



**RULES AND REGULATIONS
OF THE
ARIZONA BOARD OF LEGAL SPECIALIZATION**

(Rev. January 21, 2005; Amended June 14, 2006)

Section I. Mission Statement

The purpose of the legal specialization program is to identify to the public and the Bar those lawyers who have demonstrated superior knowledge, skill, integrity, professionalism and a high degree of competence in a specific field of law so that the public can more closely match its needs with available services, and to permit lawyers to better serve the public by increasing the quality of legal services.

For purposes of the program in legal specialization, an applicant shall be deemed to have “engaged in legal service” if, following admission to the bar of any state or the District of Columbia, the applicant has: (1) engaged in the private practice of law; (2) served as a judge or commissioner of any court of record; (3) been employed in a legal capacity by a corporation, firm or other business entity or a governmental agency, provided the services performed were legal in nature either primarily for the purpose of advising or representing the business entity or governmental agency or individuals connected therewith, or primarily involving the evaluation, analysis and resolution of legal questions through application of legal criteria; or (4) been engaged in the teaching of law at any law school accredited by the American Bar Association.

Section II. Board of Governors

A. Authority

1. The State Bar of Arizona Board of Governors has final authority regarding the legal specialization program.
2. The program shall be re-evaluated by the Board of Governors when appropriate to determine whether it should be continued, broadened, modified, terminated, or whether some other action should be taken.
3. The Board of Governors may make, amend and publish rules, regulations and standards to define the authority and duties of the Board of Legal Specialization.

B. Designation of Specialty Areas

1. The Board of Governors has designated the following fields of specialization: Workers' Compensation (1978), Criminal Law (1978), Tax (1978), Real Estate (1986), Bankruptcy (1986), Injury and Wrongful Death Litigation (1989), Domestic Relations (1990) (renamed Family Law 1997) and Estate and Trust (1995).
2. The number of fields included in the program and the jurisdiction of the Board of Legal Specialization may be enlarged, altered, or terminated from time to time by the Board of Governors.

Section III. Board of Legal Specialization

A. Authority

Created by and subject to the continuing jurisdiction of the Board of Governors, the Board of Legal Specialization shall have general jurisdiction of all matters pertaining to specialization in the practice of law.

B. Membership

- 1. Composition.** The Board of Legal Specialization shall be composed of a maximum of sixteen members appointed by the President of the State Bar with the approval of the Board of Governors. The Board of Legal Specialization shall be representative of the legal profession and should include ten practicing lawyers, some of whom are in general practice and some of whom are certified specialists; one representative of each accredited law school in the state; a member of the State Bar Committee on Continuing Legal Education; and two public members. The term of office for all members shall be four years, and each member shall hold office for no more than two consecutive terms. Any vacancy shall be filled in the manner provided for original appointments.
- 2. Public Members.** Public members are non-lawyers who shall be appointed through the Board of Governors' Appointment Committee. There will be no residence restriction, other than being a resident of the State of Arizona.
- 3. Officers.** The President of the Board of Governors shall appoint a Chair and Vice Chair from among the Board of Legal Specialization members to two year terms.
- 4. Ex-officio Members.**

 - a. Voting.** The Immediate Past-Chair of the Board of Legal Specialization will be an ex-officio member of the Board of Legal Specialization with full member privileges.
 - b. Non-Voting.** All members of each Advisory Commission shall be ex-officio members of the Board of Legal Specialization and shall be entitled and encouraged to attend Board of Legal Specialization meetings and to participate in discussions, but shall not be entitled to vote or to be counted in determining the existence of a quorum.
- 5. Removal of Members; Attendance at Meetings.** Upon good cause shown, the Board of Legal Specialization may recommend to the Board of Governors of the State Bar that a Board of Legal Specialization or Commission member be removed from office. Absence from three meetings in any 12-month period shall constitute good cause.

C. Powers and Duties

The Board of Legal Specialization shall have the authority and duty:

1. To administer the program for the certification of specialization in the law.
2. To advise the Board of Governors concerning specialty fields and the appointment of Advisory Commissions.
3. To make and publish reasonable and non-discriminatory standards concerning education, experience, and other relevant matters, for the certification of lawyers as specialists, which may from time to time be amended or altered.
4. To approve or deny applicants for certification.
5. To provide procedures for the investigation of the qualifications of applicants.
6. To issue appropriate certificates to certified legal specialists.
7. To cooperate with other agencies of the State Bar in establishing and enforcing standards of professional conduct for specialized lawyers.
8. To encourage law schools, the State Bar Committee on Continuing Legal Education, local bar associations, and other CLE providers to develop and maintain programs of legal education and continuing legal education consistent with the Standards established by the Board of Legal Specialization.
9. To report as required, but at least annually, to the Board of Governors.

D. Limitations on Power

The power of the Board of Legal Specialization shall be limited in the following ways:

1. No rule, regulation or standard shall be approved which shall in any way limit the right of a certificate holder to practice in all fields of law. Any lawyer, alone or in association with another lawyer, shall have the right to practice in all fields of law, even though they are certified in a particular field of law.
2. No lawyer shall be required to obtain a specialty certificate before they can practice law in any specialty field. Any lawyer, alone or in association with any other lawyer, shall have the right to practice in any field of law, even though they are not certified as a specialist in that field.
3. All requirements for and all benefits to be derived from certification as a specialist are individual and may not be fulfilled by nor attributed to the law firm of which the specialist may be a member.
4. Participation in the program shall be on a completely voluntary basis.

5. The limit on the number of specialties in which a lawyer may be certified shall be determined by such practical limits as are imposed by the requirement of substantial involvement and such other standards as may be established by the Board as a prerequisite to certification.
6. No rules, regulations or standards shall be adopted in contravention of the Rules of Professional Conduct.

E. Meeting Requirements

Time and Location. Meetings of the Board of Legal Specialization and Advisory Commissions may be held at such places in the State of Arizona and at such times as may be fixed by the Chair, Vice Chair, or the presiding member. Notice of the time and place of a meeting shall be given to all members at least 15 days prior thereto.

Quorum. Five members shall constitute a quorum of the Board of Legal Specialization and Advisory Commissions for the transaction of business. Except on a final action regarding an applicant, a majority of the members present providing there is at least five votes in favor, assuming the existence of a quorum, is sufficient for adoption of a motion. As to any final action, including rehearing or appeal, on any applicant, a majority, consisting of at least five votes in favor of the motion are necessary to carry the motion. If a quorum is not present, the meeting will be adjourned and rescheduled with proper notice being sent to all members.

Section IV. Advisory Commissions

A. Authority

Advisory Commissions to the Board of Legal Specialization shall be established for each field of law in which legal specialists are to be certified as those fields may be designated from time to time by the Board of Governors.

B. Powers and Duties

The Advisory Commissions shall advise and assist the Board of Legal Specialization in carrying out its objectives and in the conduct and regulation of the program. Standards for certification of specialists shall be established by the Board of Legal Specialization, but it will be advised in this and other relevant matters by the Advisory Commission for each specialty field. The Advisory Commission for each field shall be charged with actively administering the program in its particular field in cooperation with and under the general policy guidance of the Board of Legal Specialization. Members of the Advisory Commissions shall be appointed by the President of the Board of Governors for terms of three years and shall serve until their successors are appointed.

The Advisory Commissions are responsible for establishing the percentage of time criteria used to define substantial involvement within a particular specialty field. The Advisory

Commissions shall establish a minimum requirement for substantial involvement within the specialty field which shall be no less than 33.3% and no more than 50% of the full-time practice of law.

The test and its grading criteria shall be formulated at the direction of the Advisory Commission and approved by the Board of Legal Specialization.

C. **Composition**

A qualified person shall be eligible for appointment to the Advisory Commission if they are an active practicing member in good standing of the State Bar of Arizona, or if the person is teaching law on a full-time basis and is teaching in the field of the applicable specialty.

1. **Bankruptcy Advisory Commission.** This commission shall be composed of ten attorneys practicing/teaching in the field of bankruptcy law, selected in a manner so as to give the commission a balanced representation of practitioners from the various fields of bankruptcy law.
2. **Criminal Law Advisory Commission.** This commission shall be composed of ten attorneys practicing/teaching in the field of criminal law selected in a manner so as to give the commission a balanced representation of practitioners from the various fields of criminal law, which includes at least one private defense attorney, one public defender, and one prosecutor.
3. **Family Law Advisory Commission.** This commission shall be composed of ten attorneys selected from among attorneys practicing/teaching in the field of domestic relations law, selected in a manner so as to give the commission a balanced representation of practitioners from the various fields of domestic relations law.
4. **Estate and Trust Advisory Commission.** This commission shall be composed of ten attorneys selected from among attorneys practicing/teaching in the field of estate and trust law, selected in a manner so as to give the commission a balanced representation of practitioners from the various fields of estate and trust law.
5. **Injury and Wrongful Death Advisory Commission.** This commission shall be composed of ten attorneys selected from among attorneys practicing/teaching in the field of injury and wrongful death law, selected in a manner so as to give the commission a balanced representation of practitioners from the various fields of injury and wrongful death litigation.
6. **Real Estate Advisory Commission.** This commission shall be composed of ten attorneys selected from among attorneys practicing/teaching in the field of real estate law, selected in a manner so as to give the commission a balanced representation of practitioners from the various fields of real estate law.

7. **Taxation Advisory Commission.** This commission shall be composed of ten attorneys selected from among attorneys practicing/teaching in the field of tax law, selected in a manner so as to give the commission a balanced representation of practitioners from the various fields of tax law.
8. **Workers' Compensation Advisory Commission.** This commission shall be composed of ten attorneys selected from among attorneys practicing/teaching in the field of Workers' Compensation law and shall include at least one Industrial Commission Administrative Law Judge who is a member of the State Bar and eight attorneys selected in a manner so as to give the commission a balanced representation of practitioners from the various fields of workers' compensation law.
9. **Officers.** The President of the Board of Governors shall appoint a Chair and Vice Chair to two year terms. The immediate past Chair will be an ex-officio member of the Advisory Commissions with full voting privileges.

Section V. Requirements for Certification

In order to qualify for certification in a designated specialty field, an applicant must demonstrate that they meet the requirements for specialization prior to the date the application was submitted and that they meet the following minimum standards. Each Advisory Commission may recommend, and the Board of Legal Specialization may establish, additional or higher standards:

- A. Applicant shall have been admitted to the practice of law for a minimum of five years.
- B. Applicant must have practiced law within the State of Arizona for a minimum of two years immediately preceding the application.
- C. Applicant must be an active member in good standing of the State Bar of Arizona.
- D. Applicant shall have been engaged in legal service as defined in Section I at least to the equivalent of 50% of a full-time practice.
- E. Applicant must make a satisfactory showing of substantial involvement in the specialty field during four of the five years immediately preceding the application. Substantial involvement as used in this program shall be defined by the Board of Legal Specialization as to each particular field of law based on a consideration of the nature and extent of practice in the particular field of law. It is intended to be a measurement of the actual experience and competence within the particular specialty field. Substantial involvement may be measured by several standards such as the percentage of time devoted to work in the specialty area, the number or type of matters handled within a certain period of time, teaching the law of a specialty field, or any combination of these or other appropriate factors.

- F. Applicant must demonstrate honesty and integrity, professionalism as defined by the Lawyer's Creed of Professionalism of the State Bar of Arizona, and a high degree of competence in the practice of the particular field of law. The required degree of competence is substantially higher than that possessed by a general practitioner who regularly handles a matter in that particular field of law. For purposes hereof, a "high degree of competence" shall meet the following standards:
1. The applicant demonstrate a substantially complete knowledge of substantive law and rules of practice, procedure, evidence and ethics pertaining to that particular field of law.
 2. The applicant demonstrate a high degree of skill, thoroughness, preparation, effectiveness, professionalism, and judgment in that particular field of law.
 3. The applicant satisfactorily complete a written examination in the topics specified in paragraphs (1) and (2) above.
 4. The applicant possess a substantially complete knowledge of and can demonstrate a high degree of skill in the use of alternative dispute resolution as it applies in the field.
 5. Legal competence is measured by the extent to which an attorney (1) is specifically knowledgeable about the fields of law in which they practice, (2) performs the techniques of such practice with skill, (3) manages such practice efficiently, (4) identifies issues beyond their competence relevant to the matter undertaken, bringing these to the client's attention, and (5) properly prepares and carries through the matter undertaken.
- G. Applicant must pay all application, investigation and testing fees as specified in the Standards.

Section VI. Procedure for Initial Certification and Recertification

- A. **Applications.** Applications shall be typewritten on forms provided by the Board of Legal Specialization. The content of the applications shall conform to the standards established for certification of lawyers in each of the specialty fields. Applications are to be submitted to the State Bar office of the Board of Legal Specialization by August 1st of each year and must be accompanied by the application fee. The fee will be set by the Board of Legal Specialization.

For purposes of determining when an application or supplemental information is timely, the application or supplemental information shall be deemed submitted when actually received at the offices of the Board of Legal Specialization.

- B. **Withdrawal of Applications.** If an application is withdrawn, 50 percent of the application fee shall be refunded. Written notice of withdrawal shall be required before any refund

shall be extended to any applicant and the notice of withdrawal must be submitted no later than 30 days after the date of the filing of the application. An applicant shall not be entitled to a refund if they fail to timely withdraw the application for certification.

- C. Expiration of Applications.** Applications not completed, including examination, within two years of the filing date, unless the application is pending recommendation by an Advisory Commission or decision by the Board of Legal Specialization or Board of Governors, will expire. An application can be denied at any time within the two year application period for failure to successfully meet the requirements.
- D. Late Applications.** Applications received after the August 1st deadline but before October 1st must be accompanied by a \$75.00 late fee. Applications received after October 1st will not be accepted for that application cycle.
- E. Confidentiality**
- 1. Applications.** The contents of the application and statements of references shall be confidential and privileged from disclosure, unless the Advisory Commission, the Board of Legal Specialization or the Board of Governors determines that disclosure of certain materials is necessary to permit the applicant to appeal from an adverse decision with respect to his or her application for certification or recertification.
 - 2. Investigations.** Investigations, hearings, evidence, findings, and recommendations shall be confidential and privileged from disclosure, unless the Advisory Commission, the Board of Legal Specialization or the Board of Governors determines that disclosure of certain materials is necessary to permit the applicant to appeal from an adverse decision with respect to his or her application for certification or recertification.
 - 3. Scope.** The provisions on confidentiality and nondisclosure contained in this section shall also extend to investigations and hearings by the Advisory Commissions, hearings and other proceedings before the Board of Legal Specialization or its designees, and appeals to the Board. When confidential information is to be discussed in a session, then that session is closed.
 - 4. Immunity from Civil Suit.** Pursuant to Ethical Rule 7.4(d), no civil action predicated on information communicated to the Board of Legal Specialization or its Advisory Commissions relating to applicant's qualifications for specialization certification may be instituted or maintained against any evaluator, staff or witness who communicates with the Board or its Advisory Commissions. Members of the Board of Legal Specialization, its Advisory Commissions, and others involved in the specialization certification process shall be immune from suite for any conduct in the course of their official duties.
- F. Initial Review.** Applications shall be examined promptly upon receipt by Board of Legal Specialization staff to determine whether the application is complete. The applicant shall be notified and given 30 days to supplement any missing information.

G. Review by Advisory Commission. A completed application shall be referred to the appropriate Advisory Commission for investigation, review and recommendation to the Board of Legal Specialization. In order to ascertain eligibility for certification, the Advisory Commission may independently review any public record, including records of any charge(s) dismissed by the State Bar of Arizona Lawyer Regulation Office or any charge resulting in the imposition of a disciplinary sanction. The Advisory Commission may also request a waiver of confidentiality from the applicant in order to review an investigative charge pending before the State Bar of Arizona Lawyer Regulation Office. An applicant may also be required to submit information in addition to that called for on the application form including the following:

1. Specific information indicating the percentage of time devoted by the applicant to the practice of law in the particular specialty area;
2. The nature, number, and dates of specific matters handled, and the nature of the applicant's participation;
3. The nature, number of, and examples of documents filed or prepared for use in particular matters;
4. Specific information concerning a dismissed disciplinary charge, or a charge resulting in any form of disciplinary sanction.
5. Specific Information concerning an investigative charge then pending in the State Bar's Lawyer Regulation Office.
6. Such other non-privileged information relating to applicant's law practice as the Advisory Commission or Board of Legal Specialization may require.

In the event that the Board of Legal Specialization or Advisory Commission determines that the applicant has not provided sufficient information to make a determination, the applicant shall be given written notice of the additional or supplemental information required. The notice shall specifically identify the scope and nature of the information required. The notice shall advise the applicant that they have 30 days from the date the notice was mailed to supplement the application, unless the supplemental information must be forwarded to the Board of Legal Specialization or Advisory Commission directly by a third party, in which case the applicant shall be advised that they have 60 days to ensure that such information is delivered to the Specialization Administrator. If the supplemental information is not received by the Specialization Administrator within the prescribed time, the Advisory Commission will make their decision based on the information in the file.

H. Investigation Fee. In the event that adverse allegations require further investigation by Board of Legal Specialization or Advisory Commission, the applicant shall be assessed a reasonable investigation fee.

I. Peer Review

1. With each application, the applicant will submit the names of at least five Arizona attorneys, other professionals* who practice in the field, and/or judges before whom the applicant has appeared, familiar with the applicant's practice, and not including current partners or associates. (*Other professionals may only be included in the list of references where approval has been authorized in the Standards for Certification in the applicable specialty field.) The Advisory Commission will select at least five additional Arizona lawyers, judges, or qualified professionals as references from cases/matters/projects submitted by the applicant. The references will be requested to provide written comments concerning the applicant not only on such specific topics as knowledge, skill, thoroughness, preparation, effectiveness and judgment, but also concerning the applicant's ethics and professionalism. References who provide negative and/or adverse comments concerning an applicant should be requested to provide the factual basis and any substantiating information for them. Names of applicants will be published in a State Bar publication, providing an opportunity for comment, at least 30 days before consideration of applications by the Advisory Commission. Reference names supplied by the applicant shall not include members of the Board of Legal Specialization or Advisory Commission. The Advisory Commission may also consult other sources. Documentation of all matters and comments considered by the Advisory Commission shall be contained in the applicant's file.
2. Applicant may be asked to supplement the record with additional names for peer review if necessary.
3. Advisory Commission may investigate, research, substantiate, and corroborate any information provided in peer review letters which may help them make a recommendation. No anonymous peer review comments will be considered by the Advisory Commission or the Board of Legal Specialization.
4. If negative and/or adverse information concerning an applicant is provided by a reference, or any other source, on the basis that the identity of the source of the information be retained in confidence and not be disclosed, an investigation will be conducted to attempt to substantiate or corroborate the accuracy of the information. If the information is corroborated or substantiated, then it may be considered by the Advisory Commission or the Board of Legal Specialization. If the investigation is unable to substantiate or corroborate the adverse information provided by the source requesting confidentiality, then the information may not be considered by the Advisory Commission or the Board of Legal Specialization.

J. Exam

The exam must be taken by initial applicants only.

1. Applicant must pay all applicable exam fees.

2. Written examinations will be given once each year at a date, time, and location determined by the Advisory Commission.
3. If the applicant does not pass the exam, an intent to deny notice will be mailed. The applicant may elect to retake the exam during the next cycle, may request to appear before the Advisory Commission to discuss the results of the exam, or may take no action.
 - a. If the applicant elects to retake the exam, they must supplement their original application with information regarding their continued substantial involvement in the specialty area. The Advisory Commission may elect to conduct additional peer review. This option is limited to one time only.
 - b. If the applicant requests to appear before the Advisory Commission, the applicant will be provided with a copy of the applicant's exam questions and answers. Model answers will not be provided.
 - c. If the applicant takes no action, the Advisory Commission will recommend denial to the Board of Legal Specialization.

In all specialty areas where an outside exam is administered, the appeal process utilized by the testing agency will apply.

K. Recommendation by Advisory Commission

1. The Advisory Commission will review the complete record to determine whether the applicant has established by a preponderance of the evidence that the applicant meets the requirements for certification as stated in this Section VII. If the applicant has successfully met the burden, the Advisory Commission will recommend approval of the applicant to the Board of Legal Specialization. If the applicant has not successfully met the burden, the Advisory Commission will issue an intent to deny.
2. The Advisory Commission is responsible for creating a complete record, including all peer review contacts and documentation of the results of its investigation.
3. The Advisory Commission will make a recommendation to the Board of Legal Specialization including findings of facts and conclusions.

L. Intent to Deny

1. **Notice.** In the event an Advisory Commission decides to recommend that an application for certification be denied, it shall notify the applicant, in writing, of its recommendation. Subject to the confidentiality provisions in section VI(E) above, the Notice of Intent to Deny shall set forth the reasons, and the factual bases, for the

recommendation and advise the applicant that they are entitled to appear before the Advisory Commission to discuss the reasons for the recommendation.

2. **Request to Appear Before Advisory Commission.** The applicant shall have 20 days after the date of receipt the Notice of Intent to Deny to file with the Specialization Administrator, a Request to Appear before the Advisory Commission. A Request to Appear may be filed even if the applicant does not wish to dispute the recommendation. If the applicant wishes to dispute the recommendation, the request must set forth their reasons for disputing the recommendation and may contain additional supporting documentation. The applicant must file an original and 10 copies of the Request to Appear and all supporting documentation with the Specialization Administrator at the offices of the State Bar of Arizona. A Request to Appear is a prerequisite to appearing for oral argument before the Board of Legal Specialization in the event the recommendation is adopted. Upon receipt of a Request to Appear, the Advisory Commission shall issue a Notice of Appearance as soon as practicable. The Notice of Appearance shall set forth the date and time when the applicant may appear before the Advisory Commission for a maximum of 15 minutes, subject to enlargement for good cause, in the discretion of the Advisory Commission Chair, Vice Chair, or designee.
3. **Recommendation.** In those cases where an applicant appears before an Advisory Commission to dispute its recommendation, the Advisory Commission shall reconsider its recommendation based on the applicant's presentation, the applicant's supplemental supporting documentation, if any, and further investigation, if any. The Advisory Commission shall then forward the file and recommendation to the Board of Legal Specialization.
4. **Consent.** Failure of the applicant to file a Request to Appear shall constitute consent to the Advisory Commission recommendation. In such event, the Advisory Commission shall forward the file and its recommendation to the Board of Legal Specialization.
5. **Decision.** The Board of Legal Specialization shall conduct an independent review of the record to determine if the documentation in the file substantiates the recommendation and, thereafter, notify the applicant of its decision to grant or deny certification. Any Notice of Denial shall contain the reasons for denial.

M. Review by Board of Legal Specialization

1. If the Advisory Commission recommends approval, the Board of Legal Specialization will review the recommendation from the Advisory Commission and approve the application, deny the application, or remand the application to the Advisory Commission.
2. If the Advisory Commission recommends denial, the of Board of Legal Specialization will review the complete record to determine whether the record

substantiates the recommendation. The Board of Legal Specialization may approval the application, deny the application or remand the application to the Advisory Commission.

3. The Board of Legal Specialization shall notify the applicant in writing of its decision to grant, remand or deny certification. The Notice of Denial shall contain the reasons for denial.
4. If the file is remanded, the Advisory Commission has 60 days to conduct additional investigation or document the file.
5. If the Board of Legal Specialization denies the application, the applicant shall have 30 days from the date of Notice of Denial to file a Request for Reconsideration with the Specialization Administrator. In the Request for Reconsideration, the applicant shall state all reasons why the applicant should be certified (but shall not include any new supporting documentation not considered by the Advisory Commission). The applicant must file an original and 15 copies of the Request for Reconsideration with the Specialization Administrator at the offices of the State Bar of Arizona within 30 days of the Notice of Denial. If a timely Request for Reconsideration is not received, the decision of the Board of Legal Specialization is final.
6. Upon receipt of a Request for Reconsideration, the Board of Legal Specialization shall issue a Notice of Oral Argument stating the date and time of argument at least 30 days in advance thereof. Any new evidence submitted will not be considered.

N. Board of Legal Specialization Oral Argument

1. At the time of oral argument, the Advisory Commission representative will have five minutes to summarize the record. The applicant shall have a maximum of 30 minutes to make a presentation to the Board of Legal Specialization.
2. As soon as practicable after oral argument, the Board of Legal Specialization shall notify the applicant in writing of its decision, including the reasons for the decision, to grant, deny or remand the application.
3. If the Board of Legal Specialization upholds its decision to deny the application, the applicant shall have 25 days from the date of the written decision to file a Notice of Appeal to the Board of Governors with the Specialization Administrator. The record shall be forwarded to a review panel of the Board of Governors for final review and disposition.

O. Appeal to the State Bar Board of Governors

1. **Procedure**

- a. **Review Panel.** Within ten days of the receipt of Notice of Appeal, which shall contain the date and nature of the decision from which relief is sought; the grounds upon which the claim for relief is based; and whether oral argument is requested, the President of the State Bar shall appoint a panel (hereinafter “Panel”) of three members of the Board to review the record and hear oral argument, if requested. One member of the Panel shall be designated as Chair. If, and in the event, it becomes necessary because of the inability of any Panel member to serve as such, the President of the State Bar may appoint a successor Panel member who shall be eligible to participate in the review, after reviewing the record.
- b. **Notice, Time and Place of Review.** If oral argument is requested in the Notice of Appeal, the Chair of the Panel shall fix the date and time for oral arguments as soon as practicable, and shall provide written notice of the date and time for oral argument to the applicant and the Chair of the Board of Legal Specialization, at least 30 days prior to the date fixed for oral argument. Written notice shall be given by mailing it to the applicant at the address last furnished by the applicant to the Membership Department of the State Bar of Arizona as required by Rule 31(c), Ariz.R.S.Ct.

2. **Review by Panel**

- a. **Statement of Objections.** No new evidence shall be presented unless good cause can be shown as to why it was not made a part of the record. At least 20 days prior to the date of oral argument, or no later than 30 days after the request for review if no oral argument is requested, the applicant may file a written statement with the Specialization Administrator containing the reasons they contest the Board of Legal Specialization decision to deny certification. The statement, if any, shall state any new evidence which should be presented and show good cause why it was not previously presented. A copy of the statement shall be filed with the Specialization Administrator by mail. At least ten days prior to the date of the oral argument, the Board of Legal Specialization designee may file a written response to the appellant’s statement with the Specialization Administrator. Any response shall be served on the applicant by mail. If no oral argument is requested, the statement of objections shall be filed no later than 30 days after Notice of Appeal is filed.
- b. **Oral Argument.** At the date and time fixed for oral argument, the applicant and the Board of Legal Specialization designee shall each have ten minutes to present their positions. The Panel members may address questions to the parties at any time during or after the arguments.
- c. **Standard of Review.** Upon review of the decision of the Board of Legal Specialization, the record and evidence considered by the Board of Legal Specialization, the written statement of objection and response, if any, and oral argument, if any, the Panel shall determine whether the decision of the

Board of Legal Specialization was arbitrary, capricious or an abuse of discretion.

d. Panel Decision; Finality. Within 30 days of the oral argument or within 60 days of the delivery of the record to the Panel, if no oral argument is requested, the Panel shall issue a decision, affirming, reversing, or modifying the recommendation of the Board of Legal Specialization, or remanding the matter for further proceedings before the Board of Legal Specialization or an Advisory Commission. The decision of the Panel shall be in writing and shall state the reasons for the decision. The decision of the Panel shall be final.

3. Extension of Time. If good cause is shown, the President of the State Bar of Arizona or the Panel Chair may extend the time for any act or thing specified in these procedures.

Section VII. Recertification

Recertification is required every five years. The application process as set forth in Section VI applies to recertification with the exception of Sub-Section I (Exams). An application for recertification must be submitted prior to the expiration of the current certificate. Each Advisory Commission may recommend, and the Board of Legal Specialization may establish, additional requirements but each applicant for recertification shall meet the following minimum standards:

- A.** Applicant shall make a satisfactory showing of continued substantial involvement in the particular field of law; during each of the five years preceding the application for recertification;
- B.** Applicant shall make a satisfactory showing of having completed the annual continuing legal education requirements in the particular field of law during each of the five years preceding the application for recertification and;
- C.** Applicant shall pay all required fees.
- D.** Where there has been no break in certification, an applicant for re-certification or an applicant in the case of a revocation of certification, shall retain his or her status as a certified specialist, until such time as a final determination of denial or revocation is made.

Section VIII. Annual Requirements

A. Annual Fee and Penalty for Delinquency.

- 1.** In the year of a specialist's initial certification, the fee shall be as follows:
 - (a)** If certified between January 1 and March 31, 100% of the annual fee;
 - (b)** If certified between April 1 and July 31, 75% of the annual fee;

- (c) If certified between August 1 and October 31, 50% of the annual fee;
- (d) If certified between November 1 and December 31, 25% of the annual fee.

The fee for the year of initial certification not paid within sixty days of the date of the letter advising the specialist of their certification shall be deemed delinquent and shall be handled as stated in Section X.A.3. hereof, except that Notice of Delinquency shall be sent to the specialist by regular mail, within thirty days of the date when the fee was delinquent.

- 2. Following the year of the specialists' initial certification, the annual fee shall be \$200.00 and shall be due on or before December 31st of each year.
- 3. Annual fees not paid by February 1 of each year shall be delinquent. Notice of Delinquency shall be sent to the specialist by regular mail, by March 1, if the annual fee is not paid by the time specified. The notice shall inform the specialist: (i) of the amount of the unpaid fee; (ii) that failure to pay the fee may result in revocation of the certificate of specialization; (iii) that the specialist may resign from the specialization program in lieu of revocation; and (iv) that a late charge of \$25.00 has been assessed for such delinquency.
- 4. Delinquency shall be cause for revocation of certification if not cured before a Notice of Intent to Revoke is issued as hereinafter provided in this Section.
- 5. The application fee for recertification shall be the same as the fee for certification as set forth hereinabove unless initial certification was revoked for noncompliance with these rules and regulations. In the case of an individual who has had his or her certification revoked pursuant to these rules and regulations, a recertification fee of \$300.00 shall be charged upon application.

B. Continuing Legal Education Requirements

1. Annual CLE

- a. Each specialist must complete 15 or more hours per year at one or more CLE Activities that meet the standards stated in Section VIII.B.2. This includes a substantive requirement of 12 hours and a professional responsibility requirement of three hours.
 - i. Substantive Requirement: The 12 hour substantive requirement refers to CLE Activities in the specialist's area of specialization.
 - ii. Professional Responsibility Requirement: The three hour professional responsibility requirement refers to CLE Activities on topics of professional responsibility, as defined in Rule 45, Ariz.R.S.Ct. (MCLE Rule).

- iii. Categories of CLE Activities: Within the overall 15 hour CLE requirement, 12 of which must be substantive and three of which must be professional responsibility, the following minimum and maximums apply:
 - 1) At least five hours must be earned by attendance at Interactive CLE.
 - 2) No more than 7.5 hours may be earned through a combination of teaching and/or writing CLE.
 - 3) Only professional responsibility credit, at a maximum of three hours, may be earned through Self-study.
 - 4) CLE hours may not be carried forward from one educational year to the next educational year.
- b. The annual CLE requirement must be met for each year a specialist is certified, including the year of certification.
- c. By September 15 of each year, each specialist must submit a report in the form of an affidavit prescribed by the Board of Legal Specialization demonstrating compliance with the CLE requirements set forth above. The affidavit shall have two parts. Part One shall be a scannable affidavit. Part Two shall set forth the titles of the seminars attended or taught, articles written, sponsoring or publishing organization, dates and location of the seminar or publication. All CLE Activities must meet the standard of Section VIII.B.2.

2. Standards

CLE Activities that are claimed toward the annual requirement shall meet the following standards:

- a. **Significant Content.** The activities shall have significant intellectual and/or practical content and the primary objective shall be to increase the attendee's professional ability as a specialist. The content of activities may include a broad or narrow range of subjects dealing with the particular specialty field.
- b. **Organized Program.** The activities shall be an organized program of learning, deal with matters directly related to the specialization field or professional responsibility, and follow the agenda defined by the written materials or exercises distributed as part of the activities. The level of instruction of CLE Activities in the area of the specialization field shall be

directed toward the development of advanced skills in the area of specialization.

- c. **Appropriate Setting.** The activities shall be conducted in a setting physically suitable to the educational activity of the program.
- d. **Instructors.** The instructors of CLE Activities shall be experts in the field in which they are teaching. The instructors' qualifications and appropriate background information shall be set forth in the activity's brochure or written materials.
- e. **Written Material.** Scholarly written materials or exercises shall be distributed to the attendee's at, or before, the time the activity is presented.
- f. **Records.** Course outlines, written materials, verification of attendance, and other evidence of a CLE Activity identifying the course, sponsor and date and place of presentation and/or publication must be retained by the specialist for recertification and any MCLE audit.

3. **Calculation of Credit Hours.**

- a. Calculation of credit hours shall be determined by dividing the total minutes of instruction by 60, and rounding to the nearest quarter hour. Breaks shall not be included as part of instructional time. For CLE Activities in the specialization field, if the activity contains other subject matter not directly related to the specialty, credit shall be allowed for the time spent in the specialty area.
- b. **Teaching Hours.** Credit may be earned for teaching at a CLE Activity or at an ABA accredited law school, or teaching a law course at any accredited Arizona university or any Arizona community college, whether the teaching is computer-based, on-line or in a classroom, so long as the instruction meets the standards of Section VIII.B.2, except that the instruction may be at a basic level.
 - i. Speakers whose presentations are accompanied by written materials prepared, augmented, or updated by the speaker may earn teaching credit, as follows:

For the original presentation:

First hour of presentation x 6 = total credit hours

Additional hours of presentation x 2 = total credit hours

Repeat live presentation hours x 1 = total credit hours

- ii. Speakers, including college of trial advocacy educators, whose presentations are not accompanied by written materials prepared, augmented, or updated by the speaker may earn teaching credit as follows:

Each hour of presentation x 1 = total credit hours

- iii. Credit hours earned through a combination of teaching and/or writing CLE may be reported to satisfy a maximum of 7.5 credit hours each year.
- c. **Writing Hours.** Credit may be earned for writing legal material in the area of specialization not used in conjunction with a CLE Activity. Such material must address an attorney audience, be at least 3,000 words in length, and be published by a recognized third-party publisher of legal material or a sponsor.
- i. For each 3,000 words of original material written, the author(s) may earn two credit hours. Multiple authors may share credit for material written.
 - ii. The first two hours may be basic in nature, but beyond that must be at an advanced level.
 - iii. Credit hours earned through a combination of teaching and/or writing CLE may be reported to satisfy a maximum of 7.5 credit hours each year.
- d. **Self-study.** Professional responsibility credit may be earned for participation in self-study activities. “Self-study” may include listening to or viewing course materials but does not include reading.
- i. Credit hours earned by self-study of course materials shall be equal to the hours of presentation of the seminar on which the materials are based, or the actual time spent in self-study, whichever is less.
 - ii. A specialist may not receive credit for both attendance at a seminar and self-study of course materials from that seminar.
 - iii. Credit hours earned through self-study may be reported to satisfy a maximum of three hours of professional responsibility credit.

4. Delinquent Compliance

Failure to obtain the required 15 hours of continuing legal education credit by the June 30 deadline will result in the following late fees:

- a. If CLE requirements are completed between July 1 and July 31, a delinquent compliance fee of \$25 is assessed.
- b. If CLE requirements are completed between August 1 and August 31, a delinquent compliance fee of \$50 is assessed.
- c. If CLE requirements are completed between September 1 and September 15, a delinquent compliance fee of \$100 is assessed.
- d. If CLE requirements are completed after September 15, a delinquent compliance fee of \$125 is assessed.

Failure to file the two-part Affidavit of Compliance when due under section VIII.B.1.c. hereof will result in the following late fees:

5. Late Filing Fees

- a. Members who file their affidavits between September 16 and October 15 will be assessed a delinquent filing fee of \$100.
- b. Members who file their affidavits between October 16 and November 15 will be assessed a delinquent filing fee of \$125.
- c. Members who file their affidavits after November 16 will be assessed a delinquent filing fee of \$150.

Such fees shall be in addition to any fee for delinquent compliance as set forth above. Failure to file the affidavit of compliance by December 15 may result in revocation of certification and summary suspension pursuant to Rule 45, Ariz.R.Sup.Ct.

6. Failure to Comply

- a. Any affidavit filed pursuant to Section XB hereof that is, or appears to be, not in compliance shall be referred to the attention of the Advisory Commission or the Board of Legal Specialization for a determination of compliance.
- b. **Revocation.** The Board of Legal Specialization may revoke a specialist's certification for failure to satisfy the annual CLE requirements.

Section IX. Revocation of Certification

- A. Procedure.** The certification of any lawyer may be revoked by the Board of Legal Specialization if, it is determined that: (1) the certificate was granted contrary to the rules and regulations of the Board of Legal Specialization; (2) the certificate was granted to a lawyer who was not eligible to acquire a certificate or who made any false representation or misstatement of material fact to the Board of Legal Specialization; (3) the certificate holder has failed to abide by all rules and regulations covering the program promulgated by the Board of Legal Specialization, as amended from time to time, including any continuing legal education requirements necessary to maintain certified status; (4) the certificate holder has failed to pay any fee established by the Board of Legal Specialization; (5) the certificate holder no longer meets the qualifications established by the Board of Legal Specialization; or (6) the certificate holder has been disciplined, disbarred or suspended by the Supreme Court or any other state or federal court or agency. The certificate holder has a duty to inform the Board of Legal Specialization promptly of any act or circumstance described above.
- B. Notice.** The Board of Legal Specialization shall give the certificate holder whose certificate is subject to revocation notice of its intent to revoke the holder's certificate and the reason therefor at least 30 days prior to revocation. Such notification shall be sent by regular mail, addressed to the applicant at the address last furnished by the applicant to the State Bar of Arizona.
- C. Hearing.** A hearing on the revocation of certification status, if requested, shall be held within 60 days of the receipt of the notice of intent to revoke issued by the Board of Legal Specialization. Hearings shall be conducted in the manner set forth above.

Section X. Requirements for Emeritus Status

The purpose of the emeritus status designation is to recognize the past and continuing contribution of the Emeritus Specialist to the advancement of the practice of their specialty. It is assumed that members seeking emeritus status designation will not carry an active case load similar to that of active certified specialists in the field.

- A.** An applicant for designation as an Emeritus Specialist shall have been certified as a specialist in their specialty field for a minimum of five years immediately preceding the application.
- B.** An applicant shall make a satisfactory showing that he or she intends to provide a minimum level of counseling, guidance, teaching, training or education to colleagues, bar committees or professional groups regarding their specialty area. An applicant may also comply with this minimal involvement standard by providing mediation or arbitration services to those in need of such services.

For purposes hereof, "litigation" is defined to be the general counseling and consideration of the law and procedure relative to the specialty area but not necessarily the active representation of litigation clients.

- C.** An applicant must demonstrate integrity, professionalism and a continuing interest in the general field of their specialty.
- D.** With each application, the applicant will submit the names of at least three Arizona attorneys who are certified specialists in the specialty area and who are familiar with the applicant's practice and continuing interest in the field. The references will be requested to provide written comments concerning the applicant's continuing interest in the field, ethics, and professionalism. Names of applicants will be published in a State Bar publication, providing an opportunity for comment, at least 30 days before consideration of applications by the Advisory Commission. The Advisory Commission may also consult other sources. Documentation of all matters and comments considered by the Advisory Commission shall be contained in the applicant's file.
- E.** Continuing legal education requirements for attorneys designated as Emeritus Specialist in a specialty area shall be met by attending one or more programs, which should consist of 15 hours per year in substantive law and/or technique seminars, including three hours of professional responsibility. Credit for other educational activities may be granted by the Board.
- F.** By applying for an acceptance of Emeritus Specialist status, the member agrees to refrain from any advertisement, publication or holding out that would state, imply or infer that the member continues to be a Certified Specialist in the field.