

Management Maturity Model
Seven Fundamentals of Organizational Success

Utah State Archives and Records Service

October 2012

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1. Set Goals and Targets – SCORE: 4

- *What is your organization's primary purpose?*
 - The mission of the Utah State Archives is to assist Utah government agencies in the efficient management of their records, to preserve those records of enduring value, and to provide quality access to public information.

- *What specific targets or goals do you have for this fiscal year?*
 - The State Archives' five-year **Strategic Plan** incorporates the department's strategic goals [how the department goals fit in are noted by brackets]:
 1. The State Archives promotes accountability and transparency of the state.
 2. The State Archives increases the efficiency of the state through education, promotion, and outreach [Develop a quality, high performing workforce; Improve efficiency and effectiveness of DAS operations; Institutionalize emergency preparedness].
 3. The State Archives collaborates and partners with public and private organizations and institutions to expand its reach and ability [Improve customer relations and communications; Institutionalize emergency preparedness].

- *What methods or measures do you have in place to track progress toward identified targets and the organization's overall performance?*
 - The State Archives five-year **Strategic Plan** tracks and reports progress in an annual report.
 - **Service Plan**, required by statute (UCA 63-1-111), describes services provided, methods of providing each service, and performance measures and standards. It is referenced to the State Archives' Strategic Plan, Customer Service Summaries, Balanced Scorecard, and each employee's UPM.
 - **Performance Measures** gauge performance to each service for all government (state and local levels) and public customers. These are used in the Annual Report.
 - **Customer Services Summaries (CSS)** tracks metrics from each state agency customer.
 - **Utah Performance Management (UPM)**, provided by DHRM, allows the State Archives to tie department goals and division goals to individual performance plans.
 - **Balanced Scorecards** measures monthly outcomes of the service plans.

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2. Use Process Improvement and Thinking Tools – SCORE: 4

- *What methodologies or approaches does your organization use to improve processes and solve problems?*
 - **Enterprise Risk Management** provides an avenue for the State Archives to connect with department in ongoing discussions at monthly Division Director Meetings and through annual evaluations/reassessments to measure progress or unaddressed risks.
 - **Process optimization/ Theory of Constraints** identifies bottlenecks in organizational processes and works to resolves those constraints.
 - **Professional organization best practices** provide nationally recognized methodologies. The National Archives and Council of State Archives provide enterprise best practices to which the State Archives adheres. The State Archives belongs to both records management and archival professional associations. The State Archives uses tools and best practices established by these professions.
 - **Feedback from Customers**
 - The Customer Service Summaries provide state agency feedback, to which the State Archives provides individual follow up.
 - The State Archives conducts customer satisfaction surveys with its local government and public customers.
 - **The Utah State Historical Records Advisory Board** provides outside support and perspectives into how we can better preserve and provide access to historical records in Utah.

- *Are these methods concentrated within management or used across the entire enterprise?*
 - **Enterprise methodologies** come from the Council of State Archivists and other national associations. These are tools and best practices that encompass the totality of state archives services, e.g.:
 - The State Electronic Records Initiative accountability and assessment tool, the Intergovernmental Partnership of Essential Records initiative, etc.
 - The Utah State Historical Records Advisory Board and Connecting to Collections statewide assessment surveys
 - **These methodologies** are used in the State Archives’ specific to functions, e.g.:
 - Records management will participate in the tools and competency standards provided by the *Generally Accepted Recordkeeping Principles*, an industry standard
 - Archivists utilize such standards as the Heritage Preservation’s assessment and valuation tool and “Alliance for Response” forum. The State Archives adheres to the standards established for the profession by the Society of American Archivists

- *What tools do you use when deciding what programs to invest in?*
 - The State Archives utilizes tools promulgated by professional associations to identify areas, as with the **tools listed above** in this section, e.g., the Council of State Archives biannual “Survey of State Archives.”

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- **IT Council**, comprised of division directors and DTS representatives, helps the State Archives coordinate and prioritize IT projects and merge similar projects across the department.
- **HR Council**, comprised of division directors and DHRM representatives, facilitates resolving division-specific and department personnel issues.
- **Customer Surveys** provides an avenue for public input.
- **Stakeholder Meetings** coordinates customer interests.

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3. Create Your System and Strategies – SCORE: 4

- *What specific strategies and tactics do you have in place to meet your goal?*
 - **Annual review** of statutes, rules, policies, procedures to ensure we are on the correct path and that our goals align with policy directives.
 - **Annual Division Retreat** with the State Archives’ staff to identify goals and develop objectives within the Strategic Plan.
 - **Monthly Staff Meetings**, bimonthly **Management Team Meetings**, and monthly **Section Meetings** to coordinate strategy. Projects, metrics, and performance measures are reviewed monthly.
 - The State Archives has developed **Project Teams** that have management authority to fulfill goals and objectives. These teams focus on core and critical functions and meet monthly. Among others, they include:
 - Digital Committee to manage the State Archives’ Digital Archives
 - Electronic Policy Framework Committee to develop policy for the State Archives’ Electronic Archives
 - Intergovernmental Preparedness for Essential Records (COOP Plans)
 - Local Government Records Preservation Project, and others

- *Have you defined the system and processes by which you will achieve your goal?*
 - Yes.
 - We invest heavily in our staff resources through training and development to achieve the Archives’ multiple objectives. A capable and effective staff allows us to maximize the full potential of our system and work towards a variety of strategic initiatives.

- *How do you identify and mitigate your risks?*
 - **Professional organization best practices**—Records are irreplaceable resources unique to the State Archives, which obligate the division to engage in such risk-associated state and national initiatives as “Alliance for Response,” “Connecting to Collections,” and Intergovernmental Preparedness for Essential Records.
 - **Annual Division Retreat** in which we identify the State Archives’ critical issues and pathways for solutions.

- *Do your budget and building block requests align with and support your targets and goals?*
 - Yes, our top priorities focus on mission-critical functions, implement legislative mandates, and support our goals.

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4. Create Your Organization – SCORE: 4

- *What is your philosophy around organizational design?*
 - The State Archives' philosophy is expressed in its strategic goals:
 - accountability and transparency of the state
 - efficiency of the state through education, promotion, and outreach
 - collaboration and partnership with public and private organizations and institutions to expand reach and ability
- *Do you have consistent spans of control?*
 - **Mostly.** Spans of control are reviewed annually within the framework of distinct statutory mandates that can dictate smaller spans of control.
- *Do you pay attention to your management to field staff ratios?*
 - **Yes,** work is reviewed annually to make assignments to employees and **Project Teams** and to maximize efficiencies.
- *Does your organization design align with your goals and strategies?*
 - **Yes,** in the broadest sense of the State Archives principal mission and strategic goals; however, because our work so often cuts across functions, the State Archives relies heavily on **Project Teams** headed by project leaders to achieve goals.
- *How do you determine which functions should be centralized or standardized?*
 - The State Archives conducts an **annual review** to evaluate workflows and compares like-functions to see if centralization will be effective.
 - **House Bill 80** from the 2012 General Session provided the opportunity to examine records management services statewide in-depth.
- *What are your administrative costs as compared to operations and client benefits?*
 - **Performance Measures** and **Market Comparisons** in our Balanced Scorecard and Customer Service Summaries assess our service value to customers and demonstrate client benefits.

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5. Engage Staff – SCORE: 4

- *How do you communicate the organization's purpose, goals, and strategies to staff?*
 - **Division Directors Meetings** where department and division heads discuss and communicate vision, goals, accomplishments, and challenges.
 - **Annual Division Retreat** to develop goals and strategies.
 - **Staff Meetings** to review metrics and **Management Team Meetings** where strategies are adjusted to ensure success.
 - **UPM Performance Plans** incorporate measures into employees' work plans with measures of success.
 - **The State Archives Website** contains our vision, mission, strategic plans, and goals. The State Archives provides an annual report on accomplishments on goals and provides public access to our performance and accomplishments.

- *How are employees involved in helping the organization meet its goals?*
 - **UPM Performance Plans** align employee performance with the department's and division's strategic goals.
 - **Project Teams** have responsibility in developing actions to meet goals and objectives.
 - **Employee Recognition** at annual awards ceremonies acknowledges employees for exemplary innovation and efficiency initiatives.
 - Employees communicate through **blogs** with public customers and government agencies to build wide support for our organization's goals.

- *How are performance plans used to reinforce the organization's goals and priorities?*
 - **Straight Line of Vision** from the employee to the division to the department to the Governor's priorities using UPM.
 - The State Archives integrates services, actions, and employee work in its Strategic Plan, service Plan, Customer Service Summary, Balanced Score Card, and UPM and cross references all services and metrics

- *What incentive or compensation plans do you have in place?*
 - **Educational Incentive Program** promotes professional development and recognizes employee performance. Each employee receiving his/her advanced professional degree or becomes a certified archivist or records manager is awarded. However, the State Archives lacks the funding to engage in a more comprehensive incentive program.
 - **Professional Development** programs provide employee awards.
 - Membership and participation in professional associations
 - Monthly "Lunch and Learn" brown bag presentations for professional education
 - Participation in online webinars and educational opportunities

- *Do you conduct employee surveys or receive feedback on managers and supervisors?*

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- **Annual Employee Satisfaction Survey**—The State Archives conducts an employee survey annually and reviews results with entire the staff.
- **HR Staff Training** on communication and team building.

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6. Synchronize Your Projects and Policies – SCORE: 4

- *What types of governance structures do you have in place to monitor and prioritize projects—including IT?*
 - **IT Council**—The State Archives is a member of the IT council, comprised of division directors and DTS representatives to coordinate and prioritize IT projects.
 - **HR Council**—The State Archives is a member of the HR Council, comprised of division directors and DHRM representatives to facilitate discussion and coordinate department-wide and division specific personnel issues.
 - **Division Management Team Meetings** discuss initiatives and progress.
 - **Guidance from the Legislature and Governor’s Office** often dictates our priorities though we often have little influence or input into those decisions.

- *How do you monitor the ROI for projects that are developed and implemented?*
 - **Performance Measures** reflect the success of projects. These in turn are reported through the Balanced Score Card and Customer Service Summary, which track the value of services to customers.
 - **Cost Avoidance Measures** compare our services to other markets and benchmarks to assess our value to customers.
 - **Customer Surveys** monitor and track the State Archives interactions with customers and evaluate customer satisfaction.

- *How do you evaluate policies to ensure they support your goals and targets?*
 - **Monthly Staff Meetings** provide a forum for employees to address issues with policies.
 - **Division Management Team Meetings** provide a forum to review and evaluate policies specific to the goals and objectives established in the State Archives’ Strategic Plan developed in the Annual Staff Retreat and to develop strategies for improvement. The State Archives evaluates policies against national standards and **professional organization best practices**, especially as new standards are adopted.
 - **IT Council**, comprised of division directors and DTS representatives, provides a roundtable to discuss IT related policy.
 - **HR Council**, comprised of division directors and DHRM representatives, facilitates a roundtable discussion of HR policies.

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7. Stay Focused – SCORE: 4

- *What management meetings do you have to monitor progress?*
 - The State Archives participates in department management meetings, including:
 - Annual **Executive Summit** comprised of department managers and executives
 - Monthly **Division Director Meetings**
 - Bi-monthly **One-on-One** meetings with the Executive Director
 - Monthly **Enterprise Risk Management** meetings and group work
 - Monthly **IT Council**
 - Monthly **HR Council**
 - The State Archives has division meetings to monitor progress, including:
 - Annual **Division Retreat** of entire staff
 - Month **Staff Meetings** for all staff
 - Bi-monthly **Management Team Meetings** for managers and section supervisors
 - Monthly **Project Teams meetings**
 - The State Archives engages in national task forces and local/regional committees to monitor progress on shared projects

- *What types of dashboards or reports do you use?*
 - Wikis set up for initiatives and programs to promote engagement
 - Balanced Scorecard
 - Customer Service Summaries
 - Performance measures
 - Strategic Plans and Annual Accomplishment Reports
 - Blogs that report to both government and public customers

- *How do you stay focused on the key priorities?*
 - Monthly meetings (Staff, Management Team, Project Teams)—By reviewing our metrics and measures, the State Archives can determine if focus should be redirected or adjusted. Strategies or priorities can be adjusted through discussion in team meetings.
 - UPM Performance Measures and review for individuals.
 - Communication with employees through staff meetings and wikis.
 - Communication with stakeholders through meetings and blogs.