

## DISTRICT OF COLUMBIA COURT SYSTEM Overview

<u>FY 2007 Enacted</u>		<u>FY 2008 Enacted</u>		<u>FY 2009 Request</u>		<u>Difference</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
270	41,643,000	270	52,172,000	288	57,002,000	18	4,830,000

### **Introduction**

The District of Columbia Court Reform and Criminal Procedure Act of 1970 created a unified court system. The Act assigns responsibility for the administrative management of the District of Columbia Courts to the Executive Officer, who oversees nine Court divisions. They include: 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 2009 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 5 strategic issues, which comprise the centers of our strategic goals:

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

The Court System has aligned its FY 2009 request around five of the six issues—fair and timely case resolution; a strong judiciary and workforce; a sound infrastructure; security and disaster preparedness; and public trust and confidence. In FY 2009, the D.C. Courts' Court System requests \$57,002,000, an increase of \$4,830,000 (9%) and 18 FTEs above the FY 2008 Enacted Budget. The request includes increases to support the following Court goals:

#### ***Strategic Issue 1: Fair and Timely Case Resolution--\$108,000 and 1 FTE***

The FY 2009 Court System request includes \$108,000 and 1 FTE to address the Courts' strategic issue of fair and timely case resolution by supporting the Courts' automated Jury Management System.

**Strategic Issue 3: Strong Judiciary and Workforce--\$554,000 and 2 FTEs**

The FY 2009 request includes \$554,000 and 2 FTEs to address the Courts' strategic issue of a strong judiciary and workforce, including \$446,000 and 1 FTE to provide additional training opportunities to enhance the professional development of judicial officers and court staff, \$108,000 and 1 FTE to undertake workforce planning.

**Strategic Issue 4: Sound Infrastructure--\$413,000 and 6 FTEs**

The FY 2009 request includes \$413,000 and 6 FTEs to address the Courts' strategic issue of a sound infrastructure by providing 24 hour engineering support and facility maintenance for the Courts' five buildings at Judiciary Square.

**Strategic Issue 5: Security and Disaster Preparedness--\$150,000 and 1 FTE**

The FY 2009 request includes \$150,000 and 1 FTE to address the Courts' strategic issue of security and disaster preparedness by providing a security operations manager to enhance courthouse security and courtwide disaster preparedness.

**Strategic Issue 6: Public Trust and Confidence--\$1,452,000 and 8 FTEs**

The FY 2009 request includes \$1,452,000 and 8 FTEs to address the Courts' strategic issue of public trust and confidence, including \$891,000 and 2 FTEs and performance management software to support long-range strategic planning and courtwide performance reporting; \$273,000 and 3 FTEs to enhance financial management in the Courts; \$183,000 and 2 FTEs to perform financial and programmatic audits; \$75,000 and 1 FTE to enhance materiel management; and \$30,000 to increase the transit subsidy benefit for court personnel.

**DISTRICT OF COLUMBIA COURT SYSTEM  
Budget Authority by Object Class**

	<b>FY 2007 Enacted</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>	<b>Difference FY 2008/2009</b>
11 - Personnel Compensation	18,377,000	22,799,000	25,385,000	2,586,000
12 - Personnel Benefits	4,328,000	5,700,000	6,382,000	682,000
<b>Sub-total Personnel Cost</b>	<b>22,705,000</b>	<b>28,499,000</b>	<b>31,767,000</b>	<b>3,268,000</b>
21 - Travel, Transp. Of Persons	357,000	373,000	499,000	126,000
22 - Transportation of Things	1,000	1,000	2,000	1,000
23 - Rent, Commun. & Utilities	6,764,000	6,823,000	6,967,000	144,000
24 - Printing & Reproduction	71,000	77,000	80,000	3,000
25 - Other Services	11,027,000	15,127,000	15,771,000	644,000
26 - Supplies & Materials	400,000	619,000	640,000	21,000
31 - Equipment	318,000	653,000	1,276,000	623,000
<b>Sub-total Non Personnel Cost</b>	<b>18,938,000</b>	<b>23,673,000</b>	<b>25,235,000</b>	<b>1,562,000</b>
<b>TOTAL</b>	<b>41,643,000</b>	<b>52,172,000</b>	<b>57,002,000</b>	<b>4,830,000</b>
FTE	270	270	288	18

**DISTRICT OF COLUMBIA COURT SYSTEM  
EXECUTIVE OFFICE**

<u>FY 2007 Enacted</u>		<u>FY 2008 Enacted</u>		<u>FY 2009 Request</u>		<u>Difference</u> <u>FY 2008/2009</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
13	1,406,000	13	1,611,000	18	2,929,000	5	1,318,000

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.

**FY 2009 Request**

In FY 2009, the Courts request \$2,929,000 for the Executive Office, an increase of \$1,318,000 above the FY 2008 Enacted Budget. The requested increase consists of \$38,000 for built-in cost increases. In addition, as detailed in the Initiatives section of this budget submission, \$891,000 and 2 FTEs are requested for the Strategic Planning and Management initiative; \$183,000 and 3 FTEs are requested for an internal audit team; and \$150,000 is requested for 1 FTE to enhance court security.

Table 1  
**EXECUTIVE OFFICE**  
**New Positions Requested**

Positions	Grade	Number	Salary	Benefits	Total Personnel Costs
Senior Auditor	13	1	\$86,000	\$22,000	\$108,000
Auditor	11	1	\$60,000	\$15,000	\$75,000
Security Operations Advisor	15	1	\$120,000	\$30,000	\$150,000
Strategic Management Analysts	13	2	\$172,000	\$43,000	\$215,000
<b>TOTAL</b>		<b>5</b>	<b>\$438,000</b>	<b>\$110,000</b>	<b>\$548,000</b>

Table 2  
**EXECUTIVE OFFICE**  
**Budget Authority by Object Class**

	<b>FY 2007 Enacted</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>	<b>Difference FY 2008/2009</b>
11 - Personnel Compensation	1,129,000	1,284,000	1,795,000	511,000
12 - Personnel Benefits	271,000	321,000	450,000	129,000
<i>Subtotal Personnel Cost</i>	<i>1,400,000</i>	<i>1,605,000</i>	<i>2,245,000</i>	<i>640,000</i>
21 - Travel, Transp. of Persons			16,000	16,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services			60,000	60,000
26 - Supplies & Materials	4,000	4,000	5,000	1,000
31 - Equipment	2,000	2,000	603,000	601,000
<i>Subtotal Non Personnel Cost</i>	<i>6,000</i>	<i>6,000</i>	<i>684,000</i>	<i>678,000</i>
<b>TOTAL</b>	<b>1,406,000</b>	<b>1,611,000</b>	<b>2,929,000</b>	<b>1,318,000</b>
FTE	13	13	18	5

Table 3  
**EXECUTIVE OFFICE**  
**Detail, Difference FY 2008/2009**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2008/2009</b>
11 - Personnel Compensation	Current Position WIG	13	3,000	
	Current Position COLA	13	40,000	
	Senior Auditor	1	86,000	
	Auditor	1	60,000	
	Security Operations Advisor	1	120,000	
	Strategic Management Analysts	2	172,000	
	Subtotal			
12 - Personnel Benefits	Current Position WIG	13	1,000	
	Current Position COLA	13	10,000	
	Senior Auditor	1	22,000	
	Auditor	1	15,000	
	Security Operations Advisor	1	30,000	
	Strategic Management Analysts	2	43,000	
Subtotal				129,000
21 - Travel, Transp. of Persons	Strategic Pln. & Mgt-Travel/Training			16,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Strategic Pln &Mgt.-Contractual Svs.			60,000
26 - Supplies & Materials	Built-in Increase			1,000
31 - Equipment	Built-in Increase		1,000	
	Performance Management Software		600,000	
Subtotal				601,000
<b>Total</b>				<b>1,318,000</b>

Table 4  
**EXECUTIVE OFFICE**  
**Detail of Full-Time Equivalent Employment**

	<b>FY 2007 Enacted</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>
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	1	1	1
JS-11			1
JS-12	2	2	2
JS-13	1	1	4
JS-14	2	2	2
JS-15	2	2	3
JS-16			
JS-17			
CES	1	1	1
Ungraded	1	1	1
Total Salary	1,129,000	1,284,000	1,795,000
Total FTEs	13	13	18

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

<u>FY 2007 Enacted</u>		<u>FY 2008 Enacted</u>		<u>FY 2009 Request</u>		<u>Difference FY 2008/2009</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>
44	7,156,000	44	4,342,000	45	4,639,000	1	297,000

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; mailroom operations and records management services.
- The Procurement and Contracts Branch is responsible for small purchases and major contract acquisitions; reproduction and graphics services; and SMART Pay purchase card operations.
- The Office Services Branch is responsible for supply room operations; furniture and furnishings inventory; fixed assets; property disposal; receipt of delivery orders; special occasion room/function set-ups; staff relocation services; Help-Desk operations; campus parking enforcement; and vehicle fleet management.
- The Office of the Administrative Officer is ultimately responsible for all of the above activities, as well as security access and ID badges for the court.

**Division Restructuring**

In February 2007, in light of the scope and complexity of the Courts' comprehensive facilities and construction program, and the increasing staff resources and attention needed for this effort, the Courts reorganized the Administrative Services Division and created a separate Capital Projects and Facilities Management Division. The creation of a separate division for capital project management reflects the dedication necessary for critical enterprise construction and renovation projects. In addition, the removal of capital and facilities responsibilities from the Administrative Services Division enables it to function more effectively and to fulfill its mission of supporting court operations and serving the court community. The Administrative Services Division focuses on support services that assist in the efficient and effective administration of justice.

**Workload Data**

In FY 2009, the mailroom expects to process approximately 20,000 juror checks, 240,000 juror summonses, and 230,000 subpoenas. The mailroom expects to process approximately 280,000 outgoing pieces of mail.

The Procurement and Contracts Branch expects that the number of procurement and work order requests will decrease from 3,000 in FY 2008 to 2,500 in FY 2009 due to the widespread use of the SMART Pay purchase card.

The records management area expects to fill over 40,000 record center requests to supply official court records and to process over 12,000 cases of records and files for storage or disposal.

During FY 2009, the Information Center expects to respond to over 17,000 in-coming calls per week (close to 900,000 calls per year). Additionally, the Information Center projects that it will initiate approx 5,000 pages and courtroom notifications per week (approx. 260,000 annually). Finally, it is projected that in FY 2009, the staff at the public information window will respond to approximately 10,000 inquiries per week (520,000 annually).

Table 1  
**ADMINISTRATIVE SERVICES DIVISION**  
**Key Performance Indicators**

Performance Indicator	Data Source	FY2006		FY2007		FY2008	FY2009
		Goal	Actual	Goal	Estimate	Goal	Goal
<b>Help-Desk</b>							
Number of Help Desk Calls Received (reflects database and non database calls)	Office Records	13,000	14,000	14,500	14, 500	15,000	15,500
Number of Hours to Close Help Desk Service Calls	Survey and customer feedback form	24 hours	24 hours	24 hours	36 hours	36 hours	36 hours
% of Court Personnel Satisfied		85%	85%	85%	85%	85%	85%
<b>Telecommunications</b>							
Records Center requests for court records filled	Survey and customer feedback form	30,000	28,000	30,000	30,000	40,000	40,000
Records for Storage or Disposal (cases)		10,500	13,000	14,000	14,000	14,000	14,000
Jury Checks processed by mailroom		50,000	49,000	55,000	55,000	65,000	20,000
Jury Summons processed by mailroom		330,000	327,000	360,000	360,000	380,000	240,000
Subpoenas processed by mailroom		220,000	210,000	240,000	240,000	260,000	280,000
Telecommunications additions, moves and changes		25,000	30,000	40,000	40,000	50,000	40,000
% of Internal Customers Satisfied		95%	95%	95%	95%	95%	95%
<b>Procurement</b>							
Number of Requisitions Processed	Survey and customer feedback form	4500	3,500	4,000	3,700	3,000	2,500
% of Internal Customers Satisfied		95%	99%	95%	97%	95%	95%
<b>Office Services</b>							
Number of Requisitions & Supply Forms Processed	Survey and customer feedback form	2,000	2500	2,500	2,500	1,800	1,200
Value of Goods Distributed to Internal Customers		175,000	200,000	250,000	225,000	175,000	155,000
% of Internal Customers Satisfied		90%	99%	95%	99%	95%	95%

**FY 2009 Request**

In FY 2009, the Courts request for the Administrative Services Division is \$4,639,000, an increase of \$297,000, or 7% above the FY 2008 Enacted Budget. The increase includes \$75,000

for one FTE to enhance materiel management and \$286,000 for built-in increases to meet out-year increases in postal rates, fuel costs, cost of living adjustments, and within-grade increases.

### ***Materiel Management Specialist (JS-11), \$75,000***

Problem Statement. The Division is charged with improved control and management of fixed, controllable, and sensitive assets. Currently a number of staff members share some responsibility for aspects of the receipt, storage, and security of procured items, but also are expected to carry out their primary job duties. As a result, accountability for the critical function of asset and inventory control is at risk and needs to be enhanced. A full-time, dedicated staff person is needed to develop and execute a comprehensive materiel management and fixed asset program.

The materiel management position is essential for the Courts to be responsive to numerous financial audit findings relating to the risks associated with the lack of dedicated personnel, policies, and written procedures for receiving, tracking, accounting for fixed, controllable, and sensitive items purchased by the Courts. The need for this position is also supported by a workload study conducted by the consulting firm of Booz-Allen-Hamilton.

Relationship to the Courts' Strategic Plan. This initiative supports the Courts' goal of enhancing public trust and confidence by establishing programs and procedures based on proven practices and research that enhance the administration of justice.

Relationship to Division Objectives. Management Action Plan #3: The materiel management position will provide support for the division's MAP Objective, *"Ensure control of the Court's assets by implementing an asset/inventory management system, so that items ordered, received, and accepted by the Courts are tracked and accounted for."*

Methodology. The position was classified at a grade 11 based on the Courts' classification policies.

Expenditure Plan. The Materiel Management Specialist will be recruited and hired according to Court personnel policies.

Relationship to Existing Funding. Funding is not available to support the Materiel Management Specialist.

Performance Indicators. Performance measures for this initiative will be the effectiveness of a central point of receiving for deliveries, accuracy of fixed asset inventories, and timely delivery of items purchased by the Courts, as well as feedback from auditors regarding fixed asset management in the Courts.



Table 2  
**ADMINISTRATIVE SERVICES DIVISION**  
**New Positions Requested**

Positions	Grade	Number	Salary	Benefits	Total Personnel Costs
Materiel Management Specialist	JS-11	1	\$60,000	\$15,000	\$75,000

Table 2  
**ADMINISTRATIVE SERVICES DIVISION**  
**Budget Authority by Object Class**

	FY 2007 Enacted	FY 2008 Enacted	FY 2009 Request	Difference FY 2008/2009
11 - Personnel Compensation	3,328,000	2,885,000	3,109,000	224,000
12 - Personnel Benefits	788,000	720,000	776,000	56,000
<b>Subtotal Personnel Cost</b>	<i>4,116,000</i>	<i>3,605,000</i>	<i>3,885,000</i>	<i>280,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	2,984,000	634,000	648,000	14,000
26 - Supplies & Materials	43,000	78,000	80,000	2,000
31 - Equipment	13,000	25,000	26,000	1,000
<b>Subtotal Non Personnel Cost</b>	<i>3,040,000</i>	<i>737,000</i>	<i>754,000</i>	<i>17,000</i>
<b>TOTAL</b>	<b>7,156,000</b>	<b>4,342,000</b>	<b>4,639,000</b>	<b>297,000</b>
FTE	44	44	45	1

Table 3  
**ADMINISTRATIVE SERVICES DIVISION**  
**Detail, Difference FY 2008/2009**

Object Class	Description of Request	FTE	Cost	Difference FY 2008/2009
11 - Personnel Compensation	Current Position WIG	44	43,000	
	Current Position COLA	44	121,000	
	Materiel Management Specialist	1	60,000	
<b>Subtotal</b>				<b>224,000</b>
12 - Personnel Benefits	Current Position WIG	44	11,000	
	Current Position COLA	44	30,000	
	Materiel Management Specialist	1	15,000	
<b>Subtotal</b>				<b>56,000</b>
21 - Travel, Transp. Of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service	Built-in Increase			14,000
26 - Supplies & Materials	Built-in Increase			2,000
31 - Equipment	Built-in Increase			1,000
<b>Total</b>				<b>297,000</b>

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

	<b>FY 2007 Enacted</b>	<b>FY 2008 Enacted</b>	<b>FY2009 Request</b>
JS-3			
JS-4	2	2	2
JS-5	7	7	7
JS-6	7	7	7
JS-7	3	3	3
JS-8	4	4	4
JS-9	2	2	2
JS-10	1	1	1
JS-11	4	4	5
JS-12	5	5	5
JS-13	6	6	6
JS-14	2	2	2
JS-15			
JS-16			
JS-17			
CES	1	1	1
Total Salary	3,328,000	2,885,000	3,109,000
Total FTEs	44	44	45

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

<u>FY 2007 Enacted</u>		<u>FY 2008 Enacted</u>		<u>FY 2009 Request</u>		<u>Difference</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
46	4,195,000	46	5,308,000	49	5,854,000	3	546,000

**Mission Statement**

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

**Organizational Background**

The Budget and Finance Division is comprised of the Director’s Office and four branches and employs 46 FTEs.

<u>Branch</u>	<u>FTE</u>
Director’s Office	7
Budget Branch	5
Accounting Branch	10
Banking and Finance Branch	14
Defender Services Branch	<u>10</u>
<b>DIVISION TOTAL</b>	<b>46</b>

*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).
- ◆ Analyze legislation, federal, or local (District of Columbia), which has a fiscal impact upon the D.C. Courts.
- ◆ Develop and maintain the accounting and reporting system of the D.C. Courts.
- ◆ Monitor and audit expenditures by D.C. Court divisions to ensure compliance with applicable laws and regulations, approved standards, and policies.
- ◆ Enhance the collection of financial data to refine methodologies for the most efficient forecasting and distribution of scarce resources.

## **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 on an on-going basis.
- Provide for the timely and accurate payment processing of valid invoices within 10 days of the division's receipt of a signed and approved invoice with an existing and funded obligation from the appropriate D.C. Courts' official on an on-going basis.
- Generate timely and accurate tracking and reports of all collections, disbursements, escrows, deposits and fund balances under the Courts' stewardship for internal control purposes that are in compliance with generally accepted accounting practices/principles (GAAP) and audit standards on an on-going basis.
- Enhance efficient use of resources and the availability of accurate and current financial information by preparing monthly division-level Personnel Services (PS) reports for division directors on an on-going basis.
- Ensure that the Courts seek necessary resources for defender services by implementing a system that accurately tracks past obligations as defined by the General Accounting Standards Board (GASB), which requires the Courts to account for vouchers when issued, and that accurately projects annual defender services obligations on an on-going basis.
- To 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 on an on-going basis.
- To enhance the Courts' ability to reconcile defender services accounts, project defender services obligations and at the same time, improve customer service to attorneys and reduce the cycle time for payments on vouchers that have been correctly prepared and submitted with the Web Voucher System Phase II on an on-going basis.
- Ensure prudent fiscal management of the Courts' training resources and the timely processing of training and travel requests and reimbursements for the Courts' judicial and non judicial personnel by managing the City Pairs program with streamlined yet well defined policies and procedures on an on-going basis.
- Ensure prudent fiscal management of the D.C. Courts' resources by continuing to develop sound financial management and reporting systems that result in "no material weaknesses" in annual audits.
- Implement management controls sufficient to ensure the maximum collection of court ordered restitution payments and the accurate and timely disbursement of restitution funds with uniform policies/procedures and an automated tracking and reporting mechanism through CourtView on an on-going basis.
- Enhance the Courts' compliance with grant requirements with improved procedures for preparing timely and accurate financial reports on an on-going basis.
- Enhance the ability of the Courts' executive management to make informed decisions regarding the allocation of court resources and comply with appropriation law, by developing timely, accurate and meaningful annual spending plans and monthly reports for the operating

and capital budgets and maintaining a high level of monitoring through effective financial policy documentation.

### **Budget and Finance Division Accomplishments**

To foster the Strategic Plan goals of accountability to the public and responsiveness to the community, the Courts' Budget and Finance Division (B&F Division) implemented a number of improvements in 2006. The Division upgraded the financial system to Pegasys 6.1, which is web-based and user-friendly. The Division created a position control system to track more closely FTE levels and strengthened financial controls. In collaboration with other divisions, the B&F Division implemented the Web-based Voucher System. The Division also implemented a more secured process to combat fraudulent activities in our bank accounts.

Pegasys 6.1 Standard Workflow abolishes the need to manually route forms for approval. Utilizing state-of-the-art technology users select the appropriate approvers while still working on the form. Then, Pegasys 6.1 automatically routes the form to all of the approvers. After the first approval, Pegasys automatically routes the form to the next approver. Since there is no longer manual routing, processing time has been cut, adding to the efficient operation of this financial system.

Even though this software upgrade occurred mid-year, the B&F Division transitioned it smoothly throughout the Courts. Staff worked with the General Services Administration's Pegasys development team to conduct court-wide training sessions to ensure a successful implementation of this new progressive federal financial management tool.

The Courts' Strategic Plan also establishes goals for the effective and efficient use of the D.C. Courts' resources. In 2006, the B&F Division created a semi-automated position control system for all of the Courts' full-time equivalent (FTE) positions in each division by branch. While procedures and methodology for the system are being fine tuned, the division was successful in tracking FTEs with a unique identifying number. This management tool provides historical data to facilitate efficient utilization of personal services costs such as overtime, night differential and holiday pay.

Furthermore, using organization codes, the B&F Division intensified internal controls, streamlined the fund certification process, and maximized its ability to ensure that spending occurs in accordance with established spending plans. This team effort created a management engine that allowed the D.C. Courts to guide the FY2006 budget within 99% accuracy. Without any major financial impact and without compromising services, the D.C. Courts balanced the budget, accounted for funds with precision, demonstrated sound financial management, and illustrated prudent stewardship of federal fiscal resources.

One of the primary goals of the Courts' Strategic Plan has is to promote technology to facilitate electronic access to the D.C. Courts and to facilitate court operations. To demonstrate its continuing commitment to courtwide initiatives that ensure the efficient administration of justice, the B&F Division made 2006 an exciting and productive year through the implementation of technological advancements. Through collaboration with D.C. Courts' IT Division, the B&F

Division “rolled-out” the latest version of its Web-based Voucher System (WVS). The WVS was designed for the issuance, processing, and payment of legal and expert vouchers for services that are provided in association with the representation of indigent defendants under the Courts’ Criminal Justice Act (CJA), Counsel for Child Abuse & Neglect (CCAN), and Guardianship programs.

Since the final implementation phase in July 2006, the WVS has dramatically improved the speed and efficiency with which the Defender Services Branch’s +\$40M budget is administered. Some of the benefits of the WVS include (1) overall reduction in the time and resources required to receive, review, and forward vouchers to the presiding judicial officer for approval, (2) 100% reduction in the reported incidences of lost and mishandled vouchers in comparison to the handling of paper vouchers, and (3) 80% reduction in turnaround time from date of receipt of a completed invoice to the actual payment date. On average 80% of all attorney vouchers are received and processed for payment within thirty days. The WVS has facilitated better management of the approximately 45,000 vouchers processed through the B&F Division annually.

### *Budget Branch*

The Budget Branch has a mission “to support officials of the D.C. Courts in maintaining and improving the Courts’ fiscal health and services through evaluation and the execution of a balanced budget.” This Branch has the primary responsibilities to:

- ◆ Assist the Chief Financial Officer in preparing D.C. Courts’ operating and capital budgets for submission to the U.S. Office of Management and Budget and to Congress. After a budget is passed and becomes law, the Budget Branch monitors and reports the annual spending plan based on appropriations for the D.C. Court of Appeals, Superior Court, Court System, and Defender Services.
- ◆ Oversee the preparation of annual spending plans within quarterly allotments.
- ◆ Estimate Personnel Services (PS) and Non-Personnel Services (NPS) spending for divisions and monitor divisional spending during the fiscal year to ensure compliance with appropriations law and within the amounts allotted and appropriated.
- ◆ Prepare independent analyses and estimates relating to the budget of the D.C. Courts, particularly analyses of operating and capital budget PS and NPS expenditures, and present options and alternatives for consideration by the Chief Financial Officer.
- ◆ Prepare various types of analyses for the Chief Financial Officer, including expenditure estimates for programs and/or activities that Court officials, Federal and/or District of Columbia agencies, or members of Congress have introduced or plan to introduce that will impact the D.C. Courts’ budget.
- ◆ Perform the certification of funds availability and payment functions in the General Services Administration (GSA) accounting system. Prepare the accounting documents and enter approved payment documents into the accounting system.
- ◆ Prepare and submit on a timely basis:
  - monthly year-to-date entity-wide obligation and expenditure reports to the Joint Committee on Judicial Administration;

- monthly year-to-date division-wide obligation and expenditure reports to division directors;
- operating expenditure modification requests for PS and NPS to GSA; and
- grant financial reports to grantors (federal agencies and non-profit organizations) and grantees (D.C. Courts divisions) specifying the year-to-date expenditures.

Table 1  
**BUDGET AND FINANCE DIVISION**  
**Budget Branch**  
**Key Performance Indicators**

Key Performance Indicator	Data Source	Actual FY 2006	Estimate FY 2007	Projection FY 2008	Projection FY 2009
Documents produced to prepare Annual Budget	Pegasys Financial Data and prior years' divisional Budgets	8	8	8	8
Financial reports provided to Senior Court Executives and Joint Committee	Pegasys budget reports on Purchase Requisitions and Contract Obligations	90	95	100	100
Division Directors completing federal Financial Management Training Sessions	D.C. Courts Budget Office	90	95	100	100

### Restructuring and Work Process Redesign

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

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

With this new management tool, the B&F Division implemented new business practices, monitoring NPS spending by branch and performing fund certification for Court System and Superior Court divisions' NPS spending. With these new business practices in place, projections are much more precise and timely. Furthermore, the re-engineered business practices include the dissemination of comprehensive monthly financial reports to directors, the Executive Officer, and Clerks of the Court.

### *Accounting Branch*

The Accounting Branch has a mission "to provide timely, accurate, and useful financial information for making decisions, monitoring performance day to day, and maintaining accountability and stewardship to support the Court divisions and other users of court financial information." Its primary responsibilities are to:

- ◆ Analyze, interpret, and present the D.C. Courts' financial position through timely, accurate, and professional financial reports. These reports provide:

- public assurance on the accountability and integrity of the use of court resources;
  - adherence to budgetary and accounting policies established by court management;
  - adherence to budgetary and accounting policies established by the Governmental Accounting Standards Board (GASB), Federal Accounting Standards Advisory Board (FASAB), Office of Management and Budget (OMB); and
  - compliance with Federal mandates.
- ◆ Prepare and maintain appropriation dollar amounts in the accounting system and reconcile D.C. Courts' appropriations and expenditures to ensure the accuracy and integrity of the information in the accounting system.
  - ◆ Perform court-wide data collection and record keeping necessary for reporting the D.C. Courts' general fixed assets, trust, and proprietary fund assets.
  - ◆ Prepare the Annual Financial Report in accordance with generally accepted accounting principles, prepare all worksheets related to the annual audit, and coordinate the annual independent audit.
  - ◆ Direct, plan, coordinate, and evaluate the resources, processes, and procedures related to data integrity, security, and controls within the D.C. Courts' financial systems. The branch directs and coordinates the functional aspect of financial system upgrades and improvements; educates D.C. Courts users on the system; performs troubleshooting and system table maintenance activities; and facilitates the timely availability of internal financial reports.
  - ◆ Reconcile and receive payments due from employee travel vouchers.
  - ◆ Provide training on all financial management systems.

Restructuring and Work Process Redesign

The B&F Division has reengineered the way the D.C. Courts report their financial performance. New business processes have resulted in the division's issuing the D.C. Courts' Comprehensive Annual Financial Statement (CAFR). The CAFR includes the Courts' audited financial statements and accompanying financial reports as prescribed by the Government Accounting Standards Board. The CAFR is the highest standard of financial reporting by state and municipal governments. The D.C. Courts are one of only three court systems in the United States to produce a CAFR.

Table 2  
**BUDGET AND FINANCE DIVISION**  
**Accounting Branch**  
**Key Performance Indicators**

Key Performance Indicator	Data Source	Actual FY 2006	Estimate FY 2007	Projection FY 2008	Projection FY 2009
Establish a baseline for processing invoices: Distribution of invoices and payment approval	Payment Accounting Invoice Tracking	2 days-10 days	2 days- 10 days	2 days-10 days	2 days-10 days
Percentage of travel and training invoices processed timely	Payment Accounting Invoice Tracking	95%	96%	97%	98%
Number of timely payments	Payment Accounting Invoice Tracking	73%	87%	88%	89%



## *Defender Services Branch*

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

- ◆ Issuance, audit, review, tracking, and payment of vouchers for the Criminal Justice Act (CJA) and Counsel for Child Abuse and Neglect (CCAN) Programs. The types of vouchers that are processed by the Defender Services program include vouchers for legal and expert services (including supplemental voucher forms); vouchers for Mental Health and Retardation proceedings; and Appeal proceedings vouchers. (Under D.C. Code 23-106, witnesses for indigent defendants are paid by the Court if: (1) a valid and completed subpoena has been issued for the presence of the witness or (2) the presence of the witness is necessary to provide for an adequate defense.)
- ◆ Review, process, and pay court-ordered compensation to legal and expert service providers who represent and protect mentally incapacitated individuals and minors whose parents are deceased under the Guardianship program.

### Restructuring and Work Process Redesign

In an effort to provide cost efficient operations, the B&F Division analyzed its paper-based voucher payment processing; labor-intensive processes, such as paper tracking, mailing, and photocopying; and initiated the development of an automated system to enhance the ability to track CJA and CCAN vouchers from the date of submission through the date of payment. The Web-based Voucher System II is a result of a collaborative effort of the B&F Division's Defender Services Branch, Information Technology Division, Probate Division, Criminal Division, and the Family Court.

The B&F Division's cost benefit analysis of the Web-based Voucher System II revealed the following potential cost-saving features and areas of efficiency gains: (1) reduction of staff time on the telephone with clients/customers (telephone inquirers will be better informed as a result of the web voucher system); (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, respectively; (4) reduction in postage and handling expenses and time; and (5) the reduction in the overall paper consumption and cost.

Table 3  
**BUDGET AND FINANCE DIVISION**  
**Defender Services Branch**  
**Key Performance Indicators**

Key Performance Indicator	Data Source	Actual FY 2006	Estimate FY 2007	Projection FY 2008	Projection FY 2009
Complete and accurate payment vouchers processed within 45 days of receipt in the Defender Services Branch	Weekly review of batch reports before payroll is generated & random review of vouchers	75%	80%	85%	90%
Court total processing time of vouchers, from date of issuance, through final case disposition and payment reduced to 30 months	Voucher Tracking System	90%	95%	95%	100%
Increase in Customer Satisfaction	Customer Surveys	95%	99%	99%	99%
Adherence to CJA and CCAN Plans and Administrative Orders	Management Reports	100%	100%	100%	100%
Percentage of vouchers submitted in compliance with operating procedures	Voucher Tracking System	85%	95%	97%	98%
Informational materials disseminated to public	CJA and CCAN Plans	30	30	30	30
Decrease in the number of questions concerning the voucher submission process	Customer Service Survey	60%	85%	90%	95%
Guideline fee case acceptance	Voucher Tracking System	90%	95%	100%	100%
Vouchers filed on line	Voucher Tracking System	60%	95%	96%	100%

*Banking and Finance Branch*

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

- ◆ Receive payments (court fees, fines, and forfeitures) from customers at public cashier offices and handle escrow accounts;
- ◆ Establish and maintain good customer relations;
- ◆ Perform cash management operations according to established D.C. Courts’ financial policies and procedures;
- ◆ Protect the assets of the D.C. Courts through sound accounting, reporting, and loss prevention practices;
- ◆ Deposit all monies received and complete all cash receipt forms promptly and accurately and balance cash daily;
- ◆ Account for all monies held in escrow in the Registry of the Court and reconcile all court bank accounts; and
- ◆ Make payments to witnesses in accordance with the D.C. Official Code and related Court rules.

Restructuring and Work Process Redesign

In support of the full implementation of the Integrated Justice Information System (IJIS, the new case management system), the B&F Division has 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.

Table 4  
**BUDGET AND FINANCE DIVISION**  
**Banking and Finance Branch**  
**Key Performance Indicators**

Key Performance Indicator	Data Source	Actual FY 2006	Estimate FY 2007	Projection FY 2008	Projection FY 2009
Average number of daily transactions per division cashier	Court Finance and Remittance System (CFRS) & CourtView	35	35	30	30
Number of monthly deposits	Peachtree & Integrated Accounting System	240	240	240	240
Accuracy in processing payments	CourtView/Peachtree	99.5%	99.5%	99.5%	99.5%
Preparation of financial reports within 45 days of month's end	Peachtree	85%	85%	90%	95%
Increase in customer satisfaction	Customer Surveys and Customer Suggestion Box	90%	95%	96%	98%
Bank reconciliations per month	DC Courts' Comprehensive Annual Financial Report (CAFR)	15	15	15	15
Accurate completion of the monthly bank reconciliations of the D.C. Courts' bank accounts within 45 days of each month's end	Peachtree	85%	85%	90%	95%

Banking and Finance Branch Work Process Redesign

The Banking and Finance Branch has reclassified some existing positions to align them more closely with the cashiering, banking, and accounting functions performed by its employees. New internal controls and procedures have been initiated to more closely manage and monitor workflow.

**FY 2009 Request**

The Courts' FY 2009 Request for the Budget and Finance Division is \$5,854,000, an increase of \$546,000 (10%) above the FY 2008 Enacted Budget. The requested increase consists of \$273,000 for 3 FTEs to augment the accounting staff and \$273,000 for built-in cost increases.

***3 Accountants (JS-12), \$273,000***

Problem Statement. To enhance fiscal management and facilitate the preparation of financial statements and reporting requirements of the General Accounting Standards Board (GASB), as recommended in recent independent audits by KPMG and Williams-Adley, the Courts need

additional accounting staff. The D.C. Courts operate under two distinct accounting requirements: (1) Federal Accounting Standards Advisory Board (FASAB) regulations that govern federal financial systems and reporting; and (2) GASB regulations, under which the Courts' financial statements are audited. Meeting both sets of requirements requires the knowledge and expertise of Accountants with both federal and state/municipal experience.

The Courts have implemented the GSA Pegasys financial accounting system, which is based on the Momentum financial system and is a Joint Financial Management Improvement Program (JFMIP) approved Federal Financial Management package. The accounting system provides a standard general ledger, budget subsystem and a purchasing subsystem that includes some processing and tracking functions. New JFMIP requirements for financial systems and the FASAB and the GASB accounting requirements have resulted in increased responsibilities for the Accounting Branch staff.

Current staffing in the Accounting Branch is inadequate to meet the increased accounting requirements and provide timely reconciliation of the standard general ledger, including payroll bi-weekly entries, and the timely preparation of the Comprehensive Annual Financial Report (CAFR). The CAFR provides staff, citizens, and the general public with useful information about the Courts' operations and financial position. To promote accountability, the Courts' Budget and Finance Division prepares these reports in accordance with standards promulgated by GASB, FASB, the Government Finance Officer Association of the United States and Canada (GFOA) and other accounting rule-making bodies. The Division is responsible for the accuracy and completeness of the data presented. An independent audit cited the need for additional staff dedicated to meeting these accounting requirements.

Relationship to Court Mission, Vision, and Strategic Goals. The Budget and Finance Division is responsible for ensuring fiscal accountability, which supports the Courts' goal of enhancing public trust and confidence by ensuring the availability of financial reports and audits. Providing division directors with timely and detailed financial information on which to base divisional management decisions will enhance administrative efficiencies and strengthen the fiscal integrity of the Courts.

Relationship to Divisional Objectives. The request for additional accountants supports the Budget and Finance Division's MAP objective to ensure prudent fiscal management of the D.C. Courts resources by continuing to utilize financial management and reporting systems that result in "no material weaknesses" in annual independent audits.

Relationship to Existing Funding. Existing resources cannot support the budget request.

Proposed Solutions. Hire three (3) accountants to analyze and reconcile the Courts' standard general ledger accounts, including payroll on a monthly basis, and prepare the CAFR as part of the annual audit. The accountants will analyze and reconcile the payroll entries and the budgetary and proprietary standard general ledger accounts for each fund over the five open appropriation years. The accountants will research and reconcile unreconciled commitments and obligations.

Methodology. The need for the accountants is based on audit findings and recommendations from KPMG LLP and Williams-Adley and a prior GAO audit regarding the daily, weekly, and monthly reconciliation of all accounts (escrow, expenditure, capital, grants).

Expenditure Plan. The recruitment and selection process will be conducted in accordance with court personnel policies.

Performance Indicators. The Courts will measure performance through the reduction in the time to complete the annual audit.

Table 5  
**BUDGET AND FINANCE DIVISION**  
**New Positions Requested**

Position	Grade	Number	Annual Salary	Benefits	Total Personnel Costs
Accountants	JS-12	3	\$218,000	\$55,000	\$273,000

Table 6  
**BUDGET AND FINANCE DIVISION**  
**Budget Authority by Object Class**

	FY 2007 Enacted	FY 2008 Enacted	FY 2009 Request	Difference FY 2008/2009
11 - Compensation	2,669,000	3,501,000	3,919,000	418,000
12 - Benefits	640,000	875,000	980,000	105,000
<i>Subtotal Personal Services</i>	<i>3,309,000</i>	<i>4,376,000</i>	<i>4,899,000</i>	<i>523,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	4,000	6,000	7,000	1,000
25 - Other Services	869,000	909,000	929,000	20,000
26 - Supplies & Materials	9,000	11,000	12,000	1,000
31 - Equipment	4,000	6,000	7,000	1,000
<i>Subtotal Non-Personal Services</i>	<i>886,000</i>	<i>932,000</i>	<i>955,000</i>	<i>23,000</i>
<b>TOTAL</b>	<b>4,195,000</b>	<b>5,308,000</b>	<b>5,854,000</b>	<b>546,000</b>
FTE	46	46	49	3

Table 7  
**BUDGET AND FINANCE DIVISION**  
**Detail, Difference FY 2008/2009**

Object Class	Description of Request	FTE	Cost	Difference FY 2008/2009
11 - Compensation	Current Positions WIG	46	53,000	
	Current Positions COLA	46	147,000	
	Accountants	3	218,000	
<b>Subtotal</b>				<b>418,000</b>
12 - Benefits	Current Positions WIG	46	13,000	
	Current Positions COLA	46	37,000	
	Accountants	3	55,000	
<b>Subtotal</b>				<b>105,000</b>
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in			1,000
25 - Other Services	Built-in			20,000
26 - Supplies and Materials	Built-in			1,000
31 - Equipment	Built-in			1,000
<b>Total</b>				<b>546,000</b>

Table 8  
**BUDGET AND FINANCE DIVISION**  
**Detail of Full-Time Equivalent Employment**

	FY 2007 Enacted	FY 2008 Enacted	FY 2009 Request
JS-3			
JS-4	1	1	1
JS-5			
JS-6			
JS-7	6	6	6
JS-8	2	2	2
JS-9	8	8	8
JS-10	1	1	1
JS-11	7	7	7
JS-12	5	5	8
JS-13	10	10	10
JS-14	4	4	4
JS-15	1	1	1
JS-16			
CES	1	1	1
Total Salary	2,669,000	3,501,000	3,919,000
Total	46	46	49

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

<u>FY 2007 Enacted*</u>		<u>FY 2008 Enacted</u>		<u>FY 2009 Request</u>		<u>Difference FY 2008/2009</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
18	911,000	18	4,972,000	24	5,561,000	6	589,000

The Capital Projects & Facilities Management Division consists of the Office of the Capital Projects & Facilities Management Officer and is structured as follows:

- The Contracting Officer has the authority to enter into and/or terminate capital construction and lease contracts and to make related determinations and findings on behalf of the District of Columbia Courts.
- The Building Operations Branch is responsible for facilities management and maintenance of court-owned as well as leased space; lease management; building maintenance and repair (including heating, ventilation, and air conditioning); grounds care; custodial services; and staff relocation services.
- The Capital Projects Branch is responsible for budget preparation, planning, implementation, and management of capital projects for the Superior Court and the Court of Appeals.

**Division Restructuring**

In February 2007, in light of the scope and complexity of the Courts’ comprehensive facilities and construction program, and the increasing staff resources and attention needed for this effort, the Courts reorganized the Administrative Services Division and created a separate Capital Projects and Facilities Management Division. The creation of a separate division for capital project management reflects the dedication necessary for critical enterprise construction and renovation projects. The Capital Projects and Facilities Management Division consists of the capital projects, building operations, and facilities support functions, and an array of consultants, architects, and contractors. The division is responsible for developing, implementing, managing, and directing capital construction projects; real property and facilities management; and related environmental programs.

**Workload Data**

In FY 2009, the Capital Projects & Facilities Management Division expects to manage janitorial and cleaning services for the Courts’ 1,100,000 sq. ft. of net floor area (Old Courthouse, Moultrie Courthouse, Buildings A, B and C, Gallery Place and the new parking garage) in a cost-effective manner at approximately \$6.55/sq. ft.

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\* The very low FY 2007 figure reflects restructuring to create the Capital Projects and Facilities Management Division out of the Administrative Services Division during FY 2007.

The facilities maintenance, repair, and operations (MRO) costs for the entire D.C. Courts' complex in FY 2009 are projected to be \$13.04/sq. ft. This is comparable to projected industry standards (International Facility Management Association) of \$12.72/ sq. ft. for MRO costs.

Table 1  
**CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION**  
**Key Performance Indicators**

Performance Indicator	Data Source	FY 2006		FY 2007		FY 2008	FY 2009
		Goal	Actual	Goal	Estimate	Goal	Goal
<b>Facilities Maintenance</b>	Survey and customer feedback form	24 hours	24 hours	24 hours	36 hours	24 hours	18 hours
Number of Hours to Close Help Desk Service Calls % of Court Personnel Satisfied		85%	85%	85%	85%	85%	85%

**FY 2009 Request**

In FY 2009, the Courts request for the Capital Projects & Facilities Management Division is \$5,561,000, increase of \$589,000 (12%) above the FY 2008 Enacted Budget. The increase includes \$413,000 for six FTE's to provide round-the-clock engineering support for Court facilities and \$176,000 for built-in increases.

***FTE Request: 6 Engineer/ Mechanics (JS-9), \$413,000***

Problem Statement. The D.C. Courts' facilities consist of the Old Courthouse, the Moultrie Courthouse, Buildings A, B, and C, leased space for administrative support at Gallery Place, and a number of field offices for probation services, totaling over one million gross square feet. The Moultrie Courthouse is open 24 hours a day, 7 days a week. Today the Courts have only 12 employees for facilities management. No staff members are available on-site to handle emergencies which arise on weekends or after 4 p.m. on weekdays. These individuals routinely work overtime on emergency duty, and maintain a complicated "stand by" schedule. Although the on-call response time is within 30-minutes, extensive damage can occur by systems failures during off-hours without immediate attention. Of special concern are the Courts' computer systems which are especially vulnerable to HVAC failures, and upon which the District's criminal justice system and the entire D.C. Courts are dependent.

The Moultrie Courthouse is open round-the-clock to permit litigants and attorneys to file cases and to accommodate the public. Currently, court operations are interrupted and the Courts routinely incur additional costs for emergency facility repairs and routine maintenance requirements because current staffing is insufficient to provide engineering support. The need for more engineering staff is particularly critical as judicial and division operations of the Courts are reassigned to different facilities as these additional facilities come on-line in the next two years. The addition of the requested FTEs will provide 24-hour coverage for all court buildings.

Relationship to the Courts' Strategic Plan. By improving the maintenance, the additional FTEs would support the strategic goal of a sound infrastructure by ensuring that court facilities will be accessible to the public and support effective operations. The additional FTEs would permit



engineering coverage of court buildings during the evenings and on weekends and thereby, reduce court interruptions due to building system failures.

Methodology. The additional engineering/mechanical staff is based on International Facilities Management Recommendation for facilities of comparable size (IFMA – Operational and maintenance benchmarks, c. 2001 IFMA Research Report #21) and is supported by a workload study conducted by the consulting firm of Booz-Allen-Hamilton.

Expenditure Plan. The additional engineers would be required to possess a District of Columbia Class 6 Steam License and would be recruited and hired according to D.C. Courts’ personnel policies.

Performance Indicators. The additional FTEs would support the following “Performance Indicators” shown in Table 1 of this submittal:

- Decrease the number of “Help Desk” calls related to engineering support;
- Reduce the number of hours to close Help Desk service calls related to engineering issues

Although not stated in the Management Action Plans of the division or in the Performance Indicators, the FTEs would also:

- Decrease court interruptions due to building system failures.
- Reduce the need for on-call differential pay for building engineers. Overall savings from reduced differential pay is estimated to be approximately \$40,000 per year.
- Reduce the need for certain outside electrical and mechanical blanket purchases by the Courts. Total savings from this action are estimated to be over \$100,000 per year.

Table 2  
**CAPITAL PROJECTS & FACILITIES MANAGEMENT DIVISION**  
New Positions Requested

	<b>Grade</b>	<b>Number</b>	<b>Salary</b>	<b>Benefits</b>	<b>Total Personnel Costs</b>
Engineer	JS-9	6	\$330,000	\$83,000	\$413,000

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

	<b>FY 2007 Enacted*</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>	<b>Difference FY 2008/2009</b>
11 - Compensation	726,000	1,553,000	1,971,000	418,000
12 - Benefits	185,000	388,000	493,000	105,000
<b>Sub-total Personnel Cost</b>	<i>911,000</i>	<i>1,941,000</i>	<i>2,464,000</i>	<i>523,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	0	3,007,000	3,071,000	64,000
26 - Supplies & Materials	0	21,000	22,000	1,000
31 - Equipment	0	3,000	4,000	1,000
<b>Sub-total Non Personnel Cost</b>	<i>0</i>	<i>3,031,000</i>	<i>3,097,000</i>	<i>66,000</i>
<b>TOTAL</b>	<b>911,000</b>	<b>4,972,000</b>	<b>5,561,000</b>	<b>589,000</b>
FTE	18	18	24	6

Table 4  
**CAPITALPROJECTS & FACILITIES MANAGEMENT DIVISION**  
**Detail, Difference FY 2008/2009**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2008/2009</b>
11 - Compensation	Current Positions WIG	18	23,000	
	Current Positions COLA	18	65,000	
	Engineers	6	330,000	
Subtotal				418,000
12 - Benefits	Current Positions WIG	18	6,000	
	Current Positions COLA	18	16,000	
	Engineers	6	83,000	
Subtotal				105,000
21 - Travel and Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				64,000
26 - Supplies and Materials				1,000
31 - Equipment				1,000
Total				589,000

\* The very low FY 2007 figure reflects restructuring to create the Capital Projects and Facilities Management Division out of the Administrative Services Division during FY 2007.

Table 5  
**CAPITALPROJECTS & FACILITIES MANAGEMENT DIVISION**  
**Detail of Full-Time Equivalent Employment**

	<b>FY 2007 Enacted</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	4	4	4
JS-9	4	4	10
JS-10	1	1	1
JS-11	1	1	1
JS-12	1	1	1
JS-13	4	4	4
JS-14	1	1	1
JS-15	1	1	1
JS-16			
CES			
Ungraded	1	1	1
Total Salary	726,000	1,553,000	1,971,000
Total	18	18	24

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

<u>FY 2007 Enacted</u>		<u>FY 2008 Enacted</u>		<u>FY 2009 Request</u>		<u>Difference</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
6	1,148,000	6	1,332,000	7	1,833,000	1	501,000

**Mission Statement**

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

**Organizational Background**

The Center’s staff of six 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, customer service, cultural diversity, and a variety of technology classes on various software programs used by the Courts such as Microsoft Office and the Integrated Justice Information System. The 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 informational programs for court visitors, including many delegations of international guests.

**Division Objectives**

The Division’s objectives support the Courts’ strategic goal of a sound judiciary and workforce by employing a highly-skilled and well-trained workforce:

- To enhance the effectiveness of the judiciary by providing a myriad of judicial education opportunities, including three conferences annually, to all the judicial officers in the D.C. Courts. (MAP 1)
- To support the professional development of all judicial branch personnel through more than 100 courses and conferences annually, so that they may better serve the public and, ultimately, enhance the public’s trust and confidence in the Courts. (MAP 2)
- To respond to specialized requests for training from specific divisions within 48 hours so that employees can support the Courts’ goal of enhancing the administration of justice.
- To develop alternative instructional methodologies to enhance the level of student participation. Courses are specially designed or scheduled for courtroom staff members who find it difficult to participate in classroom instruction during the workday. (MAP 3)

- To develop a Leadership Institute which will offer teambuilding, leadership courses, individual assessments, coaching, and personal and professional development activities to maximize the effectiveness of the Senior Executive Team in achieving their performance goals and, thereby, the strategic goals of the Courts. (MAP 4)
- To maximize the effectiveness of the Courts' management, address critical emerging human resource gaps with approaching staff retirements, and increase the pool of future managers and leaders through the creation of a Management Institute that offers the Management Training Program for 20 selected individuals annually as well as ongoing courses in performance management and supervision skills. (MAP 5)
- To improve service to the public by developing a curriculum specifically for the career development of court operations staff including courtroom clerks, file clerks and deputy clerks. (MAP 6)
- To provide at least ten hours of training for all court employees annually.

### **Restructuring or Work Process Redesign**

The Center has initiated a variety of structural, work process and personnel changes over the last several years. The staff of six has been completely restructured with 66% of the division having been in place less than three years. These changes are a result of feedback received through a myriad of assessment tools, including an outside needs assessment and direct interaction and questionnaires completed by employees, both judicial and non-judicial. Armed with a better understanding of the substantial training needs of the Courts, the Center has energetically set about making an important and needed contribution to the entire organization. Thus far, the Center has made significant progress in implementing many creative training opportunities for the entire employee populace of the Courts. However, many more strategically designed programs would be possible with the support of enhanced staffing and funding.

Recently, the Executive Service and Senior Management completed specialized training in organizational development and personal effectiveness through "Emotional Intelligence in Practice." Funds are needed to continue essential leadership development programs for court executives.

The D.C. Court of Appeals has initiated a series of educational roundtable discussions with national legal experts which has been extremely well received. The Court of Appeals Judges have proven to need a different type of training than that offered to Superior Court judicial officers. A training budget is needed for the Court of Appeals to continue this innovative effort and to offer other 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 pilot Management Training Program for 20 competitively selected employees from each division within the Courts. The Program offered a 12-month series of classes taught by national experts and in-house leaders. The Center is seeking funding for the continuation of this national model in-house Management Training Program.

Similarly, a Clerks Curriculum Committee has been appointed to review and design a progressive curriculum for career enhancement of court operations staff (70% of the Courts' workforce). The Court Operations Academy will be a multi-year series of core courses designed to address the skill development needs of court operations staff throughout their long careers at the Courts.

Technology classes are the top priority training need in every needs assessment conducted by the Center. Utilizing two new computer labs, there is a newly dedicated focus on technology training. The Center offers not only basic but also intermediate and advanced levels of computer classes such as Excel, PowerPoint, Crystal Reports, and others. There is a need to offer technology classes on other more sophisticated, court-focused programs such as CourtView (the software for the Integrated Justice Information System). The Center will develop plans for alternative learning methods such as on-line classes, blended learning and cross training. Additional technology training funds are needed to meet the current demand.

In 2007, the Management Training Committee, along with staff of the Center, addressed a common theme amongst many workplace environments: morale. With limited resources, the first ever Courtwide Training Conference was planned and implemented for the entire court staff and was attended by more than 500 employees. The Conference was designed so that each employee could feel appreciated for the work that they perform on a daily basis and so that they could see the importance of their individual contributions to the Court's overall mission in the administration of justice. The Conference and Division Fair proved to be a winning ingredient toward enhancing employee morale and restoring employee confidence and has been requested again as an essential and inclusive court activity. The Center is requesting that adequate resources and funding be made available to offer future court wide conferences for all employees.

In a major work process redesign, the registration process for conferences and all regular classes was converted to a web-based, on-line system that also maintains several databases. It was a relatively smooth transition and has worked very well from an organizational perspective. The registration package has allowed the Center better to fill classes, more accurately to track employee training records, to generate a variety of needed reports and to assist employees in their personal career development tracks.

Since the training reforms have been enacted, training has increased dramatically in terms of the number of classes each year that the Center offers, the number of participants, the number of training hours received as well as the level of satisfaction. For example, in the last several years, the number of classes offered has been over 100 and increasing each year. Between 2005 and 2007, the number of courses offered and the number of training hours completed during the first calendar quarter more than doubled from 15 classes/1229 participants to 34 classes/3060 participants respectively. Training hours for each year have consistently been over 10,000 hours and indicators point to increased activity levels. The workforce, including the judicial officers, is beginning to place increasing demands on the Center with respect to anticipated offerings and manpower not only in the planning and development of the offerings but also the acquisition of faculty, course materials and logistics. It is anticipated that adequate funding will assist the Center in its ability to better respond to these increased demands.

Finally, the International Visitors Program has been restructured and is now headed by the Deputy Director for Judicial Education. With approximately 30 delegations 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. Additional staff assistance has been requested to support this function.

**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 visitors programs held and the number of visitors attending the programs. Systematic collection of this data was begun in calendar year 2005.

Table 1  
**CENTER FOR EDUCATION AND TRAINING**  
**Workload Data**

<b>Data Measure</b>	<b>FY 2006 Actual</b>	<b>FY 2007 Estimate</b>	<b>FY 2008 Projected</b>	<b>FY 2009 Projected</b>
Courses Offered	109	100	110	120
Judicial Participants	681	600	600	600
Non-Judicial Participants	1911	1550	1575	1625
Training Hours Delivered	12,241	10,000	10,000	10,000
Divisions Supported	3	4	5	5
Programs & Tours for Visitors	32	25	30	35
Number of Official Visitors	750	550	600	700

**Key Performance Measures**

Table 2  
**CENTER FOR EDUCATION AND TRAINING**  
**Key Performance Indicators**

Type of Indicator	Key Performance Indicator	Data Source	FY 2006		FY 2007		FY 2008	FY 2009
			Goal	Actual	Goal	Estimate	Goal	Goal
Output	Programs Offered	Training Schedule	100	109	110	100	110	120
Outcome	Judges Trained	Participant Lists	335	681	345	600	600	600
Outcome	Employees Trained	Sign-in Sheets	1550	1911	1575	1550	1575	1625
Input	Program Quality	Participant Evaluations	75% >3.5	95% >3.5	80% > 3.5	95% > 3.5	80% >3.5	80% >3.5
Input	Program Quality	Managers' Assessment of Relevance	50% positive	n/a	55% positive	60% positive	55% positive	60% positive
Output	Court Tours & Programs	Visitors Schedule	36	32	37	25	30	35
Outcome	Establishment of Management Training Program cohort	Training Schedule & Participant List	1 cohort	1 cohort	1 cohort	1 cohort	1 cohort	1 cohort

## **FY 2009 Request**

In FY 2009, the Courts request \$1,833,000 for the Center for Education and Training, an increase of \$501,000, or 38%, over the FY 2008 Enacted Budget. The requested increase consists of \$355,000 for a number of needed training initiatives including leadership and management institutes, training and travel for the Court of Appeals and the Superior Court, technology training, and a biennial Courtwide Conference for all staff; \$123,000 for 1 FTE to increase capacity to offer substantially higher levels of training; and \$56,000 for built-in increases.

### ***Increased Training Programs for Judges and Court Staff - \$355,000***

Problem Statement. To maximize the effectiveness of the Courts' judges, executives, senior managers, mid-level supervisors, and court operations staff, the Center seeks to establish several ongoing training initiatives. These initiatives are needed to support the changes envisioned in the Strategic Plan and to prepare for organizational and personnel changes anticipated in the years ahead. The performance of the D.C. Courts will only be as good as the collective performance of the staff. Judges and personnel are facing complex and changing demands in terms of social issues, technology, management and organizational challenges and increasingly complicated court operations. A well-trained staff, cognizant of best practices throughout the nation, is essential to operate a model justice system in the Nation's Capital.

As the Court introduces new technology, court employees must be trained to utilize new and innovative tools to accomplish their duties. The new Integrated Justice Information System (IJIS) and the CourtSmart Digital Recording System require additional skills and significantly change the way the Courtroom Clerks accomplish their tasks inside the courtroom.

The Courts recently implemented a new performance management program that rewards outstanding performance. Enhanced training opportunities are critical to raising the skill level of every court employee to permit them to reach the highest performance levels. The new training programs will enhance their ability to compete for promotions and vacancies with outside applicants who may have benefited from more skill-based training in the private sector and other government agencies.

The Court's Strategic Plan and Mission combine to substantially shift the demands and expectations placed on all staff. Principles of change management dictate that the best way to progress as an organization is to communicate and provide staff the skills needed to achieve through training programs. The investment of training dollars is a key quality that distinguishes excellent organizations from average ones. For the D.C. Courts, it is not an optional expense.

Relationship to Court Mission and Goals. The proposed training programs support the Courts' strategic goal of a strong judiciary and workforce by providing training to judges and court staff. Specifically, the request supports the Courts' Strategy 3.1.1 to provide training to judicial officers and court personnel which increases professional knowledge and skills and enhances job performance. The training programs will be designed to tie employees' skills to achieving the goals of the Courts' Strategic Plan. The alignment of employee skills with the Court's mission



also supports goal of maintaining a skilled and diverse workforce and an environment that fosters high achievement and satisfaction.

Relationship to Divisional Objectives. The Center is charged with providing learning and professional development opportunities to court personnel. All of the proposed training programs are key elements of the Center's Management Action Plans (MAPs 1 - 6) to implement the Courts' Strategic Plan. In addition, each Division develops an annual training plan based on its specific MAPs.

Relationship to Existing Funding. The Courts' existing training budget is not sufficient to finance the needed training efforts. While the D.C. Courts have a solid history of offering training opportunities to employees and judges, the per-employee expenditure is below the norm for other Federal agencies and well below the norm for the private sector. Private companies spend on average 3.6% of their personnel budget on training. Federal agencies spend on average 1.9% of their personnel budget on training. Currently, the D.C. Courts spend 1.1% of their personnel budget on training. The proposed increase would bring the percentage to approximately 1.5%.

Proposed Solutions. The Courts propose the establishment of a number of special training institutes and outside training opportunities for all judicial and non-judicial employees as follows:

- LEADERSHIP AND MANAGEMENT INSTITUTES – (\$140,000) Executive and management institutes modeled on federal programs will enhance the skills of senior executives and develop managers into future organizational leaders. Like the Federal Executive Institute and Management Development Centers sponsored by the Office of Personnel Management, the Courts' institutes will be dedicated to developing career leaders and offering world-class training programs. Through these institutes, the Courts will develop appropriate core competencies and offer a coherent, strategically based curriculum. The Leadership Institute will include team training sessions, individual coaching, and leadership and strategic management training including special training and coaching for new Court Executive Service members. The Management Institute will include a year long Management Training Program consisting of 12 courses for 20 employees selected on a competitive basis.
- SUPERIOR COURT STAFF – (\$100,000) To enhance the professional development of Superior Court staff, the Courts will increase travel and training funds. The requested funds would enhance training opportunities for 663 employees in ten Operating Divisions. Funds would be used for attendance at professional conferences, courses offered by the National Center for State Courts, and countless other court technology and court operations conferences across the country. For example, the National Association for Court Management sponsors an annual conference that offers sessions on varied topics of interest to the profession. In addition, it provides an opportunity to exchange ideas with court professionals from other jurisdictions throughout the country and to learn best practices from courts around the nation. There is much to be gained by learning how other courts address issues and challenges similar to those faced by the D.C. Courts
- COURT OF APPEALS JUDGES AND STAFF – (\$35,000) To enhance the professional development of Court of Appeals judges and staff, the Courts seek an increase in travel

and training funds. The personnel of the Court of Appeals require specialized training unique to appellate case management. Appellate judges utilize specialized skill sets, and practices for appellate courts differ from those of trial courts. For example, the Court of Appeals recently launched a mediation project to adapt the use of alternative dispute resolution (ADR) techniques traditionally used at the trial court level to expedite case resolution and increase litigant satisfaction in appeals cases. As the use of ADR in appellate cases is a relatively new area, the D.C. Court of Appeals Judges and staff need education and training in ADR methodologies and programs. Further, Judges on the D.C. Court of Appeals would like to invite national scholars on current legal theories and topics to engage in a series of roundtable discussions. National organizations with expertise in appellate court best practices offer training and professional conferences that enable judges and staff to learn both from experts and from their colleagues in other jurisdictions. In addition, the new performance management program necessitates training and development opportunities for employees as well as management training in coaching, enhancing employee accountability, and giving feedback. Well-trained judges and staff are critical to the effective administration of justice.

- TECHNOLOGY TRAINING – (\$50,000) The Court’s training facilities at Gallery Place include two 12-seat computer labs. Computer skills and software applications are typically taught in small groups with each student at a computer terminal. Currently, the Center cannot meet the demand for technology classes. Registrants are sometimes put on a waiting list several times over. Also, the budget allows for only limited classes in other applications such as Oracle Discoverer, the software used to produce reports from CourtView. Budget limits also prevent the CET from offering as many intermediate and advanced courses as are required to meet the growing demand. The technology classes are helping court staff to meet the modern demands of their jobs and to work more efficiently and productively.
- COURTWIDE CONFERENCE FOR ALL COURT STAFF – (\$30,000) In 2007, the Management Training Committee decided to divert management training resources to hold a Courtwide Conference that would train all staff, offer a morale-booster and express appreciation to all the staff who were covering vacant positions and accomplishing more with less under severe budget constraints. Almost 500 employees attended the day long conference and it was deemed a major success. Most employees and senior managers believe the conference should become a regular event. Additional funds are necessary to achieve this.

Methodology. The Center seeks input from employees and court leadership in a number of ways to determine priority areas for training and curriculum development. Senior Management completes a written survey annually. Staff suggestions and input are requested on each training participant evaluation form. Supervisors list training needs on the last page of each employee performance evaluation. These are compiled in a report that informs the development of the Center’s annual Training Plan. In designing a new training initiative, the Center typically utilizes a committee of court staff to review options and select the most relevant topics, the most effective training methods, and the best faculty. Current Court Committees working with the Center to plan training include:

- Judicial Education
- Leadership Advisory

- Management Training
- Family Court Training
- Court Improvement Program and
- Clerks' Curriculum.

An annual training plan is developed and regular training opportunities are offered to staff and judges throughout the year based on the assessed needs. Each employee is required to complete a minimum of 10 hours of training annually.

Expenditure Plan. Court committees will establish missions, visions, core competencies, and curricula for the various training initiatives. Training programs will be procured in accordance with court procurement policies.

Performance Indicators. Performance indicators for the Courts' training programs include quantity and quality of training programs offered, high level of interest and participation, high completion ratio, and high satisfaction ratings from participants and managers.

### ***Training Manager (JS-12), \$91,000***

Problem Statement. The Center for Education and Training provides over 100 classes plus three or four conferences annually with a staff of six. This is a level of activity that has increased dramatically in the past few years. With funding for new training initiatives, continued growth in staff activity is inevitable. Current activities account for over 10,000 staff and judicial training hours delivered each year. The ambitious plans outlined above, while requested, encouraged and embraced by all of the Courts' Divisions, will require substantially more effort on the part of the Center to staff committees, plan curriculums, prepare materials, register participants, secure faculty, and handle all the logistical arrangements. The Center staff is fully committed to making the D.C. Courts a learning organization but the level of effort required is clearly more than the current level of staffing can support. One new position, a Training Manager, is requested. The Training Manager would assume duties similar to that of the two current Training Managers and would focus on the Court Operations Academy and the Family Court Improvement Project in addition to a portion of the regularly scheduled monthly training.

Relationship to Court Mission and Goals. The proposed staff increase will support the Courts' strategic goal of a strong judiciary and workforce. Specifically, the request supports the Courts' Strategy 3.1.1 to provide training to judicial officers and court personnel which increases professional knowledge and skills and enhances job performance. In addition, the goal of maintaining a skilled and diverse workforce and an environment that fosters high achievement and satisfaction will be addressed through the Court Operations Academy by aligning employee skills with the mission of the organization. Center staff will design training programs to tie employees' skills to achieving the goals of the Courts' Strategic Plan.

Relationship to Divisional Objectives. The Center has a number of very ambitious MAP objectives that require additional resources in order to accomplish them. These include the Leadership Institute (MAP 4) the Management Training Program (MAP 5) and training for the Court of Appeals (MAP 1). One of the most critical areas of employee satisfaction is the alignment of skills with the strategic mission of the organization. The Court Operations

Academy (MAP 6) will address this area of training that is relevant to the single largest group of employees – the clerks. The Clerks Curriculum Committee will determine the competencies and skills needed in the day-to-day work of the court and design a curriculum to address progressive levels of both expertise in skills and career advancement.

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

Proposed Solution. Given the drastically increased levels of current and anticipated training activities, the Center proposes to recruit and hire one additional staff member.

Methodology. The job position of Training Manager has been classified in accordance with the Courts’ Classification Procedures.

Expenditure Plan. The Center will follow the established procedures to recruit and select the best candidates in an expeditious manner.

Performance Indicators. The new staff member will have a performance plan that will be aligned with the achievement of the Center’s MAPs. The performance evaluation will be conducted annually. Performance indicators include quality measures of training provided, numbers of courses offered, participation and enrollment levels and high levels of satisfaction.

Table 3  
**CENTER FOR EDUCATION AND TRAINING**  
**New Positions Requested**

Position	Grade	Number	Annual Salary	Benefits	Total Personnel Costs
Training Manager	12	1	73,000	18,000	91,000

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

	FY 2007 Enacted	FY 2008 Enacted	FY 2009 Request	Difference FY 2008/2009
11 – Compensation	438,000	560,000	664,000	104,000
12 – Benefits	105,000	140,000	166,000	26,000
<i>Sub-total Personnel Cost</i>	<i>543,000</i>	<i>700,000</i>	<i>830,000</i>	<i>130,000</i>
21 - Travel, Transp. of Persons	290,000	303,000	410,000	107,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	312,000	326,000	588,000	262,000
26 – Supplies & Materials	2,000	2,000	3,000	1,000
31 – Equipment	1,000	1,000	2,000	1,000
<i>Sub-total Non Personnel Cost</i>	<i>605,000</i>	<i>632,000</i>	<i>1,003,000</i>	<i>371,000</i>
<b>TOTAL</b>	<b>1,148,000</b>	<b>1,332,000</b>	<b>1,833,000</b>	<b>501,000</b>
FTE	6	6	7	1

Table 5  
**CENTER FOR EDUCATION AND TRAINING**  
**Detail, Difference FY 2008/2009**

Object Class	Description of Request	FTE	Cost	Difference FY 2008/2009
11 – Compensation	Current Positions WIG	6	8,000	
	Current Positions COLA	6	24,000	
	Training Manager	1	73,000	
Subtotal				104,000
12 – Benefits	Current Positions WIG	6	2,000	
	Current Positions COLA	6	6,000	
	Training Manger	1	18,000	
Subtotal				26,000
21 - Travel and Transportation	Built-in Increase		7,000	
	Training Programs		100,000	
Subtotal				107,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in Increase		7,000	
	Increased Training Programs		255,000	
Subtotal				262,000
26 - Supplies and Materials	Built-in Increase			1,000
31 – Equipment	Built-in Increase			1,000
Total				501,000

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

	FY 2007 Enacted	FY 2008 Enacted	FY 2009 Request
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	1	1	1
JS-11	1	1	1
JS-12			1
JS-13	2	2	2
JS-14	1	1	1
JS-15			
CES	1	1	1
Ungraded			
Total Salary	438,000	560,000	658,000
Total	6	6	7

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

<u>FY 2007 Enacted</u>		<u>FY 2008 Enacted</u>		<u>FY 2009 Request</u>		<u>Difference</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
55	4,031,000	55	5,281,000	55	5,588,000	0	307,000

**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 transcript orders from attorneys, litigants, and other interested parties. Emphasis is placed on accurate, timely production of transcripts to ensure exceptional service.

**Organizational Background**

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

1. The Office of the Director is responsible for developing initiatives, overseeing project management, as well as leading Division-wide operational and administrative initiatives in furtherance of the Strategic Plan and other D.C. Courts’ programs and initiatives as they relate to the Court Reporting and Recording Division.
2. The Court Reporting Branch is comprised of stenotype reporters and voice writers who are responsible for taking verbatim trial proceedings and producing official transcripts.
3. The Transcription Branch is responsible for producing verbatim transcripts of digital and analog 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, and Juvenile appeal transcript requests. This includes maintaining transcripts in the Division for all appeal cases and forwarding same to the Appeals Coordinator’s Office 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 transcript requests and outgoing completed transcripts for the Division and entering relevant data into the Court Reporting Transcript Tracking System. The Branch is also responsible for recordkeeping and disseminating transcripts to ordering parties and the Court of Appeals.

**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:

- Enhance efficient operations and the quality of service provided to persons conducting business with the Court Reporting and Recording Division by developing a plan to reengineer processes through the utilization of technologies and increased automation.
- Ensure the timely availability of transcripts of court proceedings for judges, attorneys, litigants, and other parties by producing 100% of appeal transcripts within 60 days and 100% of non-appeal transcripts within 30 days.
- Ensure that transcripts of court proceedings are available to judges, litigants, and attorneys in a timely manner by reducing the transcript backlog.
- 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 2007, the Court Reporting and Recording Division started electronic filing of all original transcripts which will, over time, eliminate the need for storage of the original paper transcript. In addition, filing of court proceedings electronically will result in quicker retrieval, thus providing the customer with immediate turn-around for any transcript ordered.

Web Vouchering was started in October of 2006. This system enables all CJA appeal and non-appeal transcripts to be ordered on the Web. Appeal vouchers are initiated by CRRD case managers and non-appeal vouchers are initiated by CJA attorneys. The web vouchering facilitates transcript orders received and enhances record keeping from the inception of the voucher until payment. Since this is a web based system, all users have instant access from anywhere in the world.

### **Workload Data**

Table 1  
**COURT REPORTING AND RECORDING DIVISION**  
**Workload Measurement Table**

Type of Indicator	Performance Indicator	Data Source	FY2006 Actual	FY2007 Estimate	FY2008 Estimate	FY2009 Estimate
Input	Transcription Branch orders received	Division Records	3,788	3,966	3,900	3,950
Input	Court Reporting Branch orders received	Division Records	3,600	3,900	3,800	3,850
Output	Pages of court transcripts produced (appeal/non-appeal)	Division Records	402,579	387,000	397,000	405,000

Table 2  
**COURT REPORTING AND RECORDING DIVISION**  
**Key Performance Indicators**

Type of Indicator	Performance Indicator	Data Source	FY2006		FY2007		FY2008	FY2009
			Goal	Actual	Goal	Estimate	Goal	Goal
Quality	Average time to complete transcripts of taped proceedings (appeal/non-appeal)	Division Records	45 days/ 25 days	27 days/ 21 days	30 days/ 20 days	37 days/ 25 days	28 days/ 15 days	28 days/ 15 days
Quality	Average time to complete transcripts by court reporters (appeal/non-appeal)*	Division Records	50 days/ 25 days	62 days/ 20 days	55 days/ 20 days	60 days/ 20 days	50 days/ 20 days	45 days/ 20 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 2009 Request**

In FY 2009, the Courts request for the Court Reporting and Recording Division is \$5,588,000, an increase of \$307,000 (6%) above the FY 2008 Enacted Budget. The requested increase consists solely of built-in increases.

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

	<b>FY 2007 Enacted</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>	<b>Difference FY 2008/2009</b>
11 - Personnel Compensation	3,303,000	4,165,000	4,402,000	237,000
12 - Personnel Benefits	653,000	1,041,000	1,101,000	60,000
<b>Subtotal Personnel Cost</b>	<i>3,956,000</i>	<i>5,206,000</i>	<i>5,503,000</i>	<i>297,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	25,000	15,000	23,000	8,000
26 - Supplies & Materials	7,000	40,000	41,000	1,000
31 - Equipment	43,000	20,000	21,000	1,000
<b>Subtotal Non Personnel Cost</b>	<i>75,000</i>	<i>75,000</i>	<i>85,000</i>	<i>10,000</i>
<b>TOTAL</b>	<b>4,031,000</b>	<b>5,281,000</b>	<b>5,588,000</b>	<b>307,000</b>
FTE	55	55	55	0



Table 4  
**COURT REPORTING & RECORDING DIVISION**  
**Detail, Difference FY 2008/2009**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2008/FY2009</b>
11 - Personnel Compensation	Current Position WIG	55	62,000	
	Current Position COLA	55	175,000	
Subtotal				237,000
12 - Personnel Benefits	Current Position WIG	55	16,000	
	Current Position COLA	55	44,000	
Subtotal				60,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service	Built-In		7,000	7,000
26 - Supplies & Materials	Built-In		1,000	1,000
31 - Equipment	Built-In		1,000	1,000
<b>Total</b>				<b>307,000</b>

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

	<b>FY 2007 Enacted</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>
JS-3			
JS-4			
JS-5			
JS-6	1	1	1
JS-7	4	4	4
JS-8	6	6	6
JS-9	3	3	2
JS-10	6	6	3
JS-11	4	4	7
JS-12	28	28	30
JS-13	1	1	1
JS-14	1	1	1
JS-15			
JS-16			
JS-17			
CES	1	1	1
Total Salary	3,303,000	4,165,000	4,402,000
Total FTEs	55	55	55

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

<u>FY 2007 Enacted</u>		<u>FY 2008 Enacted</u>		<u>FY 2009 Request</u>		<u>Difference</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
18	1,627,000	18	2,074,000	19	2,302,000	1	228,000

**Mission**

The Human Resources Division is responsible for the administration of personnel policies and procedures promulgated by the Joint Committee on Judicial Administration; recruitment of highly skilled, well-qualified employees; employer-employee relations; position classification; workers' compensation; maintenance and security of personnel records; development and administration of employee benefit programs; and promulgation of personnel policies.

**Organizational Background**

The Human Resources Division is responsible for consistent, uniform implementation of personnel policies adopted by the Joint Committee on Judicial Administration. In addition, the Division maintains systems to enhance staff development and employee accountability and to promote effective employee-management relations and provide guidance to management staff with the establishment and maintenance of 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 and promoting equal opportunity for women and members of minority groups who seek employment or participate in court programs.

The Office of the Director undertakes court-wide personnel policy development, interpretation, and implementation.

The Office of the Deputy Director is responsible for employment records and documents, including the Human Resources Information Management System, Employee Relations, Employee Mediation, Position Classification, and the Staffing and Recruitment Unit which is responsible for the development and implementation of programs that enable the Courts to attract and employ highly qualified staff.

The Benefits Unit is responsible for the administration of the Federal benefit programs including health, life, and long-term care insurance programs; retirement programs; transportation subsidy and Flexible Spending Accounts programs; and Workers' Compensation. This unit also administers the Courts' voluntary dental and vision insurance program, Long and Short Term Disability insurance programs; and is the Contract Administrator for the Courts' Health Unit and the EAP program.

The Office of Program Analysis administers the Division's Strategic Plan and Performance Management programs.

**Division MAP Objectives**

Several of the Division MAP Objectives follow:

Program Area	Objective
Benefits	To contribute to a positive work environment by developing and conducting a worker's compensation training for line and mid-level managers beginning September 2007.
Benefits	Enhance employee awareness of retirement options by increasing the frequency of retirement seminars to once a year, starting July 2005.
Benefits	Enhance customer service to Associate Judges, Magistrate Judges, and the Court Executive Service by designing and sending individualized annual benefits statements (detailing current retirement, health, and life insurance benefits, etc.), beginning March 2007.
Employee Relations	Contribute to an environment that fosters high satisfaction among court personnel by developing and sending quarterly reports to the Executive Officer on employee relations trends inclusive of corrective action analyses (suspension or higher discipline), grievances, ADR, FMLA, probationary separations, and employee exit survey data, beginning April 2005.
Employee Relations	Contribute to a positive work environment by ensuring that managers and/or employees are trained annually on at least two human resources-related areas (e.g. FLSA, FMLA, Performance Management, ADA, EEO, etc.), beginning February 1, 2004.
Employee Relations	Contribute to the professional development of court personnel, by ensuring that 90% of new hires attend New Employee Orientation within 30 days of start date.
Employee Relations	To enhance employee satisfaction by developing and administering a revised comprehensive exit interview, beginning November 2006.
Intern & Volunteer Program	To ensure the human capital resources are used effectively by exploring alternate staffing resources (e.g. volunteers) that will facilitate effective court operations beginning January 2007.
Performance Management	Contribute to an environment that fosters high satisfaction among court personnel by developing and sending a report to the Executive Officer on performance management trends inclusive of performance ratings, performance awards, and employee improvement plans beginning November 2005.
Staffing	Contribute to the high satisfaction of job applicants by increasing annually the percentage of electronically filed applications by 10% above previous year target, beginning October 2008.
Staffing	Promote diversity of the Courts' workforce by increasing the percentage of Latino applicants to 8% (percent in population) by September 2006.
Workforce Planning and Management	To support a work environment that promotes high achievement and effective utilization of human capital by developing and proposing a workforce plan for the D.C. Courts by May 2007.

**Human Resources Accomplishments - FY 2007**

- Dental and Vision Program. The Human Resources Division enhanced employee benefits by adding a program that allows employees to rollover a portion of their unused calendar year maximums to the next year. Covered members can build up to an additional \$1,000 through the program called Dental Rewards. The plan's premiums remained at the FY 2005 rates.
- Pre-Retirement Planning Seminars. In an effort to increase employee knowledge of retirement benefits, the Human Resources Division increased the frequency of its' pre-

retirement seminars. The seminars featured financial and estate-planning experts, Federal health benefit representatives, as well as facilitators from the Human Resources Division.

- **Judicial Benefit Statements.** The Human Resources Division developed and designed annual benefit statements for personnel in the judicial retirement system. The Judicial Statements reflect salary, taxes, retirement, and all benefits elected. The Statements are used to verify elections and provide summary and contact information of all benefits in case of an emergency. The statements also act as a training tool to clarify benefit options available to each judicial member.
- **New Hire Orientation Program.** In an effort to promote professional development and increase employee awareness of the Courts' operations, a day-and-a-half new hire orientation program was developed and launched in FY 2006. New employees begin their first day with a swearing-in by the Chief Judge followed by receipt of security identification badges processed by the Administrative Services Division. The employees receive a new hire manual that guides them through the organizational structure of the Court and provides benefits information and salary verification. Following the organizational processes a walk-through of the Courts' buildings and divisions is administered by the Center for Education and Training.

### **Workload Data**

During FY 2006, the Human Resources Division processed 2,855 personnel actions, 107 Family Medical Leave Act requests, 13 Workers' Compensation claims, 88 recruitment actions, and approximately 1,400 employment applications. It conducted 1,478 individual benefit consultations; 22 group benefit workshops, seminars, fairs, etc., and 26 classification reviews.

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

Type of Indicator	Key Performance Indicator	Data Source	FY 2006		FY 2007		FY 2008	FY 2009
			Goal	Actual	Goal	Estimate	Goal	Goal
Output	# of personnel actions forwarded to GSA via hard copy	GSA Accounting Dept.	2000	<sup>1</sup> 2855	2000	2000	2000	<sup>2</sup> 1500
Output	% of classifications conducted	Classification Log	20%	22%	20%	20%	20%	20%
Output	# of employees attending benefit seminars, retirement workshops, wellness fairs, etc.	Registration and attendance documents	800	406	900	900	900	900
Output	# of employees enrolled in dental/vision benefit program	Enrollment documents	200	435	250	480	500	500
Output	# of job applicants	Staffing Logs	1600	<sup>3</sup> 1400	1600	750	800	800

<sup>1</sup> Significant increase in enrollees in benefit plans in FY 2006.

<sup>2</sup> Upgraded HRMIS December 2006; testing new system data against old system data through FY 2007. Implementation of GSA interface delayed until HRMIS upgrade complete.

<sup>3</sup> The Courts significantly reduced recruitment activity in 2006 and 2007 due to a hiring freeze.

## **FY 2009 Request**

The Courts' FY 2009 request for the Human Resources Division is \$2,302,000, an increase of \$228,000 (11%) above the FY 2008 Enacted Budget. The increase consists of \$108,000 for one FTE to enhance workforce planning and built-in increases.

### ***Enhancing Workforce Planning—Workforce Analyst (JS-13, \$108,000)***

Problem Statement. The Courts, like many organizations, are at a crossroad; business as usual will no longer attract and retain the caliber of employees that are needed to execute the Courts' mission. Approximately one-third of the current workforce will be eligible to retire in the next three to five years and sixty percent of the Courts' Executive Service will be eligible during that same time frame. Due to budgetary constraints the Courts have been forced to maintain an average vacancy rate of 15% for non-judicial personnel. An increased turn over rate and loss of institutional knowledge has created challenges for the Courts. The need for succession planning has become evident. In an effort to manage this dramatic change, the Courts must prepare, develop, and implement new policies and practices that will enable employees to effectively execute the mission of the Courts.

Relationship to Court Mission, Vision and Strategic Goals. The workforce planning initiative supports the strategic issue of promoting a strong judiciary and workforce. Specifically, the Courts must establish a workforce planning and development initiative to address future human capital needs.

Relationship to Divisional Objectives. The workforce planning initiative supports the Courts' workforce planning and management strategy to support a work environment that promotes high achievement and effective utilization of human capital by developing and proposing a workforce plan for the D.C. Courts.

Proposed Solution. In preparation for the future, the Courts must rethink current human resources and training strategies in order to attract and retain a high quality workforce. Workforce planning should align human capital programs with the organization's mission and goals and develop long-range strategies to recruit, develop, and retain staff to meet the organization's vision.

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

Methodology. Workforce planning, like other planning efforts, has a development process to guide an organization as it creates and executes its plan. Similar to strategic planning, workforce

planning requires input and commitment from each level of management and from employees. The Courts' workforce planning model is a five step process:

*Step 1: Set strategic direction.*

*Step 2: Conduct workforce analysis.*

*Step 3: Develop an action plan.*

*Step 4: Implement the action plan.*

*Step 5: Monitor, evaluate and revise the plan.*

Performance Indicators. The objective of a workforce plan is to help the organization prepare for changes in human capital. The workforce plan will provide the Courts' leadership with a clear picture of organizational trends in human capital and enhance the organization's ability to effectively serve its stakeholders. The workforce plan will be successful if it prevents the Courts from experiencing a skill or labor shortage. A successful plan will help the Courts to proactively work towards organizational goals set in the strategic plan. Major success factors for a workforce plan include integrating the strategic plan into the workforce plan, establishing a data collection process that generates reliable information for forecasting trends, and creating the appropriate mix of position types to support the organization's mission and vision.

### ***Transit Subsidy Benefit Increase –\$167,000***

***Including \$8,000 in the Court of Appeals budget request, \$129,000 in the Superior Court Management Account request, and \$30,000 in the Court System Management Account request.***

Problem Statement. Federal agencies in the D.C. Metropolitan area provide transit subsidies to employees in an effort to reduce traffic congestion and air pollution in the Washington Metropolitan Area. To contribute to this effort, enhance employee morale, and strengthen the Courts' competitiveness in the labor market, the Courts have provided a transit subsidy to employees. The funds provide eligible employees a subsidy up to \$60 per month to use public transportation for commuting purposes. Since the inception of the program, the subsidy has been limited to a maximum benefit of \$60 per month. Approximately 90% of program participants spend more than \$110 per month to commute to and from work. The budget request reflects an estimate of 551 participants receiving a transit benefit of \$100 per month. This amount is still below the statutory limit of \$110 per month.

Relationship to Court mission and goals. Participation in the local effort to encourage use of public transportation supports the Courts' goal to instill public trust and confidence.

Relationship to existing funding. There is no funding available in the Courts' budget to support the increase in the transit subsidy benefit. As described above, the funds are requested in the appropriate court entity based on employee use of the transit subsidy.

The Program. The Division of Human Resources has developed policies and guidelines to maintain and control the use of the program. Since 2002, any participant who travels by Metrorail is required to enroll in SmartBenefits. SmartBenefits provides an employer the means to electronically monitor and distribute benefits to the participant. Over 99% of the Courts'

participants are on the SmartBenefit Program. Although there is no requirement to re-certify employees, the Court requires participants to certify at the beginning of each fiscal year that they are eligible to receive the benefit.

Performance of the Program. Forty-nine percent of the Courts' employees participate in the Courts' Commuter Option Program. Surveys, formal and informal support the view that employee morale has increased. Applicants are eager to be employed by the Courts largely due to our benefit package which includes the subsidy program. We are proud that the Courts have put into place since, FY02 measures to decrease fraud and misuse of the program. These measures include but are not limited to parking records reconciliation, separation of participants' reconciliation, commuting cost breakdown, false statement warnings, employee certification of eligibility and verification of Costs. We have also enhanced our monitoring procedures by adding the home address on the enrollment form and implemented an employee leave procedure. An internal control review of Courts' Commuter Option Program was conducted for FY 05 and FY 06 (October 2005 to June 2006) and the recommendations have been implemented.

Table 2  
**HUMAN RESOURCES DIVISION**  
**New Position Requested**

<b>Position</b>	<b>Grade</b>	<b>Number</b>	<b>Salary</b>	<b>Benefits</b>	<b>Total Personnel Costs</b>
Workforce Analyst	13	1	86,000	22,000	108,000

Table 3  
**HUMAN RESOURCES DIVISION**  
**Budget Authority by Object Class**

	<b>FY 2007 Enacted</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>	<b>Difference FY 2008/2009</b>
11 - Compensation	1,301,000	1,648,000	1,828,000	180,000
12 - Benefits	312,000	412,000	457,000	45,000
<b>Subtotal Personnel Cost</b>	<i>1,613,000</i>	<i>2,060,000</i>	<i>2,285,000</i>	<i>225,000</i>
21 - Travel, Transp. of Persons	5,000	5,000	6,000	1,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	5,000	5,000	6,000	1,000
31 - Equipment	4,000	4,000	5,000	1,000
<b>Subtotal Non Personnel Cost</b>	<i>14,000</i>	<i>14,000</i>	<i>17,000</i>	<i>3,000</i>
<b>TOTAL</b>	<b>1,627,000</b>	<b>2,074,000</b>	<b>2,302,000</b>	<b>228,000</b>
FTE	18	18	19	1

Table 4  
**HUMAN RESOURCES DIVISION**  
**Detail, Difference FY 2008/2009**

Object Class	Description of Request	FTE	Cost	Difference FY 2008/2009
11 - Compensation	Current Positions WIG	18	25,000	
	Current Positions COLA	18	69,000	
	Workforce Analyst	1	86,000	
Subtotal		19		180,000
12 - Benefits	Current Positions WIG	18	16,000	
	Current Positions COLA	18	13,000	
	Workforce Analyst	1	22,000	
Subtotal		19		45,000
21 - Travel and Transportation	Built-in Increase			1,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies and Materials	Built-in Increase			1,000
31 - Equipment	Built-in Increase			1,000
Total				228,000

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

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9	4	4	4
JS-10	1	1	1
JS-11	2	2	2
JS-12	3	3	3
JS-13	4	4	5
JS-14	3	3	3
JS-15			
JS-16			
JS-17			
CES	1	1	1
Ungraded			
Total Salary	1,301,000	1,648,000	1,828,000
Total	18	18	19



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

<u>FY 2007 Enacted</u>		<u>FY 2008 Enacted</u>		<u>FY 2009 Request</u>		<u>Difference FY 2008/2009</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
57	7,370,000	57	9,635,000	58	10,211,000	1	576,000

The Information Technology (IT) Division acquires, develops, implements, administers, and secures D.C. Courts’ information and technology systems. Its responsibilities are carried out under the direction of a Director’s Office by a project office, quality assurance staff, and operations groups that develop applications, administer computer networks, administer legacy mainframe applications, oversee information security, and provide customer service support to end users, and ensure continuity of operations.

**Mission Statement**

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

**Vision Statement**

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

**Introduction**

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

- Designing, developing, implementing, and maintaining information systems to enable case processing for D.C. Courts’ divisions.
- Supporting D.C. Courts’ jury management, case management, financial/payroll management, procurement, and human resources functions 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 mainframe and client/server information systems.
- Identifying new technologies to assist the continuous improvement of the Courts’ operations.
- Overseeing implementation of D.C. Courts’ Integrated Justice Information System (IJIS) and case management workflow improvements.

- Maintaining and supporting courtroom and enterprise-wide audio and video support.
- Managing and supporting the Courts’ website and Internet applications.

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

### **Organizational Background**

The Information Technology Division has four primary responsibilities:

- *Case Tracking* involves the framework, hardware, database, and software to store case data and make it available for user inquiry and processing. Core functions supporting this responsibility are (1) design and maintenance of systems; (2) operation and production of hardware systems; and (3) providing user support and assistance.
- *Case Processing* involves the daily tasks associated with court case activity as cases progress to resolution. Events are scheduled, notices and calendars are printed, results or decisions are recorded, and management reports are produced.
- *Office Automation Support* requires the provision of automation tools, hardware and software, networks, servers and gateways, training and assistance for all judicial and non-judicial staff. Core functions are design and maintenance of systems; configuration, installation and maintenance of the Wide Area Network; help desk and training support.
- *Knowledge Exchange* consists of providing automated information tools, such as the Internet and specialized research services; tools for data exchange among justice agencies; and tools to disseminate court information to the community, such as reports, public use terminals, kiosks, and the Internet.

To improve its operational effectiveness, the IT Division went through a period of transformation, which it launched with the development of an IT strategic plan. In a prior audit, the Government Accountability Office (GAO) cited the need for more disciplined processes to manage the acquisition of IJIS, the Courts’ new automated case management system, and, in particular, the need for rigorous, objective quality assurance and risk management practices. The D.C. Courts responded to GAO’s audit with a commitment (1) to institute better policies, processes, and procedures for managing IT, which are based on the Software Engineering Institute’s Capability Maturity Model – Integration (CMMI), and (2) to achieve CMMI “Maturity Level Two” (ML-2).

The initiative to institute disciplined, repeatable processes through CMMI began with the D.C. Courts engaging in an intensive training program to support the rollout of new policies, directives, processes, and guidelines for the management of IT.

To institute repeatable, sustainable processes and achieve CMMI ML-2, the D.C. Courts implemented – the Information Technology Architecture (ITA) /CMMI initiative – (1) to develop an IT strategic plan; (2) to develop an IT architecture; and (3) to design and begin the implementation of a comprehensive reengineered management blueprint for IT. In addition to the IT strategic plan and IT architecture, the management blueprint encompasses enterprise-level

IT management policies, which are applicable court-wide; directives that define minimum standards and controls for how the IT Division would institute these policies into operation; and processes, guidelines and standard operating procedures documented in manuals, which further standardizes how the IT Division performs its responsibilities. In November 2005, the IT Division was granted a CMMI Level II certification from an independent reviewer.

Governing these complex initiatives to integrate the D.C. Courts' case management systems and improve the IT Division's performance is a newly developed management control framework with senior management participation through an IT Steering Committee and technical management through an IT Change Control Board. A Management Implementation Team (MIT) made up of managers from Superior Court divisions meets weekly as a program management advisor to oversee the implementation and make user decisions about key issues such as functional requirements, customizations, and user acceptance testing protocols. Similarly, an Integrated Project Team (IPT) consisting of IT Division managers and specialists has worked collaboratively to develop new IT management directives, processes, and the IT architecture. An IT Steering Committee, oversees these programs and project-level organizational efforts. All groups operate according to policies set by the IT Steering Committee.

### **Achievements and Highlights**

In 2006 the IJIS Project Team completed the implementation of the CourtView Case Management System in the Criminal Division. In addition to scheduling, docketing, automatic forms generation and other basic case management functionality, the CourtView system provides the Criminal Division with an automated interface to receive and process arrest information from the Metropolitan Police Department (MPD). In addition to the inbound arrest interface, the implementation also included design and development of a robust outbound interface facility that serves MPD, the US Attorneys Office, DC Corrections, Pre-trial Services, and CSOSA, and the Criminal Justice Coordinating Council's JUSTIS initiative.

- Designed strategy and Conducted User Acceptance Testing for IJIS implementation. Validated acceptance of all implemented IJIS RFP requirements by performing a comprehensive system integration testing, including formal stress tests.
- Implemented CourtView criminal operations charges screens for juvenile and domestic violence case types. Previously, these case types were using a parallel of set of screens that did not allow for use of the DC Codes in the charging process. During the implementation data was converted and 150 user profiles were modified to allow for use of the new screens.
- Rules-based workflow was implemented for the Criminal judicial summons process resulting in more efficient management of the summons process.
- In response to the Omnibus Public Safety Amendment Act of 2006, the IT Division implemented a facility to provide the DC Metropolitan Police Dept. electronic copies of specific stay away orders and post-adjudication probation orders for all juveniles charged with specific crimes such as weapons offenses, crime of violence, and motor vehicle thefts.

- Standardized presentation of case inventory reports across the majority of Court operational units including Civil Actions, Landlord and Tenant, Small Claims, Probate, and Tax. Standard presentation also includes automated pending case calculations.
- Configured Terminal Services facility allowing for secure access for select DC and federal agencies to the CourtView case management system. This facility is also used to provide the public with access to case information from within the Court.
- Organized project team for implementation of Web-based public access module to be implemented in early 2007. The team identified the tasks, configured the module, estimated the resources, and laid the ground work for implementation. The case types configured for web public access are Civil Actions, Small Claims, and Landlord and Tenant.

The year 2006 was also made successful by significant computer equipment upgrades and information security improvements. The Network Branch experienced a number of accomplishments that are highlighted.

- DCWAN Project converted the Courts' out-dated Verizon circuit to Verizon Frame relay resulting in a faster transmission of data.
- VMware Project involved the network team implementing the ability to virtualize less critical servers with the consolidation of fifteen servers across three large ESX servers.
- Symantec Upgrade Project enabled the Courts' workstations and servers the ability to have automatic virus signature updates applied throughout all network devices.
- Building A Migration Project involved the network team relocating the Multi-Door Division and other Gallery Place users to Building A. The final phase of fiber optics was installed to the site to complete redundant fiber to campus wide area network.
- Parking Garage Project involved DC Courts network team working with ADT to install networking security cameras and door security devices
- New Southeast Field Unit Project provided the installation of cable and network infrastructure to enable connectivity to the Court.
- Kiosk Project enabled the installation and launch of informational Kiosk's throughout the Moultrie Courthouse.

Additionally, the Information Technology Division successfully enhanced the Court's operational effectiveness through the following initiatives.

- Information Technology Division has worked closely with Budget & Finance and other Stakeholders on Web Voucher System Enhancement Project since April 2005. This project has produced industry standard state-of-the-art Java-based Web Voucher System release 2.0,

a major rewrite of ColdFusion-based Web Voucher System release 1.0, which went live on July 17, 2006. This also enabled the elimination of paper-based vouchers.

- The new web-based software application allows CJA and CCAN attorneys and experts to submit vouchers and track voucher status; allows judges to review and approve vouchers; allows Court Reporting staff to oversee expert voucher processes; and allows Budget & Finance staff to process the vouchers, via a web browser.
- Recent accomplishments include replacing legacy mainframe-based voucher issuance, tracking, and payment modules; and implementing new direct Court View to Web Voucher System interface. Prohibitively expensive and proprietary legacy mainframe voucher system was eliminated on February 23, 2007.
- The Web Voucher System release 2.0 is part of the Courts' Internet application and launched within www.dccourts.gov. The system is also easily accessible from new Web Kiosks recently deployed throughout Moultrie Courthouse.

Fiscal year 2006 was a period of significant accomplishment and change for the IT Division. It continued to implement a multi-year transformation in how DC Courts employs technology to add value to its mission, and the IT Division is evolving from a function responsible for data processing to an organization chartered with managing the alignment of technology with DC Courts' strategies and the automation of the Superior Court and Court Systems' operations.

### **Division MAP Objectives**

The IT Division defined and began projects to achieve a set of MAP objectives. Objectives that will carry forward into fiscal year 2009 are as follows:

- Enhance and support the Integrated Justice Information System (IJIS) (which includes implementing customizations and improvements on a continuing basis).
- Migrate servers to the next-generating computing architecture to improve performance, manageability, and security.
- Standardize the replenishment cycle for personal computers, operating systems, and personal productivity tools to optimize cost and performance.
- Replace outdated network infrastructure and relocate the data center as part of the facilities master plan for implementing the structural buildings of the D.C. Courts.
- Implement repeatable processes to manage the Court's IT assets.

The IT Division anticipates adopting three new MAP objectives. The IT Division will provide program leadership for the Courts' efforts to improve operational efficiency through business integration of IJIS. Related to this, the IT Division will undertake an initiative to improve the quality of data in IJIS. Finally, the IT Division will enhance the Courts' web site and web kiosks in a way that extends public access to the Courts.

## **Work Process Redesign**

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

To maximize the use of staff time and expertise, as well as to improve overall service to D.C. Courts, the IT Division is reorganizing its personnel. The reorganization is taking place as part of the ITA/CMMI program, which has produced an IT architecture; an IT governance framework; and an implementation plan to institute disciplined repeatable processes and achieve a state of voluntary compliance with the Clinger/Cohen Act and OMB Circular A-130, and other relevant regulations, guidance, and GAO recommendations.

Operating funds will support implementation of the Division's goals, as defined in the IT strategic plan, which are to:



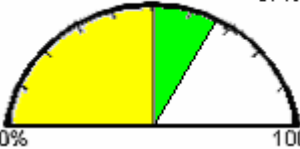

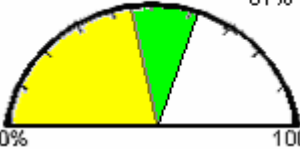

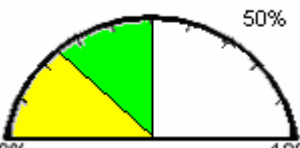

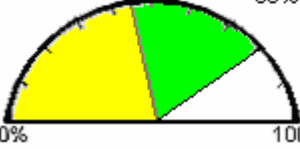



- Enable our judicial stakeholders to carry out their mission with an integrated justice information system;
- Equip our leaders with the tools they need to manage the D.C. Courts' business;
- Invest in reliable, secure and cost-effective IT infrastructure;
- Build IT management capabilities that will create and sustain return on investment;
- Develop our people, so they become sophisticated users of information; and
- Protect the integrity, availability, and confidentiality of our critical information assets.

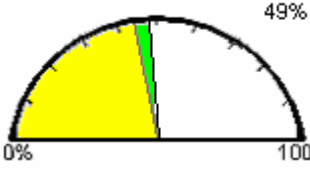

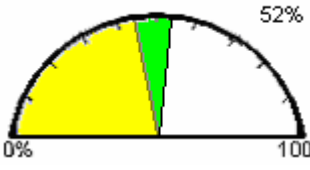

Requested operating funds will support several mission-critical activities, including maintenance of information systems, furtherance of the D.C. Courts' IT architecture, and support of the Family Court through administration of IJIS in a production environment.

## **Performance Indicators**

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

**Table 1: IT Metrics**  
IT Division Management Action Plan for FY 2007 as of Q2

Goal and Strategy to Complete the Goal	Progress	Rating
<p>Goal 1.1: The Courts will administer justice promptly and efficiently.</p> <p>Strategy 1.1.5: Develop processes and systems that ensure administrative efficiencies and utilize best practices.</p>	 <p align="right">85%</p> <p align="center">0% 100%</p>	
<p>Goal 1.2: The Courts will administer justice fairly and impartially without regard to race, ethnicity, gender, sexual orientation, economic status, or mental or physical disability.</p> <p>Strategy 1.2.4: Ensure that jury pools reflect the diversity of the DC community and that jury service is a positive experience.</p>	 <p align="right">67%</p> <p align="center">0% 100%</p>	
<p>Goal 1.3: The Courts will ensure informed judicial decision-making.</p> <p>Strategy 1.3.2: Develop and implement an integrated case management system that maintains comprehensive case information.</p> <p>Strategy 1.3.3: Ensure that court proceedings are recorded accurately and completely, and that high quality transcripts are produced timely.</p>	 <p align="right">61%</p> <p align="center">0% 100%</p>	
<p>Goal 1.5: The Courts will seek resources necessary to support effective and efficient operations, and expand them prudently.</p> <p>Strategy 1.5.1: Assess future resources necessary to accomplish the Courts' mission, including human, capital, technological, and programmatic.</p> <p>Strategy 1.5.2: Produce comprehensive budget submissions to support resource requests to achieve the Courts' mission, goals, and strategies.</p> <p>Strategy 1.5.3: Identify and pursue grant funding opportunities.</p>	 <p align="right">50%</p> <p align="center">0% 100%</p>	
<p>Goal 2.2: The Courts will provide the public with information that is easily understandable and readily available.</p> <p>Strategy 2.2.3: Enhance the availability of automated court information and data to the public through Internet and E-Government technologies.</p>	 <p align="right">80%</p> <p align="center">0% 100%</p>	
<p>Goal 3.1: The Courts will employ a highly skilled and well-trained workforce.</p> <p>Strategy 3.1.1: Recruit personnel who possess the education, skills and experience to provide effective services.</p> <p>Strategy 3.1.4: Develop and maintain appropriate personnel compensation, succession planning and position classification systems.</p>	 <p align="right">88%</p> <p align="center">0% 100%</p>	

<p>Goal 4.2: The Courts will provide technology that supports efficient and effective case processing, court management, and judicial decision-making.</p> <p>Strategy 4.2.1: Implement a governance process to ensure cost-effective and strategically aligned investments in technology.</p> <p>Strategy 4.2.2: Develop and implement a court-wide Information Technology Strategic Plan.</p> <p>Strategy 4.2.3: Invest in an information system that allows for integrated data-sharing across divisions, Courts, relevant government entities, and those conducting business with the Courts.</p> <p>Strategy 4.2.5: Utilize project management, change management, systems lifecycle and risk management disciplines for information technology projects.</p>		
<p>Goal 4.3 The Courts will protect people, processes, technology and facilities to ensure continuity of operations in the event of an emergency of disaster.</p> <p>Strategy 4.3.1: Establish policies and programs for safeguarding the integrity of court information.</p> <p>Strategy 4.3.2: Develop procedures for protecting the vital electronic and paper records of the Courts against degradation, destruction and loss.</p> <p>Strategy 4.3.4: Establish plans to ensure the continuity and resumption of business operations after a catastrophic event.</p>		

**Table 2: Performance Measurements**  
(for FY 2007)

The IT Division performance scorecard displays the strategic goals for the Superior Court of the District of Columbia, and the 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 DC Courts strategic goals. Each goal has a performance target to be met by FY end 2007, and current performance is relative to the date at the top of this scorecard. Data will be collected on a quarterly basis. A percentage complete can be determined by dividing the current performance into the target performance. Once the percentage complete rate is determined for all metrics a composite index can be computed by equally weighting each metric and averaging the completion rates. This composite index is used to develop the graphics in the overall roll-up scorecard.

Strategy 1.1.5: Develop processes and systems that ensure administrative efficiencies and utilize best practices.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Percentage of Probate and Court of Appeals voucher requirements completed	90%	50%	50%			56%	
Percentage of paper vouchers processed in WVS	90%	90%	100%			100%	
Percentage of reports in WVS completed	90%	50%	75%			83%	
Percentage of mediation agreements produced in WMAS	50%	NA	NA			NA	
Mainframe voucher shutdown	100%	90%	100%			100%	
<b>Total Composite Index:</b>		76%	85%	%	%	85%	Equal Weighting (339/400).

Strategy 1.2.4: Ensure that jury pools reflect the diversity of the DC community and that jury service is a positive experience.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Assessment completed by October 2007.	100%	100%	100%			100%	
Percentage of outside agencies' data submissions updated in the jury wheel within 1 week of receipt	95%	97%	97%			50%	Quarterly Goal
Percentage of juror summons creation jobs where the juror summons were created 45 days prior to summons date when request was received punctually.	90%	97%	97%			50%	Quarterly Goal



<b>Total Composite Index:</b>		50%	67%	%	%	67%	Equal Weighting (200/300).
Strategy 1.3.2: Develop and implement an integrated case management system that maintains comprehensive case information.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Number of court operations using workflow functionality	4	2	3			75%	
Number of case types processed through electronic filing	10	7	7			70%	
Percentage of Superior Court components live on IJIS that are able to use IJIS to report on case management and performance guidelines	100%	100%	100%			100%	
Percent of surveyed end users satisfied with CourtView	90%	83%	83%			46%	Quarterly Goal
Implementing public access functionality	100%	75%	100%			100%	
Percent of Operating Units performing ID Consolidation in CourtView	70%	14%	14%			20%	1 of 7 Operating Units
<b>Total Composite Index:</b>		56%	69%	%	%	69%	Equal Weighting (411/600).
Strategy 1.3.3: Ensure that Court proceedings are recorded accurately and completely, and that high quality transcripts are produced timely.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Minute proceedings are not being recorded	0	0	0			50%	Quarterly Goal
Percentage of sound checks being performed	90%	98%	97%			50%	Quarterly Goal
Turnaround time for burning CDs	1 day	0	1			50%	Quarterly Goal
Percentage of proper tagging	90%	95%	95%			50%	Quarterly Goal
<b>Total Composite Index:</b>		25%	50%	%	%	50%	50% (200/400)
<b>Total 1.3 Index:</b>		44%	61%	%	%	61%	Average of individual items in 1.3.2 & 1.3.3
Strategy 1.5.1: Assess future resources necessary to accomplish the Courts' mission, including human, capital, technological, and programmatic.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Completion of "CourtSmart Technology and Gap Analysis" by June 2007	100%	NA	NA			NA	3 <sup>rd</sup> Quarter Goal
<b>Total Composite Index:</b>		NA	%	%	%	NA	
Strategy 1.5.2: Produce comprehensive budget submissions to support resource requests to achieve the Courts' mission, goals, and strategies.							
Strategy 1.5.3: Identify and pursue grant funding opportunities.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Percentage of IT Operating budget that is reported quarterly to ITSC	100%	100%	100%			50%	Quarterly Goal
Percentage of IT Capital funding initiatives that are reported quarterly to ITSC	100%	100%	100%			50%	Quarterly Goal
Percentage of accurate needs analysis and fiscal forecasting used for budgeting documents	95%	95%	95%			50%	Quarterly Goal
Invoices are promptly approved	85%	90%	90%			50%	Quarterly Goal
<b>Total Composite Index:</b>		25%	50%	%	%	50%	Equal Weighting (200/400).
<b>Total 1.5 Index:</b>		25%	50%	%	%	50%	Average of items in 1.5.1 & 1.5.2/1.5.3
Strategy 2.2.3: Enhance the availability of automated court information and data to the public through Internet and E-Government technologies.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Number of Oracle Portal applications deployed	4	3	4			100%	
Number of kiosks deployed	7	7	7			100%	
Number of Divisions implementing Public Access Functionality	1	0	1			100%	
Percent of identified document groups defined and documented to be available for the web	75%	0%	0%			0%	
Response time (Public Access)	10 secs	NA	<10			100%	
<b>Total Composite Index:</b>		44%	80%	%	%	80%	Equal Weighting (400/500).
Strategy 3.1.1: Recruit personnel who possess the education, skills and experience to provide effective services.							

Strategy 3.1.4: Develop and maintain appropriate personnel compensation, succession planning, and position classification systems.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Update PDS Vista from 2.4 to 3.2	100%	100%	100%			100%	
Configure the Applicant module	100%	NA	NA			NA	
Implement workflow in PDS Vista	100%	NA	NA			NA	
Implement the interface with OrgPlus	100%	NA	NA			NA	
Implement the interface with ActiveDirectory	100%	NA	NA			NA	
Implement the interface with FootPrints	100%	NA	NA			NA	
Upgrade reports from Crystal 8 to 11	100%	50%	75%			75%	
<b>Total Composite Index:</b>		<b>75%</b>	<b>88%</b>	<b>%</b>	<b>%</b>	<b>88%</b>	Equal Weighting (175/200).
Strategy: 4.2.1: Implement a governance process to ensure cost-effective and strategically aligned investments in technology.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Development of IT CMMI compliant program management strategy (i.e., concept of operations) for program and project implementation.	100%	50%	50%			50%	
Successful completion of a self appraisal for level 2 compliance.	100%	50%	50%			50%	
Functional and customization requirements are completely documented for all projects.	100%	50%	50%			50%	
Quality assurance process developed and consistently maintained	75%	25%	30%			40%	
IT level Configuration Management	90%	40%	50%			56%	
IT level Quality Assurance including Product and Process Audits	50%	20%	20%			40%	
All current SOPs reviewed and process for reviewing new SOPs in place	100%	25%	25%			25%	
All IT Directives and Policies reviewed and updated as necessary	100%	25%	25%			25%	
<b>Total Composite Index:</b>		<b>40%</b>	<b>42%</b>	<b>%</b>	<b>%</b>	<b>42%</b>	Equal Weighting (336/800)
Strategy 4.2.2: Develop and implement a court-wide Information Technology Strategic Plan.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Percentage of 2007 MAPs completed on time	100%	90%	NA			NA	1 <sup>st</sup> Quarter Goal
Percentage of Intranet content updated on time.	60%	10%	10%			33%	Quarterly Goal
ITA revised	100%	NA	NA			NA	
Enterprise IT policies revised	100%	0%	0%			0%	
<b>Total Composite Index</b>		<b>32%</b>	<b>17%</b>	<b>%</b>	<b>%</b>	<b>17%</b>	(33/200)
Strategy 4.2.3: Invest in an information system that allows for integrated data-sharing across divisions, Courts, relevant government entities, and those conducting business with the Courts.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Percent of end user workstations migrated to Windows XP	10%	10%	23%			100%	
Percentage of workstations over 5 years old upgraded	94%	94%	94%			100%	
Percentage of end users satisfied with XP upgrade process	90%	NA	NA			NA	Quarterly Goal
Produce Performance Measurement Reports	5	0	0			0%	
Reports executing against standby production database	110	3	11			3%	
Migrate Crystal and Oracle Forms/Reports	20	0	0			0%	
Required Court Personnel trained	50%	0%	10%			20%	
Number of Reports offloaded of Production system	50	3	3			6%	
Percentage of completion JUSTIS interface	100%	25%	25%			25%	
Percentage of completion USAO interface	100%	0%	0%			0%	
Percentage of completion CFSA interface	50%	50%	50%			100%	
Percentage of completion Peachtree interface	100%	100%	100%			100%	
Percentage of completion DMV interface	100%	50%	75%			75%	

Percentage of completion WVS interface	100%	100%	100%			100%	
Average response time for the CourtView application	5 seconds	4 secs	4 secs			50%	Quarterly Goal
Availability of critical applications and services during scheduled hours of operation	99%	99.1%	99.4%			50%	
Implementation of gigabit per second fiber connectivity speed for the Courts' WAN	100%	100%	100%			100%	
Full redundancy for all critical network infrastructure devices, configurations, and facilities (i.e., elimination of all single points of failure)	100%	100%	100%			100%	
Number of FootPrints tickets opened for performance issues, weekly	1	1	0			50%	Quarterly Goal
End-users satisfied with performance of current configuration	75%	75%	75%			50%	Quarterly Goal
<b>Total Composite Index:</b>		50%	55%	%	%	55%	Equal Weighting (959/19)
Strategy 4.2.5: Utilize project management, change management, systems lifecycle and risk management disciplines for information technology projects.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Percentage of production support requests documented and status relayed to users biweekly.	90%	90%	90%			25%	Quarterly Goal
Percentage of production tasks/projects that followed the documented process.	90%	80%	85%			46%	Quarterly Goal
Percentage of non-emergency scheduled production application updates that occurred that were approved by the CCB.	100%	100%	100%			50%	Quarterly Goal
Number of Priority 1 defects	0	NA	1			0%	Quarterly Goal
End user satisfaction with IT customer service	90%	90%	92%			50%	Quarterly Goal
Percentage of ticket management activities that are automated	100%	100%	100%			100%	
Percentage of computer hardware, computer software, and software licenses covered under asset management	100%	100%	100%			100%	
Percentage of customer service requests responded to within service level targets	100%	90%	90%			44%	Quarterly Goal
<b>Total Composite Index:</b>		37%	55%	%	%	55%	Equal Weighting (440/800)
<b>Total 4.2 Index:</b>		43%	%	%	%	38%	Average of Items in 4.2.1+4.2.2+4.2.3+4.2.5
Strategy 4.3.1: Establish policies and programs for safeguarding the integrity of court information. (1974/40)							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Percentage of Security SOP's completed.	90%	25%	50%			56%	
Conduct four vulnerability tests for internal and external threats.	4	1	1%			25%	
Percentage of external agencies signing and agreeing to DC Court IT policies.	75%	0%	0%			0%	
Recommend Courtwide single sign on solution	100%	50%	75%			75%	
Implement and administer security awareness training.	100%	50%	75%			75%	
Percent of system protected with CISCO PIX firewall upgrade	100%	100%	100%			100%	
Percent of monthly reports on Security devices (Tipping Point, 8e6, WSUS, GFI) submitted timely	100%	100%	100%			50%	Quarterly Goal
Security Monitoring of Exchange 2003 from threats	100%	25%	50%			50%	Quarterly Goal
Security Monitoring of Active Directory and Windows XP	100%	25%	50%			50%	Quarterly Goal
Completion of CourtSmart Security Plan by March 2007	100%	25%	25%			25%	2 <sup>nd</sup> Quarter Goal
<b>Total Composite Index:</b>		31%	51%	%	%	51%	Equal Weighting (506/10)
Strategy 4.3.2: Develop procedures for protecting the vital electronic and paper records of the Courts against degradation, destruction and loss.							
Strategy 4.3.4: Establish plans to ensure the continuity and resumption of business operations after a catastrophic event.							

Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Deployment of an acceptable use agreement throughout the Court with no less than 95% of users signing off on the new agreement	99%	0%	25%			25%	
Percentage of mission-critical information systems that have documented disaster recovery plans	100%	50%	55%			55%	
Percentage of mission-critical information systems which undergo annual testing of disaster recovery plans	70%	50%	60%			86%	
<i>Total Composite Index:</i>		40%	55%	%	%	55%	Equal Weighting (121/3)
<i>Total 4.3 Index:</i>		33%	52%	%	%	52%	(4.3.1+(4.3.2+4.3.4))

### **FY 2009 Request**

The D.C. Courts' FY 2009 request for the Information Technology Division is \$10,211,000, an increase of \$576,000 (6%) above the FY 2008 Enacted Budget. The requested increase includes \$108,000 and 1 FTE to manage a new technology system to improve jury management and built-in cost increases.

### ***Enhancing Juror Technology: Juror Application Program Specialist (JS-13, \$108,000)***

Problem Statement. D.C. Courts' investment in a new Jury Management System (JMS) is significantly increasing automation of business processes. There is a need for additional staff to operate the Jury Management System in a manner that meets the long-term needs of D.C. Courts, provides acceptable security and maintenance over jury-related information, and provides reasonable assurance of compliance with laws and regulations such as the Federal Information Security Management Act (FISMA). Return on investment (ROI) depends on business integration of the JMS through work process redesign and IT staffing capacity to deliver a reliable and robust system to efficiently pool jurors from the constituency of the District of Columbia. Increasing the organization's reliance on the new Jury Management System necessitates an increase in staffing levels to support the JMS as an operational system. Further, the mission-criticality of the JMS requires D.C. Courts to adhere to disciplined, repeatable processes when managing IT and enhancing the system to satisfy business requirements. Hiring an Application Program Specialist will add the capacity the D.C. Courts need to effectively operate its business processes.

Relationship to Court Mission and Goals. Hiring an Application Program Specialist will support the D.C. Courts goal of fair and timely case resolution through the efficient selection and maintenance of a qualified jury pool.

Relationship to Divisional Objectives. The core function of the D.C. Courts' IT Division is to provide computing capabilities critical to the administration of justice. Hiring an Application Program Specialist will help the IT Division meet three of its strategic goals, which are to:

- Enable judicial stakeholders to carry out D.C. Courts’ mission with a robust Jury Management System (JMS) interfaced with the Courts’ integrated justice information system (IJIS).
- Invest in reliable, secure, and cost-effective IT infrastructure to support the JMS.
- Build IT management capabilities that will create and sustain return on investment.

Expenditure Plan. Funds will be used to hire a fulltime equivalent person at the JS-13 level.

Performance Indicators. Success of the initiative will be measured by the D.C. Courts maintaining certification on the SEI CMMI best practice at Maturity Level Two (ML-2). Further, the success of this initiative will be measured by the quality of personnel hired and the skill sets provided by the personnel to ensure adequate and qualified jurors to support the administration of justice.

Legislative Analysis. Regulations from OMB and recommendations from past GAO audits of D.C. Courts underscore the importance of standing up to critical success factors for achieving return on investment. Having organizational capacity to operate reliable computing infrastructure is critical to the long-term success and effectiveness of the system.

Table 3  
**INFORMATION TECHNOLOGY DIVISION**  
**New Positions Requested**

Position	Grade	Number	Salary	Benefits	Total Personnel Costs
Juror Application Specialist	JS-13	1	\$86,000	\$22,000	\$108,000

Table 4  
**INFORMATION TECHNOLOGY DIVISION**  
**Budget Authority by Object Class**

	FY 2007 Enacted	FY 2008 Enacted	FY 2009 Request	Difference FY 2008/2009
11 – Compensation	4,226,000	5,762,000	6,176,000	414,000
12 – Benefits	957,000	1,289,000	1,394,000	105,000
<b>Sub-total Personnel Cost</b>	<b>5,183,000</b>	<b>7,051,000</b>	<b>7,570,000</b>	<b>519,000</b>
21 - Travel, Transp. of Persons				
22 – Transportation of Things				
23 - Rent, Commun. & Utilities	332,000	400,000	409,000	9,000
24 - Printing & Reproduction				
25 - Other Services	1,757,000	1,643,000	1,678,000	35,000
26 - Supplies & Materials	44,000	156,000	160,000	4,000
31 – Equipment	54,000	385,000	394,000	9,000
<b>Sub-total Non Personnel Cost</b>	<b>2,187,000</b>	<b>2,584,000</b>	<b>2,641,000</b>	<b>57,000</b>
<b>TOTAL</b>	<b>7,370,000</b>	<b>9,635,000</b>	<b>10,211,000</b>	<b>576,000</b>
FTE	57	57	58	1

Table 5  
**INFORMATION TECHNOLOGY DIVISION**  
**Detail, Difference FY 2008/2009**

Object Class	Description of Request	FTE	Cost	Difference FY 2008/2009
11 – Compensation	Current Positions WIG	57	86,000	
	Current Positions COLA	57	242,000	
	Juror Application Specialist	1	86,000	
Subtotal				414,000
12 – Benefits	Current Positions WIG	57	22,000	
	Current Positions COLA	57	61,000	
	Juror Application Specialist	1	22,000	
Subtotal				105,000
21 - Travel and Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increase			9,000
24 - Printing & Reproduction				
25 - Other Services	Built-in Increase			35,000
26 - Supplies and Materials	Built-in Increase			4,000
31 – Equipment	Built-in Increase			9,000
Total				576,000

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

	FY 2007 Enacted	FY 2008 Enacted	FY 2009 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	1	1	1
JS-8	7	7	7
JS-9	3	3	2
JS-10	3	3	3
JS-11	3	3	2
JS-12	1	1	2
JS-13	27	27	29
JS-14	9	9	9
JS-15	2	2	2
CES	1	1	1
Ungraded			
Total Salary	4,226,000	5,762,000	6,176,000
Total	57	57	58

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

<u>FY 2007 Enacted</u>		<u>FY 2008 Enacted</u>		<u>FY 2009 Request</u>		<u>Difference</u> <u>FY 2008/2009</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	486,000	4	596,000	4	632,000	0	36,000

**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 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. On personnel matters, the Office provides advice and also represents management in administrative hearings. 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, (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, (3) the provision of responsive legal advice and counseling to managers on employee disciplinary actions, unemployment compensation proceedings, and equal employment opportunity cases and representation of management in hearings related to such matters, and (4) the provision of responsive legal advice and assistance to Court managers and employees in cases where such personnel are subpoenaed to testify or provide documentation as to Court-related matters. Performance indicators consist of the provision of timely and accurate oral and written legal advice and related services.

**Relationship Between Base Budget and Court-wide 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 office of the Attorney General of the District of Columbia on legal matters affecting the administration of the D.C. Courts.

**FY 2009 Request**

In FY 2009, the Courts request \$632,000 for the Office of the General Counsel, an increase of \$36,000 (6%) above the FY 2008 Enacted Budget. The increased budget request consists entirely of built-in increases.

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

	<b>FY 2007 Enacted</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>	<b>Difference FY 2007/2008</b>
11 – Compensation	389,000	472,000	499,000	27,000
12 – Benefits	93,000	118,000	125,000	7,000
<i>Sub-total Personnel Cost</i>	<i>482,000</i>	<i>590,000</i>	<i>624,000</i>	<i>34,000</i>
21 – Travel, Transp. of Persons				
22 – Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	3,000	5,000	6,000	1,000
31 – Equipment	1,000	1,000	2,000	1,000
<i>Sub-total Non Personnel Cost</i>	<i>4,000</i>	<i>6,000</i>	<i>8,000</i>	<i>2,000</i>
<b>TOTAL</b>	<b>486,000</b>	<b>596,000</b>	<b>632,000</b>	<b>36,000</b>
FTE	4	4	4	0



Table 2  
**OFFICE OF THE GENERAL COUNSEL**  
**Detail, Difference FY 2008 to FY 2009**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2007/2008</b>
11 - Compensation	Current Positions WIG	4	7,000	
	Current Positions COLA	4	20,000	
Subtotal				27,000
12 - Benefits	Current Positions WIG	4	2,000	
	Current Positions COLA	4	5,000	
Subtotal				7,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies and Materials	Built-in Increase			1,000
31 - Equipment	Built-in Increase			1,000
<b>Total</b>				<b>36,000</b>

Table 3  
**OFFICE OF THE GENERAL COUNSEL**  
**Detail of Full-Time Equivalent Employment**

	<b>FY 2007 Enacted</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	1	1	1
JS-11			
JS-12			
JS-13			
JS-14			
JS-15	2	2	2
JS-16			
JS-17			
CES	1	1	1
Ungraded			
Total Salary	389,000	472,000	499,000
<b>Total</b>	<b>4</b>	<b>4</b>	<b>4</b>

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

<u>FY 2007 Enacted</u>		<u>FY 2008 Enacted</u>		<u>FY 2009 Request</u>		<u>Difference</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
9	917,000	9	1,040,000	9	1,101,000	0	61,000

**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 securing grant resources to support new court initiatives; conducting program evaluations, best practice research, and survey analysis; designing pilot programs and court improvement projects; and disseminating accurate and timely caseload and other court performance information to judges, court managers, and the public.

**Organizational Background**

The Research and Development Division conducts social science research and policy studies on court operations and administrative functions; performs grant seeking activities and monitors grants in progress; conducts program evaluations and performance assessments; administers surveys of court stakeholders; monitors emerging issues in court administration and criminal justice and advises judges and other court officials; maintains and reports official court statistics in the D.C. Courts’ Annual Report and other periodic reports; and provides technical assistance to judges and court administrators, including the design of new programs and services and oversight of pilot implementation.

In meeting its objectives, R&D’s work aligns with several key goals embodied in the D.C. Courts’ Strategic Plan, including those related to strategic issues #1, Fair and Timely Case Resolution; #2, Access to Justice; and #5, Public Trust and Confidence. Additionally, R&D’s work directly supports the Courts’ ability to report on the Courts’ 13 court-wide performance measures adopted by the Joint Committee. These measures include Clearance Rate, Time to Disposition, Age of Active Pending Caseload, Trial Date Certainty, Juror Utilization, Access, and Convenience to Court Facilities and Services, Access to Case Information, Courtesy and Responsiveness of Court Personnel, Courtroom Treatment of Litigants, Reliability and Integrity of Case Records and Access for Indigent and Pro Se Persons.

R&D is comprised of a *Director’s Office*, which undertakes court-wide policy development initiatives and special project management (e.g., management of the Courts’ program to routinely and independently evaluate court divisions and functions); a *resource development function*, responsible for court-wide grant seeking, monitoring and administration; a *statistical function*, which compiles, analyzes and disseminates court-wide caseload statistics, including the statutorily-required *Annual Report*, monitors national caseload trends and supports IJIS report development and verification; a *research and program evaluation function*, which provides technical support for court programs, such as Family Court, Community Court and the Courts’

Strategic Planning Leadership Council (SPLC), by conducting best practice research, analyzing satisfaction surveys, assessing court performance and developing briefing papers on topics of interest to court officials; and a *court information function*, which reports on court-related activities reported in daily newspapers, court administration and research publications and other sources. It includes a *Research and Development Resource Library* of over 4,000 electronically searchable holdings on court administration, criminal justice, child welfare and resource development for use by judges and court staff.

### **Division and MAP Objectives**

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

- Enhance the administration of justice by identifying and pursuing grant funding opportunities; providing accurate and timely information to judges, court managers and the public; coordinating court-wide efforts to identify and produce court performance information from IJIS; recommending best practices for court program development; designing new programs and managing their pilot phases.
- Improve access to justice and services to the public by providing information, including the *D.C. Courts' Annual Report* that is easily understandable and readily available.
- 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.

### **Division Restructuring or Work Process Redesign**

Since FY 2000, R&D has identified major business processes related to its core functions and has defined steps to use the Division's resources more efficiently to enhance service delivery. Advances have continued through FY 2007 and include: 1) Modifying the Division's "Request for Information Form" better to track requests for information by the public; 2) Streamlining the statistical report production process by eliminating redundant narrative and review, instituting new quality assurance tests and revising reporting formats, including a re-design of the Courts' *Annual Report*; 3) Implementing court-wide *Grant Administration Guidelines* to advise judges and court managers on the Division's grant seeking, monitoring and administration procedures and enhance communication about these activities throughout the Courts; 4) Establishing an e-mail box to receive requests for grant-related services; 5) Conducting grant solicitation forums to consider grant funding ideas and opportunities with interested judicial officers, division directors and other court personnel; 6) Routinely assessing compliance of directors of grant-funded projects with spending plans and reporting requirements and developing strategies to utilize grant funds timely and efficiently; 7) Initiating a weekly "Operations Roundtable" among staff within the Division to improve business processes and consider new, seminal

research findings and innovations applicable to the D.C. Courts; 8) Utilizing web-based questionnaire software to facilitate the administration and tabulation of stakeholder and other surveys; 9) Converting the production and dissemination of court information (including daily news clippings) from hard copy to electronic format; 10) Utilizing the Division's MAP to efficiently prioritize and assign work, schedule projects and deploy resources across functional areas; and 11) Supporting staff training to enhance technical skill levels and/or to "re-tool" staff with the skills needed to address the Division's changing workload.

### **Workload and Performance Measures**

R&D's internal performance measurement system is designed to monitor activities in the Division's eight principal MAP functional areas of: 1) Resource development (i.e., grant seeking, monitoring and administration); 2) Program evaluation and court-wide performance monitoring; 3) Best practices and other research studies; 4) Program design and pilot implementation; 5) Survey analysis, trend monitoring and reporting; 6) *Annual Report* production; 7) Court information dissemination; and 8) Special project management. The Division's performance indicators guide resource allocation and the Division's budget request with an emphasis on meeting the demand for information on court-wide and caseload activity, grant proposal preparation and performance reporting activities to address court priorities such as Family Court reform, IJIS implementation and Strategic Plan development.

Since the inception of Family Court, the Division's support of Family Court has continued to increase as the Division has 1) spearheaded the design and implementation of the District's Family Treatment Court (FTC), 2) conducted exit interviews with graduates of the Juvenile Drug Court and reported findings to the presiding judge, 3) managed an independent evaluation of Court Social Services and the Multi-Door Division, 4) designed a program evaluation of FTC to be implemented in FY 2008, 5) assisted in the development and verification of statistical reports on Family Court operations required by federal statute (i.e., ASFA) and local emergency legislation (i.e., concerning juveniles who fail to appear for court proceedings) and 6) developed grant applications to continue to implement Family Court's efforts to effectively manage cases involving children who are victims of child abuse and neglect.

Additionally for Family Court, during FY 2007, R&D assisted a judicially-led interagency committee in launching a Parenting Education Program for parents involved in child custody cases. With grant funds identified, sought, and secured by R&D, the program, which began operating in February 2007, addresses a critical need of children and families in the District by facilitating understanding and communication among parents and children involved in custody proceedings and monitoring these cases in domestic relations mediation provided by the Multi-Door Division.

Division representatives also began serving on a judicially-led interagency committee to design a Fathering Court to assist men recently released from confinement in meeting their child support obligations. With federal grant funds sought by R&D, the program, to begin as a limited pilot in FY 2007, is expected to expand during FY 2008 and thereafter to include employment counseling, job readiness, and placement.

R&D's statistical analysis and reporting assistance with the implementation of IJIS, begun in FY 2003, continued during FY 2007 and consists of activities associated with the development of IJIS-produced caseload statistical reports. As an outgrowth of this work, the Division has been able to identify statistical reports and performance measures for the Courts' operating divisions that align with the court-wide performance measures, design IJIS statistical reports for production by the Information Technology Division, and verify the outputs that have begun to be produced.

The Division's work in the area of survey design and analysis increased in FY 2007 as the Division joined with SPLC's staff to design a comprehensive stakeholder feedback program. As part of this effort, R&D independently administered and analyzed court-wide surveys of all the Courts' judicial officers, employees, attorneys with business at the Courts and analyzed surveys of court participants (i.e., litigants, witnesses, jurors, social workers, police officers and other members of the Courts' publics) collected after a "You Be The Judge" court-wide effort to solicit feedback on court performance. R&D conducted briefings of the SPLC on principal findings of the surveys as a basis for the development of the Courts' Strategic Plan for 2008-2012.

Best practices and program development activities of the Division also increased in FY 2007 with the Division recommending modifications for the Juvenile Drug Court, a verified risk assessment tool for juvenile offenders, and performance indicators for Community Court, juror utilization and several other functions. The Division also conducted investigations of state-level practices in administering juvenile probation as part of the Superior Court's participation in the District's Juvenile Alternative to Detention (JADI) initiative.

The performance measures provided in Table 1 align with the Division's MAP objectives, the Courts' Strategic Plan, and court-wide performance measures. Overall, effectively addressing the changing and more complex work demands on the Division often necessitates re-prioritizing requests, longer processing time from request to completion and resource reallocation within the Division in order to make available those staff with sufficient and appropriate skill and experience to meet the demand. For the majority of FY 2007, R&D has been carrying four vacancies, three of which are in the critical statistical and policy analyst areas, and one long-term absence for extended medical leave in the areas of grant and program development. As illustrated in Table 1, staff resource limitations have a direct impact on the Division's ability to keep up with the demand for its wide array of technical services to the Courts.

Table 1  
**RESEARCH AND DEVELOPMENT DIVISION**  
**Performance Measurement Table**

Type of Indicator	Performance Indicator	Data Source	FY 2006		FY 2007		FY 2008		FY 2009	
			Goal	Actual	Goal	Estimate	Goal	Estimate	Goal	Estimate
Output	# of best practice research / program design services in support of new court initiatives	Division/Court records	3	13	5	8	7	8	8	8
Output	# of responses to requests for court caseload/other data	R&D Request for Information Log	130	70	80	45	35	35	na	na
Output	# of performance reports (including satisfaction surveys, OptionFinder analyses, process reviews) and program evaluations completed	Division records	5	28	10	15	12	15	15	17
Output	# of grant proposals submitted (new/continuing)	Division/ Court records	6	14	8	15	10	12	12	12
Output	# of special projects developed / managed	Division/ Court records	3	6	3	4	4	4	5	5

As reported in Table 1, from FY 2006 to FY 2007, the Division continued to experience higher than expected demand for best practices research and program design services, technical support for performance reporting, grant proposal submission and special project management. There was a continuing decline in less complex requests for public information on court caseload activity and other court functions as a likely outcome of the increased availability of such information on the Courts' website, at public forums and through stakeholder groups. So dramatic has been the shift in recent years for R&D's technical services from simple requests for factual information to more complex, lengthy and resource intensive analyses, that the measure of court information requests has been eliminated from the Division's MAP as a key performance measure beginning in FY 2009.

The sustained demand on R&D to provide technical assistance in performance monitoring and reporting, including survey analysis, can be attributed to the adoption of strategic management throughout the Courts and the accompanying emphasis on obtaining stakeholder feedback in support of the operating divisions' fulfilling their MAP objectives, to improve operations and for resource planning. Statistical analysis requests also have been related to the full implementation of IJIS, which has resulted in the need for R&D to conduct caseload audits, file reviews and other activities related to developing and verifying automated caseload and performance reports. The demand for the development of grant proposals, while steady, has been affected by two national grant funding trends: the decreasing availability of grant funds for which courts are eligible to apply and/or in areas applicable to the D.C. Courts and the increasing cash match levels required by many grantors which the Courts cannot readily support.

**FY 2009 Request**

In FY 2009, the Courts request \$1,101,000 for the Research and Development Division, an increase of \$61,000 (6%) above the FY 2008 Enacted Budget. The increase consists of built-in increases.

Table 2  
**RESEARCH AND DEVELOPMENT DIVISION**  
**Budget Authority by Object Class**

	<b>FY 2007 Enacted</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>	<b>Difference FY2008/2009</b>
11 – Compensation	737,000	829,000	876,000	47,000
12 – Benefits	177,000	208,000	220,000	12,000
<i>Subtotal Personal Services</i>	<i>914,000</i>	<i>1,037,000</i>	<i>1,096,000</i>	<i>59,000</i>
- Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	1,000	1,000	2,000	1,000
31 – Equipment	2,000	2,000	3,000	1,000
<i>Subtotal Non-Personal Services</i>	<i>3,000</i>	<i>3,000</i>	<i>5,000</i>	<i>2,000</i>
<b>TOTAL</b>	<b>917,000</b>	<b>1,040,000</b>	<b>1,101,000</b>	<b>61,000</b>
<b>FTE</b>	<b>9</b>	<b>9</b>	<b>9</b>	<b>0</b>

Table 3  
**RESEARCH AND DEVELOPMENT DIVISION**  
**Detail, Difference FY 2008/2009**

<b>Object Class</b>	<b>Description of Request</b>	<b>FTE</b>	<b>Cost</b>	<b>Difference FY 2008/2009</b>
11 - Compensation	Current Positions WIG	9	12,000	
	Current Positions COLA	9	35,000	
Subtotal				<b>47,000</b>
12 - Benefits	Current Positions WIG	9	3,000	
	Current Positions COLA	9	9,000	
Subtotal				<b>12,000</b>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Service				
26 - Supplies & Materials	Built-in Increase		1,000	
31 - Equipment	Built-in Increase		1,000	
<b>TOTAL</b>		<b>9</b>		<b>61,000</b>

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

	<b>FY 2007 Enacted</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	1	1	1
JS-8			
JS-9	1	1	1
JS-10			
JS-11			
JS-12	3	3	3
JS-13	1	1	1
JS-14	2	2	2
JS-15			
JS-16			
JS-17			
CES	1	1	1
JS Salaries	737,000	829,000	876,000
<b>TOTAL</b>	<b>9</b>	<b>9</b>	<b>9</b>



**DISTRICT OF COLUMBIA COURT SYSTEM  
MANAGEMENT ACCOUNT**

<u>FY 2007 Enacted</u>		<u>FY 2008 Enacted</u>		<u>FY 2009 Request</u>		<u>Difference FY 2008/2009</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
-	12,396,000	-	15,981,000	-	16,352,000	-	371,000

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

**FY 2009 Request**

In FY 2009, the Courts request \$16,352,000 for the Management Account, a net increase of \$371,000 above the FY 2008 Enacted Budget. The request includes an increase of \$30,000 for the Transit Subsidy Increase for Court System employees (for further information on the transit subsidy program, please refer to the justification in the Human Resources Division) and \$341,000 for built-in cost increases.

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

	FY 2007 Enacted	FY 2008 Enacted	FY 2009 Request	Difference FY 2008/2009
11 - Personnel Compensation	131,000	140,000	146,000	6,000
12 - Personnel Benefits	147,000	188,000	220,000	32,000
<i>Sub-total Personnel Cost</i>	<i>278,000</i>	<i>328,000</i>	<i>366,000</i>	<i>38,000</i>
21 - Travel, Transp. of Persons	62,000	65,000	67,000	2,000
22 - Transportation of Things	1,000	1,000	2,000	1,000
23 - Rent, Commun. & Utilities	6,432,000	6,423,000	6,558,000	135,000
24 - Printing & Reproduction	67,000	71,000	73,000	2,000
25 - Other Services	5,080,000	8,593,000	8,774,000	181,000
26 - Supplies & Materials	282,000	296,000	303,000	7,000
31 - Equipment	194,000	204,000	209,000	5,000
<i>Sub-total Non-Personnel Cost</i>	<i>12,118,000</i>	<i>15,653,000</i>	<i>15,986,000</i>	<i>333,000</i>
<b>TOTAL</b>	<b>12,396,000</b>	<b>15,981,000</b>	<b>16,352,000</b>	<b>371,000</b>
FTE	-	-	-	-

Table 2  
**MANAGEMENT ACCOUNT**  
**Detail, Difference FY 2008/2009**

Object Class	Description of Request	Cost	Difference FY2008/2009
11 - Personnel Services	Built-in Increase		6,000
12 - Personnel Benefits	Built-in Increase	2,000	
	Transit Subsidy	30,000	
Subtotal			32,000
21 - Travel and Transportation	Built-in Increase		2,000
22 - Transportation of Things	Built-in Increase		1,000
23 - Rent, Commun. & Utilities	Built-in Increase		135,000
24 - Printing & Reproduction	Built-in Increase		2,000
25 - Other Services	Built-in Increase		181,000
26 - Supplies and Materials	Built-in Increase		7,000
31 - Equipment	Built-in Increase		5,000
<b>Total</b>			<b>371,000</b>