CASEY WELCH AND JOHN RANDOLPH FULLER

AMERICAN CRIMINAL COURTS

LEGAL PROCESS AND SOCIAL CONTEXT





anderson publishing

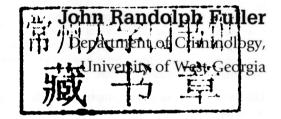
American Criminal Courts

Legal Process and Social Context

Casey Welch

Department of Social Sciences, Flager College

and







Acquiring Editor: Shirley Decker-Lucke **Development Editor:** Gregory Chalson

Project Manager: Julia Haynes

Designer: Russell Purdy

Anderson Publishing is an imprint of Elsevier 225 Wyman Street, Waltham, MA 02451, USA

Copyright © 2014 Elsevier Inc. All rights reserved

No part of this publication may be reproduced or transmitted in any form or by any means, electronic or mechanical, including photocopying, recording, or any information storage and retrieval system, without permission in writing from the publisher. Details on how to seek permission, further information about the Publisher's permissions policies and our arrangements with organizations such as the Copyright Clearance Center and the Copyright Licensing Agency, can be found at our website: www.elsevier.com/permissions.

This book and the individual contributions contained in it are protected under copyright by the Publisher (other than as may be noted herein).

Notices

Knowledge and best practice in this field are constantly changing. As new research and experience broaden our understanding, changes in research methods or professional practices, may become necessary. Practitioners and researchers must always rely on their own experience and knowledge in evaluating and using any information or methods described herein. In using such information or methods they should be mindful of their own safety and the safety of others, including parties for whom they have a professional responsibility. To the fullest extent of the law, neither the Publisher nor the authors, contributors, or editors, assume any liability for any injury and/or damage to persons or property as a matter of products liability, negligence or otherwise, or from any use or operation of any methods, products, instructions, or ideas contained in the material herein.

Library of Congress Cataloging-in-Publication Data

A catalogue record for this book is available from the Library of Congress

British Library Cataloguing-in-Publication Data

A catalogue record for this book is available from the British Library

ISBN: 978-1-4557-2599-1

For information on all Anderson publications visit our website at http://store.elsevier.com

Printed in Canada

14 15 16 10 9 8 7 6 5 4 3 2 1

Working together to grow libraries in developing countries

www.elsevier.com | www.bookaid.org | www.sabre.org

ELSEVIER

BOOK AID International

Sabre Foundation

American Criminal Courts

Acknowledgments and Dedications

Casey Welch

I dedicate this book to my wife Laurel Lee Welch, who has always been supportive of large undertakings, and our friend Glenn Coffey, who as a former prosecutor, a long-time Sociology and Criminology Professor, and a former department colleague, has debated with me the finer points of law and has greatly sharpened my analysis of the legal system. I doubt this project would have even gotten started without the two of them blowing wind into my sails. I would also like to acknowledge two professors and friends who have shaped my criminological outlook, Dr. David Bordua and Dr. Lonn Lanza-Kaduce, as well as the insights of M. Casey Condon, Judge Richard Poland, and Walter Eugene White. I extend my gratitude to several students who provided research assistance on the early chapters, including Kenneth Roach, Michelle Lewis, Chemal Cruz, Tristan Joynt, and Michael Nezbeth. My work on this book was partially supported by the Kahler Grant from Flagler College. Finally, I am in deep appreciation of the frank and thorough feedback from the many reviewers, including Sara Jane Phillips, Glenn S. Coffey, and Jacqueline Ward Talevi

John Randolph Fuller

I wish to dedicate this book to Amy Hembree. Without her support, hard work, and keen insights this book would not have been possible. I am grateful for the support of my colleagues David Jenks, Catherine Jenks, Juyoung Song, Mike Johnson, Kelly Christopher, Laura Lutgen, and Richard Lemke. Additionally, Dean N. Jane McCandless has been a constant source of support for over 20 years. I am grateful for the confidence and patience afforded to us by the good people at Anderson Publishing. Shirley Decker-Lucke, Gregory Carlson, and Mickey and Susan Braswell are each appreciated for their support and contributions in making this book better.

Preface

Students hear about court cases from every facet of media. Famous actors getting convicted for driving under the influence (DUI), defendants being sentenced to years in prison for seemingly minor offenses, and guilty-looking defendants getting released because of procedural rules. With years of experience working in the justice system and teaching and researching it, we decided to team up in order to help people understand the formal structure of the criminal courts as well as the actual operations and decision-making within courts. Using a clear writing style that avoids unnecessary jargon or cultural references that readers may not know, this book introduces the reader to the structure of U.S. courts, the social context that shapes the courts, and the real humans who make legal decisions every day in criminal courts.

Students often, and quite reasonably, complain that textbooks jump from one topic to the next. To correct this common problem, we organize our book around three themes, which allows each chapter to be connected and build toward the later chapters:

- courts have stable principles but are dynamic and adaptive to societal changes;
- the framework of courts is a balance between crime control and due process mandates;
- 3. decision-making is influenced by an array of internal and external pressures, from rules of legal reasoning to media coverage and elections.

The book provides a condensed description of the European and U.S. history out of which modern courts emerged. This illustrates the wide array of social-control mechanisms and helps the reader understand why nations have developed unique families of law and comparative court systems. The historical foundation also provides an explanation of the ideals of justice embodied in the courts, particularly those of crime control and due process. Rather than present these as opposites that one must favor, we show that they are both involved in every stage of the court process.

By the time the reader gets to the chapters that detail the pretrial and trial stages, he or she already has an understanding of the historical context and legal principles of the court and is familiar with empirical research on legal decisionmaking. They'll know why the attorneys and judges do what they do, and the court process will actually make some sense rather than be a mysterious maze. They'll understand, for instance, that judges appoint attorneys to indigent defendants because of the legal principle embodied in the Sixth Amendment. They'll understand the structure of legal reasoning and the process of case assessment. For instance, when a prosecutor dismisses a case or pleas it down, they'll understand that caseload, quality of evidence, and other cues that led to that decision. This book brings to life how lawyers and judges go about making the many decisions required of them everyday. They'll not only know the basic legal rules and stages but also know the decisions that carry cases from one stage to the next. We want the students to not only learn about the court system but also feel what it's like to work in the U.S. courts and to handle criminal cases.

In the process of learning about the stages of the criminal court process and the decision-making involved, the reader will also learn other essential elements of the courts, such as:

- the many facets of jurisdiction, including state and federal, civil and criminal, and original and appellate;
- the elements of a crime:
- the growing diversity of courts, including diversion to alternative courts and other types of specialized courts.

This book can be used in online and brick-and-mortar courses, and in various departments, including criminal justice and criminology, political science, sociology, and pre-law. It assumes the reader has no prior coursework or experience with the court system. We provide concise explanations of the overall criminal justice system and criminal law, which serve as an introduction to the novice and a brief review for those who have completed foundational courses. The extensive supplements also add to the versatility of this book.

FEATURES AND SUPPLEMENTS

Every chapter enhances its coverage of content with the use of various discussion boxes. These include the following types of boxes:

- Focus on Discretion
- Landmark Due-Process Cases
- Courts in the Media
- Court Procedures
- Careers in the Court

Supplements for the students and professors include:

- Instructor's Resource CD
 - PowerPoint for each chapter
 - Test bank
 - Additional Supreme Court summaries and contemporary criminal cases
 - Biographies of famous jurists
 - Discussion questions
 - Class projects and assignments
- Student companion Web site
 - Learning objectives
 - Chapter summaries
 - Key terms
 - Study guides
 - Self-quizzes
 - Web-based exercises
 - Links to court decisions
 - Related links for research
- Online video that accompanies each chapter, which offers a summary of the chapter and a discussion of a controversial issue related to the chapter.

Online Instructor and Student Resources

Thank you for selecting Anderson Publishing's American Criminal Courts: Legal Process and Social Context. To complement the learning experience, we have provided a number of online tools to accompany this edition. Two distinct packages of interactive resources are available: one for instructors and one for students.

Please consult your local sales representative with any additional questions. You may also e-mail the Academic Sales Team at textbook@elsevier.com.

For the Instructor

Qualified adopters and instructors can access valuable material for free by registering at: http://textbooks.elsevier.com/web/manuals.aspx?isbn = 9781455725991.

- Test Bank Compose, customize, and deliver exams using an online assessment package in a free Windows-based authoring tool that makes it easy to build tests using the unique multiple choice and true or false questions created for American Criminal Courts: Legal Process and Social Context. What's more, this authoring tool allows you to export customized exams directly to Blackboard, WebCT, eCollege, Angel, and other leading systems. All test bank files are also conveniently offered in Word format.
- PowerPoint Lecture Slides Reinforce key topics with focused PowerPoints, which provide a perfect visual outline with which to augment your lecture. Each individual book chapter has its own dedicated slideshow.
- Lesson Plans Design your course around customized lesson plans.
 Each individual lesson plan acts as separate syllabi containing content synopses, key terms, directions to supplementary Web sites, and more open-ended critical thinking questions designed to spur class discussion. These lesson plans also delineate and connect chapter-based learning objectives to specific teaching resources, making it easy to catalog the resources at your disposal.

For the Student

Students can access all the resources below by simply following this link: http://www.elsevierdirect.com/v2/companion.jsp?ISBN = 9781455725991.

- **Introductory Videos** Each chapter is equipped with its own video in which the authors discuss key points and objectives.
- Self-Assessment Question Bank Enhance review and study sessions with the help of this online self-quizzing asset. Each question is presented in an interactive format that allows for immediate feedback.
- Case Studies Apply what is on the page to the world beyond with the help of topic-specific case studies, each designed to turn theory into practice and followed by three interactive scenario-based questions that allow for immediate feedback.

Contents

ACKNOWLE	OGMENTS AND DEDICATIONS	xv
PREFACE		xvii
	TRUCTOR AND STUDENT RESOURCES	
CHAPTER 1	Principles and Decision-Making in U.S. Criminal	
	Courts	3
	The Rule of Law	
	Importance of Studying Criminal Courts	6
	Overview of the Criminal Justice System	
	Theme 1: Steady Principles and Contextualized Changes	
	Legal Principles as a Source of Stability	8
	Changes in the Courts	
	Theme 2: State Power and Individual Rights	
	Crime Control: The Exertion of State Power	
	Due Process: Individual Rights and Constraint of	
	Arbitrary State Power	16
	Due Process and the Three Branches	
	of Government	19
	Procedural Laws and Codes of Criminal	
	Procedure	
	Balancing Crime Control and Individual Rights	22
	Theme 3: Motivations, Decisions, and Actions of the	
	Courtroom Workers	
	Patterns and Variance	23
	Legal Frame: Principles, Duties of the Court,	0.5
	Procedure, and Reasoning	25
	Internal Ecology: Organization, Processes, and	27
	Relationships Within a Court	
	External Ecology: Characteristics of Community	
	Legal Reality	
	Summary	
	References	34

Part 1 Formal Social Control

CHAPTER 2	Social Control, Comparative Courts, and the	
	Development of the U.S. Judicial System	43
	Social Order and Social Control	
	Social Order in Simple Societies	46
	Transitional History: Empires and the Birth of	
	Law and Courts	47
	The Modern Nation-State and the Expansion	
	of Courts	
	Comparative Legal and Court Systems	
	The Creation and Adaptation of U.S. Courts	55
	The Federal Constitution	57
	A National Judiciary	57
	The Federalist System	
	Dialectics of Due Process and Crime Control	61
	Modern Changes in the Criminal Courts	62
	Industrial Revolution, Immigration, and	
	Urbanization	
	Bureaucracies and Professional Training	63
	Public Policy and Social Engineering	
	Professional Organizations	65
	Due-Process Revolution	
	Summary	67
	References	69
CHAPTER 3	The Structure of Federal and State Courts	77
	The Role of Criminal Courts: Limitations and Duties	
	Different Courts for Different Disputes	
	Issues Common to Federal and State Courts	
	Jurisdiction	
	Civil Courts	
	Original Jurisdiction: Criminal Trial Courts	
	Appellate Jurisdiction: Intermediate Appellate	00
	Courts	87
	The High Court	
	Jurisdiction and Structure of Federal	
	Constitutional Courts	88
	U.S. Magistrate Courts	91
	U.S. District Courts	92
	U.S. Circuit Courts of Appeals	
	U.S. Supreme Court	
	State Courts	
	State Court Caseload and Jurisdiction	97

	Structure of State Courts: Original and	
	Appellate Jurisdiction	
	Budgets and Unification of State Courts	
	Specialized State Courts	
	Summary	
	References	107
CHAPTER 4	Criminal Law, Crime, and the Criminal	
	Court Process	111
	Law as the Foundation of State Power and	
	Individual Rights	112
	Definition of Law	113
	Types and Sources of Law	114
	Constitutional Law	114
	Statutory Law: Private and Public	115
	Judicial Law	117
	Substantive Criminal Laws: Criminal Justice	
	System Powers and Boundaries	118
	Procedural Laws: Rules for Enforcing Rules	
	The Definition of Crime: Legal Reality and the Criminal	
	Justice System Boundary	120
	Elements of a Crime	122
	Actus Reus, Corpus Delicti, Harm, and Causation	124
	Mens Rea and Levels of Intent	126
	Concurrence	128
	Types of Criminal Offenses and Offenders	128
	Introduction to the Court Process	129
	Legal Reasoning: Due Process and the Assessment	
	of Cases	130
	Misdemeanor Court Process	131
	Felony Pretrial Stages	132
	Trial Procedure	136
	Appeal	138
	Discussion of the Criminal Court Process	138
	Summary	140
	References	143
Part 2 Ne	gotiating Discretion, Making Decisions	
CHAPTER 5	The Reality of Legal Action: Principles,	
OHAI IER S	그 요즘 그는 얼마나 있는 그는 그 얼마나 맛이 되었다. 그 가게 무슨 사람들이 되었다면 하는데 되었다면 하는데 그는데 하는데 그는데 되었다.	140
	Organizations, and Public Pressure	149
	Legal Action: Motivations, Decisions, and Actions of the Courtroom Workers	150
	Patterns and Limited Variance	
	Negotiated Order	152

Legal Frame: Principles that Constrain and Guide	4.5
Legal Action Within U.S. Criminal Courts	
Legal Principles and the U.S. System of Law	
Principles and the Duties of Courts	
Principles and Legal Reasoning	
The Stages of Legal Reasoning	. 158
Legal Reasoning in Appellate Cases Versus	
Trials	
Principles and Procedures	
Ecological Perspective	
Internal Ecology of U.S. Criminal Courts	. 162
Formal Organizational Frame: Bureaucratic Structure,	400
Jurisdiction, and Size	. 160
Indigent Defense Systems and Special	10
Prosecutor Units	. 104
Management, Coordination, and Oversight of Court Offices	16/
Assistants and Experts	
Official Procedures for Handling Cases	. 100
"It's Our Job": Division of Labor, Specialization, and Scripted Behaviors	160
Crimes and Cases	
Physical Environment of a Court: Buildings and	. 10
Technology	171
The Local Legal Culture of Courtroom Workgroups	
External Ecology: The World Outside the Courts	
Courts and Society	
Election, Appointment, and Post-Government	. 1/:
Employment of Judges, Prosecutors, and	
Defense Attorneys	176
Legislature: Statutes, Jurisdiction, Funding,	
and Oversight	. 177
Executive Branch: Appointments, Enforcement	
of Laws, Detention, and Punishment of the	
Convicted	. 178
Research, Science, and Pseudoscience	. 179
Media, Citizen Groups, and Industry Pressures	. 179
Judicial Apparatuses: Law School, the Bar,	
and Other Professional Associations	. 180
The Social Selection of Discrimination: Race and	
the Courts	. 181
Summary	. 182
References	. 184

CHAPTER 6	Case Assessment, Case Attrition, and Decision	
	to Charge	199
	Filtering Cases: Tempering State Power with	
	Due Process	
	Case Assessment for Prosecutors and Defense	
	Legal Reasoning and Case Assessment	
	Precedent and Case Assessment	
	Extralegal Influences on Case Assessment	206
	Strategies of Case Assessment	
	Evidence and Interpretation of Statutes	
	Case Theory	210
	Prosecutorial Case Assessment	211
	Prosecutorial Options on Case Disposition	213
	Influences and Strategies on Prosecutorial	
	Assessment	
	Prosecutor's Assessment of Evidence	218
	Decision to Charge and Case Attrition: Predicting	
	Outcomes	
	Defense Attorney Assessment	
	Defense and Preliminary Hearing	
	Defense and Trial Preparation	
	Summary	
	References	229
	cision-Making in the Pretrial and	
Tri	al Process	
CHAPTER 7	The Pretrial Process	230
Ollin Illici	Arrest	
	Bail	
	The History of Bail	
	Who Gets Bail?	
	Bail-Bonds as a Business	
	Bail Reform	
	Release-on-Recognizance	
	Diversion	
	Plea Bargaining	
	Types of Plea Bargaining	
	Plea Bargaining and Discretion	
	Preliminary Hearing	
	Grand Jury and Indictment	
	Arraignment	
	Arraigninent	201

	Pretrial Motions	262
	Motions to Suppress Evidence	
	Search and Seizure	
	Confessions and Admissions	
	The McNabb-Mallory Rule	265
	The Voluntariness Standard	
	The Miranda Doctrine	266
	Summary	268
	References	
CHAPTER 8	The Prosecutor and the Exertion of State Power	275
	The State as Victim	276
	Jurisdictions of Prosecutors	279
	Prosecution at the Federal Level	279
	Prosecution at the State Level	281
	Prosecution at the County or City Level	282
	Duties of the Prosecutor	
	Representing the State	285
	The Charging Decision as Social Control	
	Plea Bargaining	
	Establishing the Defendant's Guilt	
	The Expert Witness	290
	Working with the Courtroom Workgroup	
	Funneling Cases	292
	Discovery	293
	Voir Dire	294
	Burden of Proof	294
	The Burden of Producing Evidence	295
	The Burden of Persuasion	295
	Preliminary Hearing	297
	Grand Jury	
	Trial	298
	Opening Statements and Closing Arguments	299
	The Prosecution's Case-In-Chief	
	Types of Evidence	
	Rules of Evidence	
	Examinations	
	Summary	
	References	
CHAPTER 9	The Defense and Constraint on State Power	311
	The Price of Independence	312
	Duties of the Defense	313
	Becoming a Defense Attorney	314

	Check on Arbitrary or Excessive State Power	315
	Monitoring of Procedural Law	
	Burden of Rebuttal	320
	The Right to Counsel	321
	Privately Retained Attorney	322
	Public Defenders	323
	Types of Indigent Defense Attorneys	325
	Public Defender's Office	325
	Contract Systems	326
	Assigned Counsel Programs	326
	Pro Bono Publico	327
	Which is Better? Private Attorney or	
	Public Defender	328
	Working Within the Courtroom Workgroup	328
	Discovery	329
	Plea Negotiations	330
	Voir Dire	332
	Case Strategy and Preparation	332
	Summary	335
	References	. 337
CHAPTER 10	The Criminal Trial Process: Judges, Bench Trials,	
OHAI IER 10	Jury Deliberation, and Sentencing	2/1
	Types of Trials	
	The Role of the Judge	
	Pretrial Duties	
	Presiding at Trial	
	As Finder of Fact	
	As Finder of Law	
	Enforcing Procedural Law	
	Instructing the Jury	
	Ruling with Impartiality and Adhering to Precedent	
	Maintaining Decorum in the Courtroom	
	Issuing Verdicts in Bench Trials	
	Sentencing	
	Presiding over the Jury Trial	
	The Role of the Jury	
	Jury Selection	
	The Master Jury List	
	Venire	
	Voir Dire	
	Jury Deliberations	
	Verdicts	
	Critique of the Jury System	. 362