



CO L O R A D O

**Office of Judicial
Performance Evaluation**

Judicial Branch

The Honorable Katharine T. Sullivan
2016 Judicial Performance Survey Report
County Court

Conducted by:



75 Washington Ave. Ste. 206
Portland, ME 04101
www.marketdecisions.com

Contents

- Summary of Results..... 1
 - Overall Score..... 1
 - Retention Scores..... 2
 - Individual Category Scores..... 3
 - Summary of Responses 4
- Survey of Attorneys..... 5
 - Methodology and How to Read Results..... 5
 - Retention..... 8
 - Case Management 9
 - Application and Knowledge of Law10
 - Communications.....11
 - Demeanor12
 - Diligence13
 - Bias14
- Survey of Non Attorneys15
 - Methodology and How to Read Results.....15
 - Retention.....18
 - Demeanor19
 - Fairness20
 - Communications.....21
 - Diligence22
 - Application of Law23
 - Bias24
 - Perception of Leniency or Harshness25

Summary of Results

For Judge Katharine T. Sullivan, 123 qualified survey respondents submitted surveys. Of those who responded, 98 agreed they had worked with Judge Sullivan enough to evaluate her performance. This report reflects these 98 responses.

Respondents rated judges on various questions using an A to F (for Fail) scale, in which the grades were then converted to numerical scores: A= 4, B=3, C=2, D=1 and F=0. An average score of 4.0 is the highest possible score and 0.0 is the lowest possible score.

Overall Score

Figure 1

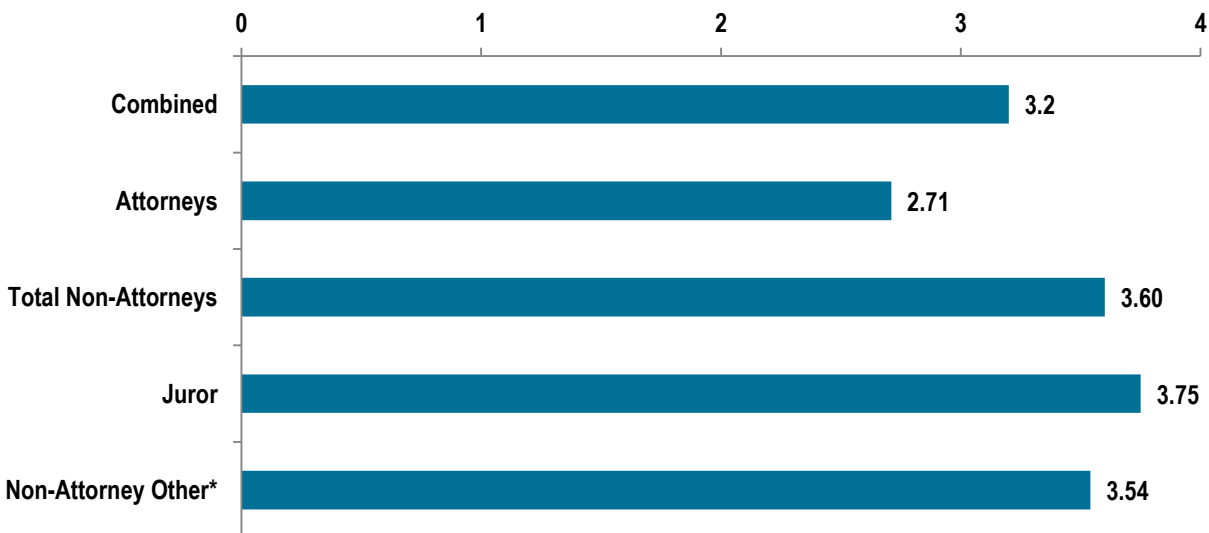


Table 1

Judge Katharine T. Sullivan Overall Scores					
			Non-Attorneys		
	Combined	Attorneys	Total Non-Attorneys	Juror	Non-Attorney Other*
Overall Grade	3.2	2.71	3.60	3.75	3.54

* The Non-Attorney Other category includes law enforcement personnel, defendants, litigants, and witnesses.

Retention Scores

Figure 2

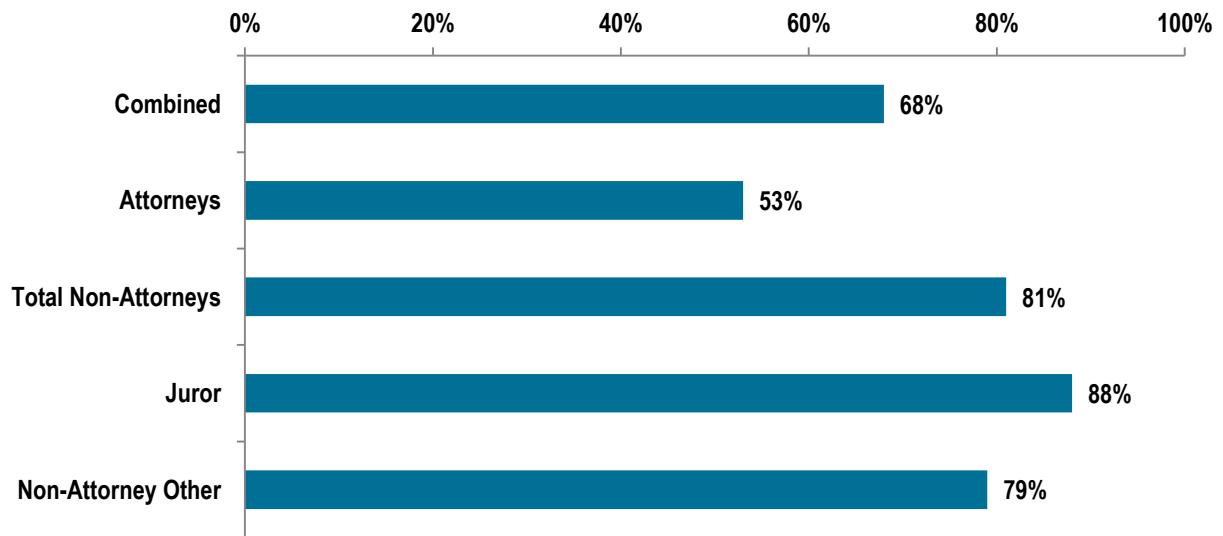


Table 2

Judge Katharine T. Sullivan Overall Retention Scores					
			Non-Attorneys		
	Combined	Attorneys	Total Non-Attorneys	Juror	Non-Attorney Other
% Recommending Retention	68%	53%	81%	88%	79%

Individual Category Scores

Table 3

Judge Katharine T. Sullivan Overall Category Scores				
Area	Attorney	Non-Attorney		
		Total	Juror	Non-Attorney Other
Case Management	3.15	N/A	N/A	N/A
Application and Knowledge of Law	2.54	3.56	3.81	3.46
Communications	2.88	3.77	3.79	3.76
Diligence	2.52	3.60	3.79	3.52
Demeanor	2.44	3.52	3.61	3.48
Fairness	N/A	3.54	3.73	3.47

Summary of Responses

Table 4: Response Rates

Group	Total Sent	Undeliverable or Not Applicable*	Complete	Response Rate	% Without sufficient knowledge**
Attorneys	134	6	43	45%	26%
Total Non-Attorneys	945	460	55	13%	15%
Staff	7	0	3	43%	0%
Jurors	90	0	16	20%	11%
Other Non-Attorneys	848	460	36	11%	18%

*Undeliverable or Not Applicable surveys are those that were returned as undeliverable, the person no longer works at the address provided, or the respondent is deceased

**The percent without sufficient knowledge are those that said they had insufficient experience to evaluate the judge or justice

Survey of Attorneys

Methodology and How to Read Results

For Judge Sullivan, 58 qualified survey respondents submitted surveys. Of those who responded, 43 agreed they had worked with Judge Sullivan enough to evaluate her performance. This report reflects these 43 responses. The survey results are divided into nine sections: Retention, Case Management, Application and Knowledge of law, Communications, Demeanor, Diligence, Bias, Strengths, and Weaknesses.

The results are shown in both graphs and tables. Each judge's scores are shown along with a comparison to other judges who serve at the same court level. The comparison group is called "County Judges" on the charts.

a. Response rates

During the 2015 administration, a total of 13,709 survey invitations were sent to 5,372 attorneys inviting them to evaluate judges and justices standing for retention in 2016. On average, each attorney was asked to evaluate 2.6 judges. 3,738 surveys were completed with an additional 1,818 responses where the attorney indicated that they did not have enough experience with the judge to be comfortable evaluating him or her. The response rate for the survey was 42% and the survey completion rate (the number of those familiar enough to evaluate the judge divided by the total number of attorney responses including those indicating they did not have sufficient familiarity to evaluate the judge) was 67%.

b. Methodology

The 2015 attorney survey was conducted online beginning on September 16, 2015. Attorneys were first mailed a pre-notification letter sent on September 16, 2015 informing them about the survey and providing a link and login information to access the survey online. Next, a series of three email invitations were sent on September 24th, September 30th, and October 14th. Reminder calls were placed to the offices of selected attorneys in an attempt to increase response rates between November 12th and December 1st. Additional invitations were sent upon request during the reminder calls.

Appellate staff attorneys received the same survey as other attorneys, but were invited separately with a series of email invitations starting with the initial invite on October 5th, 2015 and followed by reminders on October 14th and 22nd.

To further increase response rates, an additional cycle of data collection took place in January and February 2016. Invitations were emailed to attorneys who had appeared before judges standing for retention in the 3rd and 4th quarters of 2015. The initial invitations were sent on January 19th and reminders were sent on January 29th and February 3rd.

c. Questions:

In the core of the survey, attorneys evaluated district and county judges on 17 aspects of judicial performance and appellate judges on 12 aspects using a grade scale of A, B, C, D, or F (for Fail). These aspects were grouped by topic into categories, five for district and county judges and two for appellate. The district and county categories were: case management, application and knowledge of law, communications, demeanor, and diligence. Questions regarding appellate judges were divided into two categories, one for general questions and one specific to their writing (which was only asked of those who indicated they had experience with the judge or justice’s written opinions).

Respondents were also asked if they considered the judge biased toward the defense or prosecution in criminal cases. In a final question, respondents were asked to indicate how strongly they would recommend that the judge be retained or not retained in office. For this evaluation cycle, the “don’t know enough to make a recommendation” response category was excluded from the retention question.

While the formatting and structure of the survey was updated for 2015, the question wording was carried over from the 2014 administration and has remained consistent since 2013. The questions were originally developed in 1998 to meet the criteria outlined in statute 13-5.5-101 et seq.

Question Category Areas*

	Trial Judge: Attorney Survey	Appellate Judge/Justice Attorney Survey
Question Categories		
Appellate Judge General Questions		6
Application and Knowledge of Law	5	
Case Management	4	
Communications	2	
Demeanor	3	
Diligence	3	
Writing		6
Individual Questions		
Bias	1	
Recommendation to Retain	1	1

***The numbers in the table refer to the number of questions asked in each category by survey group.**

d. Analysis and Reporting

Letter grades were converted to a numerical score where A = 4, B = 3, C = 2, D = 1 and Fail = 0 for analysis. The results include an overall grade, a grade for each category, as well as a grade for each question. The overall score is calculated by averaging the responses to all questions answered by the attorney. This score will have the same numerical range as the individual questions from zero to four.

Each category score is calculated by averaging the responses to all questions answered by the attorney with each category. This score will have the same numerical range as the individual questions from zero to four. Similarly, an average score is calculated for each individual question with the exception of the bias and retention questions.

The overall average and category scores will be reported for each judge along with the average scores for the judge's peers. The average score (with exceptions noted above) will also be reported for each question, along with the peer group score. In addition, the report will include the distribution of responses for each question. That is, the percentage of attorneys that assigned a rating of A, B, C, D, and F. The distribution of responses is also reported for the questions on bias and retention.

e. Comments

At the end of each group of questions, respondents had the option of leaving comments about the judge's performance in that area. Respondents were also asked what they considered to be the judge's strengths and weaknesses and were allowed to leave open-ended responses to each. By statute, these comments are confidential and only provided to the judge and the District Commission on Judicial Performance. They are not released to the public when the rest of the report is released.

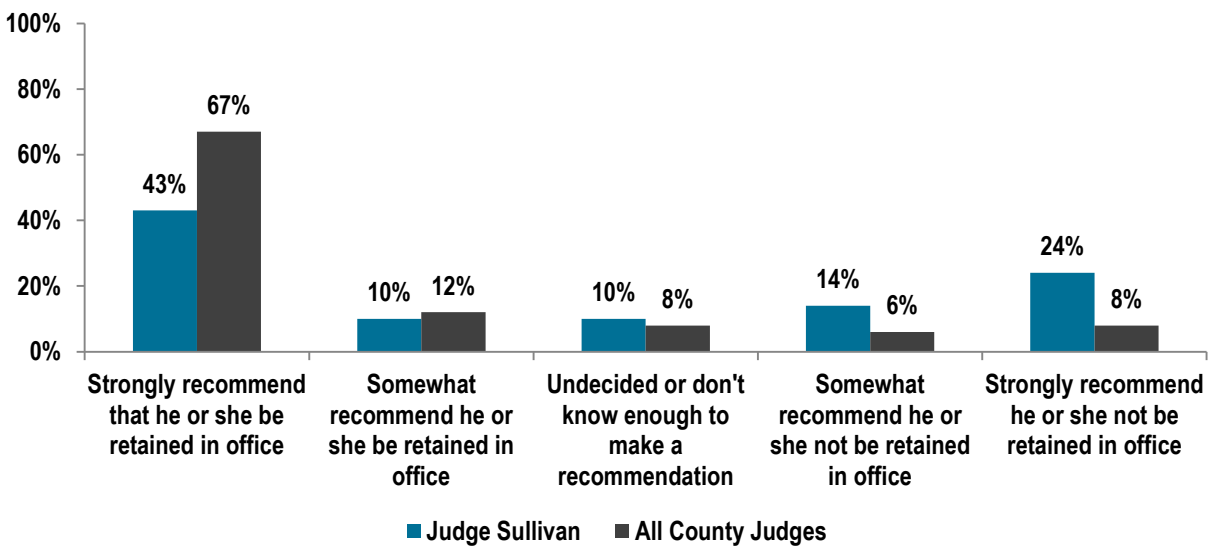
Retention

Keeping in mind your responses to each of the previous questions, how strongly do you recommend that Judge Katharine T. Sullivan be retained in office, or not be retained in office?

Table 5

Judge Katharine T. Sullivan	
Total Retain	53%
Neither	10%
Total Not Retain	38%

Figure 3



Case Management

Using a grade scale, where an "A" is excellent along with B, C, D or F for fail, please grade Judge Sullivan on the following. If, for a specific question you feel that you do not have enough information to grade the judge, please check DK/NA for Don't Know/Not Applicable.

Figure 4

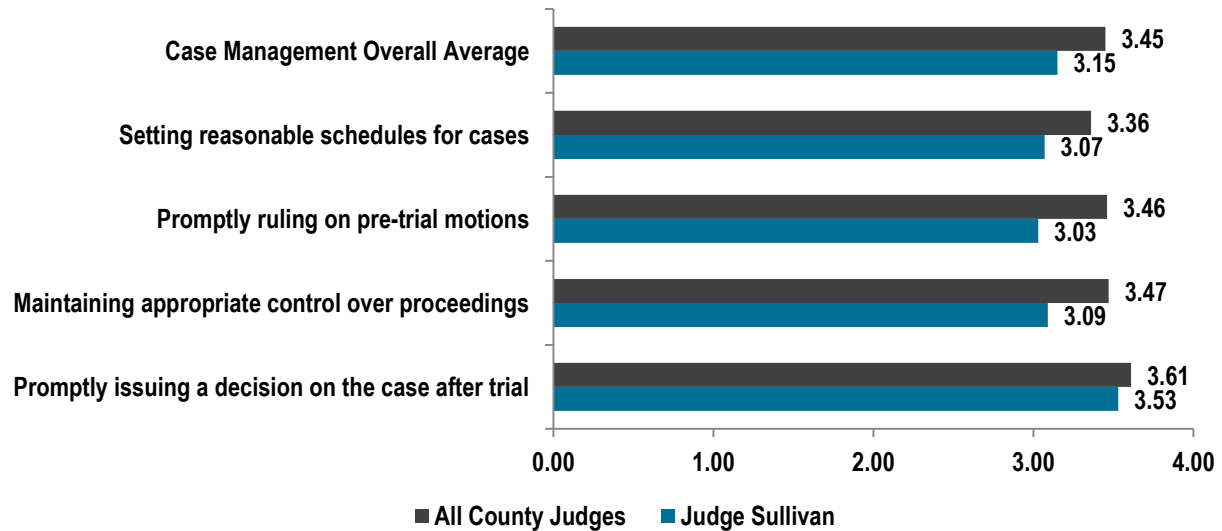


Table 6

Case Management								
Judge Katharine T. Sullivan	A	B	C	D	Fail	DK/NA	Judge Sullivan	All County Judges
Number of Responses: 43								
Promptly issuing a decision on the case after trial	56%	16%	2%	2%	2%	21%	3.53	3.61
Maintaining appropriate control over proceedings	53%	19%	16%	7%	5%	--	3.09	3.47
Promptly ruling on pre-trial motions	49%	19%	9%	5%	9%	9%	3.03	3.46
Setting reasonable schedules for cases	49%	26%	12%	5%	7%	2%	3.07	3.36
Case Management Overall Average							3.15	3.45

Application and Knowledge of Law

Using a grade scale, where an "A" is excellent along with B, C, D or F for fail, please grade Judge Sullivan on the following. If, for a specific question you feel that you do not have enough information to grade the judge, please check DK/NA for Don't Know/Not Applicable.

Figure 5

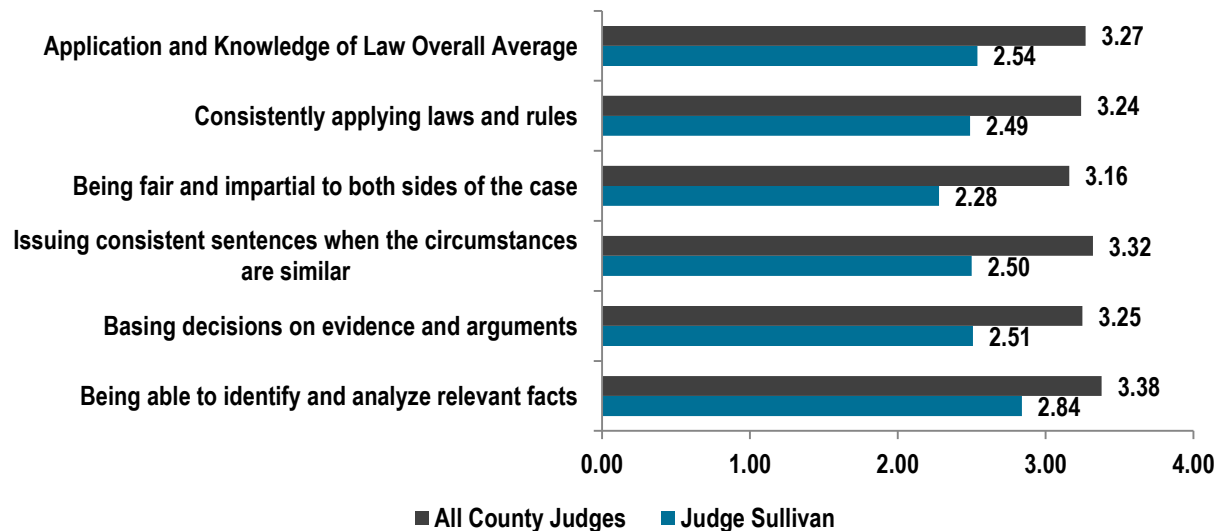


Table 7

Application and Knowledge of Law								
Judge Katharine T. Sullivan Number of Responses: 43	A	B	C	D	Fail	DK/NA	Judge Sullivan	All County Judges
Being able to identify and analyze relevant facts	44%	19%	23%	5%	9%	--	2.84	3.38
Basing decisions on evidence and arguments	35%	26%	12%	12%	16%	--	2.51	3.25
Issuing consistent sentences when the circumstances are similar	37%	16%	13%	16%	13%	5%	2.50	3.32
Being fair and impartial to both sides of the case	35%	16%	12%	16%	21%	--	2.28	3.16
Consistently applying laws and rules	30%	23%	19%	9%	14%	5%	2.49	3.24
Application and Knowledge of Law Overall Average							2.54	3.27

Communications

Using a grade scale, where an "A" is excellent along with B, C, D or F for fail, please grade Judge Sullivan on the following. If, for a specific question you feel that you do not have enough information to grade the judge, please check DK/NA for Don't Know/Not Applicable.

Figure 6

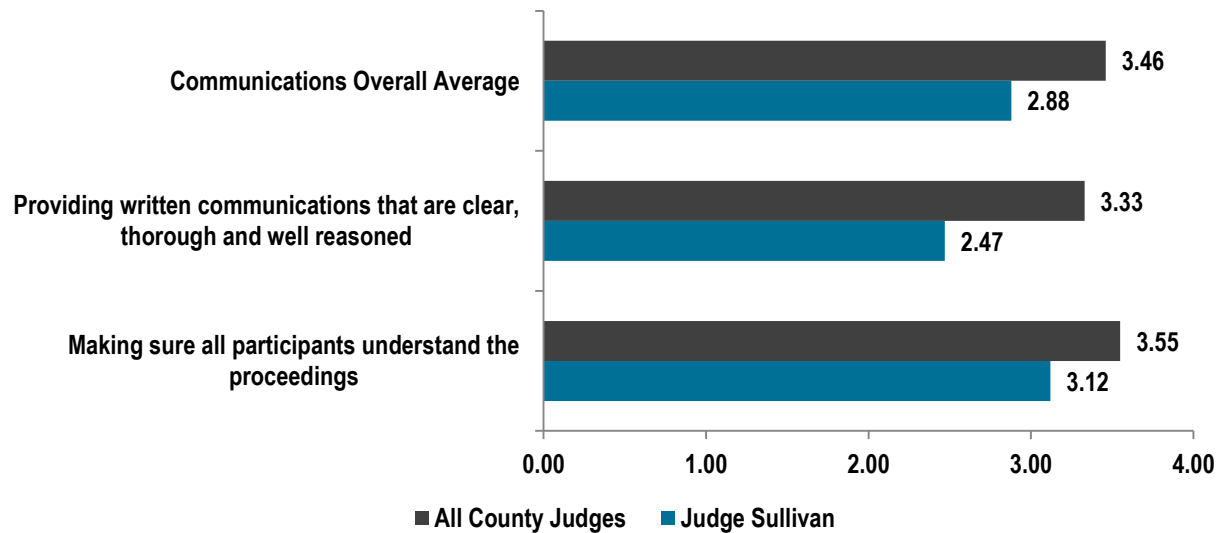


Table 8

Communications								
Judge Katharine T. Sullivan Number of Responses: 42	A	B	C	D	Fail	DK/NA	Judge Sullivan	All County Judges
Making sure all participants understand the proceedings	50%	26%	14%	5%	5%	--	3.12	3.55
Providing written communications that are clear, thorough and well reasoned	24%	17%	17%	10%	10%	24%	2.47	3.33
Communications Overall Average							2.88	3.46

Demeanor

Using a grade scale, where an "A" is excellent along with B, C, D or F for fail, please grade Judge Sullivan on the following. If, for a specific question you feel that you do not have enough information to grade the judge, please check DK/NA for Don't Know/Not Applicable.

Figure 7

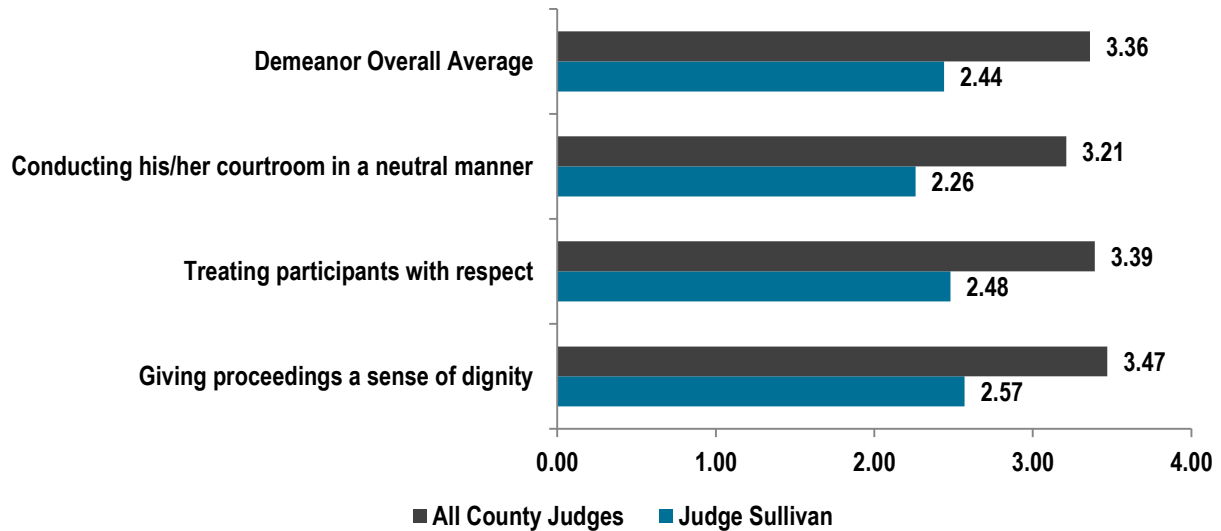


Table 9

Demeanor								
Judge Katharine T. Sullivan Number of Responses: 42	A	B	C	D	Fail	DK/NA	Judge Sullivan	All County Judges
Giving proceedings a sense of dignity	31%	29%	21%	5%	14%	--	2.57	3.47
Treating participants with respect	40%	10%	21%	14%	14%	--	2.48	3.39
Conducting his/her courtroom in a neutral manner	36%	12%	17%	14%	21%	--	2.26	3.21
Demeanor Overall Average							2.44	3.36

Diligence

Using a grade scale, where an "A" is excellent along with B, C, D or F for fail, please grade Judge Sullivan on the following. If, for a specific question you feel that you do not have enough information to grade the judge, please check DK/NA for Don't Know/Not Applicable.

Figure 8

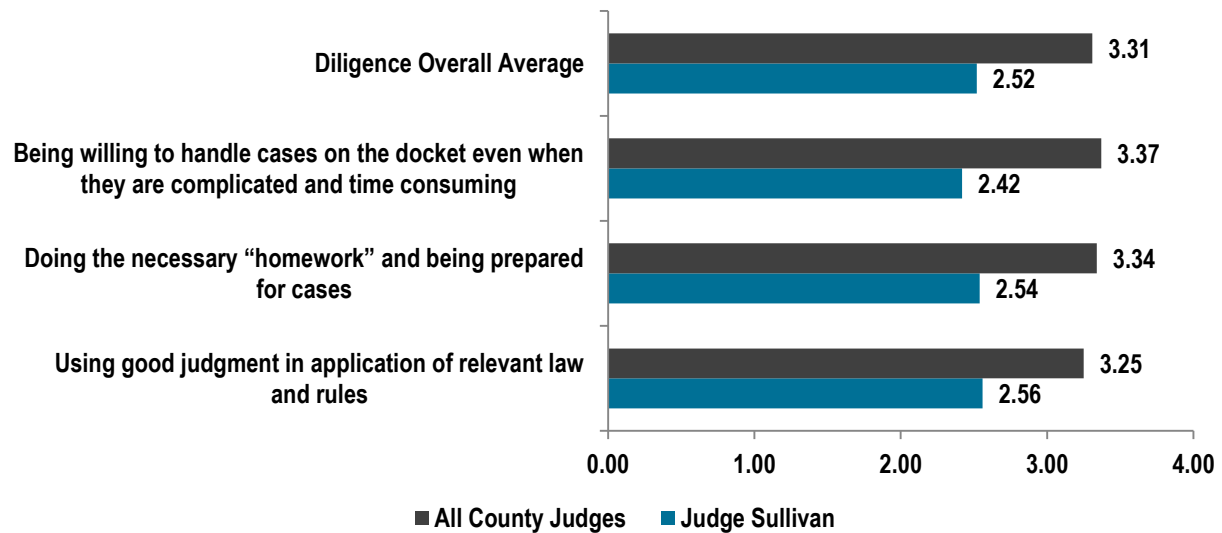


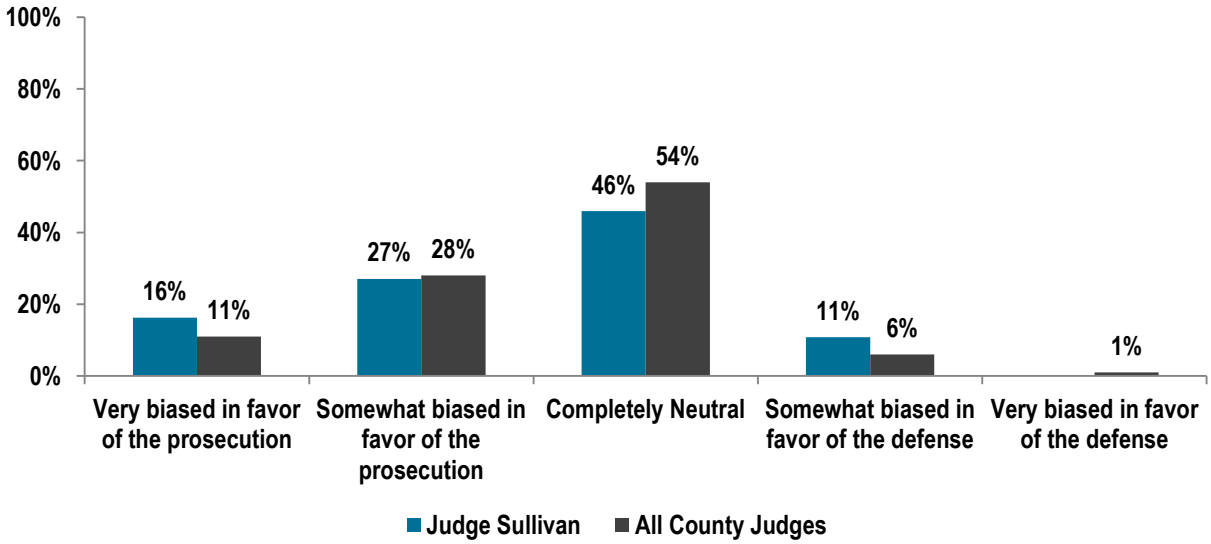
Table 10

Diligence								
Judge Katharine T. Sullivan Number of Responses: 42	A	B	C	D	Fail	DK/NA	Judge Sullivan	All County Judges
Using good judgment in application of relevant law and rules	36%	21%	17%	10%	14%	2%	2.56	3.25
Doing the necessary "homework" and being prepared for cases	38%	14%	21%	10%	14%	2%	2.54	3.34
Being willing to handle cases on the docket even when they are complicated and time consuming	33%	12%	12%	14%	14%	14%	2.42	3.37
Diligence Overall Average							2.52	3.31

Bias

Having observed Judge Sullivan in a criminal case, would you say the judge is:

Figure 9



Survey of Non Attorneys

Methodology and How to Read Results

For Judge Katharine T. Sullivan, 65 qualified survey respondents submitted surveys. Of those who responded, 55 agreed they had worked with Judge Sullivan enough to evaluate her performance. This report reflects these 55 responses.

a. Response rates

During the 2015 administration, 1,697 survey invitations have been sent to court staff members and 68,393 to other non-attorneys. Among court staff, 787 complete surveys have been received and an additional 192 indicated that they did not have enough experience to evaluate the judge. The response rate among court staff is 58% and the completion rate is 80%.

Among other non-attorneys, 4,338 complete surveys have been received and an additional 1,123 indicated that they did not have enough experience to evaluate the judge. The response rate among other non-attorneys is 11% and the completion rate is 80%.

b. Methodology

The 2015 non-attorney survey was conducted via a mixed mode online and mail survey beginning September 24, 2015 and ending on February 22nd, 2016. Due to the ability to contact court staff via email, respondents were split into two groups for data collection: court staff and other non-attorneys. The court staff group includes staff members, interpreters and probation officers. The other non-attorney group includes jurors, defendants, witnesses, litigants, and law enforcement personnel.

Court staff members were invited via emailed invitations sent on October 5th and a reminder sent on October 14th.

Other non-attorneys where no email addresses were available were first mailed a pre-notification letter sent on September 24th informing them about the survey and providing a link and login information to access the survey online. This was followed up with a second mailing that also included the information to access the survey online, as well as a full printed survey booklet and postage-paid return envelope. This second mailing was sent on October 19, 2015.

The process for other non-attorneys was repeated in January and February 2016 for those that had experience with judges standing for retention in the 3rd and 4th quarters of 2015. For this cycle, the order of the mailings was switched due to the constraints of the reporting schedule. The first mailing, sent on January 22nd, included the full survey booklet and a return mailing envelope as well as instructions to access the survey online. The second mailing, sent on

February 12th, included only a letter with instructions to complete the survey online and reminded them of the survey closing on February 22nd.

c. Questions:

Respondents evaluated judges on 19 aspects of judicial performance using a grade scale of A, B, C, D, or F (for Fail). Respondents were also asked if they considered the judge biased toward the defense or prosecution in criminal cases. Non-attorneys were also asked to evaluate the appropriateness of the sentencing. In a final question, respondents were asked to indicate how strongly they would recommend that the judge be retained or not retained in office. For this evaluation cycle, the “don’t know enough to make a recommendation” response category was excluded from the retention question.

Question Category Areas*

	Court Staff	Other Non-attorneys
Question Categories		
Application of Law	3	3
Communications	3	3
Demeanor	4	4
Diligence	5	5
Fairness	4	4
Individual Questions		
Bias	1	1
Appropriateness of Sentence	1	1
Recommendation to Retain	1	1

**The numbers in the table refer to the number of questions asked in each category by survey group.*

d. Analysis and Reporting

Letter grades were then converted to a numerical score where A = 4, B = 3, C = 2, D = 1 and Fail = 0 for analysis. The results include an overall grade, a grade for each category, as well as a grade for each question. The overall score is calculated by averaging the responses to all questions answered. This score will have the same numerical range as the individual questions from zero to four.

Each category score is calculated by averaging the responses to all questions answered by the attorney with each category. This score will have the same numerical range as the individual questions from zero to four. Similarly, an average score is calculated for each individual question with the exception of the bias and retention questions.

The overall average and category scores will be reported for each judge along with the average scores for the judge’s peers. The average score (with exceptions noted above) will also be reported for each question, along with the peer group score. In addition, the report will include

the distribution of responses for each question. That is, the percentage of attorneys that assigned a rating of A, B, C, D, and F. The distribution of responses are also reported for the questions on bias and retention as well as appropriateness of sentences.

e. Comments:

At the end of each group of questions, respondents had the option of leaving comments about the judge's performance in that area. Respondents were also asked what they considered to be the judge's strengths and weaknesses and allowed to leave open ended responses to each. By statute, these comments are confidential and only provided to the judge and the District Commission on Judicial Performance. They are not released to the public when the rest of the report is released.

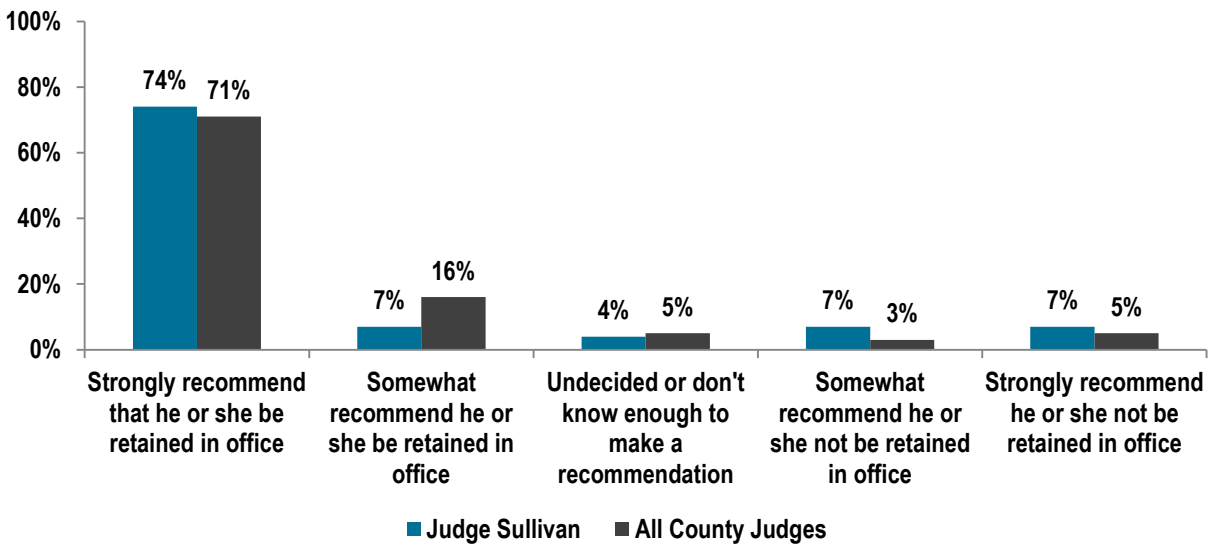
Retention

Keeping in mind your responses to each of the previous questions, how strongly do you recommend that Judge Sullivan be retained in office, or not retained in office?

Table 11

Judge Katharine T. Sullivan	
Total Retain	81%
Neither	4%
Total Not Retain	14%

Figure 10



Demeanor

Using a grade scale, where an “A” is excellent along with B, C, D or F for fail, please grade the judge on the following. (If you feel that you don’t have experience with the judge in a specific area, or just don’t know, please mark “Don’t Know/Not Applicable”—DK/NA).

Figure 11

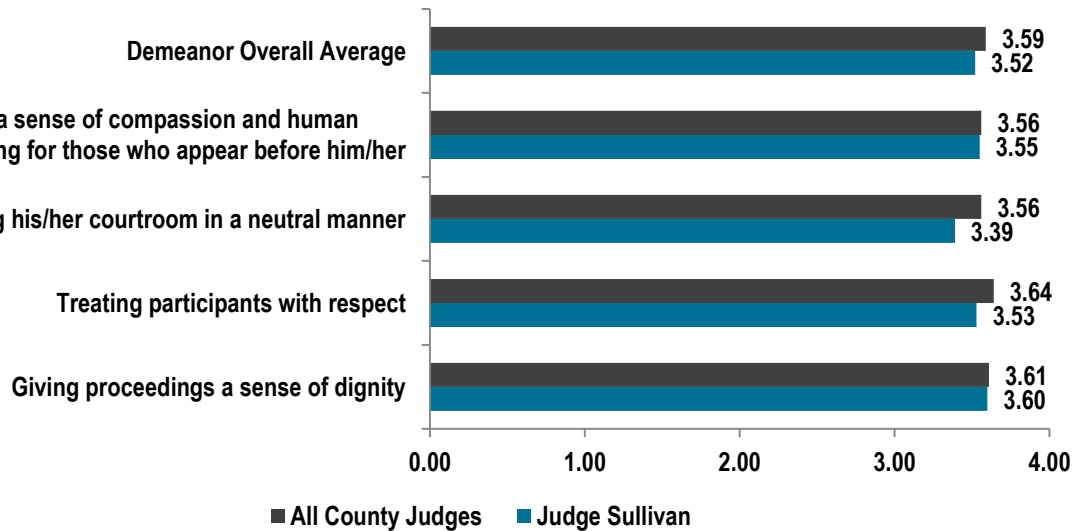


Table 12

Demeanor								
Judge Katharine T. Sullivan Number of Responses: 55	A	B	C	D	Fail	DK/NA	Judge Sullivan	All County Judges
Giving proceedings a sense of dignity	76%	13%	7%	2%	2%	--	3.60	3.61
Treating participants with respect	78%	7%	7%	4%	4%	--	3.53	3.64
Conducting his/her courtroom in a neutral manner	69%	15%	4%	5%	5%	2%	3.39	3.56
Having a sense of compassion and human understanding for those who appear before him/her	80%	5%	7%	4%	4%	--	3.55	3.56
Demeanor Overall Average							3.52	3.59

Fairness

Using a grade scale, where an “A” is excellent along with B, C, D or F for fail, please grade the judge on the following. (If you feel that you don’t have experience with the judge in a specific area, or just don’t know, please mark “Don’t Know/Not Applicable”—DK/NA).

Figure 12

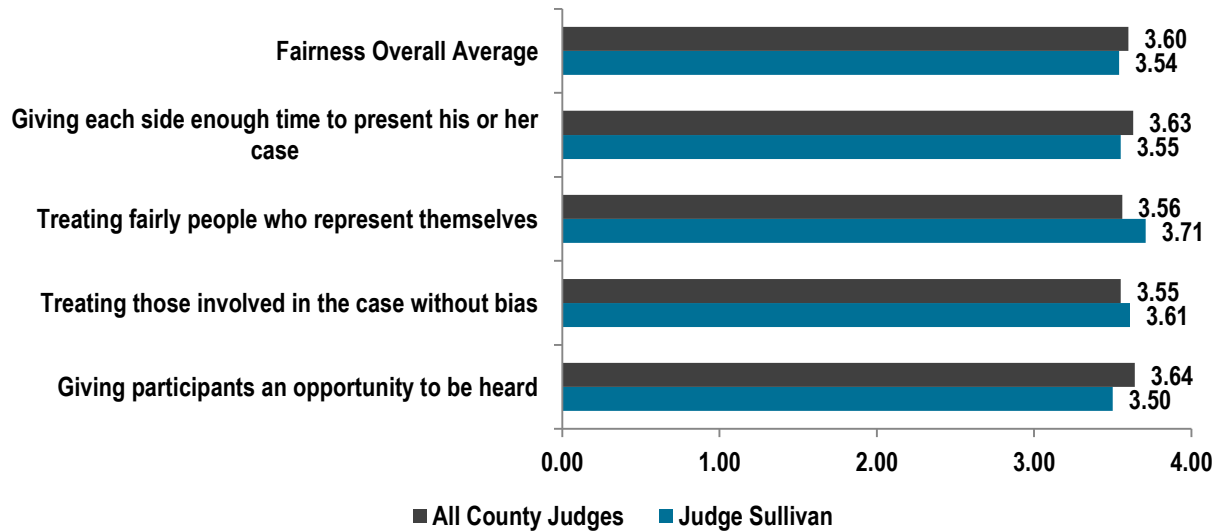


Table 13

Fairness								
Judge Katharine T. Sullivan Number of Responses: 55	A	B	C	D	Fail	DK/NA	Judge Sullivan	All County Judges
Giving participants an opportunity to be heard	76%	5%	9%	4%	4%	2%	3.50	3.64
Treating those involved in the case without bias	78%	7%	9%	2%	2%	2%	3.61	3.55
Treating fairly people who represent themselves	64%	5%	2%	2%	2%	25%	3.71	3.56
Giving each side enough time to present his or her case	75%	7%	9%	4%	2%	4%	3.55	3.63
Fairness Overall Average							3.54	3.60

Communications

Using a grade scale, where an “A” is excellent along with B, C, D or F for fail, please grade the judge on the following. If you feel that you don’t have experience with the judge in a specific area, or just don’t know, please mark “Don’t Know/Not Applicable”—DK/NA.

Figure 13

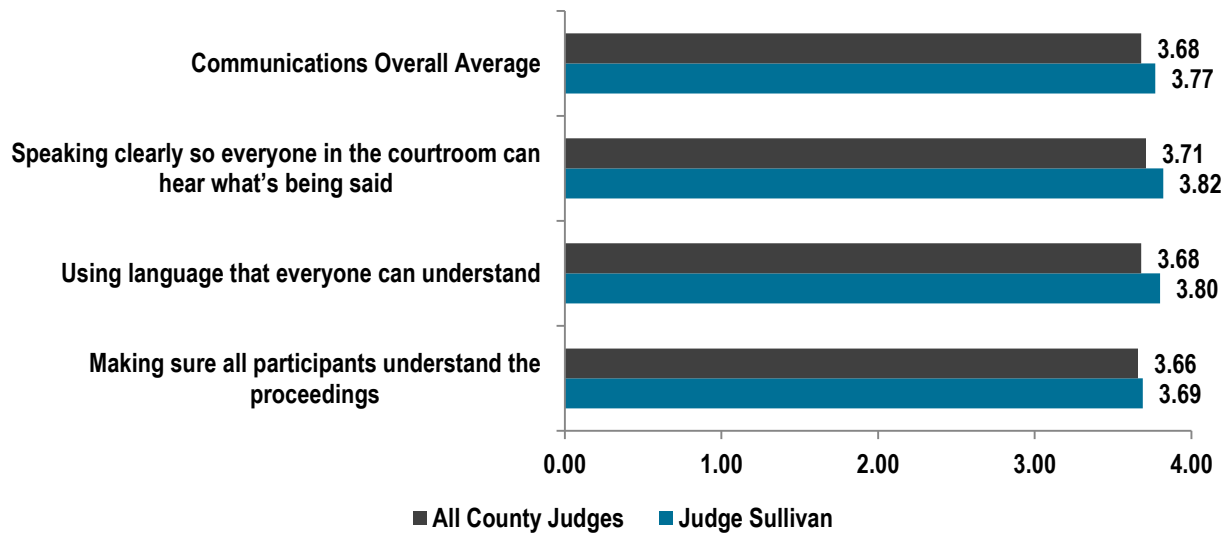


Table 14

Communications								
Judge Katharine T. Sullivan Number of Responses: 55	A	B	C	D	Fail	DK/NA	Judge Sullivan	All County Judges
Making sure all participants understand the proceedings	78%	16%	4%	--	2%	--	3.69	3.66
Using language that everyone can understand	84%	13%	4%	--	--	--	3.80	3.68
Speaking clearly so everyone in the courtroom can hear what’s being said	87%	7%	5%	--	--	--	3.82	3.71
Communications Overall Average							3.77	3.68

Diligence

Using a grade scale, where an “A” is excellent along with B, C, D or F for fail, please grade the judge on the following. If you feel that you don’t have experience with the judge in a specific area, or just don’t know, please mark “Don’t Know/Not Applicable”—DK/NA.

Figure 14

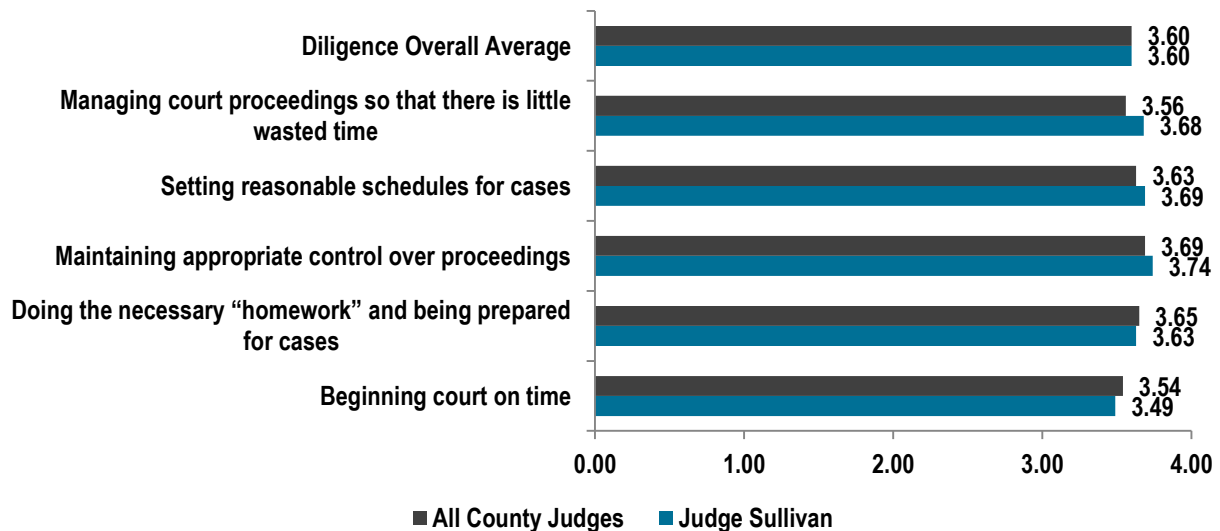


Table 15

Diligence								
Judge Katharine T. Sullivan Number of Responses: 55	A	B	C	D	Fail	DK/NA	Judge Sullivan	All County Judges
Beginning court on time	67%	15%	9%	5%	--	4%	3.49	3.54
Doing the necessary “homework” and being prepared for cases	78%	11%	4%	4%	2%	2%	3.63	3.65
Maintaining appropriate control over proceedings	78%	15%	5%	--	--	2%	3.74	3.69
Setting reasonable schedules for cases	76%	11%	4%	4%	--	5%	3.69	3.63
Managing court proceedings so that there is little wasted time	76%	13%	4%	4%	--	4%	3.68	3.56
Diligence Overall Average							3.60	3.60

Application of Law

Using a grade scale, where an “A” is excellent along with B, C, D or F for fail, please grade the judge on the following. If you feel that you don’t have experience with the judge in a specific area, or just don’t know, please mark “Don’t Know/Not Applicable”—DK/NA.

Figure 15

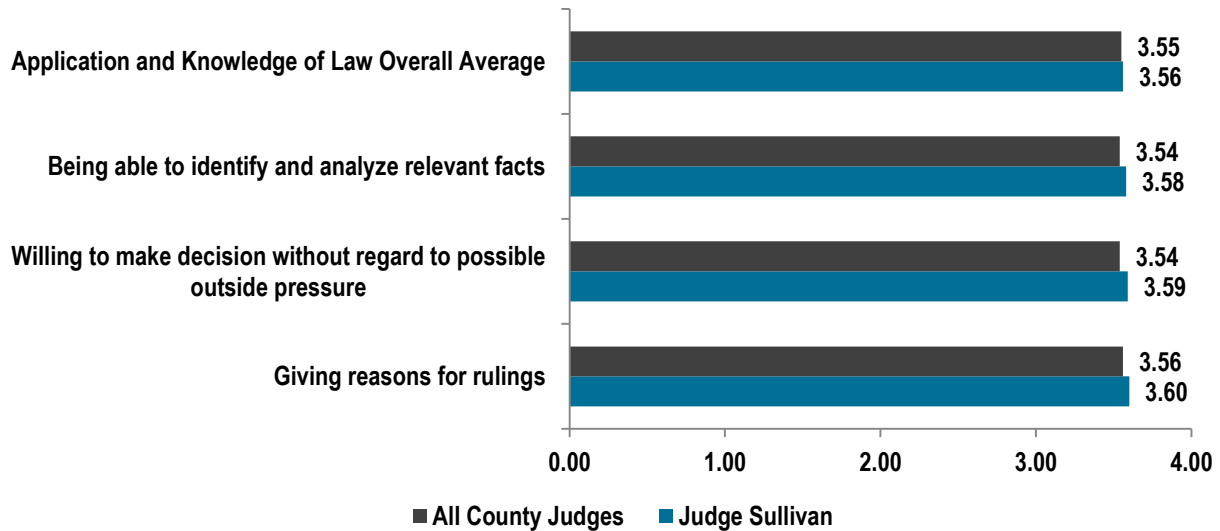


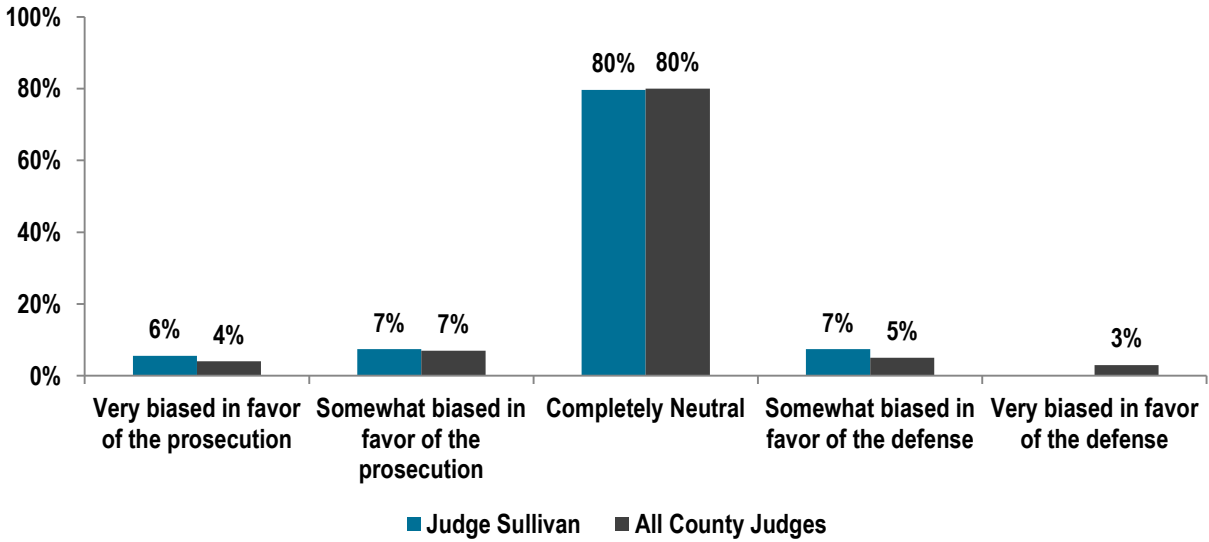
Table 16

Application of Law								
Judge Katharine T. Sullivan Number of Responses: 55	A	B	C	D	Fail	DK/NA	Judge Sullivan	All County Judges
Giving reasons for rulings	78%	13%	2%	5%	2%	--	3.60	3.56
Willing to make decision without regard to possible outside pressure	71%	9%	2%	5%	2%	11%	3.59	3.54
Being able to identify and analyze relevant facts	80%	4%	5%	4%	4%	4%	3.58	3.54
Application and Knowledge of Law Overall Average							3.56	3.55

Bias

On the scale below, please indicate by selecting the appropriate number how biased you think Judge Sullivan is toward the defense or the prosecution. If you feel Judge Sullivan is completely unbiased, select "0."

Figure 16



Perception of Leniency or Harshness

On the scale below, please indicate by selecting the appropriate number how lenient or how harsh you think the sentences generally handed down by Judge Sullivan are. If you feel Judge Sullivan generally hands down appropriate sentences, circle "0."

Table 17

