

Table of Contents

	Page
PREFACE	III
TABLE OF CROSS REFERENCES	V
PART 1. INTRODUCTION AND OVERVIEW	
CHAPTER 1. AN INTRODUCTION TO THE “CRIMINAL JUSTICE	
PROCESS”	3
§ 1.1 The Subject Under Inquiry	4
(a) Coverage	4
(b) Organization	5
§ 1.2 The Steps in the Process	5
(a) Overview Objectives	5
(b) The Character of the Overview	6
(c) Step 1: Pre-Arrest Investigation	7
(d) Step 2: Arrest	10
(e) Step 3: Post-Arrest Investigation	12
(f) Step 4: The Decision to Charge	12
(g) Step 5: Filing the Complaint	14
(h) Step 6: Magistrate Review of the Arrest	15
(i) Step 7: The First Appearance	15
(j) Step 8: Preliminary Hearing	16
(k) Step 9: Grand Jury Review	17
(l) Step 10: Filing the Indictment or Information	18
(m) Step 11: Arraignment on the Information or Indictment	18
(n) Step 12: Pretrial Motions	18
(o) Step 13: Pretrial Discovery	18
(p) Step 14: Guilty Plea Negotiation and Acceptance	19
(q) Step 15: The Trial	19
(r) Step 16: Sentencing	20
(s) Step 17: Appeals	21
(t) Step 18: Collateral Remedies	22
§ 1.3 The Federal/State Division of Legislative Authority	22
(a) Separate State and Federal Systems	22
(b) Overlapping Federal/State Crimes	23
(c) Federal Enforcement Policy	24
(d) Federal/State Cooperative Enforcement Programs	27
(e) Federal Regulation of the State Systems	28
§ 1.4 Describing The Law of Fifty-Two Jurisdictions	29
(a) The Fifty-Two Legislative Jurisdictions	29
(b) The Tendency to Individualize	29
(c) The Unifying Role of Federal Constitutional Regulation	30
(d) The Emergence of General Patterns	31

	(e) The Federal Model	33
	(f) The ABA Standards	33
§ 1.5	Process Variations Within Individual Jurisdictions	34
	(a) Procedural Subsets	34
	(b) Specified Offense Distinctions	34
	(c) Misdemeanor/Felony and Related Distinctions	35
	(d) Ordinance Violations	36
	(e) Capital Offenses	36
	(f) Agency Variations	37
	(g) Magistrate Courts Not-of-Record	39
§ 1.6	Sources of Legal Regulation	40
	(a) Varied Sources	40
	(b) The Jurisdiction's Constitution	40
	(c) Statutes	42
	(d) Court Rules	42
	(e) Common Law Rulings	43
	(f) Supervisory Authority Rulings	44
	(g) Internal Administrative Standards	46
	(h) Professional Responsibility Standards	47
§ 1.7	Administrative Variations and Administrative Structure	49
	(a) Law vs. Practice	49
	(b) The Nature of Discretion	50
	(c) Police Discretion	51
	(d) Prosecutorial Discretion	52
	(e) Judicial Discretion	54
	(f) Defense Counsel Discretion	55
CHAPTER 2. THE CONSTITUTIONALIZATION OF CRIMINAL		
PROCEDURE		57
§ 2.1	The Elements of Constitutionalization	58
§ 2.2	The Fourteenth Amendment's Extension of the Bill of Rights to the States	61
§ 2.3	Total Incorporation	63
§ 2.4	Fundamental Fairness	65
	(a) The Rationale of Fundamental Fairness	65
	(b) Fundamental Fairness Applied: From Reconstruction to the Early 1960s	67
	(c) Subjectivity and Fundamental Fairness	69
§ 2.5	Selective Incorporation	71
	(a) Fundamental Fairness and Selective Incorporation: Similarities and Differences	71
	(b) The Rationale of Selective Incorporation	72
	(c) The Legitimate Interests of Federalism	74
§ 2.6	Application of Selective Incorporation	76
	(a) The Decisions of the Sixties	76
	(b) Acceptance of Selection Incorporation in the Post-1960s	77
	(c) Guarantees Not Incorporated	79
	(d) Selective Incorporation and the Interests of Federalism	80
	(e) The Retention of Due Process Methodology	81

§ 2.7	The Independent Content of Due Process	82
	(a) Procedural Due Process After Selective Incorporation	82
	(b) Range of Independent-Content Rulings	84
	(c) Due Process Analysis.....	87
	(d) Substantive Due Process	94
§ 2.8	Adopting a Perspective on Interpretation Favoring Expansive Coverage	96
	(a) The Nature of the Expansive Interpretive Perspective	96
	(b) Justifying an Expansive Interpretive Perspective	98
§ 2.9	Guideposts for Interpretation	100
	(a) Stare Decisis.....	101
	(b) The Text	103
	(c) The Original Understanding.....	103
	(d) Policy Analysis	106
	(e) Priority for Truth-Finding.....	107
	(f) The Appropriateness of Administratively Based Per Se Rules	109
	(g) The Appropriateness of Prophylactic Rules	111
	(h) Weighing the Impact upon Efficiency	117
§ 2.10	Applying Interpretive Guideposts: Interpreting the Self-Incrimination Prohibition	118
	(a) Range of Self-Incrimination Issues	118
	(b) Basic Privilege Doctrines	119
	(c) History of the Privilege	125
	(d) Policies of the Privilege	127
	(e) Administrative Concerns.....	132

PART 2. DETECTION AND INVESTIGATION OF CRIME

CHAPTER 3. ARREST, SEARCH AND SEIZURE..... 137

§ 3.1	The Exclusionary Rule and Other Remedies	139
	(a) Origins of the Exclusionary Rule.....	139
	(b) Purposes of the Exclusionary Rule	141
	(c) The Exclusionary Rule Under Attack	143
	(d) The Significance of Underlying Motivation; More on the Deterrence Objective and Inquiry into Subjective Matters.....	148
	(e) Constitutional vs. Other Violations	151
	(f) Application of Exclusionary Rule in Criminal Proceedings.....	153
	(g) Application of Exclusionary Rule in Non-Criminal Proceedings.....	155
	(h) The Exclusionary Rule and “Private” or Nonpolice Searches.....	158
	(i) The Exclusionary Rule and Searches by Foreign Police	160
	(j) Challenge of Jurisdiction.....	161
	(k) The “Constitutional Tort”	162
	(l) Criminal Prosecution; Disciplinary Proceedings	165
	(m) Expungement of Arrest Records	165
	(n) Injunction	166
	(o) Self-Help.....	166
§ 3.2	Protected Areas and Interests	167
	(a) The <i>Katz</i> Expectation of Privacy Test	167
	(b) Plain View, Smell, Hearing and Touch; Aiding the Senses	169
	(c) Residential Premises	174

	(d) “Open Fields”.....	176
	(e) Business and Commercial Premises.....	177
	(f) Vehicles.....	178
	(g) Personal Characteristics	179
	(h) Abandoned Effects	179
	(i) “Mere Evidence” in General and Private Papers in Particular	180
	(j) Surveillance of Relationships and Movements	181
§ 3.3	Probable Cause	184
	(a) General Considerations	184
	(b) Nature of Probable Cause	186
	(c) Information from an Informant	190
	(d) Information from a Victim or Witness	198
	(e) Information from or Held by Other Police	200
	(f) First-Hand Information.....	201
	(g) Special Problems in Search Cases	204
§ 3.4	Search Warrants.....	206
	(a) When Warrant May Be Utilized	206
	(b) The “Neutral and Detached Magistrate” Requirement.....	208
	(c) Oath or Affirmation; Record	209
	(d) Probable Cause: The Facially-Sufficient Affidavit	210
	(e) Particular Description of Place to Be Searched	212
	(f) Particular Description of Things to Be Seized.....	214
	(g) Time of Execution	216
	(h) Entry Without Notice	217
	(i) Detention and Search of Persons.....	220
	(j) Scope and Intensity of the Search	222
	(k) What May Be Seized.....	223
	(l) Miscellaneous Requirements	225
§ 3.5	Seizure and Search of Persons and Personal Effects	226
	(a) Arrest.....	226
	(b) Search of the Person at Scene of Prior Arrest	234
	(c) Search of the Person During Post-Arrest Detention	237
	(d) Other Search of the Person	242
	(e) Seizure and Search of Containers and Other Personal Effects	243
§ 3.6	Entry and Search of Premises	247
	(a) Basis for Entry to Arrest	247
	(b) Entry Without Notice to Arrest	251
	(c) Search Before and Incident to Arrest	252
	(d) Search and Exploration After Arrest	253
	(e) Warrantless Entry and Search for Evidence	254
	(f) Warrantless Entry and Search for Other Purposes	259
	(g) What May Be Seized.....	260
§ 3.7	Search and Seizure of Vehicles.....	261
	(a) Search Incident to Arrest	261
	(b) Search and Seizure to Search for Evidence	264
	(c) Search of Containers and Persons Within	267
	(d) Seizure for Other Purposes	270
	(e) Search for Other Purposes	272
	(f) Plain View, Subterfuge and Related Matters	275

§ 3.8	Stop and Frisk and Similar Lesser Intrusions	277
	(a) Stop and Frisk: Fourth Amendment Theory.....	277
	(b) Dimensions of a Permissible “Stop”	279
	(c) Action Short of a Stop	285
	(d) Grounds for a Permissible “Stop”	288
	(e) “Frisk” for Weapons	294
	(f) Roadblocks.....	297
	(g) Detention at the Police Station for Investigation	298
	(h) Brief Seizure of Objects	300
§ 3.9	Inspections and Regulatory Searches	301
	(a) General Considerations	301
	(b) Inspection of Housing	302
	(c) Inspection of Businesses.....	304
	(d) Welfare Inspections	308
	(e) Inspections at Fire Scenes.....	308
	(f) Border Searches and Related Activities	309
	(g) Vehicle Use Regulation	312
	(h) Airport Searches	315
	(i) Searches Directed at Prisoners.....	316
	(j) Searches Directed at Probationers and Parolees.....	318
	(k) Searches Directed at Students.....	321
	(l) Searches Directed at Public Employees	324
§ 3.10	Consent Searches.....	327
	(a) Nature of Consent.....	327
	(b) Factors Bearing on Validity of Consent	329
	(c) Consent by Deception	334
	(d) Third Party Consent: General Considerations	336
	(e) Common Relationships in Third Party Consent.....	340
	(f) Scope of Consent	342
CHAPTER 4. NETWORK SURVEILLANCE		345
§ 4.1	Introduction	346
§ 4.2	Postal Mail	346
	(a) Access to Postal Mail and Packages	346
	(b) Detaining Mail and Packages	347
	(c) Mail Covers	348
§ 4.3	Telephone Surveillance and the Fourth Amendment	348
	(a) Wiretapping and Eavesdropping	348
	(b) Exceptions to the Usual Rule That Telephone Wiretapping and Eavesdropping Is a Search.....	349
	(c) Numbers Dialed, Text Messages, Post-Cut-Through Dialed Digits, and Cell-Site Data	349
§ 4.4	Internet Communications and the Fourth Amendment	350
	(a) Introduction.....	350
	(b) Non-Content Information.....	350
	(c) Contents of Communications	351
	(d) The Line Between Contents and Non-Content Information.....	352
	(e) Limits on Fourth Amendment Protections in E-Mail and Internet Communications	352

§ 4.5	Overview of Statutory Protections	353
§ 4.6	The Wiretap Act.....	355
	(a) Wire, Oral, and Electronic Communications	355
	(b) Interception	357
	(c) Overview of Obtaining and Executing Wiretap Orders	360
	(d) Application Procedure	361
	(e) Contents of Application	361
	(f) Review of Application	363
	(g) Contents of Order	363
	(h) Minimization	364
	(i) Amendment and Extension.....	364
	(j) Post-Surveillance Notice	365
	(k) Sealing.....	365
	(l) Statutory Exceptions to Liability	366
	(m) Suppression of Evidence.....	369
	(n) Civil Remedies	371
	(o) Criminal Penalties.....	373
§ 4.7	The Pen Register Statute.....	373
	(a) Overview of the Pen Register Statute	373
	(b) Application for a Pen Register Order	374
	(c) Dialing, Routing, Addressing, or Signaling Information	375
	(d) Exceptions to the Pen Register Statute	376
	(e) Remedies for Violations.....	376
§ 4.8	The Stored Communications Act.....	377
	(a) Overview of the Stored Communications Act	377
	(b) Providers of Electronic Communication Service and Remote Computing Service.....	377
	(c) Rules for Compelling Non-Content Information	378
	(d) Rules for Compelling Content Information.....	379
	(e) Rules for Voluntary Disclosure of Information.....	381
	(f) Remedies for Violations.....	383
§ 4.9	Foreign Intelligence Surveillance.....	384
	(a) The Fourth Amendment.....	384
	(b) The Foreign Intelligence Surveillance Act and Subsequent Updates....	385
 CHAPTER 5. POLICE “ENCOURAGEMENT” AND THE ENTRAPMENT		
DEFENSE..... 389		
§ 5.1	Encouragement of Crime and the Defense of Entrapment.....	389
	(a) Encouragement of Criminal Activity.....	389
	(b) Entrapment Defense as a Limit	390
	(c) Scope of the Defense	390
§ 5.2	Subjective Versus Objective Test for Entrapment	392
	(a) The Subjective Approach.....	392
	(b) The Objective Approach	393
	(c) Objections to the Subjective Approach.....	395
	(d) Objections to the Objective Approach.....	395
§ 5.3	Procedural Considerations.....	396
	(a) Admissibility of Evidence of Defendant’s Past Conduct	396
	(b) Triable by Court or Jury.....	397

	(c) Inconsistent Defenses	398
	(d) Burden of Proof	399
§ 5.4	Other Challenges to Encouragement Practices	399
	(a) Contingent Fee Arrangements.....	399
	(b) Inducements to Those Not Reasonably Suspected	401
	(c) Government “Overinvolvement” in a Criminal Enterprise.....	401
CHAPTER 6. INTERROGATION AND CONFESSIONS		405
§ 6.1	Introduction and Overview	406
	(a) The Need for Confessions	406
	(b) The Extent of Police Abuse	407
	(c) The Supreme Court’s Response	408
§ 6.2	The “Voluntariness” Test	409
	(a) The Common Law Rule	409
	(b) Due Process and the “Complex of Values”	410
	(c) Relevant Factors in the “Totality of Circumstances”	413
	(d) Critique of the “Voluntariness” Test	417
§ 6.3	The Prompt Appearance Requirement.....	418
	(a) The <i>McNabb-Mallory</i> Rule.....	418
	(b) Reactions to the Rule.....	420
	(c) Prompt Appearance in the States.....	421
§ 6.4	The Right to Counsel.....	421
	(a) Pre- <i>Massiah</i> Developments	421
	(b) The <i>Massiah</i> Case.....	422
	(c) The <i>Escobedo</i> Case.....	423
	(d) The <i>Williams</i> Case.....	424
	(e) When the Right to Counsel Begins	426
	(f) Waiver of Counsel.....	429
	(g) Infringement of the Right	432
	(h) Critique of the Right to Counsel Approach	434
	(i) The “Repeal” of the <i>Massiah</i> Rule	435
§ 6.5	The Privilege Against Self-Incrimination; <i>Miranda</i>	435
	(a) The Privilege in the Police Station	435
	(b) The <i>Miranda</i> Rules.....	437
	(c) The Experience Under <i>Miranda</i>	439
	(d) Critique of the <i>Miranda</i> Approach	439
	(e) The “Repeal” of <i>Miranda</i>	440
§ 6.6	<i>Miranda</i> : When Interrogation Is “Custodial”	442
	(a) “Custody” vs. “Focus”	442
	(b) Purpose of Custody	443
	(c) Subjective vs. Objective Approach	444
	(d) Presence at Station.....	446
	(e) Presence Elsewhere.....	447
	(f) Other Considerations	449
§ 6.7	<i>Miranda</i> : “Interrogation”	450
	(a) The “Functional Equivalent” Test	450
	(b) Questioning	453
	(c) Other “Words or Actions”	458
	(d) “Volunteered” Statements and Follow-Up Questioning.....	461

§ 6.8	<i>Miranda</i> : Required Warnings.....	462
	(a) Content.....	462
	(b) Time and Frequency.....	465
	(c) Manner; Proof.....	466
	(d) Additional Admonitions.....	467
§ 6.9	<i>Miranda</i> : Waiver of Rights.....	468
	(a) Express or Implied.....	468
	(b) Competence of the Defendant.....	470
	(c) Conduct of the Police.....	471
	(d) Implied Waiver.....	473
	(e) “Qualified” or Limited Waiver.....	474
	(f) Waiver After Assertion of Rights.....	475
	(g) Ambiguous, Equivocal, Limited and Untimely Assertions of Rights.....	480
§ 6.10	<i>Miranda</i> : Nature of Offense, Interrogator, and Proceedings.....	484
	(a) Questioning About Minor Offense.....	484
	(b) Questioning by Private Citizen.....	484
	(c) Questioning by Non-police Official.....	485
	(d) Questioning by Foreign Police.....	486
	(e) Proceedings at Which Confession Offered.....	487
CHAPTER 7. IDENTIFICATION PROCEDURES.....		491
§ 7.1	Introduction.....	492
	(a) The Problem of Misidentification.....	492
	(b) The Causes of Misidentification.....	492
	(c) The Supreme Court’s Response.....	494
§ 7.2	The Privilege Against Self-Incrimination.....	494
	(a) The <i>Schmerber</i> Rule.....	494
	(b) Application to Identification Procedures.....	496
	(c) Refusal to Cooperate.....	496
	(d) Change in Appearance.....	497
§ 7.3	The Right to Counsel and to Confrontation.....	498
	(a) Procedures Required.....	498
	(b) Time of Identification.....	500
	(c) Nature of Identification Procedure.....	502
	(d) Waiver or Substitution of Counsel.....	505
	(e) Role of Counsel.....	506
	(f) Consequences of Violation.....	508
	(g) The “Repeal” of the Right.....	509
§ 7.4	Due Process: “The Totality of the Circumstances”.....	510
	(a) Generally.....	510
	(b) The “Unnecessarily Suggestive” Element.....	510
	(c) The Risk of Misidentification Element.....	513
	(d) The “Arranged by Law Enforcement” Element.....	514
	(e) Lineups.....	515
	(f) Use of Pictures.....	516
	(g) One-Man Showups.....	516
	(h) In-Court Identifications.....	517
	(i) The “Repeal” of the Right.....	518

§ 7.5	Additional Possible Safeguards	518
	(a) Jury Instructions	518
	(b) Expert Testimony	519
	(c) Improved Police Procedures	520
CHAPTER 8. GRAND JURY INVESTIGATION		521
§ 8.1	Dual Functions of the Grand Jury	523
	(a) The Traditional Grand Jury.....	523
	(b) Alternative Procedures.....	524
§ 8.2	Historical Development.....	525
	(a) English Origins	525
	(b) Developments in the United States.....	526
	(c) Relevance of History	527
§ 8.3	Investigative Advantages.....	529
	(a) Subpoena Authority and the Contempt Sanction.....	529
	(b) Subpoena Ad Testificandum	530
	(c) Subpoena Duces Tecum.....	530
	(d) Psychological Pressure	531
	(e) Immunity Grants	531
	(f) Secrecy.....	531
	(g) Maintaining Public Confidence.....	533
	(h) Grand Jury Reports	533
§ 8.4	The Legal Structure of the Investigative Grand Jury	533
	(a) The Representativeness of the Grand Jurors	534
	(b) Independent Investigative Authority	534
	(c) Judicial Supervision	536
§ 8.5	Grand Jury Secrecy	538
	(a) Underlying Considerations	538
	(b) Statutory Structure	539
	(c) Protected Information	540
	(d) Disclosure by a Witness.....	541
	(e) Disclosure to Further Criminal Law Enforcement.....	542
	(f) Disclosure Pursuant to a Challenge to Grand Jury Proceedings	543
	(g) Disclosure to Defendant Pursuant to Discovery Rules	544
	(h) Disclosure to Third Parties	545
	(i) Remedies	546
§ 8.6	The Right to Every Man’s Evidence	546
	(a) The Public’s Right and the Grand Jury.....	546
	(b) Privileges and Other Protections.....	549
§ 8.7	Fourth Amendment Challenges to Subpoenas	551
	(a) Applicability of the Fourth Amendment to Subpoenas for Documents.....	551
	(b) The Prohibition Against Overbreadth in Documentary Subpoenas.....	555
	(c) Application of the Fourth Amendment to Other Subpoenas: Dionisio and Mara	557
	(d) Subpoenas for Identification Evidence.....	559
§ 8.8	Challenges to Misuse of the Subpoena Authority	559
	(a) Improper Subject of Investigation	559
	(b) Relevancy Objections.....	560

	(c) Oppressiveness Objections	564
	(d) “Chilling Impact” Objections	564
	(e) Use for Civil Discovery	568
	(f) Use for Post-Indictment Criminal Discovery	569
	(g) Prosecution or Police Usurpation of the Subpoena Power	569
	(h) Harassment	570
	(i) Structural Objections	570
§ 8.9	Grand Jury Inquiries Based on Illegally Obtained Evidence	571
	(a) The Calandra Rule	571
	(b) Illegal Electronic Surveillance	572
§ 8.10	Grand Jury Testimony and the Privilege Against Self-Incrimination	573
	(a) The Availability of the Privilege	573
	(b) The Standard of Potential Incrimination	574
	(c) Incrimination Under the Laws of Another Sovereign	575
	(d) Compelling the Target to Appear	577
	(e) Advice as to Rights	578
	(f) Waiver	580
	(g) Adverse Consequences	581
§ 8.11	Immunity and Compelled Testimony	582
	(a) Constitutionality	582
	(b) Transactional vs. Use/Derivative-Use Immunity	584
	(c) Applying the Use/Derivative-Use Prohibition	585
	(d) Immunity Procedures	587
	(e) Informal Grants of Immunity	587
§ 8.12	Self-Incrimination and the Compulsory Production of Documents	588
	(a) The Boyd “Principle”	588
	(b) The Entity Exception	589
	(c) The Required Records Exception	591
	(d) The Schmerber Rule	592
	(e) Third-Party Production	593
	(f) Testimonial Aspects of Production	594
	(g) The Remnants of Boyd	596
§ 8.13	Application of the Act-of-Production Doctrine	597
	(a) Testimonial Character and the Foregone Conclusion Standard	597
	(b) Potential Incrimination	601
	(c) Act-of-Production Immunity	604
	(d) Claims by Entity Agents	606
	(e) Non-Documentary Subpoenas	608
§ 8.14	The Witness’ Right to Counsel	609
	(a) Constitutional Requirements	609
	(b) Counsel Within the Grand Jury Room	610
	(c) Counsel in the Anteroom	611
	(d) Multiple Representation	611
CHAPTER 9. SCOPE OF THE EXCLUSIONARY RULES		615
§ 9.1	Standing: The “Personal Rights” Approach	616
	(a) “Personal Rights” as to Searches, Confessions and Identifications	616
	(b) Residential Premises	619
	(c) Business Premises	624

	(d) Vehicles.....	625
§ 9.2	Standing: Other Possible Bases.....	626
	(a) “Automatic” Standing.....	626
	(b) “Target” Standing.....	628
	(c) “Derivative” Standing.....	629
	(d) Abolition of Standing.....	630
§ 9.3	“Fruit of the Poisonous Tree” Theories.....	631
	(a) Generally.....	631
	(b) “But for” Rejected.....	632
	(c) “Attenuated Connection”.....	632
	(d) “Independent Source”.....	634
	(e) “Inevitable Discovery”.....	636
§ 9.4	Fruits of Illegal Arrests and Searches.....	638
	(a) Confessions.....	638
	(b) Searches.....	642
	(c) Arrests.....	645
	(d) Identification of Person.....	646
	(e) Testimony of Witness.....	649
	(f) New Crime.....	651
§ 9.5	Fruits of Illegally Obtained Confessions.....	651
	(a) The Confession as a “Poisonous Tree”.....	651
	(b) Searches.....	654
	(c) Confessions.....	655
	(d) Testimony of Witness.....	657
§ 9.6	Permissible Use of Illegally Obtained Evidence at Trial.....	658
	(a) Impeachment.....	658
	(b) Defense Tactics That “Open the Door”.....	664
	(c) Prosecution for Perjury or Other “New” Offense.....	665
CHAPTER 10. ADMINISTRATION OF THE EXCLUSIONARY RULES.....		667
§ 10.1	The Pretrial Motion to Suppress.....	668
	(a) Contemporaneous Objection or Pretrial Motion.....	668
	(b) Form of the Motion.....	668
	(c) Pre-charge Motions Distinguished.....	669
§ 10.2	Waiver or Forfeiture of Objection.....	669
	(a) Failure to Make Timely Objection.....	669
	(b) Failure to Renew Objection.....	671
	(c) Testimony by Defendant.....	671
	(d) Plea of Guilty or Nolo Contendere.....	672
§ 10.3	Burden of Proof.....	672
	(a) Generally.....	672
	(b) Search and Seizure.....	673
	(c) Confessions.....	676
	(d) Identification.....	677
§ 10.4	Standard of Proof.....	678
	(a) Generally.....	678
	(b) Confessions.....	678
	(c) Search and Seizure.....	680
	(d) Identification.....	681

§ 10.5	The Suppression Hearing.....	681
	(a) The Trier of Fact	681
	(b) Presence of Jury	683
	(c) Testimony by Defendant	684
	(d) Evidentiary Rules	685
	(e) Right of Confrontation.....	685
	(f) Right of Compulsory Process	685
§ 10.6	The Ruling and Its Effect.....	686
	(a) Findings.....	686
	(b) Recommendations.....	687
	(c) Reconsideration at Trial.....	688
	(d) Effect of Ruling in Other Cases	688

PART 3. THE COMMENCEMENT OF FORMAL PROCEEDINGS

CHAPTER 11. THE RIGHT TO COUNSEL.....	693	
§ 11.1	The Constitutional Rights to Retained and Appointed Counsel	694
	(a) Sixth Amendment Rights	694
	(b) Due Process Rights	699
	(c) Derivative Rights to Counsel	707
	(d) Equal Protection and Appointed Counsel	707
§ 11.2	Scope of the Indigent's Right to Counsel and Other Assistance	711
	(a) Right to Appointed Counsel: Misdemeanor Prosecutions	711
	(b) Right to Appointed Counsel: Stages of the Proceeding	714
	(c) The <i>Anders</i> Rules.....	719
	(d) Transcripts	722
	(e) Assistance of Experts	722
	(f) The <i>Bounds</i> Right of Access	726
	(g) Indigency Standards.....	727
	(h) Partial Contribution and Recoupment	728
§ 11.3	Waiver of the Right to Counsel.....	728
	(a) General Requirements.....	728
	(b) Waiver at Trial: The Necessary Advice and Inquiry	729
	(c) Forfeiture of the Right.....	732
§ 11.4	Choice of Counsel.....	733
	(a) Judicial Discretion in Selecting Appointed Counsel	733
	(b) Replacement of Appointed Counsel	733
	(c) Choice of Retained Counsel.....	734
	(d) The Pro Se Alternative	738
§ 11.5	The Constitutional Right to Self-Representation.....	739
	(a) The <i>Faretta</i> Ruling	739
	(b) Notification.....	741
	(c) Requisite Warnings and Judicial Inquiry	741
	(d) Grounds for Denial	743
	(e) Subsequent Challenge to Ineffective Representation	745
	(f) Standby Counsel	745
	(g) Hybrid Representation	746

§ 11.6	Counsel’s Control over Defense Strategy	747
	(a) “Strategic” vs. “Personal” Decisions	747
	(b) Balancing of Interests	751
	(c) Violations of Personal Choice.....	755
§ 11.7	The Right to Effective Assistance of Counsel: Guiding Principles	757
	(a) The Prerequisite of a Constitutional Right to Counsel	757
	(b) Retained vs. Appointed Counsel	759
	(c) The Adversary System Touchstone	760
	(d) Per Se vs. Actual Ineffectiveness	761
	(e) Raising an Ineffectiveness Claim	764
§ 11.8	Ineffective Assistance Claims Based upon State Interference and Other Extrinsic Factors	767
	(a) Restrictions upon Counsel’s Assistance	767
	(b) State Invasions of the Lawyer-Client Relationship.....	768
	(c) Conditions of Representation.....	770
§ 11.9	Ineffective Assistance Claims Based upon Attorney Conflicts of Interest	772
	(a) The Range of Possible Conflicts of Interest	772
	(b) The Trial Court Duty to Inquire	775
	(c) Waiver and Disqualification	781
	(d) Challenging Convictions.....	784
§ 11.10	Ineffective Assistance Claims Based upon Lawyer Incompetence.....	788
	(a) Guiding Considerations.....	788
	(b) The Competency Standard.....	792
	(c) Applying the Reasonableness Standard.....	794
	(d) The Prejudice Element	804
CHAPTER 12. PRETRIAL RELEASE		809
§ 12.1	Pretrial Release Procedures.....	810
	(a) The Federal Bail Reform Act	810
	(b) State Practice Generally	812
	(c) Counsel at Bail Hearing	813
	(d) Proof at Bail Hearing.....	814
	(e) Defendant’s Statements	814
	(f) Victim’s Right to Be Heard	815
§ 12.2	Constitutionality of Limits on Pretrial Freedom.....	816
	(a) Amount of Money Bail	816
	(b) Poverty and Pretrial Release	818
	(c) Opportunity to Prepare a Defense	820
	(d) Nature of Pretrial Custody.....	821
§ 12.3	Constitutionality of Mandating Pretrial Detention	822
	(a) Preventive Detention in the Federal System.....	822
	(b) Preventive Detention and the State Constitutions	823
	(c) The Eighth Amendment Ambiguity	827
	(d) Other Constitutional Objections	830
	(e) Detention Where Serious Offense Charged	832
	(f) Detention upon Individual Finding of Dangerousness	833
	(g) Detention for Misconduct During Release	835

§ 12.4	Special Situations	836
	(a) Capital Cases	836
	(b) Juvenile Cases	838
	(c) During Trial	839
	(d) After Conviction	839
	(e) During Interlocutory Appeal by Prosecution	841
	(f) Probation or Parole Revocation	841
	(g) Material Witnesses	841
§ 12.5	Alternatives to Arrest.....	842
	(a) Summons in Lieu of Arrest Warrant.....	842
	(b) Citation in Lieu of Arrest Without Warrant.....	843
CHAPTER 13. THE DECISION WHETHER TO PROSECUTE		847
§ 13.1	Nature of the Decision.....	848
	(a) In General	848
	(b) Evidence Sufficiency.....	849
	(c) Screening out Cases.....	850
	(d) Diversion	850
	(e) Selection of the Charge.....	851
§ 13.2	Discretionary Enforcement.....	851
	(a) The Prosecutor's Discretion	851
	(b) Police Discretion	853
	(c) Jury and Judge Discretion	854
	(d) The "Problem" of Discretion.....	855
	(e) Confining the Prosecutor's Discretion.....	856
	(f) Structuring the Prosecutor's Discretion.....	856
	(g) Checking the Prosecutor's Discretion.....	857
	(h) Mandating the Prosecutor's Discretion.....	858
§ 13.3	Challenges to and Checks upon the Decision Not to Prosecute	859
	(a) Mandamus.....	859
	(b) Private Prosecution; Qui Tam Actions	860
	(c) Judicial Approval of Nolle Prosequi	860
	(d) Grand Jury	861
	(e) Attorney General	862
	(f) Removal; Special Prosecutor.....	862
§ 13.4	Challenging the Decision to Prosecute: Equal Protection	863
	(a) Discriminatory Prosecution	863
	(b) Problems of Proof.....	864
	(c) "Arbitrary Classification"	866
	(d) "Intentional or Purposeful"	869
	(e) Nonprosecution of Others.....	870
§ 13.5	Other Challenges to the Decision to Prosecute	871
	(a) Vindictive Prosecution.....	871
	(b) Reneging on a Promise	874
	(c) Desuetude and Lack of Fair Notice	874
	(d) Federal Relief from State Prosecution: Removal.....	875
	(e) Federal Relief from State Prosecution: Injunction and Declaratory Judgment.....	877
	(f) Federal Relief from State Prosecution: Habeas Corpus.....	878

	(g) Civil Action Against Prosecutor	879
	(h) Recoupment of Litigation Expenses	880
§ 13.6	Challenges to the Decision to Forego or Terminate Diversion	880
	(a) The Diversion Process	880
	(b) Statutory Standards for Diversion	881
	(c) Decision Not to Divert	881
	(d) Decision to Terminate by Prosecution	883
§ 13.7	Challenges to the Charge Selection.....	885
	(a) Duplicative and Overlapping Statutes.....	885
	(b) Discriminatory Charge Selection.....	887
	(c) Vindictive Charge Selection	888
	(d) Reneging on a Promise	891
CHAPTER 14. THE PRELIMINARY HEARING.....		893
§ 14.1	Functions of the Preliminary Hearing	893
	(a) Screening	893
	(b) Discovery	895
	(c) Future Impeachment.....	896
	(d) The Perpetuation of Testimony	897
	(e) Other Functions	899
§ 14.2	Defendant’s Right to a Preliminary Hearing.....	899
	(a) The Federal Constitution	899
	(b) The Federal Practice.....	900
	(c) Indictment States	901
	(d) Information States	902
	(e) Waiver and Demand	904
§ 14.3	The Bindover Determination	905
	(a) The Applicable Standard.....	905
	(b) Assessment of Credibility.....	908
	(c) Consequences of a Dismissal	909
	(d) Consequences of a Bindover.....	910
§ 14.4	Preliminary Hearing Procedures.....	912
	(a) Right to Counsel	912
	(b) Application of the Rules of Evidence	912
	(c) The Defendant’s Right of Cross-Examination	914
	(d) The Right to Present Defense Witnesses	916
	(e) Challenging Procedural Rulings.....	918
CHAPTER 15. GRAND JURY REVIEW.....		923
§ 15.1	Defendant’s Right to Prosecution by Indictment	924
	(a) The Fifth Amendment Right: History	924
	(b) The Fifth Amendment Right: Scope	925
	(c) Fourteenth Amendment Due Process.....	927
	(d) Indictment Jurisdictions	928
	(e) Limited Indictment Jurisdictions	929
	(f) Waiver in Indictment and Limited-Indictment Jurisdictions	929
	(g) Information States.....	930

§ 15.2	The Structure of Grand Jury Screening.....	932
	(a) Grand Jury Composition	932
	(b) Control over Proof.....	932
	(c) The Prospective Defendant’s Testimony	933
	(d) Evidentiary Rules	934
	(e) Legal Advice	935
	(f) Quantum of Proof.....	935
	(g) The Indictment Decision	936
	(h) Resubmission	936
	(i) Secrecy Requirements	937
	(j) Transcription.....	939
§ 15.3	The Effectiveness of Grand Jury Screening.....	940
	(a) The Ongoing Debate	940
	(b) Screening Variations	942
	(c) Judicial Responses	943
§ 15.4	Indictment Challenges Based upon Grand Jury Composition	943
	(a) Grand Jury Selection Procedures	943
	(b) Objection Procedures and Timing.....	944
	(c) Equal Protection Claims	946
	(d) The “Fair Cross-Section” Requirement	947
	(e) Constitutional Challenges to the Selection of the Foreperson	948
	(f) Statutory Violations	951
	(g) Juror Bias.....	951
	(h) Preindictment Publicity	953
	(i) Postconviction Review	954
§ 15.5	Indictment Challenges Based upon Evidentiary Grounds	955
	(a) The Federal Standard: The <i>Costello</i> Rule	955
	(b) The Federal Standard: The Rise and Demise of the “Misconduct Exception” to <i>Costello</i>	958
	(c) State Standards	960
§ 15.6	Misconduct Challenges: General Principles	962
	(a) Prosecutorial Misconduct	962
	(b) The Federal Standard; The <i>Williams</i> Limits	964
	(c) Juror Misconduct	966
	(d) The Requirement of Prejudice	967
	(e) The Prejudice Standard of <i>Bank of Nova Scotia</i>	968
	(f) Postconviction Review	971
	(g) Establishing Misconduct	974
§ 15.7	Common Prosecutorial Misconduct Claims	975
	(a) The Range of Objections.....	975
	(b) Prejudicial Comments and Information.....	975
	(c) The Prosecutor’s Assumption of Other Roles.....	978
	(d) Violation of the Defendant’s Witness-Rights	979
	(e) Deception in Presenting Evidence	980
	(f) Failure to Present Known Exculpatory Evidence	981
	(g) Erroneous Legal Advice.....	982
	(h) Presence of Unauthorized Persons	984

CHAPTER 16. THE LOCATION OF THE PROSECUTION.....	987
§ 16.1 Venue: General Principles	987
(a) Distinguishing Venue from Jurisdiction	987
(b) Distinguishing Vicinage	989
(c) The “Crime-Committed” Formula	994
(d) Multi-Venue Offenses	996
(e) Special Legislation.....	998
(f) Joinder and Venue.....	1000
(g) Proof of Venue.....	1001
§ 16.2 Applying the Crime-Committed Formula	1003
(a) Recurring Questions	1003
(b) Literalism	1005
(c) Nature of the Offense	1007
(d) Substantial Contacts	1009
(e) Constitutional Policy	1009
(f) Transportation Offenses.....	1012
(g) Multiple Participants	1013
§ 16.3 Change of Venue.....	1016
(a) Variations.....	1016
(b) “Fair Trial” Venue Changes on Defense Motion	1016
(c) Convenience Venue Changes on Defense Motion	1017
(d) “Fair Trial” Venue Changes on Prosecution Motion	1018
(e) Convenience Venue Changes on Prosecution Motion.....	1019
(f) Venue Changes on the Court’s Own Motion	1020
(g) Selection of the Transfer District	1020
 CHAPTER 17. THE SCOPE OF THE PROSECUTION: JOINDER AND SEVERANCE	 1023
§ 17.1 Joinder and Severance of Offenses.....	1024
(a) Joinder: Related Offenses.....	1024
(b) Joinder: Offenses of Similar Character.....	1024
(c) Severance: Separate Defenses	1025
(d) Severance: Evidence of Other Crimes	1026
(e) Severance: Cumulation of Evidence	1027
(f) Severance as of Right	1027
§ 17.2 Joinder and Severance of Defendants	1027
(a) Joinder of Defendants.....	1027
(b) Severance: Codefendant’s Confession Incriminates	1029
(c) Severance: Codefendant’s Testimony Would Exculpate	1033
(d) Severance: Conflicting Defenses and Strategies	1034
(e) Severance: Guilt by Association.....	1036
(f) Severance: Confusion of Evidence	1036
(g) Severance as of Right	1037
§ 17.3 Joinder and Severance: Procedural Considerations.....	1037
(a) Court’s Authority to Consolidate and Sever	1037
(b) Misjoinder.....	1038
(c) Failure to Prove Joinder Basis.....	1038
(d) Waiver or Forfeiture	1039
(e) Appellate Review of Prejudice Claim	1040

§ 17.4	Failure to Join Related Offenses	1040
	(a) Collateral Estoppel	1040
	(b) Double Jeopardy: Same Offense	1047
	(c) “Same Transaction” Joinder.....	1055
CHAPTER 18. SPEEDY TRIAL AND OTHER PROMPT DISPOSITION		1057
§ 18.1	The Constitutional Right to Speedy Trial.....	1058
	(a) Generally	1058
	(b) Interests Involved	1058
	(c) When Right Attaches.....	1059
	(d) Waiver or Forfeiture of the Right	1062
	(e) Remedy for Violation	1062
§ 18.2	The Constitutional Balancing Test	1063
	(a) The <i>Barker</i> Case	1063
	(b) The Length of the Delay	1064
	(c) Reason for Delay	1065
	(d) Defendant’s Responsibility to Assert the Right	1067
	(e) Prejudice.....	1067
§ 18.3	Statutes and Court Rules on Speedy Trial	1069
	(a) The Need	1069
	(b) Federal Speedy Trial Act of 1974.....	1069
	(c) State Provisions	1072
§ 18.4	The Imprisoned Defendant	1074
	(a) Constitutional Right	1074
	(b) Federal Speedy Trial Act of 1974.....	1076
	(c) Interstate Agreement on Detainers.....	1077
	(d) Uniform Mandatory Disposition of Detainers Act.....	1078
§ 18.5	The Right to Other Speedy Disposition.....	1079
	(a) Statutes of Limitations.....	1079
	(b) Unconstitutional Pre-Accusation Delays	1081
	(c) Post-Trial Delays	1083
CHAPTER 19. THE ACCUSATORY PLEADING		1087
§ 19.1	The Liberalization of Pleading Requirements	1088
	(a) Common Law Technicalities	1088
	(b) Initial Attempts at Reform.....	1089
	(c) The Short-Form Pleading Movement	1089
	(d) The Mid-1900s Reforms.....	1090
	(e) Twenty-First Century Reforms.....	1092
§ 19.2	Pleading Functions.....	1093
	(a) Functional Analysis	1093
	(b) Double Jeopardy Protection	1094
	(c) Providing Notice	1095
	(d) Facilitating Judicial Review	1096
	(e) Providing a Jurisdictional Grounding.....	1098
	(f) Safeguarding Defendant’s Right to Prosecution by Indictment	1102
§ 19.3	Basic Pleading Defects	1104
	(a) Failure to Allege Essential Elements.....	1104
	(b) Factual Specificity	1110

(c) Duplicity 1113
 (d) Multiplicity 1114
 (e) Defects in Form 1114
 (f) Late Objections 1115
 § 19.4 Bill of Particulars 1118
 (a) Nature of the Bill 1118
 (b) Standards for Issuance 1118
 § 19.5 Amendments of the Pleading 1120
 (a) Varied Uses 1120
 (b) The Prejudice/Different-Offense Standard 1121
 (c) The Form/Substance Distinction 1124
 (d) The *Bain* Rule 1124
 § 19.6 Variances 1128
 (a) Challenging Variances 1128
 (b) The *Berger* Standard 1129
 (c) The Constructive Amendment Limitation 1131

**PART 4. THE ADVERSARY SYSTEM AND THE
 DETERMINATION OF GUILT AND INNOCENCE**

CHAPTER 20. PRETRIAL DISCOVERY 1137
 § 20.1 The Expansion of Discovery 1138
 (a) The Break from the Common Law 1138
 (b) The Debate 1139
 (c) The Outcome 1142
 (d) The “Two-Way Street” Movement 1143
 § 20.2 The Structure of Discovery Law 1144
 (a) “Common Law” Authority 1144
 (b) Court Rules and Statutes 1145
 (c) The Operation of Discovery Provisions 1146
 (d) Other Discovery Vehicles 1146
 (e) Depositions 1147
 § 20.3 Defense Discovery 1148
 (a) Prosecution Possession or Control 1148
 (b) Written or Recorded Statements 1149
 (c) Defendant’s Statements 1151
 (d) Codefendant’s Statements 1153
 (e) Criminal Records 1153
 (f) Scientific Reports 1154
 (g) Documents and Tangible Objects 1155
 (h) Witness Lists 1156
 (i) Witness Statements 1157
 (j) The Work Product Exemption 1159
 (k) Police Reports 1161
 (l) Protective Orders 1161
 (m) Constitutional Overtones 1162
 (n) Exculpatory Material Provisions 1163

§ 20.4	Constitutional Limitations upon Pretrial Discovery for the Prosecution	1164
	(a) Due Process	1164
	(b) Self-Incrimination: Non-Defendant and Non-Testimonial Disclosures	1165
	(c) Self-Incrimination: Defendant's Testimonial Disclosure	1167
	(d) Self-Incrimination: The Acceleration Doctrine	1168
	(e) Self-Incrimination: The Special Case of the Insanity Defense	1172
	(f) Sixth Amendment Limitations	1173
	(g) Conditional Discovery	1175
§ 20.5	Prosecution Discovery Provisions	1176
	(a) Variations in Approach	1176
	(b) Alibi Defense Provisions	1177
	(c) Insanity and Related Defenses	1178
	(d) Identification of Defenses	1179
	(e) Witness Lists	1179
	(f) Witness Statements	1180
	(g) Documents and Tangible Objects	1181
	(h) Scientific Reports	1181
§ 20.6	Sanctions	1182
	(a) Range	1182
	(b) Prosecution Violations	1182
	(c) Defense Violations	1187
CHAPTER 21. PLEAS OF GUILTY		1193
§ 21.1	The Plea Negotiation System	1194
	(a) Forms of Plea Bargaining	1194
	(b) Development of Plea Bargaining	1195
	(c) Administrative Convenience	1195
	(d) Accurate and Fair Results	1196
	(e) The Problem of Disparity	1197
	(f) Other Attributes and Consequences	1200
	(g) Prohibiting Plea Bargaining	1200
	(h) Plea Bargaining and the Federal Sentencing Guidelines	1201
§ 21.2	Kept, Broken, Rejected, and Nonexistent Bargains	1204
	(a) Statutory Inducements to Plead Guilty	1204
	(b) Inducements by the Prosecutor	1207
	(c) Inducements by the Judge	1212
	(d) The Broken Bargain	1215
	(e) Remedy for Broken Bargain	1221
	(f) The Withdrawn Offer	1224
	(g) The Unrealized Expectation	1226
	(h) Admission of Statements Made During Bargaining	1227
§ 21.3	Plea Negotiation Responsibilities of the Attorneys and Judge	1229
	(a) Right to Counsel During Plea Bargaining	1229
	(b) Effective Assistance by Defense Counsel	1231
	(c) The Prosecutor's Bargaining Tactics	1237
	(d) Judicial Involvement in Negotiations	1241
	(e) Judicial Evaluation of Contemplated Concessions	1243
	(f) Responsibilities to the Victim	1245

§ 21.4	Receiving the Defendant’s Plea	1246
	(a) Arraignment; Pleading Alternatives	1246
	(b) Determining Voluntariness of Plea and Competency of Defendant to Plead.....	1248
	(c) Determining Understanding of Charge.....	1249
	(d) Determining Understanding of Possible Consequences.....	1252
	(e) Determining Understanding of Rights Waived	1254
	(f) Determining Factual Basis of Plea	1255
	(g) Acting on the Plea Bargain	1257
§ 21.5	Challenge of Guilty Plea by Defendant.....	1260
	(a) Withdrawal of Plea	1260
	(b) Other Challenges to Plea	1262
	(c) Significance of Noncompliance with Plea-Receiving Procedures	1263
	(d) Significance of Compliance with Plea-Receiving Procedures	1265
	(e) Effect of Withdrawn or Overturned Plea	1266
	(f) Admissibility of Withdrawn or Overturned Plea and Related Statements	1270
§ 21.6	Effect of Guilty Plea	1271
	(a) Rights Waived or Forfeited by Plea	1271
	(b) Conditional Pleas	1275
	(c) Trial on Stipulated Facts	1276
CHAPTER 22. TRIAL BY JURY AND IMPARTIAL JUDGE.....		1277
§ 22.1	The Right to Jury Trial	1277
	(a) Generally; Applicable to the States	1277
	(b) Petty Offenses	1280
	(c) Noncriminal Trials	1282
	(d) Size of Jury.....	1283
	(e) Unanimity	1284
	(f) Jury Nullification.....	1285
	(g) Waiver of Jury Trial	1287
§ 22.2	Selection of Prospective Jurors.....	1289
	(a) Federal Jury Selection Procedures	1289
	(b) State Jury Selection Procedures	1290
	(c) Denial of Equal Protection	1291
	(d) The “Fair Cross Section” Requirement.....	1293
	(e) Vicinage	1296
§ 22.3	Voir Dire; Challenges	1297
	(a) Nature of Voir Dire; Limits on Questions	1297
	(b) Prosecution and Defense Access to Information.....	1299
	(c) Challenges for Cause	1300
	(d) Peremptory Challenges	1304
	(e) Alternate Jurors.....	1309
§ 22.4	Challenging the Judge	1310
	(a) Right to Impartial Judge.....	1310
	(b) Challenge for Cause.....	1312
	(c) Recusal by Judge	1313
	(d) Peremptory Challenge.....	1313
	(e) Substitution of Judge	1314

CHAPTER 23. FAIR TRIAL AND FREE PRESS	1315
§ 23.1 Preventing Prejudicial Publicity.....	1315
(a) The Problem of Prejudicial Publicity.....	1315
(b) Restricting Public Statements by Participants	1316
(c) Restricting the Media	1325
(d) Closed Proceedings: First Amendment Right of Access	1327
(e) Closing Proceedings and Placing Documents Under Seal: Restricting the First Amendment Right	1333
§ 23.2 Overcoming Prejudicial Publicity	1336
(a) Change of Venue on a Defense Motion	1336
(b) Change of Venue Without a Defense Motion	1341
(c) Change of Venire	1341
(d) Continuance	1341
(e) Severance	1342
(f) Jury Selection.....	1342
(g) Admonishment or Sequestration of the Jury.....	1349
(h) Excusal of Jurors	1350
§ 23.3 Conduct of the Trial.....	1350
(a) Newsmen in the Courtroom	1350
(b) Electronic and Photographic Coverage	1351
 CHAPTER 24. THE CRIMINAL TRIAL.....	 1353
§ 24.1 The Right to a Public Trial	1354
(a) Nature and Scope of the Right to a Public Trial.....	1354
(b) When Closure Justified	1355
§ 24.2 Presence of the Defendant	1357
(a) Origins and Scope of the Right to Be Present.....	1357
(b) Harmless Error and Waiver.....	1359
(c) The Disorderly Defendant: Forfeiture by Conduct.....	1359
(d) Forfeiture by Voluntary Absence.....	1360
(e) Prejudicial Circumstances of Presence	1361
(f) Video Conferencing.....	1363
(g) Presence and Understanding—Competency and Interpreters.....	1364
§ 24.3 The Defendant’s Right of Access to Evidence	1365
(a) Constitutional Grounding	1365
(b) Due Process Duty to Disclose Evidence Favorable to the Accused	1368
(c) Disclosure of Witness Statements—Jencks Act.....	1376
(d) The Duty to Correct False Evidence.....	1378
(e) The Government’s Obligation to Preserve Evidence	1380
(f) Defense Use of Subpoenas.....	1382
(g) Assisting the Defense in Obtaining Evidence.....	1384
(h) Government Interference with Defense Access	1385
(i) Defense Witness Immunity.....	1386
§ 24.4 The Presentation of Evidence	1387
(a) The Rules of Evidence and Cross Examination	1387
(b) Forcing a Claim of Privilege by a Witness	1389
(c) Sequestration of Witnesses	1390

§ 24.5	Defendant’s Rights to Remain Silent and to Testify	1391
	(a) Right Not to Take the Stand	1391
	(b) Comment on Defendant’s Silence	1393
	(c) Instruction on Defendant’s Silence	1394
	(d) The Defendant’s Right to Testify	1395
§ 24.6	Trial Court Evaluation of the Evidence	1396
	(a) Bench Trials	1396
	(b) Motions for Directed Acquittal.....	1397
	(c) The Sufficiency Standard	1398
	(d) Summary and Comment on the Evidence.....	1399
§ 24.7	The Arguments of Counsel.....	1400
	(a) Opening Statements	1400
	(b) Closing Argument	1401
	(c) Order of Closing Argument	1402
	(d) The Roles of the Prosecutor and Defense Counsel	1402
	(e) Prohibited Argument	1403
	(f) The Invited Response	1406
	(g) Objections	1406
	(h) Due Process	1407
	(i) Standard of Review.....	1407
§ 24.8	Jury Instructions	1408
	(a) Multiple Stages for Instructions	1408
	(b) Requests and Objections to Instructions.....	1410
	(c) Content of Final Instructions.....	1410
	(d) Lesser-Included Offenses Generally.....	1411
	(e) Defining the Lesser-Included Offense	1412
	(f) Entitlements to Lesser Offense Charges.....	1416
§ 24.9	Jury Procedures	1420
	(a) Sequestering the Jury	1420
	(b) Jury Questions and Note-Taking.....	1421
	(c) Items Taken to the Jury Room	1422
	(d) The Deadlocked Jury	1422
	(e) Polling the Jury	1424
	(f) Jury Misconduct.....	1424
	(g) Limitations on Juror Testimony About Misconduct.....	1427
§ 24.10	Jury Verdicts.....	1429
	(a) Special Verdicts and Special Interrogatories.....	1429
	(b) Inconsistent Verdicts or Findings.....	1430
	(c) Multi-Theory Verdicts	1432
	(d) Partial Verdicts.....	1435
§ 24.11	Post-Verdict Motions	1436
	(a) Judgment of Acquittal	1436
	(b) New Trial.....	1436
	(c) Newly Discovered Evidence	1437
CHAPTER 25. DOUBLE JEOPARDY		1441
§ 25.1	Dimensions of the Guarantee	1442
	(a) Introduction.....	1442
	(b) Policies and History.....	1442

	(c) Proceedings to Which Applicable	1445
	(d) When Jeopardy Attaches.....	1448
	(e) Termination of Jeopardy	1453
	(f) The “Same Offense”	1454
	(g) Reprosecutions: An Overview	1455
§ 25.2	Reprosecution Following Mistrial.....	1456
	(a) With Defendant’s Consent	1456
	(b) The “Goaded” Mistrial Motion	1457
	(c) The “Manifest Necessity” Standard.....	1459
	(d) Manifest Necessity and Alternatives to a Mistrial.....	1460
	(e) Manifest Necessity and Trial Court Discretion	1462
	(f) Dismissals Equivalent to Mistrials	1464
§ 25.3	Reprosecution Following Acquittal or Dismissal.....	1465
	(a) Dismissals vs. Acquittals	1465
	(b) The Jury Acquittal.....	1466
	(c) Acquittal by the Judge	1467
	(d) Pre-jeopardy “Acquittals”	1470
	(e) Postconviction Judgments of Acquittal	1470
§ 25.4	Reprosecution Following Conviction	1471
	(a) The General Rule	1471
	(b) The Evidence Insufficiency Exception.....	1472
	(c) The Determination of Sufficiency	1474
	(d) Conviction as Implied Acquittal	1475
§ 25.5	Reprosecution by a Different Sovereign.....	1477
	(a) Federal Prosecution After State	1477
	(b) State Prosecution After Federal	1479
	(c) State-State and State-Municipal	1480
CHAPTER 26. SENTENCING PROCEDURES		1481
§ 26.1	Legislative Structuring of Sentencing: Sanctions	1482
	(a) Structure and Procedure	1482
	(b) Capital Punishment.....	1483
	(c) Incarceration	1486
	(d) Community Release.....	1487
	(e) Intermediate and Alternative Sanctions.....	1488
	(f) Financial Sanctions	1489
§ 26.2	Legislative Structuring of Sentencing: The Allocation of Sentencing Authority	1490
	(a) Judicial Sentencing.....	1490
	(b) Jury Sentencing	1491
	(c) Administrative Agency Decisions	1493
§ 26.3	The Guidance of Judicial Discretion	1497
	(a) Unguided Discretion	1497
	(b) The Challenge to Unguided Discretion	1498
	(c) Mandatory Minimum Sentences.....	1498
	(d) Presumptive Sentencing.....	1499
	(e) Sentencing Guidelines.....	1499
	(f) Concurrent and Consecutive Sentences	1500
	(g) Appellate Review	1501

§ 26.4	Due Process: The Framework for Sentencing Procedure.....	1502
	(a) <i>Williams v. New York</i>	1502
	(b) The Range of Relevant Information	1504
	(c) Consideration of the Defendant’s Exercise of Procedural Rights	1507
	(d) Notice.....	1509
	(e) The Right to the Assistance of Counsel.....	1512
	(f) Ensuring the Reliability of Sentencing Information	1513
	(g) The Right to Be Heard: Allocution and the Right to Offer Rebuttal Evidence	1515
	(h) Burden of Proof.....	1517
	(i) Heightened Protection for Exceptional Enhancements That Constitute Separate Offenses	1518
§ 26.5	Sentencing Information.....	1525
	(a) Evidentiary Standards	1525
	(b) The Presentence Report	1527
	(c) Disclosure of the Presentence Report.....	1528
	(d) Victim Impact Statements	1529
§ 26.6	Special Sentences	1529
	(a) Special Sentences and Special Procedures.....	1529
	(b) Recidivist Statutes.....	1530
	(c) Restitution.....	1532
	(d) Forfeiture	1533
§ 26.7	Resentencing: Double Jeopardy.....	1535
	(a) Resentencing Following Reconviction and the <i>Bullington</i> Rule.....	1535
	(b) Resentencing and Sentencing Appeals.....	1537
	(c) Resentencing by the Trial Judge	1538
	(d) Sentencing Based upon Other Criminal Conduct	1542
§ 26.8	Resentencing: The Prohibition Against Vindictiveness	1543
	(a) Presumed Vindictiveness: The <i>Pearce</i> Ruling.....	1543
	(b) Rebutting the <i>Pearce</i> Presumption.....	1544
	(c) Applying the <i>Pearce</i> Presumption in Other Resentencing Settings.....	1544
CHAPTER 27. APPEALS		1547
§ 27.1	Constitutional Protection of the Defendant’s Right to Appeal	1548
	(a) No Federal Constitutional Right	1548
	(b) Constitutional Protection of the Statutory Right of Appeal	1549
§ 27.2	Defense Appeals and the Final Judgment Rule	1550
	(a) The Statutory Requirement of a Final Judgment	1550
	(b) Underlying Policies and Statutory Exceptions	1550
	(c) Collateral Orders	1552
	(d) Independent Proceedings	1556
	(e) Grand Jury Proceedings.....	1558
§ 27.3	Prosecution Appeals	1559
	(a) Constitutional Constraints	1559
	(b) The Need for Specific Statutory Authorization	1559
	(c) Pretrial Rulings	1560
	(d) Post-Jeopardy Rulings.....	1562

§ 27.4	Review by Writ.....	1563
	(a) Extraordinary Writs Generally.....	1563
	(b) Prohibition and Mandamus: Traditional Limits and Modern Extensions.....	1564
	(c) Defense Petitions.....	1564
	(d) Prosecution Applications.....	1565
	(e) Third-Party Applications.....	1566
§ 27.5	The Scope of Appellate Review.....	1566
	(a) Mootness.....	1566
	(b) The Concurrent Sentence Doctrine.....	1569
	(c) Waiver or Forfeiture of the Right to Appeal.....	1570
	(d) Plain Error.....	1574
	(e) Standard of Review.....	1578
§ 27.6	Harmless Error.....	1580
	(a) Origins of Harmless Error Review.....	1580
	(b) Harmless Error Review of Nonconstitutional Errors.....	1580
	(c) Application to Constitutional Violations.....	1583
	(d) Harmless Error or Automatic Reversal.....	1584
	(e) Applying the Reasonable Doubt Standard for Constitutional Errors.....	1591
CHAPTER 28. POST CONVICTION REVIEW: COLLATERAL REMEDIES		1595
§ 28.1	Current Collateral Remedies and Historical Antecedents.....	1596
	(a) The Nature of Collateral Remedies.....	1596
	(b) The Common Law Writ of Habeas Corpus.....	1596
§ 28.2	The Statutory Structure and Habeas Policy.....	1597
	(a) Constitutional Right or Legislative Grace.....	1597
	(b) Statutory Structure: From the 1867 Act to the 1996 Act.....	1599
	(c) The Current Statute.....	1600
	(d) Balancing Within the Statutory Framework.....	1601
	(e) Competing Models of Habeas Review.....	1604
§ 28.3	Cognizable Claims.....	1607
	(a) Cognizable Claimants—The Custody Requirement.....	1607
	(b) Cognizable Claims.....	1609
	(c) The Exception for Fourth Amendment Claims.....	1611
	(d) The Opportunity for Full and Fair Litigation.....	1613
	(e) “Bare Innocence” Claims— <i>Herrera v. Collins</i>	1614
§ 28.4	Claims Foreclosed by State Procedural Defaults.....	1615
	(a) Claims “Defaulted” in State Court—The Policy Debate.....	1615
	(b) Which Defaults Count: The “Adequate and Independent State Ground” Standard.....	1616
	(c) Excusing Default: the “Cause-and-Prejudice” Standard.....	1618
	(d) Establishing Cause.....	1620
	(e) The Meaning of Prejudice.....	1624
	(f) The “Miscarriage of Justice” Exception.....	1624

§ 28.5	Claims Foreclosed Due to Premature, Successive, or Delayed Applications	1626
	(a) Exhaustion of State Remedies	1626
	(b) Time Limits for Filing Petitions	1630
	(c) Claims Advanced in a Prior Petition	1633
	(d) New Claims in Second or Successive Petitions.....	1634
	(e) “Gatekeeping” by the Court of Appeals	1636
§ 28.6	Constitutional Interpretation on Habeas Review	1636
	(a) The Changing Role of Federal Habeas Courts.....	1636
	(b) <i>Teague</i> : Limiting the Retroactive Application of New Rules of Procedure.....	1637
	(c) Determining When a State Conviction Becomes Final	1638
	(d) The “New Rule” Concept	1639
	(e) The <i>Teague</i> Exceptions.....	1640
	(f) Review of State Court Decisions After the 1996 Amendments	1642
	(g) Harmless Error on Habeas Review	1646
§ 28.7	Review of Factfinding and Evidentiary Hearings	1647
	(a) Presuming the Correctness of State Court Determinations of Fact.....	1647
	(b) Distinguishing Mixed Determinations of Law and Fact from Fact-Finding.....	1649
	(c) Obtaining Evidentiary Hearings	1650
	(d) Discovery	1652
	TABLE OF CASES	1653
	INDEX.....	1669