/A, such as coercive control, stalking, physical abuse, etc, over the course of a relationship and in the past year. In FY 2014, Study 2 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 both studies 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 resolving 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.

In FY 2013, Child Protection Mediation experienced a 39% increase in the number of cases requiring permanency planning for a child. Fifty-three cases were referred to mediation for permanency planning. Thirty-two of those cases participated in mediation. Of that number, 25 cases, 78%, reached agreement in mediation. As a result, a total of 35 children gained permanency through mediation.

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

Program Assessment and Training Branch

In FY 2013, the Division conducted 17 advanced Alternative Dispute Resolution (ADR) trainings across all programs to enhance the quality of its mediator pool. The division hosted 9 international groups of judges and attorneys providing ADR educational sessions and opportunities to observe family and civil mediations.

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

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

Multi-Door conducted cross-training across branches in order to enhance staff capacity and knowledge of court operations and provide effective and efficient services to the public.

Workload Data

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

| Type of Indicator | Performance Indicator | Data Source | FY 2012 Actual | FY 2013 Estimated | Projection FY 2014 | Projection FY 2015 |
|-------------------|---|---------------|----------------|-------------------|--------------------|--------------------|
| Input | Cases Scheduled | CourtView | 8,121 | 7,600 | 7,730 | 7800 |
| Output | Mediation Sessions Held | CourtView | 5,280 | 4800 | 4800 | 4900 |
| Outcome | Case settlement rate | CourtView | 57% | 51% | 60% | 60% |
| Outcome/Quality | Participant Satisfaction w/ ADR Process | SPSS database | 90% | 89% | 90% | 91% |
| Outcome/Quality | Participant Satisfaction w/ Outcome | SPSS database | 76% | 75% | 75% | 80% |
| Outcome/Quality | Neutral Performance Satisfaction | SPSS database | 91% | 90% | 92% | 93% |

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

| Type of Indicator | Performance Indicator | Data Source | FY 2012 Actual | FY 2013 Estimated | Projection FY 2014 | Projection FY 2015 |
|-------------------|-------------------------------------|---------------|----------------|-------------------|--------------------|--------------------|
| Input | Mediation Sessions Scheduled | Court view | 1,610 | 1,670 | 1,730 | 1,755 |
| Output | Mediation sessions held | CourtView | 1,155 | 1,180 | 1,205 | 1,220 |
| Outcome | *Case settlement rate | CourtView | 63% | 64% | 64% | 64% |
| Outcome/Quality | Participant satisfaction w/ process | SPSS database | 92% | 92% | 90% | 92% |
| Outcome/Quality | Participant satisfaction w/outcome | SPSS database | 85% | 85% | 83% | 85% |
| Outcome/Quality | Neutral performance satisfaction | SPSS database | 95% | 95% | 96% | 96% |

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

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

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 2012 | | FY 2013 | | FY 2014 | | FY 2015 | |
|-------------------|--|---------------|---------|--------|---------|----------|---------|----------|---------|----------|
| | | | Goal | Actual | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Output | Settlement Rate | IJIS database | 50% | 53% | 50% | 53% | 50% | 62% | 50% | 62% |
| Outcome | Overall client satisfaction (ratings of satisfied plus highly satisfied) | SPSS database | 80% | 88% | 80% | 88% | 80% | 88% | 80% | 90% |

FY 2015 Request

In FY 2015, the D.C. Courts request \$3,042,000 for the Multi-Door Dispute Resolution Division, an increase of \$105,000 (4%) above the FY 2014 enacted level. The FY 2015 request consists of \$51,000 for 1 FTE to expedite Family mediations and \$54,000 for built-in cost increases.

Family Mediation Improvements, 1 FTE, \$51,000
Mediation Clerk, 1 FTE (JS-6/7/8)

Problem Statement. The Family Program mediated 704 family cases in 2011, 834 cases in 2012 (a 16% increase in one year), and is projected to mediate more than 900 cases by the end of 2013. Current family mediation staffing levels are not adequate to provide continuity of services for family cases or ensure the timely scheduling of mediation sessions. 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. Difficulties in scheduling families for mediation and insufficient staffing have resulted in delays of upwards of 60 days for the first mediation session. As a result, the Division struggles to ensure that time standards are met, and 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. 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.

In FY 2014, the Division expects the number of family cases eligible for mediation to increase because additional mediation services, such as shuttle mediation and video conferencing mediation, will be available in cases that would otherwise not be eligible for mediation due to a history of intimate partner violence. The assistance of a Family Mediation Clerk will be even more critical.

Relationship to Court Mission, Vision, and Strategic Goals. The Family Mediation Clerk position 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. This position directly impacts 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 policies for comparable staff positions.

Expenditure Plan. A Deputy Clerk III will be recruited and hired according to D.C. Courts’ Personnel Policies to serve as the Family Mediation Clerk.

Performance Indicators. Success of the position will be measured through timely family 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 | 1 | \$39,000 | \$12,000 | \$51,000 |

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

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/ 2015 |
|--------------------------------------|------------------|------------------|------------------|--------------------------|
| 11 - Personnel Compensation | 1,905,000 | 1,895,000 | 1,966,000 | 71,000 |
| 12 - Personnel Benefits | 487,000 | 529,000 | 551,000 | 22,000 |
| Subtotal Personal Services | 2,392,000 | 2,424,000 | 2,517,000 | 93,000 |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 515,000 | 499,000 | 509,000 | 10,000 |
| 26 - Supplies & Materials | 9,000 | 8,000 | 9,000 | 1,000 |
| 31 – Equipment | 8,000 | 6,000 | 7,000 | 1,000 |
| Subtotal Nonpersonal Services | 532,000 | 513,000 | 525,000 | 12,000 |
| TOTAL | 2,924,000 | 2,937,000 | 3,042,000 | 105,000 |
| FTE | 24 | 24 | 25 | 1 |

Table 6
MULTI-DOOR DISPUTE RESOLUTION DIVISION
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---|------------------------|-----|--------|----------------------------|
| 11 – Personnel Compensation | Current Positions WIG | 24 | 13,000 | |
| | Current Positions COLA | | 19,000 | |
| | Deputy Clerk | 1 | 39,000 | |
| <i>Subtotal 11</i> | | | | <i>71,000</i> |
| 12 – Personnel Benefits | Current Positions WIG | | 4,000 | |
| | Current Positions COLA | | 6,000 | |
| | Deputy Clerk | | 12,000 | |
| <i>Subtotal 12</i> | | | | <i>22,000</i> |
| <i>Subtotal Personal Services</i> | | | | <i>93,000</i> |
| 21 - Travel, Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | | | | |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | Built in Increase | | | 10,000 |
| 26 - Supplies & Materials | Built in Increase | | | 1,000 |
| 31 - Equipment | Built in Increase | | | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | <i>12,000</i> |
| Total | | | | 105,000 |

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

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|--------------------|--------------------|--------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | | | 1 |
| JS-7 | | | |
| JS-8 | 1 | 1 | 1 |
| JS-9 | 1 | 1 | 1 |
| JS-10 | 9 | 9 | 9 |
| JS-11 | 5 | 5 | 5 |
| JS-12 | 4 | 4 | 4 |
| JS-13 | 3 | 3 | 3 |
| JS-14 | | | |
| JS-15 | | | |
| CES | 1 | 1 | 1 |
| Total Salaries | 1,905,000 | 1,895,000 | 1,966,000 |
| Total FTEs | 24 | 24 | 25 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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> |
| 4 | 477,000 | 4 | 558,000 | 4 | 571,000 | 0 | 13,000 |

Mission Statement

The mission of the Office of the Auditor-Master is to assist the judiciary and parties in cases by accurately and expeditiously stating financial accounts for persons under the authority of the Court. The Office plays a critical role in assisting the Court in its responsibility to account for, safeguard, and recover assets of incapacitated adults, minors, decedent estates, and trusts, which are under court supervision in the Probate Division. Matters are referred to the Auditor-Master after the Court has determined in a hearing that a fiduciary, or another person having access to assets, has failed to 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

The position of the Auditor-Master was created in accordance with D.C. Code §11-1724. 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 Court considers the report in a hearing with the parties. The Office of the Auditor-Master has 4 FTEs, consisting of the Auditor-Master, an Attorney-Advisor, an Accountant, and a Legal Assistant.

Division MAP Objective

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

- Establish aggressively shorter time standards in order to assist in the timely disposition of cases.
- Exceed goals in all identified case-time standards.

Division Restructuring or Work Process

In support of D.C. Courts' goal to provide efficient case processing, 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:

- Developing standard hearing orders, affidavit forms, and other templates, which promotes intra-office consistencies and improves timeliness;
- Adopting trial court case management best practices, such as status hearings, in order 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.

Workload Data

Table 1
FY 2012 Caseload Overview

| Case Activity | | | Cases Pending | | |
|------------------------|----------------|----------------|---------------|--------|--------|
| Reports (Dispositions) | Cases Referred | Clearance Rate | Oct 1 | Sep 30 | Change |
| 59 | 68 | 87% | 18 | 26 | + 44% |

Table 2
Projected FY 2013 Caseload Overview

| Case Activity | | | Cases Pending | | |
|------------------------|----------------|----------------|---------------|--------|--------|
| Reports (Dispositions) | Cases Referred | Clearance Rate | Oct 1 | Sep 30 | Change |
| 65 | 54 | 120% | 26 | 15 | -58% |

Key Performance Indicators

Table 3
Key Performance Indicators
OFFICE OF THE AUDITOR-MASTER

| Type of Indicator | Key Performance Indicator | Data Source | FY 2012 | | FY 2013 | | FY 2014 | | FY 2015 | |
|-------------------|--|-----------------|---------|--------|---------|-----------|---------|----------|---------|----------|
| | | | Goal | Actual | Goal | Projected | Goal | Estimate | Goal | Estimate |
| Output | Percentage of cases completed within four months | Monthly Reports | 55% | 60% | 55% | 60% | 55% | 60% | 55% | 60% |
| Output | Percentage of cases completed within six months | Monthly Reports | 75% | 74% | 75% | 75% | 75% | 75% | 75% | 75% |
| Output | Percentage of cases completed within nine months | Monthly Reports | 80% | 88% | 80% | 85% | 80% | 85% | 80% | 85% |
| Output | Percentage of cases completed within 12 months | Monthly Reports | 85% | 93% | 85% | 90% | 85% | 90% | 85% | 90% |
| Output | Percentage of cases completed within 18 months | Monthly Reports | 95% | 95% | 95% | 95% | 95% | 95% | 95% | 95% |

FY 2015 Request

In FY 2015, the D.C. Courts request \$571,000 for the Office of the Auditor-Master. The increase of \$13,000 (2%) above the FY 2014 enacted level consists of built-in cost increases.

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

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 – Compensation | 361,000 | 422,000 | 429,000 | 7,000 |
| 12 – Benefits | 91,000 | 117,000 | 120,000 | 3,000 |
| <i>Subtotal Personal Services</i> | 452,000 | 539,000 | 549,000 | 10,000 |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 6,000 | 4,000 | 5,000 | 1,000 |
| 26 - Supplies & Materials | 6,000 | 4,000 | 5,000 | 1,000 |
| 31 – Equipment | 13,000 | 11,000 | 12,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | 25,000 | 19,000 | 22,000 | 3,000 |
| TOTAL | 477,000 | 558,000 | 571,000 | 13,000 |
| FTE | 4 | 4 | 4 | 0 |

Table 5
OFFICE OF THE AUDITOR-MASTER
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---|-------------------------------|------------|-------------|------------------------------------|
| 11- Personnel Compensation | Current Positions WIG | 4 | 2,000 | |
| | Current Positions COLA | | 5,000 | |
| <i>Subtotal 11</i> | | | | 7,000 |
| 12- Personnel Benefits | Current Positions WIG | | 1,000 | |
| | Current Positions COLA | | 2,000 | |
| <i>Subtotal 12</i> | | | | 3,000 |
| <i>Subtotal Personal Services</i> | | | | 10,000 |
| 21 - Travel, Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun & Utilities | | | | |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | Built-in Increases | | | 1,000 |
| 26 - Supplies & Materials | Built-in Increases | | | 1,000 |
| 31 - Equipment | Built-in Increases | | | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | 3,000 |
| Total | | | | 13,000 |

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

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|----------------------------|----------------------------|----------------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | | | |
| JS-7 | | | |
| JS-8 | | | |
| JS-9 | | | |
| JS-10 | | | |
| JS-11 | 1 | 1 | 1 |
| JS-12 | 1 | 1 | 1 |
| JS-13 | 1 | 1 | 1 |
| JS-14 | | | |
| JS-15 | | | |
| CES | 1 | 1 | 1 |
| Total Salaries | 361,000 | 422,000 | 429,000 |
| Total FTEs | 4 | 4 | 4 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY2014/2015</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> |
| 51 | 5,082,000 | 51 | 4,965,000 | 54 | 5,248,000 | 3 | 283,000 |

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 ages, the work of the Probate Division continues to increase, as more adults become incapacitated and need court-appointed fiduciaries to handle their personal, medical and financial affairs and thereafter as more decedents' estates will be opened. During FY 2012, the number of adult guardianship cases filed in the Probate Division increased by 16% over the prior year, continuing a trend of increased case filings to protect this vulnerable population.

The duties of the Probate Division include processing requests to open a decedent's estate, requests to open a small estate when the assets are less than \$40,000, requests to establish a guardianship for a minor's estate, mentally challenged adult or an adult otherwise incapacitated, requests to establish conservatorships to handle the financial affairs of incapacitated adults, requests to establish foreign estates, and requests to establish trusts. The Probate Division also reviews and processes pleadings and accounts as required throughout the duration of the fiduciary case until the case is closed. Generally, the administration of a decedent's estate is closed upon completion. 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 approximately 300 publicly accessible Probate Division forms, including

new forms on Elder Mediation and Filing a Will, designed to assist members of the public. The Probate Division has substantially expanded its Probate Resource Center, which now assists members of the public needing legal help from volunteer attorneys in preparing pleadings in both adult guardianship/conservatorship cases and administration of estate cases.

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, and Probate Systems Office.

- The Office of the Register of Wills is responsible for the management and supervision of the Division and the Guardianship Assistance Program. This office has 5 FTEs, consisting of the Register of Wills, the Deputy Register of Wills, one administrative assistant, one Program Manager, and one Deputy Program Manager.
- 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 10 FTEs, consisting of a supervisor, two case managers, and six 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 12 FTEs, consisting of one supervisor, one quality assurance specialist, one case manager, five courtroom clerks, and four deputy clerks.
- The Legal Branch reviews pleadings, prepares recommendations for the 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, nine auditors, and one appraiser.
- The Probate Systems Office is responsible for all systems of the Probate Division, including CourtView and Court Cases Online. The Probate Systems Office also maintains the file room and original wills stored on site and arranges for the retrieval of off-site records as needed. This office 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:

- Ensure timely case processing by performing 95% of case processing activities within established time standards (see Table 2).
- Issue Letters of Administration within 1 day of processing order of appointment or within 2 days of qualifying for appointment as personal representative.
- Ensure continuity of operations and protect the Probate Division's vital records in the event of an emergency or disaster.

Divisional Restructuring and/or Work Process Redesign

During FY 2013 the Probate Division:

- Updated its Continuity of Operations Plan (COOP);
- Hosted the Annual Guardianship Conference focused on the issue of financial exploitation. This year's conference, which featured keynote speakers from the Metropolitan Police Department and from the National Consumers League, included seminars on understanding psychiatric hospitalization and mental health commitments, challenges of dementia care, balancing protection with least restrictive alternatives, choosing a quality nursing home, and advanced planning strategies for difficult conversations. The conference concluded with an information fair featuring more than 25 organizations that provide services available to guardians;
- Hosted monthly Getting Started seminars to provide information to court-appointed fiduciaries on preparing a base-line inventory when handling the financial affairs of an incapacitated ward or decedent's estate;
- Expanded efforts to improve customer service, including substantial expansion of the services provided by the Probate Resource Center;
- Developed, tested, and updated the Probate Division performance standards;
- Realigned staff from Auditing Branch to other Probate Division offices to meet customer service needs and anticipate changes in work process design due to upcoming technological improvements;
- Expanded the web-based library of forms and brochures on topics of interest to members of the public, and reformatted all of the general information, forms, and answers to frequently asked questions available on the website;
- Provided monthly Guardianship Orientation Seminars to assist new and existing guardians in understanding guardianship plans, guardianship reports, and filing deadlines; and
- Continued efforts to prepare for e-filing and e-service of Probate Division pleadings and court orders.

Workload Data

As shown in Table 1, below, the Probate Division disposed of 3,000 cases during FY 2012, a slight increase over FY2011, with a clearance rate of 99% overall for the fiscal year. Efforts continue to close out aged large estate cases and to handle the increase in the number of cases involving incapacitated adults.

Table 1
PROBATE DIVISION
Caseload and Efficiency Measures
(Fiscal Year 2012 Data)

| | Cases Filed | Cases Disposed | Clearance Rate* | Cases Pending | | |
|---|-------------|----------------|-----------------|---------------|---------|--------|
| | | | | 1-Oct | 30-Sept | Change |
| Cases Involving the Deceased | | | | | | |
| Formal Probate (Decedents Estates) | 1,667 | 1,683 | 101% | 4,072 | 4,056 | -1% |
| Small Estates | 630 | 633 | 100% | 85 | 82 | -4% |
| Foreign Proceedings | 155 | 160 | 103% | 175 | 170 | -3% |
| Cases Involving the Incapacitated | | | | | | |
| Conservatorships (Old Law) | 0 | 5 | ** | 34 | 29 | -15% |
| Guardianships (of Minors) | 28 | 32 | 114% | 236 | 232 | -2% |
| Intervention Proceedings (Adult Guardianships/Conservatorships) | 535 | 469 | 88%*** | 2,124 | 2,190 | +3% |
| Trusts | 30 | 18 | 60%*** | 121 | 133 | +10% |
| Total | 3,045 | 3,000 | 99% | 6,847 | 6,892 | +1% |
| * Ratio of cases disposed to cases filed in a given year. A standard efficiency measure is 100%, meaning one case disposed for each case filed. ** Conservatorships (Old Law) refers to conservatorships created prior to 1989. *** The lower clearance rate for Intervention Proceedings and Trusts reflects the fact that these cases are often held open for many years until the death of the ward. | | | | | | |

Key Performance Indicators

Table 2
PROBATE DIVISION
Key Performance Indicators

| Performance Indicator | Data Source | FY 2012 | | FY 2013 | | FY 2014 | | FY 2015 | |
|---|-----------------|---------|--------|---------|----------|---------|------------|---------|------------|
| | | Goal | Actual | Goal | Estimate | Goal | Projection | Goal | Projection |
| Time Standard from Filing to Disposition | | | | | | | | | |
| Requests for compensation without account and from Guardianship Fund: within 25 days | Monthly Reports | 95% | 98% | 90% | 93% | 90% | 90% | 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% | 93% | 90% | 90% | 90% | 90% |
| Processing of requests for additional court action on existing cases within 30 days | Monthly Report | 95% | 97% | 90% | 93% | 90% | 90% | 90% | 90% |
| Administration of Decedents Estates | Monthly Reports | | | | | | | | |
| - Within 395 days | | 30% | 41% | 30% | 30% | 30% | 30% | 30% | 30% |
| - Within 1,125 days | | 75% | 97% | 75% | 90% | 75% | 85% | 75% | 80% |
| - Within 1,490 days | | 98% | 100% | 98% | 95% | 98% | 93% | 98% | 90% |
| Appointment of fiduciary or other resolution in guardianship cases (incapacitated adults and minors) | Monthly Reports | | | | | | | | |
| - Within 60 days | | 75% | 80% | 75% | 80% | 75% | 75% | 75% | 75% |
| - Within 90 days | | 98% | 94% | 98% | 95% | 98% | 90% | 98% | 85% |

FY 2015 Request

In FY 2015, the Courts request \$5,248,000 for the Probate Division, an increase of \$283,000 or 6% above the FY 2014 enacted level. The FY 2015 request consists of \$205,000 for 3 FTEs to improve monitoring of incapacitated adults and \$78,000 for built-in cost increases.

Guardianship Assistance Program Expansion, 3 FTEs, \$205,000 ***Case Manager Social Worker, 3 FTEs (JS-9/10)***

Problem Statement. To ensure that the needs of incapacitated adults requiring guardians appointed and monitored by the court are being properly met, three social workers are required to provide in-depth reviews of cases for 500 individuals to ensure they are being cared for properly. New case filings of adult guardianship and conservatorship cases have increased substantially during the past three years, as shown by the table below. The Probate Division expects this increase to continue and accelerate as the “baby boomer” generation ages.

Table 3

PROBATE DIVISION**Increase in new case filings in adult guardianship cases**

| Fiscal Year | # of new case filings | # of cases pending as of 9/30 | % increase |
|--------------------|------------------------------|--------------------------------------|-------------------|
| 2009 | 391 | 1,841 | |
| 2010 | 426 | 1,987 | 9% |
| 2011 | 460 | 2,124 | 8% |
| 2012 | 535 | 2,190 | 16% |

The Guardianship Assistance Program (GAP), which was instituted by the Probate Division in August 2008 to provide increased monitoring of guardians and to ensure that needed services are being provided to incapacitated adults under court supervision, has been a notable success. A Program Manager and a Deputy Program Manager serve as field instructors for up to 10 graduate students enrolled in social work programs at local universities. The students volunteer their time (more than 5,000 volunteer hours per fiscal year) to conduct in-depth reviews of the cases of incapacitated adults under court supervision. During FY 2012, the GAP hosted a Guardianship Conference, provided monthly guardianship orientation seminars for court-appointed guardians, reviewed 3,092 guardianship reports, informed the court of matters needing court intervention or review, and responded to 396 case inquiries from incapacitated adults and other persons interested in seeking the court protection of a guardianship proceeding.

In addition to these many responsibilities, the GAP conducted in-depth reviews of cases of 149 incapacitated adults under court supervision. The primary goal of the program is to conduct periodic in-depth reviews of all cases involving incapacitated adults who are physically located within the District of Columbia and have been under court supervision for six months or more. These in-depth reviews open an unparalleled window into the condition of wards under court supervision: they identify any unmet needs and report to the court on the current level of care provided, the nature of the incapacity, the medical and/or mental health diagnosis, the medications used, housing conditions, and the intellectual and social functioning of these wards. Furthermore, these critical reports assist the court in identifying possible cases of neglect, elder abuse, exploitation, or fraud.

As noted in the recently revised National Probate Court Standards:

Following appointment of a guardian or conservator, *probate courts have an on-going responsibility to make certain that the respondent is receiving the services and care required*, the estate is being managed appropriately, and the terms of the order remain consistent with the respondent's needs and condition. Standard 3.3.17, Monitoring, at page 71, Van Duisend, R (2013) National Probate Court Standards (emphasis added).

Although the GAP has been in operation since August 2008 and conducts approximately 150 detailed case reviews per fiscal year, fewer than 20% of the incapacitated adults in the current caseload have benefitted from these reviews. The most efficient and cost-effective method for increasing the number of in-depth reviews is to hire social worker case managers to augment the work of the student volunteers. Not only is a licensed social worker review of such cases a national best practice, social workers possess the particular knowledge, skills, and training

necessary to perform efficient, consistent, and thorough in-depth reviews of cases of incapacitated adults under guardianship. Based upon the Probate Division’s intention to dedicate the new social worker case managers to conducting in-depth reviews, rather than supervising student volunteers, it is estimated that reviews will increase from 150 to 500 each fiscal year.

Relationship to Courtwide Strategic Goals. This request supports Access to Justice, Strategic Goal 2A3, and would enhance assistance to the public by providing these services to address the unique needs of this special population of incapacitated adults, often elderly or otherwise infirm. Public Trust and Confidence, Strategic Goal 5(1), would also be served.

Relationship to Division MAP Objectives. With the requested social worker case managers, the current Probate Division MAP standard would be substantially revised. Rather than seeking to submit GAP reports for 150 wards per fiscal year, the revised MAP would be to submit GAP reports for 500 wards. These social worker case managers would also be available to assist in continuing to meet the Probate Division MAP of reviewing guardianship reports within 35 days, despite the ever-increasing number of guardianship reports filed. Increased monitoring is also in accord with Standard 3.3.17 of the National Probate Court Standards.

Relationship to Existing Funding. The addition of three non-supervisory social worker case managers would complement the services already provided by the two FTEs currently managing the GAP program and supervising the student volunteers. Social workers possess the unique skills and specialized knowledge necessary to conduct these in-depth reviews. They are adept at assessing the needs of the incapacitated adults, and matching these needs to available resources.

Methodology. The grade level for these non-supervisory social worker case managers, grade 9/10, is determined in accordance with the Courts’ personnel policies.

Expenditure Plan. The Probate Division will recruit and hire all additional staff according to the Courts’ personnel policies.

Key Performance Indicators. As shown in Table 4 below, the key performance indicator would be an increase in the number of in-depth visitor reports submitted due to the addition of three social worker case managers, from a baseline of 149 such reports submitted in FY 2012 to an estimated 500 reports to be submitted in FY 2015.

Table 4

PROBATE DIVISION

Key Performance Indicator for Additional Funding Request

| Key Performance Indicator | Data Source | FY2012 | | FY2013 | | FY2014 | | FY2015 | |
|--|-------------|--------|--------|--------|----------|--------|----------|--------|----------|
| | | Goal | Actual | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Number of GAP in-depth reports submitted | CourtView | 150 | 149 | 150 | 151 | 150 | 150 | 500 | 500 |

Table 5

PROBATE DIVISION

New Positions Requested

| Positions | Grade | Number | Salary | Benefits | Total Personnel Cost |
|--------------------------|-------|--------|-----------|----------|----------------------|
| Case Manager GAP Program | JS-9 | 3 | \$158,000 | \$47,000 | \$205,000 |

Table 6
PROBATE DIVISION
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 4,042,000 | 3,864,000 | 4,080,000 | 216,000 |
| 12 - Personnel Benefits | 1,012,000 | 1,077,000 | 1,142,000 | 65,000 |
| <i>Subtotal Personal Services</i> | <i>5,054,000</i> | <i>4,941,000</i> | <i>5,222,000</i> | <i>281,000</i> |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 0 | 0 | 0 | 0 |
| 26 - Supplies & Materials | 15,000 | 13,000 | 14,000 | 1,000 |
| 31 - Equipment | 13,000 | 11,000 | 12,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | <i>28,000</i> | <i>24,000</i> | <i>26,000</i> | <i>2,000</i> |
| TOTAL | 5,082,000 | 4,965,000 | 5,248,000 | 283,000 |
| FTE | 51 | 51 | 54 | 3 |

Table 7
PROBATE DIVISION
Detail Difference, FY2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/FY 2015 |
|---|-------------------------------|------------|-------------|---------------------------------------|
| 11 - Personnel Compensation | Current Position WIG | 51 | 19,000 | |
| | Current Position COLA | | 39,000 | |
| | Case Manager GAP | 3 | 158,000 | |
| <i>Subtotal 11</i> | | | | <i>216,000</i> |
| 12 - Personnel Benefits | Current Position WIG | | 6,000 | |
| | Current Position COLA | | 12,000 | |
| | Case Manager GAP | | 47,000 | |
| <i>Subtotal 12</i> | | | | <i>65,000</i> |
| <i>Subtotal Personal Services</i> | | | | <i>281,000</i> |
| 21 - Travel, Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | | | | |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | | | | |
| 26 - Supplies & Materials | Built-in Increases | | | 1,000 |
| 31 - Equipment | Built-in Increases | | | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | <i>2,000</i> |
| Total | | | | 283,000 |

Table 8
PROBATE DIVISION
Detail of Full Time Equivalent Employment

| Grade | 2013 Enacted | 2014 Enacted | 2015 Request |
|---------------------|-------------------------|-------------------------|-------------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | 1 | 1 | 1 |
| JS-6 | 5 | 5 | 7 |
| JS-7 | 4 | 4 | 2 |
| JS-8 | 8 | 9 | 6 |
| JS-9 | 3 | 2 | 10 |
| JS-10 | 2 | 2 | 1 |
| JS-11 | 4 | 4 | 5 |
| JS-12 | 16 | 16 | 13 |
| JS-13 | 5 | 5 | 5 |
| JS-14 | 1 | 1 | 2 |
| JS-15 | 1 | 1 | 1 |
| CEMS | | | |
| CES | 1 | 1 | 1 |
| Total Salary | 4,042,000 | 3,864,000 | 4,080,000 |
| Total FTEs | 51 | 51 | 54 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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> |
| 34 | 4,344,000 | 34 | 4,469,000 | 34 | 4,557,000 | 0 | 88,000 |

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 (3 FTEs), as follows:

- 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 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 Superior Court Library houses law books, legal periodicals, and electronic research tools for the use of judges, attorneys, and court staff. This office has 2 FTEs.
- The Child Care Center provides childcare through the use of developmentally appropriate practices for children of jurors, witnesses, and other parties appearing in court. 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. 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 4 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 fifteen minutes of request 100% of the time by maintaining a comprehensive, up-to-date website that allows potential jurors to qualify themselves for jury service, defer their service dates and obtain pertinent information regarding their service.
- 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, attorneys and court staff that provides up-to-date print and electronic resources on a broad range of subjects relevant to the administration of justice.
- To provide high quality child care services for jurors, witnesses, and other persons attending court proceedings by offering age appropriate play opportunities, supportive adult supervision, and a safe, stress-free environment.
- To ensure access to court proceedings by non-English speaking and deaf/hard of hearing persons by providing, upon request, certified foreign language and sign language interpreters for defendants and other parties for court hearings within ten minutes of receipt of a "ready" request from a courtroom at least 95% of the time. To provide interpreting related training to courtroom clerks, court employees, and judges 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.

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 courtroom communications regarding the initial selection of a jury panel, daily attendance of jurors, the release of alternate jurors, and trial completion are now transmitted electronically to 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. This device, which can be used to enhance printed documents electronically for jurors with low-vision, may eventually eliminate the need for readers during the deliberative phase of jury trials.

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

Workload Data

In FY 2012, the Special Operations Division's Jurors' Office sent 191,517 summonses to District of Columbia citizens to appear on juries; the Office of Court Interpreting Services received and fulfilled over 8,898 requests for courtroom interpreting services; the Tax Division heard and disposed of 521 tax petitions; and 775 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 2012 | | FY 2013 | | FY 2014 | | FY 2015 | |
|-------------------|--|---|---------|---------|---------|------------|---------|------------|---------|------------|
| | | | Goal | Actual | Goal | Projection | Goal | Projection | Goal | Projection |
| Output/Activity | # of summons sent to jurors to serve on jury duty | Courts' Information Technology Division | 252,000 | 191,517 | 250,000 | 250,919 | 248,000 | 248,000 | 246,000 | 246,000 |
| Output/Activity | Jurors qualified to serve on <i>voir dire</i> panels | IT Division | 66,000 | 39,748 | 67,000 | 57,140 | 50,000 | 50,000 | 51,000 | 51,000 |
| Outcome | Judicial requests for <i>voir dire</i> panels met | Court's R & D Division | 88% | 66% | 90% | 78% | 86% | 70% | 90% | 80% |
| Outcome | Jury Yield | IT Division | 28% | 22% | 30% | 28% | 28% | 25% | 28% | 25% |

Table 2
SPECIAL OPERATIONS DIVISION
Office of Court Interpreting Services
Key Performance Indicators
Requests for Interpretation - All Languages

| Type of Indicator | Performance Indicator | Data Source | FY 2012 | | FY 2013 | | FY 2014 | | FY 2015 | |
|-------------------|-------------------------------|-----------------|---------|--------|---------|------------|---------|------------|---------|------------|
| | | | Goal | Actual | Goal | Projection | Goal | Projection | Goal | Projection |
| Input | Requests for interpreters | OCIS statistics | 10,759 | 8,898 | 9,368 | 8,994 | 9,836 | 9,443 | 10,328 | 9,915 |
| Outcome | Requests for interpreters met | OCIS statistics | 100% | 99% | 100% | 96% | 100% | 96% | 100% | 96% |

Table 3
SPECIAL OPERATIONS DIVISION
Tax Division
Key Performance Indicators

| Type of Indicator | Performance Indicator | Data Source | FY 2012 | | FY 2013 | | FY 2014 | | FY 2015 | |
|-------------------------|--------------------------------------|-------------|---------|--------|---------|------------|---------|------------|---------|------------|
| | | | Goal | Actual | Goal | Projection | Goal | Projection | Goal | Projection |
| Input | Number of tax petitions filed | Court data | 1,000 | 360 | 1,100 | 400 | 1,200 | 450 | 1,250 | 500 |
| Output/Activity | Number of cases prepared for hearing | Court data | 1,400 | 1,445 | 1,300 | 1,300 | 1,200 | 1,100 | 1,000 | 1,300 |
| End Outcome | Cases disposed | Court data | 400 | 521 | 450 | 400 | 500 | 450 | 550 | 500 |
| Productivity/Efficiency | Cases disposed/cases filed | Court data | 40% | 145% | 41% | 100% | 42% | 100% | 44% | 100% |

Table 4
SPECIAL OPERATIONS DIVISION
Library
Key Performance Indicators

| Type of Indicator | Performance Indicator | Data Source | FY 2012 | | FY 2013 | | FY 2014 | | FY 2015 | |
|-------------------|------------------------------|--------------------|---------|--------|---------|------------|---------|------------|---------|------------|
| | | | Goal | Actual | Goal | Projection | Goal | Projection | Goal | Projection |
| Output | Research Assistance Provided | Library Staff Data | 2,633 | 2,678 | 2,791 | 2,791 | 2,958 | 2,958 | 3,250 | 3,250 |
| Outcome | Users | Library Staff Data | 13,363 | 11,632 | 14,165 | 14,165 | 15,015 | 15,015 | 16,500 | 16,500 |

FY 2015 Request

In FY 2015, the Courts request \$4,557,000 for the Special Operations Division, an increase of \$88,000 (2%) above the FY 2014 enacted level. The FY 2015 increase consists entirely of built-in cost increases.

Table 5
SPECIAL OPERATIONS DIVISION
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 – Personnel Compensation | 2,259,000 | 2,331,000 | 2,375,000 | 44,000 |
| 12 – Personnel Benefits | 568,000 | 652,000 | 666,000 | 14,000 |
| <i>Subtotal Personal Services</i> | 2,827,000 | 2,983,000 | 3,041,000 | 58,000 |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 151,000 | 146,000 | 149,000 | 3,000 |
| 25 - Other Services | 1,117,000 | 1,099,000 | 1,120,000 | 21,000 |
| 26 - Supplies & Materials | 240,000 | 233,000 | 238,000 | 5,000 |
| 31 - Equipment | 9,000 | 8,000 | 9,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | 1,517,000 | 1,486,000 | 1,516,000 | 30,000 |
| TOTAL | 4,344,000 | 4,469,000 | 4,557,000 | 88,000 |
| FTE | 34 | 34 | 34 | - |

Table 6
SPECIAL OPERATIONS DIVISION
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---|-------------------------------|------------|-------------|------------------------------------|
| 11 - Personnel Compensation | Current Positions WIG | 34 | 19,000 | |
| | Current Positions COLA | | 25,000 | |
| <i>Subtotal 11</i> | | | | 44,000 |
| 12 - Personnel Benefits | Current Positions WIG | | 6,000 | |
| | Current Positions COLA | | 8,000 | |
| <i>Subtotal 12</i> | | | | 14,000 |
| <i>Subtotal Personal Services</i> | | | | 58,000 |
| 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 | | | 21,000 |
| 26 - Supplies & Materials | Built-in Increase | | | 5,000 |
| 31 - Equipment | Built-in Increase | | | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | 30,000 |
| Total | | | | 88,000 |

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

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|--------------------|--------------------|--------------------|
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | 2 | 2 | 2 |
| JS-7 | 5 | 5 | 5 |
| JS-8 | 5 | 5 | 5 |
| JS-9 | 10 | 10 | 10 |
| JS-10 | 1 | 1 | 1 |
| JS-11 | 2 | 2 | 2 |
| JS-12 | 5 | 5 | 5 |
| JS-13 | 2 | 2 | 2 |
| JS-14 | 1 | 1 | 1 |
| JS-15 | | | |
| CES | 1 | 1 | 1 |
| Total Salaries | 2,259,000 | 2,331,000 | 2,375,000 |
| Total FTEs | 34 | 34 | 34 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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 | 13,406,000 | 0 | 12,727,000 | 0 | 12,953,000 | 0 | 226,000 |

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

FY 2015 Request

In FY 2015, the Courts request \$12,953,000 for the Management Account, which is an increase of \$226,000 (2%) from the FY 2014 enacted level. The increase is comprised entirely of built-in cost increases.

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

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 139,000 | 1,725,000 | 1,743,000 | 18,000 |
| 12 - Personnel Benefits | 5,000 | 899,000 | 908,000 | 9,000 |
| <i>Subtotal Personal Services</i> | <i>144,000</i> | <i>2,624,000</i> | <i>2,651,000</i> | <i>27,000</i> |
| 21 - Travel, Transp. of Persons | 463,000 | 385,000 | 393,000 | 8,000 |
| 22 - Transportation of Things | 13,000 | 11,000 | 12,000 | 1,000 |
| 23 - Rent, Commun. & Utilities | 3,266,000 | 3,120,000 | 3,180,000 | 60,000 |
| 24 - Printing & Reproduction | 317,000 | 307,000 | 313,000 | 6,000 |
| 25 - Other Services | 8,551,000 | 5,648,000 | 5,759,000 | 111,000 |
| 26 - Supplies & Materials | 452,000 | 438,000 | 447,000 | 9,000 |
| 31 - Equipment | 200,000 | 194,000 | 198,000 | 4,000 |
| <i>Subtotal Nonpersonal Services</i> | <i>13,262,000</i> | <i>10,103,000</i> | <i>10,302,000</i> | <i>199,000</i> |
| TOTAL | 13,406,000 | 12,727,000 | 12,953,000 | 226,000 |
| FTE | 0 | 0 | 0 | 0 |

Table 2
MANAGEMENT ACCOUNT
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---|------------------------|-----|------|----------------------------|
| 11 - Personnel Compensation | Built-in Increase | 0 | | 18,000 |
| 12 - Personnel Benefits | Built-in Increase | | | 9,000 |
| <i>Subtotal Personal Services</i> | | | | <i>27,000</i> |
| 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 | | | 60,000 |
| 24 - Printing & Reproduction | Built-in Increase | | | 6,000 |
| 25 - Other Services | Built-in Increase | | | 111,000 |
| 26 - Supplies & Materials | Built-in Increase | | | 9,000 |
| 31 - Equipment | Built-in Increase | | | 4,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | <i>199,000</i> |
| TOTAL | | | | 226,000 |

**DISTRICT OF COLUMBIA COURT SYSTEM
Overview**

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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 | 66,579,000 | 297 | 69,155,000 | 299 | 72,578,000 | 2 | 3,423,000 |

Introduction

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

FY 2015 Request

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

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

The Court System has aligned its FY 2015 request around one of the five strategic goals—a sound infrastructure. In FY 2015, the D.C. Courts request \$72,578,000 for the Court System, an increase of \$3,423,000 (4.9%) above the FY 2014 enacted level. The request includes increases to support the following Court goals:

Strategic Goal 4: A Sound Infrastructure--\$2,200,000 and 2 FTEs

The FY 2015 request includes \$2,100,000 and 2 FTEs to address the Courts’ goal of maintaining a sound infrastructure, including \$1,750,000 to replace the security access control system that programs the electronic locks on courthouse doors and has reached the end of its lifecycle; \$250,000 to maintain new court facilities, including utilities, cleaning, maintenance and upkeep of the grounds; and \$100,000 for 2 FTEs to staff the secure mail facility that is under construction in FY 2013.

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

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 26,661,000 | 27,864,000 | 28,370,000 | 506,000 |
| 12 - Personnel Benefits | 6,673,000 | 7,966,000 | 8,125,000 | 159,000 |
| <i>Subtotal Personal Services</i> | 33,334,000 | 35,830,000 | 36,495,000 | 665,000 |
| 21 - Travel, Transp. of Persons | 565,000 | 394,000 | 404,000 | 10,000 |
| 22 - Transportation of Things | 5,000 | 3,000 | 4,000 | 1,000 |
| 23 - Rent, Commun. & Utilities | 11,030,000 | 8,906,000 | 9,175,000 | 269,000 |
| 24 - Printing & Reproduction | 87,000 | 78,000 | 81,000 | 3,000 |
| 25 - Other Services | 19,223,000 | 20,586,000 | 21,231,000 | 645,000 |
| 26 - Supplies & Materials | 773,000 | 661,000 | 681,000 | 20,000 |
| 31 - Equipment | 1,550,000 | 2,697,000 | 4,507,000 | 1,810,000 |
| <i>Subtotal Nonpersonal Services</i> | 33,245,000 | 33,325,000 | 36,083,000 | 2,758,000 |
| TOTAL | 66,579,000 | 69,155,000 | 72,578,000 | 3,423,000 |
| FTE | 297 | 295 | 299 | 2 |

**DISTRICT OF COLUMBIA COURT SYSTEM
EXECUTIVE OFFICE**

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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> |
| 20 | 2,488,000 | 20 | 2,905,000 | 20 | 2,945,000 | 0 | 40,000 |

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

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

Executive Office MAP Objectives

- Ensure the D.C. Courts provide 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 Courts function during emergencies by maintaining a Continuity of Operations Plan (COOP) in coordination with all justice system partners.
- Ensure the effectiveness of security operations by developing and operationalizing a database for CSO incident reports in order to establish security performance measures, monitor results, and evaluate programs and services.
- Promote effective and efficient court operations by providing essential administrative services for judges, court staff, and external customers, such as information and referral, parking and transportation, conference room scheduling, special events staffing, and special mailings.
- 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 initiatives, and work-life balance and wellness initiatives.
- Enhance employee engagement, reinforcing the Courts' Great Place to Work culture, and improve work processes by creating internal communications programs and providing change management support.
- Ensure effective court operations and performance accountability by leading the establishment of court performance measures and monitoring performance results.
- Foster excellence, accountability, and public trust in the administration of justice by coordinating the development of the D.C. Courts' Strategic Plan and promoting strategic management practices and initiatives to achieve goals and performance targets.
- 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.
- Promote understanding of the courts and educate the public about the courts' services and programs by participating in forums and events and conducting outreach initiatives.
- Enhance public and inter-governmental understanding of the judicial branch through government relations, legislative analysis, and outreach.

FY 2015 Request

In FY 2015, the Courts request \$2,945,000 for the Executive Office, an increase of \$40,000 (1.4%) above the FY 2014 enacted level. The requested increase consists entirely of built-in cost increases.

Table 1
EXECUTIVE OFFICE
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 1,970,000 | 2,262,000 | 2,291,000 | 29,000 |
| 12 - Personnel Benefits | 504,000 | 633,000 | 642,000 | 9,000 |
| <i>Subtotal Personal Services</i> | 2,474,000 | 2,895,000 | 2,933,000 | 38,000 |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 0 | 0 | 0 | 0 |
| 26 - Supplies & Materials | 8,000 | 6,000 | 7,000 | 1,000 |
| 31 - Equipment | 6,000 | 4,000 | 5,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | 14,000 | 10,000 | 12,000 | 2,000 |
| TOTAL | 2,488,000 | 2,905,000 | 2,945,000 | 40,000 |
| FTE | 20 | 20 | 20 | 0 |

Table 2
EXECUTIVE OFFICE
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---------------------------------|-------------------------------|------------|-------------|------------------------------------|
| 11 - Personnel Compensation | Current Position WIG | 20 | 6,000 | |
| | Current Position COLA | | 23,000 | |
| <i>Subtotal</i> | | | | 29,000 |
| 12 - Personnel Benefits | Current Position WIG | | 2,000 | |
| | Current Position COLA | | 7,000 | |
| <i>Subtotal</i> | | | | 9,000 |
| 21 - Travel, Transp. of Persons | | | | 0 |
| 22 - Transportation of Things | | | | 0 |
| 23 - Rent, Commun. & Utilities | | | | 0 |
| 24 - Printing & Reproduction | | | | 0 |
| 25 - Other Services | | | | 0 |
| 26 - Supplies & Materials | Built-in | | | 1,000 |
| 31 - Equipment | Built-in | | | 1,000 |
| TOTAL | | | | 40,000 |

Table 3
EXECUTIVE OFFICE
Detail of Full-Time Equivalent Employment

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|----------------------------|----------------------------|----------------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | | | |
| JS-7 | 1 | 1 | 1 |
| JS-8 | 1 | 1 | 1 |
| JS-9 | 1 | 1 | 1 |
| JS-10 | | | |
| JS-11 | 2 | 2 | 2 |
| JS-12 | 3 | 3 | 3 |
| JS-13 | 3 | 3 | 3 |
| JS-14 | 3 | 3 | 3 |
| JS-15 | 4 | 4 | 4 |
| CES | 1 | 1 | 1 |
| Ungraded | 1 | 1 | 1 |
| Total Salaries | 1,970,000 | 2,262,000 | 2,291,000 |
| Total FTEs | 20 | 20 | 20 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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 | 5,392,000 | 46 | 6,025,000 | 2 | 6,222,000 | 48 | 197,000 |

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

- The Information & Telecommunications Branch is responsible for providing telecommunications services; information services regarding daily court proceedings; court directory services; and mailroom operations.
- The Procurement and Contracts Branch is responsible for small purchases, major contract acquisitions, graphics and reproduction services, as well as sponsoring acquisition training and maintaining the Courts' Procurement Guidelines.
- The Office Services Branch is responsible for the warehouse and supply room operations; furniture and furnishings inventory; fixed and controllable assets; property disposal; receipt of delivery orders; special occasion room/function set-ups; staff relocation services; Help-Desk operations; records management; and vehicle fleet management (including fleet credit cards management).

Administrative Services MAP Objectives

- Develop, encourage, and support the workforce by developing a highly skilled, professional, and competent team to increase overall efficiencies and effectiveness of the Information, Telecommunications, Supply Management, and Acquisition operations.
- Increase the utilization of technology to streamline the acquisition process and improve customer support at the Information Window, the Help Desk, Records Management, Supply Store, and Warehouse, 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 to include contracting officer technical representatives (COTRs), contract administrators, technical officers, project managers, source selection team members, and those individuals involved in the payment and close-out process.

- Provide convenient, safe, and secure off-site storage for storing vital court records and other critical documents, supplies and equipment.
- Provide on-going monitoring and consistent oversight to prevent waste, fraud, and abuse in the Courts' SmartPay Purchase and Fleet Card Programs.
- Develop, implement, and maintain a fixed asset inventory control system for all personal property assets acquired, maintained, transferred, and disposed of throughout the assets life cycle.

Workload Data

Information & Telecommunications Branch

In FY 2015, the mailroom expects to process approximately 75,000 juror checks, 250,000 juror summonses, 230,000 subpoenas, and another 300,000 outgoing pieces of mail. The Information Center expects to respond to over 15,000 incoming calls per month (well over 180,000 calls per year). The data represent a reduction in calls due to the usage of technology via the Courts' website and interactive voice response systems. Additionally, it is projected that in FY 2015, the staff at the courthouse Information Center window will respond to an estimated 12,000 members of the public needing assistance per month (624,000 annually). This number is expected to remain constant and eventually decline in the out years as more members of the public utilize the Courts' Internet site or other social media outlets to access court information and data.

Procurement and Contracts Branch

In FY 2015, the Procurement and Contracts Branch expects to process approximately 1,000 small purchases (< \$100,000) within 15 days of receipt and 75 large contracts (> \$100,000) within 120 days of receipt. It is expected that there will be over 700 modifications processed as well. The complexity of major acquisitions and changing technology requires the Courts to maintain a knowledgeable and experienced acquisition workforce with the required critical thinking and business expertise to support the needs of the Courts. The Procurement and Contracts Branch established "The Acquisition Training Institute" to provide internal training to the procurement staff and personnel with acquisition and contract management responsibilities. In 2015, the Procurement and Contract Branch expects to conduct approximately 12 training courses. This number is expected to remain steady as the Institute continues to enhance the training experience with refresher courses and knowledge maintenance synopses 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.

Office Services Branch

In FY 2015, the Help-Desk expects to receive approximately 12,000 calls from court personnel, which represents an increase of 7,000 more calls than reported in FY 2012. In FY 2013, the Office Services Branch implemented an enhanced Call Management System which tracks all incoming calls for the help desk more efficiently. With this new system, we can capture historical data, streamline business practices, establish performance measures, and improve customer services.

The Records Management Unit expects to process over 40,000 cases of records and files for storage or disposal. This number has decreased as the Courts are digitizing older records and current records are available in electronic format in the case management system. As the public demands greater access to information, digital imaging will provide greater access of records to the public, increase the preservation of historical data, as well as reduce the footprint of stored files and cost associated with maintaining records in storage facilities.

Table 1
ADMINISTRATIVE SERVICES DIVISION
 Key Performance Indicators

| Telecommunications Branch | | | | | | | | | |
|--|--|---------|---------|---------|----------|---------|----------|---------|----------|
| Performance Indicators | Data Source | FY2012 | | FY2013 | | FY2014 | | FY2015 | |
| | | Goal | Actual | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Number of Calls monthly | Call Accounting Reports | 20,000 | 18,000 | 17,000 | 17,000 | 16,000 | 16,000 | 15,000 | 15,000 |
| Jury Checks processed by mailroom yearly | Electronic Database | 50,000 | 60,000 | 65,000 | 65,000 | 70,000 | 70,000 | 75,000 | 75,000 |
| Jury Summons processed by mailroom yearly | | 260,000 | 220,000 | 230,000 | 230,000 | 240,000 | 240,000 | 250,000 | 250,000 |
| Subpoenas processed by mailroom yearly | | 215,000 | 200,000 | 210,000 | 210,000 | 220,000 | 220,000 | 230,000 | 230,000 |
| Outgoing Metered Mail (Pieces) yearly | | 280,000 | 270,000 | 280,000 | 280,000 | 290,000 | 290,000 | 300,000 | 300,000 |
| Telecommunications additions, moves and changes yearly | Internal Audit | 40,000 | 25,000 | 25,000 | 25,000 | 20,000 | 20,000 | 15,000 | 15,000 |
| % of Internal Customers Satisfied | Customer survey and feedback | 95% | 89%* | 93% | 92% | 93% | 94% | 95% | 95% |
| Procurement Branch | | | | | | | | | |
| Performance Indicators | Data Source | FY2012 | | FY2013 | | FY2014 | | FY2015 | |
| | | Goal | Actual | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Number of Small Purchases Processed yearly (\leq \$100,000) | Automated Financial System and Manual Accounting | 850 | 875 | 900 | 900 | 1,000 | 1,000 | 1,000 | 1,000 |
| Number of Large Purchases Processed yearly ($>$ \$100,000) | | 125 | 125 | 100 | 100 | 75 | 75 | 75 | 75 |
| Number of Modifications Processed yearly | | 1,200 | 1,200 | 1,000 | 1,000 | 800 | 800 | 700 | 700 |
| % of Small Purchases Processed within 15 days | | 90% | 90% | 95% | 95% | 95% | 95% | 95% | 95% |
| % of Large Purchases Processed within 90-120 Days after receipt of SOW | | 85% | 85% | 90% | 90% | 95% | 95% | 95% | 95% |

| Telecommunications Branch | | | | | | | | | |
|---|----------------------------|--------|--------|--------|----------|--------|----------|--------|----------|
| Performance Indicators | Data Source | FY2012 | | FY2013 | | FY2014 | | FY2015 | |
| | | Goal | Actual | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Number of Acquisition Training Courses conducted yearly | Internal Records | 12 | 12 | 12 | 12 | 12 | 12 | 12 | 12 |
| % of Internal Customers Satisfied | Customer Survey & feedback | 95% | 89%* | 93% | 92% | 93% | 94% | 93% | 94% |
| Office Services Branch | | | | | | | | | |
| Performance Indicators | Data Source | FY2012 | | FY2013 | | FY2014 | | FY2015 | |
| | | Goal | Actual | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Number of Help Desk Calls Received and Processed yearly | Automated Tracking System | 5,000 | 4,180 | 12,000 | 12,000 | 12,000 | 12,000 | 12,000 | 12,000 |
| Number of days to conduct physical inventory and account for and reconcile discrepancies for all fixed assets | Electronic Data Base | 60 | 55 | 55 | 55 | 55 | 50 | 55 | 50 |
| Records Center requests for Court records filed yearly | Electronic Data Base | 4,000 | 1,838 | 2,000 | 2,000 | 2,000 | 2,000 | 2,000 | 2,000 |
| Records for Storage yearly (cases) | Electronic Data Base | 20,000 | 56,150 | 50,000 | 50,000 | 45,000 | 45,000 | 40,000 | 40,000 |
| % of Internal Customers Satisfied | Customer Survey & feedback | 98% | 89%* | 93% | 92% | 93% | 94% | 95% | 96% |

FY 2015 Request

In FY 2015, the Courts request \$6,222,000 for the Administrative Services Division, an increase of \$197,000 (3.3%) above the FY 2014 enacted level. The request consists of \$100,000 for 2 FTEs to staff the new secure mail screening center and \$97,000 for built-in cost increases.

Securing Mail Services, 2 FTEs, \$100,000 Mail Room Technician, 2 FTEs (JS-7)

Problem Statement. The rising number of security incidents in courthouses throughout the country, coupled with the location of the District of Columbia Courts in the Nation's Capital, provided the impetus for a long overdue review of security at the D.C. Courts. The resulting studies conducted by the U.S. Marshals Service identified a number of deficiencies and significant risks. Inadequate mail screening is one of the identified security risks currently facing the Courts. Best practices require a separate, hardened, secure screening facility for all mail and packages in order to contain biohazards, contaminants, and explosives. The Courts' current Mail Center is located deep inside the Moultrie Courthouse and cannot protect judges, staff, and the public from potential risks that might be found in the 1.8 million pieces of incoming mail each year. Mail screening is currently conducted at the public entrances of the Moultrie Courthouse where 10,000 people enter daily, with all screening of packages performed by the Special Security Officers (SSOs) under contract with the U.S. Marshals Service. There is no way to isolate hazardous packages and contain security risks.

The Courts received funding for the construction of a secure Mail Center in the FY 13 Capital Budget and the design of the mailroom is underway. The mailroom is being designed and

constructed in accordance with blast mitigation guidelines set by the U.S. Marshals Service and patterned after a similar facility located at the US District Court.

To undertake the hazardous duty of screening court mail at the new Center, prior to its dissemination throughout the courthouse complex, the Courts are in need of two secure mail room technicians.

Relationship to Courts’ Mission, Vision and Strategic Plan. This initiative supports *Goal 4C, “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”*. Having adequate staff properly trained to screen mail without delay and contamination enhances the overall efficiency of the administration of justice.

Relationship to Divisional Objectives. This position supports the Division’s objective of ensuring that all court mail is properly screened and timely processed.

Relationship to Existing Funding. Funding for this position does not exist.

Methodology. The position is classified in accordance with the Courts’ classification policies.

Expenditure Plan. The Mail Technicians will be selected and hired in accordance with the Courts’ personnel policies.

Performance Indicators. The performance measure for this initiative will be the effective and efficient delivery of contamination-free mail throughout the courts campus and compliance with federal courthouse security standards. Ultimately, however, in the area of security the best measure of performance is the avoidance of harm to individuals and facilities. Since the precise level and nature of the risk cannot be known it is difficult, at best, to prove the efficacy of any security enhancements. The approach taken here is to identify known risks and gaps in existing security and to address them proactively.

Table 2
ADMINISTRATIVE SERVICES DIVISION
New Positions Requested

| Position | Grade | Number | Salary | Benefits | Total Personnel Cost |
|---------------------|--------------|---------------|---------------|-----------------|-----------------------------|
| Mailroom Technician | 7 | 2 | \$77,000 | \$23,000 | \$100,000 |

Table 3
ADMINISTRATIVE SERVICES DIVISION
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 3,183,000 | 3,639,000 | 3,770,000 | 131,000 |
| 12 - Personnel Benefits | 795,000 | 1,016,000 | 1,055,000 | 39,000 |
| <i>Subtotal Personal Services</i> | <i>3,978,000</i> | <i>4,655,000</i> | <i>4,825,000</i> | <i>170,000</i> |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 1,301,000 | 1,261,000 | 1,285,000 | 24,000 |
| 26 - Supplies & Materials | 85,000 | 82,000 | 84,000 | 2,000 |
| 31 - Equipment | 28,000 | 27,000 | 28,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | <i>1,414,000</i> | <i>1,370,000</i> | <i>1,397,000</i> | <i>27,000</i> |
| TOTAL | <i>5,392,000</i> | <i>6,025,000</i> | <i>6,222,000</i> | <i>197,000</i> |
| FTE | 46 | 46 | 48 | 2 |

Table 4
ADMINISTRATIVE SERVICES DIVISION
Detail, Difference FY 2014/FY 2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---------------------------------|-------------------------------|------------|-------------|------------------------------------|
| 11 - Personnel Compensation | Current Position WIG | 46 | 17,000 | |
| | Current Position COLA | | 37,000 | |
| | Mail Clerks | 2 | 77,000 | |
| <i>Subtotal 11</i> | | | | <i>131,000</i> |
| 12 - Personnel Benefits | Current Position WIG | 46 | 5,000 | |
| | Current Position COLA | | 11,000 | |
| | Mail Clerks | 2 | 23,000 | |
| <i>Subtotal 12</i> | | | | <i>39,000</i> |
| 21 - Travel, Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | | | | |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | Built-in increase | | | 24,000 |
| 26 - Supplies & Materials | Built-in increase | | | 2,000 |
| 31 - Equipment | Built-in increase | | | 1,000 |
| Total | | | | 197,000 |

Table 5
ADMINISTRATIVE SERVICES DIVISION
Detail of Full-Time Equivalent Employment

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|--------------------|--------------------|--------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | 6 | 5 | 5 |
| JS-6 | 7 | 6 | 6 |
| JS-7 | 3 | 4 | 6 |
| JS-8 | 1 | 2 | 1 |
| JS-9 | 3 | 5 | 6 |
| JS-10 | 1 | | |
| JS-11 | 4 | 4 | 3 |
| JS-12 | 6 | 4 | 5 |
| JS-13 | 10 | 11 | 11 |
| JS-14 | 3 | 3 | 3 |
| JS-15 | 1 | 1 | 1 |
| JS-16 | | | |
| JS-17 | | | |
| CES | 1 | 1 | 1 |
| Total Salaries | 3,183,000 | 3,639,000 | 3,770,000 |
| Total FTEs | 46 | 46 | 48 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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 | 5,601,000 | 38 | 5,104,000 | 38 | 5,192,000 | 0 | 88,000 |

Mission Statement

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

Organizational Background

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

| <u>Branch</u> | <u>FTE</u> |
|------------------------------|------------|
| Director’s Office | 12 |
| Budget Branch | 5 |
| Financial Operations Branch | 12 |
| Banking & Collections Branch | 4 |
| Defender Services Branch | <u>6</u> |
| DIVISION TOTAL | 38 |

Director’s Office

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

- Develop appropriate fiscal policies to carry out the D.C. Courts’ programs.
- Prepare, enact, administer, and monitor the D.C. Courts’ annual spending plan (budget).
- Prepare fiscal impact statements on proposed federal and local legislation that involve the D.C. Courts.
- Develop and maintain the accounting and financial reporting systems of the D.C. Courts.
- Monitor and audit expenditures by D.C. Court divisions to ensure compliance with applicable laws and regulations, approved standards, and policies.
- Enhance the collection of financial data to refine methodologies for the most efficient forecasting and distribution of scarce resources.
- Ensure the development and implementation of internal controls and mechanisms that maximize the accounting and safeguarding of funds, while also ensuring the proper segregation of duties within the Courts.

Budget Branch

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

Financial Operations Branch

The Financial Operations Branch's primary mission is to ensure the timely and accurate payment processing of valid invoices within thirty (30) days of receipt and acceptance by the Courts in accordance with the *Prompt Pay Act*, as well as the accurate posting and accounting of the resulting transactions and the reporting on any accounts payables that remain outstanding.

Defender Services Branch

The Defender Services Branch's mission is to administer the three funds (Criminal Justice Act (CJA), Counsel for Child Abuse and Neglect (CCAN) and Guardianship Program, through which the D.C. Courts by law appoint and compensate attorneys to represent persons who are financially unable to obtain such representation. In addition to legal representation, these programs provide indigent persons access to experts to provide services such as transcripts of court proceedings, expert witness testimony, foreign and sign language interpretations, and genetic testing.

Banking and Collections Branch

The Banking and Collection Branch's mission is to ensure the accurate and secure receipting, accounting, and depositing of payments received at various locations throughout the D.C. Courts, as well as the accurate posting and accounting of the resulting transactions that are processed and the reporting on any accounts receivables that remain outstanding.

Budget and Finance Division MAP Objectives

- Ensure the accurate and timely receipt, safeguarding and accounting of fines, fees, costs, payments, and deposits of money or other negotiable instruments by preparing and completing monthly reconciliations of all D.C. Courts' bank accounts for 100% compliance with established Federal and District government statutes and regulations, and generally accepted accounting principles.
- Provide for the timely and accurate payment processing of valid invoices within 30 days of being received and accepted by the Courts in accordance with the *Prompt Pay Act*.
- Generate timely and accurate accounting and reporting 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 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 the timely processing of training and travel requests and reimbursements for the Courts' judicial and non-judicial personnel.
- Ensure the continued development of sound financial business processes that enable the routine reconciliation of the Courts' general ledger accounts, as well as the preparation of the Courts' financial statements, including the Courts' annual financial statements due 45 days from the end of the fiscal year (e.g. by November 15th of each successive 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' case management 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 and accurate spending plans and monthly reports for the operating and capital budgets and monitoring spending.

Budget and Finance Division Accomplishments

To foster the Strategic Plan goals of accountability to the public and responsiveness to the community, the Courts' Budget and Finance Division (B&F Division) implemented a number of improvements in recent years. The Division upgraded the financial system to Pegasys 6.1, which is web-based and more user-friendly. The Division created a position control system to track more closely FTE levels and strengthen financial controls. In collaboration with the Information Technology Division, the B&F Division fully implemented the Web-based Voucher System to track defender services vouchers and streamline the payment process. The Division also implemented a more secured electronic process to combat fraudulent activities in our bank accounts. In an effort to further enhance customer service, the Division was able to expand options for paying court obligations to now include credit cards, as well as Automated Clearing House (ACH) and wire payments. The Division was also able to successfully introduce the use of debit cards as an efficient means to compensate subpoenaed witnesses.

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, branch, and division.

The B&F Division has reengineered the way the D.C. Courts report their financial performance. New business processes have resulted in the Division assuming responsibility for 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), rather than relying on contractual services. Further, in an effort to augment controls over the Courts' accounting and safeguarding of funds and proper segregation of duties, the Reporting and Controls Unit was developed under the Office of the Chief Financial Officer.

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

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

Table 1
BUDGET AND FINANCE DIVISION
Key Performance Indicators

| Key Performance Indicator | Data Source | FY 2012 | | FY 2013 | | FY 2014 | | FY 2015 | |
|---|-------------------------------------|---------|------------------|---------|----------|---------|----------|---------|----------|
| | | Goal | Actual | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Number of material weaknesses or reportable conditions noted by external auditors | Annual Financial Audit Report | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Percentage of valid vendor invoices processed within 30 days (Prompt Pay Act) of being received and accepted by the Courts. | Payment Accounting Invoice Tracking | 95% | 97% | 98% | 99% | 98% | 99% | 100% | 99% |
| Complete and accurate payment of vouchers within 45 days of receipt in the Defender Services Branch. | Voucher Tracking System | 99% | 99% | 100% | 99% | 100% | 99% | 100% | 99% |
| Percentage of vouchers filed and processed on line | Voucher Tracking System | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% |
| Accurate completion of the monthly bank reconciliations of the D.C. Courts' bank accounts within 15 days of each month's end. | Courts' Financial System of Record | 100% | 50% ³ | 100% | 90% | 100% | 99% | 100% | 100% |

FY 2015 Request

In FY 2015, the Courts request \$5,192,000 for the Budget and Finance Division, representing an increase of \$88,000 (2%) above the FY 2014 enacted level. The request consists entirely of built-in cost increases.

Table 2
BUDGET AND FINANCE DIVISION
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 3,638,000 | 3,420,000 | 3,474,000 | 54,000 |
| 12 - Personnel Benefits | 908,000 | 955,000 | 972,000 | 17,000 |
| <i>Subtotal Personal Services</i> | <i>4,546,000</i> | <i>4,375,000</i> | <i>4,446,000</i> | <i>71,000</i> |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Comm. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 9,000 | 8,000 | 9,000 | 1,000 |
| 25 - Other Services | 1,022,000 | 700,000 | 714,000 | 14,000 |
| 26 - Supplies & Materials | 15,000 | 13,000 | 14,000 | 1,000 |
| 31 - Equipment | 9,000 | 8,000 | 9,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | <i>1,055,000</i> | <i>729,000</i> | <i>746,000</i> | <i>17,000</i> |
| TOTAL | 5,601,000 | 5,104,000 | 5,192,000 | 88,000 |
| FTE | 38 | 38 | 38 | 0 |

³ The bank reconciliation performance indicator was changed from 30 days of each month's end to 15 days.

Table 3
BUDGET AND FINANCE DIVISION
 Detail, Difference FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/FY 2015 |
|---|------------------------|-----|--------|-------------------------------|
| 11 - Personnel Compensation | Current Position WIG | | 19,000 | |
| | Current Position COLA | | 35,000 | |
| <i>Subtotal 11</i> | | | | <i>54,000</i> |
| 12 - Personnel Benefits | Current Position WIG | | 6,000 | |
| | Current Position COLA | | 11,000 | |
| <i>Subtotal 12</i> | | | | <i>17,000</i> |
| <i>Subtotal Personal Services</i> | | | | <i>71,000</i> |
| 21 - Travel, Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | | | | |
| 24 - Printing & Reproduction | Built-in Increases | | | 1,000 |
| 25 - Other Services | Built-in Increases | | | 14,000 |
| 26 - Supplies & Materials | Built-in Increases | | | 1,000 |
| 31 - Equipment | Built-in Increases | | | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | <i>17,000</i> |
| Total | | | | 88,000 |

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

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|--------------------|--------------------|--------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | | | |
| JS-7 | | 2 | 2 |
| JS-8 | 1 | 1 | 1 |
| JS-9 | 5 | 4 | 4 |
| JS-10 | 1 | 1 | 1 |
| JS-11 | 9 | 6 | 6 |
| JS-12 | 6 | 6 | 6 |
| JS-13 | 10 | 11 | 9 |
| JS-14 | 5 | 5 | 7 |
| JS-15 | | | |
| JS-16 | | | |
| CEMS | 1 | 1 | 1 |
| CES | 1 | 1 | 1 |
| Total Salaries | 3,638,000 | 3,420,000 | 3,474,000 |
| Total FTEs | 38 | 38 | 38 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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 | 7,714,000 | 28 | 8,101,000 | 28 | 8,504,000 | 0 | 403,000 |

Mission Statement

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

Division Organizational Structure

The Capital Projects and Facilities Management Division is responsible for capital projects, building operations, and facilities support functions. CPFMD is responsible for developing, implementing, managing, and directing capital construction projects; real property and facilities management; and related environmental programs. The Capital Projects and Facilities Management Division (CPFMD) is comprised of the Office of the Director and 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 enter into, administer, and/or terminate capital construction and lease contracts, Integrated Justice Information System (IJIS) contractual matters, landscaping contracts, and to make related determinations and findings on behalf of the 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, air conditioning, mechanical, electrical, and plumbing); grounds care; and custodial services.
- The Capital Projects Branch is responsible for budget preparation, planning, implementation, and management of capital projects pursuant to the D.C. Courts' Facilities Master Plan. The Master Plan includes the functional maintenance of the Courts’ 1.18 million sq. ft. Judiciary Square complex, which is comprised of five buildings including the award-winning D.C. Court of Appeals’ Historic Courthouse.

Division Strategic Plan/MAP Objectives

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

| Program Area | Objective |
|---------------------|--|
| Building Operations | Provide oversight for custodial and landscaping services on behalf of the DC Courts' employees and visitors so they can operate in a clean and well maintained environment. |
| Building Operations | Develop and maintain a quality control system for ensuring that customer building operational concerns are addressed expeditiously. |
| Building Operations | Ensure mechanical systems (i.e. HVAC, elevators, building shell conditions, plumbing) are maintainable with assigned preventive maintenance schedules (PMS) based on industry standards and manufacturer recommendations. |
| Building Operations | Expand the CPFMD's routine replacement program to all of the DC 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 DC Courts' upgraded facilities and grounds. |
| Capital Projects | Define, assess and plan a responsible facility ADA initiative to ensure the DC Courts' infrastructure is effectively designed and constructed, and are efficiently operated and maintained in accordance with ADA requirements. |
| Capital Projects | Utilize the DC 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 higher quality services to the DC Courts' employees and visitors. |
| Capital Projects | Complete pre-design, design and construction projects on the DC Courts' campus to maximize space and modernize space planning standards to provide an open and collaborative work environment that is flexible to the evolving needs of the Courts' judicial officers and divisions. |

The Courts' capital funding requirements are significant because they finance projects critical to maintaining, preserving, and constructing in a timely manner safe and functional courthouse facilities essential to meeting the heavy demands of the administration of justice in our Nation's Capital. To meet these demands effectively, the Courts' facilities must be both functional and emblematic of their public significance and character.

The D.C. Courts occupy over 1.18 million gross square feet of space in Judiciary Square, which is one of the original significant green spaces in the District of Columbia designated in the L'Enfant Plan for the Nation's Capital. The Courts are responsible for the Historic Courthouse at 430 E Street, NW; the Moultrie Courthouse at 500 Indiana Avenue, NW; 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 Issue 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 on multiple fronts. Significant progress was made during FY 2012 with the completion of building construction and full occupancy of 410 E Street and the completion of several important projects within the

Moultrie Courthouse. CPFMD also initiated the preparation of Construction Documents for the Moultrie Courthouse Addition with the selection of an Architect of Record to implement the design. At the same time, various site improvement and security projects continue in the design, planning and implementation stages. With construction of the historic campus buildings largely complete, CPFMD has shifted its attention to the Moultrie Courthouse and the Courthouse addition, building systems and infrastructure upgrades, refurbishment of existing court and public facilities, and the completion of the Family Court consolidation.

The renovation of 410 E Street was completed and the Information Technology and Multi-Door Dispute Resolution Divisions occupy the building. The project included the restoration of historic spaces and reconfiguration of the E Street entry to accommodate ADA requirements and court security. The renovation provides modern office space and brings the building into compliance with all current building, mechanical, electrical, fire, life safety, health, and accessibility codes. The renovation also preserves significant and contributing historic elements of the building. The Courts received a LEED Gold certification for this project. The project also included the restoration of the NE Park along 4th Street which incorporates the Courts' physical security perimeter in addition to providing a public amenity, scheduled to open in the summer of 2013.

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

- A design was prepared for the phased renovation of C Level spaces to be vacated by IT when the equipment/systems migration is completed.
- JM Level public spaces were upgraded including creation of a new and expanded intake counter and entry to the Family Court. The JM Level public spaces are the most heavily utilized areas in the Courthouse.
- Adult holding facilities renovations continue. This is a phased construction project which will modernize all USMS holding facilities within the courthouse. Phases A through F have been completed. Phase B, which was the upgrade to all courtroom holding cells, is still in progress.
- Various upgrade projects are underway improving the functionality of courtrooms, hearing rooms, and public circulation spaces. In addition, Court Reporters, Senior Judges, and Associate Judges Chambers on the 5th floor are now under construction with phases one and two complete.
- Design documents for courtroom upgrades on the 2nd and 3rd floors were completed. Initiated construction on the 2nd floor courtrooms with the hearing room completion occurring in 2012.
- Design documents for the Marriage Bureau were completed.
- Initiated the phased renovation of the Criminal Division on the 4th Floor of the Courthouse and completed the first two phases.
- Constructed a new Civil Courtroom on the 4th Floor.
- Upgrade of electrical systems is ongoing. Construction on a number of safety related projects were completed including stairwell pressurization and egress improvements. The Domestic Water Upgrade construction was initiated and is expected to be complete during

the summer of 2013. These infrastructure projects are sized to support the C Street Addition when complete.

- Design services for the C Street Addition core and shell were completed as well as the procurement of an Architect of Record (AOR) for the core and shell. Programming and space planning were initiated on the interior portions of the addition. The design program includes six courtrooms, Family Court related offices, juror facilities, and 21 judicial chambers. The Courts are seeking a LEED Gold rating for this project. The foundation portion of this project is scheduled to begin in the last quarter of 2013.
- Design was initiated on the fourth and fifth 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 pro-social activities such as tutoring, mentoring, education and prevention groups, peer mediation, and recreation.
- 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.
- Completed the repair and improvements to Moultrie Courthouse roof and atrium skylights to address water infiltration and energy efficiency. Other projects completed included exterior door and window refurbishment.

The D.C. Courts have continuously coordinated the completed 2009 Facilities Master Plan Update to reflect changes in court technology, organization and operations, and the growth of the District of Columbia's population. These changes affect all aspects of the court including Family Court Operations and Social Services as well as support functions. The facilities programming is ongoing as the Courts are exploring physical options to address long term space requirements.

Workload Data

The Capital Projects and Facilities Management Division recognized the need to baseline the results of Congressional investment in the Courts' campus. With the completion of multiple construction projects, infrastructure upgrades and enhancements, the Capital Projects and Facilities Management Division is 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 life cycle analysis and replacement values for all Courts 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 allows for 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 2015, the Capital Projects & Facilities Management Division will continue to manage janitorial and cleaning services for the Courts’ 1.22 million sq. ft. of net floor area (430 E Street, NW; 500 Indiana Ave. NW; 515 5th Street, NW; 510 4th Street, NW; 410 E Street, NW; Gallery Place; 2575 Reed Street, NE; and 1215/1201 South Capitol, SW; 118 Q Street, NE and 449 5TH Street, NW) in a cost-effective manner at approximately \$7.86/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.

In 2015, 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 Plan Objective 4B). The facilities maintenance, repair, and operations (MRO) costs for the entire D.C. Courts’ complex in FY 2015 are projected to be \$16.28/sq. ft.

Table 1
CAPITAL PROJECTS AND FACILITIES MANAGEMENT
Key Performance Indicators

| Performance Indicator | Data Source | FY2013 | | FY2014 | | FY2015 | |
|--|--|--------|----------|--------|----------|--------|----------|
| | | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Percent of contracts which ensure contractor compliance with at least 95% of the terms and conditions | Contract Reports | 100% | 100% | 100% | 100% | 100% | 100% |
| Percent of Help Desk calls resolved in two (2) business days | CPFMD Help-Desk Reports | 98% | 98% | 98% | 98% | 98% | 98% |
| Percent of preventive maintenance work completed in accordance with CPFMD PMS | PM Schedule | 99% | 99% | 99% | 99% | 99% | 99% |
| Percent of CPFMD’s routine replacement program to all of the DC Courts’ buildings to maximize longevity of assets and reduce annual operating and repair costs | Project Schedule | 90% | 90% | 94% | 94% | 96% | 96% |
| Percent of responsible facilities management program associated with each Court building’s infrastructure that includes: roof, exterior finish, interior finish, plumbing, mechanical, HVAC, electrical, and conveyance (elevators and escalators.) implemented at a rate of 100% annually | PM Schedule | 90% | 90% | 93% | 93% | 95% | 95% |
| Percent of the DC Courts’ staff satisfied with Court managed facilities and grounds | Court Surveys | 98% | 98% | 98% | 98% | 98% | 98% |
| Percent of CPFMD projects that are 100% ADA compliant annually and ensure the DC Courts are 100% compliant with ADA requirements annually | DCRA Permits; Certificate of Occupancy | 100% | 100% | 100% | 100% | 100% | 100% |
| Percent of Capital projects completed on-time and within budget | CPFMD Budget Reports | 100% | 100% | 100% | 100% | 100% | 100% |
| Percent of construction projects completed within 10% of original project budget | CPFMD Budget Reports | 100% | 100% | 100% | 100% | 100% | 100% |
| Percent of design and construction projects completed within 10% of allotted time for each project’s phases | Progress Meeting Minutes | 100% | 100% | 100% | 100% | 100% | 100% |

FY 2015 Request

In FY 2015, the Courts request for the Capital Projects & Facilities Management Division is \$8,504,000, an increase of \$403,000 (5%) above the FY 2014 enacted level. The requested increase consists \$250,000 for maintenance and janitorial services for new court facilities (an additional \$100,000 for utilities is included in the Management Account) and \$153,000 for built-in cost increases.

Maintenance Services for New Court Facilities, \$350,000

Problem Statement. With the renovation and occupancy of three additional court facilities, the amount of site area to be maintained by the Capital Projects and Facilities Management Division (CPFMD) has increased by approximately 60,000 square feet, thereby requiring the Courts to procure additional cleaning, maintenance and repair, and landscaping services and has resulted in increased utility and steam costs. In addition, as warranty periods expire on equipment in renovated buildings, the Courts' must assume maintenance costs.

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

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

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

Expenditure Plan. The CPFMD will contract for additional services for cleaning, landscaping, specialized equipment repair, and environmental services as needed, in accordance with the Courts' procurement and contracting guidelines.

Key Performance Indicators. The Courts' facilities and grounds will be maintained to a level that matches the aesthetic precision and consistency of their federal neighbors, including the National Park Service and the United States Court of Appeals for the Armed Forces. A reduction in service repair calls, and the enhanced maintenance and cleanliness of court facilities are performance indicators.

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

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 2,058,000 | 2,433,000 | 2,476,000 | 43,000 |
| 12 - Personnel Benefits | 516,000 | 680,000 | 693,000 | 13,000 |
| <i>Subtotal Personal Services</i> | <i>2,574,000</i> | <i>3,113,000</i> | <i>3,169,000</i> | <i>56,000</i> |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 5,108,000 | 4,960,000 | 5,305,000 | 345,000 |
| 26 - Supplies & Materials | 25,000 | 23,000 | 24,000 | 1,000 |
| 31 - Equipment | 7,000 | 5,000 | 6,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | <i>5,140,000</i> | <i>4,988,000</i> | <i>5,335,000</i> | <i>347,000</i> |
| TOTAL | 7,714,000 | 8,101,000 | 8,504,000 | 403,000 |
| FTE | 28 | 28 | 28 | 0 |

Table 4
CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2013/2014 |
|---|---|------------|-------------|------------------------------------|
| 11 - Personnel Compensation | Current Position WIG | 28 | 18,000 | |
| | Current Position COLA | | 25,000 | |
| <i>Subtotal 11</i> | | | | <i>43,000</i> |
| 12 - Personnel Benefits | Current Position WIG | | 5,000 | |
| | Current Position COLA | | 8,000 | |
| <i>Subtotal 12</i> | | | | <i>13,000</i> |
| <i>Subtotal Personal Services</i> | | | | <i>56,000</i> |
| 21 - Travel and Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | | | | |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | Built-in Increases | | 95,000 | |
| | Maintenance services for new facilities | | 250,000 | |
| <i>Subtotal 25</i> | | | | <i>345,000</i> |
| 26 - Supplies and Materials | Built-in Increases | | 1,000 | 1,000 |
| 31 - Equipment | Built-in Increases | | 1,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | <i>347,000</i> |
| Total | | | | 403,000 |

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

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|----------------------------|----------------------------|----------------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | | | |
| JS-7 | | | |
| JS-8 | 4 | 4 | 4 |
| JS-9 | 10 | 10 | 10 |
| JS-10 | 2 | 2 | 2 |
| JS-11 | 1 | 1 | 1 |
| JS-12 | 1 | 1 | 1 |
| JS-13 | 5 | 5 | 5 |
| JS-14 | 3 | 3 | 3 |
| JS-15 | | | |
| JS-16 | | | |
| CEMS | 1 | 1 | 1 |
| CES | 1 | 1 | 1 |
| Total Salaries | 2,058,000 | 2,433,000 | 2,476,000 |
| Total FTEs | 28 | 28 | 28 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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 | 2,183,000 | 7 | 2,093,000 | 7 | 2,132,000 | 0 | 39,000 |

Mission Statement

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

Organizational Background

The Center’s staff of seven FTEs provides judicial training mandated by statute as well as judicial branch education in the Court of Appeals and Superior Court, and education and training opportunities for all court personnel. The Center offers classes in current legal issues, judicial procedure, executive leadership skills, supervision and performance management, effective communication and grammar, customer service, cultural diversity, and a variety of technology classes on various software programs used by the Courts such as Microsoft Office, Oracle Discoverer and 10G, Business Intelligence, Microsoft Publisher, Adobe Photoshop, and CourtView for use with the Integrated Justice Information System. The Center also trains all newly hired Court employees with a year-long series of sessions 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.

Division MAP Objectives

- Develop and implement an annual training plan that is aligned with the strategic goals of the D.C. Courts and includes comprehensive Judicial Education, the Leadership Institute, the Management Training Program, the Supervisor Training Program, a Technology Curriculum, New Employee Orientation, New Judge Training, the Spring Judicial Management Conference, the Annual Judicial Conference, the Court Wide Conference, and Community Conferences for Family and Criminal Divisions. Implement the plan in a manner that insures an efficient use of resources and a successful learning experience for all.

- Enhance the effectiveness of the judiciary by providing a myriad of judicial education opportunities to all the judicial officers in the D.C. Courts including training for divisional Presiding Judges through participation in the Judicial Leadership Initiative; training on current issues at the Spring Judicial/Management Conference; roundtable discussions for appellate judges; training specific to Court Divisions at the Annual Judicial Conference; community topics at the Family and Criminal Court Conferences; monthly mini-training sessions; New Judge Orientation (as needed) and opportunities to attend national trainings.
- Maximize the effectiveness of the Executive Team and Senior Managers in achieving the highest levels of court performance by establishing a Leadership Institute that will offer teambuilding, leadership courses, individual assessments, coaching, enhanced orientation to new Court Executive Service members, and personal and professional development activities. Support positive organizational change through extensive involvement of executives and senior leadership in the “Building a Great Place to Work” Initiative. Conduct the “Employee Viewpoint Survey” every other year.
- Maximize the effectiveness of the Courts’ managers and supervisors and increase the pool of future managers and leaders through the Management Institute to include the Management Training Program (MTP) and the Supervisors Training Program (STP). The Management Training Program offers a specially designed set of 12 courses on management, court operations, and leadership skills to a carefully selected cohort of court personnel. The Supervisors Training Program offers a customized 4-part series of workshops to equip all front line and middle management supervisors with a consistent set of skills and positive approaches to employee performance management. Advanced courses in human resources management, employee engagement, and enhancing performance at all levels are included.
- To provide at least ten hours of training for all court employees annually as well as over 20 hours of mandatory training to newly hired employees and two to three weeks of customized training for all newly appointed Associate and Magistrate Judges.

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

The Leadership Institute is currently focused on team efforts to improve the D.C. Courts as a “Great Place to Work” and to offer opportunities and challenges for senior management in areas such as values-based management, coaching, and skills development. Based on the results of the

2009 and 2011 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 and performance management. Employee Engagement is now a court wide performance metric. The Judicial Leadership Team attends two meetings each year. The Executive Team holds monthly leadership meetings, and a joint Judicial/Executive meeting is held annually. The efforts of court leadership and senior management are aligned with the goals outlined in the Strategic Plan.

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

With a view toward a pending wave of retirements and better development and retention of talented employees, the Center and the Management Training Committee initiated a Management Training Program (MTP) in 2007 for 20 competitively selected employees annually from each division within the Courts. The MTP offers a very successful 12-month series of classes taught by nationally recognized experts and in-house leaders. Many of the graduates from the Program have received promotions and increased responsibility. The Courts take seriously the importance of succession planning and 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 was initially completed by all 100 court supervisors. All new supervisors are similarly trained. Graduates of the program participate in advanced courses on performance management, employee development, cultural competence, and feedback.

Technology classes are a priority training need in every needs assessment conducted by the Center. Utilizing two computer labs, there is dedicated focus on technology training. The Center offers not only basic but also intermediate and advanced levels of computer classes such as Microsoft Office, Excel, PowerPoint, Adobe, Project Management and others. The Center offers Microsoft Office Specialist (MOS) Certification training and testing. 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 and cross training. On-line tutorials are developed in-house for software applications and updates such as the migration to Microsoft Office 2007. There is also an expanded Spanish language library of tutorials available. As part of the Strategic Human Resources re-design and implementation of the Talent Management System, the Center offers an E-learning Library from SkillPort and will migrate all on-line courses and training databases to the National Business Center Learning Management System in 2014.

Training has increased dramatically in terms of the number of classes offered by the Center annually, the number of participants, the number of training hours received as well as the level of satisfaction. The Center offers approximately 200 classes annually. Training hours completed by court employees and judicial officers for each year have consistently been over 10,000 hours

and the most recent indicators point to increased training activity levels in excess of 15,000 hours.

Finally, another very important program administered by the Center is the International Visitors Program which is headed by the Deputy Director. With more than 30 international delegations visiting per year, most of them very high-level representatives from other nations' justice systems, arranging the educational experience for international visitors is an important activity unique to the trial court of the Nation's Capital that also requires substantial preparation time and effort to coordinate speakers and resources. Many of these visiting groups are sponsored by the U. S. Department of State or international cultural exchange organizations. Approximately 600 international visitors are hosted by the D.C. Courts each 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 number of training hours delivered, the delivery of support to other divisions' training efforts, the number of educational programs for visitors, and the number of visitors attending the programs.

Table 1
CENTER FOR EDUCATION AND TRAINING
Workload Data

| Data Measure | FY 2012 Actual | FY 2013 Projected | FY 2014 Projected | FY 2015 Projected |
|-----------------------------------|-----------------------|--------------------------|--------------------------|--------------------------|
| Courses Offered | 180 | 160 | 160 | 160 |
| Judicial Participants | 317 | 500 | 500 | 500 |
| Judicial Training Hours Completed | 2,022 | 2,500 | 2,500 | 2,500 |
| Non-Judicial Participants | 2,237 | 2,000 | 2,000 | 2,000 |
| Employee Training Hours Completed | 13,694 | 14,000 | 14,000 | 14,000 |
| Divisions Supported | 10 | 5 | 5 | 5 |
| Programs & Tours for Visitors | 38 | 30 | 30 | 30 |
| Number of Official Visitors | 888 | 600 | 600 | 600 |

Key Performance Measures

Table 2
CENTER FOR EDUCATION AND TRAINING
Key Performance Indicators

| Type of Indicator | Key Performance Indicator | Data Source | FY 2012 | | FY 2013 | | FY 2014 | | FY 2015 | |
|-------------------|---|--|--------------|--------------|-------------|-------------|-------------|-------------|-------------|-------------|
| | | | Goal | Actual | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Output | Programs Offered | Training Schedule | 130 | 180 | 150 | 160 | 160 | 160 | 160 | 160 |
| Outcome | Judges Trained | Participant Lists | 500 | 317 | 500 | 500 | 500 | 500 | 500 | 500 |
| Outcome | Employees Trained | Sign-in Sheets | 1,800 | 2,237 | 1,800 | 2,000 | 2,000 | 2,000 | 2,000 | 2,000 |
| Input | Program Quality | Participant Evaluations | 80% > 3.5 | 90% ≥ 4.0 | 80% >3.5 | 90% >3.5 | 80% >3.5 | 90% >3.5 | 80% >3.5 | 90% >4.0 |
| Outcome | Judges and Employees Total Training Hours Completed | Training Database and Sign-in Sheets | 18,000 | 15,565 | 16,500 | 14,000 | 16,500 | 14,000 | 16,500 | 14,000 |
| Output | Visitors Tours & Programs | Visitors Schedule | 30 | 38 | 30 | 30 | 30 | 30 | 30 | 30 |
| Outcome | Management Training Program Graduates | Training Schedule & Participant List | 15 | 12 | 15 | 0 | 15 | 12 | 15 | 15 |
| Output | Management Training Institute Courses Offered | Training Schedule | 18 | 17 | 18 | 10 | 18 | 18 | 18 | 18 |
| Output | Executive/Senior Leadership Development Sessions | Training and Meeting Schedules and N-H Reports | 8 | 7 | 6 | 6 | 6 | 6 | 6 | 6 |
| Outcome | Judicial Leadership Team Retreats | Meeting Schedule | 2 | 1 | 2 | 2 | 2 | 2 | 2 | 2 |
| Output | Court of Appeals Programs Offered | Training Schedule | 6 | 5 | 6 | 5 | 6 | 5 | 6 | 5 |

FY 2015 Request

In FY 2015, the Courts request \$2,132,000 for the Center for Education and Training, which includes an increase of \$39,000 (2%) above the FY 2014 enacted level. The requested increase consists entirely of built-in cost increases.

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

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|--------------------------------------|------------------|------------------|------------------|-------------------------|
| 11 - Personnel Compensation | 735,000 | 795,000 | 807,000 | 12,000 |
| 12 - Personnel Benefits | 185,000 | 224,000 | 227,000 | 3,000 |
| Subtotal Personal Services | 920,000 | 1,019,000 | 1,034,000 | 15,000 |
| 21 - Travel, Transp. of Persons | 432,000 | 269,000 | 275,000 | 6,000 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 820,000 | 798,000 | 814,000 | 16,000 |
| 26 - Supplies & Materials | 6,000 | 4,000 | 5,000 | 1,000 |
| 31 - Equipment | 5,000 | 3,000 | 4,000 | 1,000 |
| Subtotal Nonpersonal Services | 1,263,000 | 1,074,000 | 1,098,000 | 24,000 |
| TOTAL | 2,183,000 | 2,093,000 | 2,132,000 | 39,000 |
| FTE | 7 | 7 | 7 | 0 |

Table 4
CENTER FOR EDUCATION AND TRAINING
Detail, Difference FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|--------------------------------------|------------------------|-----|-------|----------------------------|
| 11 - Personnel Compensation | Current Positions WIG | | 4,000 | |
| | Current Positions COLA | | 8,000 | |
| <i>Subtotal 11</i> | | 7 | | 12,000 |
| 12 - Personnel Benefits | Current Positions WIG | | 1,000 | |
| | Current Positions COLA | | 2,000 | |
| <i>Subtotal 12</i> | | 7 | | 3,000 |
| Subtotal Personal Services | | | | 15,000 |
| 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 |
| Subtotal Nonpersonal Services | | | | 24,000 |
| TOTAL | | | | 39,000 |
| | | | | |
| | | | | |

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

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|--------------------|--------------------|--------------------|
| JS-5 | | | |
| JS-6 | | | |
| JS-7 | | | |
| JS-8 | | | |
| JS-9 | 1 | | |
| JS-10 | | 1 | 1 |
| JS-11 | | | |
| JS-12 | | | |
| JS-13 | 4 | 4 | 4 |
| JS-14 | | | |
| JS-15 | 1 | 1 | 1 |
| CES | 1 | 1 | 1 |
| Total Salaries | 735,000 | 795,000 | 807,000 |
| Total FTEs | 7 | 7 | 7 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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 | 5,843,000 | 55 | 5,964,000 | 55 | 6,070,000 | 0 | 106,000 |

Mission

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

Organizational Background

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

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

Division MAP Objectives

The Court Reporting and Recording Division provide transcripts for judges, lawyers, and other parties. The Division provides state-of-the-art court reporting services to the judiciary and the

public, including ADA requests. The objective of the Division is to produce accurate and timely transcripts of court proceedings. The Court Reporting and Recording Division's Management Action Plan (MAP) objectives follow:

- Provide realtime to the judiciary which in turn will assist in making judicial rulings.
- Enhance efficient operations and the quality of service provided to persons conducting business with the Court Reporting and Recording Division by developing a plan to reengineer processes through the utilization of technologies and increased automation.
- Ensure the timely availability of transcripts of court proceedings for judges, attorneys, litigants, and other parties by producing 100% of appeal transcripts within 60 days and 100% of non-appeal transcripts within 30 days.
- Ensure the production of accurate transcripts by performing quarterly random audits to verify that transcripts are a verbatim record of court proceedings.

Work Process Redesign

During FY 2012, the Court Reporting and Recording Division expanded the realtime program to include an additional three judges and three official court reporters. With this expansion, it has allowed the 27 reporters that currently provide realtime to adequately cover 17 realtime courtrooms. Realtime provides instant translation of the proceedings which will assist the court in achieving the strategic goals of fair and timely case resolution and access to justice for all. In addition to aiding the judiciary, the program continues to provide realtime translation for all ADA requests.

The CRRD continues to enhance the Web Transcript Tracking System (WTTS). In 2012, the Assistant United States Attorney's Office (AUSA) and the Public Defender Service (PDS) started ordering and receiving transcripts electronically. CJA attorneys have been ordering transcripts electronically since the commencement of the Web Voucher System (WVS) in 2006 and in 2012 they started receiving their transcripts electronically. This entire process has provided AUSA, PDS and CJA instant access to transcripts. Attorneys/messengers are no longer required to pick up transcripts unless the case is sealed.

Included in the paperless process was the billing aspect of transcript invoices. In addition to the transcripts being uploaded and available to ordering parties in WTTS, the transcript invoices are also uploaded; thus providing the AUSA and PDS finance offices with instant access to the transcript invoice. This has streamlined the payment process and eliminated invoices being lost or misplaced.

In September of 2012, all Official Court Transcribers were trained on ProCat. ProCat is a Voice Recognition (VR) software that enables you to speak into a mask where it utilizes Dragon Naturally Speaking, a voice-to-text translating software that translates the audio into text. The transition into typing from courtroom audio to VR is intended to increase productivity and enhance health and wellness in the workplace as it will greatly decrease the likelihood of workplace injuries common among court reporters.

Workload Data

Table 1
COURT REPORTING AND RECORDING DIVISION
Workload Measurement Table

| Type of Indicator | Performance Indicator | Data Source | FY2012 Actual | FY2013 Estimate | FY2014 Estimate | FY2015 Estimate |
|-------------------|---|------------------|---------------|-----------------|-----------------|-----------------|
| Input | Transcription Branch orders received | Division Records | 5,483 | 5,600 | 5,700 | 5,800 |
| Input | Court Reporting Branch orders received | Division Records | 3,778 | 4,200 | 4,300 | 4,400 |
| Output | Pages of court transcripts produced (appeal/non-appeal) | Division Records | 542,110 | 544,000 | 546,000 | 548,000 |

Table 2
COURT REPORTING AND RECORDING DIVISION
Key Performance Indicators

| Type of Indicator | Performance Indicator | Data Source | FY2012 | | FY2013 | | FY2014 | FY2015 |
|-------------------|---|------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| | | | Goal | Actual | Goal | Estimate | Goal | Goal |
| Quantity | Average time to complete transcripts of taped proceedings (appeal/non-appeal) | Division Records | 60 days/ 30 days | 11 days/ 5 days | 11 days/ 6 days | 11 days/ 6 days | 11 days/ 6 days | 11 days/ 6 days |
| Quantity | Average time to complete transcripts by court reporters (appeal/non-appeal)* | Division Records | 60 days/ 30 days | 46 days/ 11 days | 43 days/ 11 days | 43 days/ 11 days | 43 days/ 11 days | 43 days/ 11 days |

*CRRD guidelines require appeal transcripts to be completed in 60 days and non-appeal transcripts to be completed in 30 days from the date the request is received in the CRRD.

FY 2015 Request

In FY 2015, the Courts request \$6,070,000 for the Court Reporting and Recording Division, an increase of \$106,000 (or 2%) above the FY 2014 enacted level. The increase consists entirely of built-in cost increases.

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

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|--------------------------------------|------------------|------------------|------------------|-------------------------|
| 11 - Personnel Compensation | 4,596,000 | 4,592,000 | 4,671,000 | 79,000 |
| 12 - Personnel Benefits | 1,152,000 | 1,284,000 | 1,308,000 | 24,000 |
| Subtotal Personal Services | 5,748,000 | 5,876,000 | 5,979,000 | 103,000 |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 26,000 | 24,000 | 25,000 | 1,000 |
| 26 - Supplies & Materials | 45,000 | 42,000 | 43,000 | 1,000 |
| 31 - Equipment | 24,000 | 22,000 | 23,000 | 1,000 |
| Subtotal Nonpersonal Services | 95,000 | 88,000 | 91,000 | 3,000 |
| TOTAL | 5,843,000 | 5,964,000 | 6,070,000 | 106,000 |
| FTE | 55 | 55 | 55 | 0 |

Table 4
COURT REPORTING & RECORDING DIVISION
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---|-------------------------------|------------|-------------|------------------------------------|
| 11 - Personnel Compensation | Current Position WIG | 55 | 33,000 | |
| | Current Position COLA | | 46,000 | |
| <i>Subtotal 11</i> | | | | 79,000 |
| 12 - Personnel Benefits | Current Position WIG | | 10,000 | |
| | Current Position COLA | | 14,000 | |
| <i>Subtotal 12</i> | | | | 24,000 |
| <i>Subtotal Personal Services</i> | | | | 103,000 |
| 21 - Travel, Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | | | | |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | Built-in | | | 1,000 |
| 26 - Supplies & Materials | Built-in | | | 1,000 |
| 31 - Equipment | Built-in | | | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | 3,000 |
| TOTAL | | | | 106,000 |

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

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|----------------------------|----------------------------|----------------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | | | |
| JS-7 | 1 | 1 | |
| JS-8 | 6 | 5 | 6 |
| JS-9 | 2 | 3 | 3 |
| JS-10 | 6 | 6 | 7 |
| JS-11 | 5 | | 7 |
| JS-12 | 32 | 37 | 29 |
| JS-13 | 1 | 1 | 1 |
| JS-14 | | | |
| JS-15 | 1 | 1 | 1 |
| JS-16 | | | |
| JS-17 | | | |
| CES | 1 | 1 | 1 |
| Total Salaries | 4,596,000 | 4,592,000 | 4,671,000 |
| Total FTEs | 55 | 55 | 55 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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> |
| 4 | 659,000 | 4 | 645,000 | 4 | 662,000 | - | 17,000 |

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 15 Budget Request

In FY 2015, the Courts request \$662,000 for the Office of the General Counsel, an increase of \$17,000 (3%) above the FY 2014 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 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|--------------------------------------|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 515,000 | 496,000 | 507,000 | 11,000 |
| 12 - Personnel Benefits | 130,000 | 139,000 | 143,000 | 4,000 |
| Subtotal Personal Services | 645,000 | 635,000 | 651,000 | 15,000 |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 0 | 0 | 0 | 0 |
| 26 - Supplies & Materials | 9,000 | 7,000 | 8,000 | 1,000 |
| 31 - Equipment | 5,000 | 3,000 | 4,000 | 1,000 |
| Subtotal Nonpersonal Services | 14,000 | 10,000 | 12,000 | 2,000 |
| TOTAL | 659,000 | 645,000 | 662,000 | 17,000 |
| FTE | 4 | 4 | 4 | |

Table 2
OFFICE OF THE GENERAL COUNSEL
Detail, Difference FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|--------------------------------------|-------------------------------|------------|-------------|------------------------------------|
| 11 - Personnel Compensation | Current Positions WIG | 4 | 6,000 | |
| | Current Positions COLA | | 5,000 | |
| Subtotal 11 | | | | 11,000 |
| 12 - Personnel Benefits | Current Positions WIG | | 2,000 | |
| | Current Positions COLA | | 2,000 | |
| Subtotal 12 | | | | 4,000 |
| Subtotal Personal Services | | | | 15,000 |
| 21 - Travel and Transportation | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | | | | |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | | | | |
| 26 - Supplies and Materials | Built-in | | | 1,000 |
| 31 - Equipment | Built-in | | | 1,000 |
| Subtotal Nonpersonal Services | | | | 2,000 |
| Total | | | | 17,000 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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> |
| 27 | 3,014,000 | 27 | 3,559,000 | 27 | 3,616,000 | 0 | 57,000 |

Mission

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

Organizational Background

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

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

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, project management for the Human Resources Integrated Solutions payroll and data management system.

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

responsible for payroll, time and attendance, compensation studies and providing financial literacy training.

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

The Performance and Employee Relations Unit is responsible for the strategic management and administration of the DC 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.

The Equal Employment Opportunity (EEO) Office is responsible for the administration of the EEO program. This includes investigating, conciliating, and analyzing complaints. In addition, the office is responsible for reporting staff diversity statistics, conducting training in EEO, ethics, and overseeing the Anti-Bullying policy and complaint process.

Human Resources Accomplishments - FY 2012

- Implemented several initiatives outlined in the comprehensive Five-Year Human Resources Strategic Plan (HRSP). The Plan is comprised of five strategic themes, including: Leading through Strategic Human Resources Management; Employee Engagement and Workplace Culture; Talent Acquisition and Development; Performance Management and Accountability; and Human Resources Competence and Compliance Management.
- Conducted data crosswalks; identified data migration risks and developed solutions for a successful migration of data into the newly acquired Human Resources Integrated System (HRIS). Entered into an Inter Agency Agreement with General Services Administration (GSA) and the Department of Interior (DOI) for the migration of payroll data in the HRIS.
- Increased usage of the Electronic Official Personnel Folder (eOPF). We are fully in compliance with Office of Management and Budget (OMB) mandate to eliminate paper Official Personnel Folders (OPFs) by December 2013, and we are currently engaged in educating and encouraging staff to utilize and access their record on-line.
- Demonstrated and implemented the Federal Navigator Retirement (FNR) calculator program. The FNR calculator is an on-demand web based system that allows employees to prepare their own retirement scenarios and access on-line tutorials designed to educate employees about their future retirement benefits and financial literacy. These tutorials include over 18 hours of narrated material covering many retirement and benefits topics.

- Revised comprehensive standard operating procedures to promote the continuous process improvement function ensuring exemplary comprehensive human resources management programs.
- Updated a comprehensive succession plan entitled “Who’s Next: Succession Planning at the Courts?” to forecast and facilitate a workforce plan to address the future loss of staff in critical leadership positions and to prepare existing staff to assume leadership roles through talent pool professional development.
- Developed a report on Performance Management at the Courts, including an analysis of Employee Viewpoint Survey results in the area of results-oriented performance management culture. The report included recommendations in the areas of alignment, accountability, communication, and federal benchmarks.
- Incorporated the use of video-conferencing for structured oral interviews which afforded us the opportunity to interview candidates in a cost-effective manner.
- Developed the Courts’ new Code of Conduct, EEO complaint procedures and Sexual Harassment procedures

Division MAP Objectives

Several of the Division MAP Objectives follow:

- Support efficient operations by performing targeted HR activities within established timeframes and/or in accordance with SOPs.
- 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 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 (PMP) by conducting data analyses and presenting recommendations on the PMP that address consistency in application and perceptions of fairness of the program.
- Ensure a strong future workforce by collaborating with the Center for Education and Training to develop an action plan for succession planning program implementation.

Divisional Restructuring and /or Work Process Design

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

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

Workload Data

During FY 2012, the Human Resources Division processed 147 Family Medical Leave Act requests, 20 Workers' Compensation claims, 109 recruitment actions, and approximately 4,100 employment applications. The Benefits Branch conducted over 150 individual benefit consultations and 14 benefit workshops, seminars, fairs, etc. Training sessions on the Courts' Equal Employment Opportunity, Sexual Harassment, and Ethics policies have been conducted quarterly in FY 2012. Session attendees averaged 25, with the classes made up mostly of new hires/probationary employees. Approximately 812 Performance Evaluations were collected, reviewed, and processed for FY 2012 and 783 Performance Plans were collected, reviewed, and processed for FY 2013.

Table 1
**HUMAN RESOURCES DIVISION
Performance Measurement Table**

| Type of Indicator | Key Performance Indicator | Data Source | FY 2012 | | FY 2013 | | FY 2014 | FY 2015 |
|-------------------|---|---------------------------------------|---------|--------|---------|----------|---------|---------|
| | | | Goal | Actual | Goal | Estimate | Goal | Goal |
| Output | # of employees attending benefit seminars, retirement workshops, Wellness fairs, etc. | Registration and attendance documents | 550 | 820 | 550 | 600 | 600 | 600 |
| Output | # or % of employees with access to Federal Retirement Calculation Application | Registration and attendance documents | 250 | 175 | 95% | 95% | 95% | 95% |
| Output | #/% of employees with access to eOPF application | HR Data Reports | 22 | 22 | 95% | 100% | N/A | N/A |
| Output | % of electronically filed applications | Staffing Logs | 50% | 65% | 75% | 75% | 100% | N/A |

FY 2015 Request

In FY 2015, the Courts requests \$3,616,000 for the Human Resources Division, an increase of \$57,000 (2%) above the FY 2014 enacted level. The requested increase is comprised entirely of built-in cost increases.

Table 2
HUMAN RESOURCES DIVISION
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 2,384,000 | 2,771,000 | 2,812,000 | 41,000 |
| 12 - Personnel Benefits | 602,000 | 768,000 | 781,000 | 13,000 |
| <i>Subtotal Personal Services</i> | <i>2,986,000</i> | <i>3,539,000</i> | <i>3,593,000</i> | <i>54,000</i> |
| 21 - Travel, Transp. of Persons | 10,000 | 7,000 | 8,000 | 1,000 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 0 | 0 | 0 | 0 |
| 26 - Supplies & Materials | 10,000 | 7,000 | 8,000 | 1,000 |
| 31 - Equipment | 8,000 | 6,000 | 7,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | <i>28,000</i> | <i>20,000</i> | <i>23,000</i> | <i>3,000</i> |
| TOTAL | 3,014,000 | 3,559,000 | 3,616,000 | 57,000 |
| FTE | 25 | 27 | 27 | 0 |

Table 3
HUMAN RESOURCES
Detail, Difference FY 2014/FY 2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---|-------------------------------|------------|-------------|------------------------------------|
| 11 - Personnel Compensation | Current Position WIG | 25 | 15,000 | |
| | Current Position COLA | | 26,000 | |
| <i>Subtotal 11</i> | | | | <i>41,000</i> |
| 12 - Personnel Benefits | Current Position WIG | | 5,000 | |
| | Current Position COLA | | 8,000 | |
| <i>Subtotal 12</i> | | | | <i>13,000</i> |
| <i>Subtotal Personal Services</i> | | | | <i>54,000</i> |
| 21 - Travel, Transp. of Persons | Built-in Increases | | | 1,000 |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | | | | |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | | | | |
| 26 - Supplies & Materials | Built-in Increases | | | 1,000 |
| 31 - Equipment | Built-in Increases | | | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | <i>3,000</i> |
| Total | | | | 57,000 |

Table 4
HUMAN RESOURCES
Detail of Full-Time Equivalent Employment

| | 2013 Enacted | 2014 Enacted | 2015 Request |
|---------------------|-------------------------|-------------------------|-------------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | | | |
| JS-7 | | | |
| JS-8 | | | |
| JS-9 | 5 | 5 | 5 |
| JS-10 | | | |
| JS-11 | | | |
| JS-12 | 6 | 6 | 6 |
| JS-13 | 5 | 7 | 7 |
| JS-14 | 6 | 6 | 6 |
| JS-15 | 2 | 2 | 2 |
| CEMS | | | |
| CES | 1 | 1 | 1 |
| Total Salary | 2,384,000 | 2,771,000 | 2,812,000 |
| Total FTEs | 27 | 27 | 27 |

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

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/FY 2015</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 | 10,972,000 | 63 | 11,123,000 | 63 | 11,300,000 | 0 | 177,000 |

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 supports 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 the Courts' operations.
- Overseeing the D.C. Courts' Integrated Justice Information System (IJIS) and case management workflow improvements.
- Maintaining and supporting courtroom and enterprise-wide audio and video applications.
- Managing and supporting the Courts' website, Intranet, and Internet applications.

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

Organizational Background

The Information Technology Division has seven primary responsibilities:

- *General Workstation and End-user support* consists of selecting, configuring, ordering, implementing, and maintaining desktop and portable computers, software, and all peripherals that support the Courts' end-user community.
- *Servers and Group Services Support* consists of server management, operating system maintenance, optimization of servers that deliver the court-wide applications and data storage repository services that host critical Courts' case data. Additional areas include: the maintenance and monitoring of e-mail, calendaring, mass data storage, web hosting, database hosting, streaming video services and backup services throughout the Courts' campus.
- *Courts' Case Management Applications Support* involves the daily tasks associated with court case management systems. User access is managed, notices and calendars are printed, judicial proceedings are recorded, and management reports are produced.
- *Other Office Automation Support and Development* require the provision of automation tools, hardware and software, networks, servers and gateways, database administration, application development, training and assistance for all judicial and non-judicial staff.
- *Information Exchange* consists of providing automated information tools, such as the Internet and specialized research services; tools providing data exchange with other justice agencies; and tools to disseminate court information to the public through reports, public use terminals, kiosks, and the Internet.
- *Information Security* involves the daily tasks of protecting the Courts' information and the Courts' information systems from unauthorized access, use, disclosure, disruption, modification or destruction.
- *Courtroom Technology* enhances the legal process through the use of electronic equipment, electronic documentation display, enhanced sound systems, integrated audio, multimedia

presentations, teleconferencing, video evidence presentation, video recordings, and videoconferencing.

Operational Effectiveness

To improve its operational effectiveness, the IT Division followed the Software Engineering Institute's Capability Maturity Model – Integration (CMMI) Level Two (ML-2) guidelines, ITIL v3 methodology and other industry best practices to manage all major IT operations and projects.

A new five year IT strategic plan (FY2013-FY2017) has been rolled out to support the D.C. Courts' mission. This strategic plan serves as a valuable management tool and an effective communication vehicle. The IT Division will use this plan to guide budget planning, prioritize initiatives, control execution, and communicate with the IT Division and its customers and stakeholders in the next five years.

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

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

Recent Achievements and Highlights

- **JUSTIS Data Exchange**
Enhanced JUSTIS inbound interface and implemented outbound interface that allows sharing of adult criminal information among D.C. and federal criminal justice agencies. This enhanced technical platform replaced the existing data repository utilized by criminal justice agency partners to support their day-to-day business operations.
- **Child & Family Services Administration Scheduled Events Migration**
Converted the Child & Family Services Administration (CFSA) events interface, implemented in 2003, to a more robust platform.
- **Internet Credit Card Payment Processing Application**
Designed and developed an electronic payment processing application user interface. Once implemented, the public will be able to pay fines and fees online instead of coming to the courthouse.

- **Digital Signage and Kiosks**
 The digital messaging program was implemented to disseminate information utilizing current display technologies. This project involved the installation of monitors and kiosks strategically placed throughout the Court complex to provide accurate and up-to-date information.
- **Youth Automated System (YAS)**
 The Youth Automated System (YAS), a web-enabled juvenile probation case management system, is a collaborative Business Process Automation effort initiated by the IT Division in conjunction with the Family Courts' Social Services Division (CSSD). YAS integrates with CourtView, helps prevent dual data entry, and allows for data collection, retention, and retrieval of respondent information.
- **Business Intelligence Solution**
 Implemented an Oracle-based Business Intelligence Solution to deliver court-wide performance measure reports (Time to Disposition, Trial Date Certainty and Age of Pending Case Load), as well as other operational reports. A dashboard with drilldown capability to support Juvenile re-offender data based on national standards (per NCJJ & RD) was completed to support reporting, analysis and charting.
- **Bar Applicant Tracking System Custom Development**
 The Bar Applicant Tracking System is a case management system for the Bar Admissions Program.
- **Web Transcript Tracking System Phase III (WTTS)**
 The Court Reporting Division utilizes the WTTS application to track all transcript order requests from submission to transcript completion and receipt by ordering parties. The current system went live on October 10, 2008. Phase II was completed in May of 2009. Phase III was completed in May of 2012 and Phase IV will be completed in June of 2013. Some of the enhancements of this phase are the development of an interface between the WTTS and the Web Voucher System to eliminate dual entries resulting in a more efficient process for transcript production and notification. System-generated notifications to the official court reporters were developed via e-mails, letters, forms, and reports have been developed to increase efficiency and to assist in timely transcript completion. The reporting capabilities were also enhanced.
- **Network Connectivity 10 Gigabit Upgrade**
 Installed new redundant Cisco 4500's / Cisco 6509 with 10 Gigabit access layers switches in Court of Appeals, Building A, Building B, Building C, and Moultrie Courthouse. This deployment has enhanced data throughput for faster access to the Court's case management system, email, intranet, Internet, and other mission-critical applications. This will provide operational redundancy between the D.C. Court sites ensuring zero down time when a single fiber line between two buildings is cut or damaged.

- **New D.C. Courts Data Center (Building C)**

One of the major initiatives this fiscal year is migration of the Courts' legacy data center from the Moultrie Courthouse to the new Data Center located in Building C at 410 E Street N.W. Washington D.C. The IT Division has successfully acquired, installed, and configured new servers and infrastructure equipment in the new data center. All infrastructure technologies have been refreshed. This technology upgrade will position the D.C. Courts to be a leader in adopting the "green" data center initiative among local courts throughout the United States.

- **Security Upgrade and Migration**

Several security upgrades were implemented, including an upgrade of the firewall and intrusion detection systems operational in the Courts' new data center and at the Courts' disaster recovery site. The Courts' Symantec email gateway appliances were upgraded to CISCO Email Security Appliances (ESA). The email gateway prevents virus and malware from penetrating the enterprise thru email communication. In addition, the Courts' legacy content filtering appliances were upgraded to a more robust CISCO's Web Security Appliance (WSA). The new content filtering appliances will prevent end-users from connecting to malware sites and unauthorized internet sites.

- **Access Control Server Implementation**

Implemented Access Control Server (ACS) technology that provides account auditing, authorization and authentication services of all network devices currently installed in each building of the Courts' campus.

- **Information Security Directive**

Revised DC Courts' Information Security Directive in accordance with the guidelines contained in National Institute of Standards and Technology (NIST) Special Publication (SP) 800-18 Rev.1, Guide for Developing Security Plans for Information Technology Systems, and applicable risk mitigation guidance and standards. Four new security directives were written this year: 1) Segregation of Duties Directive; 2) Patch Management Directive; 3) Incident Response Directive; and, 4) Security Awareness Program Directive.

IT Strategic Goals and Objectives

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 we will achieve our 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 goals follow: 1) Provide Customer-Focused Service; 2) Deliver Enterprise Business Solutions; 3) Enhance Technological Capabilities; 4) Securing Courts' Information and IT Investments from External and Internal Threats; and 5) Attract, Recruit and Retain a Skilled Workforce.

Performance Indicators

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

Table 1: IT Metrics
IT Division Management Action Plan for FY 2013 as of Q3

| Goal and MAP to Complete the Goal | Progress | Rating |
|---|------------|--------|
| <p>Goal 1: Fair and Timely Case Resolution</p> <p>MAP 1: Develop effective standard operating procedures for operations and knowledgebase for problem resolution MAP 2: Establish division-level IT liaison to assist in problem solving MAP 4: Establish essential skill set requirements for each help desk level MAP 6: Communicate vision of future service improvements and modernization to customers MAP 7: Continuously provide timely and high quality issue resolution to all Courts customers MAP 11: Improve courtroom technology utilization MAP 12: Respond to customer needs for business unit level solutions</p> | <p>78%</p> | |
| <p>Goal 2: Access to Justice</p> <p>MAP 13: Modernize Superior Court's Case Management System MAP 14: Implement robust imaging and workflow system MAP 15: Expand Business Intelligence solution to all business areas MAP 16: Continuously enhance the Courts Case Management technology MAP 17: Educate Courts' staff on the functionality of the intranet</p> | <p>89%</p> | |
| <p>Goal 3: A Strong Judiciary and Workforce</p> <p>MAP 19: Advise on and support the functional business units in moving non-case processing core-mission systems to the Federal LoB SSCs and other approved providers MAP 20: Develop mobile applications MAP 21: Integrate courthouse kiosks and digital signage MAP 22: Extend and enhance video-conferencing capabilities MAP 25: Continuously validate infrastructure support for all Goals MAP 26: Develop comprehensive operational and capital budgets and monitor IT expenditures MAP 27: Establish new data center and migrate all business services</p> | <p>73%</p> | |
| <p>Goal 4: A Sound Infrastructure</p> <p>MAP 28: Maintain compliance with National & Federal policies MAP 29: Assess and improve back-end security posture MAP 30: Continue to educate IT stakeholders and court community on security topics MAP 31: Continuously validate disaster recovery and high-availability capabilities for all Strategic Issues</p> | <p>55%</p> | |
| <p>Goal 5: Public Trust and Confidence</p> <p>MAP 32: Institute certification program MAP 33: Support and encourage training MAP 34: Hold cross-training team sessions MAP 36: Involve technical resources in product purchase decisions MAP 38: Encourage participation in industry forums and publishing papers by staff</p> | <p>65%</p> | |

Table 2: FY 13 Performance Measurements

The performance scorecard displays the goals for the IT Division and the MAP (strategy) that the IT Division has developed to complete these goals. The progress scale displays the quarterly progress as an average of each performance target’s current completion or success rate. The rating graphic is designed to display the overall performance of the strategy with regard to completion of the overall strategic goal. The rating may appear as red, yellow, or green based on progress and overall performance of the ongoing strategy. Below, are the defined metrics that have been aligned to meet the overall strategy for meeting the D. C. Courts strategic goals. Each goal has a performance target to be met by the end of FY 2013, and current performance is relative to the date at the top of this scorecard.

| Goal 1: Fair and Timely Case Resolution | | | | | | |
|--|-------------|------|------|------|------------|--|
| MAP: Develop effective standard operating procedures for operations and knowledgebase for problem resolution | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of critical daily activities covered by SOPs | 95% | 100% | 100% | 100% | 100% | Qn/95 = %goal in index |
| # of knowledgebase entries | 71 | 10 | 5 | 14 | 41% | |
| % of SOPs or knowledgebase entries reviewed for quality | 95% | 0% | 57% | 72% | 72% | Qn/95 = %goal in index |
| <i>Total Composite Index:</i> | | 38% | 59% | 67% | 67% | Equal Weighting of the above |
| MAP: Establish division-level IT liaison to assist in problem solving | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| # of divisions with IT liaison established | 3 | 1 | 1 | 1 | 100% | |
| % of issues routed through IT liaison | 5% | 4% | 3% | 5% | | Qn/5 = %goal in index (quarterly) |
| % of surveyed liaisons satisfied with customer service | 5% | 10% | 10% | 10% | 0% | Qn/5 = %goal in index |
| <i>Total Composite Index:</i> | | 0% | 0% | 0% | 0% | Equal Weighting of the above |
| MAP: Establish essential skill set requirements for each help desk level | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of essential skill set requirements documented | 50% | 40% | 40% | 45% | 45% | Qn/50 = %goal in index |
| % of help desk personnel tested against documented requirements | 50% | 0% | 0% | 0% | 0% | Qn/50 = %goal in index |
| % of trouble tickets resolved on first call | 35% | 46% | 49% | 44% | 75% | Qn/35 = %goal in index(quarterly) |
| <i>Total Composite Index:</i> | | 33% | 43% | 55% | 55% | Equal Weighting of the above |
| MAP: Communicate vision of future service improvements and modernization to customers | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of IT staff understand and able to convey IT vision, mission, and goals | 95% | 50% | 75% | 95% | 95% | Qn/95 = %goal in index |
| % of executives aware of and participate in the IT strategic planning | 95% | NA | NA | NA | NA | Qn/95 = %goal in index |
| # of IT executive seminars held | 1 | 0 | 1 | 0 | 100% | |
| <i>Total Composite Index:</i> | | 26% | 90% | 100% | 100% | Equal Weighting of the above |
| MAP: Continuously provide timely and high quality issue resolution to all Courts customers | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of customer satisfaction with IT | 80% | 96% | 97% | 98% | 100% | Qn/80 = %goal in index |
| % of calls answered | 90% | 91 | 90 | 91 | 75% | Qn/90 = %goal in index |
| % of tickets resolved within SLAs | 90% | 90 | 88 | 91 | 75% | Qn/90 = %goal in index |
| <i>Total Composite Index:</i> | | 25% | 50% | 75% | 75% | Equal Weighting of the above |
| MAP: Improve courtroom technology utilization | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| # of new innovative solutions implemented in the courtrooms | 2 | 0 | 0 | 1 | 50% | |
| # of juror-related technology solutions delivered | 1 | 0 | 1 | 0 | 100% | |
| % of survey respondents satisfied with technology setups | 98 | 98 | 98 | 98 | 75% | quarterly |
| <i>Total Composite Index:</i> | | 8% | 50% | 75% | 75% | Equal Weighting of the above (225/300) |
| MAP: Respond to customer needs for business unit level solutions | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of business units with main processes automated | 90% | 100% | 100% | 100% | 100% | Qn/90 = %goal in index |
| # of new business unit level solutions delivered | 5 | 1 | 3 | 5 | 100% | Qn/5 = %goal in index |

| | | | | | | |
|--|-------------|------|------|------|------------|--|
| % of end users satisfied with business level solutions | 90% | 100% | 100% | 100% | 75% | Quarterly |
| <i>Total Composite Index</i> | | 48% | 70% | 92% | 92% | Equal Weighting of the above |
| <i>Total Goal 1 Index:</i> | | 30% | 58% | 78% | 78% | Average of individual items in Goal 1 |
| Goal 2: Access to Justice | | | | | | |
| MAP: Modernize Superior Court's Case Management System | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of RFI completed | 100% | 0% | 50% | 85% | 0% | |
| MAP: Implement robust imaging and workflow system | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of migration completed | 100% | 50% | 70% | 80% | 80% | |
| % of new workflows delivered | 100% | 20% | 50% | 75% | | |
| % of surveyed end-users prefer the new solution over legacy | 90% | NA | NA | NA | NA | |
| <i>Total Composite Index:</i> | | 35% | 60% | 80% | 80% | Equal Weighting of the above |
| MAP: Expand Business Intelligence solution to all business areas | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| # of business units for which the solution is implemented | 5 | 3 | 5 | 10 | 100% | Qn/5 = %goal in index |
| % of courtwide performance measures substantiated by automated reports | 60% | 80% | 95% | 100% | 100% | Qn/60 = %goal in index |
| # of data sources in data warehouse | 1 | 2 | 4 | 5 | 100% | |
| <i>Total Composite Index:</i> | | 87% | 100% | 100% | 100% | Equal Weighting of the above (0/300) |
| MAP: Continuously enhance the Courts Case Management technology | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of efilng solution delivered | 0% | NA | NA | NA | NA | This goal needs to be reset to appropriately track what we can do in FY 2013 |
| % of credit card processing solution delivered | 95% | 25% | 50% | 75% | 75% | Qn/95 = %goal in index |
| % of end users satisfied with case management solutions | 90% | NA | NA | NA | NA | |
| <i>Total Composite Index:</i> | | 26% | 53% | 79% | 79% | Equal Weighting of the above (75/95) |
| MAP: Educate Courts' staff on the functionality of the intranet | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| # of educational sessions delivered | 10 | 3 | 8 | 11 | 100% | |
| % of courts employee participate in forums | 15% | 0% | 15% | 15% | 100% | Qn/15 = %goal in index |
| # of new end-users' innovative ideas implemented on the Intranet | 4 | 1 | 2 | 3 | 75% | Quarterly |
| <i>Total Composite Index</i> | | 18% | 77% | 92% | 92% | Equal Weighting of the above (0/300) |
| <i>Total Goal 2 Index:</i> | | 30% | 58% | 78% | 78% | Average of individual items in Goal 2 |
| Goal 3: A Strong Judiciary and Workforce | | | | | | |
| MAP: Advise on and support the functional business units in moving non-case processing core-mission systems to the Federal LoB SSCs and other approved providers | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of human resources management system delivered | 33% | 15% | 20% | 25% | 25% | Qn/33 = %goal in index |
| % of financial and procurement management system delivered | 33% | 15% | 20% | 25% | 25% | Qn/33 = %goal in index |
| <i>Total Composite Index:</i> | | 45% | 61% | 76% | 76% | Equal Weighting of the above |
| MAP: Develop mobile applications | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| # of mobile applications delivered | 1 | 0 | 0 | 0 | 0% | |
| MAP: Integrate courthouse kiosks and digital signage | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of solution delivered | 95% | 0% | 80% | 100% | 100% | Qn/95 = %goal in index |
| MAP: Extend and enhance video-conferencing capabilities | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| # of business processes utilizing video conferences | 5 | 3 | 2 | 0 | 100% | |
| % of video-conferencing setup requests addressed timely | 95% | 95 | 95 | 95 | 75% | Quarterly |

| | | | | | | |
|--|-------------|------|------|------|------------|--|
| % of end-users satisfied with the solution | 95% | 95 | 95 | 95 | 75% | Quarterly |
| <i>Total Composite Index:</i> | | 37% | 67% | 83% | 83% | Equal Weighting of the above (250/300) |
| MAP: Continuously validate infrastructure support for all Goals | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of uptime of case management related services | 99% | 99% | 99% | 99% | 75% | Quarterly |
| % of uptime of non-case management related services | 99% | 99% | 99% | 99% | 75% | Quarterly |
| % of uptime of messaging related services | 99% | 100% | 100% | 100% | 75% | Quarterly |
| <i>Total Composite Index:</i> | | 25% | 50% | 75% | 75% | Equal Weighting of the above (225/300) |
| MAP: Develop comprehensive operational and capital budgets and monitor IT expenditures | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of invoices paid within approved timelines | 95% | 96% | 98% | 98% | 75% | Quarterly |
| % of timely maintenance and support renewals | 99% | 99% | 99% | 99% | 75% | Quarterly |
| # of spending plans and budget requests completed timely | 1 | 0 | 0 | 1 | 100% | |
| <i>Total Composite Index:</i> | | 17% | 33% | 83% | 83% | Equal Weighting of the above |
| MAP: Establish new data center and migrate all business services | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of the solution delivered | 95% | 50% | 63% | 80% | 80% | |
| % of all business applications running of the new data center | 95% | 0% | 15% | 85% | 85% | Qn/95 = %goal in Index |
| % of systems moved without impacting business | 95% | 0% | 15% | 85% | 85% | Qn/95 = %goal in index |
| <i>Total Composite Index:</i> | | 18% | 31% | 87% | 87% | Equal Weighting of the above |
| <i>Total Goal 3 Index:</i> | | 24% | 47% | 73% | 73% | Average of individual items in Goal 3 |
| Goal 4: A Sound Infrastructure | | | | | | |
| MAP: Maintain compliance with National & Federal policies | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| # of security risk assessments followed by timely mitigation and resolution | 2 | 1 | 0 | 0 | 50% | |
| % of audited systems receiving unqualified opinion | 95% | NA | NA | NA | NA | Qn/95 = %goal in index |
| % of IT security related documentation reviewed and updated timely | 95% | 50% | 50% | 50% | 50% | Qn/95 = %goal in index |
| <i>Total Composite Index:</i> | | 52% | 52% | 52% | 52% | Equal Weighting of the above |
| MAP: Assess and improve back-end security posture | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of systems with active monitoring capabilities | 95% | NA | NA | NA | NA | Qn/95 = %goal in index |
| % of security incidents detected before spreading and documented | 95% | NA | NA | NA | NA | Qn/95 = %goal in index |
| % of acquired systems fully deployed, integrated, and maintained | 95% | 10% | 40% | 75% | 75% | Qn/95 = %goal in index |
| <i>Total Composite Index:</i> | | 11% | 42% | 79% | 79% | Equal Weighting of the above |
| MAP: Continue to educate IT stakeholders and court community on security topics | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of required staff participated in the information security awareness training | 80% | 40% | 40% | 40% | 40% | Qn/80 = %goal in index |
| % of required staff passed annual security quiz | 80% | NA | NA | NA | NA | Qn/80 = %goal in index |
| <i>Total Composite Index:</i> | | 50% | 50% | 50% | 50% | Equal Weighting of the above (50/100) |
| MAP: Continuously validate disaster recovery and high-availability capabilities for all Strategic Issues | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of mission critical systems backed up to archival media according to policy | 95% | 50% | 70% | 100% | 100% | Qn/95 = %goal in index |
| # of successful failover and switchover tests performed annually | 1 | 0 | 0 | 0 | 0% | |
| % of decrease in preventable workstation-originated security incidents | 30% | NA | NA | NA | NA | |
| <i>Total Composite Index:</i> | | 27% | 37% | 50% | 50% | Equal Weighting of the above (0/300). |
| <i>Total Goal 4 Index:</i> | | 36% | 45% | 55% | 55% | Average of individual items in Goal 4 |
| Goal 5: Public Trust and Confidence | | | | | | |
| MAP: Institute certification program | Target | Q1 | Q2 | Q3 | % Complete | Notes |

| | Goal | | | | | |
|--|-------------|------|------|------|------------|--|
| % of IT staff with duty-related active professional certifications | 20% | 20% | 20% | 20% | 20% | Qn/20 = %goal in index |
| # of new certifications | 5 | 3 | 4 | 5 | 100% | Qn/5 = %goal in index |
| % of training funds assigned for the certification program | 45% | 30% | 30% | 30% | 30% | Qn/45 = %goal in index |
| <i>Total Composite Index:</i> | | 76% | 82% | 89% | 89% | Equal Weighting of the above |
| MAP: Support and encourage training | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of CBT provided in a dedicated uninterrupted environment | 25% | 0% | 0% | 0% | 0% | |
| # of new innovative within-budget training opportunities identified | 1 | 1 | 1 | 1 | 100% | |
| % of surveyed IT staff satisfied with the training program | 50% | NA | NA | NA | NA | |
| <i>Total Composite Index:</i> | | 50% | 50% | 50% | 50% | Equal Weighting of the above (100/200) |
| MAP: Hold cross-training team sessions | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| # of branches/team participating in cross-training sessions | 3 | 2 | 2 | 2 | 67% | Qn/3 = %goal in index |
| # of cross-training sessions held | 5 | 2 | 2 | 2 | 40% | Qn/5 = %goal in index |
| % of surveyed IT staff satisfied with the cross-training team sessions | 50% | NA | NA | NA | NA | |
| <i>Total Composite Index:</i> | | 54% | 54% | 54% | 54% | Equal Weighting of the above (107/200) |
| MAP: Involve technical resources in product purchase decisions | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| % of hardware purchases presented to the technical staff prior to acquisition | 95% | 100% | 100% | 100% | 100% | Qn/95 = %goal in index |
| % of software purchases presented to the technical staff prior to acquisition | 95% | 100% | 100% | 100% | 100% | Qn/95 = %goal in index |
| % of staff with basic understanding of acquired technology prior to delivery | 95% | 90% | 90% | 90% | 90% | Qn/95 = %goal in index |
| <i>Total Composite Index:</i> | | 98% | 98% | 98% | 98% | Equal Weighting of the above |
| MAP: Encourage participation in industry forums and publishing papers by staff | Target Goal | Q1 | Q2 | Q3 | % Complete | Notes |
| # of external presentations made by staff | 2 | 0 | 0 | 2 | 100% | Qn/2 = %goal in index |
| # of external industry papers published by staff | 1 | 0 | 0 | 2 | 100% | |
| <i>Total Composite Index:</i> | | 0% | 0% | 100% | 100% | Equal Weighting of the above |
| <i>Total Goal 5 Index:</i> | | 61% | 64% | 65% | 65% | Average of individual items in Goal 5 |

FY 2015 Request

The D.C. Courts' FY 2015 request for the Information Technology Division is \$11,300,000, an increase of \$177,000 (2%) above the FY 2014 enacted level. This increase consists entirely of built-in cost increases.

Table 4
INFORMATION TECHNOLOGY DIVISION
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 6,667,000 | 6,582,000 | 6,677,000 | 95,000 |
| 12 - Personnel Benefits | 1,522,000 | 1,840,000 | 1,869,000 | 29,000 |
| <i>Subtotal Personal Services</i> | 8,189,000 | 8,422,000 | 8,546,000 | 124,000 |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Commun. & Utilities | 431,000 | 418,000 | 426,000 | 8,000 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 1,766,000 | 1,716,000 | 1,749,000 | 33,000 |
| 26 - Supplies & Materials | 170,000 | 164,000 | 168,000 | 4,000 |
| 31 - Equipment | 416,000 | 403,000 | 411,000 | 8,000 |
| <i>Subtotal Nonpersonal Services</i> | 2,783,000 | 2,701,000 | 2,754,000 | 53,000 |
| TOTAL | 10,972,000 | 11,123,000 | 11,300,000 | 177,000 |
| FTE | 63 | 63 | 63 | 0 |

Table 5
INFORMATION TECHNOLOGY DIVISION
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---|-------------------------------|------------|-------------|------------------------------------|
| 11 - Personnel Compensation | Current Positions WIG | 63 | 29,000 | |
| | Current Position COLA | | 66,000 | |
| <i>Subtotal 11</i> | | | | 95,000 |
| 12 - Personnel Benefits | Current Positions WIG | | 9,000 | |
| | Current Positions COLA | | 20,000 | |
| <i>Subtotal 12</i> | | | | 29,000 |
| <i>Subtotal Personal Services</i> | | | | 124,000 |
| 21 - Travel and Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Commun. & Utilities | Built-in Increase | | | 8,000 |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | Built-in Increase | | | 33,000 |
| 26 - Supplies and Materials | Built-in Increase | | | 4,000 |
| 31 - Equipment | Built-in Increase | | | 8,000 |
| <i>Subtotal Nonpersonal Services</i> | | | | 53,000 |
| Total | | | | 177,000 |

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

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|----------------------------|----------------------------|----------------------------|
| JS-3 | | | |
| JS-4 | | | |
| JS-5 | | | |
| JS-6 | | | |
| JS-7 | | | |
| JS-8 | 8 | 8 | 8 |
| JS-9 | 2 | 2 | 2 |
| JS-10 | 2 | 2 | 2 |
| JS-11 | 2 | 2 | 2 |
| JS-12 | 1 | 1 | 1 |
| JS-13 | 35 | 36 | 36 |
| JS-14 | 9 | 8 | 8 |
| JS-15 | 1 | 1 | 1 |
| CEMS | 2 | 2 | 2 |
| CES | 1 | 1 | 1 |
| Total Salaries | 6,667,000 | 6,582,000 | 6,677,000 |
| Total FTEs | 63 | 63 | 63 |

**DISTRICT OF COLUMBIA COURT SYSTEM
RESEARCH AND DEVELOPMENT DIVISION**

| <u>FY 2013 Enacted</u> | | <u>FY 2014 Enacted</u> | | <u>FY 2015 Request</u> | | <u>Difference FY2014/FY2015</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 | 1,157,000 | 9 | 1,125,000 | 9 | 1,142,000 | 0 | 17,000 |

Mission

The mission of the Research and Development Division (R&D) is to enhance the fair and efficient administration of justice in the Nation’s Capital by conducting program evaluations, best practices research and performance reviews; securing grant resources to support court initiatives; designing pilot programs and court improvement projects; administering and analyzing court-wide surveys and providing accurate and timely caseload and other court performance information to judges, court managers and the public.

Introduction

The Research and Development Division conducts program evaluations and performance assessments of court operations and administrative functions; coordinates and provides oversight to independent program evaluations of court functions conducted by universities, research firms and other non-profit organizations; performs grant development activities and monitors grants in progress; designs and administers surveys of court stakeholders; monitors emerging issues in court administration and criminal justice and advises judges and other court officials on evidence-based practices; conducts data analysis to support court-wide and division-level performance monitoring; reports official court statistics in the D.C. Courts’ annual statistical publication and other periodic reports; and provides other technical assistance, including the design of new programs and services and oversight of proof of concept and pilot implementation. The work has enterprise-wide impact and effects.

Organizational Background

R&D is comprised of the *Director’s Office*, which undertakes court-wide policy development, program assessment and special project management (e.g., management of the Courts’ program to routinely and independently evaluate court operations and functions); a *research and program evaluation function*, which designs and conducts performance and outcome evaluations, business process reviews, best practices research and pilot testing and provides oversight of independent evaluations of court programs; a *resource development function*, responsible for court-wide grant seeking, monitoring and administration; a *survey administration function*, which designs, administers and analyzes stakeholder surveys; and a *statistical function*, which compiles, analyzes and disseminates court-wide caseload statistics, including the D.C. Courts’ statutorily-required annual caseload report, and provides a wide range of technical support to court-wide performance standards development and reporting.

Division and MAP Objectives

The Division has adopted three broad objectives, which align with the D.C. Courts' Strategic Goals, are incorporated in the Division's Strategic Plan, or Management Action Plan (MAP), and guide the Division's programmatic and capacity-building activities. These objectives are:

- Enhance the administration of justice by providing accurate and timely performance information to judges, court managers and the public; assisting to establish court-wide and division-level performance standards and report on their effectiveness; recommending best and evidence-based practices for court program development and improvement; identifying and pursuing grant funding for new and existing initiatives; designing new programs and managing their pilot implementation.
- Improve access to justice and services to the public by providing information, including the *D.C. Courts' Annual Statistical Summary*, which is easily understandable and readily available on the D.C. Courts' internet and addressing information requests on caseload statistics from the National Center for State Courts and the public.
- Build trust and confidence by securing and managing independent program evaluations of court operating divisions and functions, conducting court-wide stakeholder surveys and reviews to measure organizational performance and monitor results; and designing and implementing pilot programs and services to address community needs; and effectively administering grants awarded to the D.C. Courts.

Division Restructuring of Work Process Redesign

To support the Courts' strategic management efforts and operational needs and to effectively manage resources to address these needs, R&D continued to implement business process improvements in FY 2013 by: 1) Conducting follow-up activities to monitor implementation of recommendations from the Courts' program evaluations and conducting supplemental assessments to enhance the Courts' capacity to prudently use evaluation results; 2) Implementing improved and routine monitoring of contractors and other researchers conducting evaluations of Courts' programs; 3) Developing analytical reports on court-wide performance standards in use in the operating divisions and posting them on the intranet for user availability; 4) Identifying functional requirements for reports of court-wide performance and supporting their migration to the Courts' Business Intelligence software platform; 5) Establishing a standard and uniform set of statistical reports from the court-wide Employee Viewpoint and other stakeholder surveys for the Courts' Executive Team and each division to use in business process improvement efforts; 6) Implementing a Grants Management System (GMS) for R&D to use to monitor progress of grant applications and grants-in-progress at the Courts; 7) Designing and teaching a course entitled *Principles of Grants Management* in the Courts' Acquisitions and Procurement Institute to educate grant project directors on compliance with federal regulations, budgetary, contractual and other special requirements; and 8) Routinely assessing compliance with grant programmatic and spending plans and reporting requirements in order to enhance the prudent use of grants awarded to the Courts.

Workload and Performance Measures

R&D's performance measurement system monitors activities in the Division's five principal MAP functional areas of: 1) Program evaluation, proof-of-concept assessment and evidence-based practice research; 2) Performance measurement and data analysis and reporting; 3) Resource development (i.e., grant seeking and acquisition) and monitoring; 4) Survey design, administration and analysis; and 5) Program design and special project and pilot development.

The performance measures provided in Table 1 align with the Division's MAP objectives, the Courts' Strategic Plan, and court-wide performance measures. They reflect changes in the volume and type of technical services demanded of R&D due to an increasing court-wide emphasis on program performance and monitoring and shifts in the grant funding environment.

Table 1
RESEARCH AND DEVELOPMENT DIVISION
Performance Measurement Table

| Type of Indicator | Performance Indicator (by Indicator Number) | Data Source | FY 2012 | | FY 2013 | | FY 2014 | | FY 2015 | |
|-------------------|---|----------------------------|---------|--------|---------|----------|---------|----------|---------|----------|
| | | | Goal | Actual | Goal | Estimate | Goal | Estimate | Goal | Estimate |
| Output | 1) # of performance reports completed (includes data analysis and caseload performance measure reports) | Division/ Court records | 8 | 27 | 12 | 18 | 15 | 20 | 17 | 17 |
| Output | 2)# of research reports completed (includes program evaluations, process reviews, evidence-based and best-practices research) | Division/ Court records | 10 | 15 | 15 | 20 | 17 | 17 | 19 | 19 |
| Output | 3)# of surveys designed, administered and analyzed (includes stakeholder surveys) | Division/ Court records | 20 | 35 | 22 | 22 | 25 | 27 | 25 | 25 |
| Output | 4)# of grant proposals submitted (includes new/renewals & formula/competitive) | Division/ Court records | 10 | 9 | 10 | 10 | 13 | 13 | 15 | 15 |
| Output | 5)# of special projects developed /managed or provide technical services | Division/ Court records | 4 | 3 | 3 | 6 | 4 | 4 | 4 | 4 |

FY 2015 Request

In FY 2015, the Courts request \$1,142,000 for the Research and Development Division, an increase of \$17,000 (2%) above the FY 2014 enacted level. The request consists entirely of built-in cost increases.

Table 2
RESEARCH AND DEVELOPMENT DIVISION
Budget Authority by Object Class

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|----------------------------|----------------------------|----------------------------|------------------------------------|
| 11 - Personnel Compensation | 915,000 | 874,000 | 885,000 | 11,000 |
| 12 - Personnel Benefits | 231,000 | 244,000 | 248,000 | 4,000 |
| <i>Subtotal Personal Services</i> | <i>1,146,000</i> | <i>1,118,000</i> | <i>1,133,000</i> | <i>15,000</i> |
| 21 - Travel, Transp. of Persons | 0 | 0 | 0 | 0 |
| 22 - Transportation of Things | 0 | 0 | 0 | 0 |
| 23 - Rent, Comm. & Utilities | 0 | 0 | 0 | 0 |
| 24 - Printing & Reproduction | 0 | 0 | 0 | 0 |
| 25 - Other Services | 0 | 0 | 0 | 0 |
| 26 - Supplies & Materials | 5,000 | 3,000 | 4,000 | 1,000 |
| 31 - Equipment | 6,000 | 4,000 | 5,000 | 1,000 |
| <i>Subtotal Nonpersonal Services</i> | <i>11,000</i> | <i>7,000</i> | <i>9,000</i> | <i>2,000</i> |
| TOTAL | 1,157,000 | 1,125,000 | 1,142,000 | 17,000 |
| FTE | 9 | 9 | 9 | 0 |

Table 3
RESEARCH AND DEVELOPMENT DIVISION
Detail, Difference FY 2014/FY 2015

| Object Class | Description of Request | FTE | Cost | Difference FY 2014/2015 |
|---------------------------------|-------------------------------|------------|-------------|------------------------------------|
| 11 - Personnel Compensation | Current Positions COLA | 9 | 11,000 | 11,000 |
| | Current Positions WIG | | | |
| <i>Subtotal, 10</i> | | | | |
| 12 - Personnel Benefits | Current Positions COLA | | 4,000 | 4,000 |
| | Current Positions WIG | | | |
| <i>Subtotal, 11</i> | | | | |
| 21 - Travel, Transp. of Persons | | | | |
| 22 - Transportation of Things | | | | |
| 23 - Rent, Comm. & Utilities | | | | |
| 24 - Printing & Reproduction | | | | |
| 25 - Other Services | | | | |
| 26 - Supplies & Materials | | | | 1,000 |
| 31 - Equipment | | | | 1,000 |
| Total | | | | 17,000 |

Table 4
RESEARCH AND DEVELOPMENT DIVISION
Detail of Full-Time Equivalent Employment

| Grade | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request |
|-----------------------|----------------------------|----------------------------|----------------------------|
| JS-7 | 1 | 1 | 1 |
| JS-8 | | | |
| JS-9 | | | |
| JS-10 | 1 | 1 | 1 |
| JS-11 | | | 1 |
| JS-12 | 4 | 2 | 1 |
| JS-13 | 1 | 3 | 2 |
| JS-14 | | | 1 |
| JS-15 | 1 | 1 | 1 |
| JS-16 | | | |
| JS-17 | | | |
| CES | 1 | 1 | 1 |
| Total Salaries | \$915,000 | \$874,000 | \$885,000 |
| Total FTEs | 9 | 9 | 9 |

**DISTRICT OF COLUMBIA COURT SYSTEM
MANAGEMENT ACCOUNT**

| <u>FY 2013 Enacted</u> | | <u>FY 2014 President's Recommendation</u> | | <u>FY 2015 Request</u> | | <u>Difference FY 2014/2015</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 | 21,556,000 | 0 | 22,511,000 | 0 | 24,793,000 | 0 | 2,282,000 |

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

FY 2015 Request

In FY 2015, the D.C. Courts request \$24,793,000 for the Management Account, which is an increase of \$2,282,000 (11%) over the FY 2014 enacted level. The requested increase consists of \$1,750,000 for a new access control system to maintain the electronic locks on exterior and interior courthouse doors, as detailed in the **Initiatives Section** of this request; \$100,000 for utilities for new court facilities (see also the discussion under the Capital Projects and Facilities Management Division in this section of the request); and \$430,000 for built-in cost increases.

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

| | FY 2013 Enacted | FY 2014 Enacted | FY 2015 Request | Difference FY 2014/2015 |
|---|--------------------------|--------------------------|--------------------------|--------------------------------|
| 11 - Personnel Compensation | | | | |
| 12 - Personnel Benefits | 128,000 | 183,000 | 187,000 | 4,000 |
| <i>Subtotal Personal Services</i> | <i>128,000</i> | <i>183,000</i> | <i>187,000</i> | <i>4,000</i> |
| 21 - Travel, Transp. of Persons | 123,000 | 118,000 | 121,000 | 3,000 |
| 22 - Transportation of Things | 5,000 | 3,000 | 4,000 | 1,000 |
| 23 - Rent, Comm. & Utilities | 10,599,000 | 8,488,000 | 8,749,000 | 261,000 |
| 24 - Printing & Reproduction | 78,000 | 70,000 | 72,000 | 2,000 |
| 25 - Other Services | 9,192,000 | 11,127,000 | 11,339,000 | 212,000 |
| 26 - Supplies & Materials | 395,000 | 310,000 | 316,000 | 6,000 |
| 31 - Equipment | 1,036,000 | 2,212,000 | 4,005,000 | 1,793,000 |
| <i>Subtotal Nonpersonal Services</i> | <i>21,428,000</i> | <i>22,328,000</i> | <i>24,606,000</i> | <i>2,278,000</i> |
| TOTAL | 21,556,000 | 22,511,000 | 24,793,000 | 2,282,000 |
| FTE | 0 | 0 | 0 | |

Table 2
MANAGEMENT ACCOUNT
Detail Difference, FY 2014/2015

| Object Class | Description of Request | FTE | Cost | Difference FY2014/2015 |
|--------------------------------|------------------------------------|------------|-------------|-----------------------------------|
| 11 - Personnel Compensation | | | | |
| 12 - Personnel Benefits | Built in increase | | | 4,000 |
| 21 - Travel and Transportation | Built in increase | | | 3,000 |
| 22 - Transportation of Things | Built in increase | | | 1,000 |
| 23 - Rent, Comm. & Utilities | Built in increase | | 163,000 | |
| | Utilities for new court facilities | | 100,000 | |
| <i>Subtotal 23</i> | | | | <i>261,000</i> |
| 24 - Printing & Reproduction | Built in increase | | | 2,000 |
| 25 - Other Services | Built in increase | | | 212,000 |
| 26 - Supplies and Materials | Built in increase | | | 6,000 |
| 31 - Equipment | Built in increase | | 43,000 | |
| | Access Control System | | 1,750,000 | |
| <i>Subtotal 31</i> | | | | <i>1,793,000</i> |
| TOTAL | | | | 2,282,000 |

**District of Columbia Courts
FY 2015 Budget Justification
New Positions Requested by Grade**

| Position | Division | Grade | Number | Annual Salary | Benefits | Total Personnel Cost |
|---------------------------------------|-------------------------------|--------------|------------------|-----------------------|-----------------------|-----------------------------|
| SUPERIOR COURT | | | | | | |
| Attorney Negotiator | Family Court Operations | JS-13 | 2 | 182,000 | 54,000 | 236,000 |
| Case Manager- Domestic Relations | Family Court Operations | JS-9 | 2 | 105,000 | 32,000 | 137,000 |
| Case Manager GAP Program | Probate Division | JS-9 | 3 | 158,000 | 47,000 | 205,000 |
| Domestic Relations Case Manager | Family Court Social Services | JS-9 | 3 | 155,000 | 46,000 | 201,000 |
| Deputy Clerk | Multi-Door Dispute Resolution | JS-6 | 1 | 39,000 | 12,000 | 51,000 |
| <i>Superior Court Subtotal</i> | | | <i>11</i> | <i>639,000</i> | <i>191,000</i> | <i>830,000</i> |
| COURT SYSTEM | | | | | | |
| Mailroom Technician | Administrative Services | JS-7 | 2 | 77,000 | 23,000 | 100,000 |
| D.C. COURTS TOTAL | | | 13 | \$716,000 | \$214,000 | \$930,000 |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| District of Columbia Courts - Fiscal Year 2015 Budget Request Summary (dollars in millions) | PY-1 and earlier* | PY 2013 | CY 2014 | BY 2015 | BY +1 2016 | BY +2 2017 | 2018 and beyond* | Total, unfunded amounts (sum 2015 - beyond) |
|---|-------------------|--------------|--------------|---------------|--------------|--------------|------------------|---|
| Renovations, Improvements & Expansions | | | | | | | | |
| H. Carl Moultrie I Courthouse | | | | | | | | |
| Renovation & Reorganization | 32.39 | 0.00 | 0.00 | 7.56 | 10.96 | 5.77 | 1.18 | 25.47 |
| Moultrie Courthouse Addition | 21.00 | 5.54 | 13.90 | 61.18 | 46.91 | 19.54 | 0.00 | 127.63 |
| Courtrooms and Judges Chambers | 39.54 | 0.00 | 0.00 | 14.80 | 10.51 | 15.78 | 84.19 | 125.28 |
| Campus Security, Signage & Lighting | 4.00 | 5.15 | 0.00 | 10.15 | 10.61 | 0.00 | 0.00 | 20.76 |
| Integrated Web-Based Case Management System | 0.00 | 0.00 | 0.00 | 10.00 | 2.60 | 0.80 | 1.60 | 12.60 |
| Subtotal | 96.93 | 10.69 | 13.90 | 103.69 | 81.59 | 41.89 | 86.97 | 311.74 |
| Maintain Existing Infrastructure | | | | | | | | |
| HVAC, Electrical and Plumbing Upgrades* | 7.96 | 7.15 | 5.43 | 11.46 | 4.51 | 5.84 | 9.69 | 31.50 |
| Restroom Improvements* | 1.06 | 2.46 | 0.00 | 1.21 | 0.40 | 0.40 | 0.40 | 2.41 |
| Fire and Security Alarm Systems* | 3.69 | 1.29 | 1.36 | 4.90 | 2.80 | 4.08 | 2.00 | 13.78 |
| General Repair Projects* | 16.60 | 13.57 | 12.67 | 13.51 | 13.15 | 12.37 | 9.68 | 48.71 |
| Elevator and Escalator Repairs and Replacement* | 2.12 | 0.49 | 0.00 | 0.25 | 0.26 | 0.27 | 0.27 | 1.05 |
| Technology Infrastructure* | 3.60 | 2.60 | 1.50 | 4.00 | 3.00 | 3.00 | 3.00 | 13.00 |
| Historic Courthouse* | 0.00 | 0.00 | 0.50 | 2.00 | 1.00 | 1.00 | 1.00 | 5.00 |
| Building A Modernization (515 5th Street NW) | 0.00 | 0.00 | 0.00 | 0.13 | 1.39 | 2.06 | 8.08 | 11.66 |
| Building B Modernization (510 4th Street NW) | 0.00 | 0.00 | 0.00 | 1.72 | 1.31 | 1.81 | 16.35 | 21.19 |
| Subtotal | 35.03 | 27.56 | 21.46 | 39.18 | 27.82 | 30.83 | 50.47 | 148.3 |
| Projects Without Funding in FY 2015 | | | | | | | | |
| H. Carl Moultrie I Courthouse | | | | | | | | |
| Adult Holding Facilities/USMS Space Renovation | 66.49 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Building C Modernization (410 E. Street NW) | 43.54 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Northeast Garage | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 4.00 | 6.00 |
| Subtotal | 110.03 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 4.00 | 6.00 |
| Total | 241.99 | 38.25 | 35.36 | 142.87 | 109.4 | 74.72 | 141.44 | 466.04 |

* For projects to Maintain Existing Infrastructure, amounts listed under "PY-1 and earlier" and "2015 and beyond" represent one year of funding, as these are ongoing projects.

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. The Courts' capital funding requirements are significant because they include funding for projects critical to maintaining and preserving safe and functional courthouse facilities essential to meeting the heavy demands of the administration of justice in our Nation's Capital. To effectively meet these demands, the Courts' facilities must be both functional and emblematic of their public significance and character. The FY 2015 Capital Budget seeks to address these issues comprehensively.

In preparing the FY 2015 capital budget request, the Courts carefully assessed the capital requirements essential to performing our statutory and constitutionally mandated functions. The Courts' request for capital funding is particularly critical in FY 2015 because of the need: (1) to meet the Courts' growing space requirements for conducting their business, which includes the Family Court established by Congress; (2) to address essential public health and safety conditions in our busy court buildings, including our main building, the H. Carl Moultrie Courthouse, to which some 10,000 people come each day; and (3) to avoid interruption of ongoing projects, which almost certainly results in substantially increased costs.

The Courts presently maintain 1.2 million gross square feet of space in Judiciary Square. The Courts are responsible for five buildings in the square: the Historic Courthouse at 430 E Street N.W., the Moultrie Courthouse at 500 Indiana Avenue, N.W., Building A at 515 5th Street N.W., Building B at 510 4th Street N.W. and Building C, the old Juvenile Court, at 410 E Street N.W. The District government vacated Building C, returning this building to the D.C. Courts' inventory; renovation is complete and the building is fully occupied.

The D.C. Courts strive to enhance the Courts' physical image and environment within both public and workplace settings. Recent capital projects have demonstrated exemplary stewardship of public funds through successful completion of multiple projects on time and within budget. These projects implement safety, security, accessibility, and energy efficiency goals while proactively addressing growth of the Court system that has ongoing and anticipated organizational changes. All capital projects are coordinated within the framework of the D.C. Courts Master Plan for Facilities. The D.C. Courts are also committed to fair procurement practices and have strived, in Capital Projects, to contract with small and minority businesses.

Historic Judiciary Square

The D.C. Courts are primarily located in Judiciary Square, with some satellite offices and field units in other locations. The historical and architectural significance of Judiciary Square lends dignity to the important business conducted by the Courts and, at the same time, complicates efforts to upgrade or alter the structures within the square. Great care was exercised in designing the restoration of the Historic Courthouse, the centerpiece of the square, to preserve the character not only of the building, but also of Judiciary Square. As one of the original and remaining historic green spaces identified in Pierre L'Enfant's plan for the Capital of a new nation, Judiciary Square remains a key component of the Nation's Capital.

Buildings A, B, and C, dating from the 1930's, are situated symmetrically along the view corridor comprised of the National Building Museum, the Historic Courthouse, and John Marshall Park and form part of the historic, formal composition of Judiciary Square. The Moultrie Courthouse, although not historic, is also located along the view corridor and reinforces the symmetry of Judiciary Square through its similar form and material to the municipal building located across the John Marshall Plaza.

Judiciary Square Master Plan

In 2001, the National Capital Planning Commission (NCPC) required that the D.C. Courts develop a *Judiciary Square Master Plan* – essentially an urban design plan – before any construction by the Courts and others could be commenced in the area. The D.C. Courts worked with all stakeholders on the Plan, including the United States Court of Appeals for the Armed Forces, the National Law Enforcement Officers Memorial Fund (Memorial Fund), the Newseum, and the Metropolitan Police Department. The *Judiciary Square Master Plan* was approved in August 2005 and last updated in July 2011.

The *Judiciary Square Master Plan* resolves important technical issues related to access, service, circulation, and security within a rapidly changing and publicly oriented area of the District, while re-establishing the importance of this historic setting in the “City of Washington.” It provides a comprehensive framework for capital construction for all local entities, and it lays the groundwork for the regulatory approval process with the National Capital Planning Commission, the U.S. Commission of Fine Arts, the District of Columbia Office of Historic Preservation, the District of Columbia Office of Planning, and the District of Columbia Department of Transportation, among others. The *Judiciary Square Master Plan* will ensure the preservation and restoration of one of the last green spaces in the District of Columbia awaiting revitalization, incorporating areas where the public can gather and relax, and creating a campus-like environment where citizens can feel safe and secure.

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

Master Plan for D.C. Courts Facilities

In 2001 the D.C. Courts developed the first *Master Plan for D.C. Courts Facilities*, which delineated the Courts' space requirements and provided a blueprint for optimal space utilization, both in the near and long term. 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 enhancement of the environment within public and workplace settings;
3. Delineation of total capital requirements, schedule and phasing approach for master plan implementation;
4. Realignment of Courts' functions within the existing and proposed new Courts' facilities;
5. Continued implementation of new 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.

Of the three mechanisms to meet the Courts' space needs identified in the original 2002 Facilities Master Plan, two are already complete: (1) renovation of the Historic Courthouse for the District of Columbia Court of Appeals, to free critically needed space in the Moultrie Courthouse for trial court operations (completed in 2009) and (2) the reoccupation and renovation of Building C (completed in 2012). The November 2013 Facilities Master Plan continues to recommend the third mechanism: construction of an addition to the Moultrie Courthouse. The project has been partially funded, and construction to dig the foundation of the addition began in 2013. In addition, the Plan determined that all court facilities must be modernized and upgraded to meet health and safety standards and to function with greater efficiency.

Overview of the D.C. Courts' Facilities

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. 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.

Moultrie Courthouse

The Moultrie Courthouse is uniquely designed to meet the needs of a busy trial court. It has three separate and secure circulation systems – for judges, the public, and the large number (200 - 400) of prisoners brought to the courthouse each day. Built in 1978 for 44 trial judges, today it is strained beyond capacity to accommodate 62 trial judges and 25 magistrate judges in the trial court, as well as the steady increase in the number of judges seeking senior status and more than 1,000 support staff members. Currently, the Moultrie Courthouse provides space for most Superior Court and Family Court operations and clerk's offices. Essential criminal justice and social service agencies also occupy office space in the Moultrie Courthouse. The Courts have clearly outgrown the space available in the Moultrie Courthouse. The space is inadequate for this high volume court system to serve the public in a safe, appropriately dignified, and well maintained setting. The Courts require well-planned and adequate space to ensure efficient operations in a safe and healthy environment.

Buildings A, B, and C

Buildings A and B, dating from the 1930's, have been renovated and currently house the Probate Division, Landlord and Tenant, Small Claims, and some Social Services functions. The buildings have been brought up to current codes with all new HVAC, lighting, fire sprinklers, and the building exteriors have been refurbished to include restoration of the historic windows, replacement of exterior doors, new signage, and landscape improvements. As a result, future interior reconfigurations required by the master plan will need minimal demolition and reconstruction funds.

The Building C restoration project is complete and the building is fully occupied. Occupants of Building C include the D.C. Courts' Information Technology Division and Multi-Door Dispute Resolution Division. The restoration provides modern office space and brings the building into compliance with all current building, mechanical, electrical, fire, life safety, health, and accessibility codes. The restoration also preserves significant and contributing historic elements of the building. The Building C restoration project restored 27,300 square feet of space and

relocated 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. The Strategic Plan states--

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

The facilities and technology enhancements in this capital budget support this strategic goal and its components:

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

- B. The D.C. Courts will ensure that facilities are accessible and support efficient and effective operations.
 - 1. Ensure that court facilities are physically accessible to all persons and are easily navigable by the public through effective signage, information displays, and other means.

2. Assure that capital investments are cost-effective and that the physical environment is appropriate for operations and functional for personnel and the public through continued implementation of the Courts' Facilities Master Plan.
- C. The D.C. Courts will provide a safe environment for the administration of justice and ensure that operations continue in the event of an emergency or disaster.
1. Ensure the safety of persons in the courthouse by performing ongoing reviews of physical security, conducting a comprehensive annual Security Assessment, and implementing security enhancements based on risk levels and best practices.
 2. Protect the Courts' records by implementing best practices, employing technology to secure information, and conducting annual security-awareness training.

Implementing the *Facilities Master Plan*

Thanks to the support of the President and Congress, the Courts have made significant progress in implementing the *Facilities Master Plan*.

Historic Courthouse

The renovated Court of Appeals, completed in April 2009, now houses the judiciary, courtrooms, and support services associated with the D.C. Court of Appeals. This successful project was completed on schedule and within the budget approved by Congress.

In addition to numerous notable design and construction awards the Historic Courthouse won a 2010 Design Excellence Award Citation for Preservation by the U.S. General Services Administration, the only project to receive this recognition in the United States.

Building C

The recently renovated Building C, completed in February 2012, now houses the D.C. Courts' Information Technology Division and Multi-Door Dispute Resolution Division. The Courts have received a Leadership in Energy and Environmental Design (LEED) –Gold" certification for this building. This project was also completed on schedule and within the budget approved by Congress.

H. Carl Moultrie I Courthouse

Family Court

Family Court consolidation has recently achieved another major milestone, renovation and expansion of the Family Court Central Intake Center on the John Marshall Level. In addition, renovation and reconfiguration of three hearing rooms and the expansion of the Self Help Center have been completed. These projects bring the Courts significantly closer to meeting the Family Court mandate.

Courtrooms and Judges Chambers

These projects have been deferred and no major new milestones have been achieved due to budget constraints.

Life Safety

The D.C. Courts continue to make significant progress in addressing life safety upgrades in the Moultrie Courthouse. The Moultrie Courthouse was not originally designed in the 1970's to meet today's life safety building standards, such as a fire sprinkler system in the building. With each renovation project, sprinkler systems have been installed and overall building coverage increased, improving life safety and bringing the building closer to the goal of current code compliance.

In March 2013, the D.C. Courts completed the Moultrie Courthouse - Occupant Load Survey. This Survey identified life safety and egress concerns within the Moultrie Courthouse. The Courts have begun to address Survey findings. Alteration of the northeast emergency exit corridor has been completed, providing an ADA compliant exit with increased width which allows for occupant load in the building to exit more quickly.

Moultrie Courthouse Addition

The D.C. Courts have completed planning and pre-design services for the Moultrie Courthouse Addition. Solicitation for architect of record services is complete and design is underway. This is a six-story addition to the south face of the Courthouse starting at the C level and rising to the 4th floor. The Expansion 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 Gold Certification of the project.

Furthermore the Moultrie Courthouse Addition is critical to meeting the goals of the D.C. Courts' Facilities Master Plan. This project will address security issues, energy efficiency, and environmental principles in a cost effective manner.

The Moultrie Courthouse Addition is included in the National Capital Planning Commission (NCPC) and United States Commission of Fine Arts (CFA) approved Judiciary Square Master Plan. The Concept Design for the project was approved by the CFA in 2011.

U.S. Marshals Service

The U.S. Marshals Service (U.S.M.S.) Administrative Office Space projects were completed in 2010, providing high quality office, support, and ancillary spaces for U.S.M.S. personnel to be located on the C Street level of the Moultrie Courthouse. The renovation of the Arraignment Court (C10) and its associated holding cells was completed in 2011. The first two phases of the adult cellblock renovation was also completed in 2011. Multi-phased renovation of courtroom holding cells adjacent to all existing criminal courtrooms is now approximately 80% complete.

These renovation projects are a partnership between the D.C. Courts and the U.S.M.S. Renovations will improve security, health and safety of the U.S. Marshals, prisoners, and for the

entire D.C. Courts. The D.C. Courts are grateful for the continued active participation of the U.S.M.S. in every aspect of the design and construction.

Infrastructure

The HVAC, electrical, and plumbing upgrade project will ensure that health and safety concerns for the public and the Courts' personnel are addressed in all of the Courts' buildings, and will enable the Courts to make much needed heating, ventilation, air conditioning, mechanical, plumbing and electrical improvements. The D.C. Courts have purchased new switchgear equipment and emergency generators that will service the Moultrie Courthouse. This multiyear installation has commenced and includes both new equipment and distribution systems and the replacement of panels throughout the building.

Improved Energy Efficiency

Implementation of the Facilities Master Plan has resulted in numerous improvements to the energy efficiency of existing Court buildings and building systems. The Historic Courthouse has been designed and renovated to meet LEED Silver standards for sustainability. In Building A and Building B, the replacement of exterior doors and windows has improved their building enclosures, resulting in significant reduction of energy loss. The replacement of mechanical systems in these same buildings has resulted in more efficient energy use as well. Building C was designed, 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 continues to hold greater energy efficiency as a goal as future projects are implemented. The Moultrie Courthouse Addition will also seek LEED Gold certification. The Moultrie Courthouse renovation and reorganization project includes re-design and replacement of all lighting fixtures with energy efficient fixtures. Planned replacement of switchgear and distribution equipment with high efficiency units will contribute to improved energy performance. In addition, energy conservation measures will be the standard in upcoming courtrooms and chambers renovations.

Capital Funding in FY 2015

As the Courts progress through implementation of the Facilities Master Plan, the Courts' older buildings in Judiciary Square—the Historic Courthouse (430 E Street), Building A (515 5th

Street), Building B (510 4th Street), and Building C (410 E Street) — have all been renovated. Currently and over the next several years, the Moultrie Courthouse (500 Indiana Avenue), the Courts' largest building by far, will be the focus of most of the Courts' capital projects.

The Moultrie Courthouse Addition Project, now underway, will address this shortfall by adding 99,690 usable square feet of space. The new construction will contain six criminal capable trial courtrooms, twenty judge's chambers, and Court office space. The Moultrie Courthouse Addition will fulfill the Family Court mandate by consolidating Social Services and all other Family Court functions on the John Marshall level and First Floor of the Moultrie Courthouse.

The D.C. Courts have coordinated renovations required by the D.C. Courts' Facilities Master Plan with activities related to the maintenance of existing infrastructure, in order to minimize disruption to the Courts. The D.C. Courts are committed to maintaining Court operations during construction activities. For example, renovation and re-organization activities related to Family Court consolidation are coordinated with HVAC, Electrical, and Plumbing Upgrades, Restroom Improvements and Fire and Security Systems budget line items.

Exhibit 300: Capital Asset Plan and Business Case Summaries are divided into three sections. The first section includes projects to renovate, improve, and expand court facilities, as specified in the Master Plan for Facilities. The second section includes projects necessary to maintaining the existing infrastructure. The final section, containing projects not requiring funding in FY 2015, provides an update on projects financed in previous years and plans for future projects. Projects have been divided into phases to the extent practicable.

The FY 2015 capital request focuses on the Moultrie Courthouse, safety and security, and building maintenance. The Courts' capital budget request totals \$142.87 million.

A significant portion of the FY 2015 capital budget request, \$61.18 million, is for the Moultrie Courthouse Addition (C Street Expansion). This addition will add nearly 100,000 of useable space to the Moultrie Courthouse and expand the building along the south façade at C Street. The full funding request for this project is distributed over six fiscal years, beginning in FY 2012.

The capital budget request includes \$7.56 million to continue the renovation and reorganization of the interior of the Moultrie Courthouse. This funding will allow the Courts to move operations and functions within the courthouse in order to continue to consolidate the Family Court in contiguous space on the John Marshall level and prepare for the phased construction of the Moultrie Courthouse Addition.

The Courts are requesting \$14.80 million to renovate four large courtrooms, create two new criminal courtrooms and replace courtroom seating that has far exceeded its useful life in courtrooms not scheduled for renovation within the next five years.

The Courts, like many public institutions, face security threats to daily operations and individual judges. In addition, the Courts face unique security risks due to the presence of hundreds of prisoners in the Moultrie Courthouse each day. The Courts' request includes \$10.15 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, \$10 million is requested. The new system will be web-based, enhancing public access to court information and leveraging new technology, such as cloud computing.

The capital budget also includes a request for \$39.18 million to maintain and upgrade the Courts' facilities. Significant public resources have been expended over the past decade to modernize the Courts' older buildings. The recent Facilities Conditions Assessment (FCA), which analyzed life cycle and maintenance needs for court buildings, guides the maintenance request. Mechanical systems and structural repairs are necessary in order to ensure the safety of building occupants and to preserve the integrity of these historic structures. The Courts request \$11.46 million for the HVAC, Electrical, and Plumbing Upgrades to continue to upgrade electrical systems in the Moultrie Courthouse and provide for the replacement of HVAC equipment as components reach the end of their useful life throughout the campus. To create new public restrooms in the Moultrie Courthouse, \$1.21 million is requested. The \$4.90 million requested for Fire and Security will finance a sprinkler system for the Moultrie Courthouse as part of the ongoing fire sprinkler installation program for the building. In addition, \$13.51 million is requested for General Repair Projects, for, among other things, ADA accessibility, safety enhancements, and continued replacement of fixtures, lighting, flooring, ceiling tiles and other capital investments and replacement of equipment, as required or due to emergency failure in Courts' facilities. To keep elevators and escalators in good working order, \$250,000 is requested. In addition, \$4 million is requested for technology infrastructure enhancements. The Capital Budget also includes \$1.85 million to maintain Buildings A and B, as recommended by the FCA. Finally, \$2 million is requested for maintenance of the Historic Courthouse, to protect the public investment in its renovation, which was completed in 2009.

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2012
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment: **H. Carl Moultrie Renovation and Reorganization**
5. Unique Project (Investment) Identifier: (For IT investment only, see section [53.9](#). For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY2015?
 (Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

| | |
|----------------------------|-------------|
| Planning | _____ |
| Full Acquisition | _____X_____ |
| Operations and Maintenance | _____ |
| Mixed Life Cycle | _____ |

7. What was the first budget year this investment was submitted to OMB? 2005
8. Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Moultrie Courthouse Renovation and Reorganization Project will further the Family Court renovations plus upgrade and modernize the nearly 35-year-old Moultrie Courthouse to provide more efficient space for the Superior Court and Court System divisions. This project will meet the current and projected needs of the District of Columbia Courts, as described in the District of Columbia Courts Facilities Master Plan, while keeping the Courts fully operational and minimally disturbed while construction takes place in the Moultrie Courthouse. Renovation and reorganization of the interior of the Moultrie Courthouse is necessary to shift operations to vacate some of the space required to fully consolidate the Family Court within Moultrie and to upgrade and make efficient use of existing space as envisioned in the Facilities Master Plan.

The project is coordinated and interdependent with the Moultrie Courthouse Addition and is fully coordinated with the long-range recommendations of the D.C. Courts Facilities Master Plan. This project must be conducted in carefully planned phases to accommodate full Court operations in the Moultrie Courthouse as the construction proceeds.

This project's coordination and completion directly relates to the Courts' establishment of the Family Court. Due to the U.S.M.S. initiative, the Court has had to re-plan the relocation of Social Service Juvenile Intake functions from Building B to the JM Level of the Moultrie Courthouse. The relocation of the remaining Social Services functions needed to complete the Family Court consolidation requirements have been rescheduled for 2018 when the Moultrie Courthouse Addition is complete.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

(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 FFMI 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 FFMI compliance area;

o Not a core financial system; does not need to comply with **FFMI**

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

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: H. Carl Moultrie Courthouse Renovation & Reorganization

| Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions) | | | | | | | | |
|---|-------------------------|----------------|----------------|----------------|------------------|------------------|------------------------|--|
| | PY-1 and earlier | PY 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 32.39 | 0.00 | 0.00 | 7.56 | 10.96 | 5.77 | 1.18 | 25.47 |
| Planning & Acquisition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal Planning & Acquisition (DME): | 32.39 | 0.00 | 0.00 | 7.56 | 10.96 | 5.77 | 1.18 | 25.47 |
| 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): | 32.39 | 0.00 | 0.00 | 7.56 | 10.96 | 5.77 | 1.18 | 25.47 |
| TOTAL (including FTE costs) | 32.39 | 0.00 | 0.00 | 7.56 | 10.96 | 5.77 | 1.18 | 25.47 |
| | | | | | | | | |
| 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 —PY1 and earlier” 3 years (2011)
3. Insert the number of years covered in column —BY3 and beyond” 1 year (2018)
4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes: Partially funded in 2012 and unfunded in 2013 & 2014, planned projects continue to require funding.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

| Table I.C.1 Contracts Table | | | |
|---|---|---|--|
| Field | Contract 1 | Contract 2 | Contract 3 |
| Short description of acquisition | 2010-3 Family Court/ Marriage Bureau | 2010-7 Public Circulation and General Waiting Areas, Health & Safety Upgrades | 2011-1 Domestic Violence Unit Construction |
| Contract Status | Pre-award Pre- Solicitation | Pre-award Pre- Solicitation | Awarded |
| Procurement Instrument Identifier (PIID) | TBD | TBD | CPFMD-11-0721 |
| Indefinite Delivery Vehicle (IDV) Reference ID | NA | NA | NA |
| Solicitation ID | TBD | TBD | CPFMD-11-0721 |
| Alternative financing | NA | NA | NA |
| EVM Required | YES, Courts' Standard | YES, Courts' Standard | YES, Courts' Standard |
| Ultimate Contract Value | NA | Multiple Contracts/ Contractors | \$ 2,791,000 |
| Type of Contract/Task Order (Pricing) | Fixed | Fixed | Fixed |
| Is this contract a Performance Based Service Acquisition (PBSA)? | No | No | No |
| Effective Date | Quarter 2 FY 2015 | Quarter 1 FY 2015 | Quarter 3 FY 2011 |
| Actual or expected end date of Contract/Task Order | Quarter 4 FY 2015 | Quarter 4 FY 2019 | Quarter 3 FY 2013 |
| Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non- competitive Delivery Order | D | D | D |

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| Table I.C.1 Contracts Table | | | |
|--|---------------------------------------|---|---|
| Field | Contract 4 | Contract 5 | Contract 6 |
| Short description of acquisition | 2013-1 C Street Level Reconfiguration | 2014-1 IT AV Support & Court wide Conference Center | 2012-1 Criminal Division without Final Phase* |
| Contract Status | Pre-award Pre-Solicitation | Pre-award Pre-Solicitation | Awarded |
| Procurement Instrument Identifier (PIID) | TBD | TBD | CO-0013300 |
| Indefinite Delivery Vehicle (IDV) Reference ID | NA | NA | NA |
| Solicitation ID | TBD | TBD | CPMFD-12-0627 |
| Alternative financing | NA | NA | NA |
| EVM Required | YES, Courts' Standard | YES, Courts' Standard | YES, Courts' Standard |
| Ultimate Contract Value | NA | NA | \$3.06M |
| 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 2015 | Quarter 2 FY 2016 | Quarter 4 FY 2012 |
| Actual or expected end date of Contract/Task Order | Quarter 4 FY 2016 | Quarter 1 FY 2017 | Quarter 3 FY 2015 |
| Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order | D | D | D |

*** Criminal Division Final Phase to be completed in Phase 1 of the C Street Addition Project.**

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 |
| <i>Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.</i> |

Not Applicable.

| |
|---|
| Part III: Non-IT Capital Investments |
| <i>Part II should be completed only for Non- IT capital investment.</i> |

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? Yes
2. If an Alternatives Analysis was conducted, answer the following questions.
 - a) What is the date of the analysis? May 2009/November 2013
 - b) How many alternatives were considered? Three
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? Yes
 - d) Briefly summarize the rationale for the selected alternative. The D.C. Courts are proceeding with the selected alternative, Consolidating the Family Court within the Moultrie Courthouse, because it has the greatest return on investment. An underlying assumption of this alternative includes the use of existing courtrooms and circulation systems within the Moultrie Courthouse. Using and augmenting existing resources has a major cost benefit, made even greater by the high cost of constructing new specialized Court facilities. The consolidation of secure holding facilities within the Moultrie Courthouse for use by the Family Court and the Superior Court is also a benefit of this alternative because it eliminates the duplication of physical space for adult and juvenile detainees that would be needed in two separate facilities and has major operational cost benefits associated with the transport of prisoners.
3. If an Alternatives Analysis was not conducted, provide a brief explanation. _____

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No
2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
 - f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____
3. If a Risk Management Plan has not been developed, provide a brief explanation. Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

| Table III.C.1: Performance Information Table | | | | |
|---|---|---|---|--|
| Fiscal Year | Strategic Goal(s) Supported | Performance Baseline | Performance Goals | Action Results |
| 2013-2017 Strategic Plan of the D.C. Courts | Goal 4, B1: Sound Infrastructure, Accessibility | Facilities have not been updated in 35 years. | All public spaces and counter will be ADA compliant. Centrally locate public division functions. Improve all public corridors and facilities. | All new public counters are ADA compliant. |
| 2013-2017 Strategic Plan of the D.C. Courts | Goal 4, B2: Sound Infrastructure, Appropriate Physical Work Environment | Facilities have not been updated in 35 years. | Consolidate and/or relocate related divisions to improve efficiency and upgrade facilities to current workplace standards. | Family Court consolidation is ongoing. Court reporting consolidation is in progress. |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Section D: Earned Value Management – Domestic Violence Unit Construction

| Table III.D.1:EVM Table | | | |
|--------------------------------|--------------|-----------------------------|-------------------|
| Performance Measure | Units | Formula | Status |
| Budget at Completion (BAC) | \$M | | \$ 3.45 |
| Planned Value (PV) | \$M | | \$ 3.37 |
| Earned Value (EV) | \$M | | \$ 3.37 |
| Actual Costs (AC) | \$M | | \$ 3.41 |
| Cost Variance (CV) | \$M | CV= EV-AC | \$ 0.00 |
| Cost Variance (CV %) | % | CV% = CV/EV x 100 | -0.1% |
| Cost Performance Index (CPI) | Ratio | CPI = EV / AC | 0.99 |
| Schedule Variance (SV) | \$M | SV = EV – PV | \$.00 |
| Schedule Variance (%) | % | SV% = SV / PV x 100 | 0% |
| Schedule Performance Index | Ratio | SPI = EV / PV | 1.0 |
| Estimate at Completion (EAC) | \$M | EAC = BAC / CPI | \$ 3.49 |
| Variance at Completion (VAC) | \$M | VAC = BAC – EAC | \$ -0.04 |
| Variance at Completion (VAC %) | % | VASC% = VAC / BAC | -1% |
| Percent Complete | % | % Complete = EV / BAC x 100 | 98% |
| Percent Spent | % | % Spent = AC / BAC x 100 | 99% |
| Estimated Completion Date | Date | mm/dd/yy | Quarter 3 FY 2013 |

Section D: Earned Value Management – Criminal Division Renovation

| Table III.D.1:EVM Table | | | |
|--------------------------------|--------------|---------------------|---------------|
| Performance Measure | Units | Formula | Status |
| Budget at Completion (BAC) | \$M | | \$3.06 |
| Planned Value (PV) | \$M | | \$.70 |
| Earned Value (EV) | \$M | | \$.70 |
| Actual Costs (AC) | \$M | | \$.66 |
| Cost Variance (CV) | \$M | CV= EV-AC | \$ 0.04 |
| Cost Variance (CV %) | % | CV% = CV/EV x 100 | 0.6% |
| Cost Performance Index (CPI) | Ratio | CPI = EV / AC | 0.00 |
| Schedule Variance (SV) | \$M | SV = EV – PV | \$ 0.00 |
| Schedule Variance (%) | % | SV% = SV / PV x 100 | 0% |
| Schedule Performance Index | Ratio | SPI = EV / PV | 1.0 |
| Estimate at Completion (EAC) | \$M | EAC = BAC / CPI | \$ 2.87 |
| Variance at Completion (VAC) | \$M | VAC = BAC – EAC | \$.19 |

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| | | | |
|--------------------------------|------|-----------------------------|-------------------|
| Variance at Completion (VAC %) | % | VASC% = VAC / BAC | 6% |
| Percent Complete | % | % Complete = EV / BAC x 100 | 23% |
| Percent Spent | % | % Spent = AC / BAC x 100 | 21% |
| Estimated Completion Date | Date | mm/dd/yy | Quarter 3 FY 2015 |

1. Explanations
Schedule extended due to required courtroom use.

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

1. Has an Operational Analysis been performed within the last 18 months? No
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 a) What was the date of the analysis _____
 b) Briefly summarize the results of the analysis _____
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation This investment does not include O&M activity.
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the Variance column of the Table.

| Table III.E.4: O&M Cost and Schedule Performance | | | | | | |
|--|-----------------|------------|------------------------|-------------------|----------------------------------|-----------------------------|
| Milestone | Planned | | Actual | | Variance | |
| | Completion Date | Cost (\$M) | Actual Completion Date | Actual Cost (\$M) | Schedule (days) Planned - Actual | Cost (\$M) Planned - Actual |
| | | | | | | |

Section F: Stakeholders

1. List all agency stakeholders. Stakeholders are not limited to agencies with a financial commitment. If a partner agency has approved the Exhibit 300, enter the date of approval.

| Table III.F.1. Stakeholders | |
|-----------------------------|------------------|
| Partner Agency | Date of Approval |
| | |
| | |

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment: **Moultrie Courthouse Addition (C Street Expansion)**
5. Unique Project (Investment) Identifier: (For IT investment only, see section [53.9](#). For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY2015?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

| | |
|----------------------------|-------------|
| Planning | _____ |
| Full Acquisition | _____X_____ |
| Operations and Maintenance | _____ |
| Mixed Life Cycle | _____ |

7. What was the first budget year this investment was submitted to OMB? 2005
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The project goal is to fully consolidate the Family Court and build upon the work completed as part of the John Marshall Level Interim Renovation, and to meet court wide space needs. The Addition will double the number of large criminal courtrooms in the courthouse and accommodate both high profile and multi-defendant trials. This expansion proposes an addition to the Moultrie Courthouse on the south side, facing C Street. This approach builds upon several projects, including the restoration and expansion of the Old D.C. Courthouse, acquisition of Building C, and existing building renovations. The project is coordinated and interdependent with the Moultrie Courthouse Renovation and Reorganization and is fully coordinated with the long-range recommendations of the D.C. Courts Facilities Master Plan. This project must be conducted in carefully planned phases to accommodate full court operations in the Moultrie Courthouse as the construction proceeds.

To complete the full consolidation required, the D.C. Courts propose expansion of the Moultrie Courthouse. In November 2013, the D.C. Courts completed their Facilities Master Plan Update documenting system-wide space needs and addressing alternatives for meeting these needs.

The creation of additional space provided by the Moultrie Courthouse Addition has become an absolute requirement due to the mandated transfer of space in the Moultrie Courthouse from the D.C. Courts to the U.S. Marshals Service for their administrative functions. In addition to replacing space lost from this transfer, additional space is needed to meet space requirements documented in the Master Plan for Facilities. Furthermore, it will aid in offsetting the future loss of leased space at Gallery Place. The Moultrie Courthouse Addition will increase the number of trial courtrooms,

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

chambers, and general office space. It would also further Family Court Consolidation by allowing Social Services Division Juvenile Probation functions that are currently in Building B to be relocated into the Moultrie Courthouse with the Family Court. The Moultrie Courthouse Addition will require coordination with activities included under the Moultrie Courthouse Renovation and Reorganization budget line.

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

9.

- a) Did the Agency's Executive/Investment Committee approve this request? Yes X No _____
b) Provide the date of the most recent or planned approved project charter. 2003

10. a) Contact information of Project Manager?

| | |
|--------------|--------------------------------|
| Name | <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? (per FAC-P/PM)?

- | | |
|---|----------------------|
| (1) Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment. | <u>PMP Certified</u> |
| (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 | _____ |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 21.00 | 5.54 | 13.90 | 61.18 | 46.91 | 19.54 | 0.00 | 127.63 |
| Planning & Acquisition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal Planning & Acquisition (DME): | 21.00 | 5.54 | 13.90 | 61.18 | 46.91 | 19.54 | 0.00 | 127.63 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Disposition Costs (optional) | | | | | | | | |
| Operations, Maintenance, Disposition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal O&M and Disposition Costs (SS) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL FTE Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL (not including FTE costs): | 21.00 | 5.54 | 13.90 | 61.18 | 46.91 | 19.54 | 0.00 | 127.63 |
| TOTAL (including FTE costs) | 21.00 | 5.54 | 13.90 | 61.18 | 46.91 | 19.54 | 0.00 | 127.63 |
| | | | | | | | | |
| 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 —PY1 and earlier” 3 (2010, 2011,2012)
3. Insert the number of years covered in column —BY3 and beyond” 0
4. If the summary of funding has changed from the FY 2015 President’s Budget request, briefly explain those changes: Partially funded in FY2014 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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

| Field | Contract 1 | Contract 2 | Contract 3 |
|---|-------------------------|-------------------|----------------------------|
| Short description of acquisition | 2009-Pre-Design | 2010-Design | 2010-Construction |
| Contract Status | Awarded | Awarded | Pre-award Pre-Solicitation |
| Procurement Instrument Identifier (PIID) | CPFMD-10-0527 | CO-0013482 | TBD |
| Indefinite Delivery Vehicle (IDV) Reference ID | NA | NA | NA |
| Solicitation ID | CPFMD-10-0527 | CPFMD-12-0802 | TBD |
| Alternative financing | No | No | No |
| EVM Required | NA | NA | YES, Courts' Standard |
| Ultimate Contract Value | \$2.7 M | \$3.6M | NA |
| Type of Contract/Task Order (Pricing) | Fixed | Fixed | Fixed |
| Is this contract a Performance Based Service Acquisition (PBSA)? | Yes | Yes | No |
| Effective Date | Quarter 1 FY 2010 | Quarter 4 FY 2012 | Quarter 2 FY 2014 |
| Actual or expected end date of Contract/Task Order | Complete Quarter 4 2012 | Quarter 4 FY 2013 | Quarter 4 FY 2017 |
| Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order | E | D | A |

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

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

Yes X No

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

Yes X No

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

Yes X No

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

2011

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

Yes NA No

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

- f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? Yes NA No
- g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

- | | |
|---|--|
| 1. Was an Alternatives Analysis conducted (yes/no)? | <u>Yes, in the D.C. Courts Master Plan for Facilities 2002 and updated in 2013</u> |
| 2. If an Alternatives Analysis was conducted, answer the following questions. | |
| a) What is the date of the analysis? | <u>November 2013</u> |
| b) How many alternatives were considered? | <u>Three</u> |
| c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? | <u>Yes</u> |
| d) Briefly summarize the rationale for the selected alternative. | <u>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.</u> |
| 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)? | <u>No</u> |
| 2. If a Risk Management Plan has been developed, answer the following questions. | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

- 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 Strategic Plan of the D.C. Courts | Goal 4A: Sound Infrastructure | Facilities have late 1970's technology | Improved judicial control of technologies in the courtroom | N/A |
| 2013-2017 Strategic Plan of the D.C. Courts | Goal 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 |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Section D: Earned Value Management (Pre-Design)

| Table III.D.1:EVM Table | | | |
|--------------------------------|--------------|---|---------------|
| Performance Measure | Units | Formula | Status |
| Budget at Completion (BA) | \$M | | \$ 3.00 |
| Planned Value (PV) | \$M | | \$ 3.00 |
| Earned Value (EV) | \$M | | \$ 3.00 |
| Actual Costs (AC) | \$M | | \$ 2.90 |
| Cost Variance (CV) | \$M | $CV = EV - AC$ | 0.10 |
| Cost Variance (CV %) | % | $CV\% = CV / EV \times 100$ | 3% |
| Cost Performance Index (CPI) | Ratio | $CPI = EV / AC$ | 1.03 |
| 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 | $EAC = BAC / CPI$ | \$ 2.90 |
| Variance at Completion (VAC) | \$M | $VAC = BAC - EAC$ | \$ 0.10 |
| Variance at Completion (VAC %) | % | $VAC\% = VAC / BAC$ | 3% |
| Percent Complete | % | $\% \text{ Complete} = EV / BAC \times 100$ | 100% |
| Percent Spent | % | $\% \text{ Spent} = AC / BAC \times 100$ | 97% |
| Estimated Completion Date | Date | mm/dd/yy | Sept 30, 2012 |

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 | | \$ 1.40 |
| Earned Value (EV) | \$M | | \$ 1.40 |
| Actual Costs (AC) | \$M | | \$ 1.20 |
| Cost Variance (CV) | \$M | $CV = EV - AC$ | 0.20 |
| Cost Variance (CV %) | % | $CV\% = CV / EV \times 100$ | 14% |
| Cost Performance Index (CPI) | Ratio | $CPI = EV / AC$ | 1.17 |
| 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 | $EAC = BAC / CPI$ | \$ 3.17 |
| Variance at Completion (VAC) | \$M | $VAC = BAC - EAC$ | \$ 0.53 |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | |
|--------------------------------|------|---|---------------|
| Variance at Completion (VAC %) | % | $VASC\% = VAC / BAC$ | 14% |
| Percent Complete | % | $\% \text{ Complete} = EV / BAC \times 100$ | 38% |
| Percent Spent | % | $\% \text{ Spent} = AC / BAC \times 100$ | 32% |
| Estimated Completion Date | Date | mm/dd/yy | Sept 30, 2013 |

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 |
| | |

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 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment: **Courtrooms and Judges Chambers**
5. Unique Project (Investment) Identifier: (For IT investment only, see section [53.9](#). For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY2015?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

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

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

Past funding for the Courtroom and Chambers projects were directed to John Marshall Level and Second Level hearing rooms and the creation of a new civil courtroom, renovation of nine senior judges chambers, and the creation of five new associate judge's chambers.

Due to lack of funding in prior years this project was deferred. FY 2015 funding for the courtroom and chambers projects will include renovation of four large courtrooms, creation of two new criminal courtrooms and replacement of courtroom seating that has far exceeded its useful life. Since the renovation of existing courtrooms will continue into 2020 the requested funding for seating will allow courtrooms scheduled for out year renovation to continue to function until fully renovated.

Future budget years will include the following: (1) Renovate senior judge's chambers to meet current ADA and Courts' standards, (2) Renovate hearing/courtrooms, including architectural modifications to accommodate technology, such as additional space for computers, printers and staff, and power upgrades to support the aforementioned, (3) Install new fire sprinkler system in courtrooms, (4) Replace courtroom finishes that have far exceeded their useful life, (5) Upgrade chambers, including installation of standardized furniture systems, ADA restroom upgrades, and installation of fire sprinkler system.

Courtroom and Chamber activities will require coordination with activities included under HVAC, Electrical & Plumbing Upgrades and Fire and Security Alarm Systems budget lines. As the Courts continue to implement the Facilities Master Plan renovations, the design and construction process will

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

allow for extensive building system and life safety upgrades. Addressing courtroom upgrades and building infrastructure simultaneously will minimize operational impacts to the Courts.

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

9.

- a) Did the Agency’s Executive/Investment Committee approve this request? Yes X No
b) Provide the date of the most recent or planned approved project charter. 1999

10. a) Contact information of Project Manager?

Name Joseph E. Sanchez
Phone Number 202-879-2801
E-mail Joseph.Sanchez@dcsc.gov

b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name
Phone Number
E-mail

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. PMP Certified
- (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- (4) Project manager assigned but qualification status review has not yet started.
- (5) No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s)
- ii. System acronym
- iii. Unique Project Identifier (UPI) number
- a) If this investment is a financial management system AND the investment is part of the **core financial system** then select the primary FFMIA compliance area that this investment addresses (choose only one):
- o computer system security

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Investment: Courtrooms and Judges Chambers

| Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions) | | | | | | | | |
|--|------------------|---------|---------|---------|-----------|-----------|-----------------|-----------------------------------|
| | PY-1 and earlier | PY 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 39.54 | 0.00 | 0.00 | 14.80 | 10.51 | 15.78 | 84.19 | 125.28 |
| Planning & Acquisition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal Planning & Acquisition (DME): | 39.54 | 0.00 | 0.00 | 14.80 | 10.51 | 15.78 | 84.19 | 125.28 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Disposition Costs (optional) | | | | | | | | |
| Operations, Maintenance, Disposition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal O&M and Disposition Costs (SS) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL FTE Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL (not including FTE costs): | 39.54 | 0.00 | 0.00 | 14.80 | 10.51 | 15.78 | 84.19 | 125.28 |
| TOTAL (including FTE costs) | 39.54 | 0.00 | 0.00 | 14.80 | 10.51 | 15.78 | 84.19 | 125.28 |
| Total number of FTE represented by Costs: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column —PY1 and earlier” _____ 14 years (1999)
3. Insert the number of years covered in column —BY3 and beyond” _____ 5 years (2022)
4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes: _____ Yes, due to lack of funding in prior years

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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

| Field | Contract 1 | Contract 2 | Contract 3 |
|--|----------------------------|---|----------------------------|
| Short description of acquisition | 2010-1 Chamber Renovations | 2010-2 Courtroom Renovations, Second Floor (Demolition) | 2011-1 New Courtrooms |
| Contract Status | Pre-award Pre-Solicitation | Awarded | Pre-award Pre-Solicitation |
| Procurement Instrument Identifier (PIID) | TBD | CPFMD 11-0601 | TBD |
| Indefinite Delivery Vehicle (IDV) Reference ID | NA | NA | NA |
| Solicitation ID | TBD | CPFMD 11-0601 | TBD |
| Alternative financing | NA | NA | NA |
| EVM Required | YES, Courts' Standard | YES, Courts' Standard | YES, Courts' Standard |
| Ultimate Contract Value | NA | \$1.02 M | NA |
| Type of Contract/Task Order (Pricing) | Fixed | Fixed | Fixed |
| Is this contract a Performance Based Service Acquisition (PBSA)? | No | No | No |
| Effective Date | Quarter 2 FY 2015 | Quarter 4 FY 2011 | Quarter 1 FY 2015 |
| Actual or expected end date of Contract/Task Order | Quarter 1 FY 2022 | Quarter 2 FY 2012 | Quarter 3 FY 2017 |
| 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 | 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 | No |
| _____ | | |
| c) Was the Acquisition Plan approved in accordance with agency requirements | Yes | X |
| | No | No |
| _____ | | |
| d) If "yes," enter the date of approval? | 2011 | |
| _____ | | |
| e) Is the acquisition plan consistent with your agency Strategic | Yes | NA |
| | No | No |
| _____ | | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Sustainability Performance Plan? _____

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

Yes NA No

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

| |
|--|
| Part II: IT Capital Investments |
| <i>Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.</i> |

Not Applicable.

| |
|---|
| Part III: Non-IT Capital Investments |
| <i>Part II should be completed only for Non- IT capital investment.</i> |

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

- | | |
|---|---|
| 1. Was an Alternatives Analysis conducted (yes/no)? | Yes, 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, updated November 2013 |
| b) How many alternatives were considered? | Three |
| c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? | Yes |
| d) Briefly summarize the rationale for the selected alternative. | The planned Courtroom and Chambers Project was selected to align with the ongoing Master Plan implementation. |
| 3. If an Alternatives Analysis was not conducted, provide a brief explanation. | |

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

- | | |
|--|----|
| 1. Has a Risk Management Plan been developed (yes/no)? | No |
| 2. If a Risk Management Plan has been developed, answer the following questions. | |
| a) What is the date of the plan? | |
| b) Does the plan include a list of risks (yes/no) | |
| c) Does the plan include the probability of | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

- 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 | 1. Existing Chambers have had no major renovation in 15 years. 2. Existing courtrooms have had no major electrical upgrades and improvements to public spectator areas. 3. Public is underserved due to shortage of courtrooms. | 1. Create and renovate chambers per Master Plan realignment. 2. Renovate courtrooms per Master Plan realignment. 3. Create new courtrooms per Master Plan realignment. | New chambers on the fifth floor & new courtroom on the fourth floor have been completed. |

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 | $EAC = BAC / CPI$ | |

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| | | | |
|--------------------------------|------|---|--|
| 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? 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 2013
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 FY2015?
 (Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 2007
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The location of many high profile buildings within and around Judiciary Square required a comprehensive physical security plan, which serves to protect both the occupants and the users of court buildings and the Courts’ property. This project will integrate new security features into landscaped property surrounding Judiciary Square to provide the greatest standoff distances between vehicles at the curb and building facades. Per the recommendation of the U.S. Marshals Service, the D.C. Courts, in connection with the U.S. Court of Appeals for the Armed Forces, 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 & C.

The Courts also plan to construct a secure mail screening facility to replace the current practice of screening 1.8 million pieces of incoming mail each year at public entrances used by 10,000 people each day.

The number of people who would benefit from Campus Security, Lighting, and Signage in Judiciary Square is enormous. These include residents and visitors in the District of Columbia and all those involved in proceedings in the District of Columbia Courts, including the public, judicial officers, court staff, all those using the open space of Judiciary Square, and all those using the Judiciary Square Metro Station at the center of Judiciary Square. The Judiciary Square Master Plan has been approved

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

by the National Capital Planning Commission and been coordinated with the U.S. Commission of Fine Arts and the District Department of Transportation.

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

9.

- a) Did the Agency's Executive/Investment Committee approve this request? Yes X No
b) Provide the date of the most recent or planned approved project charter. 2007

10. a) Contact information of Project Manager?

Name Joseph E. Sanchez
Phone Number 202-879-2801
E-mail Joseph.Sanchez@dcsc.gov

b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name _____
Phone Number _____
E-mail _____

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. PMP Certified
- (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. _____
- (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. _____
- (4) Project manager assigned but qualification status review has not yet started. _____
- (5) No project manager has yet been assigned to this investment. _____

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s) _____
- ii. System acronym _____
- iii. Unique Project Identifier (UPI) number _____
- a) If this investment is a financial management system AND the investment is part of the **core financial system** then select the primary FFMIA compliance area that this investment addresses (choose only one):
- o computer system security _____

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 4.00 | 5.15 | 0.00 | 10.15 | 10.61 | 0.00 | 0.00 | 20.76 |
| Planning & Acquisition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal Planning & Acquisition (DME): | 4.00 | 5.15 | 0.00 | 10.15 | 10.61 | 0.00 | 0.00 | 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): | 4.00 | 5.15 | 0.00 | 10.15 | 10.61 | 0.00 | 0.00 | 20.76 |
| TOTAL (including FTE costs) | 4.00 | 5.15 | 0.00 | 10.15 | 10.61 | 0.00 | 0.00 | 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 |

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 —PY1 and earlier” _____ 4 years (2009)
3. Insert the number of years covered in column —BY3 and beyond” _____ 1 year (2018)
4. If the summary of funding has changed from the FY 2014 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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 2015 | Quarter 1 FY 2015 | Quarter 1 FY 2015 |
| Actual or expected end date of Contract/Task Order | Quarter 1 FY 2016 | Quarter 1 FY 2016 | Quarter 1 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 | A | D & E | A |

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

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

| | | |
|-----|---|----|
| Yes | X | No |
|-----|---|----|

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

| | | |
|-----|---|----|
| Yes | X | No |
|-----|---|----|

c) Was the Acquisition Plan approved in accordance with

| | | |
|-----|---|----|
| Yes | X | No |
|-----|---|----|

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agency requirements

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

2011

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

Yes NA No

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

Yes NA No

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

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?

Yes, Judiciary Square Master Plan

2. If an Alternatives Analysis was conducted, answer the following questions.

a) What is the date of the analysis?

July, 2005

b) How many alternatives were considered?

Two

c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?

Yes

d) Briefly summarize the rationale for the selected alternative.

Implement improvements through an integrated project that includes security, lighting, signage and landscape. This is the most cost effective alternative-coordinated improvements eliminate duplication of efforts.

3. If an Alternatives Analysis was not conducted, provide a brief explanation.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?

No

2. If a Risk Management Plan has been developed, answer the following questions.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

- 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

| Table III.D.1:EVM Table | | | |
|--------------------------------|--------------|---|---------------|
| Performance Measure | Units | Formula | Status |
| Budget at Completion (BA) | \$M | | |
| Planned Value (PV) | \$M | | |
| Earned Value (EV) | \$M | | |
| Actual Costs (AC) | \$M | | |
| Cost Variance (CV) | \$M | $CV = EV - AC$ | |
| Cost Variance (CV %) | % | $CV\% = CV / EV \times 100$ | |
| Cost Performance Index (CPI) | Ratio | $CPI = EV / AC$ | |
| Schedule Variance (SV) | \$M | $SV = EV - PV$ | |
| Schedule Variance (%) | % | $SV\% = SV / PV \times 100$ | |
| Schedule Performance Index | Ratio | $SPI = EV / PV$ | |
| Estimate at Completion (EAC) | \$M | $EAC = BAC / CPI$ | |
| Variance at Completion (VAC) | \$M | $VAC = BAC - EAC$ | |
| Variance at Completion (VAC %) | % | $VASC\% = VAC / BAC$ | |
| Percent Complete | % | $\% \text{ Complete} = EV / BAC \times 100$ | |
| Percent Spent | % | $\% \text{ Spent} = AC / BAC \times 100$ | |
| Estimated Completion Date | Date | mm/dd/yy | |

1. Explanations

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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment: **Integrated Web-Based Case Management System**
5. Unique Project (Investment) Identifier: (For IT investment only, see section [53.9](#). For all other, use agency ID system.)
6. What kind of investment will this be in FY2015?
 (Please NOTE: Investments with Planning/Acquisition activities prior to FY2013 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 2013
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 Integrated Web-Based Case Management System initiative is a multi-year effort to replace the existing decade old case management system with a web-based case management system. The current system is a COTS package that was coded in an older computer language that is increasingly becoming difficult for the vendor to identify staff that has the specialized knowledge required to make changes to the system. As a result, any critical modifications add significantly to the cost of maintaining and operating the legacy system. Scarce technical resources cause delays in implementing needed system changes that impact the efficiency and effectiveness of Court business operations. These delays consequently have a measurable impact on the scheduling of other critical IT implementations and in turn cause an aggregate cost increase in terms of hardware, software, and consulting services funding. This requested web-based case management system would eliminate many of these concerns and provide the Court with a current technology platform that could utilize newer cost-saving technologies such as cloud computing and allow for internet web access benefitting the Courts' end user community. This request aligns with a replacement schedule that promotes cost effectiveness and cost predictability and is consistent with industry best practice and the Federal E-Government initiative (OMB 300 guidance).

This major IT investment will additionally provide core benefits from migrating to a web-based application. The migration would result in easier access to justice by utilizing Internet web technologies to deliver information and services to the Courts' end-user community and criminal justice agency partners. This initiative will maximize the integration of Court data successfully accomplished in the existing system with a web-based solution that provides cross platform compatibility with the leading web browsers and operating systems, increase manageability of system

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

updating and maintenance and provide ease of web access deployment allowing wider access to Court systems. The new system will secure Court data by providing another layer of security and lowering costs due to reduced support resulting from lower end user system requirements and a simplified architecture. 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 Court 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
- Provide and better enable management, flexibility and improvement of Court operations
- Effectively schedule and coordinate the use of Judiciary
- Enable better-informed decision making

Access to Justice

- Improve support to litigants
- Reduce barriers to access (language, education etc.)
- Enable easy access from any location at any time

Ensuring a Strong Infrastructure

- Increase information sharing within the Court system and justice partners
- Advance information technology interoperability with justice agency partners
- Enable more rapid dissemination of Court orders

In conclusion, this Integrated Web-Based Case Management System initiative will comprehensively enhance the capabilities of the existing aging legacy system with web-based accessibility and position the Court with access to current and future technologies in support of providing the fair administration of justice to the constituents of the District of Columbia.

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. N/A New Initiative

10. a) Contact information of Project Manager?

| | |
|--------------|---------------------|
| Name | <u>Yuan Burns</u> |
| Phone Number | <u>202-879-1102</u> |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

E-mail Yuan.Burns@dcsc.gov

b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name Anne Wicks
 Phone Number 202 879-1500
 E-mail Anne.Wicks@dcsc.gov

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. PMP Industry Certified
- (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. _____
- (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. _____
- (4) Project manager assigned but qualification status review has not yet started. _____
- (5) No project manager has yet been assigned to this investment. _____

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s) _____
- ii. System acronym _____
- iii. Unique Project Identifier (UPI) number _____
 - a) If this investment is a financial management system AND the investment is part of the **core financial system** then select the primary FFMIA compliance area that this investment addresses (choose only one):
 - 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; _____

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- 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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2014 – beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 0.00 | 00.0 | 0.00 | 10.00 | 2.60 | 0.80 | 1.60 | 12.60 |
| Planning & Acquisition Government FTE Costs | | | | | | | | |
| Subtotal Planning & Acquisition (DME): | 0.00 | 00.0 | 0.00 | 10.00 | 2.60 | 0.80 | 1.60 | 15.00 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Disposition Costs (optional) | | | | | | | | |
| Operations, Maintenance, Disposition Government FTE Costs | | | | | | | | |
| Subtotal O&M and Disposition Costs (SS) | | | | | | | | |
| TOTAL FTE Costs | | | | | | | | |
| TOTAL (not including FTE costs): | 0.00 | 0.00 | 0.00 | 10.00 | 2.60 | 0.80 | 1.60 | 15.00 |
| TOTAL (including FTE costs) | | | | | | | | |
| | | | | | | | | |
| Total number of FTE represented by Costs: | | | | | | | | |

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

- 2. Insert the number of years covered in the column —PY1 and earlier” 0 year
- 3. Insert the number of years covered in column —BY3 and beyond” 2 years (2019)
- 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.

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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 Acquisition (PBSA)? | Y/N Indicates whether the contract is a PBSA as defined by FAR 37.601 . A PBSA describes the requirements in terms of results rather than the methods of performance of the work. | Y | | |
| Effective Date | MM/DD/YYYY Actual or expected Start Date of Contract/Task Order, the date that the parties agree will be the starting date for the contract's requirements. | Quarter 1 FY2015 | | |
| Actual or expected end date of Contract/Task Order | MM/DD/YYYY | Quarter 4 FY2019 | | |

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| | | | | |
|-------------------------|--|---|--|--|
| 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

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 13514?

 Yes No

g) If an Acquisition Plan has not been developed, provide a brief explanation. New initiative based on funding availability.

| |
|--|
| 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

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service delivery to support this investment. This technology is currently being reviewed and assessed for feasibility in satisfying the security and privacy requirements of the D.C. Courts using private cloud and or federal cloud deployments.

3. Provide the date of the most recent or planned Quality Assurance Plan. 11/23/2012

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.

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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.

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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.

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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 I.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 2013
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 FY2015?
 (Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

| | |
|----------------------------|-------------|
| Planning | _____ |
| Full Acquisition | _____X_____ |
| Operations and Maintenance | _____ |
| Mixed Life Cycle | _____ |

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

The HVAC, electrical, and plumbing upgrade project will ensure that health and safety concerns for the public and the Courts’ personnel are addressed in all of the Courts’ buildings and will enable the Courts to make much needed heating, ventilation, air conditioning, mechanical, plumbing and electrical improvements. Analysis of the condition of the Courts’ HVAC, electrical and plumbing systems indicated that it was imperative that this ongoing project be continued to eliminate identified safety and health hazards and restore adequate lighting and ventilation in the Courts’ buildings. Frequent breakdowns of the aging systems negatively impact Court operations and employee productivity and morale. Recent funding has been directed to:

- Installation of stairwell pressurization system
- Fire protection sprinklers for approximately 85% of the H. Carl Moultrie Courthouse office space and non public circulation space.
- New electrical switchgear and emergency generators
- New Building Energy Management System for campus buildings.

Updating its inefficient, outdated infrastructure continues to be an important and ongoing project for the Courts. The D.C. Courts continue to address life safety and power distribution shortcomings identified in a Power Distribution Study in February 2007. In March 2013, the D.C. Courts Facilities Conditions Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected replacements were identified

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

and costs estimated for future funding requirements. HVAC, Electrical and Plumbing upgrades will require additional capital investment per the FCA Report.

The Courts' FY 2015 request includes the following HVAC, Electrical and Plumbing upgrades:

- Continue the replacement of power distribution systems and panel boards per the electrical distribution study.
- Create new electrical distribution rooms on each floor to meet current codes.
- Continue to upgrade the HVAC systems in the Moultrie Courthouse. Ductwork and VAV changes will be needed to properly distribute air within the Courthouse.
- Replace other equipment due to the failure of systems that are functioning beyond their useful lives.
- Continue the cycle of replacement for HVAC equipment, air handlers, chillers and cooling towers throughout the campus.
- Upgrade Moultrie Courthouse garage systems for energy efficiency.

HVAC, Electrical and Plumbing Upgrade activities will require coordination with activities included under the Renovation and Reorganization and Courtroom and Chambers budget lines. As the Courts continue to implement the Facilities Master Plan renovations the design and construction process will allow for extensive building system and life safety upgrades. Addressing program re-alignment and building infrastructure simultaneously will minimize operational impacts to the Courts.

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

9.

- a) Did the Agency's Executive/Investment Committee approve this request? Yes X No _____
b) Provide the date of the most recent or planned approved project charter. 1999

10. a) Contact information of Project Manager?

| | |
|--------------|-------------------------------|
| Name | <u>Joseph E. Sanchez</u> |
| Phone Number | <u>202-879-2801</u> |
| E-mail | <u>Joseph.Sanchez@dsc.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? (per FAC-P/PM)?

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. PMP Certified
- (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. _____
- (3) Project manager assigned to investment, but does not meet requirements according to FAC- _____

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- 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

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 7.96 | 7.15 | 5.43 | 11.46 | 4.51 | 5.84 | 9.69 | 31.50 |
| Planning & Acquisition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal Planning & Acquisition (DME): | 7.96 | 7.15 | 5.43 | 11.46 | 4.51 | 5.84 | 9.69 | 31.50 |
| 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): | 7.96 | 7.15 | 5.43 | 11.46 | 4.51 | 5.84 | 9.69 | 31.50 |
| TOTAL (including FTE costs) | 7.96 | 7.15 | 5.43 | 11.46 | 4.51 | 5.84 | 9.69 | 31.50 |
| | | | | | | | | |
| 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 —PY1 and earlier” 1 year (2012)
3. Insert the number of years covered in column —BY3 and beyond” 1 year (2018)
4. If the summary of funding has changed from the FY 2014 President’s Budget request, briefly explain those changes: No Change.

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

| Field | Contract 1 | Contract 2 | Contract 3 |
|--|--|--|--|
| Short description of acquisition | 2012-02 Moultrie Electrical and Mechanical Upgrade | 2014-01 Moultrie Courthouse Garage Systems Upgrade | 2014-01 Moultrie Courthouse Cooling Towers |
| Contract Status | Awarded | Pre-Solicitation, Pre-Award | Pre-Solicitation, Pre-Award |
| Procurement Instrument Identifier (PIID) | CBFMD-11-0809 | TBD | TBD |
| Indefinite Delivery Vehicle (IDV) Reference ID | NA | NA | NA |
| Solicitation ID | CBFMD-11-0809 | TBD | TBD |
| Alternative financing | No | No | No |
| EVM Required | YES, Courts' Standard | YES, Courts' Standard | YES, Courts' Standard |
| Ultimate Contract Value | \$ 24,968,000 | NA | 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 2 FY 2015 | Quarter 2 FY 2015 |
| Actual or expected end date of Contract/Task Order | Quarter 2 FY 2014 | Quarter 1 FY 2016 | 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 |

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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 |
| <i>Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.</i> |

Not Applicable.

| |
|---|
| Part III: Non-IT Capital Investments |
| <i>Part II should be completed only for Non- IT capital investment.</i> |

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? No
2. If an Alternatives Analysis was conducted, answer the following questions. _____
 a) What is the date of the analysis? _____
 b) How many alternatives were considered? _____
 c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
 d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. HVAC, Electrical and Plumbing Projects are required to maintain current capital assets and meet life safety and environmental standard.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No
2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
 - f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____
3. If a Risk Management Plan has not been developed, provide a brief explanation. Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

1. Performance Information Table

Enter the agency strategic goals supported by the investment and the corresponding performance measures in Table III.C.1. The performance goals must be clearly measurable and quantifiable.

| Table III.C.1: Performance Information Table | | | | |
|---|---|--|--|-----------------------|
| Fiscal Year | Strategic Goal(s) Supported | Performance Baseline | Performance Goals | Action Results |
| 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 Plan of the D.C. Courts | Goal 4, B1: Sound Infrastructure | Building is currently served by 35 year old switchgear, transformers, etc. | Upgrade emergency generators and distribution systems to meet codes and allow portions of the courthouse to remain functional. | In progress. |

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 | | \$ 16.85 |
| Earned Value (EV) | \$M | | \$ 16.55 |
| Actual Costs (AC) | \$M | | \$ 15.96 |
| Cost Variance (CV) | \$M | $CV = EV - AC$ | \$ 0.59 |
| Cost Variance (CV %) | % | $CV\% = CV / EV \times 100$ | 4% |
| Cost Performance Index (CPI) | Ratio | $CPI = EV / AC$ | 1.04 |
| Schedule Variance (SV) | \$M | $SV = EV - PV$ | - 0.30 |
| Schedule Variance (%) | % | $SV\% = SV / PV \times 100$ | - 2% |
| Schedule Performance Index | Ratio | $SPI = EV / PV$ | 0.98 |
| Estimate at Completion (EAC) | \$M | $EAC = BAC / CPI$ | \$ 25.88 |
| Variance at Completion (VAC) | \$M | $VAC = BAC - EAC$ | \$.96 |
| Variance at Completion (VAC %) | % | $VASC\% = VAC / BAC$ | 4% |
| Percent Complete | % | $\% \text{ Complete} = EV / BAC \times 100$ | 62% |
| Percent Spent | % | $\% \text{ Spent} = AC / BAC \times 100$ | 59% |
| Estimated Completion Date | Date | mm/dd/yy | Quarter 4 FY 2013 |

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 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 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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 2013
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 FY2015?
 (Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

| | |
|----------------------------|-------------|
| Planning | _____ |
| Full Acquisition | _____X_____ |
| Operations and Maintenance | _____ |
| Mixed Life Cycle | _____ |

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

The ongoing restroom improvement project will enhance ADA accessibility and rebuild the aging infrastructure of the Courts’ restroom facilities by making plumbing, electrical and design improvements. Approximately 15,000 persons use the multiple D.C. Courts’ buildings each day, placing heavy use on the restroom facilities, many of which now require rebuilding. This is a steady state project that began in November 1999. Past project funding was used to:

- Initiate the creation of new restrooms to increase number of fixtures to replace fixtures lost during ADA upgrades and bring total count up to code;
- Clean ductwork and repair or replace exhaust fan motors, fans, etc. to return exhaust systems to full operation.

In March 2013, the D.C. Courts Facilities Conditions Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected replacements were identified and costs estimated for future funding requirements. Restroom Improvements will require additional capital investment per the FCA Report. The FY 2015 funding request includes:

- Replacement of plumbing fixtures in Building A (515 5th Street), Building B (510 4th Street) and the Moultrie Courthouse.
- Complete the creation of new restrooms to increase number of fixtures to replace fixtures lost during ADA upgrades and bring total count up to code;

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Restroom Improvement activities will require coordination with activities included under the Renovation and Reorganization budget line. As the Courts continue to implement the Facilities Master Plan, the design and construction process will allow for extensive building system and life safety upgrades. Addressing program re-alignment and building infrastructure simultaneously will minimize operational impacts to the Courts.

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

9.

- a) Did the Agency’s Executive/Investment Committee approve this request? Yes X No
- b) Provide the date of the most recent or planned approved project charter. 1999

10. a) Contact information of Project Manager?

| | |
|--------------|----------------------------------|
| Name | <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? (per FAC-P/PM)?

- (1) Project manager has been validated according to FAC-P/PM 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

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 1.06 | 2.46 | 0.00 | 1.21 | 0.40 | 0.40 | 0.40 | 2.41 |
| Planning & Acquisition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal Planning & Acquisition (DME): | 1.06 | 2.46 | 0.00 | 1.21 | 0.40 | 0.40 | 0.40 | 2.41 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Disposition Costs (optional) | | | | | | | | |
| Operations, Maintenance, Disposition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal O&M and Disposition Costs (SS) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL FTE Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL (not including FTE costs): | 1.06 | 2.46 | 0.00 | 1.21 | 0.40 | 0.40 | 0.40 | 2.41 |
| TOTAL (including FTE costs) | 1.06 | 2.46 | 0.00 | 1.21 | 0.40 | 0.40 | 0.40 | 2.41 |
| | | | | | | | | |
| Total number of FTE represented by Costs: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column —PY1 and earlier” 1 year (2012)
3. Insert the number of years covered in column —BY3 and beyond” 1 year (2018)
4. If the summary of funding has changed from the FY 2014 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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

| Field | Contract 1 | Contract 2 | Contract 3 |
|--|----------------------------|---|-------------------------------|
| Short description of acquisition | 2010-01 New Restrooms | 2010-02 Exhaust System Repair/Replacement | 2014-01 Restroom Improvements |
| Contract Status | Pre-award Pre-Solicitation | Pre-award Pre-Solicitation | Pre-award Pre-Solicitation |
| Procurement Instrument Identifier (PIID) | TBD | TBD | TBD |
| Indefinite Delivery Vehicle (IDV) Reference ID | NA | NA | NA |
| Solicitation ID | TBD | TBD | TBD |
| Alternative financing | No | No | No |
| EVM Required | YES, Courts' Standard | YES, Courts' Standard | YES, Courts' Standard |
| Ultimate Contract Value | NA | NA | NA |
| Type of Contract/Task Order (Pricing) | Fixed | Fixed | Fixed |
| Is this contract a Performance Based Service Acquisition (PBSA)? | No | No | No |
| Effective Date | Quarter 3 FY 2014 | Quarter 4 FY 2015 | Quarter 2 FY 2015 |
| Actual or expected end date of Contract/Task Order | Quarter 2 FY 2016 | Quarter 2 FY 2016 | 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

Yes NA No

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

13514?

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

| |
|--|
| Part II: IT Capital Investments |
| <i>Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.</i> |

Not Applicable.

| |
|---|
| Part III: Non-IT Capital Investments |
| <i>Part II should be completed only for Non- IT capital investment.</i> |

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? 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 _____

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

- 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. |
| 2013-2017 Strategic Plan of the D.C. Courts | Goal 4C1: Sound Infrastructure & Safe Environment | 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 | $SPI = EV / PV$ | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | |
|--------------------------------|------|---|--|
| 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 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 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 2013
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 FY2015?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

| | |
|----------------------------|-------------|
| Planning | _____ |
| Full Acquisition | _____X_____ |
| Operations and Maintenance | _____ |
| Mixed Life Cycle | _____ |

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

The Fire and Security Alarm System project is the phased implementation of a comprehensive upgrade to security within Court buildings. In March 2013, the D.C. Courts Facilities Conditions Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected replacements were identified and costs estimated for future funding requirements. Fire and Security Alarm Systems will require additional capital investment per the FCA Report.

In FY 2015 the project will include the following:

- Upgrading the fire alarm system to monitor the valves and flow switches in the expanded sprinkler system.
- Installation of new duress and monitoring security equipment in new and upgraded courtrooms and chambers.

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

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

- o core financial system requirement according to FSIO standards;
- o Federal accounting standard;
- o U.S. Government Standard General Ledger at the Transaction Level;
- o this is a core financial system, but does not address a FFMIA compliance area;
- o Not a core financial system; does not need to comply with [FFMIA](#)

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Fire and Security Alarm Systems

| Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions) | | | | | | | | |
|---|------------------|---------|---------|---------|-----------|-----------|-----------------|-----------------------------------|
| | PY-1 and earlier | PY 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 3.69 | 1.29 | 1.36 | 4.90 | 2.80 | 4.08 | 2.00 | 13.78 |
| Planning & Acquisition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal Planning & Acquisition (DME): | 3.69 | 1.29 | 1.36 | 4.90 | 2.80 | 4.08 | 2.00 | 13.78 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Disposition Costs (optional) | | | | | | | | |
| Operations, Maintenance, Disposition Government | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | | | | | | |
|---|------|------|------|------|------|------|------|-------|
| FTE Costs | | | | | | | | |
| Subtotal O&M and Disposition Costs (SS) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL FTE Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL (not including FTE costs): | 3.69 | 1.29 | 1.36 | 4.90 | 2.80 | 4.08 | 2.00 | 13.78 |
| TOTAL (including FTE costs) | 3.69 | 1.29 | 1.36 | 4.90 | 2.80 | 4.08 | 2.00 | 13.78 |
| | | | | | | | | |
| 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 —PY1 and earlier” 1 year (2012)
3. Insert the number of years covered in column —BY3 and beyond” 1 year (2018)
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.

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 | Pre-award Pre-Solicitation | | |
| Procurement Instrument Identifier (PIID) | TBD | | |
| Indefinite Delivery Vehicle (IDV) Reference ID | NA | | |
| Solicitation ID | TBD | | |
| Alternative financing | No | | |
| EVM Required | YES, Courts’ Standard | | |
| Ultimate Contract Value | NA | | |
| Type of Contract/Task Order (Pricing) | Fixed | | |
| Is this contract a Performance Based Service Acquisition (PBSA)? | No | | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | |
|--|-------------------|--|--|
| Effective Date | Quarter 2 FY 2014 | | |
| Actual or expected end date of Contract/Task Order | Quarter 1 FY 2015 | | |
| Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order | D | | |

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

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

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

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

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

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

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

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

Yes X No

Yes X No

Yes X No

2011

Yes NA No

Yes NA No

| |
|--|
| Part II: IT Capital Investments |
| <i>Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.</i> |

Not Applicable.

| |
|---|
| Part III: Non-IT Capital Investments |
| <i>Part II should be completed only for Non- IT capital investment.</i> |

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?

No

2. If an Alternatives Analysis was conducted, answer the following questions.

a) What is the date of the analysis?

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

- 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 | In progress. |

Section D: Earned Value Management

| Table III.D.1:EVM Table | | | |
|--------------------------------|--------------|---|---------------|
| Performance Measure | Units | Formula | Status |
| Budget at Completion (BA) | \$M | | |
| Planned Value (PV) | \$M | | |
| Earned Value (EV) | \$M | | |
| Actual Costs (AC) | \$M | | |
| Cost Variance (CV) | \$M | $CV = EV - AC$ | |
| Cost Variance (CV %) | % | $CV\% = CV / EV \times 100$ | |
| Cost Performance Index (CPI) | Ratio | $CPI = EV / AC$ | |
| Schedule Variance (SV) | \$M | $SV = EV - PV$ | |
| Schedule Variance (%) | % | $SV\% = SV / PV \times 100$ | |
| Schedule Performance Index | Ratio | $SPI = EV / PV$ | |
| Estimate at Completion (EAC) | \$M | $EAC = BAC / CPI$ | |
| Variance at Completion (VAC) | \$M | $VAC = BAC - EAC$ | |
| Variance at Completion (VAC %) | % | $VASC\% = VAC / BAC$ | |
| Percent Complete | % | $\% \text{ Complete} = EV / BAC \times 100$ | |
| Percent Spent | % | $\% \text{ Spent} = AC / BAC \times 100$ | |
| Estimated Completion Date | Date | mm/dd/yy | |

1. Explanations

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 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.

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| 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 2013
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 FY2015?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

| | |
|----------------------------|-------------|
| Planning | _____ |
| Full Acquisition | _____X_____ |
| Operations and Maintenance | _____ |
| Mixed Life Cycle | _____ |

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

The General Repair Projects 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 Conditions Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected replacements were identified and costs estimated for future funding requirements. General Repairs will require additional capital investment per the FCA Report.

The General Repair Projects for FY 2015 will include both exterior and interior projects:

- Replacing fixtures, lighting, flooring, ceiling tiles and other capital investments in office areas in all Courts' Buildings.
- Replacing finishes court-wide as needed or at the end of their useful life.
- Replacing equipment, as required or due to emergency failure.
- Implementing the Courts' interior way finding and signage program.
- Investigating and resolving potential groundwater infiltration issues.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

- o core financial system requirement according to FSIO standards;
- o Federal accounting standard;
- o U.S. Government Standard General Ledger at the Transaction Level;
- o this is a core financial system, but does not address a FFMIA compliance area;
- o Not a core financial system; does not need to comply with FFMIA

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: General Repair Projects

| Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions) | | | | | | | | |
|---|-------------------------|----------------|----------------|----------------|------------------|------------------|------------------------|--|
| | PY-1 and earlier | PY 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 16.60 | 13.57 | 12.67 | 13.51 | 13.15 | 12.37 | 9.68 | 48.71 |
| Planning & Acquisition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal Planning & Acquisition (DME): | 16.60 | 13.57 | 12.67 | 13.51 | 13.15 | 12.37 | 9.68 | 48.71 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | | | | | | |
|---|-------|-------|-------|-------|-------|-------|------|-------|
| 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): | 16.60 | 13.57 | 12.67 | 13.51 | 13.15 | 12.37 | 9.68 | 48.71 |
| TOTAL (including FTE costs) | 16.60 | 13.57 | 12.67 | 13.51 | 13.15 | 12.37 | 9.68 | 48.71 |
| | | | | | | | | |
| 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 —PY1 and earlier” _____ 1 year (2012)
3. Insert the number of years covered in column —BY3 and beyond” _____ 1 year (2018)
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 | |
|--|-------------------------|----------------------------|--|
| Short description of acquisition | 2010-1 Roof Replacement | 2015-1 General Projects | |
| Contract Status | Awarded | Pre-award Pre-Solicitation | |
| Procurement Instrument Identifier (PIID) | CPFMD-11-0810 | TBD | |
| Indefinite Delivery Vehicle (IDV) Reference ID | NA | NA | |
| Solicitation ID | CPFMD-11-0810 | TBD | |
| Alternative financing | NA | NA | |
| EVM Required | YES, Courts’ Standard | YES, Courts’ Standard | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | |
|---|-------------------|-------------------|--|
| Ultimate Contract Value | \$ 5,612,500 | NA | |
| Type of Contract/Task Order (Pricing) | Fixed | Fixed | |
| Is this contract a Performance Based Service Acquisition (PBSA)? | No | No | |
| Effective Date | Quarter 4 FY 2011 | Quarter 1 FY 2015 | |
| Actual or expected end date of Contract/Task Order | Quarter 2 FY 2013 | 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 | 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 II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?

No

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 | Goal 5.1: The D.C. Courts will provide a safe & secure environment for the administration of | The D.C. Courts inventory includes 645,000 OSF of space. All Court buildings are | To maintain safe and functional facilities. | N/A |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | | |
|--|--|---|--|--|
| | justice and ensure continuity of operations in the event of emergency or disaster. | continually used and require ongoing capital refurbishment. | | |
|--|--|---|--|--|

Section D: Earned Value Management – Moultrie Courthouse Roof Replacement

| Table III.D.1:EVM Table | | | |
|--------------------------------|-------|-----------------------------|-------------------|
| Performance Measure | Units | Formula | Status |
| Budget at Completion (BA) | \$M | | \$ 6.00 |
| Planned Value (PV) | \$M | | \$ 6.00 |
| Earned Value (EV) | \$M | | \$ 6.00 |
| Actual Costs (AC) | \$M | | \$ 5.50 |
| Cost Variance (CV) | \$M | CV= EV-AC | 0.50 |
| Cost Variance (CV %) | % | CV% = CV/EV x 100 | 8% |
| Cost Performance Index (CPI) | Ratio | CPI = EV / AC | 1.09 |
| Schedule Variance (SV) | \$M | SV = EV – PV | \$ 0.00 |
| Schedule Variance (%) | % | SV% = SV / PV x 100 | 0% |
| Schedule Performance Index | Ratio | SPI = EV / PV | 1.0 |
| Estimate at Completion (EAC) | \$M | EAC = BAC / CPI | \$ 5.50 |
| Variance at Completion (VAC) | \$M | VAC = BAC – EAC | \$ 0.50 |
| Variance at Completion (VAC %) | % | VAC% = VAC / BAC | 8% |
| Percent Complete | % | % Complete = EV / BAC x 100 | 100% |
| Percent Spent | % | % Spent = AC / BAC x 100 | 92% |
| Estimated Completion Date | Date | mm/dd/yy | Quarter 2 FY 2013 |

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 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 March 2013
 - b)Briefly summarize the results of the The report confirmed that the ongoing attention to

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

- analysis
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation

our infrastructure has proven beneficial.

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

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 2013
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 FY2015?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

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

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

The Elevator and Escalator Repairs and Replacement Project has rebuilt the majority of nearly all the 35-year-old escalator equipment in the Moultrie Courthouse and much of the aging elevator equipment in all D.C. Courts' buildings, including peripheral equipment and controls in Buildings A and B. In the Moultrie Courthouse, there are public elevators and escalators, secure elevators for judges, freight elevators and prisoner elevators. The Moultrie Courthouse accommodates 10,000 daily visitors and the largest prisoner control facility in the nation for the U.S. Marshals Service. This multi-year project began in December 1999 and has greatly improved the vertical circulation for the public by reducing the downtime for repair and maintenance. Funds maintain the value of this investment as necessary.

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 Conditions Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected replacements were identified and costs estimated for future funding requirements. Elevators and Escalators will require additional capital investment per these reports.

- b) Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports. For each link, provide a title of the content found at that link.
9. a) Did the Agency's Executive/Investment Committee approve this request? Yes X No
b) Provide the date of the most recent or planned approved project charter. 1999

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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? (per FAC-P/PM)?

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. PMP Certified
- (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. _____
- (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. _____
- (4) Project manager assigned but qualification status review has not yet started. _____
- (5) No project manager has yet been assigned to this investment. _____

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s) _____
- ii. System acronym _____
- iii. Unique Project Identifier (UPI) number _____
 - a) If this investment is a financial management system AND the investment is part of the **core financial system** then select the primary FFMIA compliance area that this investment addresses (choose only one):
 - o computer system security requirement; _____
 - o internal control system requirement; _____
 - o core financial system requirement according to FSIO standards; _____
 - o Federal accounting standard; _____
 - o U.S. Government Standard General Ledger at _____

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

- the Transaction Level;
- o this is a core financial system, but does not address a FFMIA compliance area;
- o Not a core financial system; does not need to comply with [FFMIA](#)

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Elevator and Escalator Repairs and Replacement

| Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions) | | | | | | | | |
|--|------------------|---------|---------|---------|-----------|-----------|-----------------|-----------------------------------|
| | PY-1 and earlier | PY 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 2.12 | 0.49 | 0.00 | 0.25 | 0.26 | 0.27 | 0.27 | 1.05 |
| Planning & Acquisition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal Planning & Acquisition (DME): | 2.12 | 0.49 | 0.00 | 0.25 | 0.26 | 0.27 | 0.27 | 1.05 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Disposition Costs (optional) | | | | | | | | |
| Operations, Maintenance, Disposition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal O&M and | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | | | | | | |
|---|------|------|------|------|------|------|------|------|
| Disposition Costs (SS) | | | | | | | | |
| TOTAL FTE Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL (not including FTE costs): | 2.12 | 0.49 | 0.00 | 0.25 | 0.26 | 0.27 | 0.27 | 1.05 |
| TOTAL (including FTE costs) | 2.12 | 0.49 | 0.00 | 0.25 | 0.26 | 0.27 | 0.27 | 1.05 |
| | | | | | | | | |
| Total number of FTE represented by Costs: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column —P¥1 and earlier” 1 year (2012)
3. Insert the number of years covered in column —B¥3 and beyond” 1 year (2018)
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 | | |
| Short description of acquisition | 2013-1Elevator / Escalator Refurbishment (Freight) | | |
| Contract Status | Awarded | | |
| Procurement Instrument Identifier (PIID) | CO-D011868 | | |
| Indefinite Delivery Vehicle (IDV) Reference ID | N/A | | |
| Solicitation ID | CPFMD-12-0821 | | |
| Alternative financing | | | |
| EVM Required | Y | | |
| Ultimate Contract Value | 400,910.57 | | |
| Type of Contract/Task Order (Pricing) | Fixed Price | | |
| Is this contract a Performance Based Service Acquisition | Y | | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | |
|---|----------------------|--|--|
| (PBSA)? | | | |
| Effective Date | Quarter 4 FY 2010 | | |
| Actual or expected end date of Contract/Task Order | 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 | 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 II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?

No

2. If an Alternatives Analysis was conducted, answer the

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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)?
- 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.

No

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

| Table III.D.1:EVM Table | | | |
|--------------------------------|--------------|---|---------------|
| Performance Measure | Units | Formula | Status |
| Budget at Completion (BA) | \$M | | |
| Planned Value (PV) | \$M | | |
| Earned Value (EV) | \$M | | |
| Actual Costs (AC) | \$M | | |
| Cost Variance (CV) | \$M | $CV = EV - AC$ | |
| Cost Variance (CV %) | % | $CV\% = CV / EV \times 100$ | |
| Cost Performance Index (CPI) | Ratio | $CPI = EV / AC$ | |
| Schedule Variance (SV) | \$M | $SV = EV - PV$ | |
| Schedule Variance (%) | % | $SV\% = SV / PV \times 100$ | |
| Schedule Performance Index | Ratio | $SPI = EV / PV$ | |
| Estimate at Completion (EAC) | \$M | $EAC = BAC / CPI$ | |
| Variance at Completion (VAC) | \$M | $VAC = BAC - EAC$ | |
| Variance at Completion (VAC %) | % | $VASC\% = VAC / BAC$ | |
| Percent Complete | % | $\% \text{ Complete} = EV / BAC \times 100$ | |
| Percent Spent | % | $\% \text{ Spent} = AC / BAC \times 100$ | |
| Estimated Completion Date | Date | mm/dd/yy | |

1. Explanations

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 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 | 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. | |

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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 2013
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 FY2015?
 (Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 2010
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Information Technology (IT) Technology Infrastructure Modernization initiative is a multi-year effort to modernize IT infrastructure and align routine replacement of equipment with a replenishment schedule that promotes cost effectiveness and cost predictability and is consistent with industry best practice. This initiative covers shared IT infrastructure and equipment dedicated to operate the D.C. Courts.

This ongoing initiative will improve the technical quality of the D.C. Courts' integrated case management system and its most critical information asset. D.C. Courts successfully completed the integrated case management system implementation in 2006. This project standardized the Family Court, Civil Division, Criminal Division and other Superior Court components on a single integrated system. Typically, organizations that migrate to an integrated information system on the scale of the Courts' case management system make significant investment in consolidating IT infrastructure, automating IT management tasks, and improving their information security risk posture.

The Disaster Recovery (DR) Technology Modernization project, the major Technology Infrastructure project for FY 2014, is a multi-year effort to simultaneously improve Information Technology Disaster Recovery capability and establish an equipment refresh cycle that promotes cost effectiveness, cost predictability, and is consistent with industry best practice. This initiative covers equipment and capabilities dedicated to operate the D.C. Courts in the event of a disaster or major facility/equipment failure.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Part of the overall D.C. Courts Continuity of Operations Plan (COOP) plan, this initiative will improve the service availability, reliability, and security of the integrated case management system and other mission-critical information systems. To support the DR Technology Modernization initiative, investment is required to:

- Provide off-site, disk-to-disk backup and restoration services for all D.C. Courts business and support applications and services in the event of hardware/software failures and/or operational errors.
- Provide off-site DR and COOP services to all D.C. Courts business and support applications in the event of a major or a localized disaster in the immediate D.C. Courts area on the Judiciary Square campus.
- Facilitate and house immediate and complete restoration of critical IT applications at a remote site in the event that D.C. Courts declares a disaster.

The D.C. Courts’ disaster recovery infrastructure has not been upgraded since 2008. However, since 2008, the Courts has improved its service offering to the public by using applications to automate business processes, furnishing electronic means of service delivery in certain business areas, digitizing case-related files, etc. As a result of this improvement a corresponding need to sufficiently backup and secure the systems that enable and support the current and new service offerings is critical. This initiative will address these deficiencies.

This investment will reduce costs and improve efficient operations in four ways. First, it will improve efficiency and lower indirect costs by reducing the impact of unreliable performance and unplanned outages negatively affecting the productivity of the D.C. Courts’ operations. Second, it will increase the efficiency of IT personnel responsible for supporting the Courts’ case management and other mission-critical information systems. Third, standardizing replacement cycles for equipment will reduce component failure rates and the impact of high failure rates on employee productivity and cost predictability. Finally, investing in this initiative will mitigate the risk of a disaster rendering the Courts’ critical systems non-operational for an extended and unacceptable period of time.

Disaster Recovery upgrades and the other Technology Infrastructure activities require coordination with activities included under the Facilities Master Plan. As the Courts continue to implement Facilities Master Plan renovations, the design and construction process will allow for extensive building system upgrades. Addressing program re-alignment and technology upgrades simultaneously will minimize operational impacts to the Courts.

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

9.

- a) Did the Agency’s Executive/Investment Committee approve this request? Yes X No
b) Provide the date of the most recent or planned approved project charter. 2010

10. a) Contact information of Project Manager?

| | |
|--------------|------------------------------|
| Name | <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)

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Name _____
 Phone Number _____
 E-mail _____

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. PMP Industry Certified

- (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.

- (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.

- (4) Project manager assigned but qualification status review has not yet started.

- (5) No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s) _____
- ii. System acronym _____
- iii. Unique Project Identifier (UPI) number _____
 - a) If this investment is a financial management system AND the investment is part of the **core financial system** then select the primary FFMIA compliance area that this investment addresses (choose only one):
 - o computer system security requirement; _____
 - o internal control system requirement; _____
 - o core financial system requirement according to FSIO standards; _____
 - o Federal accounting standard; _____
 - o U.S. Government Standard General Ledger at the Transaction Level; _____
 - o this is a core financial system, but does not address a FFMIA compliance area; _____
 - o Not a core financial system; does not need to comply with **FFMIA** _____

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Investment: Technology Infrastructure

| Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions) | | | | | | | | |
|---|---------------------------------|--------------------|--------------------|--------------------|----------------------|----------------------|----------------------------|--|
| | PY-1 and earlier | PY 2012 | CY 2013 | BY 2014 | BY+1 2015 | BY+2 2016 | BY+3 and beyond | Total unfunded (sum 2014 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 3.60 | 2.60 | 1.50 | 4.00 | 3.00 | 3.00 | 3.00 | 13.00 |
| Planning & Acquisition Government FTE Costs | | | | | | | | |
| Subtotal Planning & Acquisition (DME): | 3.60 | 2.60 | 1.50 | 4.00 | 3.00 | 3.00 | 3.00 | 13.00 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Disposition Costs (optional) | | | | | | | | |
| Operations, Maintenance, Disposition Government FTE Costs | | | | | | | | |
| Subtotal O&M and Disposition Costs (SS) | | | | | | | | |
| TOTAL FTE Costs | | | | | | | | |
| TOTAL (not including FTE costs): | 3.60 | 2.60 | 1.50 | 4.00 | 3.00 | 3.00 | 3.00 | 13.00 |
| TOTAL (including FTE costs) | | | | | | | | |
| | | | | | | | | |
| Total number of FTE represented by Costs: | | | | | | | | |

Note 1: The two sub-total rows and total row will be calculated – not for data entry. 2.

- 2. Insert the number of years covered in the column —PY1 and earlier” 1 year (2011)
- 3. Insert the number of years covered in column —BY3 and beyond” 4 years (2018)
- 4. If the summary of funding has changed from the FY 2012 President’s Budget request, briefly explain those changes: NA

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

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

| Table I.C.1 Contracts Table | | | | |
|---|---|--|-------------------|-------------------|
| Field | Data Description | Contract 1 | Contract 2 | Contract 3 |
| Short description of acquisition | See www.usaspending.gov/learn?tab=FAQ#2 | Disaster Recovery Infrastructure Upgrade Project | | |
| Contract Status | (1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation | Pre-award Pre-solicitation | | |
| Procurement Instrument Identifier (PIID) | See www.usaspending.gov/learn?tab=FAQ#2 | TBD | | |
| Indefinite Delivery Vehicle (IDV) Reference ID | Required only for IDVs. See www.usaspending.gov/learn?tab=FAQ#2 | N/A | | |
| Solicitation ID | See www.fbo.gov | TBD | | |
| Alternative financing | (ESPC, UESC, EUL or N/A) | No | | |
| EVM Required | Y/N | Y | | |
| Ultimate Contract Value | Total Value of Contract including base and all options. Complete using dollars to two decimal places. | N/A | | |
| Type of Contract/Task Order (Pricing) | See FAR Part 16 . Can be fixed price, cost, cost plus, incentive, IDV, time and materials, etc | Fixed Price | | |
| Is this contract a Performance Based Service Acquisition (PBSA)? | Y/N Indicates whether the contract is a PBSA as defined by FAR 37.601 . A PBSA describes the requirements in terms of results rather than the methods of performance of the work. | Y | | |
| Effective Date | MM/DD/YYYY Actual or expected Start Date of Contract/Task Order, the date that the parties agree will be the starting date for the contract's requirements. | Quarter 1 FY2014 | | |
| Actual or expected end date of Contract/Task Order | MM/DD/YYYY | Quarter 1 FY2015 | | |

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

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

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

 Yes X No

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

 Yes X No

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

 Yes X No

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

 2003

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

 Yes NA No

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

 Yes NA No

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

| |
|--|
| Part II: IT Capital Investments |
| <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

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

service delivery to support this investment. This technology is currently being reviewed and assessed for feasibility in satisfying the security and privacy requirements of the D.C. Courts using private cloud and or federal cloud deployments.

3. Provide the date of the most recent or planned Quality Assurance Plan. 11/23/2010

4. a) Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment. (comma delimited)

b) If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s). (comma delimited)

5) An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 12/01/2011

6) Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 05/01/2011

Section B: Cost and Schedule Performance

Agencies should be measuring the performance of assets against the baseline established during the planning or full acquisition phase, or, where approved, the current baseline, and be properly operating and maintaining the asset to maximize its useful life.

Agencies should represent the same timeframe and costs in the —Cost and Schedule table” as indicated in the —Summary of Funding” table. Activities planned beyond the budget year are expected to be less well defined and should be updated once the baseline is approved to a greater level of detail, typically via an Integrated Baseline Review.

Complete the following table on activities used to measure cost and schedule performance, representing only one level of the investment’s Work Breakdown Structure. The activities represented in the table should be a natural derivative of the schedule maintained in the agency performance management system. Activity descriptions should follow a format including a description of the work performed and the product achieved. This should generally show Level 3 of the Work Breakdown Structure. Agencies should avoid reporting activities at a level where they span more than one fiscal year. Key activities should be apparent including planning, development iterations, deployment and decommission. For Operations and Maintenance work, provide activities used to track cost and schedule performance in the same format used for development activities in this same table. The percentages complete should relate to the value of the work planned and actually completed.

NOTE: The exhibit 300 schema includes an optional Work Breakdown Structure (WBS) field that is not depicted in the table below.

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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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| 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 I.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

Section A: Overview (All Capital Assets)

1. Date of Submission: September 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment: **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 FY2015?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 1997
8. Provide a brief summary and justification for this investment, 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 Conditions Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts 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.
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

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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? (per FAC-P/PM)?

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. PMP Certified
- (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. _____
- (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. _____
- (4) Project manager assigned but qualification status review has not yet started. _____
- (5) No project manager has yet been assigned to this investment. _____

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s) _____
- ii. System acronym _____
- iii. Unique Project Identifier (UPI) number _____
 - a) If this investment is a financial management system AND the investment is part of the **core financial system** then select the primary FFMIA compliance area that this investment addresses (choose only one):
 - computer system security requirement; _____
 - internal control system requirement; _____
 - core financial system requirement according to FSIO standards; _____
 - Federal accounting standard; _____
 - U.S. Government Standard General Ledger at the Transaction Level; _____
 - this is a core financial system, but does not address a FFMIA compliance area; _____
 - Not a core financial system; does not _____

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

need to comply with [FFMIA](#)

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: 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 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 0.00 | 0.00 | 0.0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Planning & Acquisition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal Planning & Acquisition (DME): | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.50 | 2.00 | 1.00 | 1.00 | 1.00 | 5.00 |
| 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 | 0.50 | 2.00 | 1.00 | 1.00 | 1.00 | 5.00 |
| 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 | 0.50 | 2.00 | 1.00 | 1.00 | 1.00 | 5.00 |
| TOTAL (including FTE costs) | 0.00 | 0.00 | 0.50 | 2.00 | 1.00 | 1.00 | 1.00 | 5.00 |
| | | | | | | | | |
| Total number of FTE represented by Costs: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 —PY1 and earlier” | 1 year (2012) |
| 3. Insert the number of years covered in column —BY3 and beyond” | 1 year (2018) |
| 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 Report. |

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

- Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Contracts and/or task orders completed do not need to be listed. Total Value should include all option years for each contract. All dates, dollar values and other information should be best available estimates for contracts not yet awarded. Data definitions can be found at www.usaspending.gov/learn?tab=FAQ#2.

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

| Field | Contract 1 | Contract 2 | Contract 3 |
|---|------------|------------|------------|
| Short description of acquisition | | | |
| Contract Status | | | |
| Procurement Instrument Identifier (PIID) | | | |
| Indefinite Delivery Vehicle (IDV) Reference ID | | | |
| Solicitation ID | | | |
| Alternative financing | | | |
| EVM Required | | | |
| Ultimate Contract Value | | | |
| Type of Contract/Task Order (Pricing) | | | |
| Is this contract a Performance Based Service Acquisition (PBSA)? | | | |
| Effective Date | | | |
| Actual or expected end date of Contract/Task Order | | | |
| Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed | | | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | |
|---|--|--|--|
| 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 |
| <hr/> | | |
 - b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1

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

| | | |
|-------|-----|----|
| | Yes | No |
| <hr/> | | |
 - d) If "yes," enter the date of approval? _____
 - e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan?

| | | |
|-------|-----|----|
| | Yes | No |
| <hr/> | | |
 - f) Does the acquisition plan meet the requirements of EOs 13423 and 13514?

| | | |
|-------|-----|----|
| | Yes | No |
| <hr/> | | |
 - g) If an Acquisition Plan has not been developed, provide a brief explanation. _____

| |
|---|
| Part II: IT Capital Investments |
| Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations. |

Not Applicable.

| |
|--|
| Part III: Non-IT Capital Investments |
| Part II should be completed only for Non- IT capital investment. |

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? _____
2. If an Alternatives Analysis was conducted, answer the following questions.
 - a) What is the date of the analysis? _____
 - b) How many alternatives were considered? _____
 - c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
 - d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. _____

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 (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 | $SV = EV - PV$ | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | |
|-------------------------------|-------|---|--|
| 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 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 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 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment: **Building A Modernization (515 5th Street)**
5. Unique Project (Investment) Identifier: (For IT investment only, see section [53.9](#). For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY2015?
 (Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

| | |
|----------------------------|-------------|
| Planning | _____ |
| Full Acquisition | _____X_____ |
| Operations and Maintenance | _____X_____ |
| Mixed Life Cycle | _____ |

7. What was the first budget year this investment was submitted to OMB? 2003
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

This project is fully coordinated with the long-range recommendations of the D.C. Courts Facilities Master Plan and the Judiciary Square Master Plan. The Building A interior renovation, which was necessary to clear space in the Moultrie Courthouse for the Family Court, was complete and occupied in July 2007 on time and within budget. The Building A exterior renovation including masonry restoration, masonry cleaning, refurbishment of the existing windows to improve energy efficiency, replacement of all doors and entry modifications to provide ADA accessibility, improved lighting and upgrade of the security perimeter and lead abatement was completed in 2010.

Due to lack of funding in FY 2014, Building A (515 5th Street) projects were deferred. In FY 2016, following the 2012 relocation of Multi-Door Dispute Resolution Division to 410 E Street (Building C), space in Building A will be configured to accommodate expansion of the Probate Division and the Crime Victims Compensation Program and relocation of the Office of the Auditor Master from leased space.

In March 2013, the D.C. Courts Facilities Conditions Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected Operations and Maintenance replacements were identified and costs estimated for future funding requirements.

- 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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

9.

- a) Did the Agency’s Executive/Investment Committee approve this request? Yes X No
b) Provide the date of the most recent or planned approved project charter. 2003

10. a) Contact information of Project Manager?

Name Joseph E. Sanchez
Phone Number 202-879-2801
E-mail Joseph.Sanchez@dcsc.gov

b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name
Phone Number
E-mail

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. PMP Certified
- (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- (4) Project manager assigned but qualification status review has not yet started.
- (5) No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)

ii. System acronym

iii. Unique Project Identifier (UPI) number

a) If this investment is a financial management system AND the investment is part of the **core financial system** then select the primary FFMIA compliance area that this investment addresses (choose only one):

- 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;

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

- 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: Building A Modernization

| Table 1.B.1: Summary of Funding | | | | | | | | |
|---|-------------------------|----------------|----------------|----------------|------------------|------------------|------------------------|--|
| (In millions of dollars) | | | | | | | | |
| (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions) | | | | | | | | |
| | PY-1 and earlier | PY 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -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 | 1.13 | .85 | 0.00 | 1.98 |
| 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 | 1.13 | .85 | 0.00 | 1.98 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.00 | 0.13 | 0.26 | 1.21 | 8.08 | 9.68 |
| 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 | 0.13 | 0.26 | 1.21 | 8.08 | 9.68 |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | | | | | | |
|---|------|------|------|------|------|------|------|-------|
| TOTAL FTE Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL (not including FTE costs): | 0.00 | 0.00 | 0.00 | 0.13 | 1.39 | 2.06 | 8.08 | 11.66 |
| TOTAL (including FTE costs) | 0.00 | 0.00 | 0.00 | 0.13 | 1.39 | 2.06 | 8.08 | 11.66 |
| | | | | | | | | |
| 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 —PY1 and earlier” 8 years (2005)
3. Insert the number of years covered in column —BY3 and beyond” 4 years (2021)
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.

| Table I.C.1 Contracts Table | | | |
|--|-----------------------------------|------------|------------|
| Field | Contract 1 | Contract 2 | Contract 3 |
| Short description of acquisition | 2011-01 Building A Reorganization | | |
| Contract Status | Pre-award Pre-Solicitation | | |
| Procurement Instrument Identifier (PIID) | TBD | | |
| Indefinite Delivery Vehicle (IDV) Reference ID | NA | | |
| Solicitation ID | TBD | | |
| Alternative financing | NA | | |
| EVM Required | YES, Courts’ Standard | | |
| Ultimate Contract Value | NA | | |
| Type of Contract/Task Order (Pricing) | Fixed | | |
| Is this contract a Performance Based Service Acquisition (PBSA)? | No | | |
| Effective Date | Quarter 2 FY 2014 | | |
| Actual or expected end date of | Quarter 2 FY 2015 | | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | |
|--|---|--|--|
| 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 | 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 |
| <i>Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.</i> |

Not Applicable.

| |
|---|
| Part III: Non-IT Capital Investments |
| <i>Part II should be completed only for Non- IT capital investment.</i> |

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? Yes
2. If an Alternatives Analysis was conducted, answer the following questions.
- a) What is the date of the analysis? _____
- b) How many alternatives were considered? Two
- c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? Yes

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

d) Briefly summarize the rationale for the selected alternative.

Building A re-organization was selected to align with the ongoing Master Plan implementation.

3. If an Alternatives Analysis was not conducted, provide a brief explanation.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)?

No

2. If a Risk Management Plan has been developed, answer the following questions.

- a) What is the date of the plan?
- b) Does the plan include a list of risks (yes/no)
- c) Does the plan include the probability of occurrence for each risk (yes/no)?
- d) Does the plan include the impact of each risk (yes/no)?
- e) Does the plan include a mitigation strategy for each risk (yes/no)?
- f) Does the plan include activity managing risk throughout the lifecycle (yes/no)?

3. If a Risk Management Plan has not been developed, provide a brief explanation.

Management of investment risk is initiated upon obligation of individual project funding.

Section C: Performance Information

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 | Probate Division, Crime Victims Compensation and Bar Counsel are undersized for their program requirements. | Probate Division, Crime Victims Compensation and Bar Counsel to be re-organized and expanded. | N/A |
| 2013-2017 Strategic Plan of the D.C. Courts | Goal 4, B1: Sound Infrastructure | The Office of the Auditor Master is currently in leased space. | The Office of the Auditor Master will be relocated into Building A from leased space. | N/A |

Section D: Earned Value Management

| Table III.D.1:EVM Table | | | |
|--------------------------------|-------|---|--------|
| Performance Measure | Units | Formula | Status |
| Budget at Completion (BA) | \$M | | |
| Planned Value (PV) | \$M | | |
| Earned Value (EV) | \$M | | |
| Actual Costs (AC) | \$M | | |
| Cost Variance (CV) | \$M | $CV = EV - AC$ | |
| Cost Variance (CV %) | % | $CV\% = CV / EV \times 100$ | |
| Cost Performance Index (CPI) | Ratio | $CPI = EV / AC$ | |
| Schedule Variance (SV) | \$M | $SV = EV - PV$ | |
| Schedule Variance (%) | % | $SV\% = SV / PV \times 100$ | |
| Schedule Performance Index | Ratio | $SPI = EV / PV$ | |
| Estimate at Completion (EAC) | \$M | $EAC = BAC / CPI$ | |
| Variance at Completion (VAC) | \$M | $VAC = BAC - EAC$ | |
| Variance at Completion (VAC %) | % | $VASC\% = VAC / BAC$ | |
| 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 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 b)Briefly summarize the results of the analysis | March 2013 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. | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment: **Building B Modernization (510 4th Street)**
5. Unique Project (Investment) Identifier: (For IT investment only, see section [53.9](#). For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY2015?
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

| | |
|----------------------------|-------------|
| Planning | _____ |
| Full Acquisition | _____X_____ |
| Operations and Maintenance | _____X_____ |
| Mixed Life Cycle | _____ |

7. What was the first budget year this investment was submitted to OMB? 2007
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

Operations and Maintenance funding is requested for FY2015. In March 2013, the D.C. Courts Facilities Conditions Assessment (FCA) was completed and provided the Courts with a detailed life cycle analysis and replacement values for all Courts facility assets. Projected Operations and Maintenance replacements were identified and costs estimated for future funding requirements. The Building B asset was renovated in 2005 and will require additional capital investment per the FCA Report.

The Building B Modernization Project is a long-term project that includes three phases of work. Phases I and II are complete.

Due to lack of funding in prior years, Building B (510 4th Street) projects were deferred. FY 2016 funding will be directed to a transitional project allowing the Civil Division to efficiently meet program requirements and serve self-represented litigants.

Phase III scheduled to commence in 2017 will address final occupancy fit out and relocation of Budget and Finance, Administrative Services Division, Capital Projects and Facilities Management from leased swing space. These renovations respond to the Family Court Act of 2001, and are fully coordinated with the long-range recommendations of the D.C. Courts' Facilities Master Plan and the Moultrie Courthouse Addition.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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

9.

- a) Did the Agency's Executive/Investment Committee approve this request? Yes X No
b) Provide the date of the most recent or planned approved project charter. 2006

10. a) Contact information of Project Manager?

Name Joseph E. Sanchez
Phone Number 202-879-2801
E-mail Joseph.Sanchez@dcsc.gov

b) Business Function Owner Name (i.e. Executive Agent or Investment Owner)

Name _____
Phone Number _____
E-mail _____

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. PMP Certified
- (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. _____
- (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. _____
- (4) Project manager assigned but qualification status review has not yet started. _____
- (5) No project manager has yet been assigned to this investment. _____

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s) _____
- ii. System acronym _____
- iii. Unique Project Identifier (UPI) number _____
- a) If this investment is a financial management system AND the investment is part of the **core financial system** then select the primary FFMIA compliance area that this investment addresses (choose only one):
- computer system security requirement; _____
 - internal control system requirement; _____
 - core financial system requirement _____

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

- 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: Building B Modernization

| Table 1.B.1: Summary of Funding | | | | | | | | |
|--|-------------------------|----------------|----------------|----------------|------------------|------------------|------------------------|--|
| (In millions of dollars) | | | | | | | | |
| (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions) | | | | | | | | |
| | PY-1 and earlier | PY 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -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 | 1.29 | 0.18 | 8.72 | 10.19 |
| 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 | 1.29 | 0.18 | 8.72 | 10.19 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.00 | 1.72 | 0.02 | 1.63 | 7.63 | 11.00 |
| Disposition Costs (optional) | | | | | | | | |
| Operations, Maintenance, | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | | | | | | |
|---|------|------|------|------|------|------|-------|-------|
| Disposition Government FTE Costs | | | | | | | | |
| Subtotal O&M and Disposition Costs (SS) | 0.00 | 0.00 | 0.00 | 1.72 | 0.02 | 1.63 | 7.63 | 11.00 |
| 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 | 1.72 | 1.31 | 1.81 | 16.35 | 21.19 |
| TOTAL (including FTE costs) | 0.00 | 0.00 | 0.00 | 1.72 | 1.31 | 1.81 | 16.35 | 21.19 |
| | | | | | | | | |
| 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 —PY1 and earlier” 10 years (2003)
3. Insert the number of years covered in column —BY3 and beyond” 4 years (2021)
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 | 2011-1 Building B Phase III | 2013-1 Transitional Phase – Pro Se & Civil Division | |
| Contract Status | 3) Pre-award Pre-solicitation | (3) Pre-award Pre-solicitation | |
| Procurement Instrument Identifier (PIID) | TBD | TBD | |
| Indefinite Delivery Vehicle (IDV) Reference ID | NA | NA | |
| Solicitation ID | | | |
| Alternative financing | No | No | |
| EVM Required | YES, Courts’ Standard | YES, Courts’ Standard | |
| Ultimate Contract Value | NA | NA | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | |
|---|--------------------|--------------------|--|
| Type of Contract/Task Order (Pricing) | Fixed | Fixed | |
| Is this contract a Performance Based Service Acquisition (PBSA)? | No | No | |
| Effective Date | Quarter 1, FY 2017 | Quarter 2, FY 2015 | |
| Actual or expected end date of Contract/Task Order | Quarter 4, FY 2018 | Quarter 1, FY 2016 | |
| 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 | 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 |
| Yes | X | No |
| Yes | X | No |
| 2011 | | |
| Yes | NA | No |
| Yes | NA | No |

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

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

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

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

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

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

| |
|--|
| Part II: IT Capital Investments |
| <i>Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.</i> |

Not Applicable.

| |
|---|
| Part III: Non-IT Capital Investments |
| <i>Part II should be completed only for Non- IT capital investment.</i> |

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)?

Yes, D.C. Courts Master Plan for Facilities

2. If an Alternatives Analysis was conducted,

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 (BA) | \$M | | |
| Planned Value (PV) | \$M | | |
| Earned Value (EV) | \$M | | |
| Actual Costs (AC) | \$M | | |
| Cost Variance (CV) | \$M | $CV = EV - AC$ | |
| Cost Variance (CV %) | % | $CV\% = CV / EV \times 100$ | |
| Cost Performance Index (CPI) | Ratio | $CPI = EV / AC$ | |
| Schedule Variance (SV) | \$M | $SV = EV - PV$ | |
| Schedule Variance (%) | % | $SV\% = SV / PV \times 100$ | |
| Schedule Performance Index | Ratio | $SPI = EV / PV$ | |
| Estimate at Completion (EAC) | \$M | $EAC = BAC / CPI$ | |
| Variance at Completion (VAC) | \$M | $VAC = BAC - EAC$ | |
| Variance at Completion (VAC %) | % | $VASC\% = VAC / BAC$ | |
| Percent Complete | % | $\% \text{ Complete} = EV / BAC \times 100$ | |
| Percent Spent | % | $\% \text{ Spent} = AC / BAC \times 100$ | |
| Estimated Completion Date | Date | mm/dd/yy | |

1. Explanations

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 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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment: **Adult Holding Facilities / U.S.M.S. Space Renovation**
5. Unique Project (Investment) Identifier: (For IT investment only, see section [53.9](#). For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY2015?
 (Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 2007
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The United States Marshals Service (U.S.M.S.) provides security and protection for the judicial officers and in the courtrooms. The U.S.M.S. facilities in the Moultrie Courthouse, the location of the largest and busiest U.S.M.S. operation nationwide, were in need of significant expansion and upgrade to meet the current U.S.M.S. standards, and the growing demands of the D.C. Courts. Built over 35 years ago, the adult prisoner holding area is inadequate to hold the hundreds of prisoners daily, and is not in compliance with many of the current security standards for detention facilities. Similarly, the U.S.M.S. administrative and support office space was significantly below U.S.M.S. standards, and was located in a decentralized configuration which was inefficient. Major upgrades were required to address health, safety and functionality concerns, and the Courts are addressing the needs of the U.S.M.S. This project addresses the following areas: the adult prisoner holding unit, arraignment courtroom, prisoner holding areas adjacent to the courtrooms, the sally port, and U.S.M.S. administrative and support space.

Since the second quarter of 2008, the D.C. Courts completed the following work:

- Initial HVAC Upgrade to provide 100% air exchange five times per day
- Created U.S.M.S. West Administrative Area
- Renovated U.S.M.S. East Administrative Area
- Expanded and renovated the arraignment holding areas
- Renovated the arraignment courtroom
- Renovated the detainee sally port entry/exit
- Created a security control data center
- Renovated the segregated / female holding area

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Work currently underway includes:

- Renovation of courtroom holding areas
- Expansion and renovation of the cellblock control center
- Phased renovation of the entire central cell block.

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

9.

- a) Did the Agency's Executive/Investment Committee approve this request? Yes X No _____
b) Provide the date of the most recent or planned approved project charter. 2007

10. a) Contact information of Project Manager?

| | |
|--------------|--------------------------------|
| Name | <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? (per FAC-P/PM)?

- | | |
|---|----------------------|
| (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. | <u>PMP Certified</u> |
| (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 _____

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

(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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Investment: Adult Holding Facilities / U.S.M.S. Space Renovation

| Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions) | | | | | | | | |
|---|-------------------------|----------------|----------------|----------------|------------------|------------------|------------------------|--|
| | PY-1 and earlier | PY 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 66.49 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Planning & Acquisition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal Planning & Acquisition (DME): | 66.49 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Disposition Costs (optional) | | | | | | | | |
| Operations, Maintenance, Disposition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal O&M and Disposition Costs (SS) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL FTE Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL (not including FTE costs): | 66.49 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL (including FTE costs) | 66.49 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | | | | | | | | |
| Total number of FTE represented by Costs: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column —PY1 and earlier” 5 years (2008)
3. Insert the number of years covered in column —BY3 and beyond” NA
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.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Agencies should confirm all Procurement Instrument Identifiers (PIIDs) and Indefinite Delivery Vehicle (IDV) PIID entries match with www.usaspending.gov and all Solicitation IDs entries match with FedBizOpps at www.fbo.gov.

Because data can be auto populated from other sources with valid IDV, PIID, and Solicitation numbers, certain fields are not required for IT investments. For specifics, please see notes 1 and 2 below the table.

| Table I.C.1 Contracts Table | | |
|--|---|--------------------------------|
| Field | Data Description | Contract 1 |
| Short description of acquisition | See www.usaspending.gov/learn?tab=FAQ#2 | 2010-3 Cellblock Modifications |
| Contract Status | (1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation | (1) Awarded |
| Procurement Instrument Identifier (PIID) | See www.usaspending.gov/learn?tab=FAQ#2 | CPFMD-10-0412 |
| Indefinite Delivery Vehicle (IDV) Reference ID | Required only for IDVs. See www.usaspending.gov/learn?tab=FAQ#2 | NA |
| Solicitation ID | See www.fbo.gov | |
| Alternative financing | (ESPC, UESC, EUL or N/A) | No |
| EVM Required | Y/N | Yes |
| Ultimate Contract Value | Total Value of Contract including base and all options. Complete using dollars to two decimal places. | 21,113,322 |
| Type of Contract/Task Order (Pricing) | See FAR Part 16 . Can be fixed price, cost, cost plus, incentive, IDV, time and materials, etc | Fixed |
| Is this contract a Performance Based Service Acquisition (PBSA)? | Y/N Indicates whether the contract is a PBSA as defined by FAR 37.601 . A PBSA describes the requirements in terms of results rather than the methods of performance of the work. | No |
| Effective Date | MM/DD/YYYY Actual or expected Start Date of Contract/Task Order, the date that the parties agree will be the starting date for the contract's requirements. | Quarter 2 FY 2010 |
| Actual or expected end date of Contract/Task Order | MM/DD/YYYY | Quarter 3 FY 2014 |
| Extent Competed (A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order | | D |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 |
| <i>Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.</i> |

Not Applicable.

| |
|---|
| Part III: Non-IT Capital Investments |
| <i>Part II should be completed only for Non- IT capital investment.</i> |

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? No
2. If an Alternatives Analysis was conducted, answer the following questions. _____
- a) What is the date of the analysis? _____
- b) How many alternatives were considered? _____
- c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)? _____
- d) Briefly summarize the rationale for the selected alternative. _____
3. If an Alternatives Analysis was not conducted, provide a brief explanation. The U.S. Marshals Service Facilities Feasibility Study, May 2007 developed the plan that most closely aligns with U.S.M.S. Pub. 64.

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

1. Has a Risk Management Plan been developed (yes/no)? No

2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
 - f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____

3. If a Risk Management Plan has not been developed, provide a brief explanation. Risk is managed through weekly project progress meetings and monthly scheduling meetings. Strict cost control procedures are followed.

Section C: Performance Information

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 | Existing sally port, adult holding unit arraignment courtroom, and courtroom prisoner holding units have not been significantly altered or upgraded since the opening of the courthouse in 1976. | Renovate existing cellblock with handicap accessible cells. | Sally port, arraignment court and arraignment holding areas are now accessible. |
| 2013-2017 Strategic Plan of the D.C. Courts | Goal 4C1: Sound Infrastructure & Safe Environment | Existing sally port, adult holding unit arraignment courtroom, and courtroom prisoner holding units have not been significantly altered or upgraded since the opening of the courthouse in 1976. | Change widths at all cellblock access doors. Relocate U.S.M.S. administrative functions to a location outside the cellblock and complete a phased renovation of the cell block while keeping it operational. | U.S.M.S. administrative functions have been relocated outside the cellblock. |

Section D: Earned Value Management – Adult Holding Facilities / U.S.M.S. Space Renovation

| Table III.D.1:EVM Table | | | |
|--------------------------------|--------------|-----------------------------|-------------------|
| Performance Measure | Units | Formula | Status |
| Budget at Completion (BA) | \$M | | \$ 66.49 |
| Planned Value (PV) | \$M | | \$ 61.00 |
| Earned Value (EV) | \$M | | \$ 56.00 |
| Actual Costs (AC) | \$M | | \$ 58.00 |
| Cost Variance (CV) | \$M | CV= EV-AC | -2.00 |
| Cost Variance (CV %) | % | CV% = CV/EV x 100 | -4% |
| Cost Performance Index (CPI) | Ratio | CPI = EV / AC | 0.97 |
| Schedule Variance (SV) | \$M | SV = EV – PV | \$ -5.0 |
| Schedule Variance (%) | % | SV% = SV / PV x 100 | -8% |
| Schedule Performance Index | Ratio | SPI = EV / PV | 0.90 |
| Estimate at Completion (EAC) | \$M | EAC = BAC / CPI | \$ 68.86 |
| Variance at Completion (VAC) | \$M | VAC = BAC – EAC | \$ -2.37 |
| Variance at Completion (VAC %) | % | VASC% = VAC / BAC | -4% |
| Percent Complete | % | % Complete = EV / BAC x 100 | 84% |
| Percent Spent | % | % Spent = AC / BAC x 100 | 87% |
| Estimated Completion Date | Date | mm/dd/yy | Quarter 3 FY 2014 |

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 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 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 _____

1. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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

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 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment: **Building C Modernization (410 E Street, NW)**
5. Unique Project (Investment) Identifier: (For IT investment only, see section [53.9](#). For all other, use agency ID system.) 95-1712
6. What kind of investment will this be in FY2015? No investment, construction complete.
(Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

| | |
|----------------------------|-------|
| Planning | _____ |
| Full Acquisition | _____ |
| Operations and Maintenance | _____ |
| Mixed Life Cycle | _____ |

7. What was the first budget year this investment was submitted to OMB? 2004
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

Building C construction was completed in February 2012 and the building has received LEED Gold Certification. No Capital Funding is requested for FY 2015.

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

9. a) Did the Agency's Executive/Investment Committee approve this request? Yes X No _____
b) Provide the date of the most recent or planned approved project charter. 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 | _____ |
| Phone Number | _____ |
| E-mail | _____ |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?

- (1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment. PMP Certified
- (2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment. _____
- (3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria. _____
- (4) Project manager assigned but qualification status review has not yet started. _____
- (5) No project manager has yet been assigned to this investment. _____

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

- i. Financial management system name(s) _____
- ii. System acronym _____
- iii. Unique Project Identifier (UPI) number _____
 - a) If this investment is a financial management system AND the investment is part of the **core financial system** then select the primary FFMIA compliance area that this investment addresses (choose only one):
 - computer system security requirement; _____
 - internal control system requirement; _____
 - core financial system requirement according to FSIO standards; _____
 - Federal accounting standard; _____
 - U.S. Government Standard General Ledger at the Transaction Level; _____
 - this is a core financial system, but does not address a FFMIA compliance area; _____
 - Not a core financial system; does not need to comply with FFMIA _____

Note on Question 12 (iii): If no Exhibit 53 UPI is supplied in the Financial Management Systems Inventory (FMSI) for a given system reported there, then the response to Question 12 (iii) may be left blank.

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

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

"Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

Investment: Building C Modernization

| Table 1.B.1: Summary of Funding (In millions of dollars) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions) | | | | | | | | |
|---|------------------------|------------|------------|------------|--------------|--------------|--------------------|--|
| | PY-1 and earlier | PY 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Acquisition : | 43.54 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Planning & Acquisition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal Planning & Acquisition (DME): | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Disposition Costs (optional) | | | | | | | | |
| Operations, Maintenance, Disposition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal O&M and Disposition Costs (SS) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL FTE Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL (not including FTE costs): | 43.54 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL (including FTE costs) | 43.54 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Total number of FTE represented by Costs: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

Note 1: The two sub-total rows and total row will be calculated – not for data entry.

2. Insert the number of years covered in the column —PY1 and earlier” 8 years (2005)
3. Insert the number of years covered in column —BY3 and beyond” NA
4. If the summary of funding has changed from the FY 2014 No Change.

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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.

| Table I.C.1 Contracts Table | | |
|---|--|--|
| Field | Data Description | |
| Short description of acquisition | See www.usaspending.gov/learn ?tab=FAQ#2 | |
| Contract Status | (1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation | |
| Procurement Instrument Identifier (PIID) | See www.usaspending.gov/learn?tab=FAQ#2 | |
| Indefinite Delivery Vehicle (IDV) Reference ID | Required only for IDVs. See www.usaspending.gov/learn?tab=FAQ#2 | |
| Solicitation ID | See www.fbo.gov | |
| Alternative financing | (ESPC, UESC, EUL or N/A) | |
| EVM Required | Y/N | |
| Ultimate Contract Value | Total Value of Contract including base and all options. Complete using dollars to two decimal places. | |
| Type of Contract/Task Order (Pricing) | See FAR Part 16. Can be fixed price, cost, cost plus, incentive, IDV, time and materials, etc | |
| Is this contract a Performance Based Service Acquisition (PBSA)? | Y/N Indicates whether the contract is a PBSA as defined by FAR 37.601. A PBSA describes the requirements in terms of results rather than the methods of performance of the work. | |
| Effective Date | MM/DD/YYYY Actual or expected Start Date of Contract/Task Order, the date that the parties agree will be the starting date for the contract’s requirements. | |
| Actual or expected end date of Contract/Task Order | MM/DD/YYYY | |
| Extent Competed(A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) | | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | |
|---|--|--|
| Competitive Delivery Order (NDO) Non-competitive Delivery Order | | |
|---|--|--|

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

| |
|--|
| Part II: IT Capital Investments |
| <i>Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.</i> |

Not Applicable.

| |
|---|
| Part III: Non-IT Capital Investments |
| <i>Part II should be completed only for Non- IT capital investment.</i> |

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

- | | |
|---|--|
| <p>1. Was an Alternatives Analysis conducted (yes/no)?</p> <p>2. If an Alternatives Analysis was conducted, answer the following questions.</p> <p>a) What is the date of the analysis?</p> <p>b) How many alternatives were considered?</p> <p>c) Did the analysis evaluate the costs and the benefits of each alternative (yes/no)?</p> <p>d) Briefly summarize the rationale for the selected alternative.</p> <p>3. If an Alternatives Analysis was not conducted, provide a brief explanation.</p> | <p>Yes, D.C. Courts Building C Prospectus Development Study</p> <hr/> <p>April 2005</p> <hr/> <p>Three</p> <hr/> <p>Yes</p> <hr/> <p>The selected alternative allowed for flexible open office plan while maintaining the historic fabric of the building.</p> <hr/> |
|---|--|

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

Section B: Risk Management

Risk must be actively managed throughout the lifecycle of the investment. The Risk Management Plan must be available to OMB upon request.

1. Has a Risk Management Plan been developed (yes/no)? No
2. If a Risk Management Plan has been developed, answer the following questions.
 - a) What is the date of the plan? _____
 - b) Does the plan include a list of risks (yes/no) _____
 - c) Does the plan include the probability of occurrence for each risk (yes/no)? _____
 - d) Does the plan include the impact of each risk (yes/no)? _____
 - e) Does the plan include a mitigation strategy for each risk (yes/no)? _____
 - f) Does the plan include activity managing risk throughout the lifecycle (yes/no)? _____
3. If a Risk Management Plan has not been developed, provide a brief explanation. Risk is managed through weekly project progress meetings and monthly scheduling meetings. Strict cost control procedures are followed.

Section C: Performance Information

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 | Building C is not accessible to all. | Upgrade of 27,000 OSF of Class D office space into Class A office space. | Upgrade complete. |
| 2013-2017 Strategic Plan of the D.C. Courts | Goal 4C1: Sound Infrastructure & Safe Environment | Building C is currently suffering from extensive lack of maintenance and requires major upgrades in order to house court personnel in Class A office space that is functional and habitable. | A fully renovated building completed within budget and within the scheduled timeframe | Renovation complete within budget and on schedule. |

Section D: Earned Value Management

| Table III.D.1:EVM Table | | | |
|---------------------------|-------|---------|--------|
| Performance Measure | Units | Formula | Status |
| Budget at Completion (BA) | \$M | | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | |
|--------------------------------|-------|---|--|
| 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? _____
2. If an Operational Analysis was performed within the last 18 months, answer the following questions:
 - a) What was the date of the analysis _____
 - b) Briefly summarize the results of the analysis _____
3. If an Operational Analysis has not been performed within the last 18 months, provide a brief explanation _____
4. Enter planned and actual cost and schedule performance data for all O&M activity in Table III.E.3. Based on the data entered, calculate the cost and schedule variance and enter the results in the variance column of the Table.

| Table III.E.4: O&M Cost and Schedule Performance | | | | | | |
|--|-----------------|------------|------------------------|-------------------|----------------------------------|-----------------------------|
| 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 2013
2. Agency: District of Columbia Courts
3. Bureau: NA
4. Name of this Investment: **Northeast Garage**
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 FY2015?
 (Please NOTE: Investments with Planning/Acquisition activities prior to FY2015 should not select O&M)

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

7. What was the first budget year this investment was submitted to OMB? 2009
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap: This project will provide secure, underground parking for judges and court staff and replace surface parking with green space to return Judiciary Square to a park-like setting for public enjoyment. The D.C. Courts currently have parking adjacent to Building A, on the west side of the building, and adjacent to Building B, on the east side of the building. This project is detailed in the Judiciary Square Master Plan and meets goals of the D.C. Courts as well as the District of Columbia. The project is included in the DDOT Judiciary Square Transportation and Security Study. With high terror and security concerns, security of judicial and non-judicial D.C. Courts' staff is critical, and the Northeast Garage will provide a safe and secure environment for judges and staff.

Preliminary meetings between the U.S. Marshals Service (U.S.M.S.) and the D.C. Courts have taken place with respect to partnering on this project. The U.S. Marshals Service would benefit from this project through better controlled, secured parking in a single location connecting to Court facilities. The Northeast Garage will also reduce leased parking and street parking required by U.S.M.S. It will enhance operational efficiency for U.S.M.S. and return street parking to the public.

- 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 2012 Northeast Garage

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

charter.

Proposal Summary

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? (per FAC-P/PM)?

(1) Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.

PMP Certified

(2) Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.

(3) Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.

(4) Project manager assigned but qualification status review has not yet started.

(5) No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

i. Financial management system name(s)

ii. System acronym

iii. Unique Project Identifier (UPI) number

a) If this investment is a financial management system AND the investment is part of the **core financial system** then select the primary FFMIA compliance area that this investment addresses (choose only one):

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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: Northeast Garage

| 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 2013 | CY 2014 | BY 2015 | BY+1 2016 | BY+2 2017 | BY+3 and beyond | Total unfunded (sum 2015 -beyond) |
| Planning: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 4.00 | 6.00 |
| 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 | 2.00 | 4.00 | 6.00 |
| Operations & Maintenance: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Disposition Costs (optional) | | | | | | | | |
| Operations, Maintenance, Disposition Government FTE Costs | | | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Subtotal O&M and Disposition Costs (SS) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL FTE Costs | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL (not including FTE costs): | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 4.00 | 6.00 |
| TOTAL (including FTE costs) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 4.00 | 6.00 |
| Total number of FTE represented by Costs: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 —P¥1 and earlier” | NA |
| 3. Insert the number of years covered in column —B¥3 and beyond” | 1 year (2018) |
| 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 | 2015 -1 Northeast Garage Pre-Design | 2015 -2 Northeast Garage Design | |
| Contract Status (1) Awarded, (2) Pre-award Post-solicitation, (3) Pre-award Pre-solicitation | Pre-award Pre-Solicitation | Pre-award Pre-Solicitation | |
| Procurement Instrument Identifier (PIID) | TBD | TBD | |
| Indefinite Delivery Vehicle (IDV) Reference ID | NA | NA | |
| Solicitation ID | TBD | TBD | |
| Alternative financing | NA | NA | |
| EVM Required | YES, Courts’ Standard | YES, Courts’ Standard | |
| Ultimate Contract Value | NA | NA | |
| Type of Contract/Task Order (Pricing) | Fixed | Fixed | |
| Is this contract a Performance Based Service Acquisition (PBSA)? | No | No | |
| Effective Date | Quarter 1 FY 2017 | Quarter 1 FY 2018 | |
| Actual or expected end date of Contract/Task Order | Quarter 4 FY 2017 | Quarter 4 FY 2018 | |
| Extent Completed | D | D | |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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

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

3. a) Has an Acquisition Plan been developed? If yes, please answer the questions that follow:
- | | | | |
|---|------|----|----|
| | Yes | X | No |
| b) Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 | Yes | X | No |
| c) Was the Acquisition Plan approved in accordance with agency requirements | Yes | X | No |
| d) If "yes," enter the date of approval? | 2011 | | |
| e) Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? | Yes | NA | No |
| f) Does the acquisition plan meet the requirements of EOs 13423 and 13514? | Yes | NA | No |
| g) If an Acquisition Plan has not been developed, provide a brief explanation. | | | |

Part II: IT Capital Investments

Part II should be completed only for IT investments including Planning, Acquisition, Mixed Lifecycle, Operations & Maintenance, and Multi-Agency IT Collaborations.

Not Applicable.

Part III: Non-IT Capital Investments

Part II should be completed only for Non- IT capital investment.

Section A: Alternative Analysis

An Alternatives Analysis must evaluate the costs and the benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request

1. Was an Alternatives Analysis conducted (yes/no)? Yes, Judiciary Square Master Plan

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

2. If an Alternatives Analysis was conducted, answer the following questions.
- a) What is the date of the analysis? August 2005 (Revised July 2011)
 - 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. Alternative garage locations were studied in the Judiciary Square master Plan and the northeast location was selected based on access, road network and functional adjacencies.
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 | Goal 4C1: Sound Infrastructure and | The D.C. Courts currently have | Replace the unsecured surface | N/A |

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

| | | | | |
|-----------------|------------------|--|---------------------------------------|--|
| the D.C. Courts | Safe Environment | parking adjacent to Building A, on the west side of the building and adjacent to Building B, on the east side of the building. | lots with secure underground parking. | |
|-----------------|------------------|--|---------------------------------------|--|

Section D: Earned Value Management

| Table III.D.1:EVM Table | | | |
|-------------------------------|-------|---|--------|
| Performance Measure | Units | Formula | Status |
| Budget at Completion (BA) | \$M | | |
| Planned Value (PV) | \$M | | |
| Earned Value (EV) | \$M | | |
| Actual Costs (AC) | \$M | | |
| Cost Variance (CV) | \$M | $CV = EV - AC$ | |
| Cost Variance (CV%) | % | $CV\% = CV / EV \times 100$ | |
| Cost Performance Index (CPI) | Ratio | $CPI = EV / AC$ | |
| Schedule Variance (SV) | \$M | $SV = EV - PV$ | |
| Schedule Variance (%) | % | $SV\% = SV / PV \times 100$ | |
| Schedule Performance Index | Ratio | $SPI = EV / PV$ | |
| Estimate at Completion (EAC) | \$M | $EAC = BAC / CPI$ | |
| Variance at Completion (VAC) | \$M | $VAC = BAC - EAC$ | |
| Variance at Completion (VAC%) | % | $VAC\% = VAC / BAC$ | |
| Percent Complete | % | $\% \text{ Complete} = EV / BAC \times 100$ | |
| Percent Spent | % | $\% \text{ Spent} = AC / BAC \times 100$ | |
| Estimated Completion Date | Date | mm/dd/yy | |

1. Explanations

Section E: Operations and Maintenance (O&M)

An Operational Analysis must be performed at least annually. Investments with both O&M funding and planning and acquisition activity must perform an operational analysis on the O&M portion of the investment. The analysis must address both the technical and financial performance of the investment. The details of the analysis must be available to OMB upon request.

- Has an Operational Analysis been performed within the last 18 months? No
- If an Operational Analysis was performed within the last 18 months, answer the following _____

EXHIBIT 300: CAPITAL ASSET PLAN AND BUSINESS CASE SUMMARY

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 |
| | |

DISTRICT OF COLUMBIA COURTS
FY 2015 Budget Justification
Grant-funded Activities and Reimbursements

For Fiscal Year 2013, the District of Columbia Courts secured nearly \$4 million in Federal and local grant funds to: (1) provide services to victims of crime; (2) expedite permanent placement of children as required by ASFA legislation; and (3) enhance the exchange of information with local criminal justice agencies. The Courts currently receive funds through 8 active grants secured from various Federal and local sources. Of these, 5 grants, totaling approximately \$400,000 are scheduled to expire at the end of FY 2013. Table 1 lists the Courts' grants and reimbursement funding for Fiscal Years 2013 and projected through 2015, while Table 2 lists grants scheduled to expire at the end of FY 2013. 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.

(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 Court Training on Effective Court Responses to Teen Dating/Intimate Partner Violence, Sexual Assault, Domestic Violence and Stalking.*** U. S. Department of Justice, Office on Violence Against Women, court Training and Improvements Program.

To plan and implement a judicial education and training conference and follow-up activities to improve court services to minors ages 12-17 who are seeking protection orders in domestic violence, sexual assault, dating and intimate partner violence and stalking cases. The primary goals are to enhance judicial awareness of the emerging area of teen dating/intimate violence, sexual assault and stalking; to better address and serve young victims as they seek legal remedy from the Courts; and to inform the greater youth-serving professional community about minors involved in abusive relationships and their legal rights in the District of Columbia. Grants funds are used to convene a one-day conference, conduct community outreach, and develop a bench card to inform judicial officers as they work with these minors.

II. D.C. FEDERAL BLOCK GRANTS

For each of the grants listed in this section, the District of Columbia Courts are a sub-grantee of the District of Columbia.

(a) Victims of Domestic Violence

- ***Supervised Child Visitation Center.*** Office of the Attorney General (U.S. Department of Health and Human Services, Access and Visitation Grant).

To support the Court's supervised visitation center through a grant from the Health and Human Services agency. The Center serves as a safe, neutral location in which non-custodial parents in domestic violence cases may visit their children.

- ***Domestic Violence Project.*** D.C. Office of Victim Services on behalf of the U.S. Department of Justice, Office of Violence Against Women, STOP Grant Program.

To enhance the safety and improve services of domestic violence victims residing in Wards 7 and 8. Grant funds are used to support operations at the Southeast Domestic Violence Center and support domestic violence and sexual assault training for judicial officers and staff in the Domestic Violence Unit and Family Court.

(b) Information Technology

- ***Electronic Case Initiation – DCSC Technology Enhancement Project.*** D.C. Justice Grants Administration on behalf of the U.S. Department of Justice, Justice Assistance Grant (JAG) Program.

To enhance the quality of criminal arrest data electronic interface of pretrial defendant information and automating the description of legal charge codes in the Courts' case management system.

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

| Grant or Reimbursement | Source | FY 2013 Actual | FY 2014 Estimate | FY 2015 Estimate |
|--|--|-------------------|---------------------|---------------------|
| I. FEDERAL GRANTS: | | | | |
| Abused and Neglected Children | | | | |
| Court Improvement Program | U.S. Department of Health and Human Services | 189 | 188 | 188 |
| Crime Victims | | | | |
| Crime Victims Compensation Payments | U.S. Department of Justice | 3,400 | 3,300 | 3,200 |
| <i>Subtotal, Federal Grants</i> | | <i>3,589</i> | <i>3,488</i> | <i>3,388</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 | 35 | 34 | 33 |
| Judicial Education and Training | U.S. OVW | 4 | -- | -- |
| IJIS Electronic Exchange | U.S. DOJ JAG Grants | 125 | -- | -- |
| <i>Subtotal, D.C. Federal Block Grants</i> | | <i>275</i> | <i>145</i> | <i>144</i> |
| GRANTS TOTAL | | 3,863 | 3,633 | 3,532 |
| REIMBURSEMENTS: | | | | |
| Child Support Enforcement | D.C. Title IV-D Agency | | | |
| Miscellaneous Reimbursements | Pretrial Services Agency | | | |
| REIMBURSEMENTS TOTAL | | | | |
| GRAND TOTAL | | | | |

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

Table 2
DISTRICT OF COLUMBIA COURTS
Grants Scheduled To Expire in FY 2013
(\$ in thousands)

| Grant | Source | Grant Period (Includes Extensions) | Original Grant Award |
|---|---|---------------------------------------|----------------------------|
| Domestic Violence Project | U.S. DOJ VAWA STOP Grants | Oct. 2012 – Sept. 2013 | 35 |
| Court Improvement Program (FY12 includes two grants.) | U.S. Department of Health & Human Services | Jan. 2011 – Sept. 2012 | 189 |
| Judicial Education and Training in Teen Dating Violence | U.S. DOJ VAWA | Aug. 2010 – Aug. 2012 | 50 |
| IJIS Electronic Exchange | U.S. DOJ JAG | Oct. 2012 – Sept. 2013 | 125 |
| Total | | | \$400 |

DISTRICT OF COLUMBIA COURTS
FY 2015 Budget Justification
PROGRAM EVALUATION

For the past several fiscal years, the District of Columbia Courts, primarily using appropriated funds, have developed a systematic approach to evaluating new initiatives and ongoing programs. These have included program evaluations of a range of Court Social Services' functions, the operation of the Multi-Door Dispute Resolution Division, the East of the River Community Court and the program information provided below. As new programs are developed at the Courts, each includes a performance assessment component to permit ongoing performance monitoring and modification, as needed. Following are descriptions of the program evaluations that were completed in FY 2013 or are in progress at the Courts.

1. East of the River Community Court

The Superior Court of the District of Columbia established the East of the River Community Court (ERCC) in September 2002 to address the high rates of poverty, crime, and disorder experienced in the 6th and 7th Metropolitan Police Districts (MPD). The ERCC adjudicates non-domestic violence, U.S. misdemeanor offenses, such as drug possession, sexual solicitation, unlawful entry, and simple assault. With the support of both federal and local criminal justice agencies, ERCC attempts to identify and re-direct eligible defendants into suitable diversion programs. Through this process, ERCC focuses on individual accountability and treatment as well as restorative justice measures such as the defendant's repair of damage incurred by the community, primarily by providing community service.

In 2009, after several years of operation, the Courts selected the ERCC to be the focus of an independent evaluation supported with the Courts' appropriated funds. Through their standard procurement process, modeled after federal procurement practices, the Courts selected the Westat research firm to conduct an evaluation of the ERCC. The primary objective of this research was to determine whether defendants involved in ERCC diversion programs had a lower rate of re-offending than a comparison group of defendants not involved in ERCC.

The study, which concluded near the beginning of FY 2013, focused on 4,046 defendants entering ERCC in calendar years 2007, 2008, and 2009 and examined the number participating in ERCC diversion programs, the rate of successful ERCC completions and any re-offending activity in the District of Columbia and Maryland for approximately 12 months post-disposition. Among the study's findings were the following:

- Of the 4,046 defendants entering ERCC, 21% participated in ERCC diversion programs.
- The most common charges associated with defendants entering the ERCC were misdemeanor drug charges.
- Of the defendants involved in ERCC diversion programs, 60% successfully completed their programs.
- Overall, re-offending was significantly lower among ERCC defendants compared to a similar group of defendants not offered or eligible for diversion programs.

- While participating in their diversion programs, defendants in the ERCC had a 60% lower re-offending rate than defendants in the comparison group.
- During the 12 months post-disposition, defendants successfully completing ERCC had a 42% lower re-offending rate than defendants in the comparison group.
- During the entire study period (i.e., case initiation to post-disposition), defendants not participating in the ERCC were approximately twice as likely to re-offend compared to defendants who successfully completed an ERCC diversion program.

Based on these findings and the overall success of the ERCC, the program was expanded in early FY 2013 to include all criminal U.S. misdemeanor calendars prosecuted by the United States Attorney's Office in Superior Court that serve all seven (7) Metropolitan Police Districts, covering all eight (8) wards in the District of Columbia. The Community Court Expansion Project exemplified the Courts' commitment to providing access to justice, enhancing public safety and assisting in the rehabilitation of offenders.

2. Community Court Expansion Project Evaluation

In the summer of 2013, using appropriated funds, the Courts issued a request for proposals for an independent evaluation of the Community Court Expansion Project. The Westat research firm was selected through a competitive bidding process and in the fall of 2012 began a 30-month program evaluation comprised of two phases: a process evaluation and an outcome evaluation. During the first phase (January 2013 – September 2013), which is underway, Westat will conduct a process evaluation to examine the fidelity of the actual implementation of the program in all U.S. Misdemeanor calendars operating in Superior Court to the community court model implemented in the East of the River Community Court. The process evaluation also will assess the operational procedures and processes as well as 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 any recommendations for modification, if suggested by the study's findings. Also expected as an outcome of the first phase is the final scope and plan for the second, or, outcome phase of the evaluation. During the second phase, scheduled for October 2013 through July 2015, Westat will conduct an outcome, or impact, evaluation to examine the affect participation in the community court has on defendants while under supervision by the court and also for a 12-month period post-disposition. The specific focus of the study is the impact the community court has on defendant experiences in the program, including any re-offending activities.

3. Study to Examine Re-offending Activity of Post-Disposition Youth in the District of Columbia and Automated Tracking System

With FY 2009 appropriated funds, the Courts contracted with the National Center for Juvenile Justice (NCJJ) to conduct a study on the re-offending activity of youth in the District of Columbia. The study examined youths who received a probation or commitment disposition in calendar year 2007 and examined the differences and similarities among each group. The primary goals of the study included establishing baseline information on re-offending activity, assessing the relative effects of probation vs. commitment dispositions on re-offending and assisting in the development of an information system to track youth re-offending in the future.

The NCJJ completed the initial re-offending study, which focused on 1,222 juveniles whose cases were disposed in 2007 by either probation with Court Social Services (CSS) or commitment with the D.C. Department of Youth Rehabilitative Services (DYRS) and tracked their re-offending behavior in the District, Maryland, and Virginia for approximately 12 months following disposition. The study findings included:

- The majority of the juvenile offenders were placed on probation with Court Social Services (80%) rather than committed to DYRS (20%).
- Those juveniles who were committed to DYRS were older and had proportionately more violent offenses than juveniles placed on CSS probation.
- Juvenile re-offending rates in the District of Columbia were comparable to, or within the expected range of, re-offending rates in other comparable jurisdictions.
- Of the 1,222 juveniles in the study, after disposition (start of placement), only 40% had a subsequent petitioned case.
- The re-offending rate for juveniles during probation supervision was 30%, which is within the range of re-offending rates in other urban jurisdictions. When tracked for a 12-month period, half of the juveniles placed on CSS probation had a subsequent offense.
- By comparison, the re-offending rate for juveniles during DYRS supervision was 42%. When tracked for 12 months, 44% of the juveniles committed to DYRS had a subsequent offense.

During FY 2013, based on the results of the re-offending study, the Courts, with assistance of NCJJ, developed an automated system with capabilities to routinely track and report juvenile re-offending. Specifically, from April 2012 through April 2013, NCJJ assisted the D.C. Courts' Research and Development and Information Technology Divisions to develop an automated juvenile re-offending tracking system linked to the Court's case management system and with the capability to provide re-offending information on juveniles by age, gender, and criminal history. While the development of the tracking system has been completed and has undergone testing of its technical functionality, it is being prepared for presentation to key stakeholders and users for their approval and product sign off before being scheduled to "go live" and be fully implemented at the Courts.

4. Superior Court Drug Intervention Program (Adult Drug Court)

Established in 1993, the Superior Court Drug Intervention Program (hereafter Adult Drug Court) is a problem solving court managed by the Pretrial Services Agency (PSA) for the District of Columbia. The goal of the Adult Drug Court is to reduce recidivism among defendants whose substance abuse or dependence heightened the risk of future re-arrest. The Adult Drug Court is one of the small number of drug courts that serves pretrial defendants on a pre-plea basis. The program population consists of defendants charged with misdemeanor and non-violence felony offenses. The D.C. Courts' devote one calendar and dedicate one judicial officer to preside over the Adult Drug Court, monitor defendant progress and conduct frequent and required hearings and convene its Oversight Committee of stakeholder agencies, including PSA.

Based on an independent assessment of current practices, PSA, in consultation with stakeholders, including the Courts, recently implemented enhancements in the Adult Drug Court to make operations more consistent with national drug court principles and evidenced-based practices. In addition to frequent judicial contact and oversight, some of the program enhancements include: a daily pre-hearing staff meeting with the Adult Drug Court Team; expansion of program length to a minimum of 24 weeks; assignment of a dedicated defense attorney to handle all cases; attendance of PSA case managers at defendant review hearings; random drug testing; and enhanced incentives and sanctions.

In order to assess the effects of these changes, the Courts, in FY 2013, with appropriated funds, developed a request for proposals for an independent evaluation of the Adult Drug Court. The NPC Research firm (headquartered in Portland, Oregon) was selected through the Courts' competitive bidding process to conduct the 30-month, two-phased evaluation. The first phase of the evaluation (underway through December 2013) is a process evaluation to 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 full evaluation consists of an outcome evaluation that includes a defendant follow-up period of 12 months after completion of the program, or at 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. At the completion of the evaluation, expected in mid calendar year 2015, NPC is to provide the Courts with a report outlining the program changes, their effects on operations and program participants, and any additional program modifications suggested by the study findings.

**District of Columbia Courts
FY 2015 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.⁴ 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.⁵ The Guardianship program provides for compensation to service providers in guardianship and protective proceedings for incapacitated adults.⁶ In addition to legal representation, these programs provide indigent persons access to services such as: transcripts of court proceedings; expert witness testimony; investigations; and genetic testing.

Defender Services attorneys and service providers submit vouchers to the D.C. Courts' Budget and Finance Division detailing the time and expenses involved in working on a case. Following administrative review and approval by the judge or magistrate judge presiding over the case, the voucher is processed for payment by the General Services Administration (GSA), which remits funds from the Defender Services appropriation.

Estimating FY 2015 Resource Requirements

In its required reports and filings with the Office of Management and Budget and Congress, the Courts historically recognized Defender Services obligations at the time of payment (outlays), maintaining a carryover balance from year to year to cover those vouchers that were issued in prior years (at the time an attorney was appointed to a case) but not yet submitted to the court for payment. In contrast, however, generally accepted accounting principles require that the Courts disclose the value of these outstanding vouchers, or liabilities, on their annual financial statements. This outstanding liability was calculated by multiplying the total number of vouchers in each case type by the computed average cost paid by case type.

Predicting program obligations has historically been difficult because attorneys submit claims for reimbursement only after the conclusion of a case, or the termination of legal representation associated therewith, which may be years after their appointment to a case. In 2000 a study conducted by independent accountants found that it took seven years from the time an attorney was appointed to a case for all vouchers to be submitted to the court for payment. The Courts' budget submissions since FY 2000 have included a projection of the value of issued vouchers as a liability (–obligation”) each fiscal year over and above projected outlays. Although the stated dollar value of the obligations was not posted into the financial system of record in the past, these projected obligations became the basis of each budgetary request for resources, which has

⁴ See D.C. Code §11-2601 *et seq.*

⁵ See D.C. Code §16-2304.

⁶ See D.C. Code §21-2060.

also included a narrative on accrued and unpaid liabilities. Due to enhanced program management, operational changes (including the establishment of guideline vouchers), administrative efficiencies and business process reengineering in recent years, the time between attorney appointment to a case and payment of the voucher has been drastically reduced. Today, nearly all vouchers are paid within 3 years of the attorney appointment to a case.

In light of the foregoing, the Courts contracted with an independent accounting firm during FY 2009 to 1) analyze the current liability stream of the Defender Services programs; 2) develop a sound methodology to recognize program obligations (e.g. accounting treatment of vouchers issued under the programs); and 3) project future resource requirements. The goal of these activities was to better align the outstanding liabilities of the Defender Services programs reflected on annual financial statements with Federally required (monthly, quarterly, and annual) reports and filings, and with the Courts' budget submissions.

The accounting firm gave its recommendations, which included—

- 1) the obligation of vouchers upon issuance (i.e. at the time of attorney appointment) instead of upon submission for payment; and
- 2) the formal recognition of the financial liability of outstanding vouchers from prior years by establishing the obligation in the financial system of record through a one-time journal entry at the beginning of FY 2010.

The firm's recommendations were based in large part on a decision issued by the Comptroller General – *50 Comp. Gen. 589 (1971)*, which noted that “[i]t is clear that from the time of the attorney's appointment a contractual obligation exists on the part of the Government to pay the reasonable costs of the representation, and that the subsequent court review of the voucher is only for the purpose of determining that the actual costs claimed to have been incurred were necessarily incurred and are in fact reasonable.”

The Courts adopted the firm's recommendations. The liabilities in the account (which were carried in the financial system as an unobligated balance) were converted into obligations. This action also reduced the large unobligated carryover balance in the account, which had increased steeply in FY 2008 and FY 2009 when hourly rate increases were fully funded but not in effect at the start of those fiscal years. FY 2013 represents the third full year that the Courts routinely accrued and posted voucher obligations (representing vouchers issued but not paid) to the financial system of record.

Given administrative efficiencies and business process re-engineering, the Courts' ability to project future resource requirements has been greatly enhanced. Moreover, implementation of the current methodology for accounting for prior year obligations has provided a more systematic process for ensuring sufficient funding. The Courts are confident that sufficient funding has been reserved for obligations from prior years, thereby enabling a reduction in projected future funding needs. This reduction was reflected in the Courts' FY 2013 and 2014 budget requests, which are approximately \$5 million below the appropriation previously enacted for FY 2012.

FY 2015 Request

The Courts request \$49,890,000 for Defender Services in FY 2015, the same as the FY 2014 Enacted level of \$49,890,000.