

Nineteenth Judicial Circuit

Circuit Court of Lake County, Illinois

## STRATEGIC MANAGEMENT MATURITY MODEL



## SMAART Performance Management Program

### Continuous Improvement Plan

November 2016

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## **THE STRATEGIC MANAGEMENT MATURITY MODEL**

### **Executive Summary**

#### **Purpose**

The Strategic Management Maturity Model (SMMM) (Averson et al, 2010) assessment was designed for management team members who need a quick assessment of where their organization stands in terms of strategic management. In the practice of strategic management, it is important to monitor progress in improving maturity in terms of strategic management efforts, and to allow benchmarking across time within the organization, in order to identify best practices. Operational management focuses on doing things right, and many tools have been developed to improve this. Tactical management typically includes data that can be used to measure service quality, such as customer engagement with programs and services. In any organization, it is the strategy, driven from the vision of the leadership that defines what the right things are. Process improvements alone cannot guarantee that an organization will be successful, or that an agency will achieve its mission. The three aspects of management (strategic, tactical and operational) complement each other, so all must be assessed to determine the organization's total management capabilities.

#### **Findings**

The Strategic Management Maturity Model assessment gages managers' perception of the organization along **Eight Dimensions of Strategy**: (1) Organizational Leadership; (2) Organizational Culture and Values; (3) Strategic Thinking and Planning; (4) Operational Alignment; (5) Performance Measurement Efforts; (6) Performance Management Techniques; (7) Process Improvement Initiatives (8) Sustainability of Strategic Management. For each of these eight dimensions, there are five levels of strategic management maturity. You can evaluate your organization by scoring the level of performance on each of the **five levels of strategic management maturity**: Ad Hoc and Static (Level 1); Reactive (Level 2); Structured and Proactive (Level 3); Managed and Focused (Level 4); Continuous Improvement (Level 5).

Despite some variability in the scores, the Lake County Court's Management Team demonstrated a current level of operations supporting being at a Structured and Proactive stage (Level 3) of development and moving towards a Managed and Focus stage (Level 4) in the next 3-5 years. Overall, most scores demonstrated movement in a positive direction towards full maturity, with **Performance Management** and **Sustainability** showing significant shifts ( $p < .05$ ) and **Leadership** showing near significance ( $p = .12$ ). The transition from a Level 3 to a Level 4 maturity is no small undertaking. Whereas leaders in a Level 2 or Level 3 strive to serve customers better, a Level 4 maturity is not only effective in doing this but also is involved in project development, creating new value streams for the organization, and adding value to consumers in meaningful and systematic ways. In short, Level 4 represents an entirely new way of thinking and implementing court services and the value it can serve to others.

#### **Recommendation**

The results obtained through the SMMM Assessment provide useful information regarding the implementation of the values, standards, strategies and goals articulated in the strategic framework plan. The following steps are recommended in guiding court managers at this time: (1) Improve managers' (and employees') perception of the value and importance of measuring performance that supports the strategic framework; (2) Lift the skill level of managers and employees in choosing or developing meaningful measures and using measures and data to support their decisions; (3) Increase the active involvement of employees in implementing performance measures; (4) Reduce the cycle time of implementing new performance measures, from choosing them to using them; (5) Increase the proportion of strategic and operational business objectives that have meaningful measures identified.

The results reported below represent only the midpoint assessment using this tool. There is room for growth in all areas of the assessment. Further support and training will take place based on the results and where such encouragement is needed. Another assessment period tentatively scheduled for 1 Q 2019 using the SMMM assessment.

## THE STRATEGIC MANAGEMENT MATURITY MODEL

2016 marks the beginning of the Nineteenth Judicial Circuit's third decade of operating within a court-wide strategic framework, which establishes priorities and performance objectives for the Judicial Branch. The Strategic Framework builds on previous Nineteenth Judicial Circuit strategic plans, and introduces new ideas on how to achieve continuous improvement in the quality of justice and related services provided in Lake County. Because this Strategic Framework is based upon the core values of the court, it will guide the achievement of the long-term goals that the dedicated judges and professional staff of the Nineteenth Judicial Circuit seek to accomplish. The plan maintains the focus on achieving and sustaining a fair, accessible, and independent judiciary while providing the flexibility to react more quickly to the evolving needs, issues, and allocation of available resources within our court community.

The Strategic Management Maturity Model (SMMM) was designed by the Balanced Scorecard Institute for busy managers who need a quick assessment of where their organization stands in terms of strategic management, to monitor progress in improving maturity of strategic management efforts, and to allow benchmarking across organizations, or divisions within one organization, in order to identify best practices. There are two basic questions to ask of management personal: are we doing things right, and are we doing the right things? Operational management focuses on doing things right, and many tools have been developed to improve this. Tactical management typically includes data that can be used to measure service quality – customer engagement with programs and services; another kind of data that is important at this level is program costs. In developing the SMMM, the Institute has expanded the concept of performance to add strategic management concerns, which answer the second question, are we doing the right things. In any organization, it is the strategy, driven from the vision of the leadership that defines what the right things are. Process improvements alone cannot guarantee that an organization will be successful, or that an agency will achieve its mission. The three aspects of management (strategic, tactical and operational) complement each other, so all must be assessed to determine the organization's total management capabilities (see below).

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

In the spring of 2014, the entire management team (n=37) of the Circuit Court of Lake County was presented with the opportunity to participate in a questionnaire based on The Strategic Management

Maturity Model (SMMM) Assessment. We had a response rate of 100% to that initial survey. The assessment was completed on line and includes questions about:

- How they view the current state of the court organization, and
- How they envision the court organization to be functioning in the next 5 years (dimensions listed below).

In the middle of 2016, managers again were offered the opportunity to take the assessment in order to track the organizations progress towards meeting that five-year goal. Thirty-one (response rate = 83.8%) members of the management team participated in this re-assessment. The lower response rate is attributed to a number of staff members who were on leave during the survey response period, as well as those who misunderstood that this was a re-assessment of their initial assessment.

With the Strategic Management Maturity Model, the initial level of maturity has no requirements and represents a chaotic state, levels 2-4 are better focused on increasing the discipline and effectiveness of routines, while the highest level is concerned with continuously improving the capability. In all cases, respondents were given no prompts as to the level to which they were responding (e.g., Level 1, Level 2, etc.), nor were they given the responses in any particular order with each response being generated by an option which randomized choices for each respondent. In this way, the responses gathered were not influenced by the design of the survey. The charts below demonstrate the distribution of scores across the survey types. Although the scores demonstrate a more advanced level of strategic maturity over time, it must be noted that an executive level aspiration of the survey is the achievement of a Level 5 maturity over time.

The assessment gages managers' perception of the organization along **Eight Dimensions of Strategy**:

- Organizational Leadership
- Organizational Culture and Values
- Strategic Thinking and Planning
- Operational Alignment
- Performance Measurement Efforts
- Performance Management Techniques
- Process Improvement Initiatives
- Sustainability of Strategic Management

For each of these eight dimensions, there are five levels of strategic management maturity. You can evaluate your organization by scoring the level of performance on each of the **five levels of strategic management maturity**:

- Level 1: Ad Hoc and Static
- Level 2: Reactive
- Level 3: Structured and Proactive
- Level 4: Managed and Focused
- Level 5: Continuous Improvement

### **Level 1: Ad Hoc and Static**

It is characteristic of organizations at this level that they currently do not do any strategic planning or management in a formal sense, tending to plan only on the tactical or operational level in an ad hoc and uncontrolled manner, normally by senior management behind closed doors. Leaders spend a majority of their time addressing operational issues and “putting out fires” and never address long-term strategy

### **Level 2: Reactive**

It is characteristic of organizations at this level that some elements of effective planning and strategic performance management are being applied, only in an inconsistent fashion and often with poor results. Planning discipline is unlikely to be rigorous, and only happens in reaction to events or to temporarily please an individual leader. These organizations might measure performance or even use it to punish underperformers, but often these activities are done by individuals to meet a routine policy need and are not taken seriously.

### **Level 3: Structured & Proactive**

It is characteristic of organizations at this level that there are formal structures and processes in place to comprehensively and proactively engage in strategic planning and management. These activities occur on a fairly regular basis and are subject to some degree of improvement over time. Measurements are somewhat aligned with strategy and employee accountability is taken seriously.

### **Level 4: Managed & Focused**

It is characteristic of organizations at this level that strategy drives focus and decision making for the organization. Organization-wide standards and methods are broadly implemented for strategy management. Leaders formally engage employees in the process and a measurement & accountability work culture help drive strategic success for the organization.

### **Level 5: Continuous Improvement**

It is a characteristic of organizations at this level that the strategic planning and management excellence are embedded within the culture of the organization and are continuously improved in a formal sense. This means that as performance is evaluated, the organization first analyzes how it is performing towards its strategic goals and then second studies how effective the strategic planning and management processes are and adapts as necessary. Excellence in strategic management drives the organization’s competitive edge or performance success

The following pages will present to the reader a short description of each dimension followed by a graphical distribution of our management team scores. Despite some variability in the scores, the Management Team as a whole demonstrates a clear perception of the current level of operations as being at a Structured and Proactive stage of development (Level 3) and moving towards a Managed and Focus stage (Level 4) in the next 3-5 years.

<b>Lake County SMMM Assessment Results</b>			
	Initial Assessment (Feb 2014)	Midpoint Assessment (June 2016)	5 Year Projection (Feb 2014)
Leadership (n = 37, 31)	3.49	3.94	4.46
Culture and Values (n = 37, 30)	3.11	3.20	4.22
Strategic Thinking and Planning (n = 37, 30)	3.03	3.40	4.27
Alignment (n = 37, 30)	3.30	3.43	4.16
Performance Measurement (n = 36, 30)	3.31	3.27	4.25
Performance Management (n = 36, 29)	3.28	3.93	4.25
Process Improvement (n = 37, 29)	3.46	3.45	4.03
Sustainability (n = 34, 29)	3.06	3.93	4.24
<b>Average Score</b>	<b>3.26</b>	<b>3.57</b>	<b>4.24</b>

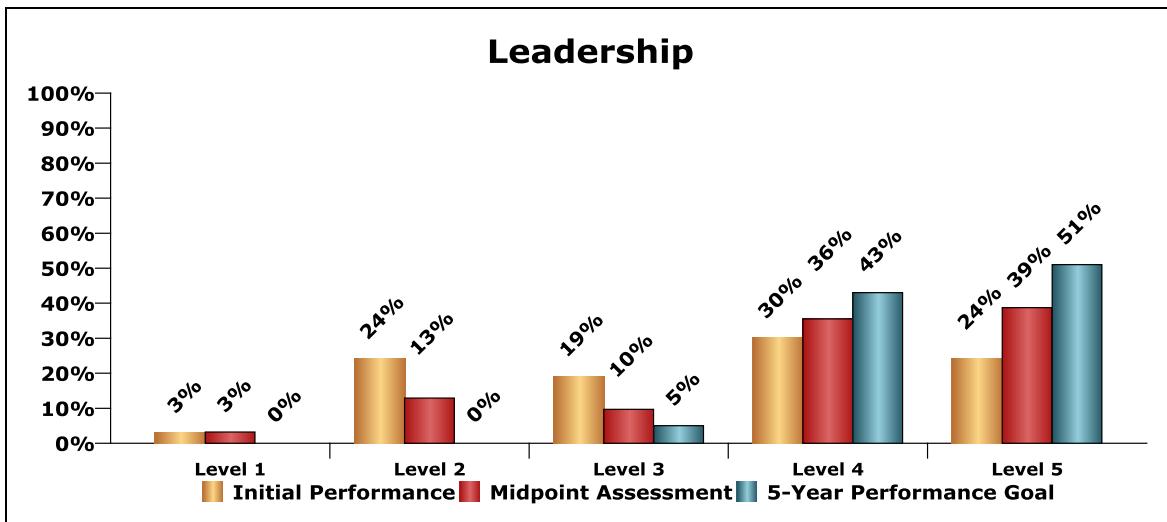
## **LEADERSHIP**

Effective strategic management starts with leadership. Leaders question assumptions, look at problems in new ways, and create and articulate a vision for the future. Many employees are now considered knowledge workers – they are hired for their thinking skills. In this environment employees want to know why they are being asked to do their assignments. Hence strategic management leads to increased employee empowerment and less command and control management. In the context of strategic management, leadership includes the following traits:

- Leaders set a clear and consistent vision or picture of the future of the organization;
- Leaders are pro-active in preparing the organization for the future;
- Leaders are visible and engaged to ensure that staff understand the common vision and can translate it into terms relevant to their roles;
- Leaders "walk the talk" in exemplifying the values, ethics and policies of the organization;
- Leaders don't micromanage, but trust and encourage employees to contribute their ideas and grow in their careers;
- Leaders walk around and work alongside staff to encourage teamwork.

Effective court leaders create, implement, and nurture a clear and compelling vision for the court, bringing a strategic perspective to their work, while staying attuned to daily operations. The combination of leadership and proactive management enable the court to fulfill the public's trust in the judiciary through service and adherence to the rule of law. The effective court leader is ultimately measured by the judiciary's performance in key areas: procedural due process, the protection of rights, transparency, access to justice, the stewardship of scarce resources, and the achievement of timely justice in individual cases. Effective court leadership delivers on these promises through a well-defined and fully operational governance structure. Leaders in the courts may take a variety of roles as an innovator, motivator, communicator, collaborator, visionary, strategist, and diagnostician.

<u>Leadership Scores</u>	
Initial Performance (Average Score)	3.49
Midpoint Assessment (Average Score)	3.94
Five Year Performance Goal (Average Score)	4.46



#### Key

<b>Level 1 - Ad hoc &amp; Static</b>	Leaders dictate / command & control; otherwise disengaged
<b>Level 2 – Reactive</b>	Leaders dictate but gather feedback sporadically
<b>Level 3 – Structured &amp; Proactive</b>	Leaders engage with direct reports only, but do model desired behaviors and values
<b>Level 4 – Managed &amp; Focused</b>	Leaders empower many employees through on going engagement
<b>Level 5 – Continuous Improvement</b>	Leaders & employees fully engage in a continuous dialog based on a team-based culture

#### CULTURE & VALUES

This dimension refers to the culture and values inside the organization, and it addresses leaders' and employees' shared understanding and agreement with stated values. Most organizations post a values statement with a list of virtuous words. What distinguishes maturity is the degree to which those values are communicated, understood and practiced – by the leader as well as by all employees. Evidence of mature workforce culture and values include:

- Thoughtful applications of change management principles and practices by the leadership;
- The degree of ownership that employees feel for the vision and values of the organization;
- Their degree of participation in shaping the organization's culture and ways of working;

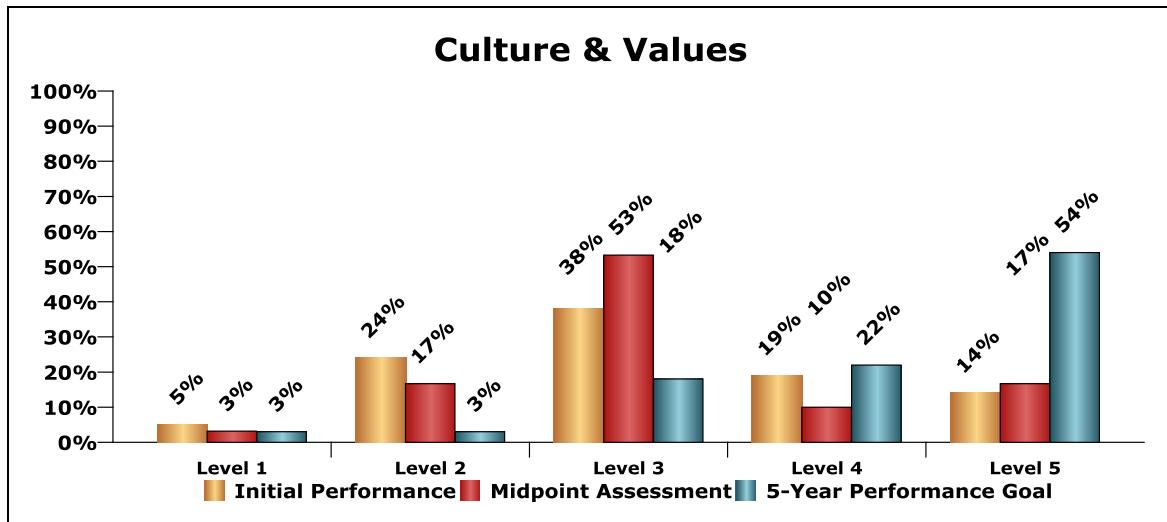
- The level of trust, transparency and freedom to communicate with candor, as opposed to a culture of fear and denial;
- The degree of flexibility and willingness to change to align to new strategic priorities; and
- The level of awareness and consistency of adherence to stated values and policies.

The building blocks for the future of court administration and court managers are:

- **Transparency** – judicial employees must be able to apply the values of, and have line of sight and involvement in, the vision of the court organization.
- **Flexibility** – successful court organizations and court managers have to have the capacity to embrace change.
- **Collaboration** – newer generations more inclined to a collaborative approach to work – moving from the top-down structure and embracing a flatter management and reporting structure.
- **Empowerment** – jobs/careers and personal life are an integrated pair of experiences that foster collaboration and innovation, court leaders ought to nurture their sharing personalities.
- **Host (Not Hero)** – the role of the court manager is more like that a host—drawing people together around an issue or challenge, engaging them and getting results through others.

#### Culture & Values Scores

Initial Performance (Average Score)	3.11
Midpoint Assessment (Average Score)	3.20
Five Year Performance Goal (Average Score)	4.22



<u>Key</u>	
<b>Level 1 - Ad hoc &amp; Static</b>	<b>Vision &amp; Values undefined or not shared</b>
<b>Level 2 – Reactive</b>	<b>Vision &amp; Values published, but not lived</b>
<b>Level 3 – Structured &amp; Proactive</b>	<b>Vision &amp; Values communicated &amp; understood</b>
<b>Level 4 – Managed &amp; Focused</b>	<b>Vision &amp; Values collaboratively developed</b>
<b>Level 5 – Continuous Improvement</b>	<b>Vision &amp; Values fully integrated into organization culture</b>

### **STRATEGIC THINKING & PLANNING**

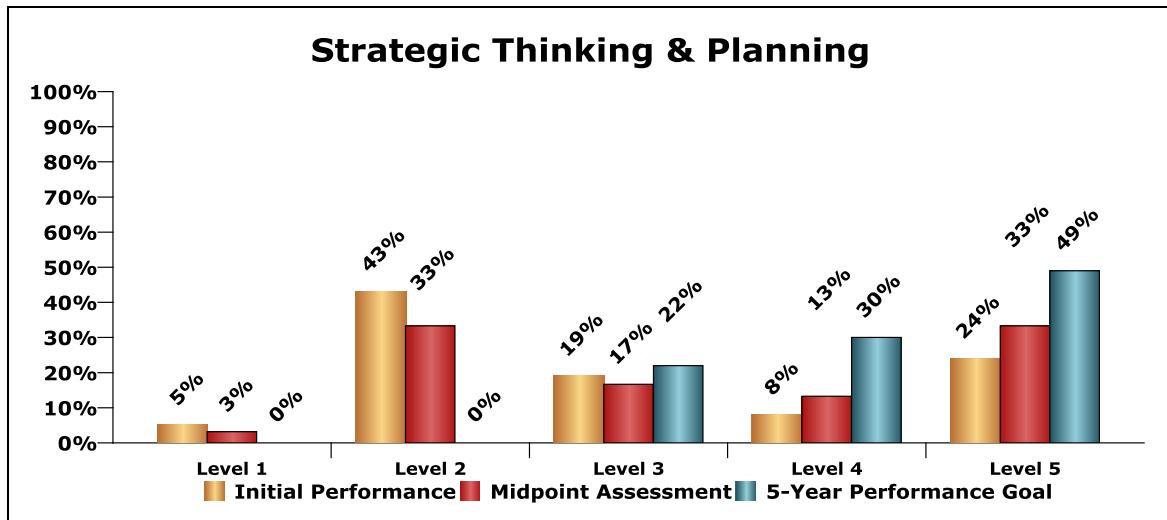
Strategy development is not a cookbook process. It is a challenging, heuristic task that requires strategic thinking. Evidence for the degree of strategic thinking can be found in the organization's strategic planning documents. Strategic thinking involves several traits:

- The ability to use consistent definitions of planning terms and to understand their distinctions;
- Awareness of the distinctions between project planning and strategic planning;
- The ability to discuss and describe items in plans at the appropriate strategic altitude;
- Awareness of the dynamic system effects within organizations, such as delays and feedback;
- Openness to new ideas and encouragement of creativity and innovation;
- Openness of the planning process to a team of employees of various ranks and functions;
- Degree to which alternative strategies and scenarios are considered;
- Linkage of strategic planning to budgeting; and
- The ability to write and speak with clarity and simplicity.

Strategic planning is a process that involves principles, methods, and tools that help court leaders decide what to do and how and when to do it. The strategic planning process is directional and linear. Strategic planning translates the court mission, core functions, and the vision into plans and action. Strategic planning invites court leaders, their justice partners, and the community, first to imagine and then to deliver the future they prefer. The strategic planning process assesses: (1) the nature, magnitude, and sources of demands likely to be placed on the Court in the upcoming years; and (2) the implications of the demands for the Court's structure, organization, and operations in the future.

#### **Strategic Thinking & Planning Scores**

<b>Initial Performance (Average Score)</b>	<b>3.03</b>
<b>Midpoint Assessment (Average Score)</b>	<b>3.40</b>
<b>Five Year Performance Goal (Average Score)</b>	<b>4.27</b>



#### Key

<b>Level 1 - Ad hoc &amp; Static</b>	No strategic planning occurs within the organization; no goals defined
<b>Level 2 – Reactive</b>	Strategic planning is the responsibility of a small team and dictated to the organization
<b>Level 3 – Structured &amp; Proactive</b>	A structured and open planning process involves people throughout the organization every couple of years
<b>Level 4 – Managed &amp; Focused</b>	Plans are developed and revised regularly by trained, cross-functional planning teams
<b>Level 5 – Continuous Improvement</b>	Strategy drives critical organizational decisions and a continuous improvement planning process is maintained

#### ALIGNMENT

Alignment refers to strategic alignment, which is the degree to which the organization's people and resources are focused on the strategy. The opposite of alignment is chaos, where managers, programs and projects are aiming at different goals and there is lack of a common vision, leading to wasted energy, delays, conflict and confusion. Features of the organization that can be aligned include: values, vision, mission, strategic plans, budgets, policies, procedures, functions, themes, objectives, information standards and organization structure. Alignment measures the degree to which:

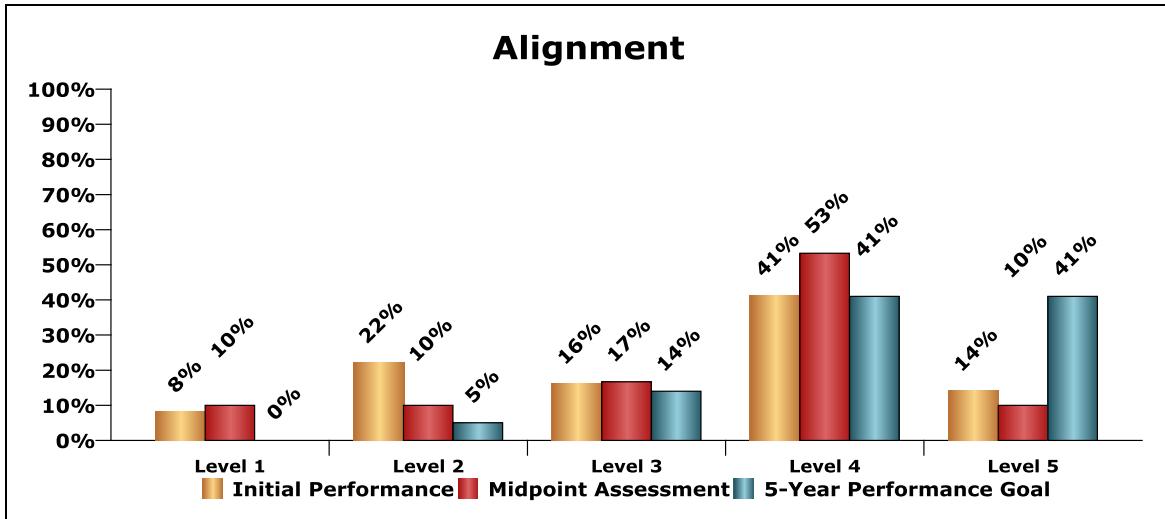
- People at all levels are motivated by a common vision and strategy;
- People understand that supporting the strategy is their job; and
- People are self-motivated, not merely by compliance to rules.

In order to facilitate alignment, court leaders may need to alternate roles as supervisors, managers, or leaders and each role serves a different purpose:

- **Supervision**, perhaps the most narrow of the roles, is the function of watching and directing a set of activities and actions, essentially providing oversight to the activity.
- **Management** involves coordinating the work, actions, and efforts of people to accomplish, or in support of, defined goals and objectives. Varieties of coursework on management often includes an acronym that illustrates management functions (POSDCORB) – planning, organizing, staffing, directing, coordinating, reporting, and budgeting – the traditional duties of a manager.
- **Leadership** involves higher level, and more complex, functions such as establishing a vision, promoting and sharing the vision and goals, and then providing support via information, knowledge and methods to realize the vision. It also involves skill in anticipating or keeping current on emerging challenges, trends, and proficiencies within a profession.

#### Alignment Scores

Initial Performance (Average Score)	3.30
Midpoint Assessment (Average Score)	3.43
Five Year Performance Goal (Average Score)	4.16



#### Key

<b>Level 1 - Ad hoc &amp; Static</b>	Work is narrowly focused based on organization structure, with little customer input
<b>Level 2 – Reactive</b>	Customer needs and feedback start to influence more aligned decision making
<b>Level 3 – Structured &amp; Proactive</b>	Employees know their customers and align strategy to those needs
<b>Level 4 – Managed &amp; Focused</b>	Vision, Customer Needs, Strategy, and Employee Reward and Recognition systems are cascaded and aligned
<b>Level 5 – Continuous Improvement</b>	All structures and systems are aligned with strategy, and organizational alignment is continuously improved

## **PERFORMANCE MEASUREMENT**

Without performance measures, managers are flying blind. So most organizations by now have learned to measure some things, either for operational performance or for compliance with the requirements of outside stakeholders. Strategic performance measures are aligned to the strategic plan – not just everyday operations and outputs, but strategic outcomes that tie to the vision of the organization. Features to look for in strategic performance measures are:

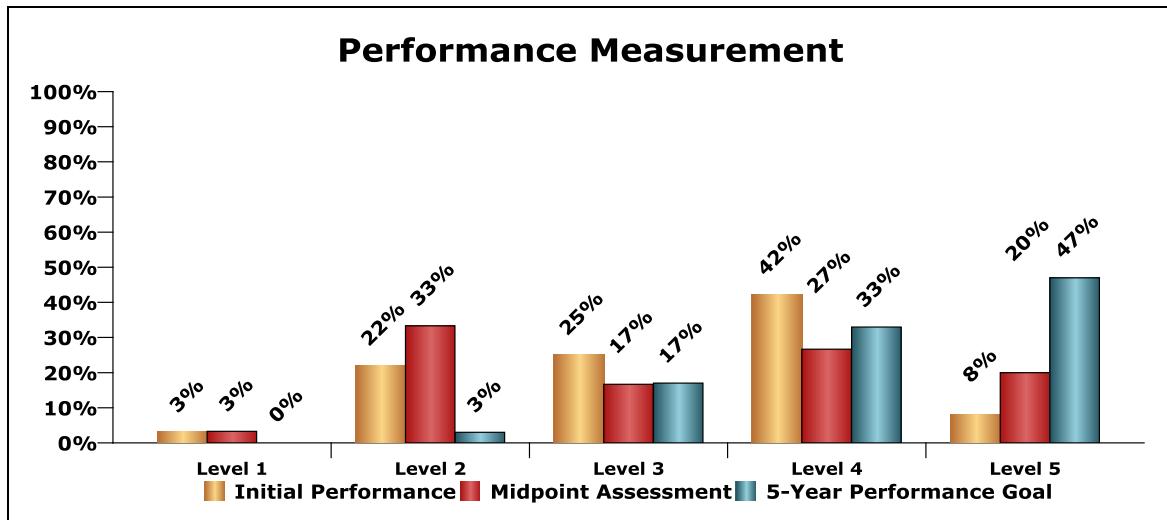
- Measures are derived from and aligned to the strategy;
- Measures are focused on outcomes and results, not just money spent, tasks accomplished, or outputs delivered;
- Measures use appropriate ratios, sample sizes and other features in order to be more meaningful;
- Measures take place and are reported frequently enough to drive decision making;
- Team and organizational performance, not only individual performance is being tracked;
- A balanced set of measures that cover a range of different dimensions including not only financial data but also customer satisfaction, internal process performance and capacities of the organization.

Court leaders are accountable to both the judiciary and the public to maintain a high performing court, which means court administrators must be able to measure and manage performance. The skillful collection and analysis of data ensures that court leaders are able to factually demonstrate through evidence the actual performance of programming to the public. All court organizations want better outcomes, and the best way to achieve better outcomes is by measuring the performance of processes that support court programs and related services, and then utilize the data to make improvements. Accountability and performance management is a process that allows the court to answer questions such as:

- How good are we at achieving our goals and objectives?
- Are we improving?
- What do we define as success? And, how do we know we've achieved it?

### **Performance Measurement Scores**

<b>Initial Performance (Average Score)</b>	<b>3.31</b>
<b>Midpoint Assessment (Average Score)</b>	<b>3.27</b>
<b>Five Year Performance Goal (Average Score)</b>	<b>4.25</b>



**Key**

<b>Level 1 - Ad hoc &amp; Static</b>	No data, or only ad hoc performance measures are collected
<b>Level 2 – Reactive</b>	Performance data collected routinely, but are mostly operationally focused
<b>Level 3 – Structured &amp; Proactive</b>	Strategic performance measures are collected, covering most strategic objectives
<b>Level 4 – Managed &amp; Focused</b>	Strategic measures are broadly used to improve focus & performance and inform budget decisions
<b>Level 5 – Continuous Improvement</b>	Measurements comprehensively used and routinely revised based on continuous improvement.

### **PERFORMANCE MANAGEMENT**

It is one thing to collect data, it is another to use it effectively. Performance management deals with the degree to which performance metrics are used in decision making. The degree to which leaders and managers feel they have the information they need to make decisions defines the level of performance management. Features to look for are:

- Recognition of the organization as a dynamic system;
- The use of feedback loops – so managers get to see the results of their decisions;
- Managers are able to change things based on timely reporting;
- Strategic performance measures are available to test the strategy;
- Leaders have transitioned into a learning organization so that they can validate their vision; and
- Ultimately the organization is applying what works to satisfy customers and improve the organization.

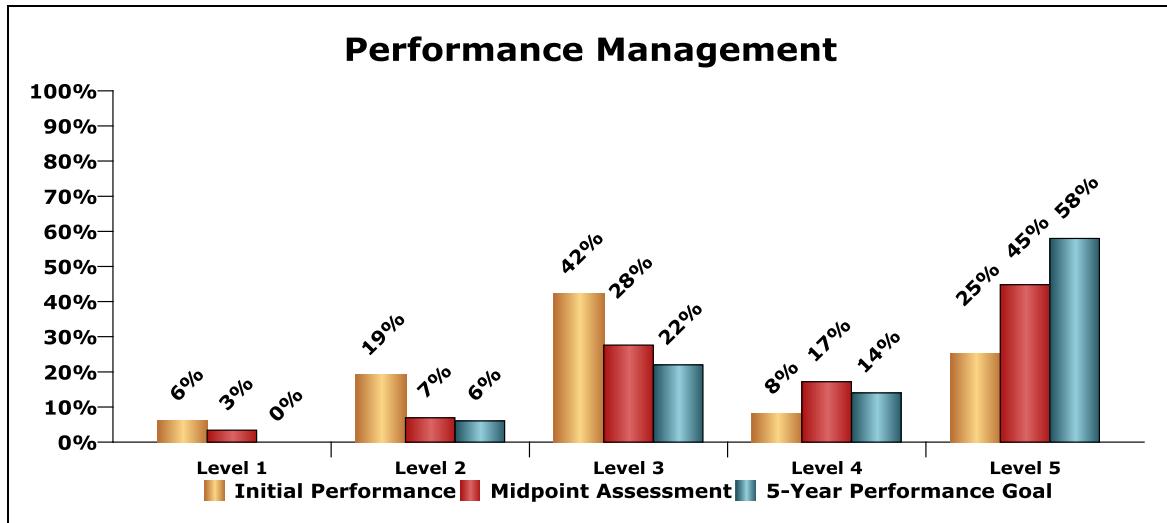
The SMAART Performance Management Program of the Nineteenth Judicial Circuit Court of Lake County is a process of organizational performance measures and continuous improvement efforts, which ensure that Court activities are aligned with the Court's strategic framework and are being conducted in an effective and

efficient manner. Developing habit-strength for effective problem-solving and efficient work processes can be applied across similar or different divisions or work groups in order to transform strategic initiatives into concrete actions, to guide organizational behavior during times of uncertainty and change, and seamlessly adapt to targets of opportunity.

The Court's strategic framework provides a vision of the judicial system, which is based on service to the community and fostering public trust and confidence. The strategic framework also outlines goals, objectives, and system-wide initiatives for the Court organization that are based on values important to the effective administration of justice and guides Court staff in working to fulfill the mission of the Court. The SMAART Program provides an Action Research Framework for aligning Court actions - services, programs, and support activities - within the strategic framework, measuring the impact of those actions using a balanced scorecard approach, and planning continuous improvements in order to enhance outcomes.

#### Performance Management Scores

<b>Initial Performance (Average Score)</b>	<b>3.28</b>
<b>Midpoint Assessment (Average Score)</b>	<b>3.93</b>
<b>Five Year Performance Goal (Average Score)</b>	<b>4.25</b>



#### Key

<b>Level 1 - Ad hoc &amp; Static</b>	No emphasis on using performance as a criterion to manage the organization
<b>Level 2 – Reactive</b>	Performance reviews required but not taken seriously; no accountability for performance exists
<b>Level 3 – Structured &amp; Proactive</b>	Measures are assigned owners and performance is managed at the organizational and employee level
<b>Level 4 – Managed &amp; Focused</b>	Measurement owners are held accountable and performance is managed at all levels
<b>Level 5 – Continuous Improvement</b>	Organizational culture is measurement and accountability focused; decisions are evidence-based

## **PROCESS IMPROVEMENT**

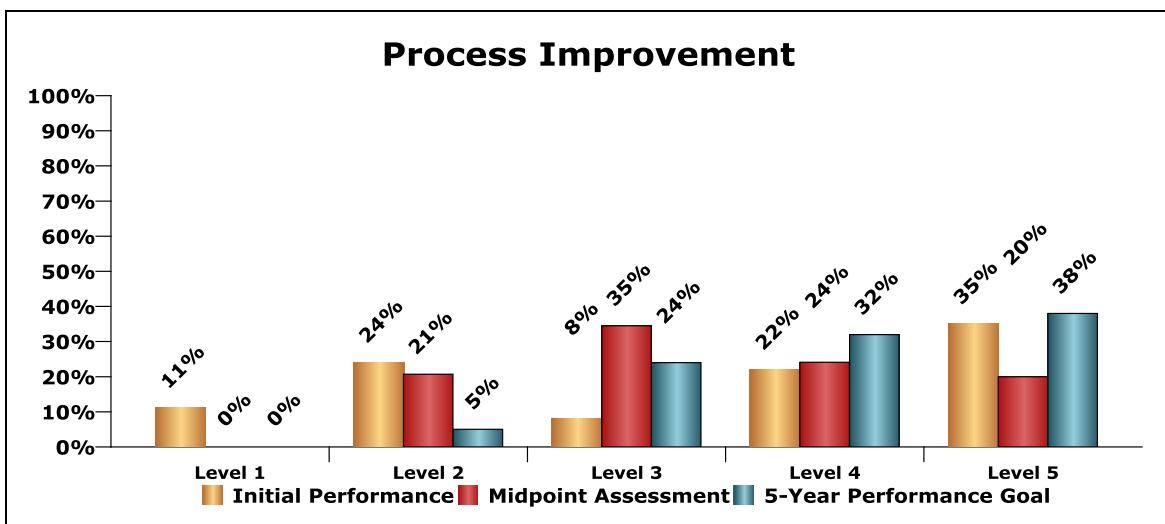
The role of strategic management is to identify which processes out of our entire portfolio are most in need of improvement (doing the right things). This requires input from the strategy, which informs the allocation of resources for planning improvements of the most strategically important processes in the near term and long term. Process improvement includes an assessment of:

- The organization's knowledge about its strategically important work processes;
- How well these processes are being improved updated and documented;
- How efficiently these processes perform compared to industry benchmarks;
- Skills, practices and technologies used to improve process quality and efficiency;
- Knowledge of core competencies and capacities of the organization and how well they are employed in running the processes;
- The level of employee awareness of customers and their expectations;
- Existence of contingency plans for future risks, such as disasters, funding shortages, and leadership succession.

For example, Caseflow Management is the process by which courts carry out their function of moving cases from filing to disposition. The management of caseflow is critical because it helps guarantee every litigant receives procedural due process and equal protection. This also requires the balance of individual justice in individual cases and justice delayed is justice denied. Workflow management involves the coordination and support of all tasks, procedures, resources (human and otherwise) necessary to guarantee the work of the court is conducted efficiently and is consistent with the court's purposes and responsibilities. An effective court leader understands that effective caseflow and workflow management makes justice possible both in individual cases and across the judicial system.

### **Process Improvement Scores**

<b>Initial Performance (Average Score)</b>	<b>3.46</b>
<b>Midpoint Assessment (Average Score)</b>	<b>3.45</b>
<b>Five Year Performance Goal (Average Score)</b>	<b>4.03</b>



<u>Key</u>	
<b>Level 1 - Ad hoc &amp; Static</b>	Processes are undocumented and ad hoc with evident duplication and delays
<b>Level 2 – Reactive</b>	A few key processes documented, and process improvement models (TQM, Lean Six Sigma, etc.) introduced
<b>Level 3 – Structured &amp; Proactive</b>	All key processes are identified and documented, and strategy guides successful process improvement initiative and improvements
<b>Level 4 – Managed &amp; Focused</b>	All key processes are tracked and improved on a continuous basis and new process improvement ideas are accepted
<b>Level 5 – Continuous Improvement</b>	Employees are empowered and trained, and a formal process exists for improving process management

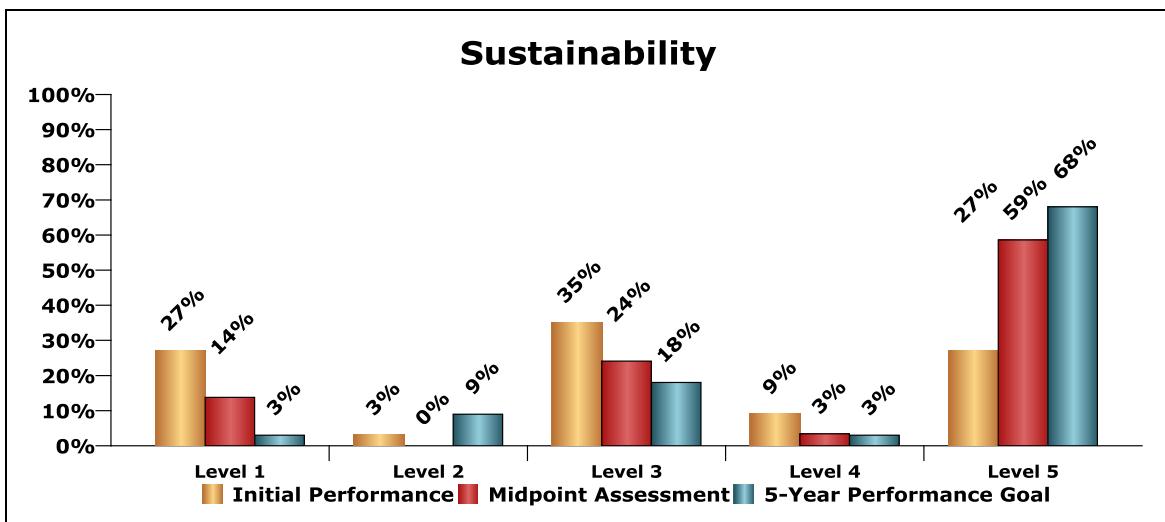
### **SUSTAINABILITY OF STRATEGIC MANAGEMENT**

When a high level of maturity is achieved, the organization is on a journey of continuous learning and improvement. Sustainability of the strategic management of the organization is defined by:

- How well the organization is maintaining its focus on its strategic vision, plans and initiatives;
- People, systems, and communication activities are in place to maintain the momentum of desired change;
- A sense of urgency in the staff and workforce;
- Reward and recognition systems that support efforts to motivate employees to do the right things;
- Presence of champions to keep the workforce informed about the strategic priorities and levels of performance that are desired;
- Presence of an office of strategic management, or similarly identified office, to deploy the strategy and track performance; and
- The degree to which strategic management has been institutionalized, so that strategy is everyone's job.

Judges and court leaders work in a complex legal environment characterized by both ambiguity and adherence to local custom - both cultural and organizational. Within that environment, one of the most significant relationships is that between the judges and the court leaders. Effective administration takes place when the judicial officers and the court leaders guide the court together providing a roadmap that court staff can successfully follow. Effective systems of administration provide for the participation of all staff (to varying degrees) within the organization in the development of policy and planning for the court. Through the collaborative efforts of the court leaders and judges, court policy is defined, implemented, monitored, sustained, and/or revised.

<u>Sustainability Scores</u>	
Initial Performance (Average Score)	3.06
Midpoint Assessment (Average Score)	3.93
Five Year Performance Goal (Average Score)	4.24



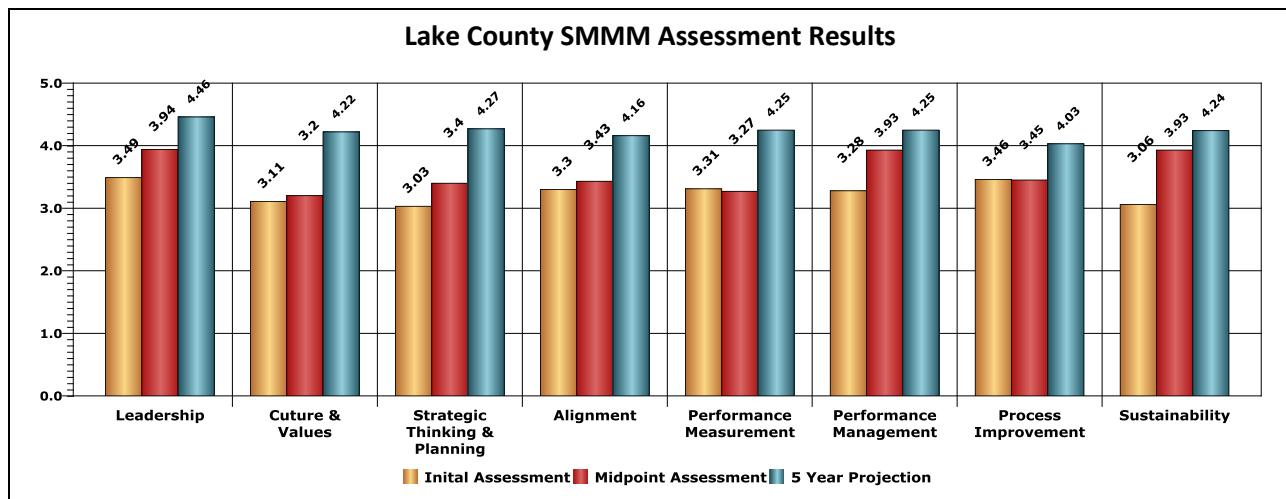
### Key

<b>Level 1 - Ad hoc &amp; Static</b>	Lack of structure and champions lead to short-term focus on tasks
<b>Level 2 – Reactive</b>	Strategy “champions” identified
<b>Level 3 – Structured &amp; Proactive</b>	Formal organization structure in place to maintain focus on strategy
<b>Level 4 – Managed &amp; Focused</b>	Organization has an “Office of Strategy Management” or equivalent
<b>Level 5 – Continuous Improvement</b>	Strategic thinking and management are embedded in the culture of the organization

### CONCLUSIONS

The term maturity can be used as an indicator to measure organizational capability and has been applied in various contexts with distinct purposes, such as strategizing or knowledge development among others. In this context maturity models refers to a fully developed or perfected state, or the extent to which specific activities or processes are defined, managed, measured, controlled, and effective. Successive capability maturity models have been successfully applied to many management domains using similar principles and adapting their structure or content to a new context. Regardless of the large number of application domains, the objectives of these models are highly similar. Their general purpose is to assess the current situation in an organization, facilitate benchmarking, and offer guidelines for improvement. They are based on the assumption that organizational change and evolution occurs in predictable patterns and are thus structured hierarchically into discrete, sequential levels, or stages that depict the typical evolution of measured objects which are assessed against criteria (see Appendix A).

There is an abundance of evidence that implementing a maturity model can lead to organizational improvements and superior results, generally achieved through more predictable performance. They also have a function in enhancing the understanding of a specific area and identifying best practices. This particular maturity model consists of 5 progressively arranged levels of maturity that describe the increasing sophistication of qualitative or general requirements in the field of application, in this case the eight dimensions of strategy. The key point is that they are distinct, well-defined, and demonstrate a logical progression. With the Strategic Management Maturity Model, the initial level (1) of maturity has no requirements and represents a chaotic state, levels 2-4 are better focused on increasing the discipline and effectiveness of routines, while the highest level (5) is concerned with continuously improving the capability.



The above graph demonstrates the Initial Assessment, Midterm Assessment and Five-Year Projection averages (means) of the Management Team on the Strategic Management Maturity Model. Overall, most scores demonstrated movement in a positive direction towards full maturity, with **Performance Management** and **Sustainability** showing significant shifts ( $p < .05$ ) and **Leadership** showing near significance ( $p = .12$ ). The transition from a Level 3 to a Level 4 maturity is no small undertaking. Whereas leaders in a Level 2 or Level 3 strive to serve customers better, a Level 4 maturity is not only effective in doing this but also is involved in project development, creating new value streams for the organization, and adding value to consumers in meaningful and systematic ways. In short, Level 4 represents an entirely new way of thinking and implementing court services and the value it can serve to others.

The Court's Strategic Framework Plan is ambitious especially in light of the increasing expectations and limited resources the Court will face in the future. Nonetheless, following through on the strategic framework and priorities of the SMMM is paramount if the Court is to continue to provide high levels of judicial and staff services in the years ahead. Success in implementing the strategic framework plan will require focus and perseverance on the part of the Court's judicial and administrative leadership and all staff. Specifically, as a framework to the future, success in part will depend on aligning the Court's fiscal and other resources, and making judicial, management and operational decisions, with the Court's direction and priorities. In addition, in order to ensure that the Strategic Framework Plan remains vibrant for the Court in the years ahead, it will be important to:

- Communicate and build support for the plan;
- Involve many judges, managers, and staff in the court's initiatives/programs/activities;
- Regularly monitor progress on the strategic initiatives/programs/activities; and
- Review and modify the strategic framework plan at least annually or sooner if conditions warrant.

Our purpose for introducing this particular model was meant to serve as an example to our court managers of how our efforts at effectiveness still had room to grow. We encouraged staff to participate, follow along with the results and to take advantage of training materials available on the website (PowerPoints, articles etc.) More importantly, we relied on our Directors to move this process forward. We decided to measure mid-term for any progress as a way of gaging improvement towards our five-year goal. It is essential that all eight determining factors work in tandem with each other. While it is positive to demonstrate improvements in one or two areas, without the right leadership, the other factors will be meaningless – because if we do not influence people and to gain their genuine commitment to accomplish common organizational goals, we will not be able to create the right culture, you will not be able to plan and manage strategically, you will not be able to improve organizational performance, you will not be able to improve internal processes, and you will not get the right results. On the other hand, even with the right leadership, without positive culture and values, people won't be motivated to improve the right things, employees will tend to focus on what will bring them the largest personal rewards, and will tend to have an adversarial posture toward whatever it is that the enterprise initiates. Without the right alignment and engagement, improvement initiatives will stand alone, individuals and functions will not be properly aligned, and there will be a natural tendency to maximize individual gains, often at the expense of other parts of the enterprise. Without frequent interaction relative to performance measurement, performance management, and strategy, none of the other determining factors can really function.

The results obtained through the SMMM Assessment provide useful information regarding the implementation of the values, standards, strategies and goals articulated in the strategic framework plan. The following steps are recommended in guiding court managers at this time:

- Improve managers' (and employees') perception of the value and importance of measuring performance that supports the strategic framework.
- Lift the skill level of managers and employees in choosing or developing meaningful measures and using measures and data to support their decisions.
- Increase the active involvement of employees in implementing performance measures.
- Reduce the cycle time of implementing new performance measures, from choosing them to using them.
- Increase the proportion of strategic and operational business objectives that have meaningful measures identified.

The results reported above represent only the midpoint assessment using this tool. Further support and training will take place based on the results and where such encouragement is needed – e.g., continuation of select training, re-establish director meetings, weekly (or bi-weekly) snip-its and focusing on the framework to re-energize our progress. Another assessment period tentatively scheduled for 1 Q 2019 using the SMMM assessment.

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**Appendix A**  
**The Strategic Management Maturity Model**

	Level 1: Ad hoc & Static	Level 2: Reactive	Level 3: Structured & Proactive	Level 4: Managed & Focused	Level 5: Continuous Improvement
<b>Leadership</b>	Leaders dictate / command & control; otherwise disengaged	Leaders engage but gather feedback sporadically	Leaders engage with direct reports only, but do model desired behaviors and values	Leaders empower many employees through on-going engagement	Leaders & employees fully engage in a continuous dialog based on a team-based culture
<b>Culture &amp; Values</b>	Vision & values undefined or not shared	Vision & Values published, but not lived	Vision & Values communicated & understood	Vision & Values collaboratively developed	Vision & Values fully integrated into organization culture
<b>Strategic Thinking &amp; Planning</b>	No strategic planning occurs within the organization; no goals defined	Strategic planning is the responsibility of a small team and dictated to the organization	A structured and open planning process involves people throughout the organization every couple of years	Plans are developed and revised regularly by trained, cross-functional planning teams	Strategy drives critical organizational decisions and a continuous improvement planning process is maintained
<b>Alignment</b>	Work is narrowly focused based on organization structure, with little customer input	Customer needs and feedback start to influence more aligned decision making	Employees know their customer and align strategy to those needs	Vision, Customer Needs, Strategy, and employee reward and recognition systems are cascaded and aligned	All structures and systems are aligned with strategy, and organizational alignment is continuously improved
<b>Performance Measurement</b>	No data, or only ad hoc performance measures are collected	Performance data collected routinely, but are mostly operationally focused	Strategic performance measures are collected, covering most strategic objectives	Strategic measures are broadly used to improve focus & performance and inform budget decisions	Measurements comprehensively used and routinely revised based on continuous improvement
<b>Performance Management</b>	No emphasis on using performance as a criterion to manage the organization	Performance reviews required but not taken seriously; no accountability for performance exists	Measures are assigned owners and performance is managed at the organizational and employee level	Measurement owners are held accountable and performance is managed at all levels	Organizational culture is measurement and accountability focused; decisions are evidence-based
<b>Process Improvement</b>	Processes are undocumented and ad hoc with evident duplication and delays	A few key processes documented, and process improvement models (TQM, Lean Six Sigma, etc.) introduced	All key processes are identified and documented, and strategy guides successful process improvement initiative and improvements	All key processes are tracked and improved on a continuous basis and new process improvement ideas are accepted	Employees are empowered and trained, and a formal process exists for improving process management
<b>Sustainability</b>	Lack of structure and champions lead to short-term focus on tasks	Strategy "champions" identified	Formal organization structure in place to maintain focus on strategy	Organization has an 'Office of Strategy Management' or equivalent.	Strategic thinking and management are embedded in the culture of the organization