1	COURT OF APPEALS	
2	STATE OF NEW YORK	
3		
4	THE PEOPLE OF THE STATE OF NEW YORK,	
5	Respondent,	
6	-against-	NO. 10
7	DARRYL WATTS,	
8	Appellant.	
9		20 Eagle Street Albany, New York January 10, 2024
10	Before:	<i>,</i>
11 12	CHIEF JUDGE ROWAN D. WIL ASSOCIATE JUDGE JENNY RIV ASSOCIATE JUDGE MICHAEL J.	/ERA
13	ASSOCIATE JUDGE MICHAEL J. ASSOCIATE JUDGE MADELINE S ASSOCIATE JUDGE ANTHONY CAN ASSOCIATE JUDGE SHIRLEY TRO	INGAS NATARO
14	ASSOCIATE JUDGE CAITLIN J. H	
15		
16	Appearances:	
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24		ida Sassman-Reynolds
25	Officia	l Court Transcribe



CHIEF JUDGE WILSON: First case on the calendar is number 10, People v. Darryl Watts.

MS PECKER: Good afternoon Your Honors and m

MS. PECKER: Good afternoon, Your Honors, and may it please the court. Rachel Pecker of the Legal Aid Society on behalf of Darryl Watts. I'd like to reserve three minutes for rebuttal, please.

CHIEF JUDGE WILSON: Yes.

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MS. PECKER: Holding Mr. Watts' SORA hearing when he was incompetent violated his due process right to be present and to participate at his hearing.

An incompetent Mr. Watts could not effectuate any of the due process rights to which he was entitled, rendering them meaningless. Doe v. Pataki and Correction Law 168-o, lay out the constitutional and statutory due process rights to which Mr. Watts was entitled.

JUDGE SINGAS: There's a modification pursuant to Parris; does that take care of a procedural issue here, do you think?

MS. PECKER: It does not, Your Honor, and I'd be happy to tell you why. So that was one of the solutions that the Parris court provided for this due - - - due process problem here. And a - - - a 168-o de novo hearing was essentially legislating from the bench. There they wrote in a hearing that does not exist in the statute and wrote it into the statute. And although, they didn't admit

that there was a due process violation taking place, it inherently recognizes that there was a due process violation there. And this court has recognized that a 168-o hearing is not a replacement for a fair and accurate hearing in the first place and an accurate initial classification in the first place.

A 168-o de novo hearing also presumes that the initial level up front was correct. And here we know that it was not. The Parris and the Watts courts never suggested that Mr. Watts' participation didn't have an impact on his classification level.

JUDGE GARCIA: So what - - - what do you think - - I'm sorry.

MS. PECKER: Yes.

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JUDGE GARCIA: What do you think should happen here?

MS. PECKER: Great, Your Honor. So the rule that we're asking for today is if the court - - - SORA court thinks that there is indicia of incompetency, then they have a duty to inquire. And if it reasonably appears that Mr. Watts was incompetent, then they have a duty to order an - - a competency evaluation. And that balance makes sense - - -

JUDGE GARCIA: Okay. And let's play that out, though.



1	MS. PECKER: Sure.
2	JUDGE GARCIA: Let's assume he's in the
3	meantime, what happens? This may take a long time to have
4	a not a long time, but some time to take a competent
5	get a competency.
6	MS. PECKER: Sure. Absolutely, Your Honor. Do
7	you want me to start with what
8	JUDGE GARCIA: So what happens in the interim,
9	first thing?
LO	MS. PECKER: After he's been found let's
L1	say he was found incompetent?
L2	JUDGE GARCIA: No. no. He hasn't been yet, but
L3	there's a hearing order
L4	MS. PECKER: Okay.
L5	JUDGE GARCIA: or an
L6	MS. PECKER: All right.
L7	JUDGE GARCIA: exam order?
L8	MS. PECKER: Sure. So the court orders an exam.
L9	If the findings come back that he is competent, the court
20	will
21	JUDGE GARCIA: In the meantime
22	JUDGE CANNATARO: If there's if you're
23	-
24	JUDGE GARCIA: what happens?
25	MS. PECKER: Sure. Yes.



1	JUDGE CANNATARO: waiting for a finding,
2	does does he get released while you're waiting for a
3	finding?
4	MS. PECKER: Okay. So if in the meantime,
5	you're what happens? So here Mr. Watts was in
6	confinement. He was civilly confined at the time as a
7	_
8	JUDGE GARCIA: But what if the person is not?
9	MS. PECKER: Okay. So why don't I go through al
10	the situations? So if he was civilly confined, we would
11	know where he was and Mr. Watts was on PRS, so there's not
12	that concern. I understand, if he was not confined then
13	what happens when he's in the community? The court would
14	handle this just like it handles 730.20 misdemeanor out,
15	730 cases as this court considered in Molinaro v. Rikers.
16	In those cases, the when the court has a a
17	client that is entitled to be in the community, they order
18	order a competency evaluation and the client is

JUDGE GARCIA: So this person, who could be, again, not - - in the hypothetical, a level 3 override sexually violent offender, is released into the community while this is happening?

released and has to get to that competency evaluation.

MS. PECKER: Correct, Your Honor. And that makes sense because the legislature in the Correction Law has



2	registration
3	JUDGE GARCIA: Wait. Let's get to that
4	MS. PECKER: is required before
5	JUDGE GARCIA: "makes sense". But before
6	we get let's
7	MS. PECKER: Sure.
8	JUDGE GARCIA: start stop with "tha
9	that makes sense". So part of SORA is protection o
10	the community, right?
11	MS. PECKER: Yes.
12	JUDGE GARCIA: You have somebody who is subject
13	to a mandatory override, let's say level 3, sexually
14	violent offender, but pending the competency hearing,
15	they're being released into the community?
16	MS. PECKER: Correct. And and and
17	there's
18	JUDGE GARCIA: Because of a case that involves
19	misdemeanor and a competency hearing?
20	MS. PECKER: No. So the the three ways,
21	though, a legislature legislature contemplated that
22	someone who, perhaps the board is recommending a level 3,
23	might be in the community and be registered, but not yet
24	have a level. That happens in three situations.

already contemplated for three situations like this where



So that happens under 168-1 subsection 8, when a

1	hearing cannot be held before the client has been released,
2	and then the client has to register and they're released to
3	the community, but they have not yet had their level. It
4	happens in two other situations that the legislature
5	already contemplated. It happens when an individual has a
6	federal sex offense conviction and when an out-of-state sex
7	offense offender moves into the state. They have to
8	register within ten days of moving into the state, but they
9	don't yet have a level.
10	And the legislature didn't say you can't live in
11	the community without a level. So they under
12	JUDGE TROUTMAN: So would your client be
13	registered?

MS. PECKER: Yes, Your Honor. Here, Mr. Watts, by the time of his SORA hearing was registered. And registration sufficiently on its own, protects and furthers SORA purpose because - - -

JUDGE GARCIA: But level - - - registration, as I understand it, is kind of a level 1 light, right?

MS. PECKER: It is $-\ -\$ has many of the same obligations as a level 1.

JUDGE GARCIA: But not all?

MS. PECKER: But not all, correct. So registration - - - so SORA's purpose is twofold. It is to protect the public. And it does that by allowing law



1	enforcement to monitor, identify, and apprehend
2	individuals, providing a disincentive for them to recommit
3	crimes, and also, by providing community notification.
4	Registration in of itself satisfies both those
5	JUDGE TROUTMAN: Is registration impacted by the
6	level that you're designated?
7	MS. PECKER: Registration is based on your crime
8	of conviction, and you have a list of things that you have
9	to do.
10	JUDGE TROUTMAN: But when you're designated a
11	certain level
12	MS. PECKER: A level you get additional
13	obligations and notifications.
14	JUDGE TROUTMAN: And so if you're out and you -
15	- after a hearing would be a level 3 and you're only a
16	level 1, is the community being protected?
17	MS. PECKER: In this unavoidably imperfect
18	situation, Your Honor? Yes, you are. Because registration
19	in of itself requires that the the registrant has to
20	give his name, his picture, his identifiers, crime of
21	JUDGE SINGAS: If if we followed your logic
22	
23	MS. PECKER: Sure.
24	JUDGE SINGAS: then you would just say all
25	you need is registration. You wouldn't have the different



1	levels. If registration took care of the concerns as you
2	said, then we wouldn't need to have level 1, 2, or 3,
3	because registration would suffice if we
4	MS. PECKER: So the question
5	JUDGE SINGAS: followed your argument to
6	its natural conclusion.
7	MS. PECKER: No, Your Hon respectively.
8	No, Your Honor. Because we're not asking for him never to
9	have a SORA hearing. We're just saying that the SORA
10	hearing can't take place when he's incompetent because it's
11	as if he wasn't there.
12	CHIEF JUDGE WILSON: So registering him
13	JUDGE HALLIGAN: I assume there's
14	CHIEF JUDGE WILSON: Oh, sorry, Judge Halligan.
15	Go ahead.
16	JUDGE HALLIGAN: No, I was just going to ask. I
17	assume there's no limit on how long he might be in the
18	community and incompetent. It could conceivably be years,
19	yes?
20	MS. PECKER: Correct, Your Honor. Here, just to
21	reiterate, he was actually civilly confined.
22	JUDGE HALLIGAN: I under yes.
23	MS. PECKER: He wasn't in the community. It
24	could be years. But I think another one of the cases right
25	now that my my our appellate providers in the



1 New York City have - - - addresses that issue which is, 2 recently competency was an issue at a SORA hearing and the 3 defense counsel raised it. But then before the next 4 adjourn date, the com - - - the client was returned to 5 competency and so it became moot. And the -6 JUDGE CANNATARO: But what happens if the client 7 is not returned to competency? Is there a situation, a - -8 - a plausible situation where someone remains out, 9 released, registered a level 1, or a level 1 light, as it 10 were, for years, even though upon adjudication they might 11 be a level 3?

MS. PECKER: Yes, Your Honor. I just - - - I
don't think that worst case scenario - - - first of all, I
don't think that worst case scenario happens all that
often. Following Lopez v. Evans, we know that in New York
City, parole revocation and competency has only come up
between ten and twenty-five times - - -

JUDGE CANNATARO: So - - -

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MS. PECKER: - - - per year.

JUDGE CANNATARO: What is the - - - what is the good that is served by your proposal of just having them register and wait for a competency hearing?

MS. PECKER: The good is that there's a due process violation that has occurred because a hearing was held when my client was present in body only. And when



this - - -

JUDGE CANNATARO: And all the due process protections from Doe v. Pataki and the other cases, they simply don't adequately protect whatever the concerns are that you perceive flowing from this particular deprivation?

MS. PECKER: That's correct, Your Honor.

Exactly.

JUDGE CANNATARO: And how is that precisely?

MS. PECKER: Okay. Of course. So my client lost every one of the due process rights that he was entitled to at his hearing. He lost the right to presence because he was present in body only and could not waive intelligently, voluntarily, and intelligently his right to presence.

JUDGE CANNATARO: Did he get notice?

MS. PECKER: He got physical notice. Whether he was aware of what that notice meant is another question - -

JUDGE CANNATARO: Did he get an attorney?

MS. PECKER: He did get a coun - - - a attorney,

Your Honor, but he lost - - - the attorney - - - the right

to an attorney is only meaningful if the attorney can

collaborate with her client. And her attorney - - - his

attorney could not provide effective assistance of counsel

at the hearing here if she could not talk to her client

about the facts of the case, his mental state at the time,



his history and background, his family and friends, his subjective response to treatment and incarceration, his present thinking on the victim and his offense, any remorse, plans for the future, any number of things that a client could offer and provide to counsel that only he knows.

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And this court held in Rivera v. Superintendent of Woodbourne that, ultimately, at a SORA hearing the court's determination depends on the unique circumstances and individual lived experiences of a registrant. And here

JUDGE RIVERA: But could - - - could the court - - I'm over here. Could the court - - - let's just go with your, what you say happens in the interim if they're out. Right? And they're out in the community, they've had to register. I do want to hear, actually, what you say this registry component is. But in any event, could the court impose conditions while - - - while waiting for the results of a competency exam?

MS. PECKER: Yes, Your Honor. There's numerous - and I'll also then address your second question about
registration. There are numerous options in our existing
infrastructure to reasonably accommodate the registrant and
for the court to decide what should happen and to give it
assurance. And I'll step back and give you examples of

what courts are already doing in these unavoidably imperfect situations to accommodate.

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So for instance, Your Honor, where there's no evidence that a client has gotten notice, the court says, okay, we can't go forward today. I'm going to ask the prosecutor to give me an update in, let's say ninety days, whether there's proof that the client has gotten notice, and it's put over.

A second case recently is that a - - - a client's SORA hearing was scheduled. He lost his good time. And so now we thought he was being released, but he's not going to be released for six more months. The SORA court says, okay, even though we don't expect him to be released for six months, I'm putting this on the calendar for ninety days. At that point, I want an update from both the prosecution and defense counsel.

JUDGE RIVERA: Okay. I'm sorry. But - - - but my - - - my question was what - - - what other, if any, conditions could be imposed to address the concerns about the purpose of SORA and public security?

MS. PECKER: Got it. Yes, Your Honor. So the court could say, I would like - - in the interim, I'd like to follow this sex - - this registrant, and I'd like the court and defense counsel and the prosecutor to check in in ninety days. And the fiscal - - I guess, I was

giving the other examples to Your Honor. Because the fiscal and administrative burdens of requiring competency are not so prohited - - - prohibitive or different or significant than what courts are already doing. And so Your Honor, going back, why it - - - why it mirrors the 730.20 context is if the court were to say, I'd like to see the client back in ninety days, at which point he may or may not be competent. We both know the client may not be competent, but able to get himself to court. The Legal Aid - - - the defense lawyer might be able to help him to get to court. Or if he has OMH wraparound services, as Mr. Watts did for the brief period of time that he was in the community, a caseworker, an independent living specialist, could facilitate him getting back to court. For someone on PRS, parole release supervision, the - - - parole could also make a condition to abide by the court's rules. you don't show up to court, it would be a violation of his parole.

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Your Honor asked about registration. So registration in of itself requires that the person register with their information, their crime, their identifiers, and their account - - internet account within ten days of setting up residency in the state.

JUDGE RIVERA: With whom?

MS. PECKER: Sorry?



1	JUDGE RIVERA: With whom? The local precinct,
2	with the
3	MS. PECKER: With DCJ
4	JUDGE RIVERA: Okay.
5	MS. PECKER: DCJS.
6	JUDGE RIVERA: On the registry? Okay.
7	MS. PECKER: Yes, on the registry.
8	JUDGE RIVERA: Got it.
9	MS. PECKER: They have to annually verify their
10	address. If they move, they have to verify their change o
11	address within ten days. They have to register for twenty
12	years. And as it goes to the notification concern, they
13	also are included in the 1-800 notification
14	JUDGE RIVERA: I see.
15	MS. PECKER: analysis.
16	JUDGE RIVERA: They're not on the website?
17	MS. PECKER: They're not on the website. But as
18	a level 1, the best that an individual could do at a
19	hearing, they also wouldn't be
20	JUDGE RIVERA: Yes.
21	MS. PECKER: on the website.
22	JUDGE RIVERA: Yes.
23	MS. PECKER: So here, whatever half measures Mr.
24	Watts' counsel could cobble together, there was no serious



dispute that an attorney who cannot collaborate with her

client was hamstrung.

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And here there was ample evidence before the court that Mr. Watts was not competent. No one, not the court, not the prosecutor, argued that he was competent. The court had both record evidence before it, as well as its own observations and counsel's representations. He had been 730'ed for five and a half years. He was then found fit for a quick moment in time.

hypothetical sort of question? In - - in the civil context, when some litigants are facing negative consequences as a result of litigation, an eviction or something where they might lose property or liberty, the court can appoint a guardian for them who stands in their shoes during and - - and they're - - they're deemed to be - - you know, not able to contribute to their own defense. The court can appoint a guardian to - - to make those sorts of decisions. Do you think a solution like that might be viable in this context so that you don't have to have this sort of indefinite waiting period?

MS. PECKER: I don't think so, Your Honor. And that's because a guardian or counsel can step in and suffice when the question before the court is one that is a matter of law. What can the client contribute at a certain kind of determination? If the answer is nothing, then



counsel or a guardian might suffice. And I think looking to the civil procedure administrative proceedings that my adversary pointed to - -

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JUDGE TROUTMAN: How do you determine when you say, "contribute nothing", then it's okay? Like with an Article 81 proceeding, there are times when they can't provide information. So some - - - so the guardian is put in their stead to be able to communicate with the lawyer. They get two different people performing different functions.

MS. PECKER: Right. So I'll answer both of yours and for - - let's take Article 9 and 10, as what I - - - proceedings. So those proceedings, unlike our proceedings, are not merely sanctions to prevent future recidivism.

There the court invokes its parens patriae power and the - - the legislature created those hearings out of their care for individuals who cannot care for themselves.

And this court recognized in State v. Floyd that those litigants, while they may be able to contribute information, that is the beginning of an inquiry in Article 9 or 10 proceedings. In the end, the legal determination being made in Article 9 and 10 is going to be a battle of legal ex - - excuse me, a battle of psychiatric experts. The decision will come down to whether he has a mental illness and whether he meets the criteria for 9 and 10.

And so that is a matter of law, just like this court considered in People v. Roman, if it's a matter of law that the registrant - - - the litigant has nothing to contribute to, his presence isn't necessary.

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And the termination of parental rights is another example, Your Honor. There again, the state is invoking its parens patriae power because it's specifically concerned with the best interest of the child. There too, the legislature, which it has yet to do here, specifically contemplated what should happen in this imperfect situation, what process is due when someone is incompetent? And there it simply just cannot be that a parent could say I'm too incompetent to have a hearing, but not so incompetent that I can't be a good parent.

JUDGE CANNATARO: But the - - - the benefit of that sort of arrangement - - - and I would - - - you know, I hear what you say about how it isn't going to work; is that you always have competing interests. You have the interests of the person who's being negatively affected, and then you have the interests of the child or you have the interests of whoever's on the other side of the litigation. And here we're talking about the interests of the community at large, which by your solution, sort of have to wait indefinitely to get vindicated pending a return to competence. And that seems to, among other



things, it seems to - - - to really be very inefficient.

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MS. PECKER: I think - - - I understand the concern that Your Honor has. But I think that loses the - - - the understanding that some states have a SORA statutory scheme that is just registration based on past crime, and we don't have that. So our - - our state has a two level. And it un - - our legislature understood that registration in itself provided law enforcement with information, and provided basic notification for these imperfect situations, before a level can be held.

And I - - - I don't - - - I think it's just not that common that it will be indefinite. Again, it's not that he doesn't have to register; it's just the SORA hearing can't happen yet.

JUDGE GARCIA: But he's not registered as a level. So level 3 has very strict requirements, and - - - and level 2 as well, in terms of public notice, right? You can go on the website. And it seems we're very much downplaying the public safety when you say, kind of, no harm, no foul. He has to register. And some states do that. Well, New York's decided not to do that.

And let's say - - - this is a level 3, would be a sexually violent predator, child sex predator, convicted.

Looking at a violent - - - a sexual - - - a level 3, under your regime, they go out indefinitely. They don't - - -

they have to just show up and register. But they don't - -1 2 - they're not on the public website. And here's a family 3 who has a child that is going to go door-to-door to sell 4 things. And they're responsible, they go on the website, 5 and they want to make sure this child goes out, they're not 6 knocking on the wrong door or at risk. They go on, they 7 don't see this person because they don't have to be 8 publicly registered. Isn't that a public safety impact? 9 MS. PECKER: Your Honor, it's only a windfall to 10 the registrant in the way that I think you're suggesting. 11 JUDGE GARCIA: I won't say it's a windfall to the 12 registrant or not. I think it's a problem for the 13 community. I - - - I think when we - - -14 MS. PECKER: 15 JUDGE GARCIA: But I'm putting aside the interest 16 of the registrant right now because this is not only about 17 the registrant. 18 MS. PECKER: Right. But I think that hyp hypothetical presumes that a level 3 is correct. And if 19 20 our client wasn't at the SORA hearing, we just don't know

JUDGE GARCIA: But let's even say he was a presumptive 3. You don't - - - you don't think that in a SORA hearing it would at least be a 2? So they would have to publicly register? That it's - - - it could be a 1, is

if a level 3 would have been correct. And this court - - -



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what you're saying?

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MS. PECKER: I think that when you take into account the Matthews v. Eldridge factors, the - - - the due process violation here, this court hasn't imputed a prejudice analysis. And so I understand that it's - - - that there are - - - that the court has concerns. What if this person had been a level 3?

MS. PECKER: Correct.

JUDGE GARCIA: - - - at the registrant here.

It's a civil proceeding. It's not a criminal proceeding.

They're not going into incarceration. We've said it's a civil proceeding and there's a public safety component to that proceeding. Just as an interest-of-the-child component in other - - -

MS. PECKER: Correct.

JUDGE GARCIA: - - - proceedings. So we have to weigh that. And I don't see how your solution factors in public safety.

MS. PECKER: So Your Honor, one, I understand that we disagree. I think registration does factor in public safety. But two, Your Honor, this court has also recognized the state has an interest in a classification - - classification system that is fair and accurate. And



in comparing this - - - you know, you - - - you said that it's a civil proceeding, which it is. But in Lopez v. Evans, this court considered only secondarily that the possible re-incarceration of a parole violee was a reason for the due process rights and for competency to be read into that proceeding. What the court said in Lopez v. Evans that - - - was that its primary concern, its quote, "paramount concern" was the fairness and the accuracy of the proceedings. And this court in People v. Mingo - - -

JUDGE GARCIA: That parole violator is facing prison time, right?

MS. PECKER: Correct.

JUDGE GARCIA: Me - - - to me, the analogy is imposition of parole conditions. What if a person shows up at a parole - - - you know, they're eligible for a parole and they show up and you say, I can't understand the nature of this proceeding, so you can't put any additional parole conditions on me. That's what this is more analogous to me. This isn't a SORA violation proceeding.

MS. PECKER: Respectfully, I disagree, Your

Honor. Our - - - our clients don't have a right to counsel

or these other due process rights with their parole

officer. I'm not - - - as his counsel, I'm not present in

those situations. At his hearing he has a right to counsel

and all of these due process rights that only he had

information in his head that could have persuaded the court 1 2 of what the right level was in this proceeding. 3 JUDGE RIVERA: Could - - - could the court - - -4 since I asked you before about additional conditions. 5 Could the court - - - I'm trying to follow up on Judge 6 Garcia's very valid concern that he's discussing with you. 7 Could the court order that the individual, in - - - in - -8 - in this interim period, that the individual - - -9 MS. PECKER: Yes. 10 JUDGE RIVERA: - - - be placed on the website? MS. PECKER: I don't know the answer to that 11 12 question, but parole can. Parole can set a condition of -13 - - sets its own conditions of - - - special conditions of 14 parole. And if that's what the court was concerned with, 15 yes, they - - - they could - - - they could do that. 16 But I think a level 3 doesn't give that much more 17 information to law enforcement to be able to identify, 18 apprehend, and - - -19 JUDGE RIVERA: No. But this was an issue -20 MS. PECKER: Yes. 2.1 JUDGE RIVERA: - - - about access for the public 22 to information, so that the public can take whatever action 23 the individuals deem necessary to protect themselves and -24 - - and - - - and usually young people, right?



MS. PECKER: Correct, Your Honor. I mean - - -

going back, yes. Going back to Judge Garcia's questions about - - you know, parole being different, I would say that while it's true that parole is the closest analog to a criminal prosecution, I still think the commonalities between a SORA hearing and a parole hearing, and the - - - the parallels and the serious deprivation of liberty at a SORA hearing, make it the closest parallel and - - - and helpful analogy. And that's because even though the possibility of incarceration following a parole violation occurs, there are - - there are four consequences as great in the SORA hearing, or - - - or analogous.

Your Honors, hundreds of registrants remain incarcerated because of their SORA level or SARA being applied, as - - as habeas petitions through - - in this court and throughout the state demonstrate. Also the possibility of prosecution for a SORA violation is not speculative, as my adversary suggests. On a yearly basis - - -

JUDGE GARCIA: Maybe you couldn't adjudicate the violation if you were incompetent because then you would say, I didn't understand and I didn't understand I was violating. And that would be analogous to your parole revocation.

MS. PECKER: That would be a mens rea defense at that time, you're right, of the prosecution, Your Honor.



1	But it's still it's a prosecution that hangs over th
2	individual's head because they were subject to a level at
3	hearing that it was as if they weren't present at the
4	hearing. And I think in Doe v. Pataki itself, the court
5	said that the consequences of notification and registratio
6	are significant enough that the closest parallel it drew
7	was to parole. It relied on Morrissey v. Brewer and said,
8	let us look at the reasoning that the Supreme Court decide
9	what due process protections are due in parole, and that
10	reasoning is the same one we're going to use here to decid
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12	CHIEF JUDGE WILSON: So
13	MS. PECKER: what due process rights are.
14	CHIEF JUDGE WILSON: so Mr. Watts was
15	was registered while not competent?
16	MS. PECKER: Correct, Your Honor.
17	CHIEF JUDGE WILSON: And I take it you think tha
18	is not a due process violation because the Mathews factors
19	balance differently?
20	MS. PECKER: That's we're not challenging
21	his registration here. And that's

his registration here. And that's - - -

CHIEF JUDGE WILSON: Well, I understand that.

MS. PECKER: Yes.

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CHIEF JUDGE WILSON: But I asked you something a little different.



1 MS. PECKER: Yes. And - - - and the answer is, I 2 don't even think - - - I guess, we don't get to the Mathews 3 factors, I think. Because registration happens as an automatic and mechanical result of his criminal conviction 4 5 and his certification at sentencing, and at the time he 6 registers, he doesn't have a right to counsel. 7 What can he contribute to whether or not, as a 8 matter of law, he has to register? Nothing. What can he 9 contribute at a SORA hearing under the second tier of New 10 York's statute? Potentially, everything. His participation - - -11 12 JUDGE SINGAS: Yeah. But some of the SORA -13 would you agree with me that some of the SORA 14 qualifications are static? Or you could figure it out from 15 the nature of the crime or from - - - you know, the -16 the person's background? And what if, based on the static 17 information, you come up with a level 2? 18 MS. PECKER: So - - -19 JUDGE SINGAS: Why then would - - -20 MS. PECKER: Sure. 2.1 JUDGE SINGAS: - - - would it be inappropriate to 2.2 to render that classification? 23 MS. PECKER: So some are static, Your Honor, but



there are fifteen risk assessment instrument factors.

Seven of them are not static.

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JUDGE SINGAS: Okay. But going back to what I'm saying. What if the static ones get you to a level, and then we have the Parris solution which says the burden is still on the People, but you can modify. Why doesn't that take care of your issue?

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MS. PECKER: Because I believe that that remedy - it's as if what you're saying is it - - - the

legislature said if there is no disagreement on the

person's level, no hearing needs to be held. Or if

everyone agrees that they're a level 1, no hearing needs to

be held. But there isn't a sliding scale. The legislature

said regardless of level and regardless of whether the

parties agree, he has a right to a hearing and a right - -

JUDGE SINGAS: He's going to have a hearing.

MS. PECKER: A right - - - a right to a hearing at which he was, in all essence, not - - - not competent.

JUDGE SINGAS: The legislature put in certain factors that can get you to a - - - a rating without his involvement, if - - - if we looked at it from that perspective. So the legislature has taken care of that issue for us or sometimes, they allow a judge to override. And if an override gets you to a 3, the input of the defendant is insignificant.

MS. PECKER: I - - - I disagree, Your Honor.



Because even if - - - even if we were saying that his risk assessment - - assessment instrument included only static factors, which here they didn't - - risk factor 7. Had he been competent, he could have provided information to his counsel to contest the prosecution's clear and convincing evidence on risk factor 7.

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But even if we had only static factors and the risk assessment instrument, as the court has recognized, the downward departure is a huge part of this process and his not being present at a downward departure is the difference between a level 1 and a level 2. Even if Mr. Watts' points had been a level 2, if he could have contributed things, if he could have made sincere expressions of remorse and explained what happened, what happened in his illness, what happened at the time, why this was an anomaly in his life, and what he has in the community, that could have been a difference between a level 1 and a level 2.

JUDGE SINGAS: Yeah. I - - - I - - - I understand your argument.

MS. PECKER: Yeah.

JUDGE SINGAS: I'm - - - I'm just trying to get at why Parris doesn't balance both your argument and the public safety concerns.

MS. PECKER: Going back to the fact that in other



1 violations of due process in the SORA hearing, our courts 2 I think the court's decision in David W. is have reversed. 3 helpful because there the court said, the question before 4 the court is not whether David W. was accurately decided a 5 level 3 or not. The question is whether he had notice and 6 an opportunity to be heard. And the same is true here. 7 The question is not - - - regardless of Mr. 8 Watts' level, it's not whether it was - - - had he been 9 competent, whether he would have been a level 2. whether he had a meaningful hearing at a meaningful time 10 and place where he could participate. And I think - - -11 12 JUDGE TROUTMAN: So it's not meaningful if he's 13 not competent to participate? That's essentially your 14 argument. 15 Absolutely, Your Honor. MS. PECKER: 16 CHIEF JUDGE WILSON: Thank you, counsel. 17 MS. PECKER: Thank you, Your Honors. 18 MR. WEISS: Good afternoon, Your - - -19 JUDGE TROUTMAN: Counsel - - -20

MR. WEISS: - - - good afternoon, Your Honors.

JUDGE TROUTMAN: Counsel, why is it that it's meaningful due process if one is not competent to assist their counsel?

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MR. WEISS: Well, as a preliminary matter, Your Honor, there was no - - - there was no finding in this case



1	that that that Mr. Watts was incompetent. But
2	beyond that, there would be no basis to conclude on this
3	record that counsel was unable to meaningfully protect his
4	interests. For one thing, the entirety of the risk
5	assessment was derived from static factors in this case.
6	The the nature of the crime, the fact that the
7	defendant caused injury to the victim, the age of the
8	victim
9	JUDGE TROUTMAN: What about the argument
10	regarding the downward departure factors?
11	MR. WEISS: Sure. So wha counsel's main
12	argument in support of a downward departure was the
13	was the defendant's mental state. However, as Judge Kiese
14	noted, the defendant the defense counsel proffered n
15	evidence with respect to his existing mental condition at
16	the time. The stat

CHIEF JUDGE WILSON: Well, what the - - - what the question here, though, really is he made a - - - or his counsel made a request for a competency hearing. So why shouldn't that have been granted? Why wasn't that error?

MR. WEISS: Because the existing safeguards contained in the statute are sufficient to protect registrants' rights, Your Honor. Competency has never been a constitutional prerequisite to - - -

CHIEF JUDGE WILSON: Right. So then, to where



1	you started was, well, there was no competency
2	determination made here. So really that's irrelevant,
3	right? Because you're saying it doesn't matter whether
4	he's competent or incompetent, the reason to deny his
5	request for a hearing was it makes no difference legally?
6	MR. WEISS: Correct, Your Honor. Correct, Your
7	Honor. I was just pointing out as a practical matter, that
8	there had been there had been no finding.
9	CHIEF JUDGE WILSON: But that's inconsequential,
10	right?
11	MR. WEISS: That that's correct, Your
12	Honor. It it is inconsequential. It's it's
13	not an issue that the that a that the SORA
14	court was required to parse because it's consistent with
15	the civil nature of the proceeding. It was designed to
16	advance the government's the the
17	society's overriding interest in keeping the public safe
18	from from the risks of recidivist conduct presented
19	by by known sex offenders.
20	CHIEF JUDGE WILSON: So why can't we just
21	JUDGE HALLIGAN: Counsel
22	CHIEF JUDGE WILSON: have all all
23	SORA hearings in absentia?
24	MR. WEISS: Because that would be inconsistent
25	with the statutory mandate, Your Honor. It would it



1	would hinder the public's access to information in this
2	case.
3	CHIEF JUDGE WILSON: Oh, I'm sorry. I'm
4	I'm asking about a constitutional question. Suppose the
5	legislature rewrote the statute so defendants didn't have
6	right to be present? No defendant, competent or otherwise
7	MR. WEISS: Um-hum.
8	CHIEF JUDGE WILSON: Why isn't is that
9	- that's okay? Doesn't violate due process?
10	MR. WEISS: I I if if there
11	were no competency requirement? I'm sorry. I'm not
12	following.
13	CHIEF JUDGE WILSON: No, no. If a competent
14	defendant
15	MR. WEISS: Right.
16	CHIEF JUDGE WILSON: if the statute were
17	written so that a competent defendant had no right to be a
18	the SORA hearing, does that violate due process?
19	MR. WEISS: That no. That
20	CHIEF JUDGE WILSON: Because because when
21	you say that the competency of the defendant doesn't matter
22	at all, then I wonder what's the point in the defendant
23	being there?
24	MR. WEISS: Right.
25	CHIEF JUDGE WILSON: Why is why isn't that



perfectly okay and not a violation of due process? 1 2 MR. WEISS: Well, I believe that - - - the civil 3 - - - the civil - - - that the civil nature of these 4 statutes have to merely afford the defendants a right to be 5 present to - - - to - - - to present evidence, to cross-6 examine witnesses. These aren't - - - these aren't on a constitutional level with the rights that he would of 7 8 course - - - that would, of course, apply at a criminal 9 trial. So - - -10 JUDGE HALLIGAN: Counsel, but this defendant - -- over here, if I can, counsel? Thank you. This defendant 11 12 was in OMH custody; is that right? 13 MR. WEISS: Correct, Your Honor. 14 JUDGE HALLIGAN: So - - - so if we look only at 15 16 17 18 As opposed to at whatever time - - - having a hearing at 19

individuals who are in OMH custody, not individuals who are currently in DOCCS custody, what exactly is the - - - the state's interest in having a designation at that juncture? whatever time they're released from OMH custody? Because they're not out in the community at that point, I take it?

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MR. WEISS: Absolutely. Absolutely. So in - - in that instance, it would still hinder the public's acc -- - the public's access to information, specifically those individuals who are likely to come into contact with him. And those - -



JUDGE HALLIGAN: You mean, folks at - - - at the OMH facility? I would think there would be sufficient safeguards in place at a facility like that, that - -that they would be able to handle that. MR. WEISS: That certainly - - - that certainly could be the case, Your Honor. I would just point out that there were - - - there were no arguments made at the SORA court regarding the conditions of Mr. Watts' commitment. So we don't really know much about his placement. But - -

JUDGE HALLIGAN: But - - - but in terms of the Mathews v. Eldridge calculus, right? Could - - - could that come out differently with regard to defendants who are in OMH custody as opposed to not in OMH custody because the extent of the state's interest would be different?

MR. WEISS: I think - - - I think, conceivably, the state's interest might be somewhat - - - somewhat smaller in that circumstance, but it would still require this court to draw an arbitrary distinction and find that people who - - - who the defendant is going - - - is going to encounter, visitors at the facility, other patients, that these people are somehow less deserving of protection than the public at large. And the statute - - -

JUDGE HALLIGAN: But - - - but it - - - it would presumably address or significantly mitigate the concern



1 that Judge Garcia was raising about - - - yeah, you know, 2 who - - - for example, the - - - the child out knocking, 3 selling candy door-to-door. 4 MR. WEISS: Right. Right. It would - - - it - -5 - it would address that aspect of his - - - of - - - of his 6 concern, Your Honor. But - - -JUDGE HALLIGAN: And is there - - - is there a 7 8 practical reason why you couldn't do that? Why you 9 couldn't hold a hearing before someone is released from OMH 10 custody? 11 MR. WEISS: Well, the statute requires that - - -12 that - - - that - - - that the process for the SORA 13 adjudication be set into motion within - - - within thirty 14 days of the defendant's release from a - - - from a 15 correctional facility. 16 CHIEF JUDGE WILSON: Well, it doesn't say that, 17 does it? It says correctional facility? Doesn't it have a 18 whole lot - - - list of other things, like hospital? 19 MR. WEISS: It - - - it does say hospital, Your 20 Honor. But - - - and - - - and it's interesting - - - it's 21 interesting you bring that up. Because I'm not - - -2.2 because based on my reading of the statute, I'm not - - -23 I'm not entirely sure that - - - that Mr. Watts' hospital 24 meets the SORA definition of hospital. The - - - the defin



- the - - - the definition under SORA of hospital

contemplates two situations. One, where the inmate is confined pursuant to Article 10 of the - - - the Mental Hygiene Law. And two, when the mentally ill individual is still a prison inmate completing his sentence and he has been transferred to that hospital.

Mr. Watts completed his sentence. So I don't even believe there - - - that there is any sort of securing mechanism to even alert the board, the SORA court, the District Attorney's Office, about that - - - that Mr. Watts' release is imminent.

Article 9 and placement, but is it possible that the designated offender level would affect what type of facility a person is placed in in OMH custody? Like, if you're a sexually violent offender, would - - - you might not get placed in a less secure facility? Or get less privileges in terms of being able to go out into the public, than you would if you were not designated a level 3? I mean, I don't know the answer to that.

MR. WEISS: I - - - yeah. I - - - I don't - - I don't know the answer with certainty, Your Honor. But I
- - - but I think it's fair to - - - to assume that some
decisions are - - - are determined based on - - - based on
- - - based on facts and evidence that - - - that are - - that are adduced at the SORA hearing. That - - - that - -

- that alert the facility of a - - of a particular need to - - to place - - to place the - - -

JUDGE GARCIA: No unsupervised visits into the community?

MR. WEISS: Correct. Exactly, Your Honor.

And - - - and if I may? I just want to briefly address the argument that - - - not that a - - - that a - - - that registering a - - - an incompetent sex offender elevates the risk of prosecution. I think that's a bit of a canard. A - - - an unclassified offender is still subject to the requirements of a level 1. So forestalling the SORA hearing indefinitely would not immunize Mr. Watts from prosecution if he didn't comply with the foundational registration requirements.

And - - - and I would - - - and I would - - - and I would also just add that, of course, it's - - - it's certainly within this court's province to - - - to - - - to disagree with us, to continue with its tradition of providing more protective rights under due process to criminal defendants. But I would just note that the natural corollary of - - - of such a rule would be an extension of this competency - - - of a competency requirement to other civil proceedings that serve a non - - - that serve a non-penological purpose where even greater liberty interests are at stake.



So that would be the path that the court would be embarking upon if it were to recognize such a right in this proceeding.

Unless the court has any further questions, we would just ask that the order of the SORA court and the Appellate Division be affirmed.

CHIEF JUDGE WILSON: Thank you.

MR. WEISS: Thank you.

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MS. PECKER: I'd like to correct some errors I believe my adversary made, and then answer Judge Halligan and a question by Judge Garcia.

below that Mr. Watts was not competent or certainly had all indicia of not being competent. Two, Your Honor, there was a risk factor here, risk factor 7, that we regularly argue against all the time based on our client's input. So it was not all static factors. Three, registration is not the same as a level 1. They are similar, but level 1 imposes additional obligations on top of registration. I'm happy to expound on that if you would like.

Turning to Judge Halligan's question. No. There is no reason why a hearing could not be held at a time when Mr. Watts was actually released into the community. Here, he was transferred directly from DOCCS custody to OMH custody. And while it is true that there is a question



whether South Beach Psychiatric facility, where he was 1 2 being held, was a hospital under the definition of - - - of 3 the Correction Law, it is not true what my adversary said, that there is no alert mechanism to alert the court. 4 5 168-m, as Judge Wilson noted, says, "Any 6 correctional facility, hospital, or institution" - - -7 "shall forward information on the individual to be released 8 within 120 days". And that sets in motion the same thing 9 that happens when an individual is being released from 10 DOCCS. The board - - -JUDGE HALLIGAN: So just - - -11 12 MS. PECKER: - - - notifies the court - - -13 JUDGE HALLIGAN: - - - so just to - - - to make 14 sure I understand that. 15 MS. PECKER: Sure. 16 JUDGE HALLIGAN: 17 saying - - - but I want to make sure I'm hearing you

JUDGE HALLIGAN: It sounds to me like what you're saying - - but I want to make sure I'm hearing you correctly. Is that there's - - setting aside the hospital institution category question. There's nothing that you see with respect to the timing requirements for either reevaluation or release from OH - - OMH custody or the process for getting the SORA hearing in place, that - - that would preclude scheduling a hearing before someone is discharged from OMH custody? Is - - is that right?

MS. PECKER: That's correct, Your Honor. The

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same mechanism that we go forth. That the board then has a duty to inform the court, the court informs the sex offender and the DA, the hearing is held, et cetera. It gets put into place if his South Beach Psychiatric hospital is included in institution or hospital.

Going back to - - excuse - - and - - and also to address Judge Garcia and Judge Halligan's question.

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also to address Judge Garcia and Judge Halligan's question.

The OMH Facility Manual QA-410 also puts in place that OMH gets a full criminal history, and psychiatric and hospital history on anyone in its midst. And so yes, they regularly, within twenty-four hours of admission to an Article 9 facility, are making an analysis of where that individual should be housed based on his criminal proclivities, which the registry - - - they're not looking to the registry. They're looking to the official documents that they've received. And so they have all of this information - - -

JUDGE GARCIA: You don't think that - - - MS. PECKER: - - - at their fingertips.

JUDGE GARCIA: - - - the court determination that they were a level 3 sexually violent offender might affect that decision?

MS. PECKER: I don't know that it would, but I know that they have more information on Mr. Watts than a SORA hearing - - - $\!\!\!$



CHIEF JUDGE WILSON: There was mention - - - MS. PECKER: - - - court does.

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CHIEF JUDGE WILSON: - - - there was a mention in your brief I was going to ask about. That - - - that - - - I don't want to mischaracterize it. But I think it says - - as I remember it, it said that the - - - a level 2 designation might interfere with the ability of Mr. Watts to get services from OMH?

MS. PECKER: And that's - - - that has happened here, Your Honor.

CHIEF JUDGE WILSON: Can you explain that?

MS. PECKER: Sure. I don't think I - - - I I hope I didn't say from OMH. But for OM - - - OMH to do its discharge planning and decide what is right, the level 2 has hampered him as a fact here. And that's because he has now been in Article 9 for - - - he was in Article 9 for over a year. He was released with full wraparound services, continually hospitalized, and now has been back in Article 9 involuntary civil commitment for over a year and a half. And it is my understanding from his mental hygiene legal services attorney as well as his social worker, OMH social worker, that they have been unable to find him a nursing home, which is what the doctors think is the best place for him now. And a level 2, is their understanding, is part of the thing that is preventing them



1	from implementing the discharge plan they seem deem
2	best.
3	JUDGE GARCIA: Isn't that go to the point
4	of, they factor in the level in certain decisions of who
5	you would have contact with?
6	MS. PECKER: But
7	JUDGE GARCIA: Because otherwise, why would it
8	affect that?
9	MS. PECKER: Because nursing homes and OMH
10	facilities are are contemplating people's criminal
11	proclivities already. And he has not sexually re-offended,
12	Your Honor. He
13	JUDGE GARCIA: No, no, no. But I I thought
14	your point was because he's labeled a level 2, it's
15	affecting where he can be placed?
16	MS. PECKER: I think in part it is, Your Honor.
17	JUDGE GARCIA: Isn't that sort of the point of
18	SORA? That these level designations might restrict that,
19	given the risk?
20	MS. PECKER: That's correct, Your Honor. But it
21	goes back to the fact that in this case, he was designated
22	he was given a level at a hearing that he had a right
23	to participate and a right to be present at, and he simply
24	wasn't present.



And just going back to Judge Singas' one

question. Although, it's a Second Department case, I think People v. Gutierrez-Lucero is a helpful case for this court to look at. Because there, there was no question that the SORA registrant had not gotten notice. But he'd been deported, and so the question was what to do? And the SORA court said had he done the best he could at a hearing, he would only have gotten a level 1. And so we're going to make him a level 1.

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The Appellate Division reversed. And the - - the Appellate Division reversed because they said the
legislature did not put a sliding scale in place. It's all
or nothing. He had a right to a hearing and to be present
at that hearing. And the - - - the due process violation
here occurred, whether or not his level was correct.

And I think that's the same thing that we're looking at here. He had a right to a hearing. He was not present at that hearing. And because the legislature, and the Constitution, going to your question, afforded him due process rights at a hearing, our courts cannot withhold those rights by allowing SORA hearings to go forward when our clients are incompetent and not present.

CHIEF JUDGE WILSON: Thank you.

MS. PECKER: Thank you, Your Honors.

MR. WEISS: Thank you.

(Court is adjourned)



CERTIFICATION

I, Chrishanda Sassman-Reynolds, certify that the foregoing transcript of proceedings in the Court of Appeals of Darryl Watts v. People, No. 10 was prepared using the required transcription equipment and is a true and accurate

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