

Exhibit 7

The Missouri Project

A Study of the Missouri Public Defender System
and Attorney Workload Standards



Includes a National Blueprint for Future Workload Studies

The Missouri Project:
A Study of the Missouri Public Defender System
and
Attorney Workload Standards

With a National Blueprint

June 2014

Prepared by:



On Behalf of the American Bar Association's
Standing Committee on Legal Aid and Indigent Defendants



This publication has been prepared by RubinBrown on behalf of the American Bar Association's Standing Committee on Legal Aid and Indigent Defendants. The views expressed herein, unless otherwise noted, have not been approved by the House of Delegates or the Board of Governors of the American Bar Association and, accordingly, should not be construed as representing the policy of the American Bar Association.



RubinBrown LLP
*Certified Public Accountants
& Business Consultants*

One North Brentwood
Saint Louis, MO 63105

T 314.290.3300
F 314.290.3400

W rubinbrown.com
E info@rubinbrown.com

RubinBrown was engaged by the American Bar Association (“ABA”) on behalf of its Standing Committee on Legal Aid and Indigent Defendants (“SCLAID”) to provide consulting services and assist in the development of a process to calculate workload standards for the Missouri State Public Defender System. This report presents the results of the engagement. Our services were performed in accordance with the Statements on Standards for Consulting Services as prescribed by the American Institute of Certified Public Accountants.

RubinBrown LLP

RubinBrown LLP

Preface

This report is the result of a collaborative effort between RubinBrown LLP (“RubinBrown”),¹ the American Bar Association (“ABA”),² and the Missouri State Public Defender System (“MSPD”). The ABA has denominated the effort “The Missouri Project.” The effort was led by Michael T. Lewis (Partner-In-Charge of the Business Advisory Services group at RubinBrown). The research team consisted of Jason Mannello (RubinBrown), Josh Leesmann (RubinBrown), and Kent Bausman, Ph.D. (Maryville University).

We would like to thank Stephen F. Hanlon,³ Chair of the Indigent Defense Advisory Group of the ABA’s Standing Committee on Legal Aid and Indigent Defendants (“SCLAID”)⁴ for his assistance in this effort. We would also like to thank Cathy Kelly and Peter Sterling (Director and General Counsel, respectively, Missouri State Public Defender System) for providing guidance and insight into the MSPD’s practices and technical systems. We also appreciate the input and editorial comments of Norman Lefstein.⁵ We would also like to thank Dean Hunter for his editorial review.⁶

We would like to thank each member of the MSPD for their cooperation and input throughout the project. We would also like to thank the group of private bar attorneys and public defender experts asked to participate in numerous surveys and meetings. The project would not be possible without their input and efforts.

¹ Founded in 1952, RubinBrown (www.RubinBrown.com) is one of the nation’s leading accounting and professional consulting firms. RubinBrown helps its clients build and protect value, while at all times honoring the responsibility to serve the public interest. RubinBrown’s vision statement is: One firm, highly respected and nationally prominent with a solid foundation of core values, inspired team members and totally satisfied clients.

² The ABA (www.AmericanBar.org) is the largest voluntary professional membership organization and the leading organization of legal professionals in the United States. Its nearly 400,000 members come from all 50 states and other jurisdictions. They include attorneys in private law firms, corporations, nonprofit organizations, government agencies, and prosecutorial and public defender offices, as well as judges, legislators, law professors, and law students.

Since its founding, the ABA has actively worked in the fields of legal ethics and indigent defense. In 1908, the ABA adopted its first Canons of Professional Ethics (now the Model Rules of Professional Conduct) (“ABA Model Rules”). In 1913, the ABA created the entity now known as the ABA Standing Committee on Ethics and Professional Responsibility (“ABA Ethics Committee”). The ABA Ethics Committee publishes formal ethics opinions on professional and judicial conduct, provides informal responses to ethics inquiries, and, upon request, assists courts in their development, modification, and interpretation of ethical standards such as the ABA Model Rules and the ABA Model Code of Judicial Conduct.

³ For the last 20 years, much of Mr. Hanlon’s work has involved systemic challenges to indigent defense systems. Mr. Hanlon currently limits his practice to advising and representing public defenders with excessive caseloads. He currently teaches indigent defense at St. Louis University School of Law.

⁴ The ABA created SCLAID in 1920 and charged the entity with examining the delivery of legal services to assist the poor.

⁵ Mr. Lefstein is Professor of Law and Dean Emeritus of the Indiana University Robert H. McKinney School of Law, former Chairman of the ABA Section of Criminal Justice, Reporter for the Second Edition of ABA Criminal Justice Standards Relating to *The Prosecution Function* and *The Defense Function, Providing Defenses Services*, and *Pleas of Guilty*, and former Chairman of the ABA Committee on Criminal Justice Standards.

⁶ Mr. Hunter is the Spring managing editor of the St. Louis University Public Law Review.

Table of Contents

Executive Summary	5
Introduction.....	7
Literature Review	9
Methodology & Analysis.....	11
A. System Analysis	12
B. Case Type / Case Task Summary	13
C. Time Study.....	15
D. Time Sufficiency Survey.....	16
E. Delphi Process	17
Attorney Workload Standard Conclusion.....	21

Report Exhibits

Exhibit 1: Concluded Workload Standards by Case Type and Case Task Group	23
Exhibit 2: Current Average Reported Case-Related Hours by Case Type and Case Task Group	24
Exhibit 3: Case Task Descriptions	25
Exhibit 4: List of Tasks Identified as Often Having Sufficient Time to Perform	26

National Blueprint Appendix

Appendix 1: Example Sufficiency Survey Instructions	28
Appendix 2: Example Sufficiency Survey.....	30
Appendix 3: The Delphi Methodology Employed in The Missouri Project.....	31
Appendix 4: Example Delphi Panel Invitation	32
Appendix 5: Example Delphi Time Survey Instructions	33
Appendix 6: Example Time Survey Questions	35
Appendix 7: Example Delphi Time Survey Instructions for Successive Surveys	36
Appendix 8: Example Delphi Frequency Survey Instructions	38
Appendix 9: Example Frequency Survey Questions	40
Appendix 10: Example Structure and Layout of Response Summary	41
Appendix 11: Example Response Rates from the Time Survey	42
Appendix 12: Estimated Response Rates from the Time Sufficiency Survey	43
Appendix 13: A Note on Public Defender System Requirements.....	44
Appendix 14: Example Engagement Letter Language	45

Executive Summary

This report lays out the methodology, analysis, and results of the joint efforts of the MSPD, the ABA, and RubinBrown to develop data-supported workload standards. Although this effort is not the end of the process, it is a critical first step in establishing supportable, data-driven workload standards that can assist the MSPD in assessing staffing requirements and provide empirical support to determine maximum workloads.

In 1973, the National Advisory Commission on Criminal Justice Standards and Goals recommended maximum case loads for public defender programs (the “NAC Standards”). However, the NAC Standards were not based upon empirical study⁷ and MSPD’s recent application of the NAC Standards has been criticized by the Missouri State Auditor and the National Center for State Courts (“NCSC”). Both the Missouri State Auditor and the NCSC concluded:

- MSPD’s protocol “suffers significantly from its failure to depart from NAC caseload standards,”
- The protocol suffers “from its apparent inability to make fuller use of a 2006 time study,”⁸ and
- “Our review of the calculations and available data supporting the caseload protocol noted the MSPD lacks sufficient support for the data and methodology used for protocol calculations.”⁹

These critiques were at the forefront of the analysis to establish new workload standards for the MSPD. This study does not rely upon the 1973 NAC Standards. It instead utilizes MSPD’s current time data, combined with a data-driven survey process, to calculate new workload standards.

Daily time entry became a mandatory function for all MSPD practitioners as of March 1, 2013.¹⁰ This study utilized MSPD time data for a 25-week period beginning in March of 2013 and ending August of 2013 as the foundation for workload standards.

Excessive workloads result in insufficient time available to provide reasonably effective assistance of counsel to all clients. As in prior studies of this type, this study required a means to identify areas where MSPD attorneys reported they often did not have sufficient time to complete certain tasks with reasonable effectiveness.

⁷ “From the NAC commentary, it is clear that no empirical study in support of its recommended caseload limits was ever undertaken.” NORMAN LEFSTEIN, AMERICAN BAR ASSOCIATION, SECURING REASONABLE CASELOADS: ETHICS AND LAW IN PUBLIC DEFENSE, 44-5 (2011).

⁸ NATIONAL CENTER FOR STATE COURTS, BRIEF COMMENT ON THE MISSOURI STATE PUBLIC DEFENDER COMMISSION’S CASELOAD STANDARD PROTOCOL: TECHNICAL ASSISTANCE PAPER 2, 11 (2010).

⁹ THOMAS. A. SCHWEICH, MO. STATE AUDITOR, REPORT NO. 2012-129, MISSOURI STATE PUBLIC DEFENDER 11 (2012).

¹⁰ At the time this report was issued, MSPD personnel did not record sick leave, vacation, or holidays in the time log system. However, this information was tracked in a separate form. Further, the Appellate division did not begin tracking time until April 1, 2013.

The study surveyed MSPD practitioners directly and was used to identify which case-related tasks they reported they often had either sufficient or insufficient time to perform based on current practices and staffing levels. The study then utilized a Delphi method to estimate the amount of time that should be allotted for those tasks that MSPD line defenders identified as often not having sufficient time to complete with reasonable effectiveness.¹¹ The Delphi method used in this study was an iterative process that included both experienced private practice criminal defense attorneys as well as MSPD line defenders.¹²

The resulting attorney workload standards, shown below, reflect estimates of the average amount of time¹³ an attorney can expect to spend on a category of Case Tasks for a particular type of case to provide reasonably effective assistance of counsel.¹⁴

Case Type	Controllable Case Task Hours per Case
Murder/Homicide	106.6
A/B Felony	47.6
C/D Felony	25.0
Sex Felony	63.8
Misdemeanor	11.7
Juvenile	19.5
Appellate/PCR	96.5
Probation Violation	9.8

The conclusion shown in the above chart reflects the consensus time expectations (under prevailing professional norms and standards) of a group of both private practice and public defender experts from across the state of Missouri. The above workload standards, however, are not the end of the process. Stakeholders throughout the criminal justice system recognize that the study and calculation of workload and related workload standards is a continuous process.

¹¹ MSPD line defenders were asked to identify tasks that they often did not have sufficient time to complete with reasonable effectiveness in the current environment (i.e., current practices and staffing levels).

¹² The study excluded MSPD personnel solely tasked with the administration and management of the system, focusing only on MSPD practitioners that carry a caseload.

¹³ Of course, some cases will take less time and some cases will take more time, but in each case, as the recent decision of the United States District Court for the Western District of Washington makes clear, reasonably effective representation “presumes a certain basic representational relationship” and the system of public defense must “[allow]...counsel to give each case the time and effort necessary” to ensure reasonably effective representation, *Wilbur v. City of Mount Vernon*, No. C11-1100RSL, 2013 WL 6275319, at *1, *3 (W.D. Wash. December 4, 2013), so that the prosecutor’s case can be subjected to “meaningful adversarial testing,” *United States v. Cronin*, 466 U.S. 648, 654, 659 (1984).

¹⁴ The workload standards include only case-related tasks over which an attorney has some control (i.e., exclude in court, travel, training, and administrative time). Further, the workload standards assume adequate support staff and attorney resources are available. Private practice defense counsel reported utilizing 2 support staff resources per attorney, on average. By contrast, the MSPD currently has approximately 2 attorneys for every 1 support staff resource (0.55 support staff per attorney, or approximately 1/4th of the support staff available to private practice defense counsel).

These standards should be revisited periodically to account for potential changes in technology and technology usage, indigent defendant demographics and crime patterns, the Missouri criminal code, and the staffing and organizational structure within the MSPD and the larger criminal justice system.

In addition, as the MSPD's time entry system matures and the amount of data contained within it increases, the ability to utilize that data to examine organization practices, study different types of complexity factors, and quantify time sufficiency will increase.

Introduction

The guarantee of assistance of counsel in one's defense against criminal prosecution is a right afforded under the Sixth Amendment to the U.S. Constitution and Article 1, Section 18(a) of the Missouri Constitution.

In 1963, the Supreme Court's decision in *Gideon v. Wainwright* extended the right to counsel to felony cases in state criminal courts;¹⁵ subsequently, the Supreme Court extended the right to counsel to misdemeanor cases ending with the defendant being imprisoned.¹⁶ A majority of states, however, recognize the right to a lawyer if the defendant is charged with a misdemeanor. In Missouri, the right to counsel is extended to defendants in misdemeanor cases if incarceration is probable.¹⁷

Despite the promise provided by the *Gideon* decision, many academics and legal scholars have concluded that much of that promise has remained unfulfilled.¹⁸ Simply assigning an attorney to a defendant does not ensure a fair outcome.¹⁹ Rather, pursuant to the Rules of Professional Conduct, proper defense representation requires that lawyers: 1) be competent to represent the client, 2) offer prompt and diligent representation of the client's interests, and 3) productively engage with the client while exercising independent judgment.²⁰

¹⁵ *Gideon v. Wainwright*, 372 U.S. 335 (1963).

¹⁶ *Argersinger v. Hamlin*, 407 U.S. 25 (1972).

¹⁷ See *State v. Watson*, 687 S.W.2d 667, 669 (Mo. Ct. App. 1985) (citing *Argersinger*, 407 U.S. at 37).

¹⁸ Bruce R. Jacob, *50 Years Later: Memories of Gideon V. Wainwright*, 87 FLA. B.J. 10 (2013); Cara H. Drinan, *Getting Real About Gideon: The Next Fifty Years of Enforcing the Right to Counsel*, 70 WASH. & LEE L. REV. 1309 (2013); Roger A. Fairfax, Jr., *Searching for Solutions to the Indigent Defense Crisis in the Broader Criminal Justice Reform Agenda*, 122 YALE L.J. 2316 (2013); NATIONAL RIGHT OF COUNSEL COMMITTEE, JUSTICE DENIED: AMERICA'S CONTINUING NEGLECT OF OUR CONSTITUTIONAL RIGHT TO COUNSEL (2009), available at <http://www.constitutionproject.org/pdf/139.pdf> and http://www.americanbar.org/content/dam/aba/administrative/legal_aid_indigent_defendants/ls_sclaid_def_justice_denied.authcheckdam.pdf; and ABA STANDING COMMITTEE ON LEGAL AID AND INDIGENT DEFENDANTS, GIDEON'S BROKEN PROMISE: AMERICA'S CONTINUING QUEST FOR EQUAL JUSTICE, (2004), available at http://www.americanbar.org/content/dam/aba/administrative/legal_aid_indigent_defendants/ls_sclaid_def_bp_right_to_counsel_in_criminal_proceedings.authcheckdam.pdf.

¹⁹ *Wilbur v. City of Mount Vernon*, No. C11-1100RSL, 2013 WL 6275319, at *6 (W.D. Wash. December 4, 2013).

²⁰ Phyllis E. Mann, *Ethical Obligations of Indigent Defense Attorneys to Their Clients*, 75 MO. L. REV. 715 (2010).

To guide policy makers and criminal defense practitioners in ensuring a fair and proper process, the American Bar Association has developed Criminal Justice Standards (“ABA Standards”)²¹ and the state of Missouri has developed the Missouri State Public Defender Guidelines for Representation (“Missouri Guidelines”).²²

The fulfillment of these obligations is dependent upon having sufficient resources available. In the years since *Gideon*, the consensus is that indigent defense in the United States has been inadequately supported, creating a crisis in the state of indigent defense.²³ According to Drinan, “[f]rom the start, states have failed to fund the indigent defense function adequately, and as the volume of criminal cases has grown over the years, too few lawyers have faced ever-increasing workloads. The result has been what many have called ‘assembly-line justice’ – in other words, egregious and persistent violations of the right to counsel.”²⁴

To address the potential violations of the right to counsel, several states and counties throughout the United States have begun to search for data-driven workload standards to assess and manage attorney resources in an attempt to provide adequate criminal defense for the poor. From our discussions with the MSPD, it was also clear that the system would benefit from a consistent methodology that would allow public defenders to quantify workload expectations necessary to provide reasonably effective assistance of counsel to indigent defendants.

²¹ The ABA Standards are the result of a lengthy process that has been in continual development since 1964. Specifically, the ABA Standards “are the result of the considered judgment of prosecutors, defense lawyers, judges, and academics who have been deeply involved in the process, either individually or as representatives of their respective associations, and only after the [ABA] Standards have been drafted and repeatedly revised on more than a dozen occasions, over three or more years.” Martin Marcus, *The Making of the ABA Criminal Justice Standards: Forty Years of Excellence*, 23 CRIM. JUST. (2009), available at http://www.americanbar.org/groups/criminal_justice/standards.html.

²² MISSOURI STATE PUBLIC DEFENDER SYSTEM, GUIDELINES FOR REPRESENTATION (1992).

²³ NATIONAL RIGHT OF COUNSEL COMMITTEE, *supra* note 18, at 4.

²⁴ Drinan, *supra* note 18, at 1311.

Literature Review

The Delphi method was introduced in 1962 by researchers at the Rand Corporation. The method was described as a “new” research technique utilized by the Air Force in the 1950s to gather expert opinion and generate a reliable consensus.²⁵ As a methodological strategy, the Delphi method proposed that a succession of surveys be given to a group of experts, with structured feedback presented to the experts at each interval stage.²⁶ The surveying practices applied by the Delphi method could be interviews or questionnaires that focus on some fundamental question of significance to the group of experts convened for feedback.

The features of this method include “anonymity, iteration, controlled feedback, and the statistical aggregation of group response.”²⁷ At the onset of the process, participants in a Delphi group are largely anonymous from one another. The purpose of anonymity is to ensure that solicited experts are not influenced by the responses of other participants and that the ideas presented are judged on their own merit. This technique is believed to be conducive to the exercise of independent thought on the part of participating experts and to aid experts in forming well-thought-out opinions.

The reliance on expert opinion as data is built on the premise that an expert is “able to select the needed items of background information, determine the character and extent of their relevance, and apply these insights to the formulation of the required personal probability judgments.”²⁸ Experts typically complete a questionnaire over multiple iterations with the goal of allowing participants to change their opinions and judgments when presented with controlled feedback regarding the opinions and judgments of their fellow participants. This controlled feedback is normally presented as a statistical summation of the group’s responses, e.g., a mean or median. The structured feedback at each successive iteration consists of “available data previously requested by...the experts..., or of factors and considerations suggested as potentially relevant by one or another respondent.”²⁹

²⁵ NORMAN DALKEY & OLAF HELMER, RM-727, AN EXPERIMENTAL APPLICATION OF THE DELPHI METHOD TO THE USE OF EXPERTS 1 (1962), available at http://www.rand.org/content/dam/rand/pubs/research_memoranda/2009/RM727.1.pdf.

²⁶ *Id.*

²⁷ Gene Rowe & George Wright, *The Delphi Technique as a Forecasting Tool: Issues and Analysis*, 15 INT’L J. OF FORECASTING 353, 354 (1999).

²⁸ OLAF HELMER & NICHOLAS RESCHER, P-1513, ON THE EPISTEMOLOGY OF THE INEXACT SCIENCES 42 (1958) available at <http://www.rand.org/content/dam/rand/pubs/papers/2005/P1513.pdf>.

²⁹ DALKEY & HELMER, *supra* note 25, at 2.

The goal of the feedback at each stage is to assist in limiting mistaken beliefs an expert may have on the question at hand or to increase their awareness of other information they may not have previously considered.³⁰

At the conclusion of the final iteration, the final iteration's mean or median response is used as the measure of the group's opinion.³¹ In theory, the number of iterations required of the Delphi method can be unlimited until consensus among participants is achieved, however it has been found that three to four iterations is usually all that is required to reach consensus.³² Rowe and Wright systematically reviewed studies that explored the effectiveness of the Delphi method. Their focus was on how well the Delphi method worked in producing a consensus of opinions and judgments and to assess how accurate those opinions and judgments were.

Overall, they found that the majority of these evaluative studies showed support for the Delphi method in reducing variances in opinion and judgment, thus indicating that greater consensus had been achieved. As for the concern over the accuracy of those opinions and judgments, Rowe and Wright again found that the majority of studies provide compelling evidence in support of the Delphi method. Compared to other methodological techniques utilized for similar purposes, the Delphi method was found to "lead to improved judgments over staticized groups and unstructured interacting groups."³³

Since its introduction, the Delphi method has been employed across a diverse array of industries, such as health care, education, information systems, transportation, and engineering.³⁴ The purpose of its use beyond forecasting has ranged from "program planning, needs assessment, policy determination, and resource utilization."³⁵ Within the legal system, early examples of use of the Delphi method can be traced back a couple of decades.

Examples of these attempts were sponsored by both the National Association of Court Management ("NACM") and the National Center for State Courts ("NCSC"). These efforts were principally charged with assessing judicial and court support staff needs.³⁶

³⁰ *Id.* at 2–3.

³¹ Rowe & Wright, *supra* note 27, at 354.

³² Chia-Chien Hsu & Brian A. Sandford, *The Delphi Technique: Making Sense of Consensus*, 12 PRAC. ASSESSMENT, RES. & EVALUATION 1 (2007), available at <http://pareonline.net/pdf/v12n10.pdf>.

³³ Rowe & Wright, *supra* note 27, at 366.

³⁴ HAROLD A. LINSTONE & MURRAY TUROFF, *THE DELPHI METHOD: TECHNIQUES AND APPLICATIONS* 10–11 (2002); Rowe & Wright, *supra* note 27, at 355.

³⁵ Hsu & Sandford, *supra* note 32, at 1. For detailed examples of the application of the Delphi method, see LINSTONE & TUROFF, *supra* note 34.

³⁶ See, e.g., VICTOR E. FLANGO & BRIAN J. OSTROM, NAT'L CENTER FOR STATE COURTS, *ASSESSING THE NEED FOR JUDGES AND COURT SUPPORT STAFF* (1996).

In the 2000's, the NCSC started using Delphi techniques in addressing the caseload and workload crisis of indigent defense in the United States. In a recent book, Lefstein comments on the use of the Delphi method, noting:

“The technique is recommended when a problem does not lend itself to precise measurement and can benefit from collective judgments. This would seem to be precisely the situation when a defense program seeks to determine how much additional time, on average, its lawyers need to spend on a whole range of activities involving different kinds of cases.”³⁷

The Delphi method has been recommended as a necessary complement to time-based studies that seek to determine appropriate caseloads for defense lawyers.³⁸ What the Delphi method is believed to offer is a method to adjust preliminary case weights based on time studies while avoiding the institutionalization of potentially sub-standard current practices.

Methodology & Analysis

Past workload studies³⁹ were reviewed and assessed in developing the methodology advanced in this study, which sought to quantify the amount of time a public defender should expect to spend on a particular task in a particular case type through an application of the Delphi method. As in prior studies, the Delphi methodology was used to provide an estimate of what workload standards *should be* in order for a public defender to provide reasonably effective assistance of counsel. However, among other things, this study expands upon prior work in this field in that it focuses on both the amount of time that should be spent on a task, as well as how often a task should be completed. Further, this study expands on prior work in that it utilizes the input of private practice defense counsel.

To determine workload standards, a multi-step process was used that first analyzed the current, “actual” state of affairs as a starting point. After an introduction of the definitions and key terms utilized throughout this study, the methodology can best be explained as the performance of the following steps:

³⁷ NORMAN LEFSTEIN, AMERICAN BAR ASSOCIATION, SECURING REASONABLE CASELOADS: ETHICS AND LAW IN PUBLIC DEFENSE, *supra* note 1, at 146.

³⁸ *Id.* at 149.

³⁹ See National Center for State Courts’ (“NCSC”) reports: MATTHEW KLEIMAN & CYNTHIA G. LEE, VIRGINIA INDIGENT DEFENSE COMMISSION ATTORNEY AND SUPPORT STAFF WORKLOAD ASSESSMENT – FINAL REPORT (2010); NATIONAL CENTER FOR STATE COURTS, A WORKLOAD ASSESSMENT STUDY FOR THE NEW MEXICO TRIAL COURT JUDICIARY, NEW MEXICO DISTRICT ATTORNEYS’ OFFICES, AND THE NEW MEXICO PUBLIC DEFENDER DEPARTMENT – FINAL REPORT (2007); NATIONAL CENTER FOR STATE COURTS, MARYLAND ATTORNEY AND STAFF WORKLOAD ASSESSMENT (2005). See *also* ELIZABETH NEELEY, UNIV. NEB. PUB. POLICY CENTER, LANCASTER COUNTY PUBLIC DEFENDER WORKLOAD ASSESSMENT (2008).

- A. System Analysis
- B. Case Type / Case Task Summary
- C. Time Study
- D. Time Sufficiency Survey
- E. Delphi Process

Standards, Definitions, and Key Information

Sufficient time to complete the specific task: the amount of time, on average, reasonably required to complete the task with reasonable effectiveness.

Reasonable effectiveness: effective representation under prevailing professional norms.

Typical case: average, or typical, case considering that each case may have significant variability in the level of complexity (i.e., language, mental health, and other issues).

ABA Criminal Justice Section Standard 4-6.1(b): "Defense counsel may engage in plea discussions with the prosecutor. Under no circumstances should defense counsel recommend to a defendant acceptance of a plea unless appropriate investigation and study of the case has been completed, including an analysis of controlling law and the evidence likely to be introduced at trial."

Missouri v. Frye (132 S.Ct. 1399, 2012): "...ninety-four percent of state convictions are the result of guilty pleas."

A. System Analysis

The MSPD provides "direct representation to over 98% of the indigent defendants accused of state crimes."⁴⁰ The system is comprised of approximately 585 employees, of which 376 (64%) are attorneys and 209 (36%) are support staff. In other words, there is approximately one support staff resource for every two attorneys. The line defender attorney group consists of 312 public defenders in the trial division, 36.5 public defenders in the Appellate/PCR division, and 17 public defenders in the capital division. The trial and appellate/PCR division support staff group consists of 43 legal assistants, 56.5 investigators, 6.5 paralegals, 3 mitigation specialists, and 67.5 secretaries.

The MSPD maintains a case management system that tracks basic case information such as open date, close date, charge type, disposition type, jurisdiction, and assigned attorney. This study utilized the current 2-year extract of the case management database consisting of over 120,000 cases and over 300 different charge types.

⁴⁰ STATE OF MISSOURI PUBLIC DEFENDER COMMISSION, FISCAL YEAR 2012 ANNUAL REPORT 7 (2012).

Since March of 2013, the MSPD has required that all of its public defenders enter their time in a time log system. This system captures the amount of time across over 50 types of tasks for all MSPD practitioners on each case.

This study linked the case management system with the time log system as a basis for the workload analysis. Based upon MSPD's current systems, cases were grouped by type and attorney time spent on each case was grouped by task.

B. Case Type / Case Task Summary

Working with the MSPD, 11 different Case Types were initially identified to use in the development of new workload standards. The 11 Case Types are:

1. Murder / Homicide
2. Sex Felony
3. AB Felony
4. CD Felony
5. Misdemeanor
6. Juvenile
7. Probation Violation
8. Sexual Predator Proceeding
9. Appeals/PCR
10. Release Petitions
11. Special Writs

From an assessment of current cases, it was determined that Special Writs, Release Petitions, and Sexual Predator Proceedings were highly specialized and infrequent. As a result, these Case Types were excluded from the study. The remaining 8 Case Types⁴¹ are as follows:

1. Murder / Homicide
2. Sex Felony
3. AB Felony
4. CD Felony
5. Misdemeanor
6. Juvenile
7. Probation Violation
8. Appeals/PCR

Case Type is currently the primary way complexity is addressed in this workload study, though it is recognized that case complexity can be impacted by a variety of factors. Language barriers, mental health history, and family issues are just a few examples of factors that can impact case complexity.

⁴¹ The remaining Case Types capture the vast majority of case specific time in the MSPD time log system. For this study, the "Murder / Homicide" Case Type did not include capital murder cases. Juvenile cases primarily encompass juvenile delinquency cases; however, there are a small percentage of juvenile status offenses. The MSPD does not handle abuse or neglect cases involving juveniles.

All else equal, however, different Case Types generally have different degrees of average complexity. For example, without any prior case specific knowledge, it is reasonable to assume that a Class A felony will be more complex than a misdemeanor. Since both the case management database and the time log system consistently report Case Type, this data was utilized to assess current actual time and resource utilization, which provides the foundation to draw conclusions about time and resource allocation by Case Type. The 8 Case Types form the foundation for the workload standards and are used to identify how MSPD practitioners are actually spending their time under current conditions and practice.

This study was particularly interested in the tasks that are best performed by attorneys (versus support staff), and in those attorney tasks that may be affected by excessive workloads. In other words, this study sought to identify which attorney Case Tasks are impacted by excessive caseloads and time constraints. An attorney typically has more control over the time spent on certain Case Tasks, such as trial preparation, research, interviews, etc. (“Controllable Tasks”) than the time spent on other Case Tasks, such as travel, court, etc. (“Non-Controllable Case Tasks”). Therefore, Case Tasks were segregated into two different categories for purposes of this study:

Controllable Case Tasks

- **Client Communication:**
 1. In Person
 2. Over the Phone
 3. Written
 4. Family/Other Communications
- **Discovery/Investigation:**
 5. State's Discovery Disclosure
 6. Records and Transcripts
 7. Depositions and Witness Interviews
 8. Experts and Technical Research
- **Case Preparation:**
 9. Legal Research
 10. Drafting and Writing
 11. Plea Negotiation
 12. Court Preparation
 13. Case Management
 14. Alternative Sentencing Research

Non-Controllable Case Tasks

15. In Court - Pretrial
16. In Court – Trial
17. In Court – Appellate Argument
18. Travel
19. Miscellaneous Case Administration

Once identified, the Case Type and Case Task classifications were utilized to measure how MSPD attorneys are currently spending their time on case-related work.

C. Time Study

The Time Study combines MSPD's time entry database with its case management database to present a picture of how much time MSPD practitioners are spending on case-related work. Time data was extracted from the time entry database for a 25-week period beginning March 2013 and ending August 2013. This data showed how much time, in total, MSPD practitioners spent on case-related tasks.

This data was combined with case count information from the MSPD case management database to calculate average time spent per Case Type, shown below.⁴²

Case Type	Average Reported Controllable Case Task Hours per Case
Murder/Homicide	84.5
A/B Felony	8.7
C/D Felony	4.4
Sex Felony	25.6
Misdemeanor	2.3
Juvenile	4.6
Appellate/PCR	30.3
Probation Violation	1.4

The calculation first annualized the total case-related time incurred over the 25-week period (by dividing the total time by 25 weeks, and then multiplying the result by the 52 weeks in a year). We then estimated the average time per Case Type by using MSPD's case management database to estimate the average number of cases for which that time is incurred.

Specifically, we determined the average number of open cases between March 31, 2013 and August 31, 2013 (to reflect a workload that is concurrent with the time data), and then annualized that figure by dividing the open workload by the average length of case (based on fiscal year 2012 and fiscal year 2013 case management database). The resulting figure is an estimate of the number of cases per year. The annualized total time incurred divided by the estimated number of cases per year provides the average reported time per case, as shown below.

⁴² The chart summarizes current average reported time on case-related tasks by Case Type. Further, the reported average excludes travel, in court, and administrative time. This Delphi study has focused on the Controllable Case Tasks for each of the 8 referenced case types, excluding all Non-Controllable Case Tasks (which account for a significant portion of an attorney's time), because the time required for the Non-Controllable Case Tasks is predominantly dictated by the court's schedule and the geography of the district.

Case Type	Annual Hours		Annual Case Count		Average Reported Controllable Case Task Hours per Case
Murder/Homicide	22,677	÷	269	=	84.5
A/B Felony	53,855	÷	6,196	=	8.7
C/D Felony	113,002	÷	25,910	=	4.4
Sex Felony	26,916	÷	1,051	=	25.6
Misdemeanor	30,127	÷	13,322	=	2.3
Juvenile	7,085	÷	1,554	=	4.6
Appellate/PCR	44,719	÷	1,477	=	30.3
Probation Violation	24,405	÷	16,977	=	1.4

The Time Study quantified how MSPD attorneys are actually spending their time. However, it does not indicate if this actual time is sufficient to provide reasonably effective assistance of counsel.

D. Time Sufficiency Survey

A “Time Sufficiency Survey” was conducted on MSPD line defenders.⁴³ MSPD practitioners were asked what percentage of the time for specific Case Type / Case Task combinations they had sufficient time to complete the task with reasonable effectiveness.

The Time Sufficiency Survey results were utilized to exclude certain Case Type and Case Task combinations from the Delphi process.⁴⁴ That is to say, if MSPD practitioners indicated that they often had sufficient time to adequately perform the specified Case Task for the Case Type based on current practices and staffing levels, the particular task was excluded from the Delphi process.

The Time Sufficiency Survey was performed by creating a questionnaire that was distributed via email to all MSPD line defenders by a third-party, professional survey provider. The survey asked respondents in what percentage of cases do they have sufficient time to complete the Case Task with reasonable effectiveness.

⁴³ The survey excluded operations personnel and senior management, focusing on public defenders currently carrying a case load.

⁴⁴ See the attached Exhibit 4 for the list of excluded Case Type and Case Task combinations.

The questions were asked for each Controllable Case Task within each Case Type, and the respondents were able to indicate their response by choosing either 0-20%; 21-40%; 41-60%; 61-80%; or 81-100% of the time. An example of the survey instrument is shown in the illustration below.

Case Type: Felony CD

For Felony CD cases, please select the percentage of cases for which you have sufficient time to complete the respective case-related task with reasonable effectiveness.

Please also indicate the amount of time (in minutes) that you feel is typically sufficient to complete the respective task with reasonable effectiveness.

***Do you typically work on the referenced type of case (prior to appeal)? Your answer will determine whether you should proceed with this section of the survey.**

Yes, I work on the referenced type of case and will proceed with this section of the survey (please complete each of the below questions; select not applicable if you do not typically perform the respective task.)

No, I do not work on the referenced type of case and will move on to the next section.

	0-20%	21-40%	41-60%	61-80%	81-100%	Not applicable
CL-PHONE - Attorney / client phone conference.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please enter the amount of time (in minutes) needed to complete the above task with reasonable effectiveness for the specific case type.

The Time Study, combined with the Time Sufficiency Survey, described the “current state of affairs.” In other words, these two components of the analysis allowed for 1) the quantification of how MSPD practitioners currently spend their time on cases, broken down by Case Type / Case Task combinations and, 2) the identification of those Case Type / Case Task combinations where MSPD practitioners report that there is not enough time to perform those functions with reasonable effectiveness.

To move from the “current state of affairs” to a “sufficient state” required a methodology to gauge how much time should be allowed for performance of certain Case Type / Case Task combinations. The “Delphi Process” was utilized to obtain this data.

E. Delphi Process

The Time Sufficiency Survey, in combination with the Time Study, provides critical information about current practice. However, the Time Sufficiency Survey results indicated that the MSPD defenders may be operating under excessive workloads. Thus, current practice may provide very little useable information about how much time attorneys *should be* spending and how often attorneys *should be* performing particular tasks in order to provide reasonably effective assistance of counsel.

The Delphi process used in this study leverages the expertise of both private practice and public defenders to provide a consensus estimate of the amount of time defense counsel *should* expect to spend on a particular case in order to provide reasonably effective assistance of counsel. Further, in providing estimates of the amount of time an attorney should expect to spend on a particular case, the Delphi panel was asked to consider prevailing professional norms and standards of practice. That is to say, the standards resulting from this process should reflect the prevailing professional norms and standards, such as the Missouri Guidelines and the ABA Standards.

As a first step in this process, the time an attorney spends on a particular case can be broken out into two components, time and frequency, as follows:

1. time incurred on the performance of specific Case Tasks (“Task Time”); and
2. the actual performance (or non-performance) of certain Case Tasks (“Task Frequency”).⁴⁵

Then, criminal defense experts (private, as well as public defense practitioners) from across the state of Missouri were identified and asked to participate in an iterative study of the time associated with the Case Tasks and Case Types. The expert panel was asked to provide an estimate of the amount of time that *should be* spent on each Case Task for each Case Type, assuming that the task must be performed. An example of the survey instrument for this step is shown in the illustration below.

Felony CD Cases

Below, you will be asked to provide your estimate of the amount of time that is reasonably required to perform the respective task with reasonable effectiveness.

Please enter your response in minutes.

CLIENT COMMUNICATION - IN PERSON - Time for privileged client interviews and consultations conducted face-to-face.

How much time, on average, is reasonably required to perform this task with reasonable effectiveness?

Minutes:

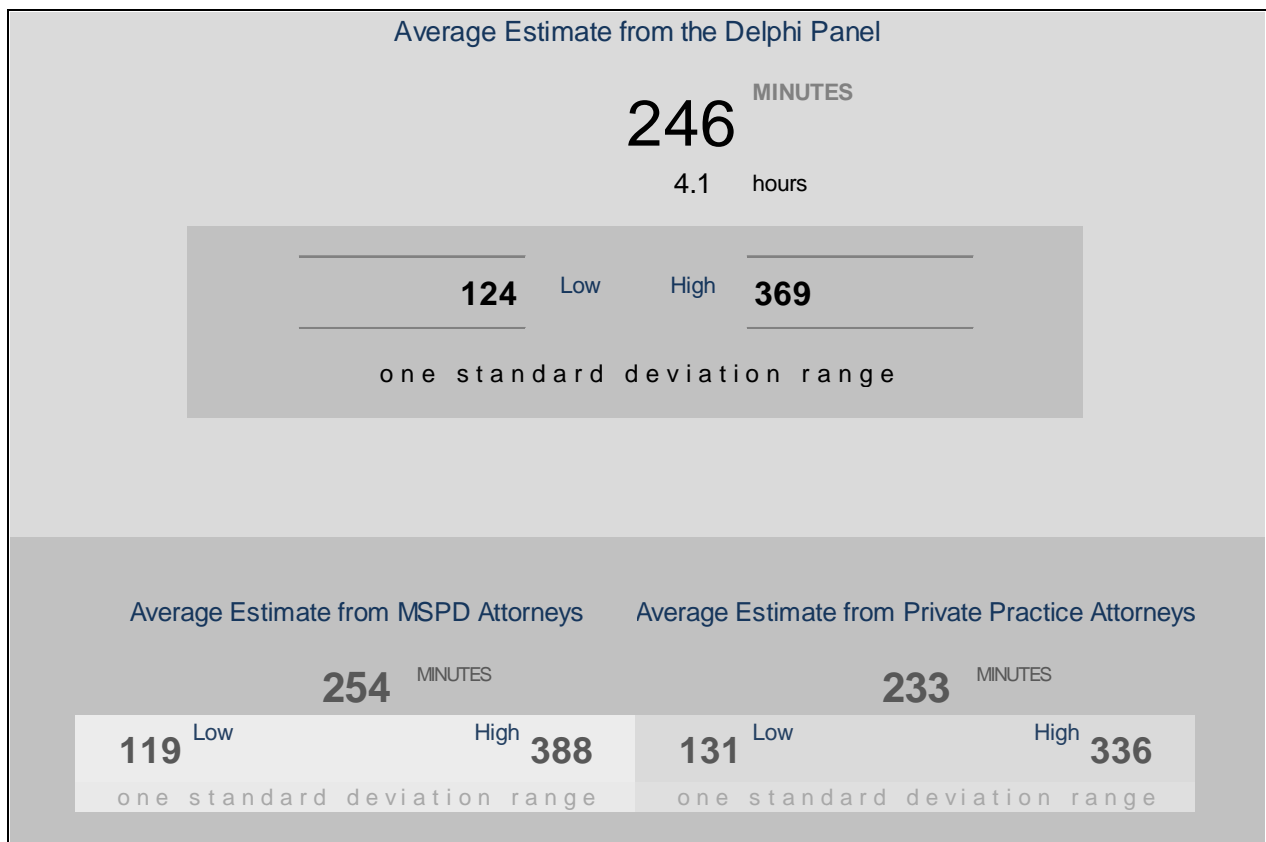
(Optional) Please provide an explanation of your time estimate.

⁴⁵ For example, Task Frequency component seeks to answer: “In how many cases does an attorney speak to a client over the phone?” This is contrasted with the number of phone calls an attorney may make within a particular case, which was not in the scope of this study.

The response estimates of Task Time were then summarized across the entire group of experts. The group was then provided summary statistics on the point estimate and range of time from this first survey. An example of the summary information from the first survey round is shown in the table below.

CD Felony (Estimated Minutes)	Lower	Average	Upper
Client Communication - In person	30	309	606

Using the same survey instrument as the first round, the expert panel was then asked to again provide an estimate of the Task Time, this time taking into account the summary of responses from the first round of the process. Similar to the first iteration, the responses were summarized across all participants for this round as well. This round also presented the summarized responses of the private practice and MSPD attorney groups. An example of the summary from this second round is shown below for the same **CD felony** Case Type and **in person client communication** Case Task.



As a third and final iteration, the expert panel was invited to participate in a live meeting to discuss a summary of the second round of the survey process and to reach a group consensus for each Task Time estimate. The information in the above illustration was presented to the group during the in person discussion. The group was reminded to keep in mind that the time estimate should:

1. assume adequate support staff (and that attorneys would only perform tasks not appropriate for support staff),
2. assume that the task must be performed,
3. apply prevailing professional norms, and
4. provide an estimate of the amount of time defenders should expect to perform the Case Task.

Given the above information, the group was asked to either confirm the time estimate from the second survey round, or provide a new estimate to replace the second round average.

Although this initial survey process provided an estimate of the typical amount of time required for a particular task, it did not provide insight into the frequency with which these tasks should be performed. To collect this data, the Delphi panel was asked to repeat the same process (making the same assumptions as above and applying professional norms) as with the Task Time estimates, only now providing an estimate of the frequency that defenders *should* expect to perform the Case Tasks. Again, the three stage process resulted in a group consensus of the Task Frequency for each Case Type.

As a final step in the Delphi process, the Task Time was combined with the Task Frequency to arrive at an expected time for each Case Task. That is to say, the Task Time was multiplied by the Task Frequency as follows:

$$\textit{Expected Time per Task} = \textit{Task Time} \times \textit{Task Frequency}$$

The expected time per task is interpreted as the amount of time that a public defender *should* expect to spend on any one Case Task and Case Type combination for the typical case. The Delphi panel was then convened for a final meeting for a presentation of the results of the Delphi process to confirm the time expectation resulting from the study. The expected time was then summarized for each Case Type in arriving at the final workload standards.

The Delphi panel's frequency weight was applied to the time estimate to arrive at the estimated amount of time that an attorney can reasonably expect to spend on a particular task for a given Case Type. The resulting workload standards for each Case Type are shown below.⁴⁶

⁴⁶ The reported workload standards include only time for Controllable Case Tasks (i.e. exclude in court, travel, and administrative time). The workload standard total shown in the table is rounded to the nearest 10th of an hour.

Case Type	Average Reported Hours		Delphi Panel Adjustment		Workload Standard for Controllable Case Tasks
Murder/Homicide	84.5	+	22.2	=	106.6
A/B Felony	8.7	+	38.9	=	47.6
C/D Felony	4.4	+	20.7	=	25.0
Sex Felony	25.6	+	38.2	=	63.8
Misdemeanor	2.3	+	9.5	=	11.7
Juvenile	4.6	+	15.0	=	19.5
Appellate/PCR	30.3	+	66.2	=	96.5
Probation Violation	1.4	+	8.3	=	9.8

Attorney Workload Standard Conclusion

The following table shows the Delphi-estimated time required for controllable Case Tasks for an attorney to provide reasonably effective defense by Case Type.⁴⁷

Case Type	Controllable Case Task Hours per Case
Murder/Homicide	106.6
A/B Felony	47.6
C/D Felony	25.0
Sex Felony	63.8
Misdemeanor	11.7
Juvenile	19.5
Appellate/PCR	96.5
Probation Violation	9.8

This study sought to quantify the amount of time a public defender *should* expect to spend on a particular type of case through an application of the Delphi method. In other words, this study sought to quantify what workload standards *should be* in order for a defender to provide reasonably effective assistance of counsel.

⁴⁷ The workload standards include only case-related tasks over which an attorney has some control (i.e., exclude in court, travel, training, and administrative time). Further, the workload standards assume adequate support staff and attorney resources are available. Private practice defense counsel reported utilizing 2 support staff resources per attorney, on average. By contrast, the MSPD system currently has approximately 2 attorneys for every 1 support staff resource (0.55 support staff per attorney, or approximately 1/4th of the support staff available to private practice defense counsel).

Exhibit 1 (attached to this report) shows the estimated time by both Case Type and Case Task group. The conclusion shown in the above chart reflects the consensus time expectations (under prevailing professional norms and standards) of a group of both private practice and public defender experts from across the state of Missouri.

Exhibit 1: Concluded Workload Standards by Case Type and Case Task Group

	Client Communication ¹	Discovery/Investigation ²	Case Preparation ³	Total
Murder/Homicide	34.6	33.5	38.5	106.6
AB Felony	13.1	18.3	16.2	47.6
CD Felony	6.3	8.4	10.3	25.0
Sex Felony	22.5	17.8	23.6	63.8
Misdemeanor	3.5	4.1	4.1	11.7
Juvenile	5.4	6.8	7.3	19.5
Appellate/PCR	20.3	31.5	44.7	96.5
Probation Violation	2.9	2.6	4.2	9.8

¹ The client communication Case Task group includes: in person conversations, phone calls, written communication, and communication with family.

² The discovery/investigation Case Task group includes: State's discovery disclosures, records and transcripts, depositions and witness interviews, and expert and technical research.

³ The case preparation Case Task group includes: legal research, drafting and writing, plea negotiations, alternative sentencing research, court preparation, and case management.

Exhibit 2: Current Average Reported Case-Related Hours by Case Type and Case Task Group

	Client Communication ¹	Discovery/Investigation ²	Case Preparation ³	Total
Murder/Homicide	14.8	33.5	36.2	84.5
AB Felony	3.0	2.1	3.6	8.7
CD Felony	1.8	0.8	1.7	4.4
Sex Felony	6.0	7.3	12.4	25.6
Misdemeanor	0.9	0.4	0.9	2.3
Juvenile	1.4	1.0	2.1	4.6
Appellate/PCR	3.1	7.5	19.6	30.3
Probation Violation	0.7	0.2	0.5	1.4

¹ The client communication Case Task group includes: in person conversations, phone calls, written communication, and communication with family.

² The discovery/investigation Case Task group includes: State's discovery disclosures, records and transcripts, depositions and witness interviews, and expert and technical research.

³ The case preparation Case Task group includes: legal research, drafting and writing, plea negotiations, alternative sentencing research, court preparation, and case management.

Exhibit 3: Case Task Descriptions

Case Task	Task Description
<i>Client Communication - In person</i>	Attorney's time for privileged client interviews and consultations conducted face-to-face.
<i>Client Communication - Phone</i>	Attorney's time for privileged client interviews and consultations conducted via phone.
<i>Client Communication - Written</i>	Attorney's time for privileged client interviews and consultations conducted by written correspondence. Includes drafting and reviewing correspondence prepared by others.
<i>Client Communication - Family/other communications</i>	Non-privileged communications with client's family and friends, not including potential witnesses.
<i>Discovery/Investigation - State's discovery disclosure</i>	Attorney's time receiving, organizing and reviewing the state's disclosure to all discovery requests including special discovery by motion.
<i>Discovery/Investigation - Records and transcripts not included in state's discovery</i>	Attorney's time in requesting, acquiring and reviewing records which were not part of the state's disclosure, e.g., client's medical records.
<i>Discovery/Investigation - Depositions and witness interviews</i>	Attorney's time preparing for and conducting depositions or witness interviews where the attorney is investigating the case.
<i>Discovery/Investigation - Experts and technical research</i>	Identifying, contracting, and consulting experts including testimony prep and also attorney's time doing self research on a technical (not legal) subject.
<i>Case Preparation - Legal research</i>	Case related legal research for arguments, motions or briefs.
<i>Case Preparation - Drafting and writing</i>	Attorney's time actually drafting, typing or reviewing legal documents including motions and briefs.
<i>Case Preparation - Plea negotiation</i>	Plea negotiation with the state's attorney or representative whether verbal or written.
<i>Case Preparation - Court preparation</i>	Attorney's time reflecting, analyzing, brainstorming and outlining court case presentation. Also includes subpoenas, writs ad testificandum, and pre-charge representation.
<i>Case Preparation - Case management</i>	Attorney's time for case related office administrative tasks, e.g., time keeping, billing, and docket management tasks.
<i>Case Preparation - Alternative sentencing research</i>	Attorney's time identifying, locating, and engaging alternative sentencing resources, e.g., treatment programs.

Exhibit 4: List of Tasks Identified as Often Having Sufficient Time to Perform

	Murder/ Homicide	AB Felony	CD Felony	Sex Felony	Misdemeanor	Juvenile	Appellate/ PCR	Probation Violation
Client Communication								
In person								
Phone	X		X	X		X		
Written								
Family/other communications								
Discovery/Investigation								
State's discovery disclosure	X			X			X	
Records and transcripts	X							
Depositions & interviews	X			X				
Experts and technical research	X							
Case Preparation								
Legal research	X			X		X		
Drafting and writing	X							
Plea Negotiation								
Court Preparation	X	X	X	X	X	X		
Case management	X							
Alternative sentencing research								

The table shows the 22 Case Type and Case Task combinations that MSPD practitioners identified as often having sufficient time to adequately perform based on current practices and staffing levels. If the Case Type and Case Task combination was identified by MSPD practitioners and the practitioner estimated sufficient time was consistent with actual time spent on the particular task (from the time log system), the combination was excluded from the Delphi process. Specifically, if the average survey results were higher than 3.3 (on a scale of 1 to 5, 5 being most often having sufficient time) and the average estimated time needed was at least 75% of the actual time observed the Case Type and Case Task combination was excluded from the Delphi process.

It is important to note that it is anticipated that this study will be the first of many performed by the MSPD. An evaluation should be performed in each subsequent study to determine which Case Type and Case Task combinations should be included, or excluded, based upon the results of the Sufficiency Survey.

A National Blueprint

In the following appendices, we set forth additional detail and documents for use by other state and local public defender programs attempting to replicate the work and methodology set forth in The Missouri Project. With appropriate modifications, the additional detail and documents can be used by other public defender programs wishing to replicate The Missouri Project methodology in their respective jurisdictions.

Appendix 1: Example Sufficiency Survey Instructions

RE: Public Defender System Workload Study

As you may be aware, the Public Defender System is currently undertaking a study to develop new workload standards to assist in evaluating the Public Defender System resource requirements.

A key step in this process is the completion of a time sufficiency survey by public defenders and the supporting staff. A time sufficiency survey assists researchers in identifying specific areas where, on average, public defenders feel that they either do or do not have sufficient time to complete the specific task (and thus may be impacting their ability to provide effective assistance to clients). This survey will also provide valuable insight from public defenders on how long various tasks should take.

Your participation in this survey is critical to the process of developing new workload standards specific to the public defender system. You are being asked to complete the electronic time sufficiency survey that will be sent as an email link from a survey provider.

The survey asks a series of questions by type of case (“Case Type”) and the specific case-related tasks (“Case Task”). You will be asked in what percentage of those specific cases do you feel that you have sufficient time to complete the Case Task with reasonable effectiveness. Each question has a related question which asks how much time, on average, you feel is necessary to perform the specific Case Task with reasonable effectiveness.

In completing the survey please consider the following:

- Your responses will be kept confidential and any reporting of the results of the sufficiency survey will be done anonymously.
- While each case has significant variability in the level of complexity (i.e., language, mental health, and other issues), the survey is meant to capture responses for the “typical” case. In other words, please consider the average case.
- "Sufficient time" to complete the specific task means the amount of time, on average, reasonably required to complete the task with reasonable effectiveness. "Reasonable effectiveness" means effective representation under prevailing professional norms.
- The questions are segregated along “n” Case Types:
 - Case Type 1
 - Case Type 2
 - Case Type n

If you do not work on the respective type of case, please select “No” for that section of the survey and proceed to the next page. If you do work on the respective type of case, please select “Yes” and answer each Case Task question, selecting or entering “Not applicable” if you do not perform the specified task for that Case Type.

- The Case Tasks are the same tasks that you utilize for time entry in your Time Log system.
- The time sufficiency survey will ask you to indicate in what percentage of cases DO YOU HAVE sufficient time to complete the indicated case-related task (we are not asking in what percentage of cases you don’t have sufficient time to complete the indicated task).

We know you face many demands of your time. It is estimated that this survey will take approximately 1 – 3 hours to complete, and your progress will be saved for each section as you click “Next” so the survey can be completed over multiple sessions. You can access your saved survey via the original survey link in the email. Your participation in this process is a critical part of the process in developing accurate and defensible workload standards.

Thank you for your time and attention to this very important matter.

Appendix 2: Example Sufficiency Survey**Case Type: Felony CD**

For Felony CD cases, please select the percentage of cases for which you have sufficient time to complete the respective case-related task with reasonable effectiveness.

Please also indicate the amount of time (in minutes) that you feel is typically sufficient to complete the respective task with reasonable effectiveness.

***Do you typically work on the referenced type of case (prior to appeal)? Your answer will determine whether you should proceed with this section of the survey.**

- Yes, I work on the referenced type of case and will proceed with this section of the survey (please complete each of the below questions; select not applicable if you do not typically perform the respective task.)
- No, I do not work on the referenced type of case and will move on to the next section.

	0-20%	21-40%	41-60%	61-80%	81-100%	Not applicable
CL-PHONE - Attorney / client phone conference.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Please enter the amount of time (in minutes) needed to complete the above task with reasonable effectiveness for the specific case type.						
<input type="text"/>						

Appendix 3: The Delphi Methodology Employed in The Missouri Project

Assembling the Delphi Panel

During the initial phases of the Delphi process, a list of over 50 private practice attorneys and 50 public defenders was compiled by a steering committee of experts led by MSPD management. Experience, reputation, and location were all considered when compiling this list of over 100 attorneys. Each attorney on the list was extended an invitation to participate in a study to develop workload standards for state of Missouri (see Appendix 4 for example invitation language). Of the over 100 invitations, 32 private practice attorneys and 35 public defenders expressed interest and availability to participate in the study.

Designing the Survey

The general survey content was heavily influenced by MSPD's time entry system and the Case Types and Case Tasks included in the survey were modeled after the MSPD system. An initial survey instrument was built and sent to 5 randomly selected Delphi panel members to elicit comments and feedback that would then be used to develop the final survey structure prior to surveying the entire Delphi group. In order to facilitate a more effective survey, the time component (i.e., how long a task would take, assuming that the task is performed) was broken out from the frequency component (i.e., how often the task is performed). Specifically, isolating the research variables (i.e., time and frequency) facilitates a more robust structured feedback process by providing clarity and allowing the survey participants to avoid having to weight responses.

The Survey Process

Using the Time Survey process as an example, the initial survey round was anonymously administered to all 67 Delphi attorneys (see Appendix 5 for example instructions). It should also be noted that throughout the process, attention was paid to maintaining a balance of public defenders and private practice attorneys (see Appendix 11 for example response rates for the groups). The survey responses were compiled anonymously and summarized into an average response with an upper and lower bound (based on 1 standard deviation from the mean). The summarized responses were provided back to the Delphi panel and they were asked to complete the same anonymous survey again, after reviewing the summary statistics from round 1. The survey responses from round 2 were again summarized into an average response with an upper and lower bound (based on 1 standard deviation from the mean).

Survey Conclusions

Again using the Time Survey process as an example, those completing the second round of the survey were asked to participate in a live meeting to discuss survey results and develop final workload standard recommendations. 24 Delphi panel attorneys participated in the final live round, representing over 495 years of criminal defense and over 55 years of prosecution experience. The results from round 2 of the anonymous survey were presented during the in person meeting (as shown on page 19 of the Missouri Report). Each survey question was addressed individually and the participants were asked to comment, confirm, or recommend a final workload standard for the particular Case Type and Case Task combination before moving onto the next question. By the end of the approximately 8 hour meeting, all Time Survey questions were confirmed or updated by the Delphi panel.

Appendix 4: Example Delphi Panel Invitation

The Public Defender System ("PD") is currently undertaking a study to develop new workload standards to assist in evaluating PD resource requirements. You have been identified as a luminary within the field of criminal defense and have graciously agreed to participate in this Delphi study. We understand that there are many demands of your time and we greatly appreciate your agreement to participate. Although it is difficult to estimate the exact timing of the 'iterations' of this process at this point, we anticipate completing the first two (online) surveys over the next two to three weeks. Further, we anticipate following the survey portion of the process with a meeting (dependent upon coordinating the schedules of the various panel participants).

As a first step in this process, you will be receiving a (separate) follow-up email with a link to the first survey. (If you have not received the link to this survey by Monday (July 15), we ask that you please check your email spam folder to ensure that the message was not blocked by the email system.) We ask that you please carefully review the instructions and, if possible, complete the survey by July 19, 2013. If you have a conflict with this timing, please let us know and we will work hard to try to accommodate alternative timing.

We recognize that this is likely going to be a challenging endeavor and we are glad to be of assistance to you in any way that we can as you work through this process.

Appendix 5: Example Delphi Time Survey Instructions

RE: Public Defender System Workload Study

Thank you for your participation in this process. As you are aware, the Public Defender System is currently undertaking a study to develop new workload standards to assist in evaluating Public Defender System resource requirements.

A key step in this process is the completion of a Delphi study of criminal defense experts in the state of Missouri. The Delphi study will assist the public defender system in creating recommendations for workload standards. This process will provide valuable insight from criminal defense attorneys on the time reasonably required to perform various tasks.

The Delphi study will be structured into iterative phases. It is anticipated that the first 2-3 phases will consist of time sufficiency surveys that will ask participants how much time, on average, is reasonably required to perform a specific task for a specific case type. After compiling the results of the first survey, we anticipate reporting back to you summary statistics from the first round of the survey and submitting to you the second round survey, similar in format to the first round, asking you to update (or leave unchanged) your estimate based upon your review of the results of the first survey. In order to facilitate a consensus of the necessary time for the specific tasks, it is anticipated that there will be an in person (or conference call) panel discussion which will include the expert panel and representatives from the Public Defender System.

Your participation in this survey is critical to the process of developing new workload standards specific to the public defender system. You are being asked to complete the electronic time sufficiency survey that will be sent as an email link.

To start, you will be asked two questions regarding the support staff utilized for case work. Then, the survey asks a series of questions by the specific case-related tasks (“Case Task”). You will be asked how much time, on average, you believe is reasonably required to perform the Case Task for a typical case with reasonable effectiveness (for both attorneys and support staff).

In completing the survey please consider the following:

1. Your responses will be kept confidential and any reporting of the results of the sufficiency survey will be done anonymously.
2. While each case has significant variability in the level of complexity (i.e., language, mental health, and other issues), the survey is meant to capture responses for the “typical” case. In other words, please consider the average case.

3. "Sufficient time" to complete the specific task means the amount of time, on average, reasonably required to perform the task with reasonable effectiveness. "Reasonable effectiveness" means effective representation under prevailing professional norms.
4. The Case Tasks are similar to the tasks utilized by the Public Defender system for time entry in its Time Log system.
5. The questions are segregated along "n" Case Types:
 - a. Case Type 1
 - b. Case Type 2
 - ⋮
 - c. Case Type n
6. Your time estimate should reflect the cumulative time reasonably required to perform the task for the entire case. That is to say, if the task takes 10 minutes per instance and a typical case requires 5 instances, the appropriate response would be 50 minutes.
7. We will be available to assist with any questions you have regarding the survey or the Delphi study as you participate in the process.

We know you face many demands of your time. It is estimated that each survey will take approximately 1 – 3 hours to complete, and your progress will be saved as you click "Next" so the survey can be completed over multiple sessions. You can access your saved survey via the original survey link in the email. Your participation in this process is a critical part of the process in developing accurate and defensible workload standards.

Thank you for your time and attention to this very important matter.

Appendix 6: Example Time Survey Questions**Felony CD Cases**

Below, you will be asked to provide your estimate of the amount of time that is reasonably required to perform the respective task with reasonable effectiveness.

Please enter your response in minutes.

CLIENT COMMUNICATION - IN PERSON: Time for privileged client interviews and consultations conducted face-to-face.

How much time, on average, is reasonably required to perform this task with reasonable effectiveness?

Minutes:

(Optional) Please provide an explanation of your time estimate.

CLIENT COMMUNICATION - PHONE: Same as above only by phone.

How much time, on average, is reasonably required to perform this task with reasonable effectiveness?

Minutes:

(Optional) Please provide an explanation of your time estimate.

Appendix 7: Example Delphi Time Survey Instructions for Successive Surveys

RE: Public Defender System Workload Study

Thank you again for your participation in this process and the completion of the phase 1 survey. We are now ready to begin phase 2 of the iterative Delphi process and appreciate your continuing participation.

In phase 1, we asked participants how much time, on average, is reasonably required to perform a specific task for a specific case type. We have compiled the results of the first survey, and will be reporting back to you summary statistics from that survey. In addition, we will be submitting to you the second round survey, similar in format to the first round, asking you to reenter your estimate based upon your review of the results of the first survey. The results of this second round survey will be used to facilitate the in person panel discussion which will include the expert panel and representatives from the Public Defender System.

Your continued participation in this survey is critical to the process of developing new workload standards specific to the public defender system. As in the first round, you are being asked to complete the electronic time sufficiency survey that will be sent as an email link.

To start, we would like to highlight the primary change from the first round:

1. You will be presented with summary statistics (explained in more detail below) from the first survey. These are intended to assist in informing your responses to the second round.

Other than this change, the second round survey will be very similar in format to the first round survey. The Case Types are the same, and the Case Tasks are the same as well. The survey itself will provide two response areas per question: one for your time estimate in minutes (which will be restricted to numeric responses only) and an additional *optional* comment box which will provide an opportunity to comment on your estimate if you feel it is necessary.

We will be providing you with two data points for each Case Type / Case Task combination – the average time estimate for each combination, and a range of time estimates for each combination. Please review this data prior to and during your completion of the phase 2 survey. In reviewing this data, please keep in mind that:

1. The average time estimate is a single point estimate showing the average response of all phase 1 participants.
2. The range that we present contains approximately 2/3rds of all phase 1 participant estimates. In other words, the range we present is not the entire range of estimates received, but is approximately limited to the central 2/3rds of responses.

In completing the survey please consider the following:

- Your responses will be kept confidential and any reporting of the results of the sufficiency survey will be done anonymously.
- While each case has significant variability in the level of complexity (i.e., language, mental health, and other issues), the survey is meant to capture responses for the “typical” case. In other words, please consider the average case.
- "Sufficient time" to complete the specific task means the amount of time, on average, reasonably required to perform the task with reasonable effectiveness. "Reasonable effectiveness" means effective representation under prevailing professional norms.
- Your time estimate should reflect the cumulative time reasonably required to perform the task for the entire case. That is to say, if the task takes 10 minutes per instance and a typical case requires 5 instances, the appropriate response would be 50 minutes.
- We will be available to assist with any questions you have regarding the survey or the Delphi study as you participate in the process.

We know you face many demands of your time. It is estimated that this survey will take approximately 1 – 3 hours to complete, and your progress will be saved as you click “Next” so the survey can be completed over multiple sessions. You can access your saved survey via the original survey link in the email. Your participation in this process is a critical part of the process in developing accurate and defensible workload standards.

Thank you for your time and attention to this very important matter.

Appendix 8: Example Delphi Frequency Survey Instructions

RE: Public Defender System Workload Study

Thank you again for your participation in this process. In the initial phases of the Delphi process, you were asked to provide an estimate of reasonable time required to perform a specific task for a specific case type. We are now seeking information regarding the frequency of performance of specific tasks for specific case types and appreciate your continuing participation.

We will be sending you a survey, similar in format to the last survey, asking you to enter your estimate of the percentage of cases that defenders should perform the specific task. Specifically, you will be asked to “Provide your estimate of the percentage of cases that attorneys *should* perform the specific task to provide reasonably effective representation.” Also similar to the last survey, we anticipate completing two iterations of this frequency survey:

Iteration 1: You will be asked to provide an estimate of the percentage of cases that attorneys should perform the specific task.

Iteration 2: You will be asked to provide an estimate of the percentage of cases that attorneys should perform the specific task, *after you review a summary of Iteration 1 responses.*

Your continued participation in this survey is critical to developing new workload standards specific to the public defender system. Similar to prior surveys, you are being asked to complete the electronic survey that will be sent to you as an email link.

The survey itself will provide two response areas per question: one for your frequency estimate—in percentage form— (which will be restricted to numeric responses only); and an *optional* comment box which will provide you an opportunity to comment on your estimate, as necessary.

In completing the survey please consider the following:

1. Your responses will be kept confidential and any reporting of the results of the sufficiency survey will be done anonymously.
2. While each case has significant variability in the level of complexity (i.e., language, mental health, and other issues), the survey is meant to capture responses for the “typical” case. In other words, please consider the average case.
3. Your frequency estimate should be in percentage form (i.e. enter “25” for 25% of cases).
4. Your response should reflect the frequency that attorneys (not support staff) *should* perform the specific task to provide reasonably effective representation.

5. Your frequency estimate should reflect the typical case (or average case), assuming adequate support staff.
6. For example, if you enter “25” for the task question, your response will be interpreted as: On average, 25% of cases require performance of that particular task in order to provide reasonably effective representation.
7. "Reasonably effective" means effective representation under prevailing professional norms.
8. In responding, please consider the ABA Criminal Justice Standards (found here: [ABA Standards](#)) and the State guidelines for representation (found here: [PD Guidelines](#)).
9. We will be available to assist you with any questions you may have regarding the survey or the Delphi study as you participate in the process.

We know you face many demands of your time. It is estimated that this survey will take approximately 1 to 3 hours to complete, and your progress will be saved as you click “Next” so the survey can be completed over multiple sessions. You can access your saved survey via the original survey link in the email. Your participation in this process is critical to developing accurate and defensible workload standards.

Thank you for your time and attention to this very important matter.

Appendix 9: Example Frequency Survey Questions**Felony CD Cases**

Below, you will be asked to provide your estimate of the percentage of cases, on average, that attorneys should perform the specific task to provide reasonably effective representation.

Please enter your response as a percentage (for example, please enter 25 for 25%)

CLIENT COMMUNICATION - IN PERSON: Time for privileged client interviews and consultations conducted face-to-face.

Please enter an estimate of the percentage of cases, on average, that attorneys should perform the above task to provide reasonably effective representation.

Percent of cases:

(Optional) Please provide an explanation of your percentage estimate.

CLIENT COMMUNICATION - PHONE: Same as above only by phone.

Please enter an estimate of the percentage of cases, on average, that attorneys should perform the above task to provide reasonably effective representation.

Percent of cases:

(Optional) Please provide an explanation of your percentage estimate.

Appendix 10: Example Structure and Layout of Response Summary

CD Felony

(Lower Limit, Average, and Upper Limit of Survey Responses)

	<u>Lower</u>	<u>Average</u>	<u>Upper</u>
Client Communication - In person			
Client Communication - Phone			
Client Communication - Written			
Client Communication - Family/other communications			
Discovery/Investigation - State's discovery disclosure			
Discovery/Investigation - Records and transcripts not included in state's discovery			
Discovery/Investigation - Depositions and witness interviews			
Discovery/Investigation - Experts and technical research			
Case Preparation - Legal research			
Case Preparation - Drafting and writing			
Case Preparation - Plea Negotiation			
Case Preparation - Court Preparation			
Case Preparation - Case management			
Case Preparation - Alternative sentencing research			

Appendix 11: Example Response Rates from the Time Survey

Delphi Time Survey Stats	Private	Public ¹	Total
Total Number of Surveys Sent	32	35	67
Round 1 Response Rate	94%	91%	92%
Round 2 Response Rate	41%	74%	58%
Round 3 Response Rate	31%	40%	36%

¹. The "Round 1 Response Rate" for public defenders represents 226 responses from the 247 surveys sent out to MSPD line defenders. The subsequent survey rounds represent the 35 Delphi panel participants chosen from all MSPD line defenders.

Appendix 12: Estimated Response Rates from the Time Sufficiency Survey

	Murder/ Homicide	AB Felony	CD Felony	Sex Felony	Misdemeanor	Juvenile	Appellate/ PCR	Probation Violation	Average
Response Count ¹	103	163	175	132	129	42	25	134	113
Attorneys ²	123	266	298	181	187	46	40	213	169
Response Rate	84%	61%	59%	73%	69%	91%	63%	63%	70%

^{1.} The average response count for all survey questions by Case Type.

^{2.} The number of attorneys consistently recording time (averaging at least 1.0 hour per week) to the particular Case Type in the MSPD time log system.

Appendix 13: A Note on Public Defender System Requirements

Time Entry System

The public defender system should have a time entry (or time log) system meeting the following minimum requirements:

- Ability to track:
 - Attorneys' case related time by Case Type and Case Task
 - Attorneys' non-case related time
 - Time in increments no greater than a quarter of an hour
- Case Type and Case Task classification consisting of:
 - 15 – 25 case-related (attorney controllable) tasks
 - Case-related (uncontrollable) tasks
 - Non-case related tasks
 - At least 10 unique Case Types
- Time entry system should be:
 - Mandatory system-wide
 - Consistent across public defender system's offices
 - Able to track all attorney time
 - Fully deployed for at least six-months prior to commencement of study
 - Consistent with the Case Management System

Case Management System

The public defender system's case management system should meet the following minimum requirements:

- Case Management System Case Types are identical to Time Log System Case Types
- Consist of at least twelve-months of system-wide case information
- Have a case identifier also used in Time Log System
- Consistent across public defender system's offices

In addition, it would be beneficial (but not part of the minimum requirements) if other factors such as language barriers, mental health issues, and other complexity factors can be captured in the case management system.

Commitment to Permanent Time Keeping

Permanent time keeping is a critical component to the implementation, ongoing study, and refinement of attorney workload standards. In addition, it can be an invaluable management and analysis tool for a public defender system independent of the need for workload standards. Therefore, we believe it is critical that the public defender system commits to continuous time keeping.

Appendix 14: Example Engagement Letter Language

This letter of engagement (“Letter”) sets forth the services that RubinBrown LLP (“RubinBrown”) will provide for _____ (“Client”). In order to better understand each party’s obligations, the terms “we”, “us” and “our” refer to RubinBrown and the terms “you”, “your” and “management” refer to the Client. Your engagement of RubinBrown shall be governed by the terms of this Letter and the attached RubinBrown Engagement Terms.

Scope of Services

RubinBrown will provide you with consulting services designed to assess and calculate caseload standards for the _____ Public Defender system (“PD”). We will coordinate our efforts with _____, who is engaged on behalf of the PD, to perform our services and provide our deliverable. Based upon our understanding of the proposed project, we anticipate performing the work in the following phases:

1. **Overview of the PD system:** In Phase 1 of the project, we anticipate receiving (from PD) the following data for analysis:
 - a. Annual case load (measured by new cases by year, type, and location) over an agreed upon number of years; and
 - b. Personnel overview of PD (measured by number, type, location, part time / full time status, and years of experience of PD staff) over an agreed upon number of years.

We will utilize this data to gain an understanding of the current state of the PD and to create and present to the PD summary data tables that provide a basic overview of the current caseload and structure of PD.

2. **PD Time Study:** Phase 2 of the project will involve commenting on, and ultimately the receipt of data from, the in-process time study (the “Time Study”). It is our understanding the PD has begun tracking personnel time on a system wide basis. We anticipate communicating and collaborating with the PD to obtain a clear understanding of how time is being tracked and categorized. It is our understanding that time is being captured along two (2) dimensions: Case Type (a broad designation of the type of case, such as Class B Felony or traffic related, for example) and Case Task (a field to capture the specific tasks and functions that are performed by PD personnel for each Case Type, such as meetings with client or preliminary motions, for example).

We will utilize this data to measure and present the current case load mix and initial case weights (i.e., how are PD personnel currently spending their time). Based upon similar studies performed in other states, we anticipate that the **minimum** time required for the Time Study is six (6) weeks.

3. **PD Time Sufficiency Survey:** Phase 3 of the project will utilize an already completed survey of PD personnel (the “Time Sufficiency Survey”) to obtain their perspective on whether the current time spent (by Case Task) is sufficient to fulfill their obligations.

We anticipate that specific objectives of Phase 3 will involve:

- a. Receiving the raw, underlying data from the Time Sufficiency Survey;
- b. Analyzing the data from the Time Sufficiency Survey;
- c. Creating summary data tables to provide a basic overview of the Time Sufficiency Survey;
- d. Presenting preliminary summary tables to PD for review; and
- e. Comparing preliminary conclusions from the Time Sufficiency Survey to the preliminary conclusions from the Time Study.

We will utilize this data to identify the Case Tasks that PD personnel have indicated they currently do not have sufficient time to complete.

4. **PD Interviews:** In Phase 4, we anticipate interviewing three to five experienced PD personnel in order to discuss the results of, and our takeaways from, the Time Study and Time Sufficiency Survey. These interviews will help provide assurance that we are interpreting the data correctly as well as provide PD an opportunity to provide additional insight into the data and the overall process.
5. **Delphi Method:** Phase 5 will involve coordinating with an expert panel assembled by _____ to obtain estimates of time allocations for those Case Type / Case Task categories that were deemed to have deficiencies in current practice. This panel will be comprised of both experienced PD public defenders and experienced criminal defense practitioners who have experience with the kinds of cases typically handled by the PD.

We expect that this phase will include two distinct survey processes consisting of a time survey and a frequency survey. By the end of Phase 5, we will have the set of final recommended case weights based upon the results of the Time Study, Time Sufficiency Survey, and panel input from applying the Delphi Method. These final case weights will form the basis for the recommended caseload standards.

6. **Final Report:** Our final deliverable will consist of a written report that will:
 - a. Present the final results of our analysis;
 - b. Document and describe all the steps taken and work performed in Phases 1 through 5; and
 - c. Present the caseload standards and the underlying data and results in summary form through the use of tables, figures, and graphs.

We anticipate that writing the Final Report will not actually be a final, distinct phase, but will actually be drafted throughout the process and performance of Phases 1 through 5. We will present _____ with an initial draft report for comments and feedback. The Final Report will be issued once that feedback has been received and considered.



ABA
Defending Liberty
Pursuing Justice