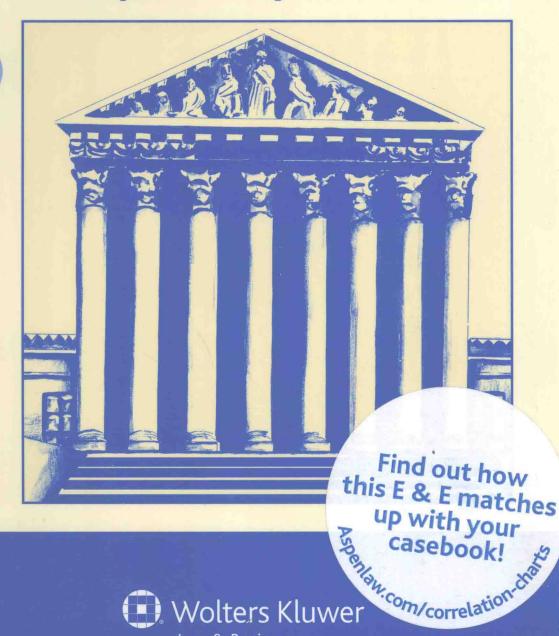
XAMPLE PLANATIONS

Constitutional Law

National Power and Federalism

Sixth Edition

Christopher N. May and Allan Ides



Wolters Kluwer

Law & Business

Constitutional Law National Power and Federalism

Sixth Edition

Christopher N. May

Professor Emeritus of Law Loyola Law School, Los Angeles

Allan Ides

Christopher N. May Professor of Law Loyola Law School, Los Angeles Copyright © 2013 CCH Incorporated.

Published by Wolters Kluwer Law & Business in New York.

Wolters Kluwer Law & Business serves customers worldwide with CCH, Aspen Publishers, and Kluwer Law International products. (www.wolterskluwerlb.com)

No part of this publication may be reproduced or transmitted in any form or by any means, electronic or mechanical, including photocopy, recording, or utilized by any information storage or retrieval system, without written permission from the publisher. For information about permissions or to request permissions online, visit us at www.wolterskluwerlb.com, or a written request may be faxed to our permissions department at 212-771-0803.

To contact Customer Service, e-mail customer.service@wolterskluwer.com, call 1-800-234-1660, fax 1-800-901-9075, or mail correspondence to:

Wolters Kluwer Law & Business Attn: Order Department PO Box 990 Frederick, MD 24705

Printed in the United States of America.

1234567890

ISBN 978-1-4548-0524-3

Library of Congress Cataloging-in-Publication Data

May, Christopher N.

Constitutional law: national power and federalism/Christopher N. May, Professor Emeritus of Law Loyola Law School, Los Angeles; Allan Ides, Christopher N. May Professor of Law, Loyola Law School, Los Angeles. — Sixth edition.

pages cm. — (Examples & explanations.) Includes index.

ISBN 978-1-4548-0524-3

1. Constitutional law — United States. 2. Judicial review — United States. 3. Federal government — United States. I. Ides, Allan, 1949- II. Title.

KF4550.M29 2012 342.73 — dc23

2012041900



Constitutional Law National Power and Federalism

EDITORIAL ADVISORS

Vicki Been

Elihu Root Professor of Law New York University School of Law

Erwin Chemerinsky

Dean and Distinguished Professor of Law University of California, Irvine, School of Law

Richard A. Epstein

Laurence A. Tisch Professor of Law New York University School of Law Peter and Kirsten Bedford Senior Fellow The Hoover Institution Senior Lecturer in Law The University of Chicago

Ronald J. Gilson

Charles J. Meyers Professor of Law and Business Stanford University Marc and Eva Stern Professor of Law and Business Columbia Law School

James E. Krier

Earl Warren DeLano Professor of Law The University of Michigan Law School

Richard K. Neumann, Jr.

Professor of Law Hofstra University School of Law

Robert H. Sitkoff

John L. Gray Professor of Law Harvard Law School

David Alan Sklansky

Yosef Osheawich Professor of Law University of California at Berkeley School of Law

Kent D. Syverud

Dean and Ethan A. H. Shepley University Professor Washington University School of Law

Elizabeth Warren

Leo Gottlieb Professor of Law Harvard Law School

About Wolters Kluwer Law & Business

Wolters Kluwer Law & Business is a leading global provider of intelligent information and digital solutions for legal and business professionals in key specialty areas, and respected educational resources for professors and law students. Wolters Kluwer Law & Business connects legal and business professionals as well as those in the education market with timely, specialized authoritative content and information-enabled solutions to support success through productivity, accuracy and mobility.

Serving customers worldwide, Wolters Kluwer Law & Business products include those under the Aspen Publishers, CCH, Kluwer Law International, Loislaw, Best Case, ftwilliam.com and MediRegs family of products.

CCH products have been a trusted resource since 1913, and are highly regarded resources for legal, securities, antitrust and trade regulation, government contracting, banking, pension, payroll, employment and labor, and healthcare reimbursement and compliance professionals.

Aspen Publishers products provide essential information to attorneys, business professionals and law students. Written by preeminent authorities, the product line offers analytical and practical information in a range of specialty practice areas from securities law and intellectual property to mergers and acquisitions and pension/benefits. Aspen's trusted legal education resources provide professors and students with high-quality, up-to-date and effective resources for successful instruction and study in all areas of the law.

Kluwer Law International products provide the global business community with reliable international legal information in English. Legal practitioners, corporate counsel and business executives around the world rely on Kluwer Law journals, looseleafs, books, and electronic products for comprehensive information in many areas of international legal practice.

Loislaw is a comprehensive online legal research product providing legal content to law firm practitioners of various specializations. Loislaw provides attorneys with the ability to quickly and efficiently find the necessary legal information they need, when and where they need it, by facilitating access to primary law as well as state-specific law, records, forms and treatises.

Best Case Solutions is the leading bankruptcy software product to the bankruptcy industry. It provides software and workflow tools to flawlessly streamline petition preparation and the electronic filing process, while timely incorporating everchanging court requirements.

ftwilliam.com offers employee benefits professionals the highest quality plan documents (retirement, welfare and non-qualified) and government forms (5500/PBGC, 1099 and IRS) software at highly competitive prices.

MediRegs products provide integrated health care compliance content and software solutions for professionals in healthcare, higher education and life sciences, including professionals in accounting, law and consulting.

Wolters Kluwer Law & Business, a division of Wolters Kluwer, is headquartered in New York. Wolters Kluwer is a market-leading global information services company focused on professionals.

For our parents
Virginia and Robert May
Frances and Albert Ides

Most of us arrive at law school with at least a minimal awareness of our constitutional system of government. We know generally that the national government is divided into three branches and that the Bill of Rights protects our fundamental freedoms. That awareness probably began with elementary school Thanksgiving Day pageants, developed substance through various American history and government classes in high school, and finally, for some of us, is topped by an undergraduate course in constitutional law. Outside the educational setting, constitutional law issues ripple through the popular media with frequent references to abortion, free speech, religion, racial and gender discrimination, gay rights, and so forth.

As law students, however, we learn very quickly that the study of constitutional law is anything but a meditation on the commonplace. And therein lies the treachery. The familiar quickly blends with the arcane, and we are forced to grapple with a tumult of doctrines, distinctions, and qualifications. Indeed, the familiar may soon disappear as we trek through justiciability, the commerce power, state action, and various other subjects that never seem to make the headlines. Even those topics that strike a common chord are presented with a treatment that is most uncommon. Add to this a bevy of wavering doctrines, concurring or opposing opinions, and the changing personnel of the Supreme Court, and the complexity can become overwhelming.

We're here to help. We have written two volumes designed to give you a foundation in the doctrines and methods of constitutional law and constitutional argument. This volume, National Power and Federalism, covers the powers of the federal courts, Congress, and the President; the doctrines of separation of powers and federalism; and some of the limitations that the Constitution imposes on state power. The second volume, Individual Rights, covers the provisions of the Constitution that protect us against the government, including the Takings and Contracts Clauses; the Due Process and Equal Protection Clauses; and the Speech, Press, and Religion Clauses of the First Amendment.

These books try to provoke you into thinking about the larger issues of constitutional law with some depth and perception. They are not outlines. Nor are they research treatises on all the nuances of constitutional law. Rather, they present a problem-oriented guide through the principal doctrines of constitutional law—those covered in typical constitutional law courses—with an emphasis on how one might think about issues that

Preface

arise within the various contexts in which these doctrines operate. Lawyers, after all, are problem solvers. These books are tools for constitutional law problem solvers (and students confronted with the reality of final exams).

We must include the usual caveat. Our books are not a substitute for your constitutional law class or for a basic casebook. Nor are they a substitute for reading those cases. We hope, however, that they will make the classroom experience richer and more accessible. In fact, our experience is that students who have read these materials along with traditional cases have found the cases more understandable and more easily digested. They have also found that class participation is less threatening and more fruitful. We are confident that you will have the same experience.

The approach we suggest is quite simple. As you begin a new topic in your constitutional law course, read the related chapter in either National Power and Federalism or Individual Rights. This will give you an overview of the area and a preliminary sense of how doctrines are applied within the area. In reading the chapters, however, don't just read the problems - do them! In other words, consider the problem and try to anticipate how it will be solved before you read the accompanying explanation. This will develop your analytical skills. Next, as you read your cases, refer back to the related chapters and chapter sections and assess how each case fits into the overall framework developed by the Court. See if the case comports with the problems and explanations. Be critical. Finally, when you complete the coverage of a topic, review the chapter again. This will give you confidence that you know the material. Students have also found these materials useful as study aids when preparing for their final exams. After all, finals are simply problems to be solved. In any event, don't just read these books; use them to develop your understanding and your skills.

Good luck in your studies and in your careers as problem-solving students of the Constitution.

Christopher N. May Allan Ides

November 2012

Acknowledgments

We would like to express our appreciation to several people who provided assistance in the preparation of these books, beginning with a special thanks to our student research assistants at Loyola Law School and Washington and Lee University: Lilly Kim (LLS '98), Lauren Raskin (LLS '98), Eric Enson (LLS '99), James V. DeRossitt IV (W&L '96), Ashley DeMoss (W&L '97), Lawrence Striley (W&L '95), Kristen Strain (LLS '01), Kasha Arianne Harshaw (LLS '02), Jessica Levinson (LLS '05), Daniel Costa (UCLA '11), Mario Grimm (LLS '11), Mashashi Kawaguchi (LLS '11), Vanda Long (UNC '11), and Jacquelyn Mohr (LLS '11). Thanks also to our secretaries, Ruth Busch and Diane Cochran. In addition, we gratefully acknowledge the financial support provided by Washington and Lee University and by Loyola Law School.

Summary of Contents

Contents		xi
Preface		xxi
Acknowledgn	nents	xxiii
Chapter I	Judicial Review	1
Chapter 2	Congressional Power to Limit the Jurisdiction of the	63
	Supreme Court and Inferior Federal Courts	
Chapter 3	Justiciability	99
Chapter 4	Special Limitations on Judicial Review of State Laws	163
Chapter 5	The Powers of the National Government	219
Chapter 6	The Supremacy Clause	287
Chapter 7	The Separation of Powers	313
Chapter 8	The Dormant Commerce Clause	373
Chapter 9	The Privileges and Immunities Clause of Article IV	417
Table of Cas	es	439
Index		449

Preface Acknowledgme	nts			xxi xxiii
Chapter I	Judici	al Revi	2W	1
	§1.1	Introduc	tion and Overview	1
	§1.2	The Back	kground of Marbury v. Madison	2
		§1.2.1	Independence and the Articles of	
			Confederation	2
		§1.2.2	The First State Constitutions	3
		§1.2.3	The Emergence of Judicial Review	5
		§1.2.4	Creating a New National Government	6
		§1.2.5	The Federalist Era, 1789-1801	7
		§1.2.6	The Republican Assault on the Judiciary	8
	§1.3	Marbury v	v. Madison: Judicial Review of the Coordinate	
		Branche		10
		§1.3.1	Judicial Review of Acts of Congress	10
		§1.3.2	Judicial Review of Executive Conduct	12
		§1.3.3	The Constitution as Paramount Law in	
			Court	13
		§1.3.4	Marshall's Textual Defense of Judicial	
			Review	14
		§1.3.5	The Legitimacy of Judicial Review	17
	§1.4		Judicial Review of State Conduct	18
		§1.4.1	Challenges Initiated in Federal Court	19
		§1.4.2	Supreme Court Review of State	
			Judgments	19
		§1.4.3	Adequate and Independent State Grounds	22
			What Constitutes an "Adequate" State	
			Ground?	23
			What Constitutes an "Independent" State	
			Ground?	26
			In Case of Doubt: Michigan v. Long	2.7
	772 ting 12mm		Cases Filed in the Federal Courts	3 1
	§1.5		e of Judicial Review in a Democratic Society	31
	§1.6	The Del	oate over Constitutional Interpretation	34
		\$1.6.1	Interpretivism versus Noninterpretivism	35

		§1.6.2	Textualism	36
		§1.6.3	Originalism	37
		§1.6.4	Nonoriginalism	39
		§1.6.5	Approaching Consensus	40
		§1.6.6	Sources and Levels of Generality	42
	§1.7	The Tecl	nniques of Constitutional Interpretation	44
		§1.7.1	Constitutional Text	44
		§1.7.2	Original Intent	45
		§1.7.3	Constitutional Structure	46
		§1.7.4	History and Tradition	47
		§1.7.5	Fairness and Justice	48
		§1.7.6	Political Theory	48
		§1.7.7	Social Policy	49
		§1.7.8	Foreign, International, and State Law	49
		§1.7.9	Supreme Court Precedent	50
	§1.8	Authorit	ativeness of Judicial Interpretations	52
		§1.8.1	The Supreme Court's Interpretations	
			as Law	53
		§1.8.2	Binding Effect on Other Courts	55
		§1.8.3	Binding Effect on Nonjudicial Officials	56
Chapter 2	Cong	assiona	l Power to Limit the	
Chapter 2			of the Supreme Court and	
			ral Courts	12
	men	or reue	rai Courts	63
	§2.1	Introduc	tion and Overview	63
	§2.2	The Pov	ver to Make Exceptions to the Jurisdiction	
		of the S	upreme Court	65
		§2.2.1	Defining the Scope of the Exceptions	
			Power	66
			The Traditional or Plenary Power View	66
			Mandatory Interpretations	66
			Historical Practice	68
			Precedent	69
		§2.2.2	Precedent Structural Limits on Exercises of the	69
		§2.2.2		69 70
		§2.2.2 §2.2.3	Structural Limits on Exercises of the	
			Structural Limits on Exercises of the Exceptions Power	
			Structural Limits on Exercises of the Exceptions Power External Limits on Exercises of the	70
		§2.2.3	Structural Limits on Exercises of the Exceptions Power External Limits on Exercises of the Exceptions Power	70
	§2.3	§2.2.3 §2.2.4	Structural Limits on Exercises of the Exceptions Power External Limits on Exercises of the Exceptions Power A Comment on Ambiguities in the	70 75
	§2.3	§2.2.3 §2.2.4	Structural Limits on Exercises of the Exceptions Power External Limits on Exercises of the Exceptions Power A Comment on Ambiguities in the Jurisprudence of the Exceptions Clause wer to Create Article III Courts Inferior to the	70 75
	§2.3	§2.2.3 §2.2.4 The Pov	Structural Limits on Exercises of the Exceptions Power External Limits on Exercises of the Exceptions Power A Comment on Ambiguities in the Jurisprudence of the Exceptions Clause wer to Create Article III Courts Inferior to the	70 75 77

		92.3.2	The Implicit Authority to Regulate	
			Jurisdiction	80
		§2.3.3	Structural Limits on the Power to Create	
			Inferior Tribunals	82
		§2.3.4	External Limits on the Power to Create	
			Inferior Tribunals	86
	§2.4	The Pow	rer to Create Non-Article III Courts	86
		§2.4.1	The Argument Against Non-Article III	
			Courts	86
		§2.4.2	The Justification for Non-Article III	
			Courts	87
		§2.4.3	Territorial Courts	88
		§2.4.4	Military Courts	89
		§2.4.5	Adjunct Courts	89
		§2.4.6	The Public Rights Exception: Original	
			Form	93
		§2.4.7	The Public Rights Exception: Modern	
			Form	95
Chapter 3	Instic	iahility		99
Chapter 5				
	§3.1			99
	§3.2		ments of a Case or Controversy	101
		§3.2.1	Constitutional Minimum Applied: Advisory Opinions and Collusive Suits	102
		6222		102
		§3.2.2	Constitutional Minimum Applied:	104
		6222	Declaratory Relief	104
		§3.2.3	Constitutional Minimum Applied:	105
	82.2	Drudonti	Supreme Court Review of State Decisions	103
	§3.3		al Considerations: Beyond the tional Minimum	105
	§3.4		nding Doctrine	107
	95.4	§3.4.1	Injury-in-Fact	108
		§3.4.1		117
		§3.4.3	Redressability	119
		95.7.5	General Federal and State Taxpayer	112
			Standing	124
		§3.4.4	The Prohibition Against Generalized	121
		55.1.1	Grievances	125
			Taxpayer Standing and the Establishment	
			Clause	127
		§3.4.5	The Rule Against Third-Party Standing	130
		§3.4.6	The Zone of Interests Test	137
		§3.4.7	Organizational Standing	139
		§3.4.8	Legislative Standing	140
				xiii
				AIII

	§3.5	The Time	eline of Justiciability: The Ripeness and		
			s Doctrines	143	
	§3.6	Ripeness	Applied	144	
	§3.7	Mootnes	s Applied, and Variations	147	
		§3.7.1		149	
		§3.7.2	Wrongs Capable of Repetition Yet		
			Evading Review	150	
		§3.7.3	Voluntary Cessation	151	
		§3.7.4	Class Actions	152	
	§3.8	The Poli	tical Question Doctrine	153	
Chapter 4	Specia	al Limita	ations on Judicial Review		
	of State Laws				
	§4.1		tion and Overview	163	
	§4.2		enth Amendment	163	
		§4.2.1	The Eleventh Amendment and Sovereign		
			Immunity	163	
		§4.2.2	Suits Filed by the United States	167	
		§4.2.3	Suits Filed by Another State	168	
		§4.2.4	Bankruptcy Proceedings	169	
		§4.2.5	Supreme Court Review of State Court	1 20	
		0101	Decisions	169	
		§4.2.6	The Stripping Doctrine	170	
			Ex parte Young and the Fiction of Stripping	170	
			Designating the Proper Defendant	173	
			Prospective versus Retroactive Relief Holding Officials Personally Liable in	174	
			Damages	176	
			No Stripping for State Law Claims	181	
			Congressional Restriction of the Stripping		
			Doctrine	182	
		§4.2.7	Suits Against Governmental Entities	185	
			Classifying a Governmental Entity	185	
			Stating a Cause of Action: §1983	187	
			Suing Federal Officials	189	
		§4.2.8	Congressional Abrogation	190	
		§4.2.9	State Waiver by Consent to Suit	195	
		§4.2.10		197	
	§4.3	_	Doctrine	199	
	§4.4	The Pulls	nan Doctrine	201	
	§4.5	The Your	nger Doctrine	204	
		§4.5.1	The Basic Doctrine	204	
		\$4.5.2	"Pending" State Proceedings	206	

		§4.5.3	The Nature of the State Proceedings	209
			Proceedings of a Judicial Nature	209
			Implicating Important State Interests	211
		§4.5.4	Opportunity to Raise the Federal Claim	
			in the State Proceeding	212
		§4.5.5	Exceptions to the Younger Doctrine	213
			Bad Faith or Harassment	213
			Patently Unconstitutional	214
			Extraordinary Circumstances	215
		§4.5.6	Returning to Federal Court	215
	§4.6	Commo	n Law Immunity	217
Chapter 5	The Powers of the National Government			
	§5.1	Introduc	tion and Overview	219
	§5.2		essary and Proper Clause	221
	§5.3		ver over Interstate Commerce	225
		§5.3.1	A Brief History of Commerce Clause	
			Jurisprudence	226
		§5.3.2	The Modern Law of the Commerce	
			Clause	231
		§5.3.3	The Commerce Clause and Civil Rights	238
		§5.3.4	Closer Judicial Scrutiny: Lopez and Morrison	240
		§5.3.5	Regulating Commercial "Inactivity"	247
	§5.4	The Pow	ver to Tax and Spend	251
		§5.4.1	What Constitutes a Tax for Purposes of	
			the Taxing Power?	252
			The "Some Revenue" Test	253
			Is the Law Penal or Prohibitory?	253
		§5.4.2	Specific Limitations on the Power to Tax	257
			The Requirement of Uniformity	257
			Direct Taxes and Proportionality	258
			Prohibition on Taxes or Duties Laid on	
			Exports	259
		§5.4.3	What Constitutes an Expenditure for	
			Purposes of the Spending Power?	259
			Regulatory Spending	260
			Unconstitutional Conditions	262
			Spending Directed Toward the States	263
			Regulatory Authority Over Third Parties	267
	§5.5	The Pov	ver over Foreign Affairs	267
		§5.5.1	The Foreign Commerce Power	268
		§5.5.2	The Treaty Power	269
		8553	Executive Agreements	271

	§5.6		The War Powers stitutionally Enforceable Principle of m	278 280
Chapter 6	The S	uprema	cy Clause	287
	§6.1	Introduc	tion and Overview	287
	§6.2	The Pree	mption Doctrine	290
		§6.2.1	Types of Preemption	290
		§6.2.2	Conflict Preemption	292
		§6.2.3		299
			Express Field Preemption	299
			Implied Field Preemption	302
	§6.3		mmunity from State Regulation	306
	§6.4		mmunity from State Taxation	308
	§6.5	State-Im _]	posed Limits on Election to Federal Office	310
Chapter 7	The S	Separatio	on of Powers	313
	§7.1	Introduc	tion and Overview	313
	§7.2	"Checks	and Balances" and the Commingling of	
		Powers		314
	§7.3	Textual	versus Structural or Functional Arguments	316
		§7.3.1	Textual Separation of Powers Arguments	316
		§7.3.2	Structural Separation of Powers	
			Arguments	317
		§7.3.3	Analyzing Separation of Powers Problems	318
	§7.4	The Dor	nestic Arena	319
		§7.4.1	Presidential Exercise of Lawmaking	
			Power	319
			The Nondelegation Doctrine	322
			The Item Veto	323
		§7.4.2	The Legislative Veto	324
		§7.4.3	The Administrative State	327
		§7.4.4	The Appointment of Federal Officers	328
			Classifying Particular Government	
			Positions	329
			Interbranch Appointments	332
			Appointments Made by Congress	333
			Setting Qualifications for Office	335
		§7.4.5	The Removal of Federal Officers	335
			Congressional Participation in the	
			Removal Process	336
			Other Interbranch Removals	337

xvi