

SMAART PERFORMANCE MANAGEMENT

From Measuring and Reporting
to
Continuous Organizational Improvement
in the
19th Judicial Circuit Court of
Lake County, Illinois

SMAART

Performance Management Program

- The Nineteenth Judicial Circuit Court of Lake County's process of organizational performance measures and continuous improvement efforts.
- Ensures that Court activities are aligned with the Court's strategic plan and are being conducted in an effective and efficient manner.

SMAART

- **Specific** - Outcome-based goals and standards of success
- **Measurable** - Expressed as a calculation or comparison
- **Aggressive** - Dynamic targets of organizational performance
- **Achievable** - Realistic based on existing resources & staffing
- **Relevant** – Related to the strategic plan or immediate challenges
- **Time-Sensitive** – Relative to closure and target dates

Performance Measurement vs. Performance Management

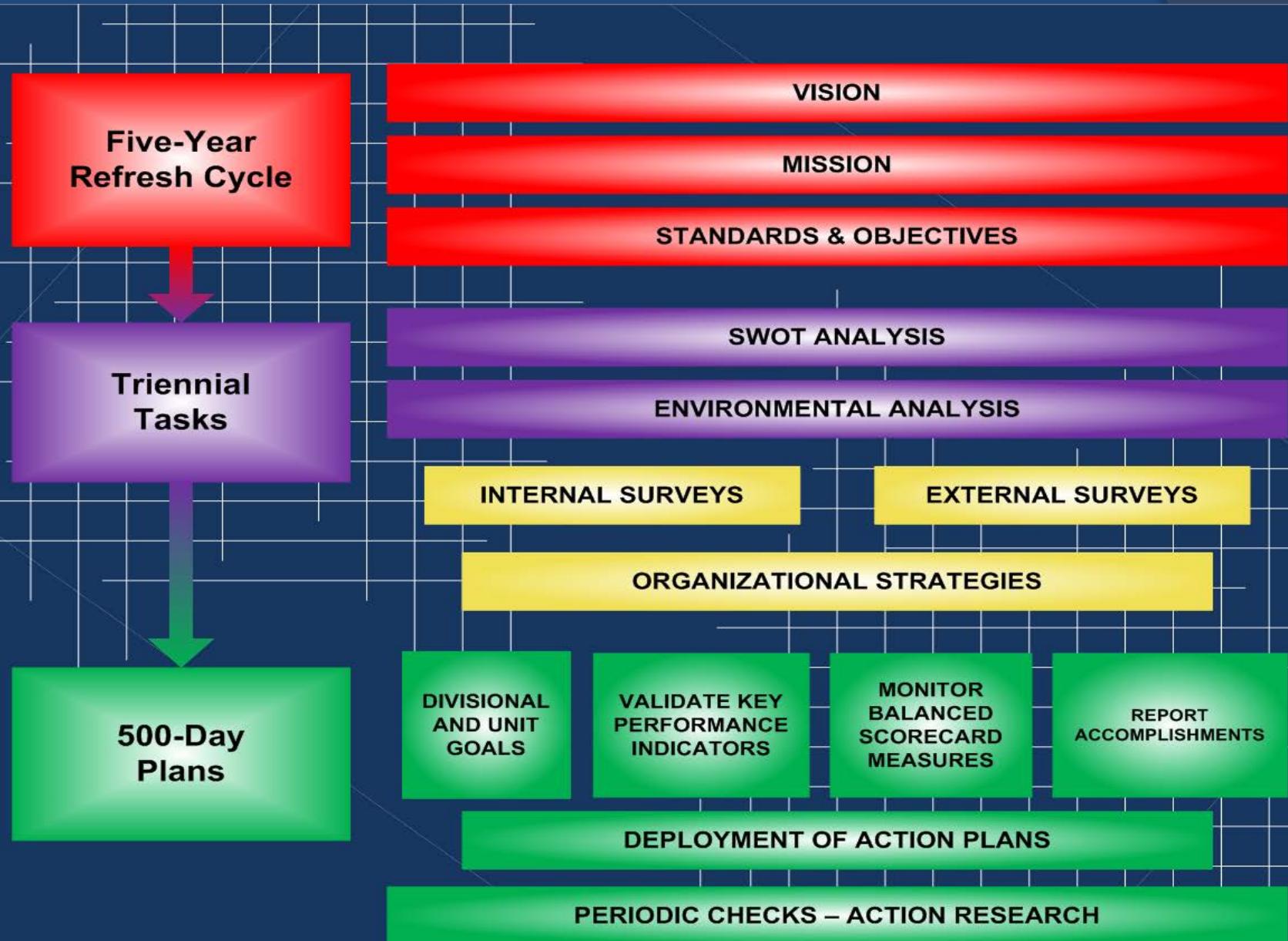
Performance Measurement

- **Any process for measuring the results of activities**
 - **Inputs & Outputs**
 - efficiency with which resources are transformed into services
 - **Quality**
 - how well services are delivered to customers
 - **Outcomes**
 - progress of an activity compared to its intended purpose
 - **Costs**
 - the amount of resources expended to implement an activity

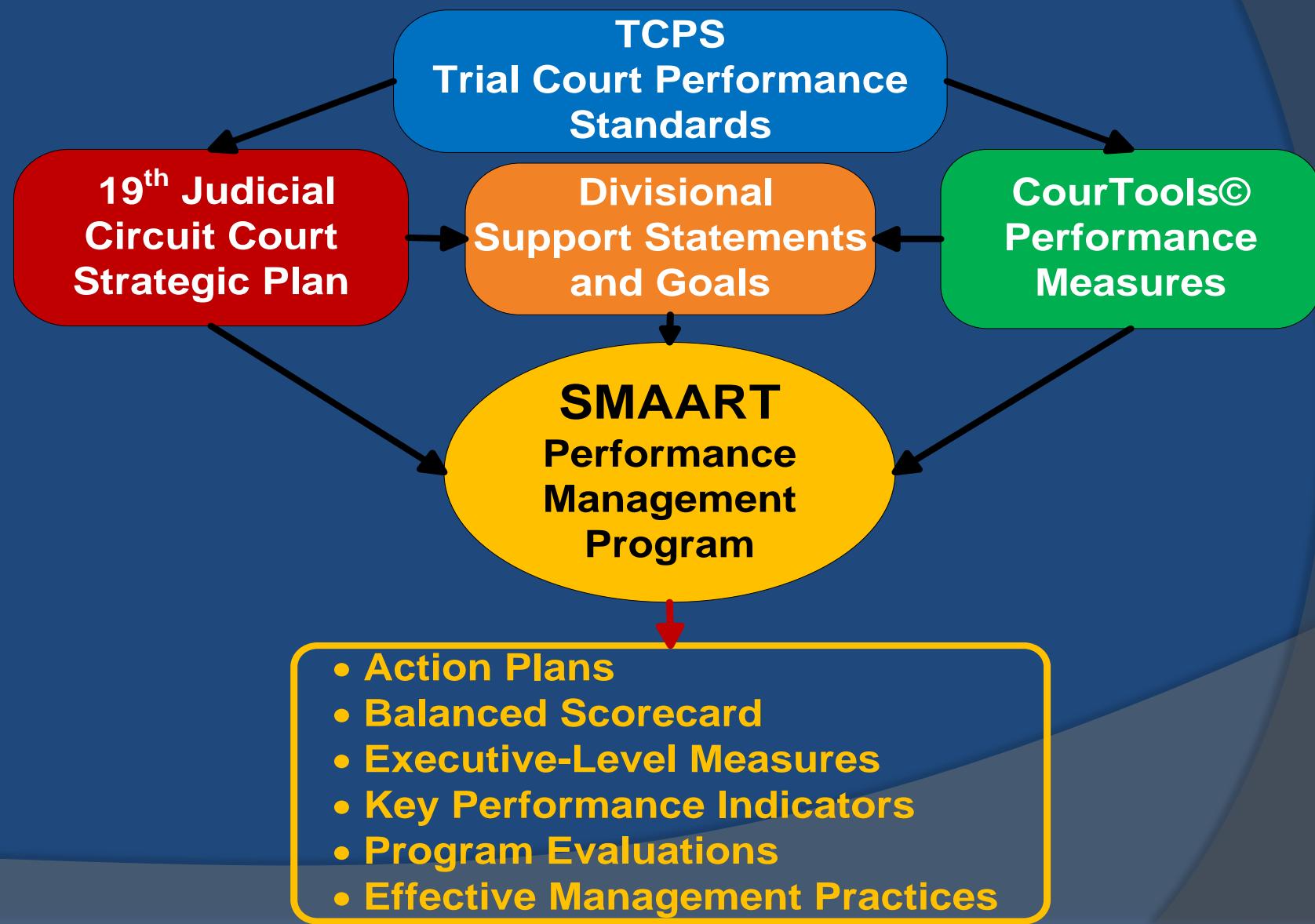
Performance Management

- **The systematic use of performance measurement to**
 - **Plan for Results**
 - strategy, needs, actions
 - **Measure for Results**
 - benchmarks, targets, data
 - **Budget for Results**
 - allocate resources, align budget
 - **Deliver Results**
 - deliver services, monitor resources
 - **Reporting Results**
 - analyze data, communicate results
 - **Improving Results**
 - continuous improvement efforts

Strategic Planning Model



Development of Performance Management



Trial Court Performance Standards

- ◎ 5 Performance Areas
- ◎ 22 Performance Standards
- ◎ 68 Performance Measures

Trial Court Performance Standards

I. Access to Justice

- Public Proceedings
- Safety, Accessibility, & Convenience
- Courtesy & Responsiveness
- Affordable Costs

II. Expedition & Timeliness

- Case Processing
- Compliance with Standards
- Prompt Implementation of Law and Procedure

III. Equality, Fairness & Integrity

- Fair and Reliable Procedures
- Juror Services
- Court Decisions and Actions
- Clarity
- Responsibility for Enforcement
- Production and Preservation of Records

IV. Independence & Accountability

- Independence and Comity
- Accountability for Public Resources
- Public Education
- Response to Change

V. Public Trust and Confidence

Strategic Plan 2009

The five *FOCUS AREAS* based on the
Trial Court Performance Standards (TCPS) Model

- I. **Access to Justice +**
- II. **Expedition & Timeliness +**
- III. **Equality, Fairness, & Integrity +**
- IV. **Independence & Accountability =**
- V. **Public Trust and Confidence**

Vision and Mission

Vision Statement

The vision of the Circuit Court of Lake County is to be one truly independent and empowered branch of government providing a fair and responsive system of justice to lead Lake County into the 21st Century. This includes an effectively managed Judiciary and Judicial System that fully utilizes technological advancement and alternative dispute resolution to best serve the public, while seeking the highest possible understanding, trust, and confidence.

Mission Statement

The mission of the Circuit Court of Lake County is to serve the public. It accomplishes this mission by providing a fair and efficient system of justice, committed to excellence, fostering public trust, understanding, and confidence.

Trends Considered in the Development of the 2009 Strategic Plan of the 19th Judicial Circuit

○ Social Trends

- Population: Increase, age, diversity
- Alternate lifestyles & increasing polarization
- Family composition
- Shifting population centers

○ Economic Trends

- Housing market
- Economic Disparity
- Retail / Service Industry
- Transition to a more urban county

Trends Considered in the Development of the 2009 Strategic Plan of the 19th Judicial Circuit

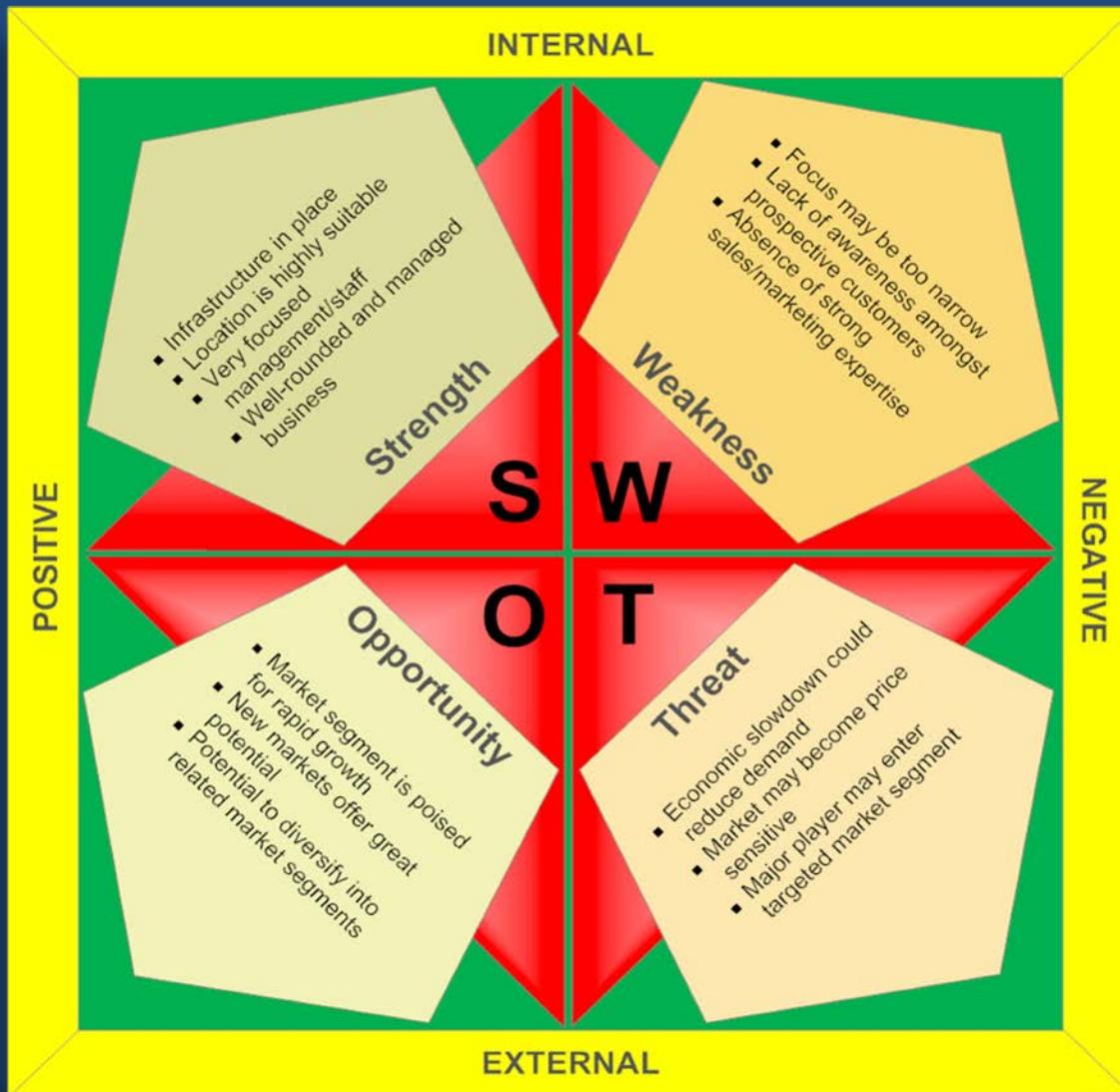
- **Technological and Scientific Trends**
 - **Rapidly Changing Technology & Telecommunication**
 - Internet, wireless, cell phones, etc.
 - **Criminal Behavior**
 - Identity theft, predatory sexual behavior, etc.
 - **Legal Challenges to Privacy Issues**
 - HIPPA, confidentiality, etc.
 - **Evidence-Based Practices**
 - Risk / Needs Assessment
 - Services, Supervision, Treatment
 - Performance Management
- **Policy and Political Trends**
 - **Public Expectation for Government Solutions**
 - **Problem-Solving and Therapeutic Courts**
 - **Alternative Dispute Resolution – in & out of the courts**
 - **Self-Represented Litigants**
 - **Increased demands for Transparency and Accountability**

Organizational Assessment

- **Implications of Trends on the Court Organization**
 - Caseloads – increased workloads judges/staff
 - Delivery of court services for diverse populations
 - Adequacy and Accessibility of Court Facilities
 - Redefining the role of the Judicial Branch
 - Collaboration & Cooperation with government agencies, judicial partners, and stakeholders
 - *Mission Creep*
 - Financial Stewardship
 - Doing More with Less
 - Doing Less with Less
 - Accountability and Transparency

SWOT Analysis

Organizational Assessment



Thirteen Actionable Strategies



Strategic Alignment



The Divisions of the 19th Judicial Circuit Court of Lake County, IL

- **Division of Administrative Services**
- **Division of Adult Probation Services**
- **Division of Judicial Information & Technology**
 - **Division of Judicial Operations**
- **Division of Juvenile Probation & Detention Services**
- **Division of Psychological Services**

Performance-Based Management

Administrative Services

Judicial Operations

Juvenile Probation & Detention Services

Adult Probation Services

Psychological Services

Judicial Information & Technology

Mission

Strategic Plan

Nineteenth Judicial Circuit
Circuit Court of Lake County



SMAART

A Plan for Performance Management

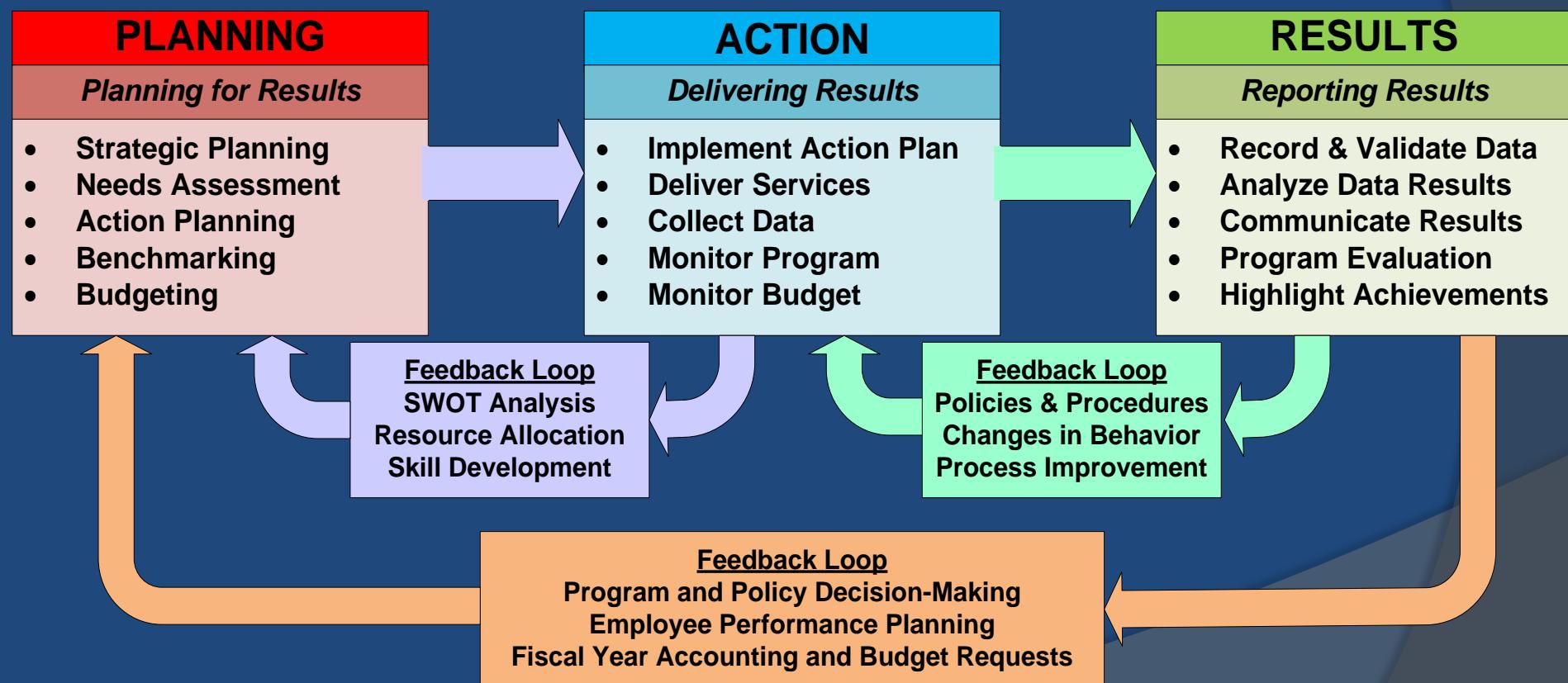
Nineteenth Judicial Circuit
Circuit Court of Lake County, Illinois



LAKE COUNTY

WAUKEGAN

SMAART Action Research Framework



Action Plan Template



Action Plan Template

For Developing, Implementing, and Aligning Actions to the Strategic Plan

Vision Statement of the Nineteenth Judicial Circuit

The vision of the Circuit Court of Circuit Court of Lake County is to be one truly independent and empowered branch of government providing a fair and responsive system of justice to lead Lake County into the 21st Century. This includes an effectively managed Judiciary and Judicial System that fully utilizes technological advancement and alternative dispute resolution to best serve the public, while seeking the highest possible understanding, trust and confidence.

Mission Statement of the Nineteenth Judicial Circuit

The mission of the Circuit Court of Lake County is to serve the public. It accomplishes this mission by providing a fair and efficient system of justice, committed to excellence, fostering public trust, understanding and confidence.

Division of: Juvenile Probation & Detention

Start Date: 07/01/2010

Projected Completion Date: 12/31/2011

Action or Project: Group Reporting (Minimum Risk Case Load)

Strategy Area – Check affected area(s)

<input type="checkbox"/> A. Need and Quality of Judicial Facilities	<input type="checkbox"/> F. Increase and Enhance Quality Training	<input type="checkbox"/> K. Communications with Stakeholders and Justice Partners
<input type="checkbox"/> B. Enhance Website Functionality	<input type="checkbox"/> G. Improve Caseload Management	<input checked="" type="checkbox"/> L. Contain and Reduce Cost of Litigation
<input checked="" type="checkbox"/> C. Expansion of Services in Branch Courts	<input type="checkbox"/> H. Increase Services to Self-represented Litigants	<input checked="" type="checkbox"/> M. Improve Court Operations and Service Delivery
<input type="checkbox"/> D. Enhance Accessibility in Court Facilities	<input type="checkbox"/> I. Improve Court Forms & Procedures	
<input type="checkbox"/> E. Increase Effective Judicial Technology	<input type="checkbox"/> J. Collaboration with Stakeholders and Justice Partners	

Division Goal:

APS(2) - To facilitate a continuum of evidence-based interventions, treatment programs, and supervision techniques designed to alter probationers' criminal behavior in order to reduce recidivism.

System Focus: Access to Justice Expedition & Timeliness Equality, Fairness & Integrity Independence & Accountability

Work Plan

Division of: Juvenile Probation & Detention		Action or Plan: Group Reporting (Minimum Risk Case Load)		
WORK PLAN				
Start Date: 07/01/2010				
Projected Completion Date: 12/31/2011				
Tasks / Action Steps	Responsibilities	Resources	Timeline	
What will be done?	Who will do it?	(Funding / Time / People / Materials)	Start Date	Completion
Step 1: Identify program staff	Bob Cesar Joe Kelroy	N/A/15 hours/7/N/A	07/01/2010	09/01/2010
Step 2: Develop criteria for case selection	Joe Kelroy, Bob Schroeder, 13 case carrying Probation Officers	N/A/10 hours/15 staff/TRACKER	07/01/2010	07/21/2010
Step 3: Identify Volunteers	Joe Kelroy, Bob Schroeder, Margo Ferretti, Nicole Titoni	N/A/6hours/3/N/A	07/01/2010	07/21/2010
Step 4: Identify group reporting sites	Joe Kelroy	N/A/3 hours/2/N/A	07/01/2010	07/21/2010
Step 5: Train staff and volunteers	Joe Kelroy, Bob Schroeder, Margo Ferretti, Nicole Titoni	N/A/25 hours/4/N/A	07/01/2010	12/31/2011
Step 6: Develop Policy/Procedure	Margo Ferretti, Bob Schroeder, Joe Kelroy and Bob Cesar	N/A/?/4/N/A	06/01/2011	12/31/2011
Step 7: Evaluation/Measurement of Action Plan				
Intended Outcome(s) for PROJECT MANAGEMENT <div style="display: flex; justify-content: space-between;"> <div style="width: 35%;"> <input type="checkbox"/> Not Applicable <input type="checkbox"/> Improve access to services and programs </div> <div style="width: 35%;"> <input type="checkbox"/> Improve program outcomes <input type="checkbox"/> Improve case processing </div> <div style="width: 30%;"> <input type="checkbox"/> Improve client / customer satisfaction <input type="checkbox"/> Improve public awareness of program and services </div> </div>				
Intended Outcome(s) for FINANCIAL MANAGEMENT <div style="display: flex; justify-content: space-between;"> <div style="width: 35%;"> <input type="checkbox"/> Not Applicable <input type="checkbox"/> Reduce cost to client / customer </div> <div style="width: 35%;"> <input type="checkbox"/> Reduce cost to County / Court Organization <input type="checkbox"/> Achieve project budget </div> <div style="width: 30%;"> <input type="checkbox"/> Secure grant funding <input type="checkbox"/> Financial compliance with Court orders / service costs </div> </div>				
Intended Outcome(s) for INTERNAL PROCESSES AND CONTROLS <div style="display: flex; justify-content: space-between;"> <div style="width: 35%;"> <input type="checkbox"/> Not Applicable <input type="checkbox"/> Improve internal efficiency of program/service delivery </div> <div style="width: 35%;"> <input type="checkbox"/> Improve collaboration with internal & external partners <input type="checkbox"/> Compliance with existing policies and procedures </div> <div style="width: 30%;"> <input type="checkbox"/> Compliance with ethical & professional standards <input type="checkbox"/> Enhance internal & external communication </div> </div>				
Intended Outcome(s) for ORGANIZATIONAL DEVELOPMENT AND INNOVATION <div style="display: flex; justify-content: space-between;"> <div style="width: 35%;"> <input type="checkbox"/> Not Applicable <input type="checkbox"/> Enhance employee job knowledge & skills </div> <div style="width: 35%;"> <input type="checkbox"/> Improve utilization of new & existing technology <input type="checkbox"/> Increase Organizational Commitment </div> <div style="width: 30%;"> <input type="checkbox"/> Development of new solutions & techniques <input type="checkbox"/> Improve responsiveness to emergent conditions/events </div> </div>				
Evidence of Success (How will you know you are making progress? What are your Targets or Benchmarks?)				
Evaluation Process (How will you determine that your target has been reached? What is your method of measurement?)				

SWOT Analysis Worksheet

Division of: Juvenile Probation & Detention		Action or Plan: Group Reporting (Minimum Risk Case Load)
SWOT Analysis Worksheet		
	Elements <u>HELPFUL</u> towards achieving our goals	Elements <u>HARMFUL</u> towards achieving our goals
Internal Elements	STRENGTHS: <i>Attributes of the organization, division, or team that help performance</i> *Enhance volunteer involvement with the Division *Gain credibility *Incorporate research based approach *Cost effective *Effective time management *Increased fee collection *Enables a regular probation officer to manage moderate to high risk cases.	WEAKNESSES: <i>Attributes of the organization, division, or team that harm performance</i> *Case transition is viewed with reservation by a small percentage of probation staff.
External Elements	OPPORTUNITIES: <i>External conditions or factors that do or could enhance performance</i> *Expanded availability (time and location) to accept payment of court ordered fees. *Consideration to consolidate to reduced meeting locations. *Consideration for access to software to improve service delivery.	THREATS: <i>External conditions or factors that do or could damage performance</i> *Appropriately assessed cases (low risk by the YASI) do not have resources to get to the meeting location or have schedules that conflict with the meeting times. *Client perception of probation officer's role (minority of cases view PO doing more).

Mission → Strategy → Action → Measurement



Values Statement

The Circuit Court of Lake County espouses those values and qualities that are reflective of the community which it serves and are consistent with those of high-performance organizations. These values permeate all levels and divisions of the Court organization and act as a guiding influence on our daily activities:

- ***Organizational Commitment***
- ***Job Knowledge and Skills Development***
- ***Creativity and Innovation***
- ***Positive Interpersonal Skills***
- ***Effective Communications***
- ***Operational Policies & Benchmarks***
- ***Quality Improvement and Ethical Standards***
- ***Superior Client and Customer Service***
- ***Problem-Solving Competence***

SMAART Balanced Scorecard

Division of: Juvenile Probation & Detention			Action or Plan: Group Reporting (Minimum Risk Case Load)																							
Balanced Scorecard																										
Start Date: 07/01/2010 Projected Completion Date: 12/31/2011																										
Perspective	Is Perspective Measured?	Goal	Is the Goal Measured?	Method of Measurement											Target	Result										
What is being measured?	Mark ✓ if Yes	Intended Outcome	Mark, X if Yes	Statistical Report	Record Review	Survey	Focus Group	Code/Content Analysis	Test/Re-Test	Time Series	Trend Analysis	Internal Audit	Other	Standard or Benchmark	Score, Cost, or Measurement											
Project Management	<input checked="" type="checkbox"/>	Improve access to services and programs	<input checked="" type="checkbox"/>	1	2	3	4	5	6	7	8	9	<input checked="" type="checkbox"/>													
	<input checked="" type="checkbox"/>	Improve program outcomes	<input checked="" type="checkbox"/>	1	2	3	4	5	6	<input checked="" type="checkbox"/>	8	9	10													
	<input type="checkbox"/>	Improve case processing	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													
	<input checked="" type="checkbox"/>	Improve client / customer satisfaction	<input checked="" type="checkbox"/>	1	2	<input checked="" type="checkbox"/>	4	5	6	7	8	9	10													
	<input type="checkbox"/>	Improve public awareness of program and services	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													
Financial Management	<input checked="" type="checkbox"/>	Reduce cost to client / customer	<input checked="" type="checkbox"/>	1	2	<input checked="" type="checkbox"/>	4	5	6	7	8	9	10													
	<input checked="" type="checkbox"/>	Reduce cost to County / Court Organization	<input checked="" type="checkbox"/>	1	2	3	4	<input checked="" type="checkbox"/>	6	7	8	9	10													
	<input type="checkbox"/>	Achieve project budget	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													
	<input type="checkbox"/>	Secure grant funding	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													
	<input type="checkbox"/>	Financial compliance with Court orders / service costs	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													
Internal Processes & Controls	<input type="checkbox"/>	Improve internal efficiency of program/service delivery	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													
	<input checked="" type="checkbox"/>	Improve collaboration with internal & external partners	<input checked="" type="checkbox"/>	1	2	3	4	5	6	7	8	9	<input checked="" type="checkbox"/>													
	<input type="checkbox"/>	Compliance with existing policies and procedures	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													
	<input type="checkbox"/>	Compliance with ethical & professional standards	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													
	<input type="checkbox"/>	Enhance internal & external communication	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													
Organizational Development & Innovation	<input type="checkbox"/>	Enhance employee job knowledge & skills	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													
	<input type="checkbox"/>	Improve utilization of new & existing technology	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													
	<input type="checkbox"/>	Increase organizational commitment	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													
	<input type="checkbox"/>	Development of new solutions & techniques	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													
	<input type="checkbox"/>	Improve responsiveness to emergent conditions/events	<input type="checkbox"/>	1	2	3	4	5	6	7	8	9	10													

GROUP REPORTING PROJECT OUTCOME STUDY

19th Judicial Circuit – Adult Probation Services, 2009

Group Reporting

94.4%
Successful Completions

12.8%
Re-arrested during
probation

18.9%
Re-arrested after probation

Comparison Group

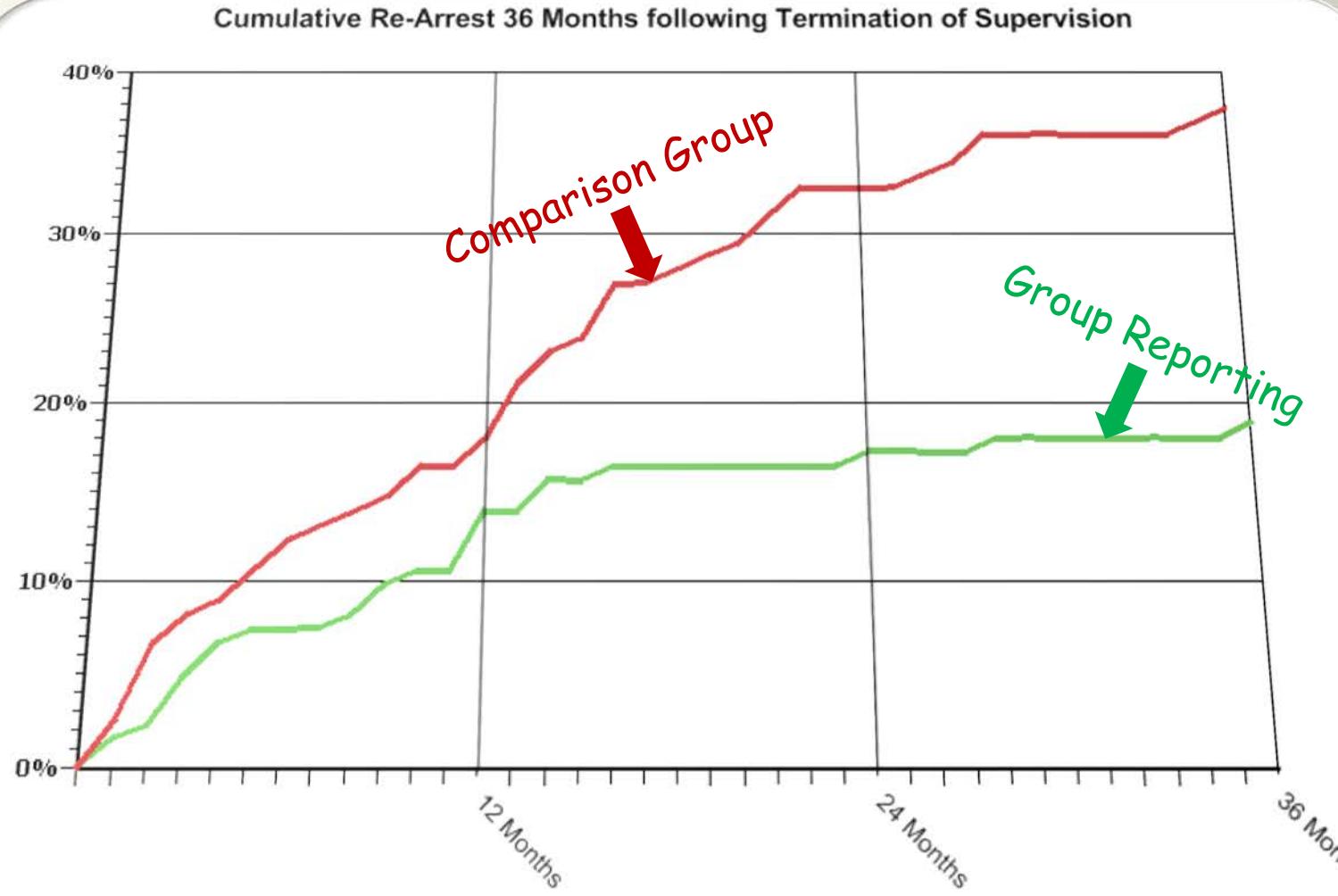
89.6%
Successful Completions

23.2%
Re-arrested during
probation

37.7%
Re-arrested after probation

GROUP REPORTING PROJECT

Observed Re-arrest Rate After Supervision



SMAART KPI's Key Performance Indicators

- **Success of Probation – Adult**
- **Success of Probation & Detention Services – Juvenile**
- **Success of Jury Commission**
- **Satisfaction of Court Users**
- **Resource Strength**
- **Success of Case Management Practices**
- **Financial Health of the Courts**
- **Impact of Compliance Program**
- **Success of Public Awareness & Education Programs**
- **Success of Alternative Dispute Resolution**
- **Quality of Assessments, Evaluations, & Investigations**
- **Quality & Preservation of Files and Records**

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

Lessons Learned

- Alignment is NOT accidental...it is *deliberate*.
- Organization leaders must *communicate* the vision and mission of the organization to staff.
- An *engaged* workforce is a necessary ingredient for successful performance management.
- *Measurement* is an essential component of program development and strategic planning.
- *Process* measures are equally important to performance management as outcomes.

Web Resources

19th Judicial Circuit Court of Lake County, Illinois

- [www.19thcircuitcourt.state.il.us](http://www.19thcircircuitcourt.state.il.us)

SMAART Performance Management Program

- www.19thcircuitcourt.state.il.us/resources/Pages/smaart.aspx#smaart_reports

Report of the Judiciary

- www.19thcircuitcourt.state.il.us/ROJ/Pages/Home.aspx