

# **How to Apply to be a U.S. Magistrate Judge**

## **Written Materials**

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UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF CALIFORNIA

In the matter of )  
 )  
APPOINTMENT OF FULL-TIME )  
UNITED STATES MAGISTRATE )  
JUDGE )  
\_\_\_\_\_ )

General Order No. 735

The Court is considering the appointment of one full-time United States Magistrate Judge, for a period of eight (8) years, due to Magistrate Judge Linda Lopez being confirmed as a District Judge. For that purpose, the attached public notice will be published in the San Diego Union Tribune, a general local newspaper. Notice will also be published on the Court’s website and distributed to the bar through CM/ECF.

In accordance with the requirements of § 420.30 *et seq.* of the Guide to Judiciary Policy’s Chapter on the Selection, Appointment, and Reappointment of Magistrate Judges, the Court appoints the following persons to serve as a Merit Selection Panel:

- Nadia Bermudez, Chair
- George Aguilar
- Ben Cheeks
- Carol Lam
- Joe Leventhal
- Shireen Matthews
- Michele A. McKenzie
- Hon. Amalia L. Meza (Ret.)
- Andrew Nietor
- Jay Campbell (Non-Lawyer)
- Rudy Johnson (Non-Lawyer)

All of the Merit Selection Panel members have received written notice of the restriction in § 420.30.20(d) of the Guide to Judiciary Policy's Chapter on the Selection, Appointment, and Reappointment of Magistrate Judges, which states the following:

(d) Restriction on Merit Selection Panel Members

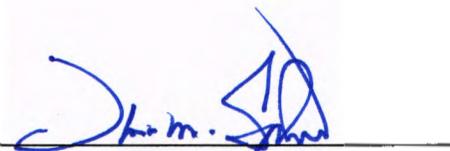
- (1) In order for a former merit selection panel member to be considered for a magistrate judge position, one year must have elapsed between the application deadline for the position and the earlier of:
  - (A) The date when the panel on which the former member served submitted its report to the court, or
  - (B) The date when the former member resigned from the panel.
- (2) This restriction applies to a former member of a merit selection panel for the appointment or reappointment of a U.S. magistrate judge.
- (3) The Judicial Conference Committee on the Administration of the Magistrate Judges System (Magistrate Judges Committee) is authorized to grant waivers to this provision on an individual case basis.
  - (A) Requests for waivers should be submitted to the Magistrate Judges Committee by the chair of the merit selection panel that is recommending candidates for the magistrate judge position for which the former panel member seeks to apply.
  - (B) In its evaluation of a request for a waiver, the Magistrate Judges Committee may consider any factor it deems relevant, including, but not limited to:
    - (i) the foreseeability of a subsequent magistrate judge position at the time of the former merit selection panel member's service on the panel;

- (ii) the size of the applicant pool for the subsequent position;
- (iii) whether the panel member served on a standing panel;
- (iv) whether a waiver would advance the goal of achieving diversity in the applicant pool; and
- (v) any geographical concerns.

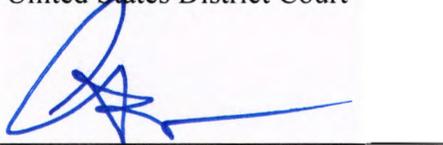
The Merit Selection Panel will review the applicants' experience, comments from members of the bar and the public, and other evidence of the applicants' good character, ability, and commitment to equal justice under the law. The Merit Selection Panel will provide to the Court in confidence, on or before April 1, 2022, a report containing the names of the five (5) best qualified applicants.

**IT IS SO ORDERED.**

Dated: 12/21/2021



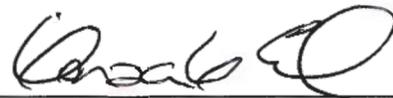
DANA M. SABRAW,  
Chief Judge  
United States District Court



CATHY ANN BENCIVENGO, Judge  
United States District Court

*see attached*

JANIS L. SAMMARTINO, Judge  
United States District Court



GONZALO P. CURIEL, Judge  
United States District Court

SEE ATTACHED

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CYNTHIA BASHANT, Judge  
United States District Court

SEE ATTACHED

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MARILYN L. HUFF, Judge  
United States District Court

SEE ATTACHED

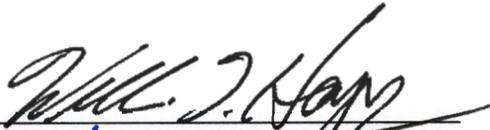
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JEFFREY T. MILLER, Judge  
United States District Court

SEE ATTACHED

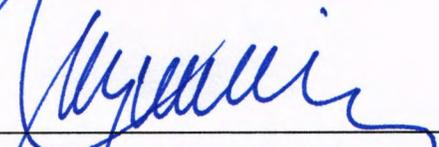
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M. JAMES LORENZ, Judge  
United States District Court



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WILLIAM Q. HAYES, Judge  
United States District Court



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ROGER T. BENITEZ, Judge  
United States District Court



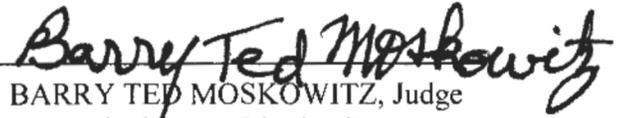
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ANTHONY J. BATTAGLIA, Judge  
United States District Court



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TODD W. ROBINSON, Judge  
United States District Court



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BARRY TED MOSKOWITZ, Judge  
United States District Court



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THOMAS J. WHELAN, Judge  
United States District Court

SEE ATTACHED

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LARRY ALAN BURNS, Judge  
United States District Court



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JOHN A. HOUSTON, Judge  
United States District Court

*see attached*

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MICHAEL M. ANELLO, Judge  
United States District Court

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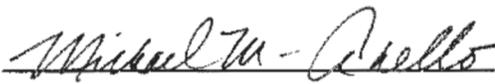
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JOHN A. HOUSTON, Judge  
United States District Court

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ROGER T. BENITEZ, Judge  
United States District Court

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MICHAEL M. ANELLO, Judge  
United States District Court

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ANTHONY J. BATTAGLIA, Judge  
United States District Court

*Cynthia Bashant*

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United States District Court

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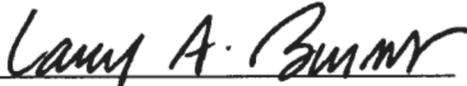
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THOMAS J. WHELAN, Judge  
United States District Court

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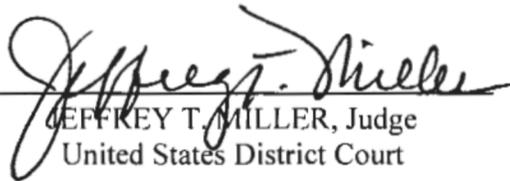
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United States District Court

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United States District Court

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MICHAEL M. ANELLO, Judge  
United States District Court

- (ii) the size of the applicant pool for the subsequent position;
- (iii) whether the panel member served on a standing panel;
- (iv) whether a waiver would advance the goal of achieving diversity in the applicant pool; and
- (v) any geographical concerns.

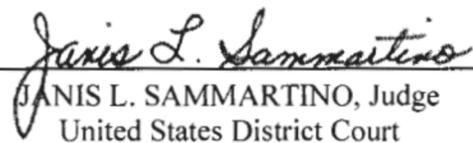
The Merit Selection Panel will review the applicants' experience, comments from members of the bar and the public, and other evidence of the applicants' good character, ability, and commitment to equal justice under the law. The Merit Selection Panel will provide to the Court in confidence, on or before April 1, 2022, a report containing the names of the five (5) best qualified applicants.

**IT IS SO ORDERED.**

Dated: \_\_\_\_\_

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DANA M. SABRAW,  
Chief Judge  
United States District Court

  
JANIS L. SAMMARTINO, Judge  
United States District Court

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CATHY ANN BENCIVENGO, Judge  
United States District Court

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GONZALO P. CURIEL, Judge  
United States District Court

## **PUBLIC NOTICE**

### **UNITED STATES DISTRICT COURT SOUTHERN DISTRICT OF CALIFORNIA**

The United States District Court for the Southern District of California is considering the appointment of one full-time United States Magistrate Judge, due to Magistrate Judge Linda Lopez being confirmed as a District Judge. This position will be based primarily in San Diego, California. The Southern District of California includes both San Diego and Imperial Counties. The duties of the position are demanding and wide-ranging.

The basic jurisdiction of the United States Magistrate Judge is set forth in 28 U.S.C. § 636. To be qualified for appointment, the applicant must:

- (1) Be, and have been for at least five years, a member in good standing of the bar of the highest court of a State, the District of Columbia, the Commonwealth of Puerto Rico, the Territory of Guam, the Commonwealth of the Northern Mariana Islands, or the United States Virgin Islands.
- (2) Have been engaged in the active practice of law for a period of at least five years. The court may consider as substitute experience for the active practice of law the following, including any combination thereof:
  - (a) Judge of a state court of record or other state judicial officer.
  - (b) U.S. magistrate judge, bankruptcy judge, or other federal judicial officer.
  - (c) Attorney for federal or state agencies.
  - (d) No more than two years as a law clerk to any judge or judicial officer or as a staff attorney or pro se law clerk in a court.
  - (e) Other types of substantial legal experience (subsequent to receipt of a law degree or license to practice law), not included in subparagraphs (a) through (d) above, which is suitable as a substitute in the opinion of the majority of the court.

- (3) Be competent to perform the duties of the office, of good moral character, emotionally stable and mature, committed to equal justice under the law, in good health, patient, courteous, and capable of deliberation and decisiveness when required to act on his or her own reason and judgment.
- (4) Not be related by blood or marriage to a judge of the appointing court or courts, within the degrees specified in 28 U.S.C. § 458, at the time of the initial appointment.
- (5) Not be seventy (70) years of age or older.

These qualifications are set forth in 28 U.S.C. § 631 and in § 420.10 *et seq.* of the Guide to Judiciary Policy's Chapter on the Selection, Appointment, and Reappointment of Magistrate Judges.

A Merit Selection Panel composed of attorneys and other members of the community will review the applicants and recommend to the District Judges in confidence the five (5) persons it considers best qualified for the position. The Court will make the appointment following an FBI full-field background investigation and an IRS tax check of the appointee and the Court's review and approval of the background checks. The individual selected must comply with the financial disclosure requirements pursuant to the Ethics in Government Act of 1978, Pub. L. No. 95-521, 90 Stat. 1824 (1978) (codified at 5 U.S.C. app. 4 §§ 101-111) as implemented by the Judicial Conference of the United States. The present annual salary of the position is \$201,112, subject to periodic cost of living adjustments if authorized by law. The appointment is for a term of eight (8) years.

The application form and further information on the Magistrate Judge position may be obtained from the Court's website: [www.casd.uscourts.gov](http://www.casd.uscourts.gov). **An original and eleven (11) copies of the application must be received no later than February 4, 2022.** Applications must be submitted only by applicants personally and should be addressed to John Morrill, Clerk of Court, United States District Court, 333 West Broadway, Suite 420, San Diego, CA 92101. Applications may also be personally delivered to 333 West Broadway, Suite 420, San Diego, CA 92101. Packages enclosing the application must be marked "Magistrate Judge Application."

Dated: December 20, 2021

## **PUBLIC NOTICE**

### **UNITED STATES DISTRICT COURT SOUTHERN DISTRICT OF CALIFORNIA**

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- (2) Have been engaged in the active practice of law for a period of at least five years. The court may consider as substitute experience for the active practice of law the following, including any combination thereof:
  - (a) Judge of a state court of record or other state judicial officer.
  - (b) U.S. magistrate judge, bankruptcy judge, or other federal judicial officer.
  - (c) Attorney for federal or state agencies.
  - (d) No more than two years as a law clerk to any judge or judicial officer or as a staff attorney or pro se law clerk in a court.
  - (e) Other types of substantial legal experience (subsequent to receipt of a law degree or license to practice law), not included in subparagraphs (a) through (d) above, which is suitable as a substitute in the opinion of the majority of the court.

- (3) Be competent to perform the duties of the office, of good moral character, emotionally stable and mature, committed to equal justice under the law, in good health, patient, courteous, and capable of deliberation and decisiveness when required to act on his or her own reason and judgment.
- (4) Not be related by blood or marriage to a judge of the appointing court or courts, within the degrees specified in 28 U.S.C. § 458, at the time of the initial appointment.
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These qualifications are set forth in 28 U.S.C. § 631 and in § 420.10 *et seq.* of the Guide to Judiciary Policy's Chapter on the Selection, Appointment, and Reappointment of Magistrate Judges.

A Merit Selection Panel composed of attorneys and other members of the community will review the applicants and recommend to the District Judges in confidence the five (5) persons it considers best qualified for the position. The Court will make the appointment following an FBI full-field background investigation and an IRS tax check of the appointee and the Court's review and approval of the background checks. The individual selected must comply with the financial disclosure requirements pursuant to the Ethics in Government Act of 1978, Pub. L. No. 95-521, 90 Stat. 1824 (1978) (codified at 5 U.S.C. app. 4 §§ 101-111) as implemented by the Judicial Conference of the United States. The present annual salary of the position is \$201,112, subject to periodic cost of living adjustments if authorized by law. The appointment is for a term of eight (8) years.

The application form and further information on the Magistrate Judge position may be obtained from the Court's website: [www.casd.uscourts.gov](http://www.casd.uscourts.gov). **An original and eleven (11) copies of the application must be received no later than February 4, 2022.** Applications must be submitted only by applicants personally and should be addressed to John Morrill, Clerk of Court, United States District Court, 333 West Broadway, Suite 420, San Diego, CA 92101. Applications may also be personally delivered to 333 West Broadway, Suite 420, San Diego, CA 92101. Packages enclosing the application must be marked "Magistrate Judge Application."

Dated: December 20, 2021

## PUBLIC NOTICE

### UNITED STATES DISTRICT COURT SOUTHERN DISTRICT OF CALIFORNIA

The Judicial Conference of the United States has authorized the appointment of one full-time United States Magistrate Judge for the Southern District of California. This position will be based primarily in San Diego, California.

The present annual salary of the position is \$201,112, subject to periodic cost of living adjustments if authorized by law. The appointment is for a term of eight (8) years.

A full public notice for the Magistrate Judge position is posted in the Office of the Clerk of the United States District Court at 333 West Broadway, Suite 420, San Diego, CA 92101. The notice is also available on the Court's website: [www.casd.uscourts.gov](http://www.casd.uscourts.gov).

**An original and eleven (11) copies of the application must be received no later than February 4, 2022.** Applications must be submitted only by applicants personally and should be addressed to John Morrill, Clerk of Court, United States District Court, 333 West Broadway, Suite 420, San Diego, CA 92101. Applications may also be personally delivered to 333 West Broadway, Suite 420, San Diego, CA 92101. Packages enclosing the application must be marked "Magistrate Judge Application."

Dated: December 20, 2021

# MEMORANDUM TO MAGISTRATE JUDGE APPLICANT

Magistrate Judge Applicant:

The complete application form for the Magistrate Judge position in San Diego, California is available on the Court's website at [casd.uscourts.gov](http://casd.uscourts.gov). The United States District Court for the Southern District of California is considering the appointment of one full-time United States Magistrate Judge due to Magistrate Judge Linda Lopez being confirmed as a District Judge. The deadline for submission of applications is **February 4, 2022**. This is a full-time position, with a present salary of \$201,112. The duties of the Magistrate Judge are to be performed primarily in San Diego, but the Southern District of California includes both San Diego and Imperial Counties.

This memo briefly covers three items: (1) a description of the position; (2) minimum qualifications for the position; and (3) an overview of the selection process. An original and eleven (11) copies of the application must be **received** by **February 4, 2022**. Applications must be submitted only by applicants personally and should be addressed to John Morrill, Clerk of Court, United States District Court, 333 West Broadway, Suite 420, San Diego, CA 92101. Applications may also be personally delivered to 333 West Broadway, Suite 420, San Diego, CA 92101. Packages enclosing the application must be marked "Magistrate Judge Application."

## 1. **Job Description**

A person appointed to the eight-year term as a full-time Magistrate Judge must be able to perform a wide variety of functions including both civil and criminal case responsibilities.

The primary criminal duties include initial probable cause determinations on any complaint, information, search, seizure or arrest warrant, and handling initial appearances, including but not limited to, arraignment, bail and detention hearings, and appointment of counsel. Magistrate Judges handle misdemeanor cases through plea, trial and post-trial motions. Magistrate Judges may also handle felony pleas on report and recommendation.

The primary civil duties encompass full case management including but not limited to early neutral evaluations, additional meetings with parties and counsel, settlement conferences, discovery supervision, and motions and case scheduling. By consent or reference, Magistrate Judges also handle dispositive matters such as motions to dismiss and for summary judgment. On consent of the parties, Magistrate Judges may handle civil cases through trial, judgment, and post-trial motions.

The statutory duties of a Magistrate Judge are set forth in 28 U.S.C. § 636. In addition, it is anticipated that the duties of the Magistrate Judge will cover any matter as permitted by law and at the request of the District Judges. Therefore, experience in both criminal and civil law may be helpful to discharge the responsibilities for the position. The Court, however, may select an individual with only civil or criminal experience.

## 2. Minimum Qualifications

The applicant must:

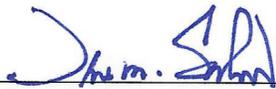
- a. Be, and have been for at least five years, a member in good standing of the bar of the highest court of a State, the District of Columbia, the Commonwealth of Puerto Rico, the Territory of Guam, the Commonwealth of the Northern Mariana Islands, or the United States Virgin Islands.
- b. Have been engaged in the active practice of law for a period of at least five years. The court may consider as substitute experience for the active practice of law the following, including any combination thereof:
  - (i) Judge of a state court of record or other state judicial officer.
  - (ii) U.S. magistrate judge, bankruptcy judge, or other federal judicial officer.
  - (iii) Attorney for federal or state agencies.
  - (iv) No more than two years as a law clerk to any judge or judicial officer or as a staff attorney or pro se law clerk in a court.
  - (v) Other types of substantial legal experience (subsequent to receipt of a law degree or license to practice law), not included in subparagraphs (i) through (iv) above, which is suitable as a substitute in the opinion of the majority of the court.
- c. Be competent to perform the duties of the office, of good moral character, emotionally stable and mature, committed to equal justice under the law, in good health, patient, courteous, and capable of deliberation and decisiveness when required to act on his or her own reason and judgment.
- d. Not be related by blood or marriage to a judge of the appointing court or courts, within the degrees specified in 28 U.S.C. § 458, at the time of the initial appointment.
- e. Not be seventy (70) years of age or older.

These qualifications are set forth in 28 U.S.C. § 631 and in § 420.10 *et seq.* of the Guide to Judiciary Policy's Chapter on the Selection, Appointment, and Reappointment of Magistrate Judges.

3. **An Overview of the Process**

The Court has appointed a Merit Selection Panel to evaluate the applicants and submit five (5) names to the District Court for its consideration. The Merit Selection Panel may contact employers, colleagues, or any other individuals other than those listed in the application while conducting the screening process. Submission of an application will be deemed consent to such contact. In addition, the individual selected for the position will have a complete FBI background investigation and IRS check. The appointment is subject to the Court's review and approval of the FBI and IRS background checks.

Dated: 12-20-21

  
\_\_\_\_\_  
DANA M. SABRAW, Chief Judge  
United States District Court

**INFORMATION AND APPLICATION MATERIALS  
FOR  
UNITED STATES MAGISTRATE JUDGE APPLICANTS**

This package provides information on applying for a United States Magistrate Judge position within the Southern District of California. The materials in this packet are:

**Information for Applicants**

- A. Location of Judgeship and Application Deadline
- B. Magistrate Judge's Responsibilities/Qualifications for Appointment
- C. Judgeship Availability/Term of Appointment
- D. Magistrate Judge Salary
- E. Magistrate Judge Jurisdiction
- F. Selection Process
- G. Suggestions for Completing an Application
- H. Return of Applications

**Application Materials**

- A. Personal/Biographical
- B. Health Information
- C. Present Employment/Affiliation
- D. Prior Employment/Business Affiliations
- E. Description of Legal Practice
- F. Prior Judicial Experience
- G. Education
- H. Professional and Other Organizational Activities
- I. References
- J. Supplemental Information
- K. Authorizations and Waivers
- L. Application Verification

**A. LOCATION OF JUDGESHIP AND APPLICATION DEADLINE**

This position will be based primarily in San Diego, California. The Southern District of California includes both San Diego and Imperial Counties.

Applications for the office of the United States Magistrate Judge in the Southern District of California are now invited. Applications must be marked “Magistrate Judge Application,” addressed to John Morrill, Clerk of Court, and **must be received no later than February 4, 2022**.

**B. MAGISTRATE JUDGE’S RESPONSIBILITIES/QUALIFICATIONS FOR APPOINTMENT**

To meet the minimum qualifications for appointment, applicants must:

- (1) Be, and have been for at least five years, a member in good standing of the bar of the highest court of a State, the District of Columbia, the Commonwealth of Puerto Rico, the Territory of Guam, the Commonwealth of the Northern Mariana Islands, or the United States Virgin Islands.
- (2) Have been engaged in the active practice of law for a period of at least five years. The court may consider as substitute experience for the active practice of law the following, including any combination thereof:
  - (a) Judge of a state court of record or other state judicial officer.
  - (b) U.S. magistrate judge, bankruptcy judge, or other federal judicial officer.
  - (c) Attorney for federal or state agencies.
  - (d) No more than two years as a law clerk to any judge or judicial officer or as a staff attorney or pro se law clerk in a court.
  - (e) Other types of substantial legal experience (subsequent to receipt of a law degree or license to practice law), not included in subparagraphs (1) through (4) above, which is suitable as a substitute in the opinion of the majority of the court.
- (3) Be competent to perform the duties of the office, of good moral character, emotionally stable and mature, committed to equal justice under the law, in good health, patient, courteous, and capable of deliberation and decisiveness when required to act on his or her own reason and judgment.
- (4) Not be related by blood or marriage to a judge of the appointing court or courts, within the degrees specified in 28 U.S.C. § 458, at the time of the initial appointment.

- (5) Not be seventy (70) years of age or older.

These qualifications are set forth in 28 U.S.C. § 631 and in § 420.10 *et seq.* of the Guide to Judiciary Policy's Chapter on the Selection, Appointment, and Reappointment of Magistrate Judges.

**C. JUDGESHIP AVAILABILITY/TERM OF APPOINTMENT**

The Merit Selection Panel is searching for the best-qualified individuals currently available for appointment to an eight-year term for the Southern District of California within the Ninth Circuit. The location of the court where the successful applicant will sit is the Southern District of California which is made up of San Diego and Imperial Counties. **Note: Relocation expenses will not be paid.**

**D. MAGISTRATE JUDGE SALARY**

The current annual salary is \$201,112. Magistrate Judge salaries are set by Congress and are periodically adjusted based on cost of living increases if authorized by Congress.

**E. MAGISTRATE JUDGE JURISDICTION**

The basic jurisdiction of a Magistrate Judge is specified in 28 U.S.C. § 636.

**F. SELECTION PROCESS**

The United States District Court of the Southern District of California uses a competitive open-selection merit process in making appointments for the position of Magistrate Judge.

A Merit Selection Panel (Panel), consisting of a chairperson and at least six other members including lawyers and other members of the community, evaluates all applications and conducts interviews of those applicants the Panel deems to be most qualified. The Panel will keep confidential the identity of applicants and information received about them as much as possible while conducting the background investigation. However, employers, colleagues, or individuals other than those listed as references may be contacted in order to select the top candidates. Submission of an application will be deemed consent to have any person contacted in order to assess the judicial qualifications of the applicant.

The Panel prepares a report of its recruitment and recommendation for final consideration by the District Court the names of five (5) candidates the Panel evaluates to be most qualified. Those individuals are then interviewed by the judges of the District Court, who make a final selection by majority vote.

Following the selection, a thorough background check is undertaken by the Federal Bureau of Investigation and a report is submitted by the Internal Revenue Service. Final appointment is contingent upon satisfactory reports by these agencies and review by the Court.

## **G. SUGGESTIONS FOR COMPLETING AN APPLICATION**

(1) All applications **must be typed**. You may use a word processor if you wish, but you **must** follow the application format set forth in the attached form.

(2) The application form is also available on the Court's website at [www.casd.uscourts.gov](http://www.casd.uscourts.gov). The form is available in MS Word format.

(3) If you choose to use the hard copy of the application form, you must submit your application answers on a separate sheet of paper with reference to the respective letter and number designation keyed to the page to which it refers (e.g., pg. 7, G.2.).

(4) Answer **all** questions as thoroughly as possible. If a question or section is not applicable, please so state and, unless obvious, state why it is inapplicable. Incomplete applications **will not** be processed.

(5) Complete and sign Authorizations and Waivers of the application.

(6) You are required to **SUBMIT THE ORIGINAL AND ELEVEN (11) COPIES** of this application and any attachments.

(7) **ANY SUPPORTING DOCUMENTS (OPTIONAL) MUST ACCOMPANY THE COMPLETED APPLICATION**. Eleven (11) copies of each supporting document must be included in order to be considered.

## **H. RETURN OF APPLICATIONS**

Application forms and further information on the Magistrate Judge position may be obtained from the Court's website at [www.casd.uscourts.gov](http://www.casd.uscourts.gov). **An original and eleven (11) copies of the application must be received no later than February 4, 2022** and addressed to John Morrill, Clerk of Court, United States District Court, 333 West Broadway, Suite 420, San Diego, CA 92101. Packages enclosing the application should be marked, "Magistrate Judge Application." Applications may also be personally delivered to 333 West Broadway, Suite 420, San Diego, CA 92101.

# UNITED STATES MAGISTRATE JUDGE APPLICATION FORM

## A. PERSONAL/BIOGRAPHICAL

A.1. Full Name:

A.2. Where to Contact: Home  Business

A.3. Business Address:

A.4. Business Telephone: Business Fax:

A.5. Home Address:

A.6. Home Telephone: Cell phone:

A.7. Email Address:

A.8. Social Security Number:

A.9. Are you under age 70? Yes  No

A.10. Are you a citizen of the United States? Yes  No

## B. HEALTH INFORMATION

B.1. What is the present state of your physical and mental health?

B.2. Do you have any physical or mental impairment which might prevent or limit the performance of the essential functions of the office of magistrate judge unless some accommodations were to be made? Yes  No

If yes, please explain. State name, address and telephone number of the physician(s) knowledgeable of such impairment.

B.3. Within the last 10 years have you suffered from, and/or been treated for, alcoholism or drug addiction? Yes  No

If yes, please explain. If you have received treatment, state the name, address and telephone number of the health care provider(s) knowledgeable of such treatment.

**C. PRESENT EMPLOYMENT/AFFILIATION**

C.1. Name of employer, firm or agency:

C.2. Address:

C.3. Telephone:

C.4. Your title or position:

C.5. Your supervisor's (or managing partner's) name:

C.6. Your supervisor's title or position:

C.7. May we contact this person regarding your qualifications? Yes  No

If not, please name another person, who would be able to comment on your work.

C.8. Dates of employment or affiliation:

C.9. Give a synopsis of this position including nature of practice and types of matters accounting for most of your time:

**D. PRIOR EMPLOYMENT/BUSINESS AFFILIATIONS**

*(For this section, list your legal and non-legal work experience for the last fifteen years, excluding your current position. Explain any periods of unemployment more than 90 days, except those due to disability. Repeat this information for each position.)*

**D.1. PRIOR EMPLOYMENT**

a. Employer, firm or agency:

b. Address & telephone number:

c. Supervisor or managing partner:

d. Position(s) you held (e.g., associate, partner):

e. Dates of employment:

f. Principal duties:

D.2. **BUSINESS AFFILIATIONS**

a. If you are now an officer, director or otherwise engaged in the management of any business enterprise, state the name of such enterprise, the nature of the business, the nature of your duties and whether you intend to resign such position immediately upon your appointment to a judicial office.

b. Since being admitted to the Bar, have you ever engaged in any occupation, business, or profession other than the practice of law? Yes  No

If yes, give the details, including dates.

c. During the past five years, have you received any fees or compensation of any kind, other than for legal services rendered, from any business enterprise, institution, organization, or association of any kind? Yes  No

If yes, identify the source of such compensation, the nature of the business enterprise, institution, organization or association involved and the dates such compensation was paid.

E. **DESCRIPTION OF LEGAL PRACTICE**

E.1. Describe the general nature of your current practice including any legal specialties; describe your typical clients; also, if your practice is substantially different now than it was previously, give details of prior practice.

E.2. Estimate what percentages of your total time in legal work during the last five years concerned:

Federal civil law matters: \_\_\_\_\_%

Federal criminal law matters: \_\_\_\_\_%

State civil law matters: \_\_\_\_\_%

State criminal law matters: \_\_\_\_\_%

Other<sup>1</sup>: \_\_\_\_\_%

E.3. During the past five years, what percentage of your practice has been trial practice?

\_\_\_\_\_%

<sup>1</sup>If a single aspect(s) of your legal work occupied more than 20%, please list it separately with the corresponding percentage, rather than in the "Other" category.

E.4. Provide the following information on five particularly significant cases in which you were involved.

Case name:

Court, case number, and case citation number (if any):

Presiding Judge and Court:

Nature of case:

Your role in case:

Results of your activities in this case:

Explanation of why this case was significant to you:

Co-counsel(s) Name, Address & Telephone Number:

Opposing counsel(s) Name, Address & Telephone Number:

E.5. Summarize any additional experience that you may wish the judges and merit selection panel to consider.

E.6. Have you ever been requested to respond to any complaints of professional misconduct?  
Yes  No  If so, explain fully.

E.7. Have you or your professional liability insurance carrier ever settled a claim against you for professional malpractice? Yes  No  If yes, give particulars.

**F. PRIOR JUDICIAL EXPERIENCE**

*(Repeat this information for each judicial or quasi-judicial position.)*

F.1. Have you ever held judicial office or been a candidate for judicial office?  
Yes  No

If so, state the courts involved and the dates of service, or dates of candidacy.

F.2. If you have held judicial office, state the names, addresses, and telephone numbers of five counsel who have appeared before you who would be knowledgeable of your work, temperament, and abilities.

F.3. If you have prior quasi-judicial service, state:

Name of agency:

Position held:

Hearings on what types of issues:

Numbers of cases adjudicated:

Dates of service:

F.4. Have you ever been required to respond to any complaints of judicial misconduct?  
Yes  No  If yes, explain fully.

**G. EDUCATION**

**G.1. Undergraduate**

For each undergraduate institution attended, list:

Name of institution:

Dates attended:

Degree(s) received and date(s) conferred:

Major field(s) of study:

**G.2. Law School**

For each law school attended, list:

Name of institution:

Dates attended:

Degree(s) received and date(s) conferred:

**G.3. Other Graduate Education Received**

Name of institution:

Course of study:

Degree received (if any) and date(s) conferred:

G.4. For all institutions listed above, describe any academic honors, awards, law review, and other activities and achievements.

G.5. Have you complied with the California minimum continuing legal education requirements for the last five years? If not, please explain.

**H. PROFESSIONAL AND OTHER ORGANIZATIONAL ACTIVITIES**

- H.1. List all bar associations and legal professional societies of which you are a member and give the titles and dates of any office you have held in such groups.
- H.2. List all organizations and clubs, other than bar associations and professional societies, of which you have been a member during the past ten (10) years, including the titles and dates of any office you have held in each such organization.
- H.3. List any committees upon which you have served in the last five years and describe your involvement and work in each.
- H.4. Have you ever served on a Merit Selection Panel to consider the appointment or reappointment of a United States magistrate judge in this district? If yes, please provide date(s) or appointment(s).

**I. REFERENCES**

- I.1. List three individuals who are familiar with your professional qualifications and character and provide the following information as to each:

Name:  
Title:  
Address and telephone number:

- I.2. List three individuals who are familiar with your *personal character*, and provide the following information as to each:

Name:  
Title:  
Address and telephone number:

**J. SUPPLEMENTAL INFORMATION**

- J.1. List seminars and workshops you have attended or participated in as a speaker or panelist within the last five years, the subjects of which are relevant to the duties of a magistrate judge in this district.

- J.2. Have you ever taught or lectured at a law school or other educational institution?  
Yes  No  If yes, please state the school(s), date(s) and subject(s).

- J.3. Have you written, individually or with others, any articles, treatises, texts or handbooks?  
Yes  No

If yes, provide as to each the complete citation including publisher, date, title and subject matter.

- J.4. List any elective or appointive public offices you have ever held (other than judicial or quasi-judicial). Please indicate whether the position was full-time or part-time, its location, duties and the periods of service.
- J.5. Have you ever sued or been sued by a client? Yes  No   
If so, state fully the facts and circumstances, the court and case number, and the disposition of the matter.
- J.6. Have you ever been charged in any civil or criminal proceedings with conduct alleged to involve moral turpitude, dishonesty or unethical conduct? Yes  No   
If so, give particulars.
- J.7. Have you ever been a party to any litigation? Yes  No   
If so, state the court, case number, the nature of the case the circumstances of your involvement.
- J.8. To the best of your knowledge, are you in compliance with the tax laws of the federal government and state, county and community of which you are a resident?  
Yes  No  If not, explain fully.
- J.9. Has a tax lien or other collection procedure ever been instituted against you by federal, state or local authorities? Yes  No  If so, give particulars.
- J.10. Have you ever been arrested, charged, or convicted for violation of any federal law, state law, county or municipal law, regulation, or ordinance?  
Yes  No   
If yes, give details (but do not include traffic violations for which a fine of \$200 or less was imposed unless it also included a jail sentence).
- J.11. Have you, to your knowledge, ever been under federal, state, or local investigation for possible violation of a criminal statute? Yes  No  If yes, give particulars.
- J.12. Have you served in the military of the United States or of any other country?  
Yes  No   
If yes, state the branch, dates of service, rank or position held, and type of discharge. If still a reserve or national guard member, give service, branch, unit and present rank.
- J.13. Have you performed any significant public service (e.g. Peace Corps)?  
Yes  No  If so, explain fully.
- J.14. Do any clubs or private associations to which you now belong or of which you were previously a member, have a discrimination clause or do they bar membership on the basis of race, gender, religion, ethnicity or other status protected by anti-discrimination laws? Yes  No  If yes, explain.

- J.15. State any other pertinent information reflecting positively or negatively about you which you believe should be disclosed to the district court and the merit selection panel in connection with your possible nomination as United State Magistrate Judge.
- J.16. State any achievements or accomplishments, demonstrating your commitment to equal justice under the law.
- J.17. Provide a brief statement of why you are seeking the office of United States Magistrate Judge and why you feel that you are qualified for the office. Include any special professional, occupational or other experience you have had which you feel should be considered by the merit selection panel. Describe how your educational, legal, administrative and business experience have prepared you for this office.
- J.18. Do you have any life experiences about which you feel the merit selection panel should know? Yes  No  If so, please list and provide a statement concerning each.

**K. AUTHORIZATIONS AND WAIVERS**

- K.1. All applicants must complete, sign and return the Medical Authorization and Waiver form. Photocopy and complete a copy of the Medical Authorization and Waiver form for each physician and/or professional counselor listed on question 2 in Section B. Please return **two signed copies** for each health care provider listed with your original application.
- K.2. An applicant who is selected for a Magistrate Judge position may be required to undergo a physical examination and complete a detailed medical history form. The examining physician may be selected by the Court. The applicant will be required to pay the cost of the physical examination. The Medical Authorization and Waiver form will enable the examining physician to contact other medical practitioners to obtain necessary information.
- K.3. All applicants must complete, sign and return a **signed copy** of the Professional Experience Inquiry Authorization and Waiver Form with the original application submitted.
- K.4. Applicants who are selected for an interview and are members of another state bar other than or in addition to California, should contact the bar or licensing agency of that state and comply with the established procedure of that state for certification of standing to be mailed directly to the chair of the merit selection panel.

**United States District Court, Southern District of California  
Magistrate Judge Application Form**

**Medical Authorization and Waiver**

Physician's name \_\_\_\_\_

Address \_\_\_\_\_

Street

\_\_\_\_\_

City/State/Zip Code

( \_\_\_\_\_ )

\_\_\_\_\_

Phone

I hereby authorize any person designated by the District Court or the Merit Selection Panel to communicate orally (including by telephone) and/or in writing with the physician or counselor named above or identified elsewhere in my application with regard to my physical and mental condition and history, and any care, treatment and advice given me.

I hereby authorize and direct the physician or counselor named above or identified elsewhere in my application to communicate to such person orally (including by telephone) such information regarding my physical and mental condition, care, treatment and advice as may be sought by such person and to supply a written statement if requested by such person. For these purposes, I hereby waive any physician-patient and psychotherapist-patient privileges that may exist.

A copy of this authorization shall have the same effect as an original. This authorization shall be effective for one year from the date signed.

Name \_\_\_\_\_

Address \_\_\_\_\_

Street

\_\_\_\_\_

City/State/Zip Code

( \_\_\_\_\_ )

\_\_\_\_\_

Phone

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date Signed

**United States District Court, Southern District of California  
Magistrate Judge Application Form**

**Professional Experience Inquiry  
Authorization and Waiver Form**

I hereby authorize present or former employers, contracting parties, partners, educators and administrators of the disciplinary and inquiry bodies of any court, bar or other association to disclose to the merit screening committee and the appropriate district court all information concerning my work history, qualifications and present professional status, and all complaints which have been made against me, together with the disposition thereof. I expressly waive whatever right I may have to confidentiality of the foregoing information.

I also hereby authorize the custodian of any records or information related to my application for magistrate judge to permit the examination or receipt of such records and/or information by anyone designated by the Merit Selection Panel.

---

Print or Type Name

---

Signature

---

Social Security Number

---

Date Signed

## CONFIDENTIALITY STATEMENT

To the extent possible, this form will be kept confidential and will be examined only by members of the Merit Selection Panel and the judges of the district court. Individuals whom you have listed as references may be contacted by the Merit Selection Panel, and the judges. Additional individuals may be contacted as required for a more complete background investigation.

## APPLICATION VERIFICATION

**I will submit to a physical and/or mental examination at my expense, if requested to do so.**

This application is being submitted by me personally and, if selected, I am willing to serve as a United States Magistrate Judge in the United States District Court, Southern District of California.

I swear or affirm under penalty of perjury that all statements made in connection with this application are true and correct.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date Signed

Executed in the County of \_\_\_\_\_ In the State of \_\_\_\_\_



THE SELECTION, APPOINTMENT,  
AND REAPPOINTMENT OF UNITED  
STATES MAGISTRATE JUDGES

THE SELECTION,  
APPOINTMENT,  
AND REAPPOINTMENT  
OF UNITED STATES  
MAGISTRATE JUDGES

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Judges Information Series  
No. 2

JUDICIAL SERVICES OFFICE  
ADMINISTRATIVE OFFICE OF THE UNITED STATES COURTS

Thurgood Marshall Federal Judiciary Building  
Washington, D.C. 20544  
(202) 502-1800

# INTRODUCTION

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This pamphlet is designed to help the district courts and the members of merit selection panels in carrying out their responsibilities in the selection, appointment, and reappointment of United States magistrate judges, in accordance with the Federal Magistrate Act of 1979, as amended.<sup>1</sup> It has been approved by the Judicial Conference Committee on the Administration of the Magistrate Judges System (the Magistrate Judges Committee). The purpose of the pamphlet is to familiarize panel members with the role of magistrate judges in the federal court system, to explain the statute and regulations governing the selection, appointment, and reappointment of magistrate judges, and to suggest procedures the panel might follow in performing its duties.

The duties assigned to magistrate judges by district judges vary considerably from court to court. In addition, the range and volume of duties of part-time magistrate judges are generally more limited than those of full-time magistrate judges. Accordingly, the selection process should be geared by the district court and by the selection panel to the specific magistrate judge position under consideration and should focus on the nature and volume of work to be performed by a magistrate judge. **Those requirements and suggestions pertaining solely to part-time magistrate judge positions have been bolded.**

The differences in procedures between the appointment of a new magistrate judge and the reappointment of an incumbent magistrate judge are described in this publication. In the case of the appointment of a new magistrate judge, the function of the panel is to identify five members of the bar who are the best qualified for appointment by the court as magistrate judge. In the case of a reappointment, the panel's role is to appraise the performance of the incumbent magistrate judge

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<sup>1</sup> The Federal Magistrate Act of 1979 (Pub. L. No. 96-82; 93 Stat. 643) established certain minimum standards and procedures for the selection and appointment of United States magistrate judges, which are codified at 28 U.S.C. § 631. In accordance with 28 U.S.C. § 631(b)(5), the Judicial Conference of the United States has promulgated the Regulations of the Judicial Conference of the United States Establishing Standards and Procedures for the Appointment and Reappointment of United States Magistrate Judges (see Appendix K).

and to recommend to the court whether that individual should be reappointed to a new term of office.

Procedures for the reappointment of an incumbent magistrate judge are discussed generally in Chapter 13 of this pamphlet. A court or panel considering a reappointment should not restrict itself to review of that chapter alone, however, since much of the remaining text is also relevant to its deliberations.

The pertinent statute and Judicial Conference regulations have established a number of rules governing the selection, appointment, and reappointment of magistrate judges. A large degree of freedom and discretion has been extended, nonetheless, to each district court and the panels in defining appropriate procedures for carrying out their missions. While this publication delineates the rules and procedures that must be followed, it also provides guidance in those areas where the courts and panels have been given discretion. Members of the panels should also heed any instructions and suggestions from the court.

The Magistrate Judges Committee and the Judicial Resources Committee encourage all courts to continue efforts to achieve diversity not only in the final selection of a new magistrate judge, but in all aspects of the magistrate judge selection process. This includes, most importantly, selection of diverse merit selections panels, as well as wide dissemination of vacancy notices and other efforts to reach a broad array of applicants, especially those from underrepresented groups, and ensuring that panel members are aware of their responsibilities to “make an affirmative effort to identify and give due consideration to all qualified applicants without regard to race, color, age (40 and over), gender, religion, national origin or disability.” (Section 3.03(d) of the Regulations of the Judicial Conference of the United States Establishing Standards and Procedures for the Appointment and Reappointment of United States Magistrate Judges, *Guide to Judiciary Policy*, Vol. 3, § 420.30.30(d), set forth at Appendix K.)

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# CHAPTER 1

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## The Office of United States Magistrate Judge

A United States magistrate judge is a judicial officer of the district court, appointed by majority vote of the district judges of the court.

The office of United States magistrate judge was established by the Federal Magistrates Act of 1968.<sup>2</sup> Its foundation is the United States commissioner system, established in 1793. Commissioners were previously used in federal courts to try petty offense cases committed on federal property, to issue search warrants and arrest warrants, to determine bail for federal defendants, and to conduct other initial proceedings in federal criminal cases. The Federal Magistrates Act of 1968, as amended, was enacted by Congress to create a new federal judicial officer who would (1) assume all the former duties of the commissioners and (2) conduct a wide range of judicial proceedings to expedite the disposition of the civil and criminal caseloads of the United States district courts. These duties are discussed more fully in chapter 2, “The Authority of Magistrate Judges.” In establishing the office of magistrate judge, Congress designed a generalist position to serve as a supplemental judicial resource to the district courts. The generalist nature of magistrate judge positions is, moreover, a recruitment asset, helping courts to attract top-quality candidates with broad substantive knowledge and skills. Congress set forth in the statute powers and responsibilities that could be delegated by district court judges to magistrate judges. To achieve maximum flexibility in meeting the needs of each court, however, it left the actual determination of

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<sup>2</sup> Pub. L. No. 90-578, 82 Stat. 1107 (1968) (codified as amended at 28 U.S.C. §§ 604, 631-639 and 18 U.S.C. §§ 3401-3402).

which duties to assign to magistrate judges to the individual courts. As a result of the discretion given to individual courts in utilizing magistrate judges, their duties and responsibilities vary widely from court to court. The Act has been amended on several occasions to improve the administration of the magistrate judges system, to confer greater judicial authority on magistrate judges, and to change the title of the office from “United States magistrate” to “United States magistrate judge.”

The number of magistrate judge positions is determined by the Judicial Conference of the United States, based on recommendations of the respective district courts, the pertinent judicial councils of the circuits, and the Magistrate Judges Committee. A full-time magistrate judge is appointed for a term of eight years; **a part-time magistrate judge serves for a term of four years.** A magistrate judge may be removed from office during the term for which he or she is appointed only for incompetency, misconduct, neglect of duty, or physical or mental disability.

Before a vacancy in a magistrate judge position may be filled, it is necessary for the court to obtain the approval of the judicial council of the relevant circuit.<sup>3</sup> In addition, at its September 2004 session, the Judicial Conference resolved that all magistrate judge position vacancies are subject to review by the full Magistrate Judges Committee unless the Committee chair decides, based on a recent survey of the relevant district, that the vacancy may be filled without full Committee involvement.<sup>4</sup> If full Committee review is required, a court’s request to fill a vacancy will be placed on the agenda for the Committee’s next meeting. If a change in salary, location, or arrangements is recommended by the Director, the district court, or the judicial council of the circuit, the vacancy cannot be filled until the Conference takes action. If a magistrate judge dies or leaves office before the end of a term, a successor is appointed (pursuant to the Regulations of the

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<sup>3</sup> For a time line for appointment of new magistrate judges, see Appendix C.

<sup>4</sup> Before the enhanced review policy was adopted in 2004, vacancies were approved upon the recommendation of the Director of the Administrative Office, the district court, and the circuit judicial council. Before the Director’s approval was given, staff consulted with the circuit representative on the Committee. Such recommendations were not required, however, if the district court had been reviewed by the Administrative Office and the Judicial Conference within the previous two years.

Judicial Conference set forth in Appendix K) for a term of eight years or four years as the case may be, not just the remainder of the prior magistrate judge's term. An incumbent magistrate judge may remain in office past the expiration of the term, by a majority vote of the district judges of the appointing court and with the approval of the judicial council of the circuit, until 180 days after expiration of the term or the date of appointment of a successor, whichever is earlier.<sup>5</sup>

Full-time magistrate judges serve district courts on a full-time basis and may not practice law. They are provided with office space, generally in the courthouse and with supporting staff.

**Part-time magistrate judges may practice law, but they may not serve as counsel in any criminal action in any federal court. Nor may they serve as counsel in any civil action in the district court for which they are appointed if they are assigned certain civil case duties. They may engage in any other business or employment that does not conflict with the impartial and effective performance of their duties for the court. The Judicial Conference has adopted “Conflict-of-Interest Rules for Part-time Magistrate Judges” to specify permissible and prohibited conduct. Office space in the courthouse may be provided if it is available and if the part-time magistrate judge’s caseload is sufficient to justify obtaining such space. Part-time magistrate judges generally are not provided with supporting staff, but they are reimbursed for secretarial and other expenses incurred in connection with their magistrate judge duties.**

The Judicial Conference may designate a magistrate judge position for service in one or more districts adjoining the district for which the position is authorized. Also, upon the concurrence of the chief judges of the districts involved, a magistrate judge may be assigned temporarily to serve in any other district court during an emergency.

As judges of the district courts, the “Code of Conduct for United States Judges” applies generally to United States magistrate judges. Persons to whom the Code applies must arrange their affairs as soon as reasonably possible to comply with the Code and should do so in any event within one year of appointment. **A part-time magistrate judge is not required to comply with certain canons of the Code.**

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<sup>5</sup> 28 U.S.C. § 631(f)

*Note: The “Code of Conduct for United States Judges” and the “Conflict-of-Interest Rules for Part-time Magistrate Judges,” adopted by the Judicial Conference, are published in the Guide to Judiciary Policy which is available on the JNet.*

## CHAPTER 2

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# The Authority of Magistrate Judges

The authority that a magistrate judge exercises is the jurisdiction of the district court, delegated by the court's district judges under governing statutory authority and local rules of court. The statutory authority of magistrate judges is set forth in the Federal Magistrates Act of 1968, as amended. The basic provisions are found at 28 U.S.C. § 636 and 18 U.S.C. § 3401 and are included in Appendix J. Other statutory grants of authority to magistrate judges appear throughout the United States Code.

Generally, a magistrate judge's duties fall into the following categories:

### **Initial Proceedings in Criminal Cases**

In criminal proceedings a magistrate judge may:

1. Accept criminal complaints.
2. Issue arrest warrants and summonses.
3. Issue search warrants.
4. Conduct initial appearance proceedings and detention hearings for criminal defendants, informing them of the charges against them and of their rights.
5. Set bail or other conditions of release or detention under the Bail Reform Act.

6. Appoint attorneys for defendants who are unable to afford or obtain counsel.
7. Hold preliminary hearings, or “probable cause” hearings.
8. Administer oaths and take bail, acknowledgments, affidavits and depositions.
9. Conduct extradition proceedings.

## **References of Pretrial Matters from District Judges**

District judges may delegate a wide variety of duties to magistrate judges that will assist the district judges in expediting the disposition of civil and criminal cases, including the following:

1. Hearing and determining any non-case-dispositive pretrial matter, such as procedural and discovery motions.
2. Hearing case-dispositive motions (such as motions for summary judgment or dismissal, or for suppression of evidence) and submitting findings and recommended dispositions of such court’s motions to a district judge.
3. Reviewing and recommending disposition of social security appeals and prisoner litigation and conducting necessary evidentiary hearings in prisoner cases.
4. Conducting calendar calls, pretrial conferences, and other pretrial case management duties.
5. Conducting settlement conferences and other alternative dispute resolution proceedings.

## **Trials of Misdemeanors**

Federal misdemeanor cases are divided by statute into four categories: Class A misdemeanors, Class B misdemeanors, Class C misdemeanors, and infractions. A Class A misdemeanor is an offense where the maximum punishment by imprisonment is more than six months, but no more than one year. In Class B misdemeanors, Class C misdemeanors, and infractions, which are also known as petty offense

cases, the maximum punishment by imprisonment varies, but may not exceed six months.

In all petty offense cases, including cases involving juvenile defendants, a magistrate judge may conduct the trial and impose the sentence without the defendant's consent. In Class A misdemeanor cases, a magistrate judge may conduct the trial, either with or without a jury, and impose the sentence only with the defendant's consent and where the defendant has waived the right to adjudication by a district judge. The defendant's consent and waiver may be made in writing or orally on the record.

A magistrate judge who is designated to dispose of misdemeanor cases has the authority to invoke the federal probation laws. A magistrate judge also has the power to modify, revoke, or terminate supervised release of any person sentenced to a term of supervised release by a magistrate judge.

## **Trials of Civil Cases**

A full-time magistrate judge may conduct the trial, either with or without a jury, and dispose of any federal civil case with the litigants' consent. In such cases, a magistrate judge sits in lieu of a district judge where the magistrate judges of the court have been designated to exercise such authority by the district judges of the court, and where the case has been referred by a district judge. In this capacity, a magistrate judge exercises authority to dispose of the case and may order the entry of a final judgment. All district courts have designated their full-time magistrate judges to exercise civil consent authority.

**Section 636(c)(1) of Title 28 places restrictions on the ability of parties and courts to allow part-time magistrate judges to exercise consent authority in civil cases. Part-time magistrate judges may try civil cases only where (1) the parties specifically request in writing that a part-time magistrate judge exercise authority in the case, (2) the chief judge has certified that a full-time magistrate judge is not reasonably available, and (3) the judicial council of the circuit has established guidelines for the exercise of civil consent authority by part-time magistrate judges.**

## Other Duties

A magistrate judge may also be assigned any “additional duties as are not inconsistent with the Constitution and laws of the United States.” District judges rely on this language from the Federal Magistrates Act to refer various matters to magistrate judges that are not set forth specifically in other provisions of the statute. For example, many courts use this provision to authorize magistrate judges to conduct guilty plea proceedings in felony cases with the defendant’s consent. A magistrate judge may also be called upon to assist the district court in performing administrative duties. The specific duties referred to magistrate judges are often set forth in standing orders or in the local rules of the district court.

## CHAPTER 3

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# The Qualifications of Magistrate Judges

The qualifications required for appointment or reappointment as a United States magistrate judge are set forth in 28 U.S.C. § 631, and in the Regulations of the Judicial Conference of the United States. See Appendix K.

### Bar Membership

To be eligible for appointment as a magistrate judge, an applicant must be, and have been for at least five years, a member in good standing of the bar of the highest court of a state, the District of Columbia, the Commonwealth of Puerto Rico, the Territory of Guam, the Commonwealth of the Northern Mariana Islands, or the Virgin Islands of the United States. The term “member in good standing” is not defined in the Federal Magistrates Act or any other statutory provisions applicable to magistrate judges. In the absence of any federal statute regarding bar membership, the question of what constitutes “member in good standing” is governed by the requirements of state law. Several state bars have ruled that “inactive” status qualifies as membership “in good standing.”

**The bar requirements may be waived for a part-time magistrate judge if the appointing court and the Judicial Conference of the United States determine that no qualified individual who is a member of the bar is available to serve at a specific location.**

## Experience as an Attorney

An applicant must have actively practiced law for at least five years. The court may consider the following substitute experience, including any combination thereof:

- Experience as a judge of a state court of record or other state judicial officer.
- Experience as a United States magistrate judge, bankruptcy judge or other federal judicial officer.
- Experience as an attorney for a federal or state agency.
- No more than two years experience as a law clerk to any judge or judicial officer, or as a staff attorney, or pro se law clerk in a court.
- Other types of substantial legal experience (subsequent to receipt of a law degree or license to practice law) suitable as a substitute in the opinion of the majority of the district judges of the court.

## Age

In the case of an initial appointment as magistrate judge, an applicant must not be 70 years of age or older at the time of appointment. A magistrate judge, however, may continue to serve and be reappointed after age 70 upon a majority vote of all district judges of the court, which is taken when the magistrate judge reaches age 70 and upon each anniversary thereafter. A magistrate judge already serving in a full-time or part-time position may be appointed to a different full-time or part-time position in the same district after age 70.

## Relationship to District Judges

At the time of the initial appointment, an appointee to a magistrate judge position may not be related by blood or marriage to a judge of the appointing district court within the degree of relationship specified in 28 U.S.C. § 458, i.e., “by affinity or consanguinity within the degree of first cousin.”

## **National Park Residency Requirement**

In the case of an individual appointed to serve in a national park, he or she must reside within the exterior boundaries of that park, or at some place reasonably adjacent thereto.

## **Personal Attributes**

An appointee to a magistrate judge position must be:

- Competent to perform the duties of the office
- Of good moral character
- Emotionally stable and mature
- Committed to equal justice under the law
- In good health
- Patient
- Courteous
- Capable of deliberation and decisiveness when required to act on his or her own reason and judgment.

## **Additional Qualifications**

A district court may establish additional qualification standards appropriate for a particular magistrate judge position, taking into account the specific responsibilities anticipated for that position.

## CHAPTER 4

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# Public Notice

The Judicial Conference Regulations require wide circulation of magistrate judge vacancy announcements and notices of consideration of reappointments and provide that publication of such notices through print advertisements and legal periodicals is optional rather than required. In light of the ready availability and low cost of electronic publication of public notices, each district court has the discretion to determine how best to meet the requirement for wide circulation of magistrate judge position vacancy announcements and notices of consideration of reappointments of magistrate judges. The court should consider which procedure will attract the greatest number of applicants and encourage applications from all qualified persons without regard to race, color, age (40 and over), gender, religion, national origin, or disability.

Since the Regulations specify that the merit selection panel normally must submit its report containing the names of the best-qualified applicants to the court within 90 days of its creation, it is recommended that the court issue the required public notice before or at the same time it appoints the panel.

The Regulations do not prescribe the minimum amount of time a public notice should be published. It is required, however, that a full notice, such as Appendix A for appointment of a new magistrate judge, or Appendix E for a reappointment of an incumbent magistrate judge, be published in sources that will either reach a wide audience of qualified applicants or invite comments on the reappointment. These sources may include, but are not limited to, the following: a general

local newspaper; a newspaper with statewide circulation; a widely circulated local legal periodical; the court's internet web site; state and local bar association web sites; government web sites; national legal journals web sites; and other resources relied upon by legal professionals. In addition, it is recommended that a link to the full public notice on the court's web site be sent to the court's CM/ECF users. In order to more fully publicize the public notice, an abbreviated announcement that notes only the magistrate judge position and the specific location where the full public notice is published should be published thereafter in any of the sources mentioned above for a reasonable time in the discretion of the court. Appendix B is a sample abbreviated public notice for a vacant or new magistrate judge position, and Appendix F is a sample abbreviated public notice for the reappointment of an incumbent magistrate judge. The public notice on the court's web site should be easily located and include links to all relevant selection, appointment, and reappointment documents and should highlight all relevant deadlines.

To attract the greatest number of applicants, the public notice for a new appointment should be disseminated as widely as practicable. The court should encourage applications from all qualified individuals, including those from underrepresented groups. Accordingly, the court is encouraged to transmit the public notice to state and local bar associations and interest groups that focus on women and minorities and should also consider utilizing national publications and the Judiciary's JNet Job Vacancies site.

The full notice must describe the duties of the position to be filled, and give the qualification standards, the authorized salary, the term of office, and application procedures, including the name and address of the person to whom applications should be submitted. It must specify that applications should be submitted only by the applicant, personally demonstrating that person's willingness to serve if selected by the court. Generally, applications should be sent to the clerk of court or his or her designee. A copy of the notice must be sent to the Judicial Services Office of the Administrative Office as soon as it is available.

Since potential applicants may wish to obtain additional information about the magistrate judge position to be filled, including authority, support services, conflicts of interest, and the like, the court should consider designating the clerk of the court as a central person to

respond to all inquiries from the bar and the press concerning the advertised position.

The court should use an application form that will elicit information from applicants relating to the qualifications prescribed for the office. A resume may be considered as an alternative. A sample application form is provided at Appendix G. Courts can access electronic versions of the sample application form from the Selection, Appointment, and Reappointment area of the Magistrate Judges page on the JNet. Applicants should be requested to submit copies of their application or resume in sufficient number to provide one for each panel member. After a magistrate judge position vacancy has been announced, members of the court are encouraged to personally contact bar groups, the United States attorney's office, the public defender's office, and individual attorneys, especially those from diverse backgrounds, to announce the available position and to invite all qualified candidates to consider applying.

Expenses for publication of public notices of magistrate judge positions should be paid from court funds. The budget object code for publication of notices/advertising (BOC 2544) is one of the aggregate BOCs and is funded as part of the aggregate formula. Requirements should be addressed through local reprogramming since there are no additional allotments to that BOC. Any questions should be referred to the Budget Division of the Administrative Office.

# Appointment of the Merit Selection Panel

The merit selection panel is appointed by majority vote of the district judges of the court. It must consist of lawyers and other members of the community as described below. Each member must either be a resident of the district or, if a nonresident, have significant ties to the community of the district within which the magistrate judge is to serve. No active, senior, or recalled federal judges, or retired Article III judges, or other district court officers or employees may be members of the merit selection panel. Retired magistrate judges and bankruptcy judges not serving on recall may be appointed as members of the panel. This prohibition, however, does not preclude a federal judge or other court officer or employee from advising the panel. This prohibition also does not preclude United States attorneys, assistant United States attorneys, and federal defenders (including community defenders) and their assistants from serving on panels. While some district courts exclude federal prosecutors and defenders from membership on the merit selection panel, the Committee on the Administration of the Magistrate Judges System has expressed the view that the matter is best left to local courts' determinations. **An exception, set forth below, exists with respect to panels dealing with the appointment of part-time magistrate judges whose salaries are less than one-third of a full-time magistrate judge's salary.**

The panel must consist of a chairperson and at least six other members. It is recommended that the panel be composed of an odd number of persons in order to avoid the possibility of tie votes. The membership of the panel must include lawyers and at least two non-lawyers. A lawyer is defined as one who is licensed to practice law. In the event one or

more members of a panel withdraw, leaving the panel with less than seven members, the court may either replace the member(s) or proceed with a panel of less than seven members. The chairperson exercises duties the court assigns.

No person may be considered for selection by the court for a magistrate judge position while serving as a member of a panel. For a former panel member to be considered for a subsequent magistrate judge position, one year must elapse between the earlier of when a former merit selection panel submitted its report to the court or when the member of that panel seeking a position resigned, and the date by which applications for a subsequent vacancy are due to be submitted to the court. The Committee on the Administration of the Magistrate Judges System may waive this provision, on an individual case basis.

The clerk of court or other compiler of applications should identify any applicants for a magistrate judge position whose previous service on a merit selection panel falls into the restricted one-year period under Section 420.30.20(d) of the selection and appointment regulations and then identify those applicants to the merit selection panel. This restriction applies to a former member of a merit selection panel for the appointment or reappointment of a United States magistrate judge. The clerk or other compiler should advise the panel that if the panel wishes to recommend any of the identified applicants to the court, a waiver is required for each identified applicant who is recommended. Consistent with the purpose of the regulation to guard against a former merit selection panel member having a real or perceived insider's advantage with respect to a magistrate judge position, the views of the district court or its chief judge should not be included on a request for a waiver of Section 420.30.20(d) to the Magistrate Judges Committee. Since the waiver process is to be independent of the court, the court and its chief judge should not advise the merit selection panel members or the magistrate judge position applicant of their perspective on the waiver request.

To further efforts to achieve diversity in all aspects of the magistrate judge selection process, courts are strongly encouraged to appoint a diverse merit selection panel.

Courts may use a panel to consider applicants for more than one position or for multiple reappointments. Standing panels may

also be appointed to assist with filling vacant positions and with reappointments as they occur.

**In the case of the appointment of a part-time magistrate judge whose authorized annual salary is less than one-third of the maximum salary authorized for a full-time magistrate judge, a selection panel of fewer than seven members but no fewer than three members may be appointed by the court. It is recommended that the panel be composed of an odd number of persons to avoid the possibility of tie votes. Moreover, circuit judges and “judges of the district court” (including senior judges, active or retired district judges, and active, recalled, or retired magistrate judges or bankruptcy judges) may serve on this panel. Other district court officers or district court employees also may serve on the panel, but at least two members of the panel must be either lawyers or non-lawyers from outside the court.**

The panel must be established by an order of the district court specifying the names of the members, whether each individual is a lawyer or a non-lawyer, and the effective date of the panel’s appointment. The panel must report to the district court within 90 days of its appointment unless otherwise directed by the court. A copy of the court’s order appointing the merit selection panel must be sent to the Director of the Administrative Office of the United States Courts through the Judicial Services Office at the time it is issued.

The court’s order containing the names of the members of the merit selection panel and whether each is a lawyer or a nonlawyer is a public document and should be made available for inspection upon request. Beyond that, the names of the members of the panel may be disclosed or made public in the discretion of the court. For example, some district courts list the members of the merit selection panel by name in the public notice.

# Support Services

Although panel members are not compensated for their services, they may be reimbursed for travel expenses, including transportation (mileage, tolls, parking fees, etc.) and subsistence, incurred while transacting official business at the request of the court. The rates of reimbursement of such expenses are the same as those generally provided to federal employees. The clerk of court will pay travel-related expenses. However, only non-appropriated funds may be used to pay for meals and refreshments during meetings. The clerk of court may request reimbursement from the Judicial Services Office to cover travel costs of panel members traveling to interview applicants. Requests for reimbursement must be submitted to the Judicial Services Office in advance of incurring travel expenses. The Judicial Services Office will reimburse only for costs associated with the actual interviews of the candidates.

The statute and Regulations do not provide clerical assistance for the panel. The chairperson of the panel and the chief judge or clerk of court should agree on the extent to which the facilities and personnel of the district court are available to assist the panel before the panel meets the first time. If mailings are necessary, the panel may use postage-paid envelopes supplied by the court.

*Note: The pertinent regulations relating to travel, promulgated by the Director of the Administrative Office with approval of the Judicial Conference, are found in the Guide to Judiciary Policy.*

## CHAPTER 7

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# Meetings of the Panel

The merit selection panel may hold an organizational meeting before applications have been received or may wait until all applications have been received, enabling it to begin the process of reviewing the applications at the time of its first meeting.

At its initial meeting, the panel should discuss the nature of the particular magistrate judge position to be filled and the criteria to be applied in screening applicants, and establish the procedures and rules to be followed during its deliberations. A district judge, a magistrate judge, the clerk of court, or other district court employee might be invited to the meeting to acquaint the members of the panel with the work of the district court and the nature of the duties to be assigned to a magistrate judge.

Although the Regulations of the Judicial Conference provide the panel with a large degree of discretion in the review of applications and the selection of individuals to recommend to the court, the panel members must nonetheless abide by specific rules. For example, the Regulations provide that all decisions of the panel will be by majority vote of all members. Also, the Committee on the Administration of the Magistrate Judges System is of the view that each panel member must disclose to all other panel members any personal or professional relationships with any applicants for the position.

If the district court has not already established rules of procedure for the panel to follow, the panel should do so at its first meeting. The panel should address such matters as open voting vs. secret ballots,

attendance requirements, absentee ballots, and quorum rules. The panel should also decide on the appropriate screening procedures it will follow. Depending on the actual or anticipated number of applications submitted, the panel may consider whether to delegate the task of screening applications to the chairperson, to a committee, or to individual members of the panel. Delegation of this first step might be appropriate when a large number of applications has been submitted or is anticipated.

Following the initial screening of applications, the panel in its discretion may choose to conduct personal interviews of some or all applicants. Interviews may be necessary in those situations where members of the panel have no personal knowledge of the applicants or their legal abilities. Care should be taken, however, to assure fairness in the interviewing process. The panel members should determine beforehand the types of questions that should be asked, and the same general questions and areas of inquiry normally should be addressed to each interviewee.

# Confidentiality Requirements

To encourage the greatest number of applicants and to protect their privacy, the Regulations of the Judicial Conference impose a requirement of confidentiality on the panel and the court. Generally, neither the names of the applicants nor the identities of those individuals recommended by the panel to the court may be disclosed other than as a necessary part of the panel's report to the court. The Judicial Conference Regulations provide, however, that the applicants may, upon request, waive the confidentiality requirements to allow the panel or the court to "to publicize the applicants' names in order to solicit comments from the bar and the public." Panel members should keep confidential all information, written and oral, obtained in the course of performing their duties. The court may wish to include in its public notice and/or application form a confidentiality statement that all applications will be kept confidential unless the applicant consents to disclosure. The confidentiality statement included at the end of the sample full public notice (see Appendix A) states that "All applications will be kept confidential, unless the applicant consents to disclosure, and all applications will be examined only by members of the merit selection panel and the judges of the district court. The panel's deliberations will remain confidential." The confidentiality statement included at the end of the sample application form (see Appendix G), states that individuals listed as references by the applicant may be contacted by the panel, but that no other employers, colleagues, or other individuals will be contacted without prior approval of the applicant.

The Judicial Conference Regulations do not address whether the names of applicants, other than those recommended by the merit selection panel, may be made available to individual judges of the court. The Committee on the Administration of the Magistrate Judges System has adopted a resolution stating that it was the sense of the Committee that nothing in the Regulations prohibits disclosure of the names of the applicants to the judges of the court selecting the magistrate judge.

The panel's deliberations also should remain confidential. During its deliberations, it may be necessary to verify or augment the written information provided by the applicant on the application form. To avoid possible embarrassment to the applicant and the possible breach of the pledge of confidentiality, it is suggested that the panel seek the applicant's approval before contacting present or past employers or colleagues, or seeking the views of other individuals who have material knowledge of the applicant's abilities. Ample opportunity should be provided to the applicants to disclose any conflict of interest that they may have with the position for which they are applying, and to withdraw from the selection process if necessary.

It is suggested that inquiries of employers and others be made only after the initial screening process is completed and be limited to those applicants being considered seriously for the position, such as those whom the panel has decided to interview. In limiting such inquiries until a later stage, the panel protects the privacy of the applicants. A sample waiver of confidentiality form is included as Appendix H. The panel should not conduct full background investigations on applicants, since the person selected by the court for appointment must undergo the required FBI and IRS background investigations.

# Evaluating the Applicants

The Regulations of the Judicial Conference do not prescribe how the panel should evaluate the applicants. The procedures are generally left to the discretion of the individual courts and panels. The following suggestions are offered as a guide.

### **In General**

Failure to meet any one of the statutory or regulatory requirements will result in automatic rejection of an applicant. A district court may establish additional qualification standards appropriate for a particular magistrate judge position, taking into account the specific responsibilities anticipated for the position. These additional qualification standards, however, must be consistent with the court's policy as an equal opportunity employer.

The range of duties delegated to magistrate judges by district judges varies substantially from one district to another. The panel's objective is to recommend individuals most suited to the needs of the particular district court. Emphasis should be placed on those qualities and professional skills most often demanded for the specific duties to be assigned. Accordingly, the members of the panel should acquaint themselves with the specific duties that the successful applicant will be assigned by the district judges. (Reference should be made both to the Federal Magistrates Act and to the local rules or standing orders of the district court for specific guidance in this regard.)

Since full-time magistrate judges generally have a broader range of duties than part-time magistrate judges, the panel may require greater pertinent experience from applicants for a full-time magistrate judge position than from applicants for a part-time magistrate judge position. The difference is manifest in those situations where the part-time magistrate judge is located in a remote region and the range of duties is limited.

During their deliberations, the members should bear in mind the judicial nature of the office of United States magistrate judge. A considerable number of former United States magistrate judges have been appointed and are now serving as United States district judges and court of appeals judges. The position of magistrate judge is viewed by many as a proving ground that can provide invaluable practical experience for future Article III judges. Thus, the panel should recommend individuals who possess the same types of personal and professional qualities expected of district judges.

## **Scholarship**

Panel members should consider each applicant's academic record and related achievements in law school and college. Special attention might be given to class standing, quality of the schools attended, membership on the law review board, and membership in other associations.

## **Active Practice of Law**

The panel should consider how long the applicant has practiced law and the type of legal practice. The applicant should have demonstrated professional competence, including an ability to deal with complicated legal problems, an aptitude for legal scholarship, and effective writing. The applicant also should be well regarded professionally by other lawyers. The members of the panel should also consider whether the applicant has been recently involved in any pro bono or public service activity. The panel should not confine its considerations to persons with any one type of legal work. It should consider candidates from all segments of the bar, including government service, law school faculties, legal aid associations, public interest establishments, and state courts.

## **Knowledge of the Court System**

Because the rules of procedure in the federal judicial system frequently differ from those practiced in the various state court systems, the panel might consider the applicant's familiarity with the federal court system. Recent litigation before the federal bench may indicate familiarity with the rules and procedures of federal court. Successful completion of legal courses in the Federal Rules of Evidence and the Federal Rules of Civil and Criminal Procedure also shows familiarity.

## **Personal Attributes**

The regulations of the Judicial Conference require that a magistrate judge be competent to perform the duties of the office; of good moral character; emotionally stable and mature; committed to equal justice under the law; in good health; patient; courteous; and capable of deliberateness and decisiveness. These characteristics, by their nature, are subjective and not readily quantified. Yet they may ultimately be the most important qualities necessary for the successful performance of judicial duties.

## **Measurement of the Qualifications**

It is not possible to formalize a comprehensive or mathematical evaluation procedure. Nonetheless, some degree of uniformity is essential in the selection process. The panel may consider the following list of relevant qualities as a checklist to be applied to all applicants. The panel might assign a weight to each factor, signifying the degree of importance attached to each.

The panel should also bear in mind that the essential roles of a magistrate judge are to dispense justice and to assist the judges of the district courts in disposing of the court's caseload effectively and efficiently. Thus, great weight should be accorded to those personal qualities, pertinent experience, and practical knowledge desired by the judges in the person who is selected to fill the magistrate judge position.

## **Pertinent Criteria**

### *1. Personal Characteristics*

- Intelligence
- Honesty and morality
- Maturity and stability
- Demeanor and temperament
- Reasonableness and objectivity
- Ability to work with others
- Compassion
- Fairness and commitment to equal justice for all people
- Decisiveness and deliberateness
- Industriousness
- Immunity from undue influences
- Mental and physical health
- Activity in civic and community affairs.

### *2. Legal Skills and Professional Background*

- Professional reputation among bar members
- Reputation for fairness
- Reputation for propriety and integrity
- Reputation for being well prepared
- Experience with complex problems
- Previous service as attorney, judge, or public official
- Writing skills
- Courtroom experience

- Knowledge of legal procedures
- Familiarity with federal rules and procedures
- Participation in professional associations and activities
- Pro bono and public service activities
- Publications.

## **Equal Employment Opportunity**

The Judicial Conference Committee on Judicial Resources supports the following principle, as articulated by its diversity subcommittee, reflecting the judiciary's commitment to a diverse workforce:

“The essential function of courts is to dispense justice. An important component of this function is the creation and maintenance of diversity in the court system. A community's belief that a court dispenses justice is heightened when the court reflects the community's racial, ethnic, and gender diversity.”

The Judicial Conference Committee on the Administration of the Magistrate Judges System fully supports this principle, particularly as it applies to the selection of magistrate judges. The merit selection panel is obligated, under the Judicial Conference's selection and appointment regulations, to give due consideration to all qualified applicants for a magistrate judge position, particularly those from underrepresented groups.

# Report and Recommendations to the Court

After all written information has been obtained, all interviews have been completed, and all follow-up information has been gathered, members of the panel should determine collectively which individuals among the applicants meet all the standards and appear qualified for appointment as a United States magistrate judge. The members may now consider it appropriate to conduct a full and candid discussion of the qualifications of the various applicants. Each member should be free to contribute personal views as to the qualifications of each applicant.

Following these discussions, the panel should designate those five applicants that it finds most qualified to serve as a United States magistrate judge. If the panel believes, however, that either the number or the caliber of applicants is inadequate, the panel chairperson should promptly consult with the court and consider whether other steps should be taken to attract additional qualified candidates. A second notice might be published, for example, and assistance in obtaining additional applications might be solicited from bar association officials, law school faculties, and community leaders. Such measures should begin promptly, however, since the panel must file its report within the 90-day limitation imposed on the panel by the Regulations of the Judicial Conference (unless the court directs a different duration).

The report of the panel to the court should specify the total number of individuals who applied for the position and the names of the five persons it has determined to be most qualified. All written information received or prepared by the panel concerning the recommended applicants must accompany the panel's report to the court. Adequate

measures should be taken to protect the confidentiality of these records during their transmittal to the court. It is recommended that the chairperson of the panel submit the report directly to the chief judge of the court.

No individual should be included on the list of recommended applicants unless a majority of all the members of the panel deem that person fully qualified to serve as a United States magistrate judge. The panel may wish to note which characteristics or qualities it considered important in its deliberations. It may also wish to note how these characteristics or qualities were manifested in the recommended applicants, if not otherwise apparent in the written materials submitted by the applicants.

The panel should consider the order in which the names of the recommended applicants appear in the report. The Regulations of the Judicial Conference are silent as to whether the individuals recommended should be ranked. The panel may choose to list the recommended individuals without preference, or to rank them, especially where the quality varies substantially among the individuals recommended. The panel chairperson may wish to explore this issue with the court before submitting the panel's report.

A list containing fewer than five names may be submitted to the court by the panel, but only for good cause shown by the panel in its report. The panel, for example, might specify that it simply has not found five individuals among those who applied who meet all the high standards required.

**In the case of the appointment of a part-time magistrate judge whose authorized annual salary is less than one-third of the maximum salary authorized for a full-time magistrate judge, the court may give the panel discretion to submit a list of less than five names to the court.**

In a situation where a merit selection panel is recommending applicants for more than one magistrate judge position, the court should direct the panel to recommend more than five individuals. For example, if the court is filling two vacancies the panel could be directed to submit a list of six names so that once one name is selected for one position, five names would remain from which to select for the other position.

Alternatively, a court could require the panel to submit a list of ten names from which the court would select two.

## CHAPTER 11

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# Selection by the Court

After receiving the report of the merit selection panel, the court should review the qualifications of the individuals recommended by the panel. At its discretion, the court may accept the findings contained in the panel report, or it may conduct an additional inquiry into the qualifications of the recommended individuals. The court may also wish to conduct its own interviews with the recommended applicants.

Thereafter, all the district judges must determine, by majority vote, a final selectee for appointment from the list provided by the panel. Under 28 U.S.C. § 296, those senior judges with at least a 50 percent workload in the preceding calendar year may participate in court governance activities generally, including magistrate judge appointments.

If the district court, by majority vote, does not select an individual from the five names on the list, the court must request a second list of five names from the panel. The district court must then choose a final selectee from either list. If, again, no recommended applicant receives a majority vote, the chief judge must make the selection for the court from either list.

Once the court has selected a new magistrate judge, it should notify and obtain the acceptance of the selected applicant. It should then inform panel members of its choice. The court may notify the other applicants that a selection has been made and thank them for their interest in applying. The court should respect the confidentiality of the names of the other applicants.

The name of the applicant selected must be submitted to the Director of the Administrative Office through the Judicial Services Office which will request the necessary background reports from the Federal Bureau of Investigation and the Internal Revenue Service. The applicant selected for appointment to either a full-time or part-time magistrate judge position must undergo a FBI full-field investigation, with a 15-year scope, and an IRS tax check. A part-time magistrate judge, who was the subject of a full-field FBI investigation before appointment to the part-time position, is required to undergo a second full-field investigation before appointment to a full-time position. The Committee on the Administration of the Magistrate Judges System is authorized to grant waivers to the requirement for full-field background investigations by the FBI, on an individual case basis, in circumstances involving high-turnover and recruitment problems due to isolated locations of certain part-time magistrate judge positions.

The results of the FBI and IRS investigations are forwarded to the Judicial Services Office which, in turn, transmits the results to the chief judge of the district court. After the district court has reviewed (and determined its satisfaction with) complete investigation reports from the FBI and the IRS, the court may issue an order of appointment. If, in the judgment of the court, the IRS report has not been completed in a timely manner, the court may waive that report, provided it has taken steps to assure itself that the applicant selected has properly filed tax returns. The FBI report may not be waived, except as noted above for isolated locations. The timing and manner of a public announcement by the court should take into account the possible discovery of unfavorable information by the FBI or IRS investigations.

Before entering on duty as a magistrate judge, the appointee is required to take the judicial oath or affirmation prescribed by 28 U.S.C. § 453 and the constitutional oath of office prescribed by 5 U.S.C. § 3331.

Procedures for swearing in the new magistrate judge are determined at the discretion of the particular district court. There is no requirement for a formal swearing-in ceremony. Nevertheless, it would be entirely appropriate for the court to arrange for a formal swearing-in ceremony for the new magistrate judge. Such a ceremony may be an effective way to acquaint the bar and the public with the new judge. Court funds may be used to pay for certain expenses, such as invitations and postage, relating to a swearing-in ceremony.

The appointment of the magistrate judge must be entered of record in the district court on or before the effective date of appointment. The court must also execute AO Form 79A (Appointment of United States Magistrate Judge) (Appendix I). Both AO Form 79A and the order of appointment must be submitted by the clerk of the district court to the Director of the Administrative Office through the Judicial Services Office. A certificate of appointment is prepared by the Administrative Office and forwarded to the chief judge of the district court for signature.

# Disposition of Records

To maintain the confidentiality of the identities of the applicants, the panel and the court should exercise care in handling and disposing of the application forms and all other written materials collected during their deliberations. It is suggested that all material other than that which pertains to the five individuals who are recommended to the court, which must be forwarded to the court along with the panel's report, be retained by the chairperson until the actual appointment of a magistrate judge. Retention of these materials is recommended because the court may decide not to select from among the five names submitted by the panel, or it may subsequently revoke its selection after reviewing the background reports prepared by the FBI and the IRS on the applicant selected for appointment. In such events, the court may require a reconvening of the panel, and the information previously assembled on the remaining applicants would be needed.

Immediately after a magistrate judge is appointed, the chairperson of the panel should either return all materials to the respective applicants or dispose of the materials (i.e., by shredding) in keeping with the confidentiality requirement of the Regulations of the Judicial Conference. The report of the panel and the materials relating to the applicants recommended by the panel should be retained by the clerk of court as confidential records for at least two years. The materials are classified as recruitment files and are subject to Records Disposition Schedule 2, Part C.1.c. *Guide to Judiciary Policy*, Vol. 10, Ch. 6, Appx. 6B, Part C.1.c.

# Reappointment of an Incumbent Magistrate Judge to a New Term

In most instances, an incumbent magistrate judge who has performed well in the position should be reappointed to another term of office. To serve the courts, magistrate judges have relinquished law practices or other career choices. Accordingly, the court should be sensitive to the consequences of the professional and career choice an incumbent made to accept the position of United States magistrate judge.

### **Performance Reviews of an Incumbent by the Court**

During the magistrate judge's term, the court should periodically assess the performance of the magistrate judge and meet with the incumbent to discuss the court's evaluation. If the court believes that the magistrate judge's performance is not satisfactory, or if there are problems with the magistrate judge's relationship with any of the district judges or with the bar, the court should discuss its concerns with the magistrate judge. The incumbent should be informed of these concerns well in advance of the expiration of the term of office. Such procedures would:

- help to identify deficiencies or problems with the job performance of the magistrate judge;
- give the magistrate judge an opportunity to discuss the court's concerns;
- let the incumbent know where he or she stands with regard to reappointment; and

- give the magistrate judge an opportunity to make other career plans well in advance of the expiration of the term of office if reappointment is in question.

In any event, not less than one year before the expiration of an incumbent magistrate judge's term of office, the court should determine whether it wishes to consider the reappointment of the incumbent. The court should then choose the appropriate procedure based on its determination. Sections 420.60.20 and 420.60.30 of the Regulations provide guidance to the court as to how it should proceed. *Guide to Judiciary Policy*, Vol. 3, Ch. 4, §§ 420.60.20 and 420.60.30.

### **If the Court Determines not to Reappoint the Incumbent**

If the court determines not to reappoint the incumbent, it must so notify the incumbent. Before the vacancy in the magistrate judge position may be filled, it is necessary for the court to obtain the approval of the judicial council of the relevant circuit. In addition, the vacancy is subject to review by the full Magistrate Judges Committee unless the Committee chair decides, based on a recent survey of the relevant district, that the vacancy may be filled without full Committee involvement. If full Committee review is required, a court's request to fill a vacancy will be placed on the agenda for the Committee's next meeting. Upon approval that the vacancy may be filled, the court must follow the initial selection procedures set forth in the Regulations. Under these procedures, no comments may be sought on the incumbent magistrate judge's performance or reappointment, and the incumbent magistrate judge may not apply for the position.

Before the expiration of the incumbent's current term, the Administrative Office provides the incumbent with a form entitled Notice of Willingness to Accept Reappointment (Form PER 74). This form is not part of the reappointment procedure but is meant to protect a full-time magistrate judge's retirement annuity pursuant to 28 U.S.C. § 377, if the judge is under age 65 and not reappointed. Form PER 74 does not need to be submitted if the judge is not willing to accept reappointment.

## **If the Court Decides to Consider Reappointing the Incumbent**

If the court desires to consider the reappointment of the incumbent, it must follow the selection procedures set forth in section 420.60.30 of the Regulations (which provides for public notice of consideration of reappointment, comments from the bar and public, and review of the incumbent's performance by a merit selection panel). The Magistrate Judges Committee has approved a **Time Line for Reappointment of Magistrate Judges** as a guide for district courts (see Appendix D).

### **Public Notice for Reappointment of an Incumbent**

Issuance of a public notice by the court is the first step in the reappointment process. A public notice should be published well before the expiration of the incumbent's term of office, preferably at least six months before such date. The Regulations do not prescribe the minimum amount of time such public notice should be published. At a minimum, however, a full public notice, such as the one provided at Appendix E, should be published in sources that will reach a wide audience of members of the public qualified to comment. These sources may include, but are not limited to, the following: a general local newspaper; a newspaper with statewide circulation; a widely circulated local legal periodical; the court's web site; state and local bar association web sites; government web sites; national legal journals web sites; and other resources relied upon by legal professionals.

Although not required by the Regulations, an abbreviated announcement, such as Appendix F, that only notes the impending reappointment of a magistrate judge and refers specifically to the location where the full public notice is published, should be published in any of the sources mentioned above for a reasonable time in the discretion of the court. The abbreviated announcement should also indicate that interested persons may contact the clerk of court for information and material.

### **Merit Selection Panel for Reappointment**

The court must establish a merit selection panel to assist the district judges in their determination to reappoint the incumbent. The composition of the panel is the same as in the case of a panel appointed to assist in selecting a new magistrate judge.

When the court has determined that it desires to consider the reappointment of the incumbent and the public notice has been published, the panel does not seek applications for the position. It merely reviews the incumbent's performance in office as a magistrate judge, and considers comments received from members of the bar and the public, and any other pertinent evidence as to the incumbent's good character, judgment, legal ability, temperament, and commitment to equal justice under the law.

The panel and the court itself should determine how the panel should appraise the incumbent's performance. All written comments should be considered carefully. An interview with the incumbent would generally be useful. Also the panel might want to interview selected individuals who have actual and reliable knowledge of the incumbent's performance. To encourage candor, the panel should assure individuals who comment on the incumbent's performance that their names will not be disclosed. As a matter of fairness, however, the magistrate judge should be given an opportunity to appear personally before the panel to respond to any negative comments that have been received and to answer any questions regarding his or her performance.

After considering this information, the panel, within 90 days, unless otherwise directed by the court, must report to the court whether it recommends the incumbent for reappointment to an additional term of office. The report may contain written reasons for substantiating the panel's decision. Due to the strict requirement of confidentiality, the panel's recommendation presumably will not be known to the incumbent. Furthermore, all information received by the panel as a result of this process should be included as part of the record submitted to the court.

If the recommendation of the panel is not to reappoint, the court should arrange to interview the incumbent to allow the incumbent to address the court's concerns and reasons for non-appointment recommendation by the merit selection panel.

### **Determination by the Court**

After considering the panel's report, the court must decide whether to reappoint the incumbent. If a majority of the district judges vote to reappoint the incumbent, the incumbent will be reappointed.

If the court decides to reappoint the incumbent to a new term, the court must execute AO Form 79A (Appointment of United States Magistrate Judge) (Appendix I), which includes the required judicial oath or affirmation prescribed by 28 U.S.C. § 453, as well as the constitutional oath of office prescribed by 5 U.S.C. § 3331. The reappointment of the magistrate judge must be entered of record in the district court on or before the effective date of appointment. Both AO Form 79A and the order of appointment must be submitted by the clerk of the district court to the Director of the Administrative Office through the Judicial Services Office. New FBI and IRS investigations are not required for the reappointment of an incumbent magistrate judge.

If, after following the selection procedures set forth in section 420.60.30 of the Regulations, the court decides not to reappoint the incumbent magistrate judge, it must notify the incumbent, seek the required approvals to fill the upcoming vacancy, and follow the initial selection procedures for the appointment of a new magistrate judge set forth in the Regulations. The same panel may be reconvened, or a new panel established, to consider applicants for the vacancy.

# APPENDIX A

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## Sample Full Public Notice for Appointment of New Magistrate Judge

The Judicial Conference of the United States has authorized the appointment of a full-time [part-time] United States magistrate judge for the \_\_\_\_\_ District of \_\_\_\_\_ at \_\_\_\_\_. The essential function of courts is to dispense justice. An important component of this function is the creation and maintenance of diversity in the court system. A community's belief that a court dispenses justice is heightened when the court reflects the community's diversity.

The duties of the position are demanding and wide-ranging: (Give brief description such as: (1) conduct of most preliminary proceedings in criminal cases; (2) trial and disposition of misdemeanor cases; (3) conduct of various pretrial matters and evidentiary proceedings on delegation from a district judge; and (4) trial and disposition of civil cases upon consent of the litigants.) The basic authority of a United States magistrate judge is specified in 28 U.S.C. § 636.

To be qualified for appointment an applicant must

1. Be, and have been for at least five years, a member in good standing of the bar of the highest court of a state, the District of Columbia, the Commonwealth of Puerto Rico, the Territory of Guam, the Commonwealth of the Northern Mariana Islands, or the Virgin Islands of the United States, and have been engaged in the active practice of law for a period of at least five years (with some substitutes authorized);
2. Be competent to perform all the duties of the office; be of good moral character; be emotionally stable and mature; be committed to equal justice under the law; be in good health; be patient and courteous; and be capable of deliberation and decisiveness;

3. Be less than seventy years old; and
4. Not be related to a judge of the district court.

A merit selection panel composed of attorneys and other members of the community will review all applicants and recommend to the district judges in confidence the five persons it considers best qualified. The court will make the appointment following an FBI full-field investigation and an IRS tax check of the applicant selected by the court for appointment. The individual selected must comply with the financial disclosure requirements pursuant to the Ethics in Government Act of 1978, Pub. L. No. 95-521, 90 Stat. 1824 (1978)(codified at 5 U.S.C. app. 4 §§ 101-111) as implemented by the Judicial Conference of the United States. An affirmative effort will be made to give due consideration to all qualified applicants without regard to race, color, age (40 and over), gender, religion, national origin, or disability. The current annual salary of the position is \_\_\_\_\_. The term of office is \_\_\_\_\_ years.

Application forms and more information on the magistrate judge position in this court may be obtained from the clerk of the district court or the chairperson of the selection panel. (Give name and address.) The form is also available on the court's web site at (give internet address if form is available there). Applications must be submitted only by applicants personally and **must be received by**\_\_\_\_\_.

All applications will be kept confidential, unless the applicant consents to disclosure, and all applications will be examined only by members of the merit selection panel and the judges of the district court. The panel's deliberations will remain confidential.

# APPENDIX B

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## Sample Abbreviated Public Notice for Appointment of New Magistrate Judge

The Judicial Conference of the United States has authorized the appointment of a full-time [part-time] United States magistrate judge for the \_\_\_\_\_ District of \_\_\_\_\_ at \_\_\_\_\_.

The current annual salary of the position is \_\_\_\_\_. The term of office is \_\_\_\_\_ years.

A full public notice for the magistrate judge position is posted in the office of the clerk of the district court at (give exact location). The notice is also available on the court's web site at (give web site address if notice is available there).

Interested persons may contact the clerk of the district court for additional information and application forms. The application form is also available on the court's web site (if available there).

Applications must be submitted only by applicants personally and must be received by \_\_\_\_\_.

# APPENDIX C

## Time Line for Appointment of Magistrate Judges

<b>Time</b>	<b>Action</b>
After the Judicial Conference has approved a new magistrate judge position or when notice of vacancy is provided.	The Judicial Services Office is notified of a vacancy or upcoming vacancy or Judicial Conference approval of a new magistrate judge position. The Judicial Services Office sends letter to chief judge of the district court outlining procedures for approval to fill the vacancy for appointment of a magistrate judge.
Shortly after district court learns of magistrate judge position vacancy.	District court seeks approval of the judicial council of the relevant circuit to fill the vacant magistrate judge position. (Copy of the court's letter and judicial council approval should be sent to the Judicial Services Office.)
Following approval to fill the vacancy by the circuit judicial council.	The Judicial Conference requires that all magistrate judge position vacancies be subject to review by the Magistrate Judges Committee unless the Committee chair decides, based on a recent survey of the relevant district, that the vacancy may be filled without full Committee involvement. The Judicial Services Office prepares materials for the Committee chair, or for the full Committee, that include the most recent survey report, the relevant district and circuit correspondence, the district and national judicial caseload profiles, and magistrate judge workload statistics for each magistrate judge position in the district for the past year. If full Committee involvement is required, the request to fill the vacancy will be placed on the agenda at the next Committee meeting.

<b>Time</b>	<b>Action</b>
Following approval by the Magistrate Judges Committee or by the Committee chair.	<p>The Clerk of Court publishes public notice of the position. Notice of the magistrate judge position vacancy should be disseminated as widely as possible to reach a wide audience, including those from underrepresented groups, in sources such as local newspapers or legal periodicals and electronic publication such as bar association web sites and other sites relied upon by legal professionals. The notice should describe the duties of the position, the qualification standards, the authorized salary, the term of office, and application procedures including the name and address of the person to whom the applications should be submitted. A sample public notice can be found at Appendix A in <i>The Selection, Appointment, and Reappointment of United States Magistrate Judges</i> pamphlet and a sample application form can be found at Appendix G in the pamphlet. (Copy of the public notice should be sent to the Judicial Services Office.)</p> <p>Court appoints, by majority vote of the district judges, a merit selection panel consisting of a chairperson and at least six other members, including two non-attorneys. (Copy of the court order establishing the merit selection panel should be sent to the Judicial Services Office at the time it is issued and prior to any action by the panel.) A district judge or magistrate judge may be invited to the first meeting of the panel to explain the work of the district court and duties assigned to magistrate judges.</p>
Within 90 days of appointment of merit selection panel, unless otherwise directed by the court.	Merit selection panel reviews the applications submitted and, in its discretion, chooses to conduct personal interviews of some or all applicants. There is a requirement of confidentiality for the panel and the court to protect the privacy of the applicants. The panel issues its report and designates the five most qualified applicants.
After the court's receipt of the merit selection panel's report.	After considering the merit selection panel report, the district court decides, by majority vote of the district judges, a final selectee for appointment from the panel's list. (Senior judges with a 50 percent workload may elect to participate in the magistrate judge selection process.) If a court does not select an individual from the list, the court must request a second list of five names from the panel. Once the court has selected a new magistrate judge, it should notify the selectee and obtain his or her acceptance.
Immediately following the court's selection of a new magistrate judge.	The court should submit the name of the applicant selected to the Judicial Services Office which will request the necessary background reports from the FBI and IRS. The investigations generally take 10-12 weeks to be completed.

<b>Time</b>	<b>Action</b>
Following receipt of FBI and IRS reports.	The Judicial Services Office forwards the results of the FBI and IRS reports to the chief judge of the district court for review and subsequent return to the Judicial Services Office. The timing of the announcement of the court's selectee should take into account the possible discovery of unfavorable information in the FBI or IRS reports. The selectee must complete Appointment of United States Magistrate Judge, AO Form 79A, and take the required oath, and the Clerk of Court must prepare an Order of Appointment. (Both documents must be sent to the Judicial Services Office for initial processing.)

# APPENDIX D

## Time Line for Reappointment of Magistrate Judges

Approved by the Magistrate Judges Committee in June 2003 as a Guide  
for District Courts

<b>Time</b>	<b>Action</b>
13 months before term expires.	AO sends form letter to chief judge with a copy to the clerk of court advising them when the magistrate judge's term is expiring. AO sends "Notice of Willingness to Accept Reappointment" Form PER 74 to the incumbent. (Not part of reappointment procedure.)
Not later than 12 months before term expires.	District court decides by majority vote of the district judges if the court wishes to consider reappointment of incumbent. Court, in its appointment deliberations, should give due consideration to the professional and career status of a magistrate position.
Not later than 11 months before term expires.	District court notifies incumbent in writing whether or not the court will consider the incumbent for reappointment. If court decides not to reappoint the incumbent, the court begins process for appointment of new magistrate judge. If court decides to consider reappointment of incumbent, it must follow procedures set forth in Judicial Conference regulations. If incumbent is advised that he or she will not be reappointed, no comments may be sought on the incumbent's performance or reappointment and the incumbent may not apply for the position.
Not earlier than 9 months and not later than 6 months before term expires.	Incumbent, if under age 65, should give written notice of willingness to accept reappointment, Form PER 74, to court. (This form is not part of the reappointment procedure but is meant to protect the magistrate judge's retirement annuity, if not reappointed.) (Original Form PER 74 must be received by the chief judge between 6-9 months before current term expires. Form is then sent to Judges Compensation and Retirement Division of the Human Resources Office, and copy sent to Judicial Services Office.)
Not later than 8 months before term expires.	Clerk of Court publishes public notice in sources that will reach a wide audience of members of the public qualified to comment. These sources may include, but are not limited to, the following: a general local newspaper; a widely-circulated local legal periodical; bar association web sites; and other resources relied upon by legal professionals. The notice should describe the duties of the position, state date of expiration of the incumbent's current term, and invite written comments from members of the bar and the public. Notice should specify a date certain by which comments must be received. (Copy of public notice to be sent to Judicial Services Office.)

<b>Time</b>	<b>Action</b>
Not later than 3 months before term expires.	<p>After considering report, district court decides, by majority vote of the district judges, whether or not to reappoint incumbent. Chief judge promptly notifies incumbent of decision. If court decides to reappoint incumbent, he or she must complete Appointment of United States Magistrate Judge, AO Form 79A, and take required oath. Clerk of Court must prepare Order of Appointment. Both documents must be sent to Judicial Services Office for initial processing.</p> <p>If court decides not to reappoint incumbent, it begins process for selection of new magistrate judge.</p>

# APPENDIX E

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## Sample Full Public Notice for Reappointment of Incumbent Magistrate Judge

The current term of office of United States Magistrate Judge \_\_\_\_\_ at \_\_\_\_\_ is due to expire on \_\_\_\_\_. The United States District Court is required by law to establish a panel of citizens to consider the reappointment of the magistrate judge to a new \_\_\_\_\_-year term.

The duties of a magistrate judge in this court include the following: (Give a brief description, such as (1) conduct of most preliminary proceedings in criminal cases; (2) trial and disposition of misdemeanor cases; (3) conduct of various pretrial matters and evidentiary proceedings on delegation from a district judge; and (4) trial and disposition of civil cases upon consent of the litigants.)

Comments from members of the bar and the public are invited as to whether the incumbent magistrate judge should be recommended by the panel for reappointment by the court and should be directed to (give name and address).

Comments must be received by \_\_\_\_\_.

# APPENDIX F

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## Sample Abbreviated Public Notice for Reappointment of Incumbent Magistrate Judge

The current term of office of United States Magistrate Judge \_\_\_\_\_ is due to expire on \_\_\_\_\_. The United States District Court is required by law to establish a panel of citizens to consider the reappointment of the magistrate judge to a new \_\_\_\_\_ - year term.

A full public notice for the magistrate judge position is posted in the office of the clerk of the district court at (give exact location). The notice is also available on the court's website at (give internet address if notice is available there).

Comments from members of the bar and the public are invited as to whether the incumbent magistrate judge should be recommended by the panel for reappointment by the court and should be directed to (give name and address).

Comments must be received by \_\_\_\_\_ .

# APPENDIX G

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## Sample Application Form

*(This is a comprehensive list of questions that may be asked of applicants. The court should select those questions that it believes are appropriate for inclusion in its application form.)*

### APPLICATION FOR UNITED STATES MAGISTRATE JUDGE

Please answer all questions. If a question is not applicable, indicate this by marking "N/A." Return completed form to the Clerk of Court.

#### General

1. Full name: \_\_\_\_\_

2. All other names by which you have been known: \_\_\_\_\_

3. Office address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_

Zip: \_\_\_\_\_ Telephone: \_\_\_\_\_

4. Residential address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

5. Place of Birth: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

6. Length of residence in state: \_\_\_\_\_

7. If you are a naturalized citizen, state the date and place of naturalization: \_\_\_\_\_

8. Military Service:

Branch: \_\_\_\_\_ Dates: \_\_\_\_\_

Rank or Rate at Discharge: \_\_\_\_\_ Type of Discharge: \_\_\_\_\_

If still a Reserve or National Guard Member, give service, branch, unit, and present rank. \_\_\_\_\_

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9. Are you related by blood or marriage to any judges of this court?  
Yes \_\_\_ No \_\_\_ If yes, give name(s) and relationship: \_\_\_\_\_

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## Health

10. What is the present state of your health?

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11. Do you have any mental or physical impairment that would affect your ability to perform the duties of a magistrate judge with or without reasonable accommodation?

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## Education

12. Colleges and universities attended, dates, and degrees: \_\_\_\_\_

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13. Continuing legal education courses completed within the last 10 years: \_\_\_\_\_

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## Honors

14. Were you a member of law review? Yes \_\_\_ No \_\_\_ . If yes, describe role: \_\_\_\_\_

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15. If you have published any legal books or articles, list them, giving citations and dates. \_\_\_\_\_

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16. List any honors, prizes, or awards you have received.

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## Professional Admissions

17. List all courts (including state bar admissions) and administrative bodies having special admission requirements in which you are presently admitted to practice, giving the dates of admission in each case:

Court or Administrative Body	Date of Admission
_____	_____
_____	_____
_____	_____
_____	_____

## Law Practice

18. State the names, addresses, and dates of employment for all law firms with which you have been associated in practice, all government agencies, and all private business organizations in which you have been employed. Also provide all dates during which you have practiced as a sole practitioner.

Organization	Address	Position	Dates
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

19. Describe the general nature of your current practice including any legal specialties and character of your typical clients; also, if your practice is substantially different now than previously, give details of prior practice. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

20. Do you regularly appear in court? Yes \_\_\_ No \_\_\_

What percentage of your appearances in the last five years was in the following forums?

1. Federal courts?..... %
2. State or local courts of record?..... %
3. Administrative bodies?..... %

4. Other?..... \_\_\_\_\_ %  
..... \_\_\_\_\_ %  
..... \_\_\_\_\_ %

21. During the past five years, what percentage of your practice has been trial practice?..... \_\_\_\_\_ %

22. How frequently have you appeared in court?..... \_\_ times/mo.

23. How frequently have you appeared at administrative hearings?  
..... \_\_ times/mo.

24. What percentage of your practice involving litigation has been:  
Civil ..... \_\_\_\_\_ %  
Criminal ..... \_\_\_\_\_ %  
Other..... \_\_\_\_\_ %  
..... \_\_\_\_\_ %  
..... \_\_\_\_\_ %

25. State the number of cases you have tried to conclusion in courts of record during the past five years, indicating whether you were sole, associate, or chief counsel. Give citations of any reported cases.  
\_\_\_\_\_  
\_\_\_\_\_

26. Summarize your courtroom experience for the past five years.  
\_\_\_\_\_  
\_\_\_\_\_

27. State the names and addresses of adversary counsel against whom you have litigated your primary cases over the past five years.  
\_\_\_\_\_  
\_\_\_\_\_

**Public Office**

28. Have you ever run for, or held, public office? Yes\_\_\_No\_\_\_ If yes, give details. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## Prior Judicial Experience

29. a) Have you ever held judicial office or been a candidate for judicial office? If so, state the courts involved and the dates of service, or dates of candidacy. \_\_\_\_\_  
\_\_\_\_\_

b) If you have held judicial office, state the names and addresses of counsel who have appeared before you who would be knowledgeable of your work, temperament, and abilities. \_\_\_\_\_  
\_\_\_\_\_

c) Prior quasi-judicial service:  
Name of agency: \_\_\_\_\_  
Position held: \_\_\_\_\_  
Hearings on what types of issues: \_\_\_\_\_  
\_\_\_\_\_  
Number of cases adjudicated: \_\_\_\_\_  
Dates of service: \_\_\_\_\_

## Business Involvement

30. a) If you are now an officer, director, or otherwise engaged in the management of any business enterprise, state the name of such enterprise, the nature of the business, the nature of your duties, and whether you intend to resign such position immediately upon your appointment to judicial office. \_\_\_\_\_  
\_\_\_\_\_

b) Since being admitted to the Bar, have you ever engaged in any occupation, business, or profession other than the practice of law? Yes \_\_\_ No \_\_\_ If yes, give the details, including dates.  
\_\_\_\_\_  
\_\_\_\_\_

c) During the past five years have you received any fees or compensation of any kind, other than for legal services rendered, from any business enterprise, institution, organization, or association of any kind? Yes \_\_\_ No \_\_\_ If yes, identify the source of such compensation,

the nature of the business enterprise, institution, organization or association involved, and the dates such compensation was paid.

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31. a) Have you ever been arrested, charged, or convicted for violation of any federal law, state law, county or municipal law, regulation, or ordinance? Yes \_\_\_ No \_\_\_ If yes, give details. (Do not include traffic violations for which a fine of \$200 or less was imposed unless it also included a jail sentence.) \_\_\_\_\_

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b) Have you, to your knowledge, ever been under federal, state or local investigation for possible violation of a criminal statute? Yes \_\_\_ No \_\_\_ If yes, give particulars. \_\_\_\_\_

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32. a) Have you ever been sued by a client? Yes \_\_\_ No \_\_\_ If yes, give particulars. \_\_\_\_\_

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b) Have you or your professional liability insurance carrier ever settled a claim against you for professional malpractice? Yes \_\_\_ No \_\_\_ If yes, give particulars, including the amounts involved.

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33. Have you ever been charged in any civil or criminal proceedings with conduct alleged to involve moral turpitude, dishonesty, or unethical conduct? Yes \_\_\_ No \_\_\_ If yes, give particulars.

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34. Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct by any court, administrative agency, bar association, or other professional group? Yes \_\_\_ No \_\_\_ If yes, give particulars. \_\_\_\_\_

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35. Have you filed appropriate tax returns as required by federal, state, local, and other government authorities? Yes \_\_\_ No \_\_\_ If no, explain. \_\_\_\_\_

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36. Have any liens or claims ever been instituted against you by the federal, state, or local authorities? Yes \_\_\_ No \_\_\_ If yes, explain. \_\_\_\_\_

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### **Professional and Other Activities**

37. a) List all bar associations and legal professional societies of which you are a member and give the titles and dates of any office you have held in such groups, and committees to which you belonged. \_\_\_\_\_

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b) List all organizations and clubs, other than bar associations and professional societies identified in response to Question No. 37.a), of which you have been a member during the past ten years, including the titles and dates of any offices you have held in each such organization. \_\_\_\_\_

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c) Have you ever served on a merit selection panel to consider the appointment or reappointment of a United States magistrate judge in this district? If yes, please provide date(s) or appointment(s). \_\_\_\_\_

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### **Supplemental Information**

38. State any achievements or actions you have accomplished, demonstrating your commitment to equal justice under the law. \_\_\_\_\_

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39. State any additional education or other experiences you believe would assist you in holding judicial office. \_\_\_\_\_

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40. State any other pertinent information reflecting positively or adversely on you, which you believe should be disclosed to the district court and the selection panel in connection with your possible selection as United States magistrate judge. \_\_\_\_\_  
\_\_\_\_\_

41. a) List three individuals as references who are familiar with your abilities.

Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone \_\_\_\_\_

Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone \_\_\_\_\_

Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone \_\_\_\_\_

b) List three individuals as references who are familiar with your personal character.

Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone \_\_\_\_\_

Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone \_\_\_\_\_

Name \_\_\_\_\_

Address \_\_\_\_\_

Telephone \_\_\_\_\_

### Confidentiality Statement

This form will be kept confidential and will be examined only by members of the merit selection panel and the judges of the district court. The individuals whom you have listed as references above may be contacted by the panel, but no other employers, colleagues, or other individuals will be contacted without your prior approval.

I declare under penalty of perjury that the foregoing is true and correct.

Signature of Applicant: \_\_\_\_\_ Date \_\_\_\_\_

# APPENDIX H

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## Sample Waiver of Confidentiality (To be completed after initial screening of applicants)

The merit selection panel has completed its initial screening of applicants for the position of United States magistrate judge. The panel is now in need of additional information on your background and qualifications to determine whether to recommend you to the district court for appointment as a magistrate judge. Accordingly, we request your approval to consult with your current or past employers or colleagues, and other individuals who have material knowledge of your qualifications in order to verify and to supplement the information contained in your application. Any information obtained will be kept in strict confidence by the panel and the court. A “waiver of confidentiality” is printed immediately below for this purpose.

### Waiver

I hereby authorize the custodian of any records or information to permit the examination or receipt of such information, whether written or oral, by the merit selection panel and the district judges of the court. I also authorize the merit selection panel to consult with my former employers, my current employer, and my professional colleagues with regard to matters pertinent to my qualifications for the position of a United States magistrate judge.

Date \_\_\_\_\_ Signature \_\_\_\_\_



PERSONAL HISTORY AND EXPERIENCE AND QUALIFICATIONS STATEMENTS							
<input type="checkbox"/> NO CHANGE FROM PRIOR SUBMISSION							
Name (Last - First - Middle Initial):			Sex <input type="checkbox"/> Male <input type="checkbox"/> Female		Birth Date (Mo., Day, Year)		Soc. Sec. No.
Present Home Address			Citizenship (Country)		Place of Birth City: State: Country:		
Other Names Previously Used for Employment Purposes							
Do you have any relatives who are judges, officers, or employees of the United States Courts? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, give their names, positions, and relationship to you.							
EDUCATION							
Name and Location of colleges and universities attended			Dates Attended		Degree		Date Received
BAR MEMBERSHIP							
Give the month and year of admission to the bar of the highest court of each state to which you are admitted. (Include the District of Columbia, Guam, Northern Mariana Islands, Puerto Rico, and the Virgin Islands if appropriate.)							
STATE				MONTH AND YEAR ADMITTED			
PRIOR FEDERAL SERVICE OTHER THAN MILITARY SERVICE							
(Information needed for consolidation of Federal personnel records and computation of retirement benefits.)							
Have you ever been employed by the Federal (or District of Columbia) Government? <input type="checkbox"/> Yes <input type="checkbox"/> No If so, complete the following.							
(A) Are you now receiving severance pay? <input type="checkbox"/> Yes <input type="checkbox"/> No							
(B) Are you transferring without a break in service? <input type="checkbox"/> Yes <input type="checkbox"/> No							
(C) Are you presently enrolled under the Federal Employees' Health Benefits Act? <input type="checkbox"/> Yes <input type="checkbox"/> No If so, Code Number _____ ; Carrier Control Number _____							
(D) Have you ever before filed SF 176, "Election, Declination, or Waiver of Life Insurance Coverage"? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, did you <input type="checkbox"/> elect optional (in addition to regular) insurance; <input type="checkbox"/> decline optional (but not regular) insurance; <input type="checkbox"/> waive all life insurance coverage?							
(E) Are you now receiving an annuity based on prior Federal Service? <input type="checkbox"/> Yes <input type="checkbox"/> No If so, furnish CSA No. _____							
Department or Agency	City and State	Position	Classification Grade	Date Appointed		Date Separated	
				Month	Year	Month	Year
MILITARY SERVICE							
Have you ever served on active duty with the military? <input type="checkbox"/> Yes <input type="checkbox"/> No If so, list dates, branch, and serial or service number of all active service, and attach a copy of DD 214, Notice of Separation.							
From	To	Branch of Service			Serial or Service Number		
Are you retired from military service? <input type="checkbox"/> Yes <input type="checkbox"/> No							
IN CASE OF EMERGENCY NOTIFY							
Name _____				Address _____			
Relationship _____				Telephone _____			

# APPENDIX J

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## Federal Magistrates Act Text from Westlaw April 2009

### Provisions of Title 28, United States Code

#### § 631. Appointment and Tenure

(a) The judges of each United States district court and the district courts of the Virgin Islands, Guam, and the Northern Mariana Islands shall appoint United States magistrate judges in such numbers and to serve at such locations within the judicial districts as the Judicial Conference may determine under this chapter. In the case of a magistrate judge appointed by the district court of the Virgin Islands, Guam, or the Northern Mariana Islands, this chapter shall apply as though the court appointing such a magistrate judge were a United States district court. Where there is more than one judge of a district court, the appointment, whether an original appointment or a reappointment, shall be by the concurrence of a majority of all the judges of such district court, and when there is no such concurrence, then by the chief judge. Where the conference deems it desirable, a magistrate judge may be designated to serve in one or more districts adjoining the district for which he is appointed. Such a designation shall be made by the concurrence of a majority of the judges of each of the district courts involved and shall specify the duties to be performed by the magistrate judge in the adjoining district or districts.

(b) No individual may be appointed or reappointed to serve as a magistrate judge under this chapter unless:

1. He has been for at least five years a member in good standing of the bar of the highest court of a State, the District of Columbia, the Commonwealth of Puerto Rico, the Territory of Guam, the Commonwealth of the Northern Mariana Islands, or the Virgin Islands of the United States, except that an individual who does not meet the bar membership requirements of this paragraph

may be appointed and serve as a part-time magistrate judge if the appointing court or courts and the conference find that no qualified individual who is a member of the bar is available to serve at a specific location;

2. He is determined by the appointing district court or courts to be competent to perform the duties of the office;
3. In the case of an individual appointed to serve in a national park, he resides within the exterior boundaries of that park, or at some place reasonably adjacent thereto;
4. He is not related by blood or marriage to a judge of the appointing court or courts at the time of his initial appointment; and
5. He is selected pursuant to standards and procedures promulgated by the Judicial Conference of the United States. Such standards and procedures shall contain provision for public notice of all vacancies in magistrate judge positions and for the establishment by the district courts of merit selection panels, composed of residents of the individual judicial districts, to assist the courts in identifying and recommending persons who are best qualified to fill such positions.

(c) A magistrate judge may hold no other civil or military office or employment under the United States: Provided, however, That, with the approval of the conference, a part-time referee in bankruptcy or a clerk or deputy clerk of a court of the United States may be appointed and serve as a part-time United States magistrate judge, but the conference shall fix the aggregate amount of compensation to be received for performing the duties of part-time magistrate judge and part-time referee in bankruptcy, clerk or deputy clerk: And provided further, That retired officers and retired enlisted personnel of the Regular and Reserve components of the Army, Navy, Air Force, Marine Corps, and Coast Guard, members of the Reserve components of the Army, Navy, Air Force, Marine Corps, and Coast Guard, and members of the Army National Guard of the United States, the Air National Guard of the United States, and the Naval Militia and of the National Guard of a State, territory, or the District of Columbia, except the National Guard disbursing officers who are on a full-time salary basis, may be appointed and serve as United States magistrate judges.

**(d)** Except as otherwise provided in sections 375 and 636(h) of this title, no individual may serve under this chapter after having attained the age of seventy years: Provided, however, That upon a majority vote of all the judges of the appointing court or courts, which is taken upon the magistrate judge's attaining age seventy and upon each subsequent anniversary thereof, a magistrate judge who has attained the age of seventy years may continue to serve and may be reappointed under this chapter.

**(e)** The appointment of any individual as a full-time magistrate judge shall be for a term of eight years, and the appointment of any individuals as a part-time magistrate judge shall be for a term of four years, except that the term of a full-time or part-time magistrate judge appointed under subsection (k) shall expire upon--

1. the expiration of the absent magistrate judge's term,
2. the reinstatement of the absent magistrate judge in regular service in office as a magistrate judge,
3. the failure of the absent magistrate judge to make timely application under subsection (j) of this section for reinstatement in regular service in office as a magistrate judge after discharge or release from military service,
4. the death or resignation of the absent magistrate judge, or
5. the removal from office of the absent magistrate judge pursuant to subsection (i) of this section,

whichever may first occur.

**(f)** Upon the expiration of his term, a magistrate judge may, by a majority vote of the judges of the appointing district court or courts and with the approval of the judicial council of the circuit, continue to perform the duties of his office until his successor is appointed, or for 180 days after the date of the expiration of the magistrate judge's term, whichever is earlier.

**(g)** Each individual appointed as a magistrate judge under this section shall take the oath or affirmation prescribed by section 453 of this title before performing the duties of his office.

**(h)** Each appointment made by a judge or judges of a district court shall be entered of record in such court, and notice of such appointment shall be given at once by the clerk of that court to the Director.

**(i)** Removal of a magistrate judge during the term for which he is appointed shall be only for incompetency, misconduct, neglect of duty, or physical or mental disability, but a magistrate judge's office shall be terminated if the conference determines that the services performed by his office are no longer needed. Removal shall be by the judges of the district court for the judicial district in which the magistrate judge serves; where there is more than one judge of a district court, removal shall not occur unless a majority of all the judges of such court concur in the order of removal; and when there is a tie vote of the judges of the district court on the question of the removal or retention in office of a magistrate judge, then removal shall be only by a concurrence of a majority of all the judges of the council. In the case of a magistrate judge appointed under the third sentence of subsection (a) of this section, removal shall not occur unless a majority of all the judges of the appointing district courts concur in the order of removal; and where there is a tie vote on the question of the removal or retention in office of a magistrate judge, then removal shall be only by a concurrence of a majority of all the judges of the council or councils. Before any order or removal shall be entered, a full specification of the charges shall be furnished to the magistrate judge, and he shall be accorded by the judge or judges of the removing court, courts, council, or councils an opportunity to be heard on the charges.

**(j)** Upon the grant by the appropriate district court or courts of a leave of absence to a magistrate judge entitled to such relief under chapter 43 of title 38, such court or courts may proceed to appoint, in the manner specified in subsection (a) of this section, another magistrate judge, qualified for appointment and service under subsections (b), (c), and (d) of this section, who shall serve for the period specified in subsection (e) of this section.

**(k)** A United States magistrate judge appointed under this chapter shall be exempt from the provisions of subchapter I of chapter 63 of title 5.

## **§ 632. Character of Service**

(a) Full-time United States magistrate judges may not engage in the practice of law, and may not engage in any other business, occupation, or employment inconsistent with the expeditious, proper, and impartial performance of their duties as judicial officers.

(b) Part-time United States magistrate judges shall render such service as judicial officers as is required by law. While so serving they may engage in the practice of law, but may not serve as counsel in any criminal action in any court of the United States, nor act in any capacity that is, under such regulations as the conference may establish, inconsistent with the proper discharge of their office. Within such restrictions, they may engage in any other business, occupation, or employment which is not inconsistent with the expeditious, proper, and impartial performance of their duties as judicial officers.

## **§ 633. Determination of Number, Locations, and Salaries of Magistrate Judges**

### **(a) Surveys by the Director.**

1. The Director shall, within one year immediately following the date of the enactment of the Federal Magistrates Act, make a careful survey of conditions in judicial districts to determine (A) the number of appointments of full-time magistrates and part-time magistrates required to be made under this chapter to provide for the expeditious and effective administration of justice, (B) the locations at which such officers shall serve, and (C) their respective salaries under section 634 of this title. Thereafter, the Director shall, from time to time, make such surveys, general or local, as the conference shall deem expedient.
2. In the course of any survey, the Director shall take into account local conditions in each judicial district, including the areas and the populations to be served, the transportation and communications facilities available, the amount and distribution of business of the type expected to arise before officers appointed under this chapter (including such matters as may be assigned under section 636(b) of this chapter), and

any other material factors. The Director shall give consideration to suggestions from any interested parties, including district judges, United States magistrate judges or officers appointed under this chapter, United States attorneys, bar associations, and other parties having relevant experience or information.

3. The surveys shall be made with a view toward creating and maintaining a system of full-time United States magistrate judges. However, should the Director find, as a result of any such surveys, areas in which the employment of a full-time magistrate judge would not be feasible or desirable, he shall recommend the appointment of part-time United States magistrate judges in such numbers and at such locations as may be required to permit prompt and efficient issuance of process and to permit individuals charged with criminal offenses against the United States to be brought before a judicial officer of the United States promptly after arrest.

**(b) Determination by the Conference.**--Upon the completion of the initial surveys required by subsection (a) of this section, the Director shall report to the district courts, the councils, and the conference his recommendations concerning the number of full-time magistrates and part-time magistrates, their respective locations, and the amount of their respective salaries under section 634 of this title. The district courts shall advise their respective councils, stating their recommendations and the reasons therefor; the councils shall advise the conference, stating their recommendations and the reasons therefor, and shall also report to the conference the recommendations of the district courts. The conference shall determine, in the light of the recommendations of the Director, the district courts, and the councils, the number of full-time United States magistrates and part-time United States magistrates, the locations at which they shall serve, and their respective salaries. Such determinations shall take effect in each judicial district at such time as the district court for such judicial district shall determine, but in no event later than one year after they are promulgated.

**(c) Changes in Number, Locations, and Salaries.**--Except as otherwise provided in this chapter, the conference may, from time to time, in the light of the recommendations of the Director, the district courts, and the councils, change the number, locations, and salaries of full-time and

part-time magistrate judges, as the expeditious administration of justice may require.

### **§ 634. Compensation**

(a) Officers appointed under this chapter shall receive, as full compensation for their services, salaries to be fixed by the conference pursuant to section 633, at rates for full-time United States magistrate judges up to an annual rate equal to 92 percent of the salary of a judge of the district court of the United States, as determined pursuant to section 135, and at rates for part-time magistrate judges of not less than an annual salary of \$100, nor more than one-half the maximum salary payable to a full-time magistrate judge. In fixing the amount of salary to be paid to any officer appointed under this chapter, consideration shall be given to the average number and the nature of matters that have arisen during the immediately preceding period of five years, and that may be expected thereafter to arise, over which such officer would have jurisdiction and to such other factors as may be material. Disbursement of salaries shall be made by or pursuant to the order of the Director.

(b) Except as provided by section 8344, title 5, relating to reductions of the salaries of reemployed annuitants under subchapter III of chapter 83 of such title and unless the office has been terminated as provided in this chapter, the salary of a full-time United States magistrate judge shall not be reduced, during the term in which he is serving, below the salary fixed for him at the beginning of that term.

(c) All United States magistrate judges, effective upon their taking the oath or affirmation of office, and all necessary legal, clerical, and secretarial assistants employed in the offices of full-time United States magistrate judges shall be deemed to be officers and employees in the judicial branch of the United States Government within the meaning of subchapter III (relating to civil service retirement) of chapter 83, chapter 87 (relating to Federal employees' group life insurance), and chapter 89 (relating to Federal employees' health benefits program) of title 5. Part-time magistrate judges shall not be excluded from coverage under these chapters solely for lack of a prearranged regular tour of duty. A legal assistant appointed under this section shall be exempt from the provisions of subchapter I of chapter 63 of title 5, unless specifically included by the appointing judge or by local rule of court.

## § 635. Expenses

(a) Full-time United States magistrate judges serving under this chapter shall be allowed their actual and necessary expenses incurred in the performance of their duties, including the compensation of such legal assistants as the Judicial Conference, on the basis of the recommendations of the judicial councils of the circuits, considers necessary, and the compensation of necessary clerical and secretarial assistance. Such expenses and compensation shall be determined and paid by the Director under such regulations as the Director shall prescribe with the approval of the conference. The Administrator of General Services shall provide such magistrate judges with necessary courtrooms, office space, furniture and facilities within United States courthouses or office buildings owned or occupied by departments or agencies of the United States, or should suitable courtroom and office space not be available within any such courthouse or office building, the Administrator of General Services, at the request of the Director, shall procure and pay for suitable courtroom and office space, furniture and facilities for such magistrate judge in another building, but only if such request has been approved as necessary by the judicial council of the appropriate circuit.

(b) Under such regulations as the Director shall prescribe with the approval of the conference, the Director shall reimburse part-time magistrate judges for actual expenses necessarily incurred by them in the performance of their duties under this chapter. Such reimbursement may be made, at rates not exceeding those prescribed by such regulations, for expenses incurred by such part-time magistrate judges for clerical and secretarial assistance, stationery, telephone and other communications services, travel, and such other expenses as may be determined to be necessary for the proper performance of the duties of such officers: Provided, however, That no reimbursement shall be made for all or any portion of the expense incurred by such part-time magistrate judges for the procurement of office space.

## § 636. Jurisdiction, Powers, and Temporary Assignment

(a) Each United States magistrate judge serving under this chapter shall have within the district in which sessions are held by the court that appointed the magistrate judge, at other places where that court may function, and elsewhere as authorized by law--

1. all powers and duties conferred or imposed upon United States commissioners by law or by the Rules of Criminal Procedure for the United States District Courts;
2. the power to administer oaths and affirmations, issue orders pursuant to section 3142 of title 18 concerning release or detention of persons pending trial, and take acknowledgements, affidavits, and depositions;
3. the power to conduct trials under section 3401, title 18, United States Code, in conformity with and subject to the limitations of that section;
4. the power to enter a sentence for a petty offense; and
5. the power to enter a sentence for a class A misdemeanor in a case in which the parties have consented.

**(b)**

1. Notwithstanding any provision of law to the contrary--
  - A. a judge may designate a magistrate judge to hear and determine any pretrial matter pending before the court, except a motion for injunctive relief, for judgment on the pleadings, for summary judgment, to dismiss or quash an indictment or information made by the defendant, to suppress evidence in a criminal case, to dismiss or to permit maintenance of a class action, to dismiss for failure to state a claim upon which relief can be granted, and to involuntarily dismiss an action. A judge of the court may reconsider any pretrial matter under this subparagraph (A) where it has been shown that the magistrate judge's order is clearly erroneous or contrary to law.
  - B. a judge may also designate a magistrate judge to conduct hearings, including evidentiary hearings, and to submit to a judge of the court proposed findings of fact and recommendations for the disposition, by a judge of the court, of any motion excepted in subparagraph (A), of applications for posttrial relief made by individuals convicted of criminal offenses and of prisoner petitions challenging conditions of confinement.

- C. the magistrate judge shall file his proposed findings and recommendations under subparagraph (B) with the court and a copy shall forthwith be mailed to all parties.

Within fourteen days after being served with a copy, any party may serve and file written objections to such proposed findings and recommendations as provided by rules of court. A judge of the court shall make a de novo determination of those portions of the report or specified proposed findings or recommendations to which objection is made. A judge of the court may accept, reject, or modify, in whole or in part, the findings or recommendations made by the magistrate judge. The judge may also receive further evidence or recommit the matter to the magistrate judge with instructions.

2. A judge may designate a magistrate judge to serve as a special master pursuant to the applicable provisions of this title and the Federal Rules of Civil Procedure for the United States district courts. A judge may designate a magistrate judge to serve as a special master in any civil case, upon consent of the parties, without regard to the provisions of rule 53(b) of the Federal Rules of Civil Procedure for the United States district courts.
3. A magistrate judge may be assigned such additional duties as are not inconsistent with the Constitution and laws of the United States.
4. Each district court shall establish rules pursuant to which the magistrate judges shall discharge their duties.

(c) Notwithstanding any provision of law to the contrary--

1. Upon the consent of the parties, a full-time United States magistrate judge or a part-time United States magistrate judge who serves as a full-time judicial officer may conduct any or all proceedings in a jury or nonjury civil matter and order the entry of judgment in the case, when specially designated to exercise such jurisdiction by the district court or courts he serves. Upon the consent of the parties, pursuant to their specific written request, any other part-time magistrate judge may exercise such jurisdiction, if such magistrate judge meets the bar membership requirements set forth in section 631(b)

- (1) and the chief judge of the district court certifies that a full-time magistrate judge is not reasonably available in accordance with guidelines established by the judicial council of the circuit. When there is more than one judge of a district court, designation under this paragraph shall be by the concurrence of a majority of all the judges of such district court, and when there is no such concurrence, then by the chief judge.
2. If a magistrate judge is designated to exercise civil jurisdiction under paragraph (1) of this subsection, the clerk of court shall, at the time the action is filed, notify the parties of the availability of a magistrate judge to exercise such jurisdiction. The decision of the parties shall be communicated to the clerk of court. Thereafter, either the district court judge or the magistrate judge may again advise the parties of the availability of the magistrate judge, but in so doing, shall also advise the parties that they are free to withhold consent without adverse substantive consequences. Rules of court for the reference of civil matters to magistrate judges shall include procedures to protect the voluntariness of the parties' consent.
  3. Upon entry of judgment in any case referred under paragraph (1) of this subsection, an aggrieved party may appeal directly to the appropriate United States court of appeals from the judgment of the magistrate judge in the same manner as an appeal from any other judgment of a district court. The consent of the parties allows a magistrate judge designated to exercise civil jurisdiction under paragraph (1) of this subsection to direct the entry of a judgment of the district court in accordance with the Federal Rules of Civil Procedure. Nothing in this paragraph shall be construed as a limitation of any party's right to seek review by the Supreme Court of the United States.
  4. The court may, for good cause shown on its own motion, or under extraordinary circumstances shown by any party, vacate a reference of a civil matter to a magistrate judge under this subsection.
  5. The magistrate judge shall, subject to guidelines of the Judicial Conference, determine whether the record taken pursuant to

this section shall be taken by electronic sound recording, by a court reporter, or by other means.

(d) The practice and procedure for the trial of cases before officers serving under this chapter shall conform to rules promulgated by the Supreme Court pursuant to section 2072 of this title.

(e) **Contempt Authority.**--

1. **In general.**--A United States magistrate judge serving under this chapter shall have within the territorial jurisdiction prescribed by the appointment of such magistrate judge the power to exercise contempt authority as set forth in this subsection.
2. **Summary criminal contempt authority.**--A magistrate judge shall have the power to punish summarily by fine or imprisonment, or both, such contempt of the authority of such magistrate judge constituting misbehavior of any person in the magistrate judge's presence so as to obstruct the administration of justice. The order of contempt shall be issued under the Federal Rules of Criminal Procedure.
3. **Additional criminal contempt authority in civil consent and misdemeanor cases.**--In any case in which a United States magistrate judge presides with the consent of the parties under subsection (c) of this section, and in any misdemeanor case proceeding before a magistrate judge under section 3401 of title 18, the magistrate judge shall have the power to punish, by fine or imprisonment, or both, criminal contempt constituting disobedience or resistance to the magistrate judge's lawful writ, process, order, rule, decree, or command. Disposition of such contempt shall be conducted upon notice and hearing under the Federal Rules of Criminal Procedure.
4. **Civil contempt authority in civil consent and misdemeanor cases.**--In any case in which a United States magistrate judge presides with the consent of the parties under subsection (c) of this section, and in any misdemeanor case proceeding before a magistrate judge under section 3401 of title 18, the magistrate judge may exercise the civil contempt authority of the district court. This paragraph shall not be construed to limit

the authority of a magistrate judge to order sanctions under any other statute, the Federal Rules of Civil Procedure, or the Federal Rules of Criminal Procedure.

5. **Criminal contempt penalties.**--The sentence imposed by a magistrate judge for any criminal contempt provided for in paragraphs (2) and (3) shall not exceed the penalties for a Class C misdemeanor as set forth in sections 3581(b)(8) and 3571(b)(6) of title 18.
6. **Certification of other contempts to the district court.**--Upon the commission of any such act--
  - A. in any case in which a United States magistrate judge presides with the consent of the parties under subsection (c) of this section, or in any misdemeanor case proceeding before a magistrate judge under section 3401 of title 18, that may, in the opinion of the magistrate judge, constitute a serious criminal contempt punishable by penalties exceeding those set forth in paragraph (5) of this subsection, or
  - B. in any other case or proceeding under subsection (a) or (b) of this section, or any other statute, where--
    - (i) the act committed in the magistrate judge's presence may, in the opinion of the magistrate judge, constitute a serious criminal contempt punishable by penalties exceeding those set forth in paragraph (5) of this subsection,
    - (ii) the act that constitutes a criminal contempt occurs outside the presence of the magistrate judge, or
    - (iii) the act constitutes a civil contempt, the magistrate judge shall forthwith certify the facts to a district judge and may serve or cause to be served, upon any person whose behavior is brought into question under this paragraph, an order requiring such person to appear before a district judge upon a day certain to show cause why that person should not be adjudged in contempt by reason of the facts so certified. The district judge shall thereupon hear the evidence as to the act or conduct complained of and, if it is such as to warrant punishment, punish such person in

the same manner and to the same extent as for a contempt committed before a district judge.

- 7. Appeals of magistrate judge contempt orders.**--The appeal of an order of contempt under this subsection shall be made to the court of appeals in cases proceeding under subsection (c) of this section. The appeal of any other order of contempt issued under this section shall be made to the district court.

**(f)** In an emergency and upon the concurrence of the chief judges of the districts involved, a United States magistrate judge may be temporarily assigned to perform any of the duties specified in subsection (a), (b), or (c) of this section in a judicial district other than the judicial district for which he has been appointed. No magistrate judge shall perform any of such duties in a district to which he has been temporarily assigned until an order has been issued by the chief judge of such district specifying (1) the emergency by reason of which he has been transferred, (2) the duration of his assignment, and (3) the duties which he is authorized to perform. A magistrate judge so assigned shall not be entitled to additional compensation but shall be reimbursed for actual and necessary expenses incurred in the performance of his duties in accordance with section 635.

**(g)** A United States magistrate judge may perform the verification function required by section 4107 of title 18, United States Code. A magistrate judge may be assigned by a judge of any United States district court to perform the verification required by section 4108 and the appointment of counsel authorized by section 4109 of title 18, United States Code, and may perform such functions beyond the territorial limits of the United States. A magistrate judge assigned such functions shall have no authority to perform any other function within the territory of a foreign country.

**(h)** A United States magistrate judge who has retired may, upon the consent of the chief judge of the district involved, be recalled to serve as a magistrate judge in any judicial district by the judicial council of the circuit within which such district is located. Upon recall, a magistrate judge may receive a salary for such service in accordance with regulations promulgated by the Judicial Conference, subject to the restrictions on the payment of an annuity set forth in section 377 of this title or in subchapter III of chapter 83, and chapter 84, of title

5 which are applicable to such magistrate judge. The requirements set forth in subsections (a), (b)(3), and (d) of section 631, and paragraph (1) of subsection (b) of such section to the extent such paragraph requires membership of the bar of the location in which an individual is to serve as a magistrate judge, shall not apply to the recall of a retired magistrate judge under this subsection or section 375 of this title. Any other requirement set forth in section 631(b) shall apply to the recall of a retired magistrate judge under this subsection or section 375 of this title unless such retired magistrate judge met such requirement upon appointment or reappointment as a magistrate judge under section 361.

### **§ 637. Training**

The Federal Judicial Center shall conduct periodic training programs and seminars for both full-time and part-time United States magistrate judges, including an introductory training program for new magistrate judges, to be held within one year after initial appointment.

### **§ 638. Dockets and Forms; United States Code; Seals**

(a) The Director shall furnish to United States magistrate judges adequate docket books and forms prescribed by the Director. The Director shall also furnish to each such officer a copy of the current edition of the United States Code.

(b) All property furnished to any such officer shall remain the property of the United States and, upon the termination of his term of office, shall be transmitted to his successor in office or otherwise disposed of as the Director orders.

(c) The Director shall furnish to each United States magistrate judge appointed under this chapter an official impression seal in a form prescribed by the conference. Each such officer shall affix his seal to every jurat or certificate of his official acts without fee.

## § 639. Definitions

As used in this chapter--

1. “Conference” shall mean the Judicial Conference of the United States;
2. “Council” shall mean the Judicial Council of the Circuit;
3. “Director” shall mean the Director of the Administrative Office of the United States Courts;
4. “Full-time magistrate judge” shall mean a full-time United States magistrate judge;
5. “Part-time magistrate judge” shall mean a part-time United States magistrate judge; and
6. “United States magistrate judge” and “magistrate judge” shall mean both full-time and part-time United States magistrate judges.

## Provisions of Title 18, United States Code

### § 3401. Misdemeanors; Application of Probation Laws

(a) When specially designated to exercise such jurisdiction by the district court or courts he serves, any United States magistrate judge shall have jurisdiction to try persons accused of, and sentence persons convicted of, misdemeanors committed within that judicial district.

(b) Any person charged with a misdemeanor, other than a petty offense may elect, however, to be tried before a district judge for the district in which the offense was committed. The magistrate judge shall carefully explain to the defendant that he has a right to trial, judgment, and sentencing by a district judge and that he may have a right to trial by jury before a district judge or magistrate judge. The magistrate judge may not proceed to try the case unless the defendant, after such explanation, expressly consents to be tried before the magistrate judge and expressly and specifically waives trial, judgment, and sentencing by a district judge. Any such consent and waiver shall be made in writing or orally on the record.

(c) A magistrate judge who exercises trial jurisdiction under this section, and before whom a person is convicted or pleads either guilty or nolo contendere, may, with the approval of a judge of the district court, direct the probation service of the court to conduct a presentence investigation on that person and render a report to the magistrate judge prior to the imposition of sentence.

(d) The probation laws shall be applicable to persons tried by a magistrate judge under this section, and such officer shall have power to grant probation and to revoke, modify, or reinstate the probation of any person granted probation by a magistrate judge.

(e) Proceedings before United States magistrate judges under this section shall be taken down by a court reporter or recorded by suitable sound recording equipment. For purposes of appeal a copy of the record of such proceedings shall be made available at the expense of the United States to a person who makes affidavit that he is unable to pay or give security therefor, and the expense of such copy shall be paid by the Director of the Administrative Office of the United States Courts.

(f) The district court may order that proceedings in any misdemeanor case be conducted before a district judge rather than a United States magistrate judge upon the court's own motion or, for good cause shown, upon petition by the attorney for the Government. Such petition should note the novelty, importance, or complexity of the case, or other pertinent factors, and be filed in accordance with regulations promulgated by the Attorney General.

(g) The magistrate judge may, in a petty offense case involving a juvenile, exercise all powers granted to the district court under chapter 403 of this title. The magistrate judge may, in the case of any misdemeanor, other than a petty offense, involving a juvenile in which consent to trial before a magistrate judge has been filed under subsection (b), exercise all powers granted to the district court under chapter 403 of this title. For purposes of this subsection, proceedings under chapter 403 of this title may be instituted against a juvenile by a violation notice or complaint, except that no such case may proceed unless the certification referred to in section 5032 of this title has been filed in open court at the arraignment.

(h) The magistrate judge shall have power to modify, revoke, or terminate supervised release of any person sentenced to a term of supervised release by a magistrate judge.

(i) A district judge may designate a magistrate judge to conduct hearings to modify, revoke, or terminate supervised release, including evidentiary hearings, and to submit to the judge proposed findings of fact and recommendations for such modification, revocation, or termination by the judge, including, in the case of revocation, a recommended disposition under section 3583(e) of this title. The magistrate judge shall file his or her proposed findings and recommendations.

### **§ 3402. Rules of Procedure, Practice and Appeal**

In all cases of conviction by a United States magistrate judge an appeal of right shall lie from the judgment of the magistrate judge to a judge of the district court of the district in which the offense was committed.

# APPENDIX K

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## Guide to Judiciary Policy

### Vol. 3: Judges

#### Ch. 4: Selection, Appointment, and Reappointment of Magistrate Judges



ADMINISTRATIVE OFFICE OF THE UNITED STATES COURTS

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