Performance Management in the Judicial Branch

Lessons Learned from the First 500 Days of the SMAART Performance Management Program

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Circuit Court of Lake County, IL
500-Day Plans

"I enjoy solving problems and am guided by selected long-term goals. I then rely on a 500-day plan to create a timetable of short-term actions that chart a course for future progress. It's a 500-day plan with a 5,000-day horizon."

Mike Leavitt
Fmr. U.S. Health & Human Services Secretary
# 500-Day Plans

**Planning for Results**

<table>
<thead>
<tr>
<th>ID</th>
<th>Project</th>
<th>Start</th>
<th>Finish</th>
<th>Duration</th>
<th>2012</th>
<th>2013</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>Jan</td>
<td>Feb</td>
</tr>
<tr>
<td>1</td>
<td>Admin - Project 1</td>
<td>1/2/2012</td>
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<td>1/2/2012</td>
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<td>6</td>
<td>Adult - Project 2</td>
<td>1/2/2012</td>
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<td>196d</td>
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<td>26</td>
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<td>27</td>
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<td>28</td>
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<tr>
<td>29</td>
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<td>1/1/2013</td>
<td>3/29/2013</td>
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## Planning for Results
### Developing Work Plans

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<tr>
<th>ID</th>
<th>Youthful Offender Employment Program</th>
<th>Start</th>
<th>Finish</th>
<th>Duration</th>
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<th>2013</th>
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<td>Jan</td>
<td>Feb</td>
<td>Mar</td>
<td>Apr</td>
<td>May</td>
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<td>Identify Program Mgr</td>
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<td>9/13/2013</td>
<td>10d</td>
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Court Performance Measurement

Judicial Functions
- Caseload Management
- Adjudication
- Jurors
- Therapeutic Jurisprudence

Administrative Functions
- Finance & Budgeting
- Technology Management
- Communications
- Employees
- Facilities

Employee Functions
- Customer Service
- Program Management
- Performance Measurement
Court Performance Measurement

CourTools – Trial Court Performance Measures
National Center for State Courts (NCSC), 2005

- Measure 1
  Access & Fairness
- Measure 2
  Clearance Rates
- Measure 3
  Time to Disposition
- Measure 4
  Age of Active Pending Caseload
- Measure 5
  Trial Date Certainty
- Measure 6
  Reliability & Integrity of Case Files
- Measure 7
  Collection of Monetary Penalties
- Measure 8
  Effective Use of Jurors
- Measure 9
  Court Employee Satisfaction
- Measure 10
  Cost per Case
SMAART
Performance Management Process of the Circuit Court of Lake County, Illinois

**PLANNING**
- Planning for Results
  - Strategic Planning
  - Needs Assessment
  - Action Planning
  - Benchmarking
  - Budgeting

**ACTION**
- Delivering Results
  - Implement Action Plan
  - Deliver Services
  - Collect Data
  - Monitor Program
  - Monitor Budget

**RESULTS**
- Reporting Results
  - Record & Validate Data
  - Analyze Data Results
  - Communicate Results
  - Program Evaluation
  - Highlight Achievements

**Feedback Loop**
- SWOT Analysis
- Resource Allocation
- Skill Development

- Policies & Procedures
- Changes in Behavior Process Improvement

- Program and Policy Decision-Making
- Employee Performance Planning
- Fiscal Year Accounting and Budget Requests
Achievements from the First 500 Days

- 25 SMAART Improvement Projects Identified at the beginning of the 500 Day Cycle
- 24 Improvement Projects Implemented
- 18 Improvement Projects Completed
Lessons Learned from the First Round of the SMAART Process

- Strategic Alignment
- Court Leadership & Management Practice
- Enhancing Employee Engagement
- Communication and Reporting Systems
- Sustainability of the Performance Management Process
Alignment with the Strategic Plan
Alignment with the Strategic Plan

Circuit Court Organization
- Mission Statement
- Vision Statement
- Strategic Plan

Functional Divisions
- Supporting Statement
- Goal Statements
- Operational Manuals

Service Areas
- Statement of Purpose
- Policy & Procedure

Units Programs, & Special Interventions
Alignment with the Strategic Plan

- **Vision**
- **Mission**
- **Standards & Objectives**
- **SWOT Analysis**
- **Environmental Analysis**
- **Internal Surveys**
- **External Surveys**
- **Organizational Strategies**
- **Divisional and Unit Goals**
- **Validate Key Performance Indicators**
- **Monitor Balanced Scorecard Measures**
- **Report Accomplishments**
- **Deployment of Action Plans**
- **Periodic Checks – Action Research**
Alignment with the Strategic Plan

MISSION
Public Trust & Confidence

STRATEGIC PLAN

PROJECT MANAGEMENT
- Access to Services and Programs
- Program Outcomes
- Case Processing
- Client & Customer Satisfaction
- Public Awareness of Court Programs

FINANCIAL MANAGEMENT
- Costs to Client
- Costs to Organization
- Achieving Project Budget
- Securing Grant Funding
- Client Financial Compliance

INTERNAL PROCESSES
- Service Delivery
- Collaboration with Partners
- Policies and Procedures
- Professional Standards & Ethics
- Communications

ORGANIZATIONAL DEVELOPMENT
- Job Knowledge & Skill Development
- Utilization of Technology
- Organizational Commitment
- Problem-Solving
- Responsiveness to Change
Court Leadership

- Caseflow Management
- Information Technology Management
- Education, Training & Development
- Human Resource Management
- Resources Budget & Finance
- Visioning & Strategic Planning
- Essential Components
- Court Community Communication

Purposes & Responsibilities of Courts
Employee Engagement

- Leaders Lead
- Supervisors
- Intrinsic Work Experiences

Human Resources Management
- Leadership & Knowledge Management
- Results-Oriented Performance Culture
- Talent Management
- Job Satisfaction

Employee Work Experiences
- Job Characteristics
- Relationships with Co-Workers
- Unit Management
- Organisational Culture
- Court Leadership
- Perceptions of Workplace Fairness
Employee Engagement

Employment Engagement Index:

- Federal Court Services & Offender Supervision Agency (2011) 71.9%
- Judicial Information & Technology 78.2%
- Lake County Circuit Court 70.5%
- Judicial Operations 79.8%
- Administrative Services 62.0%
- Juvenile Probation & Detention Services 77.3%
- Adult Probation Services 69.4%
- Psychological Services 92.1%
Reporting System

- Key Performance Indicators
- Executive Measures
- Balanced Scorecard
- SMAART Snapshots
- Research & Surveys
Sustainability of the SMAART Performance Management Process

- Senior Management Team
- SMAART Executive Team
- SMAART Advisory Team
- Assistant Directors
- Unit Managers
- Line Staff
Future Directions
SMAART Performance Management

- Vendor Performance Measures
- Program and Service Recommendations
- Defining the Role of the SMAART Team
- Performance Management Responsibilities
- Delivery of Performance Results
- Performance Based Budgeting
Implementing Vendor Performance Measures

Source –
Marci Jumisko, Director of Administrative Services
*Measuring Outcomes for Residential Substance Abuse Treatment*
Court Executive Development Program, May 2011
Incorporating Program and Service Improvement Recommendations

- Staff Position Paper
  - Courts Daily Intranet
  - [http://courts.lakeco.org](http://courts.lakeco.org)
  - Review by SMAART Team Member
  - Approval by Division Director

- Research Activities Policy
  - Applicable to all outside researchers
  - Agencies, Academia, Student Researchers
  - Policy, Procedure, Reader-Enabled Form
  - [http://www.19thcircuitcourt.state.il.us/resources/Pages/smaart.aspx#smaart_reports](http://www.19thcircuitcourt.state.il.us/resources/Pages/smaart.aspx#smaart_reports)
# Defining the Role and Structure of the SMAART Advisory Team

<table>
<thead>
<tr>
<th>Previous SMAART Team</th>
<th>Current SMAART Team</th>
</tr>
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<tbody>
<tr>
<td>Director - Heavy</td>
<td>Representation from all levels of the organization</td>
</tr>
<tr>
<td>Extension of Senior Management Team</td>
<td>Advisory Committee to Senior Management Team</td>
</tr>
<tr>
<td>Process – Oriented</td>
<td>Task - Oriented</td>
</tr>
<tr>
<td>Internal Accountability</td>
<td>Accountable to Senior Management Team</td>
</tr>
<tr>
<td>Indeterminate Time Commitment</td>
<td>Rotating Membership - Tenure</td>
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</table>

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The previous SMAART Team included a Director who was heavily involved in the process. The team had a focus on representation from all levels of the organization, an oriented advisory committee, internal accountability, and an indeterminate time commitment. The current SMAART Team has a broader representation, an oriented task team, accountability to senior management, and a rotating membership tenured role.
## Delegation of Performance Management Responsibilities

<table>
<thead>
<tr>
<th>Level</th>
<th>Purpose</th>
<th>Used By / For</th>
<th>Time Frame</th>
<th>Opportunities to Improve</th>
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</thead>
<tbody>
<tr>
<td>Strategic</td>
<td>Organizational Purposes</td>
<td>Senior Management Team; Judiciary; SMAART Team. Used to look at outcomes.</td>
<td>12-18 months</td>
<td>No more than Quarterly - Annually</td>
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<tr>
<td>Tactical</td>
<td>Major Court Functions</td>
<td>Directors and Assistant Directors. Tend to focus on efficiency, effectiveness &amp; service quality.</td>
<td>3-6 months</td>
<td>Quarterly - Bi-annually</td>
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<tr>
<td>Operational</td>
<td>Programs and Services</td>
<td>Unit Managers and line staff. Focus on daily operations, outputs, &amp; customer service.</td>
<td>1-3 months, at least</td>
<td>12 or more times a year</td>
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</table>
Delivery of Performance Results
Social Media and Alternative Methods
Delivery of Performance Results
Social Media and Alternative Methods

- The public uses social media to communicate and find information.
- Identification of citizen needs and concerns regarding the Justice System.
- Direct citizens to the information they need more efficiently and effectively.
- Listening to the Voice of the Community
  Provide the public with the information that they need.
Performance Based Budgeting

- Performance Based Budgeting is a PROCESS

- The organizational structure in which PBB occurs has much to do with its successful implementation

- PPB requires a strong and established Performance Management and Reporting System
# Performance Based Budgeting

<table>
<thead>
<tr>
<th>Adult Pretrial Supervision Unit</th>
<th>Budget</th>
<th>Expenditures</th>
<th>FTE’s</th>
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<tr>
<td></td>
<td>$625,457</td>
<td>$734,294</td>
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**Statement of Purpose**
The Adult Pretrial staff interviews defendants in custody and provides the Court with verified information that assists the Court in determining the type of bond, bond conditions to be imposed, and bond release decisions. Pretrial Officers perform home visits and curfew calls, as well as surveillance of defendants during the evening hours, weekends, and holidays.

**Outputs**

<table>
<thead>
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<th>Outputs</th>
<th>2009</th>
<th>2010</th>
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<td>Number of Pretrial Defendants Supervised</td>
<td>2,567</td>
<td>3,456</td>
<td>3,785</td>
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<td>Number of Pretrial Bond Reports Completed</td>
<td>1,234</td>
<td>987</td>
<td>1,198</td>
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<tr>
<td>Number of Defendant Drug Tests Conducted</td>
<td>8,732</td>
<td>9,898</td>
<td>8,347</td>
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**Performance Goal**

<table>
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<tr>
<th>Performance Goal</th>
<th>Outcome Measures</th>
<th>Benchmark</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
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</thead>
<tbody>
<tr>
<td>Successful completion of Pretrial Supervision</td>
<td>Percent of pretrial defendants completing pretrial supervision without new offenses, failure to appear at scheduled court dates, or technical violations.</td>
<td>67%</td>
<td>69%</td>
<td>74%</td>
<td>75%</td>
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</tbody>
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**Positive Pretrial Drug Test Results**

| Positive Pretrial Drug Test Results | Percent of pretrial defendants testing positive for illicit drug use. | 11%       | 5%   | 8%   | 4%   |