Performance Management in the Judicial Branch

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

Robert Verborg
Senior Research Analyst
Circuit Court of Lake County, IL

500-Day Plans

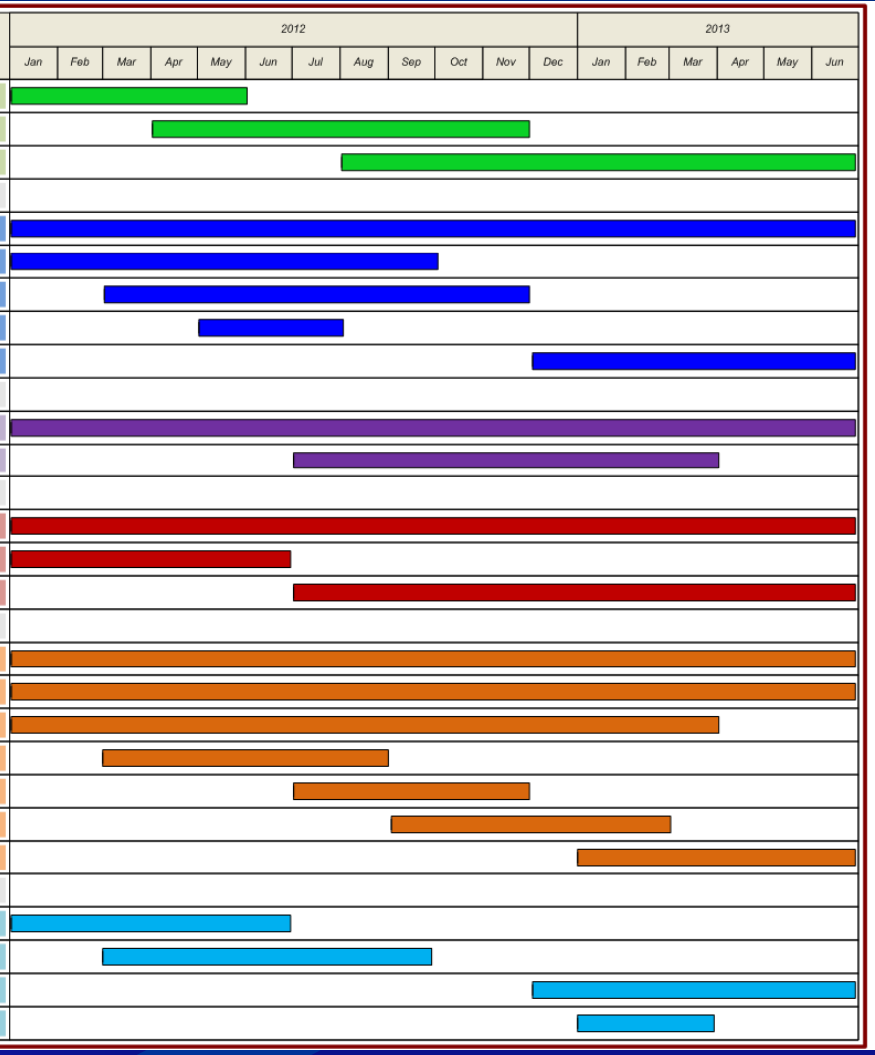
"I enjoy solving problems and am guided by selected long-term goals. I then rely on a 500-day plan to create a timetable of short-term actions that chart a course for future progress. It's a 500-day plan with a 5,000-day horizon."

Mike Leavitt

Fmr. U.S. Health & Human Services Secretary

500-Day Plans
Planning for Results

ID	Project	Start	Finish	Duration
1	Admin - Project 1	1/2/2012	6/1/2012	110d
2	Admin - Project 2	4/2/2012	11/30/2012	175d
3	Admin - Project 3	8/2/2012	6/28/2013	237d
4				
5	Adult – Project 1	1/2/2012	6/28/2013	390d
6	Adult – Project 2	1/2/2012	10/2/2012	197d
7	Adult – Project 3	3/2/2012	11/30/2012	196d
8	Adult – Project 4	5/2/2012	8/2/2012	67d
9	Adult – Project 5	12/3/2012	6/28/2013	150d
10				
11	JIS – Project 1	1/2/2012	6/28/2013	390d
12	JIS – Project 2	7/2/2012	4/1/2013	196d
13				
14	Ops – Project 1	1/2/2012	6/28/2013	390d
15	Ops – Project 2	1/2/2012	6/29/2012	130d
16	Ops – Project 3	7/2/2012	6/28/2013	260d
17				
18	Juv – Project 1	1/2/2012	6/28/2013	390d
19	Juv – Project 2	1/2/2012	6/28/2013	390d
20	Juv – Project 3	1/2/2012	4/1/2013	326d
21	Juv – Project 4	3/1/2012	8/31/2012	132d
22	Juv – Project 5	7/2/2012	11/30/2012	110d
23	Juv – Project 6	9/3/2012	3/1/2013	130d
24	Juv – Project 7	1/1/2013	6/28/2013	129d
25				
26	Psych – Project 1	1/2/2012	6/29/2012	130d
27	Psych – Project 2	3/1/2012	9/28/2012	152d
28	Psych – Project 3	12/3/2012	6/28/2013	150d
29	Psych – Project 4	1/1/2013	3/29/2013	64d



Planning for Results
Developing Work Plans

ID	Youthful Offender Employment Program	Start	Finish	Duration
1	Identify Program Mgr	2/8/2012	3/1/2012	17d
2	Recruit Volunteers	3/15/2012	6/29/2012	77d
3	Program Development	8/1/2012	10/1/2012	44d
4	Train Program Staff	9/3/2012	11/30/2012	65d
5	Develop Assessment	3/1/2013	4/1/2013	22d
6	Implement Program	1/2/2013	6/28/2013	128d
7	Evaluation	6/28/2013	8/1/2013	25d
8	Program Write-up	8/1/2013	8/30/2013	22d
9	Post to Website	9/2/2013	9/13/2013	10d

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

Feedback Loop
Policies & Procedures
Changes in Behavior
Process Improvement

Feedback Loop
Program and Policy Decision-Making
Employee Performance Planning
Fiscal Year Accounting and Budget Requests

Achievements from the First 500 Days

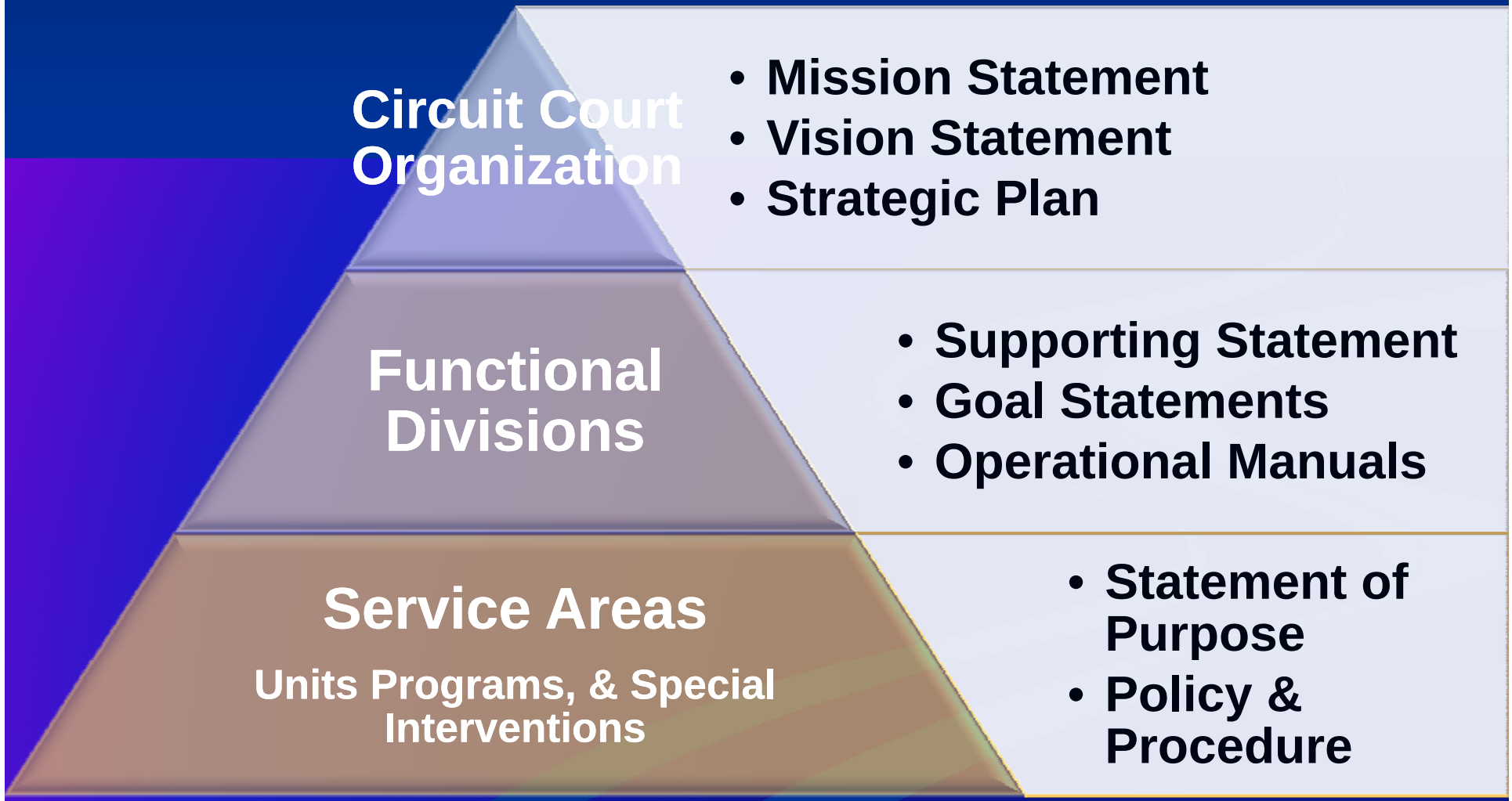
- 25 SMAART Improvement Projects Identified at the beginning of the 500 Day Cycle
- 24 Improvement Projects Implemented
- 18 Improvement Projects Completed

Lessons Learned from the First Round of the SMAART Process

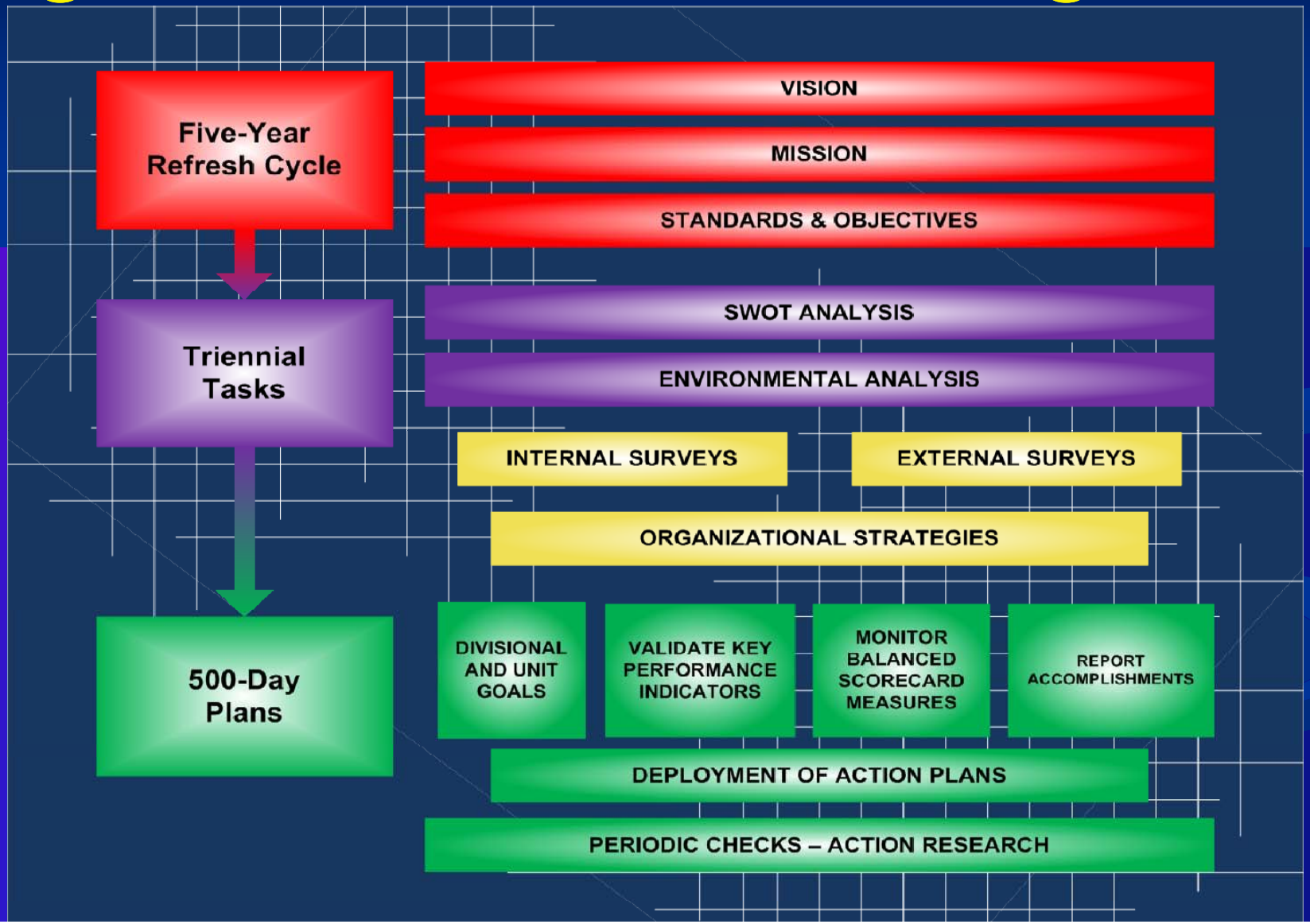
- Strategic Alignment
- Court Leadership & Management Practice
- Enhancing Employee Engagement
- Communication and Reporting Systems
- Sustainability of the Performance Management Process

Alignment with the Strategic Plan

Alignment with the Strategic Plan



Alignment with the Strategic Plan



Alignment with the Strategic Plan

Court Leadership

Employee Engagement

Employee Engagement

- Leaders Lead
- Supervisors
- Intrinsic Work Expereinces

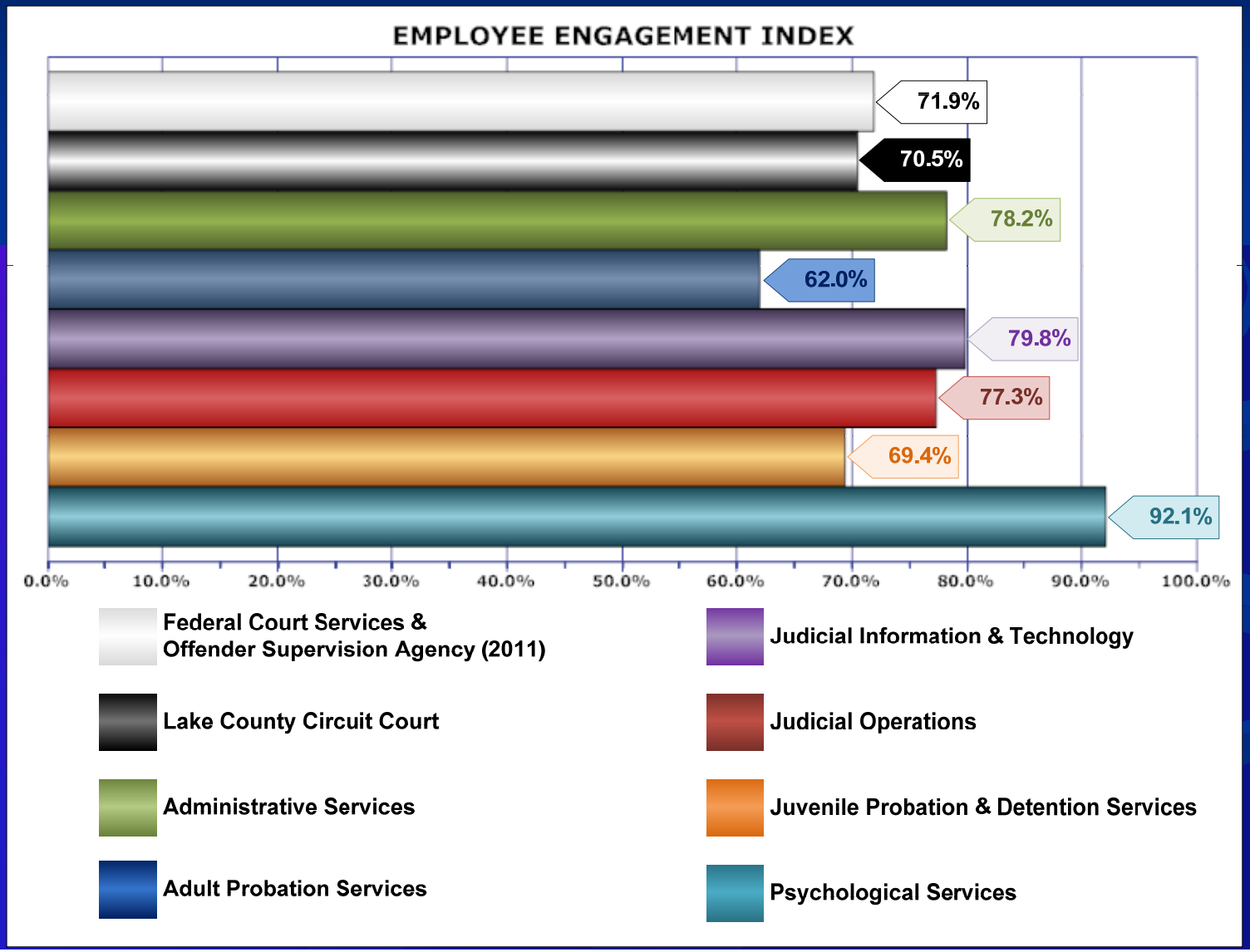
Human Resources Management

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

Employee Work Experiences

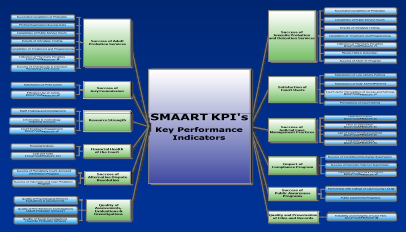
- Job Characteristics
- Relationships with Co-Workers
- Unit Management
- Organiational Culture
- Court Leadership
- Perceptions of Workplace Fairness

Employee Engagement



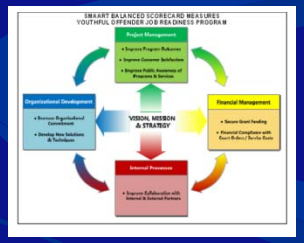
Reporting System

- **Key Performance Indicators**

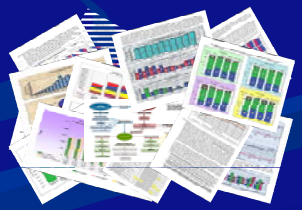


- **Executive Measures**

- **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

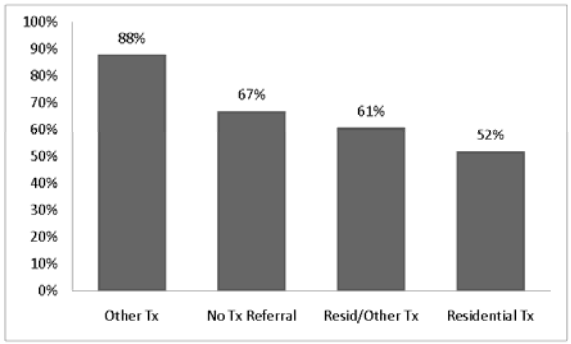


Figure 3. Successful completion of probation by treatment group.

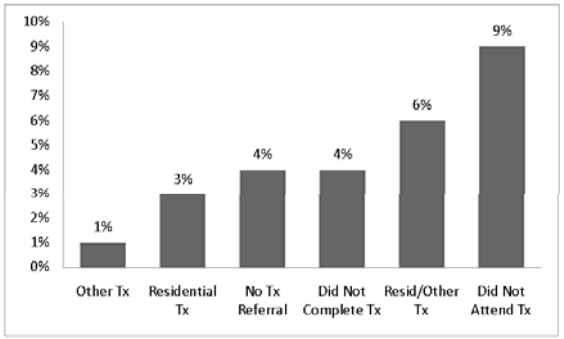


Figure 5. Recidivism rates while on probation for the treatment groups.

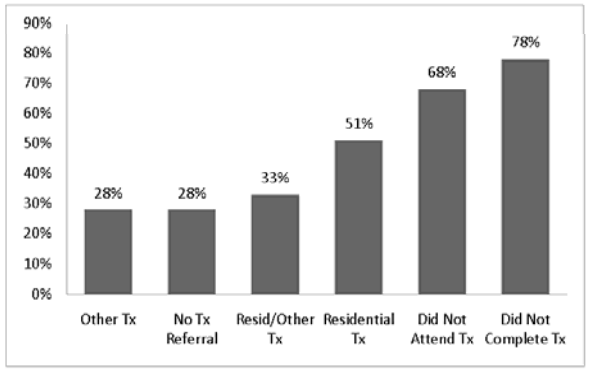
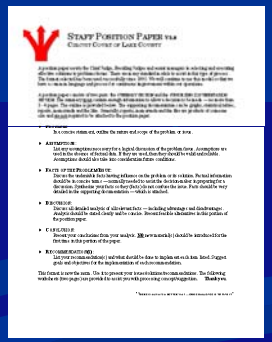


Figure 6. Post-supervision recidivism rates by treatment group.

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
  - Review by SMAART Team Member
  - Approval by Division Director


STAFF POSITION PAPER v1.0
CIRCUIT COURT OF LAKE COUNTY

- 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

ADMINISTRATIVE OFFICE OF THE NINETEENTH JUDICIAL CIRCUIT COURT
OF LAKE COUNTY, ILLINOIS

Research Activities Policy
Appendix A

REQUEST TO CONDUCT RESEARCH IN THE 19th JUDICIAL CIRCUIT COURT

Defining the Role and Structure of the SMAART Advisory Team

Previous SMAART Team

- Director - Heavy
- Extension of Senior Management Team
- Process – Oriented
- Internal Accountability
- Indeterminate Time Commitment

Current SMAART Team

- Representation from all levels of the organization
- Advisory Committee to Senior Management Team
- Task - Oriented
- Accountable to Senior Management Team
- Rotating Membership - Tenure

Delegation of Performance Management Responsibilities

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

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

Adult Pretrial Supervision Unit	Budget $625,457	Expenditures $734, 294	FTE's 7

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

	2009	2010	2011
Number of Pretrial Defendants Supervised	2,567	3,456	3,785
Number of Pretrial Bond Reports Completed	1,234	987	1,198
Number of Defendant Drug Tests Conducted	8,732	9,898	8,347

Performance Goal	**Outcome Measures**	**Benchmark**	**2009**	**2010**	**2011**
Successful completion of Pretrial Supervision	Percent of pretrial defendants completing pretrial supervision without new offenses, failure to appear at scheduled court dates, or technical violations.	67%	69%	74%	75%
Positive Pretrial Drug Test Results	Percent of pretrial defendants testing positive for illicit drug use.	11%	5%	8%	4%

College of Lake County
Judicial Service