

U.S. DISTRICT COURT
N.D. OF N.Y.
FILED
December 12, 2005

LAWRENCE K. BAERMAN, CLERK

GENERAL ORDER #1



**PLAN FOR THE COMPOSITION, ADMINISTRATION AND MANAGEMENT
OF THE PANEL OF PRIVATE ATTORNEYS
AND THE OFFICE OF THE FEDERAL PUBLIC DEFENDER
UNDER THE CRIMINAL JUSTICE ACT**

DATED: December 12, 2005

I. AUTHORITY.

Pursuant to the Criminal Justice Act of 1964, as amended, (*CJA*), section 3006A of Title 18, United States Code, and the *Guidelines for the Administration of the Criminal Justice Act and Related Statutes (CJA Guidelines), Volume VII, Guide to Judiciary Policies and Procedures (CJA Guidelines)*, the judges of the United States District Court for the Northern District of New York, adopt this Plan for furnishing representation in federal court for any person financially unable to obtain adequate representation in accordance with the Criminal Justice Act.

II. STATEMENT OF POLICY.

A. Objectives.

1. The objective of the Plan is to attain equality before the law for all persons. Therefore, this Plan shall be administered so that those accused of a crime, or otherwise eligible for services pursuant to the *CJA*, will not be deprived, because they are financially unable to pay for adequate representation, or for any service necessary to an adequate defense.
2. The further objective of this Plan is to particularize the requirements of the *CJA*, the Anti-Drug Abuse Act of 1988 (codified in part at §848(q) of Title 21, United States Code), and the *CJA Guidelines* in a way that meets the needs of this District.

B. Compliance.

1. The Court, its Clerk, the Federal Public Defender Organization (FPD), and private attorneys appointed under the *CJA* shall comply with the *CJA Guidelines* approved by the Judicial Conference of the United States and/or its Committee on Defender Services and with this Plan.
2. The Clerk of Court shall provide each private attorney with a current copy of this Plan upon the attorney's first appointment under the *CJA* or designation as a member of the panel of private attorneys under the Criminal Justice Act (*CJA Panel*). The clerk shall maintain a current copy of the *CJA Guidelines* for the use of members of the *CJA Panel* and shall make known to such attorneys its availability.

III. DEFINITIONS.

- A. "Representation" includes counsel and investigative, expert, and other services.
- B. "Appointed attorney," members of the panel of private attorneys (*CJA* Panel) who are eligible and willing to be appointed to provide representation under the Criminal Justice Act, the Federal Public Defender and staff attorneys of the Federal Public Defender, and private attorneys when needed to supplement the *CJA* Panel.

IV. PROVISION OF REPRESENTATION.

A. Circumstance.

- 1. Mandatory. Representation shall be provided for any financially eligible person who:
 - a. is charged with a felony or with a *Class A* misdemeanor;
 - b. is a juvenile alleged to have committed an act of juvenile delinquency as defined in §5031 of Title 18, U.S.C.;
 - c. is charged with a violation of probation, or faces a change of a term or condition of probation (unless the modification sought is favorable to the probationer and the government has not objected to the proposed change);
 - d. is under arrest, when such representation is required by law;
 - e. is entitled to appointment of counsel in parole proceedings;
 - f. is charged with a violation of supervised release or faces modification, reduction, or enlargement of a condition, or extension or revocation of a term of supervised release;
 - g. is subject to a mental condition hearing under Chapter 313 of Title 18, U.S.C.;
 - h. is in custody as a material witness;
 - i. is seeking to set aside or vacate a death sentence under §2254 or §2255 of Title 28, U.S.C.;
 - j. is entitled to appointment of counsel in verification of consent proceedings pursuant to a transfer of an offender to or from the United States for the execution of a penal sentence under §4109 of Title 18, U.S.C.;
 - k. is entitled to appointment of counsel under the Sixth Amendment to the Constitution; or

1. faces loss of liberty in a case and federal law requires the appointment of counsel.
2. Discretionary. Whenever a judge or United States magistrate judge determines that the interests of justice so require, representation may be provided for any financially eligible person who:
 - a. is charged with a petty offense (Class B or C misdemeanor, or an infraction), for which a sentence to confinement is authorized;
 - b. is seeking relief, other than to set aside or vacate a death sentence under §2241, §2254, or §2255 of Title 28, U.S.C.;
 - c. is charged with civil or criminal contempt who faces the loss of liberty;
 - d. has been called as a witness before a grand jury, a court, the Congress, or a federal agency or commission which has the power to compel testimony, and there is reason to believe, either prior to or during testimony, that the witness could be subject to a criminal prosecution, a civil or criminal contempt proceeding, or face loss of liberty;
 - e. is proposed by the United States attorney for processing under a pretrial diversion program;
 - f. is held for international extradition under Chapter 209 of Title 18, U.S.C.

Representation may also be furnished for financially eligible persons in ancillary matters appropriate to the proceedings pursuant to subsection C of the *CJA* Plan.

B. When Counsel Shall be Provided.

Counsel shall be provided to eligible persons as soon as feasible after they are taken into custody, when they appear before a judge or magistrate judge, when they are formally charged or notified of charges if formal charges are sealed, or when a judge or magistrate judge otherwise considers appointment of counsel appropriate under the *CJA*, whichever occurs earliest.

C. Number and Qualifications of Counsel.

1. Number. More than one attorney may be appointed in any case determined by the court to be extremely difficult. In a capital case, the following applies:

a. Federal Capital Prosecutions. Pursuant to 18 U.S.C. §3005, a person charged with a capital offense is entitled to the appointment of two attorneys, at least one of whom shall be learned in the law applicable to capital cases. Pursuant to 21 U.S.C. §848(q)(4), if necessary for adequate representation, more than two attorneys may be appointed to represent a defendant in such a case.

b. Habeas Corpus Proceedings. Pursuant to 21 U.S.C. Section 848 (q)(4), a financially eligible person seeking to vacate or set aside a death sentence in proceedings under 28 U.S.C. §2254 or §2255 is entitled to appointment of one or more qualified attorneys. Due to the complex, demanding, and protracted nature of death penalty proceedings, judicial officers should consider appointing at least two counsel.

2. Qualifications. Qualifications for appointed counsel shall be determined by the court. In capital cases, the following also applies:

a. Appointment of Counsel Prior to Judgment. Pursuant to 21 U.S.C. §848 (q)(5), at least one of the attorneys appointed must have been admitted to practice in the court in which the case will be prosecuted for not less than five years, and must have had not less than three years experience in the actual trial of felony prosecutions in that court. Pursuant to 18 U.S.C. §3005, at least one of the attorneys appointed must be knowledgeable in the law applicable to capital cases.

Pursuant to 18 U.S.C. §3005, in appointing counsel in federal capital prosecutions, the court shall consider the recommendation of the Federal Public Defender.

b. Appointment of Counsel After Judgment. Pursuant to 21 U.S.C.

§848(q)(6), at least one of the attorneys appointed must have been admitted to practice in the court of appeals for not less than five years, and must have had not less than three years experience in the handling of appeals in felony cases in the court.

- c. Attorney Qualification Waiver. Pursuant to 21 U.S.C. §848(q)(7), the presiding judicial officer, for good cause, may appoint an attorney who may not qualify under 21 U.S.C. §848(q)(5) or (q)(6), but who has the background, knowledge, and experience necessary to represent the defendant properly in a capital case, giving due consideration to the seriousness of the possible penalty and the unique and complex nature of the litigation.

D. Eligibility for Representation.

1. Factfinding. The determination of eligibility for representation under the *CJA* is a judicial function to be performed by a federal judge or magistrate judge after making appropriate inquiries concerning the person's financial condition.
2. Disclosure of Change in Eligibility. If, at any time after appointment, counsel obtains information that a client is financially able to make payment, in whole or in part, for legal or other services in connection with his or her representation, and the source of the attorney's information is not protected as a privileged communication, counsel shall advise the court.

- E. Use of Financial Information The Government may not use as part of its direct case, other than a prosecution for perjury or false statements, any information provided by a defendant in connection with his or her request for the appointment of counsel pursuant to this Plan.

V. FEDERAL PUBLIC DEFENDER.

1. Establishment.

- a. The Federal Public Defender Office for the Northern District of New York previously established on September 29, 1997, pursuant to the provisions of the *CJA*, is hereby recognized as the Federal Public Defender Organization for this district.
- b. The Federal Public Defender shall be capable of providing legal services throughout the Northern District of New York.

- 2. Supervision of Defender Office.** The Federal Public Defender shall be responsible for the supervision and management of the Federal Public Defender Office. Accordingly, the Federal Public Defender shall be appointed in all cases assigned to that organization for subsequent assignment to staff attorneys at the discretion of the Federal Public Defender.

VI. PRIVATE ATTORNEYS.

- A. Establishment of CJA Panel.** The existing previously established panel of attorneys (*CJA* Panel) who are eligible and willing to be appointed to provide representation under the *CJA* will be considered for membership on the *CJA* Panel.
- B. Organization.** The Plan for the composition, administration, and management of the Panel of private attorneys under the Criminal Justice Act is found at Appendix I of this *CJA* Plan.
- C. Ratio of Appointments.** Where practical and cost effective, private attorneys from the *CJA* Panel shall be appointed in a substantial proportion of the cases in which the accused is determined to be financially eligible for representation under the *CJA*. “Substantial” shall usually be defined as approximately 25% of the appointments under the *CJA* annually throughout the district.

VII. REPRESENTATION IN STATE DEATH PENALTY HABEAS CORPUS PROCEEDINGS UNDER 28 U.S.C. §2254.

The Court shall appoint a member or members of the Special Death Penalty Habeas Corpus Panel, or the Federal Public Defender with his or her consent, or a qualified attorney recommended by the Federal Public Defender, or any other attorney who qualifies for appointment pursuant to §848(q) of Title 21, United States Code to represent financially eligible persons seeking habeas corpus relief in state death penalty proceedings under §2254 of Title 28, United States Code.

VIII. DUTIES OF APPOINTED COUNSEL.

- A. **Standards.** The services to be rendered to a person represented by appointed counsel shall be commensurate with those rendered if counsel were privately employed by the person.
- B. **Professional Conduct.** Attorneys appointed pursuant to the *CJA* shall conform to the highest standards of professional conduct, including but not limited to the provisions of the New York State Lawyer's Code of Professional Responsibilities, as adopted from time to time by the Appellate Divisions of the State of New York, and as interpreted and applied by the United States Court of Appeals for the Second Circuit, and any other standards for professional conduct adopted by this court.
- C. **No Receipt of Other Payment.** Appointed counsel may not require, request, or accept any payment or promise of payment or any other valuable consideration for representation under the appointment, unless such payment is approved by order of the court.
- D. **Continuing Representation.** Once counsel is appointed under the *CJA*, counsel shall continue the representation until the matter, including appeals or review by certiorari (as governed by the circuit *CJA* Plan provisions concerning representation on appeal), is closed; until substitute counsel has filed a notice of appearance; until an order has been entered allowing or requiring the person represented to proceed *pro se*; or until the appointment is terminated by court order.
- E. **Pro Bono Panel.** In recognition of the need for representation of indigent parties in civil actions, this Court has established the Pro Bono Panel of the Northern District of New York. The Panel shall include members of the *CJA* Panel in this Court. Any other attorney admitted to practice in this Court shall also be expected to participate in periodic training as offered by the Court and to accept no more than one Pro Bono assignment per year.

IX. DUTIES OF LAW ENFORCEMENT AND RELATED AGENCIES.

- A. **Presentation of Accused for Appointment of Counsel.** Federal law enforcement and prosecutorial agencies, probation officers, and pretrial services officers in this district, and those acting on their behalf, shall promptly inform any person who is in custody, or who otherwise may be entitled to counsel under the *CJA*, of their right to counsel, prior to any questioning, and that counsel shall be provided without cost if the person is unable to afford counsel. If the person requests counsel, federal law enforcement and prosecutorial agencies are encouraged to inform the person promptly of the existence of the Federal Public Defender Office and how to contact it, regardless of whether the Federal Public Defender may ultimately be appointed in their defense. In instances where the person indicates that he or she is not able to secure private representation, the Federal Public Defender shall be promptly notified.

In such cases in which the person indicates that he or she is not financially able to secure representation, the Federal Public Defender shall discuss with the person the right to representation and right to appointed counsel, and if appointment seems likely, assist in the completion of a financial affidavit (*CJA* Form 23) and arrange to have the person promptly presented before a magistrate judge or judge of this Court for determination of financial eligibility and appointment of counsel. Law enforcement and related agencies must also comply with the provisions of Local Rule 5.1 of the Rules of Criminal Procedure for the Northern District of New York.

- B. Pretrial Services Interview.** This Court recognizes the importance of the advice of counsel for persons subject to proceeding under 18 U.S.C. §3142 et seq., prior to their being interviewed by a pretrial services or probation officer. Accordingly, the United States Attorney shall include notification to the accused with the issuance of any criminal summons or appearance letter of their obligation to contact the Pretrial Services Office for the Northern District of New York at least forty-eight hours prior to their scheduled appearance with the Court to arrange for a pretrial services report to be completed. If the accused does not have retained counsel, the notification shall also include contact information for the office of the Federal Public Defender. Upon execution of an arrest warrant, law enforcement and related agencies shall comply with the requirements set forth in IX A. Early notification to the Federal Public Defender and Pretrial Services office will assist in the furnishing of appointed counsel at this stage of the proceedings to financially eligible defendants, having due regard for the importance of affording the pretrial services officer adequate time to interview the defendant and verify information prior to the initial appearance and bail hearing.
- C. Notice of Indictment or Criminal Information.** Upon the return or unsealing of an indictment, the filing of a criminal information, or the filing of a petition to modify or revoke probation, the United States Attorney shall mail or otherwise deliver a copy of the document to appointed counsel, or to the defendant if he or she is without counsel, at the address shown on defendant's bond papers or to the jail in which the defendant is incarcerated.

X. MISCELLANEOUS.

A. Forms. Standard forms, pertaining to the *CJA* and approved by the Judicial Conference of the United States or its Committee on Defender Services and prescribed and distributed by the Director of the Administrative Office of the United States Courts, shall be used, where applicable, in all proceedings under this Plan.

B. Claims. Claims for compensation of private attorneys providing representation under the *CJA* shall be submitted on the appropriate *CJA* form to the office of the Clerk of the court. That office shall review the claim form for mathematical and technical accuracy, and for conformity with the *CJA Guidelines*, and, if correct, shall forward the claim form for the consideration of the appropriate judge or magistrate judge. The Court may also direct the Office of the Federal Public Defender to review claim forms for mathematical and technical accuracy, and for conformity with the *CJA Guidelines*. The court will exert its best effort to avoid delays in reviewing payment vouchers and in submitting them for further processing.

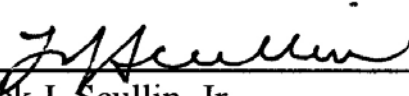
C. Supersession. This Plan supersedes all prior Criminal Justice Act Plans for this court.

XI. Effective Date.

This Plan and Appendix I, the Plan for the composition, administration, and management of the Panel of private attorneys under the *CJA* shall become effective when approved by the Judicial Council of the Second Circuit.

SO ORDERED FOR THE COURT ON

December 2, 2005



Frederick J. Scullin, Jr.

Chief United States District Court Judge

**APPROVED BY THE JUDICIAL COUNCIL FOR THE SECOND CIRCUIT
ON December 12, 2005**

APPENDIX - I

UNITED STATES DISTRICT COURT for the NORTHERN DISTRICT OF NEW YORK

PLAN FOR THE COMPOSITION, ADMINISTRATION AND MANAGEMENT OF THE PANEL OF PRIVATE ATTORNEYS UNDER THE CRIMINAL JUSTICE ACT

I. COMPOSITION OF THE PANEL OF PRIVATE ATTORNEYS.

A. CJA PANEL.

1. Approval. The Court shall establish a panel of private attorneys (hereinafter referred to as the "*CJA* Panel") who are eligible and willing to be appointed to provide representation under the Criminal Justice Act. The Court shall approve attorneys for membership on the panel on a quarterly basis after receiving recommendations from the "Panel Selection Committee," established pursuant to paragraph B of this Plan. Members of the *CJA* Panel shall serve at the pleasure of the Court.
2. Size. The Court shall fix, periodically, the size of the *CJA* Panel. The panel shall be large enough to provide a sufficient number of experienced attorneys to handle the *CJA* caseload, yet small enough so that panel members will receive an adequate number of appointments to maintain their proficiency in federal criminal defense work, and thereby provide a high quality of representation.
3. Eligibility. Attorneys who serve on the *CJA* Panel must be members in good standing of the federal bar of this district, and have demonstrated experience in, and knowledge of, the Federal Rules of Criminal Procedure, the Federal Rules of Evidence, and the Sentencing Guidelines. In addition to the above, attorneys who serve on the *CJA* Panel must attend one *CJA* Training Program at least once every two years.

Subsection (b) of the Act provides, in part, that; Counsel furnishing representation under the plan shall be selected from a panel of attorneys designated or approved by the court, or from a bar association, legal aid agency, or defender organization furnishing representation pursuant to the Plan.

However, when the district judge or magistrate judge presiding over the case, or the chief judge if a district judge or magistrate judge has not yet been assigned to the case, determines that the appointment of an attorney, who is not a member of the *CJA* panel, is in the interest of justice, judicial economy or continuity of representation, or there is some other compelling circumstance warranting his or her appointment, the attorney may be admitted to the *CJA* panel *pro hac vice* and appointed to represent the *CJA* defendant. Consideration for preserving the integrity of the panel selection process suggests that such appointments should be made only

in exceptional circumstances. Further, the attorney, who may or may not maintain an office in the district, should possess such qualities as would qualify him or her for admission to the district's *CJA* panel in the ordinary course of panel selection.

4. Equal Opportunity. All qualified attorneys shall be encouraged to participate in the furnishing of representation in *CJA* cases, without regard to race, color, religion, sex, age, national origin or disabling condition. Notice of the opportunity to apply for membership on the *CJA* Panel shall be provided to attorneys at the time of admission to the bar of this Court. The applications shall also be available at the office of the Clerk and on the Court's Web Page. (www.nynd.uscourts.gov)
5. Terms. *CJA* Panel members shall serve at the pleasure of the court. Members of the panel shall serve continuously until they resign or are removed from the panel.
6. Removal from the Panel. Membership on the *CJA* Panel is a privilege, not a right, which may be terminated at any time by the Board of Judges, as they, in their sole discretion, may determine. The Board of Judges may seek the recommendation of the *CJA* Panel Committee with respect to the removal of existing panel members.
7. Required Training. *CJA* Panel members shall be required to attend one *CJA* training program at least once every two years. The Office of the Federal Public Defender shall sponsor two *CJA* workshops each year. *CJA* Panel members may also satisfy the training requirement by attending a nationally sponsored *CJA* Panel training program. In lieu of attending one of the above mentioned programs, a Panel member may request to have this requirement waived by demonstrating that they have participated in a criminal law seminar of equal quality and length. Requests are to be submitted to the *CJA* Panel Committee in care of the Clerk of Court at the James M. Hanley Federal Building and Courthouse, 100 S. Clinton Street, Syracuse, New York 13261, and shall include the following materials:
 - a) The date, location and length of the program attended;
 - b) The agenda or syllabus of the program attended; and
 - c) The number and type of CLE credit hours earned for attending the program.

Failure to fulfill this training requirement may result in grounds for removal from the *CJA* Panel.

8. Application. Application forms for membership on the *CJA* Panel shall be made available, upon request, by the Clerk of the Court. Completed applications shall be submitted to the Clerk of the Court who will transmit the applications to the Court for review and approval on a quarterly basis. Application forms are also available on the Court's website at www.nynd.uscourts.gov.

B. CJA PANEL COMMITTEE.

1. Membership. A *CJA* Panel Committee shall be established by the Court. The NDNY Committee shall consist of two magistrate judges, the Federal Public Defender, two attorneys from the Syracuse and Albany Divisions, and one from the Binghamton office. The Clerk of Court or Chief Deputy Clerk shall serve as an *ad hoc* member of the Committee to provide administrative support. The Committee shall be chaired by one of the magistrate judges appointed.
2. Duties.
 - a. The Committee shall be responsible for the oversight of the *CJA* Panel and the Criminal Justice Act Plan. At least once annually, the Committee shall review the operation and administration of the panel and make recommendations to the Court as to any necessary changes to the *CJA* Plan. The Committee shall also ascertain the continued availability and willingness of each panel member to accept appointments. The Committee may also make recommendations to the Court with respect to appointment of new panel members or the removal of existing panel members. The Clerk of Court shall provide the Committee with all relevant information concerning the assignment of panel members.
 - b. The Committee shall assist the Court by working with local bar associations regarding recruitment efforts in furtherance of the Equal Opportunity statement in Paragraph I.A.4 of this Plan. The Clerk of Court will assist the Committee by:
 1. Notifying bar associations and advertising in legal journals to solicit participation of qualified practitioners who are female, disabled or a member of some other minority;
 2. Contacting current or former members of the panel, as well as prominent local attorneys to seek recommendations for appointment to the panel of qualified applicants who are female, disabled or a member of some other minority.

C. CJA TRAINING PANEL - 2ND CHAIR PROGRAM.

The Court has established a "*CJA Training Panel - 2nd Chair Program.*" The program has been designed to help educate attorneys who do not yet have the experience required for membership on the *CJA* Panel. Training Panel members should contact the Office of the Federal Public Defender to obtain information on the 2nd Chair Program. Training Panel members are not eligible to receive appointments, and shall not be eligible to receive

compensation for their services in assisting members of the Federal Public Defenders Office or members of the *CJA* Panel. Attorneys participating in the 2nd Chair Program must attend the following regular court proceedings: an initial appearance; a detention hearing; an arraignment; a hearing on a pretrial motion; a change of plea, and a sentencing hearing. In addition to observing these proceedings at the District Court, the candidate must also “demonstrate familiarity with the sentencing guidelines” as defined in the program information provided to candidates by the Office of the Federal Public Defender. Prior service on the *CJA Training Panel - 2nd Chair Program* is not a requirement for membership on the *CJA* Panel, nor will service on the Training Panel guarantee admission of an attorney to the *CJA* Panel.

II SELECTION FOR APPOINTMENT

A. MAINTENANCE OF LIST AND DISTRIBUTION OF CJA APPOINTMENTS.

The Clerk of the Court shall maintain a current list of all attorneys included on the *CJA* Panel, with current office addresses, telephone and fax numbers, e:mail addresses, as well as a statement of qualifications and experience. The Clerk shall furnish a copy of this list to each judge and magistrate judge, the list shall also be made available to the Federal Public Defender. The Clerk shall also maintain a public record of assignments to private counsel, and, when appropriate, statistical data reflecting the proration of appointments between attorneys from the Federal Public Defender Organization and private attorneys, according to the formula described in the *CJA* Plan for the District.

The Clerk of Court shall also maintain a record of each refusal ("pass") by a panel attorney, and the reason for each pass. If the Clerk's Office determines that a panel member has repeatedly passed assignments, the Clerk may refer the name of the attorney to the Court. The Court shall then consider the information provided by the Clerk and make such further inquiry as it deems appropriate.

B. METHOD OF SELECTION.

Appointments from the list of private attorneys should be made on a rotational basis, subject to the Court's discretion to make exceptions due to the nature and complexity of the case, an attorney's experience, and geographical considerations. This procedure should result in a balanced distribution of appointments and compensation among the members of the *CJA* Panel, and quality representation for each *CJA* defendant.

Upon the determination of a need for the appointment of counsel, the judge or magistrate judge shall notify the Clerk of Court, or Federal Public Defender of the need for counsel and the nature of the case.

The Clerk of Court shall advise the judge or magistrate judge as to the status of distribution

of cases, where appropriate, as between the Federal Public Defender and the panel of private attorneys. If the judge or magistrate judge decides to appoint an attorney from the panel, the Clerk shall determine the name of the next panel member on the list who is available for appointment, and shall provide the name to the appointing judge or magistrate judge.

In the event of an emergency, i.e., weekends, holidays, or other non-working hours of the Clerk of Court's office, the presiding judge, or magistrate judge, may appoint any attorney from the list if a member of the Federal Public Defender's Office is not available. In all cases where members of the *CJA* Panel are appointed out of sequence, the appointing judge or magistrate judge shall notify the Clerk of Court, or Federal Public Defender as to the name of the attorney appointed and the date of the appointment.

In the interests of justice, where continuity of representation is a factor or other special circumstances exist, the Court may assign an attorney who is not on the panel. Consideration for preserving the integrity of the panel selection process suggests that such appointments be made only in exceptional circumstances. Further, the attorney, who may or may not maintain an office in the district, should possess such qualities as would qualify him or her for admission to the district's *CJA* panel in the ordinary course. Such attorney if appointed must also follow the appropriate full admission to the bar or pro hac admission requirements of the district.

C. SPECIAL CIRCUMSTANCES.

If after appointment, counsel learns that a client is financially able to pay all or part of the fee for legal representation and the source of the attorney's information is not a privileged communication, counsel shall so advise the presiding judge. The presiding judge will take appropriate action, including but not limited to: permitting assigned counsel to continue to represent the defendant; terminating the appointment of counsel, or ordering any funds available to the party to be paid as provided in 18 U.S.C. section 3006A(f) as the interests of justice may dictate. Any amount paid by the party will be considered by the presiding judge in determining the total compensation allowed to the attorney.

D. INVESTIGATIVE, EXPERT AND OTHER SERVICES.

1. Upon Request. Counsel for a party who is financially unable to obtain investigative, expert or other services necessary for an adequate defense may request such services *ex parte* before a judge or magistrate judge having jurisdiction over the case. Such application shall be heard *in camera* and shall not be revealed without the consent of the defendant. On finding that the services are necessary and that the person is financially unable to afford them, the judge or magistrate judge shall authorize them. An order setting forth the type, purpose, and limitations of such services will be issued by the Court. The judge or magistrate judge may establish a limit on the amount that may be expended or committed for such services within the maximum prescribed by 18 U.S.C. section 3006A(e)(3).

2. Without Prior Request. Counsel appointed pursuant to this Plan may obtain subject to later review, investigative, expert, or other services without prior judicial authorization if they are necessary for an adequate defense. The total cost of services so obtained may not exceed the maximum prescribed by 18 U.S.C. section 3006(A)(e)(2) per individual or corporation providing the services (exclusive of reasonable expenses). However, in the interests of justice and upon finding that timely procurement of necessary services could not await prior authorization, a judge or magistrate judge (in a case entirely disposed of by the magistrate judge) may approve payment for such services after they have been obtained, even if the services exceed the maximum prescribed by 18 U.S.C. section 3006(A)(e)(2).
3. Necessity of Affidavit. Statements made by or on behalf of the party in support of requests for investigative, expert, and other services shall be made or supported by affidavit and filed with the Court *in-camera* for review and consideration.

E. COMPENSATION - FILING OF VOUCHERS.

Claims for compensation shall be submitted on the appropriate *CJA* form accompanied by the *CJA* voucher worksheets to the office of the Clerk of Court. That office shall review the claim form for mathematical and technical accuracy, and for conformity with the *Guidelines for the Administration of the Criminal Justice Act (Volume VII, Guide to Judiciary Policies and Procedures)* and, if correct, shall forward the claim form for the consideration of the appropriate judge or magistrate judge. The Court may also direct the Office of the Federal Public Defender to review claim forms for mathematical and technical accuracy, and for conformity with the *CJA* Guidelines. The court will exert its best effort to avoid delays in reviewing payment vouchers and in submitting them for further processing.

1. Maximum Amounts for Counsel. For representation of a defendant before a magistrate judge or judge of this court, or both, the compensation paid any attorney shall not exceed the maximum prescribed by 18 U.S.C. section 3006A(d)(2).
2. Waiver of Limits on Counsel Fees. Payment in excess of any maximum amount prescribed by 18 U.S.C. section 3006A(d)(2) for counsel fees or for other services may be made for extended or complex representation whenever the judge or magistrate judge (if the representation was entirely before the magistrate judge) certifies that the amount sought is necessary to provide fair compensation and the payment is approved by the Chief Judge of the Second Circuit or such active Circuit Judge to whom the Chief Judge has delegated approval authority. Counsel claiming such excess payment shall submit a detailed memorandum justifying counsel's claim that the representation was in an extended or complex case and that the excess payment is necessary to provide fair compensation.

3. Reduction of *CJA* Payment. In any case where the judge or magistrate judge believes that the claim as submitted should be reduced for reasons other than mathematical or technical errors, the judge or magistrate judge shall notify counsel in writing and afford counsel the opportunity to be heard. Counsel shall be given the opportunity to provide information or documentation relevant to the voucher and questions or concerns raised by the judge or magistrate judge. After review of the submission by the Panel member and the completion of any steps deemed appropriate by the court, the judge or magistrate judge shall make the final decision as to the fee request consistent with this Plan, the *CJA*, and the interests of justice.

Notwithstanding the procedure described above, a judge or magistrate judge may in the first instance, contact counsel to inquire regarding questions or concerns with a claim for compensation. In the event that the matter is resolved to the satisfaction of the judge or magistrate judge and Panel member, the claim for compensation need not go through the formal written submission requirements noted above.

TABLE OF CONTENTS

I. AUTHORITY. 1

II. STATEMENT OF POLICY. 1

 A. Objectives. 1

 B. Compliance. 1

III. DEFINITIONS. 2

IV. PROVISION OF REPRESENTATION. 2

 A. Circumstance. 2

 1. Mandatory. 2

 2. Discretionary. 3

 B. When Counsel Shall be Provided. 4

 C. Number and Qualifications of Counsel. 4

 1. Number. 4

 2. Qualifications (Including Capital Cases). 5

 D. Eligibility for Representation. 5

 1. Fact-Finding. 5

 2. Disclosure of Change in Eligibility. 6

 E. Use of Financial Information. 6

V. FEDERAL PUBLIC DEFENDER. 6

 A. Establishment. 6

 B. Supervision of Defender Organization. 6

VI. PRIVATE ATTORNEYS. 6

 A. Establishment of CJA Panel. 6

 B. Organization. 7

 C. Ratio of Appointments. 7

VII. REPRESENTATION IN STATE DEATH PENALTY HABEAS CORPUS PROCEEDINGS UNDER 28 U.S.C. §2254. 7

VIII. DUTIES OF APPOINTED COUNSEL. 7

 A. Standards. 7

 B. Professional Conduct. 7

TABLE OF CONTENTS

C.	<u>No Receipt of Other Payment.</u>	7
D.	<u>Continuing Representation.</u>	8
E.	<u>Pro Bono Panel.</u>	8
IX.	<u>DUTIES OF LAW ENFORCEMENT AND RELATED AGENCIES.</u>	8
A.	<u>Presentation of Accused for Appointment of Counsel.</u>	8
B.	<u>Pretrial Services Interview</u>	9
C.	<u>Notice of Indictment or Criminal Information.</u>	9
X.	<u>MISCELLANEOUS.</u>	9
A.	<u>Forms</u>	9
B.	<u>Claims</u>	9
C.	<u>Supersession</u>	9
XI.	<u>EFFECTIVE DATE</u>	10

TABLE OF CONTENTS

APPENDIX I

I.	<u>COMPOSITION OF PANEL OF PRIVATE ATTORNEYS</u>	1
A.	<u>CJA PANEL</u>	1
	1. <u>Approval</u>	1
	2. <u>Size</u>	1
	3. <u>Eligibility</u>	1
	4. <u>Equal Opportunity</u>	2
	5. <u>Terms</u>	2
	6. <u>Removal from the Panel</u>	2
	7. <u>Required Training</u>	2
	8. <u>Application</u>	3
B.	<u>CJA PANEL COMMITTEE</u>	3
	1. <u>Membership</u>	3
	2. <u>Duties</u>	3
C.	<u>CJA TRAINING PANEL - 2ND CHAIR PROGRAM</u>	4
II	<u>SELECTION FOR APPOINTMENT</u>	4
A.	<u>Maintenance of List and Distribution of CJA Appointments</u>	4
B.	<u>Method of Selection</u>	5
C.	<u>Special Circumstances</u>	5
D.	<u>Investigative, Expert and Other Services</u>	6
	1. <u>Upon Request</u>	6
	2. <u>Without Prior Request</u>	6
	3. <u>Necessity of Affidavit</u>	6
E.	<u>Compensation - Filing of Vouchers</u>	6
	1. <u>Maximum Amounts for Counsel</u>	7
	2. <u>Waiver of Limits on Counsel Fees</u>	7
	3. <u>Reduction of CJA Payment</u>	7