

Table of Contents

Preface xxvii
Acknowledgments xxix

The header for Part I features a small image of a classical building facade on the left. To its right, the word "PART" is written in red above a large, bold, white letter "I" set against a dark red square background. Further to the right, the text "INTRODUCTION TO CRIMINAL PROCEDURE 1" is displayed in a bold, dark red font.

PART I INTRODUCTION TO CRIMINAL PROCEDURE 1

Chapter One: The Criminal Justice Process	3
A. The Difference Between Substantive Criminal Law and Criminal Procedure	3
1. How Substantive Criminal Law Differs from Criminal Procedure	4
2. Overlap Between Substantive Criminal Law and Criminal Procedure	5
B. The Difference Between Investigative and Adjudicative Criminal Procedure	7
C. The Life of a Criminal Case	8
1. The Investigatory Phase	8
a. <i>Step 1. How an Investigation Begins</i>	8
b. <i>Step 2. Law Enforcement's Investigative Practices (How Law Enforcement Goes About Investigating the Commission of a Crime)</i>	9
2. The Adjudicatory Phase	10
a. <i>Step 3. The Filing of a Complaint</i>	11
b. <i>Step 4. The Probable Cause (Gerstein) Hearing</i>	11
c. <i>Step 5. Information or Grand Jury Indictment</i>	12
d. <i>Step 6. Arraignment</i>	14
e. <i>Step 7. Pretrial Motions</i>	14
f. <i>Step 8. Plea Bargaining</i>	14
g. <i>Step 9. The Trial</i>	15
h. <i>Step 10. Sentencing</i>	16
i. <i>Step 11. Postconviction Relief</i>	17

D. Competing Values in Criminal Procedure	19
E. Race, Gender, and Economic Class in Criminal Procedure	22
1. Race	22
2. Gender	25
3. Economic Class	25
Chapter Summary	26

Chapter Two: Sources of the Law **31**

A. The U.S. Constitution	32
1. The Bill of Rights	32
2. The Incorporation Debate	35
3. The Supreme Court's Expansive Interpretation of Individual Guarantees	36
4. Freestanding Due Process Protections	37
B. State Constitutions	39
C. Statutory Regulations in Criminal Procedure	41
D. Court's Supervisory Authority	43
Chapter Summary	44
Applying the Rules	45
Criminal Procedure in Practice	46



ADJUDICATIVE CRIMINAL PROCEDURE 47

Chapter Three: Charging Decisions **49**

A. Prosecutorial Discretion	50
1. The Legal Basis for Prosecutorial Discretion	50
2. Exercising Discretion	52
a. <i>The Charging Decision (The Screening Function)</i>	53
b. <i>Selecting the Charges (The Selection Function)</i>	55
B. Constitutional Limits on Prosecutorial Discretion	57
1. Selective Prosecution	57
<i>United States v. Armstrong</i>	59
2. Vindictive Prosecution	69
<i>Blackledge v. Perry</i>	70

Chapter Summary	76
Applying the Rules	79
Criminal Procedure in Practice	80
Chapter Four: Pretrial Release	83
A. Forms of Pretrial Release	84
B. Flight Risk and the Eighth Amendment	87
1. When Is Bail Excessive?	88
<i>Stack v. Boyle</i>	89
2. Further Defining Excessiveness	91
a. <i>Excessiveness and Bail Factors</i>	91
b. <i>The Defendant's Ability to Make Bail</i>	94
c. <i>How Well Does the Money Bail System Work?</i>	96
d. <i>Excessive Bail and Nonmonetary Conditions of Release</i>	100
C. Public Safety and Preventative Detention	103
<i>Salerno v. United States</i>	105
Chapter Summary	123
Applying the Rules	125
Criminal Procedure in Practice	127
Chapter Five: Judicial Case Screening and Grand Juries	131
A. Preliminary Hearings	132
1. A Mini Trial	132
2. Case Screening Effectiveness	134
3. Benefits Beyond Case Screening	135
4. Preliminary Hearings in Information and Grand Jury Jurisdictions	137
B. The Grand Jury	138
1. When Are Grand Jury Indictments Required?	141
2. Grand Jury Procedures and Structure	141
3. Grand Jury Secrecy	144
a. <i>Witnesses</i>	144
b. <i>Grand Jury Material</i>	146
4. The Grand Jury's Screening Function	147
a. <i>Evidentiary Challenges</i>	148
<i>United States v. Williams</i>	151

<i>b. Judicial Review Beyond Evidence Admissibility</i>	157
<i>c. The Grand Jury's Screening Function and Indicting a "Ham Sandwich"</i>	159
5. The Investigating Grand Jury	162
<i>a. The Grand Jury's Subpoena Power and the Fourth Amendment</i>	163
<i>b. The Fifth Amendment Right Against Self-Incrimination (Grand Jury Subpoenas)</i>	166
<i>Hoffman v. United States</i>	169
<i>c. Overcoming the Privilege by Granting Immunity</i>	175
<i>d. The Act of Production Doctrine</i>	180
<i>e. The Act of Production and Immunity</i>	183
<i>United States v. Hubbell</i>	184
<i>f. Required Records Exception</i>	193
Chapter Summary	198
Applying the Rules	201
Criminal Procedure in Practice	203
Chapter Six: The Right to Counsel	205
A. The Right to Appointed Counsel	205
1. The Right to Appointed Trial Counsel	207
<i>a. The Right to Counsel in Felony Trials (The Path to Gideon)</i>	207
<i>Gideon v. Wainwright</i>	212
<i>b. Gideon: The Rest of the Story</i>	217
<i>c. Has Gideon's Promise Been Fulfilled?</i>	218
<i>Anthony C. Thompson, The Promise of Gideon: Providing High-Quality Public Defense in America</i>	219
<i>d. The Right to Counsel and the Norms of Criminal Procedure</i>	221
<i>e. Defending the Guilty</i>	222
<i>f. The Right to Counsel in Misdemeanor Trials</i>	223
<i>Scott v. Illinois</i>	226
2. When the Right to Counsel Begins	235
<i>a. Civil vs. "Criminal Prosecutions"</i>	236
<i>b. When the Right to Counsel Applies in "Criminal Prosecutions"</i>	236
3. The Right to Counsel on Appeal	238
<i>a. First Appeal as of Right</i>	239
<i>b. Second-Tier Discretionary Appeal</i>	240
<i>c. First Discretionary Appeal</i>	241

B. The Right to Effective Assistance of Counsel	244
1. The Right to Effective Assistance of Counsel at Trial and Sentencing	244
<i>Strickland v. Washington</i>	245
a. <i>The Performance Prong at Trial and Sentencing</i>	257
b. <i>The Prejudice Prong at Trial and Sentencing</i>	260
c. <i>The Strickland Majority, Justice Marshall’s Dissent, and the Norms of Criminal Procedure</i>	261
d. <i>The Strickland Test and Gideon’s Promise</i>	262
<i>Hurrell-Harring v. State</i>	263
e. <i>A Checklist Approach to Effective Representation</i>	265
f. <i>Effective Assistance of Counsel and Privately Retained Attorneys</i>	267
g. <i>United States v. Cronin: When Prejudice Is Presumed</i>	267
2. The Right to Effective Assistance of Counsel During the Plea Process	268
a. <i>Acceptance of the Guilty Plea</i>	269
b. <i>Rejecting a Plea Bargain</i>	275
<i>Missouri v. Frye</i>	276
<i>Lafler v. Cooper</i>	283
c. <i>The Potential Importance of Frye and Cooper</i>	294
3. The Right to Effective Assistance of Counsel on Appeal	296
C. The Right to Self-Representation	300
<i>Faretta v. California</i>	301
1. The Right to Change Your Mind about Proceeding <i>Pro Se</i>	312
2. Standby Counsel	312
3. Hybrid Counsel	313
4. Competency to Waive Counsel and Represent Oneself	314
a. <i>Godinez v. Moran</i>	314
<i>John H. Blume and Morgan J. Clark, “Unwell”: Indiana v. Edwards and the Fate of Mentally Ill Pro Se Defendants</i>	315
b. <i>Indiana v. Edwards</i>	317
5. The Right to <i>Pro Se</i> Representation on Appeal	319
Chapter Summary	321
Applying the Rules	323
Criminal Procedure in Practice	326
Chapter Seven: Discovery	329
A. The Defendant’s Constitutional Right to Discovery	330
1. Evidence That Is Favorable to the Accused	332

<i>Giglio v. United States</i>	333
2. Materiality	336
<i>United States v. Bagley</i>	337
3. Effect of a Guilty Plea on the Prosecution's Obligation to Pass <i>Brady</i> Material	350
B. Discovery in the Absence of Constitutional Requirements (The Criminal Defendant's Statutory Right to Discovery)	353
1. Expansive Discovery	353
2. Narrow Discovery	354
3. Who Won the Discovery Debate?	355
C. The State's Obligation to Preserve Evidence	357
<i>Arizona v. Youngblood</i>	358
D. The Prosecution's Right to Discover Defense Evidence	371
Chapter Summary	373
Applying the Rules	375
Criminal Procedure in Practice	377
Chapter Eight: Pretrial Motions	381
A. Venue	383
1. The Venue and Vicinage Requirement: An Overview	383
<i>a. Venue</i>	384
<i>b. Vicinage</i>	385
2. Determining Where the Crime Was Committed	387
<i>a. "Point-in-Time" Crimes</i>	388
<i>b. Continuing Crimes</i>	389
<i>United States v. Rodriguez-Moreno</i>	390
3. Conspiracy	396
4. Changing Venue	397
<i>a. Prejudice</i>	398
<i>b. Convenience</i>	399
B. Joinder and Severance	405
1. Joining Offenses and Defendants: The Good and the Bad	406
<i>a. Benefits of Joinder</i>	406
<i>b. Joinder's Risks</i>	407
2. Joinder	409
<i>a. Joinder of Offenses: When Allowed</i>	409
<i>b. Joining Defendants: When Allowed</i>	413

3. Severance	414
<i>a. Reasons for Severance</i>	415
<i>b. The Special Case of the Confessing, but Nontestifying Co-defendants (The Bruton Rule)</i>	417
<i>Samia v. United States</i>	420
C. Speedy Trial	433
1. Pre-Indictment Delay	434
2. The Sixth Amendment Speedy Trial Right	436
<i>Barker v. Wingo</i>	437
3. Unpacking the <i>Barker</i> Factors	446
4. Statutory Speedy Trial Rights	449
Chapter Summary	452
Applying the Rules	457
Criminal Procedure in Practice	459
Chapter Nine: Guilty Pleas and the Plea-Bargaining Process	463
A. The Elements of a Constitutionally Valid Guilty Plea	464
1. Voluntary	464
<i>Brady v. United States</i>	466
2. Knowing and Intelligent	473
<i>a. Nature of the Charges</i>	473
<i>b. “Direct” (Penal) Consequences of a Guilty Plea</i>	474
<i>c. The Rights Being Waived</i>	475
<i>d. The Impact of Inaccurate Advice on the Constitutionality of Guilty Pleas</i>	476
3. Factual Basis and <i>Alford</i> Pleas	477
B. Prosecutorial Vindictiveness and Plea Bargaining	485
<i>Bordenkircher v. Hayes</i>	486
C. Breaking the Bargain	494
<i>Santobello v. New York</i>	495
D. The Plea-Bargaining Debate	505
<i>Jeff Palmer, Abolishing Plea Bargaining: An End to the Same Old Song and Dance</i>	505
Chapter Summary	509
Applying the Rules	511
Criminal Procedure in Practice	513

Chapter Ten: The Criminal Trial	517
A. Trial by Jury	518
1. When the Right to a Jury Trial Applies	519
<i>Duncan v. Louisiana</i>	520
2. Jury Size	529
3. Unanimity	531
4. Waiver	532
5. Selecting the Jury	533
a. <i>The Fair Cross-Section Requirement</i>	533
b. <i>Voir Dire and “For Cause” Challenges</i>	540
c. <i>Peremptory Challenges</i>	548
<i>Batson v. Kentucky</i>	551
B. Burden of Proof	581
C. The Defendant’s Right to Be Present	584
1. The Scope of the Defendant’s Right to Be Present	584
2. Waiver	585
D. The Right to Face-to-Face Confrontation	587
1. Supreme Court Precedent	589
a. <i>Coy v. Iowa</i>	589
b. <i>Maryland v. Craig</i>	590
2. Face-to-Face Confrontation and New Technologies	591
E. The Right to Present a Defense	593
1. The Defendant’s Failure to Comply with Discovery Requirements	594
2. Constitutional Limits on Evidentiary Rules	596
F. The Right to a Public Trial	599
G. The Right to Testify	600
H. The Right Against Self-Incrimination (The Right Not to Testify)	602
<i>Griffin v. California</i>	605
Chapter Summary	616
Applying the Rules	620
Criminal Procedure in Practice	625
Chapter Eleven: Sentencing	627
A. The Purpose of Punishment	627
1. Retribution	628
<i>John B. Mitchell, Crimes of Misery and Theories of Punishment</i>	628

2. General Deterrence	628
<i>William L. Barnes, Jr., Revenge on Utilitarianism: Renouncing A Comprehensive Economic Theory of Crime and Punishment</i>	628
3. Specific Deterrence	629
<i>Athula Pathinayake, Contextualizing Specific Deterrence in an Era of Mass Incarceration</i>	629
4. Incapacitation	630
<i>Wayne R. LaFave, Criminal Procedure</i>	630
5. Rehabilitation	631
<i>Benjamin L. Apt, Do We Know How to Punish?</i>	631
B. Types of Sentences	631
1. Nonincarcerative Sentences	632
2. Incarcerative Sentences	632
C. Constitutional Limits on Sentencing	636
1. Applying Constitutional Trial Rights at Sentencing	636
a. <i>Trial Rights That Do Not Apply at Sentencing</i>	637
b. <i>Trial Rights Held Applicable at Sentencing</i>	639
c. <i>Applying the Reasonable Doubt and Jury Trial Requirements to Statutory Maximums and Mandatory Minimums</i>	640
d. <i>The Apprendi Doctrine</i>	641
<i>Apprendi v. New Jersey</i>	644
e. <i>Sentencing Guidelines</i>	660
<i>Blakely v. Washington</i>	664
2. Judicial Vindictiveness	673
3. The Eighth Amendment	674
a. <i>Cruel and Unusual Punishment</i>	675
b. <i>Case-Particular Proportionality</i>	675
<i>Solem v. Helm</i>	676
c. <i>Categorical Violations of the Eighth Amendment</i>	686
<i>Roper v. Simmons</i>	687
d. <i>Excessive Fines</i>	704
Chapter Summary	706
Applying the Rules	709
Criminal Procedure in Practice	712

Chapter Twelve: Double Jeopardy	715
A. Double Jeopardy: The Purpose and Policy Underlying the Double Jeopardy Clause	716
B. The Types of Proceedings in Which the Double Jeopardy Clause Applies	717
1. The Double Jeopardy Clause Applies to All Crimes	717
2. The Double Jeopardy Clause Applies to Criminal Prosecutions, Not Civil Penalties	718
<i>a. Civil Penalties Generally</i>	718
<i>b. Civil Property Forfeitures</i>	719
C. The Double Jeopardy Analysis in the Context of Successive Prosecutions and Multiple Punishments	721
1. Placed in “Jeopardy”	721
2. What Constitutes the “Same Offense”	722
<i>a. Applying Blockburger</i>	723
<i>b. Prohibiting Successive Prosecutions of the Same Offense</i>	725
<i>c. Further Defining the Same Offense: The Unit of Prosecution Problem in the Context of Successive Prosecutions</i>	728
<i>Brown v. Ohio</i>	730
3. Multiple Punishments	738
<i>a. Multiple Punishments and Unit of Prosecution Analysis</i>	738
<i>b. Multiple Punishments and Double Description Cases in a Single Proceeding</i>	740
<i>Missouri v. Hunter</i>	742
D. Collateral Estoppel	747
<i>Ashe v. Swenson</i>	748
1. Further Refining the Collateral Estoppel Doctrine	754
E. The Mistrial Doctrine	758
1. Mistrials Granted Over the Defendant’s Objection	758
<i>a. Illinois v. Somerville: Mistrial Proper</i>	759
<i>b. Downum v. United States: Mistrial Improper</i>	760
<i>c. United States v. Jorn: Mistrial Improper</i>	760
<i>d. Arizona v. Washington: Mistrial Proper</i>	761
2. Mistrials Granted with the Defendant’s Consent or Request	762
F. The Dual Sovereignty Doctrine	764
Chapter Summary	766
Applying the Rules	769

Criminal Procedure in Practice	772
Chapter Thirteen: Direct Appeals and Collateral Review	775
A. Direct Review	776
1. The Defendant and the Prosecution’s Right to Direct Review	776
<i>a. The Defendant’s Right to Direct Review</i>	776
<i>b. The Prosecution’s Right to Direct Review</i>	778
2. The “Contemporaneous Objection Requirement” and the Plain Error Exception	779
<i>United States v. Olano</i>	781
3. Harmless Error	788
<i>a. Nonconstitutional Harmless Error</i>	789
<i>b. Constitutional Harmless Error</i>	790
<i>Chapman v. California</i>	792
4. Sufficiency vs. Weight	800
<i>a. Insufficiency of the Evidence Explained</i>	800
<i>b. The Standard of Review for Insufficiency of Evidence Claim</i>	801
<i>Jackson v. Virginia</i>	802
<i>c. Weight of the Evidence Claims</i>	806
5. Retroactivity and Direct Review	809
B. Collateral Review	811
1. The Collateral Review Process	814
<i>a. The Trial</i>	814
<i>b. The Direct Appeal</i>	814
<i>c. The State Collateral Review</i>	815
<i>d. The Section 2254 Proceeding</i>	816
2. Section 2254’s Procedural Hurdles	818
<i>a. Timing</i>	818
<i>b. Procedural Default</i>	819
<i>c. Overcoming Procedural Default</i>	822
<i>d. Ineffective Assistance of Counsel as Cause for a Procedural Default</i>	822
<i>e. Proving Prejudice</i>	826
3. Actual Innocence	828
4. The Scope of Section 2254 Federal Habeas Review	829
5. The Standard of Review Applied to Federal Habeas Claims	830

<i>a. The Initial Standard of Review</i>	831
<i>b. Harmless Error Review During Federal Habeas Corpus</i>	834
6. Retroactivity on Collateral Review	835
Chapter Summary	837
Applying the Rules	841
Criminal Procedure in Practice	843
<i>Table of Cases</i>	847
<i>Index</i>	859