

UNITED STATES COURT OF APPEALS FOR THE THIRD CIRCUIT

GUIDELINES FOR COMPLETING CJA FORM 20/30

PHILOSOPHY OF THE ACT:

The underlying philosophy of the Act, 28 U.S.C. § 3006A et seq., is that attorneys as members of the bar of the Court owe a responsibility to represent persons financially unable to obtain adequate representation. LAR Misc. 109.1 provides, “Trial counsel in criminal cases, whether retained or appointed, are expected to continue on appeal absent extraordinary circumstances.” The rates specified by the Act are the maximum rates allowable and counsel should not expect to receive compensation which equates to private counsel fees.

ATTORNEY REPRESENTATION:

An attorney's representation commences from the date of appointment until the termination of the appeal or until he or she is relieved from court appointment by order of this Court. Motions to withdraw will not be granted absent extraordinary circumstances. If after diligent search of the trial record for appealable issues, counsel is convinced that the appeal presents no issue of even arguable merit, counsel may file a motion to withdraw and supporting brief pursuant to Anders v. California, 386 U.S. 738 (1967). LAR Misc. 109.2(a). The Anders brief must be served upon the appellant and the United States.

An Anders brief must provide “sufficient indicia that counsel has explored all possible issues for appeal.” United States v. Marvin, 211 F.3d 778, 781 (3d Cir. 2000). The brief must also explain why possible issues are frivolous. Counsel must insure that an adequate appendix, including transcripts and presentence report if applicable, is filed. Id. Briefs in which “counsel argue the purportedly frivolous issues aggressively without explaining the faults in the arguments,” as well as those in which the court is “not satisfied that counsel adequately attempted to uncover the best arguments for his or her client” will be rejected. The motion to withdraw will be denied and counsel will be directed to file a new brief. Id. at 781-2.

As noted in Fed. R. App. P. 35, in banc hearing or rehearing of appeals is not favored. Counsel has a duty to the Court commensurate with that owed his or her client to read with attention and observe with restraint the Required Statement for Rehearing in Banc set forth in 3rd Cir. LAR 35.1. Counsel is reminded that in every case the duty of counsel is fully discharged without filing a suggestion for rehearing in banc unless the case meets the rigorous requirements of Fed. R. App. P. 35 and 3rd Cir. LAR 35.1. If the person for whom the attorney is appointed requests a petition for rehearing, but the attorney is of the position that the case does not meet the rigorous requirements of Fed. R. App. P. 35 AND 3rd Cir. LAR 35.1., counsel should file a petition for leave to withdraw, with notice to the appellant that he or she may file a pro se petition for rehearing and the deadline for doing so. See, United States v. Coney, 120 F. 3d 26 (3d Cir. 1997). In the event that the deadline for filing a petition for rehearing has passed or will expire shortly, counsel may ask that the time be extended for the pro se appellant in counsel's motion to withdraw.

If, after an adverse decision by the Court of Appeals, a review by the Supreme Court of the United States is to be sought, the appointed attorney **shall** if requested to do so after communication with the person for whom the attorney is appointed, prepare a Petition for Writ of

Certiorari and other necessary and appropriate documents in connection therewith. However, if the attorney in his or her professional opinion determines that no issues are present which warrant the filing of a Petition for Writ of Certiorari in the United States Supreme Court, counsel shall promptly file with the Court of Appeals a motion stating that opinion with particularity and requesting leave to withdraw with notice to the appellant that he or she may file a pro se petition for writ of certiorari and the deadline for doing so. See Austin v. United States, 513 U.S. 5, 115 S. Ct. 380 (1994). See also 3rd Cir. LAR Misc. 109.2(b). Counsel shall promptly file such motion keeping in mind the deadlines for filing Petitions for Writ of Certiorari so as not to impede the litigant's ability to file in a timely manner a Petition for Writ of Certiorari pro se.

TIME LIMIT FOR FILING VOUCHER:

When a Petition for Certiorari will not be filed, the voucher **must** be filed with the Clerk **within 45 days** after the final decision of the Court of Appeals. No voucher will be accepted after these time periods without permission to file out-of-time. See 3rd Cir. LAR Misc. 108.3. A decision is final at the time the judgment is entered unless a petition for rehearing is filed by counsel.

When a Petition for Writ of Certiorari is filed, the voucher together with supporting documents **must** be filed with the Clerk of this Court **within 45 days** after the petition is filed with the Clerk of the Supreme Court of the United States.

Counsel must advise the Clerk's Office in writing at the time that the voucher is filed:

- (a) **A Petition for Writ of Certiorari will not be filed as the person for whom the attorney is appointed does not wish to file a Petition with the United States Supreme Court. (Please note Paragraph 2 - Attorney Representation, supra;**
- (b) **The party for whom the attorney is appointed has requested that a Petition for Writ of Certiorari be filed but that the attorney in his or her professional opinion has determined that no issues are present which warrant the filing of a Petition for Writ of Certiorari in the United States Supreme Court and that counsel has filed with the Court of Appeals a motion stating that opinion with particularity and requesting leave to withdraw. See Austin v. United States, 513 U.S. 5, 115 S. Ct. 380 (1994). See also 3rd Cir. LAR Misc. 109.2(b); or**
- (c) **A Petition for Writ of Certiorari has been filed with the Supreme Court of the United States and the date that such Petition was filed.**

RECORD KEEPING:

Appointed counsel must maintain contemporaneous time and attendance records for all work performed, including work performed by associates, partners, and support staff, as well as expense records. Such records, which may be subject to audit, must be retained for three years after approval of the final voucher for an appointment.

VOUCHER PREPARATION:

Vouchers and accompanying detailed supporting information **must be typed or printed legibly**. Illegible vouchers and/or supporting information will be returned. Mathematical errors delay voucher processing. Vouchers lacking either completion of the certification of attorney/payee section or the signature will be returned and vouchers lacking copies of receipted invoices for claims over \$50.00 will not be processed until counsel complies with these instructions.

Vouchers and the supporting documentation are to be submitted to the Clerk's office in hard copy. Vouchers should not be filed through the Court's ECF system.

PUBLIC DISCLOSURE OF VOUCHER INFORMATION:

Title 18 U.S.C. §3006A(d)(4) and (e)(4) requires public disclosure of the amounts paid for representation and other services. Section 3006A(d)(4)(C) requires unless the Court has determined certain interests which warrant limitation are implicated, disclosure of the form CJA 20/30 but not the supporting information and attachments.

The Clerk's Office now maintains all financial information in a separate file. Under the new procedures a copy of the voucher must be made available to the public. The Clerk's Office will not release the supporting documents. If you desire to limit access to the voucher for any of the reasons stated in 18 U.S.C. §3006A(d)(4)(D), you must file a motion in advance of or together with your voucher in this case stating how the interests set forth in subparagraph (D) are implicated. This matter will be handled ex parte in the first instance. The motion is to be filed in hard copy and not through the Court's ECF system. For practical purposes, if you file a motion to have only certain portions of the voucher available for public access, and the Court grants your motion, the Clerk's Office will prepare a substitute CJA form 20/30 which summarizes the information which will be accessible to the public. A certified copy will be filed in the case which is open to public inspection, and a copy will be sent to you. If no such motion is filed, a copy of the original approved voucher will be subject to public inspection.

INTERIM PAYMENTS OF REPRODUCTION EXPENSES:

Counsel seeking any interim payment including reimbursement for brief and appendix reproduction costs prior to the termination of representation, must first seek court approval by motion. The motion must contain an itemized estimate of the reproduction costs broken down into estimated costs for actual reproduction (copying), collating, covers, binding and delivery, if any. The motion must also contain the reason why counsel cannot wait until the termination of the appeal to claim such costs. No interim payment vouchers will be processed for payment without court approval.

REIMBURSEMENT FOR ATTORNEY TIME:

Court-appointed counsel may claim compensation for appellate work including any work performed in connection with the preparation and filing of a Petition for Writ of Certiorari as well as any related expenses. However, counsel should not expect to receive excess compensation *if* the case has not been determined to be extended (if more time is reasonably required for total processing than the average case, including pre-trial and post-trial hearings) or complex (if the legal or factual issues in a case are unusual, thus requiring the expenditure of more time, skill and effort by the attorney than would normally be required in an average case). Determination as to whether a case is extended or complex is made by the voucher approving judge who authored the decision in the appeal.

Time expended by law clerks or paralegals employed by counsel may be claimed as compensation but at rates less than those paid to appointed counsel.

Non-Capital Hourly Compensation Rates	
If services were performed between ...	The hourly rate maximum is ...
January 1, 2016 to present	\ \$129.00
January 1, 2015 to December 31, 2015	\$127.00
March 1, 2014 to December 31, 2014	\$126.00
September 1, 2013 through February 28, 2014	\$110.00
January 1, 2010 to August 31, 2013	\$125.00

Capital Hourly Compensation Rates	
If services were performed between ...	The hourly rate maximum is ...
January 1, 2016 to present	\ \$183.00
January 1, 2015 to December 31, 2015	\$181.00
March 1, 2014 to December 31, 2014	\$180.00
September 1, 2013 through February 28, 2014	\$163.00
January 1, 2010 to August 31, 2013	\$178.00

Detailed Supporting Information

This is a chronological breakdown of hours expended for "Out of Court" work. Each of the categories for which a claim is made must be broken down by date, description of work performed and hours spent on each date.

EXCESS COMPENSATION:

In any case in which the total compensation claimed is in **excess of the statutory case compensation maximum**, counsel shall submit with the voucher a statement justifying counsel's claim that excess compensation is necessary to provide fair compensation as the case involved extended or complex representation.

STATUTORY MAXIMUMS				
If a case is ...	And services were completed ...			
	On or after January 1, 2010 and before March 1, 2014, the maximum is ...	On or after March 1, 2014 and before January 1, 2015, the case maximum is ...	On January 1, 2015 and before January 1, 2016, the case maximum is ...	On or after January 1, 2016, the case maximum is ...
Appeal (from felony, misdemeanor, proceeding under 18 U.S.C. §4106A, 18 U.S.C. §983, post-conviction proceeding under 18 U.S.C §§ 2241, 2254 or 2255, and 28 U.S.C. §1875)	\$6,900	\$7,000	\$7,100	\$7,200
Other representation required or authorized by the CJA (including but not limited to probation, supervised release hearing, material witness, grand jury witness)	\$2,100	\$2,100	\$2,100	\$2,100
Appeal of other representation	\$2,100	\$2,100	\$2,100	\$2,100

REIMBURSEMENT FOR EXPENSES:

Any individual expense item claim which is over \$50.00, **must** be accompanied by a copy of the invoice with a notation of payment and check number noted if applicable. "In house" copying is the only exception. See "Briefs" under expenses.

Following are categories of expenses for which you will be reimbursed.

**ALL CATEGORIES MUST BE CLEARLY AND SEPARATELY ITEMIZED.
DO NOT COMBINE CATEGORIES.**

You must prorate among the defendants time and expenses spent when visiting multiple incarcerated defendants at the same location.

Travel (Attorney Travel)

Travel expenses and other expenses reasonably incurred and necessary for adequate representation on appeal including travel expenses to and from court for presentation of oral argument may be claimed. Travel must be accomplished by the most economical means possible. Bridge, roads and tunnel tolls may be claimed as well as parking fees.

Air Travel - Court-appointed counsel are encouraged to obtain more favorable Government contract travel rates. This applies only to airfare for travel to and from oral arguments before this Court and court-approved visits to incarcerated clients, if travel requires air transportation.

Contact this office at (267-299-4908) for further details and instructions.

Travel by Privately-Owned Automobile - the mileage rates corresponding to the time of travel may be found at http://jnet.ao.dcn/Travel/Mileage_Rates.html

Travel (To Visit Incarcerated Clients)

Travel to visit incarcerated clients **may be claimed only if prior court approval has been secured.** Prior approval is sought by filing a motion which must contain an estimate of the most economical method of travel. The motion must state the purpose, destination, estimated expense(s) of and justification for such additional travel, explaining why it is reasonable and necessary to meet with his or her incarcerated client. Motion should be filed through the Court's ECF system.

Meals and Lodgings

The CJA provides for reimbursement of expenses actually incurred. Counsel's expenses for meals and lodging incurred in the representation of the defendant would constitute reimbursable "out-of-pocket" expenses. In determining whether actual expenses incurred are "reasonable," expenses should not exceed the per diem rates applicable to federal judiciary employees for the particular local where counsel is traveling. Documentation for meals over \$50.00 and lodging is required. Counsel should attach receipts for meals which exceed \$50.00 and a copy of the hotel bill to the voucher.

Briefs and Appendices

The cost of **photocopying** appellate briefs and reply briefs, if any, as well as the appendix may be claimed as an expense. Costs are not reimbursable for brief and appendices produced by typeset or offset method. Photocopying by outside establishments must be supported by an *itemized* bill copy. If photocopying is done "*in house*," then court-appointed counsel must certify the itemization.

Itemization of photocopying costs claimed must be broken down into the following categories: a) number of documents copied; b) number of pages per copy; c) cost per page (limited to 10 cents per page - See LAR 39.3(c)(2)); d) cost, if any, for covers (limited to \$2.00); e) cost, if any, for binding (limited to \$4.00 per copy); and *reasonable* delivery charges, if any. **Delivery charges to and from an outside photocopying establishment will not be reimbursed to counsel.**

Number of Copies

Seven (7) copies of brief and reply brief, if any, must be filed with the Clerk of Court. Along with the hard copies of the brief required for the Court, an electronic version must be filed. The electronic version is the official filed version for the Court's records. An additional five (5) copies may be claimed as an expense (two for service on opposing counsel if hard copies are actually served on opposing counsel, one for service on the client, one file copy if actually produced and one extra copy if needed). If opposing counsel is served via ECF and not by hard copy additional copies for opposing counsel may not be claimed.

Unless otherwise ordered, four (4) copies of the appendix must be filed if counsel represents the appellant. An additional four (4) copies of the appendix may be claimed as an expense (one for service on opposing counsel if a hard copy is actually served on opposing counsel, one for service on the client, one file copy if actually produced and one extra copy if needed). Note the following sections relating to the appendix.

Appendix (Contents and Shared Costs)

Only those documents necessary for the determination of the issues presented on appeal shall be included in the appendix. Reproduction of the entire transcript is unnecessary and shall be avoided. However, there may be instances when the sufficiency of the evidence to convict is challenged that require reproduction of most or the entire transcript. See Fed. R. App. P. 30(b). Court-appointed counsel in multiple consolidated appeals are encouraged to prepare and file one joint appendix covering those appeals. Thus the costs for the joint appendix must be shared by counsel. If not shared, only the attorney responsible for filing the joint appendix may claim appendix costs.

Telephone

Telephone toll calls may be reimbursed where it is determined that the calls were reasonable and necessary for proper handling of the case. Requests for reimbursement of such expenses should be submitted in the form of an itemized list indicating the date of each call, the charge for the call and the purpose of the call.

Computer Assisted Legal Research (CALR)

The cost of use of computer assisted legal research by court-appointed counsel may be claimed as an expense provided that the total amount of this item expense does not exceed the total amount approved if counsel had manually performed the research. Whenever counsel wishes to claim this expense item, a separate document containing the following must be attached to the voucher:

- (1) A brief statement indicating the issue or issues that were the subject matter of the research.
- (2) An estimate of the number of hours of attorney time that would have been needed to perform manual research.
- (3) A copy of the bill and receipt for use of the CALR or an explanation of the precise basis of the charge (e.g. indicating the extent to which it was derived by proration of monthly charges, or by charges identifiable to the specific research).

Postage and Other Delivery Charges

Postage is considered a reimbursable expense. Express delivery charges will be allowed on rare occasions. Reimbursement of express delivery is limited to situations where there is a demonstrable, emergency need because counsel will be asked to support an inclusion of such expenses in certain cases. Dilatory conduct of counsel is not a justifiable reason for reimbursing such special services. Also, if an amount for any one category exceeds \$50.00, documentation in the form of receipted invoices **must** be provided. Court-appointed counsel will not be reimbursed for delivery charges of brief and appendix drafts to outside establishments.

EXPENSES NOT COVERED:

Printing

Printing of briefs (either by Standard Typographic Printing or Offset Printing) cannot be claimed and **will not be reimbursed**. Only **photocopying** expenses (limited to 10 cents per page) will be reimbursed.

General Office Overhead

General Office Overhead may not be claimed as an expense. This would include but, is not limited to personnel costs, rent, telephone service and secretarial help (whether regularly or specially employed, performing normal, overtime, or supplemental work, even if counsel has no regularly employed secretary).

Fees

Filing fees are not required because the client is a pauper and counsel should not advance and pay these fees. Any fees so advanced and paid will not be reimbursed under the Act. Admission fees for either this Court or the Supreme Court of the United States will not be reimbursed. Petition for Writ of Certiorari should be accompanied by a Petition for Leave to Proceed in Forma Pauperis.

Transcripts

Payment for transcripts under the Criminal Justice act is the responsibility of the government; therefore, as with filing fees, counsel should not pay for this expense. Counsel should file a CJA Form 24 with the appointing court in order to obtain transcripts. Don't purchase more than one transcript from the court reporter in multi-defendant cases involving CJA defendants. (Necessary duplicates should be obtained at a reasonable copying cost.) Court Reporters should seek payment for transcript production also on the CJA Form 24.

COURT REDUCTION OF VOUCHER

The Guide to Judiciary Policies and Procedures Volume 7, Chapter II, Section 2.22 has been amended to provide counsel notice when the Court reduces the amount claimed and to permit counsel an opportunity to respond. The Guide now directs that:

If the court determines that a claim should be reduced, appointed counsel should be provided (a) prior notice of the proposed reduction with a brief statement of the reason(s) for it, and (b) an opportunity to address the matter. However, notice need not be given to appointed counsel where the reduction is based on mathematical or technical errors.

If the Court believes that the voucher should be reduced, the Clerk's Office will then issue a notice to counsel. The notice will set forth the intended reduction, summarize the basis for the reduction, and inform counsel that an objection may be filed within 10 days from the date of the notice. If counsel submits an objection, the objection will be forwarded to the Court.

Questions concerning completion of the CJA Form 20/30 which are not answered in these Instructions should be addressed to the Clerk's Office CJA Voucher Processing Deputy at Telephone No. (267-299-4908).

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