

# Table of Contents

## Volume 1

### **CHAPTER 1. STATE COLLATERAL REVIEW**

- § 1:1 State collateral review generally
- § 1:2 Remedies in the nature of habeas corpus
- § 1:3 —The nature of habeas corpus
- § 1:4 —The history of habeas corpus
- § 1:5 —Modern developments

### **CHAPTER 2. HABEAS CORPUS ILLUSTRATIVE CASE: CALIFORNIA**

- § 2:1 Early development
- § 2:2 Present standards
- § 2:3 —Writ of error *coram nobis* compared
- § 2:4 —Form and content of petition
- § 2:5 —Appropriate state court
- § 2:6 —State court procedures
- § 2:7 —Grounds for relief
- § 2:8 —Appellate review
- § 2:9 —Common bars to relief and other rulings

### **CHAPTER 3. STATE COLLATERAL REVIEW: *CORAM NOBIS***

- § 3:1 *Coram nobis* generally
- § 3:2 The nature of *coram nobis*
- § 3:3 The history of *coram nobis*
- § 3:4 Modern developments

### **CHAPTER 4. THE ORIGINS OF HABEAS CORPUS**

- § 4:1 A brief history
- § 4:2 —The 1800s and early 1900s: Habeas available only if the state court lacked jurisdiction
- § 4:3 —The Court signals its intention to expand availability of the writ
- § 4:4 —The Court explicitly expands use of the writ
- § 4:5 —The 1960s through the present: Expansion and then contraction of the writ

- § 4:6 —The United States Supreme Court: A Jurisprudential Review by Chief Justice Era—The Warren Court
- § 4:7 The Burger Court
- § 4:8 The Rehnquist Court
- § 4:9 The Roberts Court
- § 4:10 The leading theories underlying habeas corpus
- § 4:11 Sources of power to issue the writ: constitutional or legislative?
- § 4:12 Authority of judges and courts
- § 4:13 The Continued Relevance of Habeas Corpus Post-AEDPA

## CHAPTER 5. JURISDICTION

- § 5:1 State prisoners
- § 5:2 —Statutory grounds for relief
- § 5:3 —Common law grounds for relief
- § 5:4 —Habeas corpus and civil rights contrasted
- § 5:5 Federal prisoners
- § 5:6 —Section 2255 motions
- § 5:7 —Section 2241 habeas corpus petitions
- § 5:8 —Terrorism statutes
- § 5:9 —Common law grounds for relief
- § 5:10 —Error *coram nobis*
- § 5:11 —*Audita querela*

## CHAPTER 6. COGNIZABILITY

- § 6:1 Chapter summary
- § 6:2 Cognizable grounds generally
- § 6:3 State law violations
- § 6:4 —General principle of noncognizability
- § 6:5 —Exception for due process violations
- § 6:6 Fourth Amendment claims
- § 6:7 —The road to *Stone v. Powell*
- § 6:8 —The *Stone v. Powell* decision
- § 6:9 —*Stone v. Powell* and procedural issues
- § 6:10 —*Stone v. Powell* and the “full and fair opportunity” requirement
- § 6:11 — —Different formulations
- § 6:12 — —Review of the state court’s legal conclusions
- § 6:13 — —Review of the state court’s factual findings
- § 6:14 — —Intervening Fourth Amendment decisions
- § 6:15 — —Application of procedural default principles
- § 6:16 — —Application in other contexts
- § 6:17 Freestanding claim of actual innocence
- § 6:18 Ineffective assistance of counsel on collateral review
- § 6:19 Plea agreements waiving the right to direct appeal and collateral review

## TABLE OF CONTENTS

- § 6:20 Pre-plea constitutional violations
- § 6:21 Challenges to a prior conviction used to enhance a current sentence

## **CHAPTER 7. CUSTODY**

- § 7:1 Chapter summary
- § 7:2 History of the custody requirement
- § 7:3 General custody principles
- § 7:4 Custody explained
- § 7:5 Custody and sentencing
- § 7:6 —Rehabilitation programs and community service
- § 7:7 —Fines and orders of restitution
- § 7:8 —Consecutive sentences
- § 7:9 —Concurrent sentences
- § 7:10 —Awaiting execution of sentence in another jurisdiction
- § 7:11 —Stayed and suspended sentences
- § 7:12 —Sexual and narcotics offender registration requirements
- § 7:13 —Protection orders

## **CHAPTER 8. MOOTNESS**

- § 8:1 Chapter summary
- § 8:2 Development of the mootness doctrine in habeas cases
- § 8:3 General mootness principles
- § 8:4 Challenges to a conviction or sentence the petitioner is presently serving
- § 8:5 Challenges to a conviction once the prisoner is no longer in custody
- § 8:6 Challenges to an expired sentence, including parole, supervised release, and probation
- § 8:7 Challenges to prison disciplinary and other administrative actions
- § 8:8 Challenges involving civil commitment and sexually violent offender statutes

## **CHAPTER 9. STANDING**

- § 9:1 Chapter summary
- § 9:2 General standing principles
- § 9:3 Petitions filed on behalf of individuals in custody
- § 9:4 —Third-party standing
- § 9:5 —Next friend standing
- § 9:6 — —Development of the doctrine
- § 9:7 — —Application of the “next friend” doctrine

## **CHAPTER 10. ABSTENTION**

- § 10:1 Abstention generally

- § 10:2 *Pullman* doctrine
- § 10:3 *Younger* abstention
- § 10:4 *Colorado River* doctrine

## **CHAPTER 11. DISTINGUISHING HABEAS CORPUS FROM CIVIL RIGHTS AND COMPARABLE ACTIONS**

- § 11:1 Chapter summary
- § 11:2 The *Heck* doctrine
- § 11:3 —Prospective relief outside the *Heck* bar
- § 11:4 —Some claims fall outside *Heck*'s ambit when a conviction is merely “anticipated”
- § 11:5 —Pre-trial diversion
- § 11:6 —Guilty and *nolo contendere* pleas
- § 11:7 —When habeas corpus unavailable
- § 11:8 —Trial claims
- § 11:9 —Fourth Amendment claims
- § 11:10 — —Unlawful searches and seizures
- § 11:11 — —Excessive force
- § 11:12 —Fifth Amendment claims involving coerced confessions
- § 11:13 —Fifth Amendment claims involving malicious prosecution
- § 11:14 —Eighth Amendment method of execution claims
- § 11:15 —Prison disciplinary proceedings
- § 11:16 —Probation, parole proceedings, and conditions of parole
- § 11:17 —Conditions of confinement and place of detention
- § 11:18 —Extradition
- § 11:19 —Civil commitments
- § 11:20 —Biological testing
- § 11:21 —Claims based on overdetention

## **CHAPTER 12. THE HABEAS CORPUS PETITION OR MOTION TO VACATE**

- § 12:1 Generally
- § 12:2 Form of the petition or motion generally
- § 12:3 Jurisdiction of the federal court
- § 12:4 —The proper respondent
- § 12:5 —The proper forum
- § 12:6 Required specificity of allegations
- § 12:7 Signature requirement
- § 12:8 Relief requested
- § 12:9 Types of claims that may be alleged
- § 12:10 Joinder of claims and petitioners

TABLE OF CONTENTS

§ 12:11 Filing and service requirements

**CHAPTER 13. *IN FORMA PAUPERIS*  
APPLICATIONS**

§ 13:1 General principles

**CHAPTER 14. APPOINTMENT OF  
COUNSEL AND RELATED SERVICES**

§ 14:1 Appointment of counsel generally

§ 14:2 Appointment of counsel in capital cases

§ 14:3 Appointment of counsel in non-capital cases

**CHAPTER 15. SUMMARY DISMISSALS**

§ 15:1 Summary dismissal generally

§ 15:2 Summary dismissal standards

**CHAPTER 16. THE GOVERNMENT'S  
RESPONSE**

§ 16:1 Motions to dismiss

§ 16:2 Answers

§ 16:3 Motions for more definite statement

**CHAPTER 17. THE REPLY**

§ 17:1 The reply generally

**CHAPTER 18. AMENDMENT OF  
PLEADINGS**

§ 18:1 Time within which to file amendment

§ 18:2 Standard for permitting amendment

§ 18:3 Standard of review of the court's denial of the motion  
to amend

**CHAPTER 19. THE RECORD**

§ 19:1 Generally

§ 19:2 Production of the record

§ 19:3 Unavailability of the state transcript

§ 19:4 Federal court transcripts provided at no cost to  
indigent prisoners

§ 19:5 Accuracy of the transcript

**CHAPTER 20. DISCOVERY**

§ 20:1 Objectives of discovery

§ 20:2 Policy justifications for permitting discovery

§ 20:3 Pre-Rules discovery

- § 20:4 Habeas Rule 6
- § 20:5 —Good cause requirement
- § 20:6 —State court findings of fact
- § 20:7 —Non-substantive obstacles to relief
- § 20:8 —Appointment of counsel
- § 20:9 Notice and opportunity to be heard
- § 20:10 Timing of request for discovery
- § 20:11 Types of discovery allowed
- § 20:12 Limitations imposed by AEDPA
- § 20:13 Unexhausted claims
- § 20:14 The attorney-client privilege in discovery proceedings
- § 20:15 Appellate standard of review

## **CHAPTER 21. EXPANSION OF THE RECORD**

- § 21:1 Purposes for expanding the record
- § 21:2 Expansion may be made on motion or *sua sponte*
- § 21:3 Types of materials that may be included
- § 21:4 Notice and opportunity to be heard
- § 21:5 Timeliness of motion to expand
- § 21:6 Limitations imposed by AEDPA
- § 21:7 Non-substantive obstacles to relief
- § 21:8 Credibility issues
- § 21:9 Appellate standard of review

## **CHAPTER 22. EVIDENTIARY HEARINGS AND RECORD DEVELOPMENT**

- § 22:1 Background
- § 22:2 A suggested approach
- § 22:3 The state court adjudicated the claim on the merits
- § 22:4 Failure to develop factual basis in state court proceedings
- § 22:5 —New evidence that does not go to the merits of the claim
- § 22:6 —Diligence
- § 22:7 — —Illustrative cases
- § 22:8 —Exception for new rules
- § 22:9 —Exception for newly discovered facts
- § 22:10 —Waiver
- § 22:11 Prisoner alleges a colorable claim for relief
- § 22:12 Existence of a factual dispute
- § 22:13 Demonstrating a need for an evidentiary hearing
- § 22:14 Factual basis already exists in the record
- § 22:15 State court findings
- § 22:16 Mandatory evidentiary hearings
- § 22:17 —Post-AEDPA

## TABLE OF CONTENTS

- § 22:18 —Merits not resolved in state court hearing
- § 22:19 —State court determination not supported by the record as a whole
- § 22:20 —Inadequate state fact-finding procedure
- § 22:21 —Newly-discovered evidence
- § 22:22 —Material facts not adequately developed in state court hearing
- § 22:23 —Denial of a full and fair hearing
- § 22:24 —Absence of state record
- § 22:25 Discretionary evidentiary hearings
- § 22:26 Evidentiary hearing procedures
- § 22:27 Alternatives to an evidentiary hearing
- § 22:28 Appellate standard of review

## **CHAPTER 23. EXHAUSTION OF REMEDIES**

- § 23:1 Generally
- § 23:2 History
- § 23:3 Purpose of the exhaustion requirement
- § 23:4 The exhaustion requirement
- § 23:5 Preliminary issues
- § 23:6 —Exhaustion a threshold question
- § 23:7 —When federal claims must be exhausted
- § 23:8 —Each claim considered individually
- § 23:9 —Petitioner’s burden to demonstrate exhaustion
- § 23:10 —Lack of exhaustion may be raised by respondent or the court
- § 23:11 —Exhaustion requirement does not apply to the respondent
- § 23:12 Fair presentation requirement
- § 23:13 —Which courts must be presented with the federal claim
- § 23:14 —Proper presentation of the claim
- § 23:15 —Factual and legal basis for claim
- § 23:16 — —Factual basis alleged
- § 23:17 — —Legal basis alleged
- § 23:18 When direct appeal is not yet final
- § 23:19 Intervening changes in the law
- § 23:20 Effect of mandatory state review
- § 23:21 Absence of corrective process, ineffective corrective process, or exceptional circumstances of peculiar urgency
- § 23:22 Consequences of failing to exhaust
- § 23:23 Noncognizable and unintended claims disregarded
- § 23:24 Waiver of the exhaustion requirement
- § 23:25 Appellate standard of review

## CHAPTER 24. PROCEDURAL DEFAULT

- § 24:1 Chapter summary
- § 24:2 Development of the doctrine
- § 24:3 General principles
- § 24:4 State court denied relief on procedural grounds
- § 24:5 —Methods for demonstrating basis of state court’s decision
- § 24:6 —Special circumstances
- § 24:7 State procedural rule is independent of federal law
- § 24:8 State procedural rule is adequate
- § 24:9 —Firmly established
- § 24:10 —Regularly applied
- § 24:11 —Exceptional cases
- § 24:12 Avoiding a procedural default
- § 24:13 —Cause
- § 24:14 — —Interference by government officials
- § 24:15 — —Legal basis of the claim was not reasonably available
- § 24:16 — —Factual basis of the claim was not reasonably available
- § 24:17 — —Limited circumstances when the absence of counsel or counsel’s actions qualify as cause
- § 24:18 — — —Abandonment of client
- § 24:19 — — —Absence of counsel and deficient representation (ineffective assistance or conflicts) during initial state review
- § 24:20 — — — —The *Martinez* exception: introduction
- § 24:21 — — —Absence of counsel and deficient Representation (Ineffective Assistance or Conflicts) during initial state review—The four *Martinez* requirements
- § 24:22 — — —Absence of counsel and deficient representation (Ineffective Assistance or Conflicts) during initial state review—Distinguishing direct review from collateral proceedings
- § 24:23 — — —Absence of counsel and deficient representation (ineffective assistance or conflicts) during initial state review—Special circumstances in ineffectiveness claims: same-attorney conflicts and exhaustion requirements
- § 24:24 — — — —Evidentiary bar
- § 24:25 — — — —Review standards
- § 24:26 —Actual prejudice
- § 24:27 —Miscarriage of justice
- § 24:28 Waiver of defense
- § 24:29 *Sua sponte* consideration of the defense
- § 24:30 Burdens

TABLE OF CONTENTS

§ 24:31 Appellate review standards

**CHAPTER 25. STATUTE OF LIMITATIONS**

§ 25:1	Generally
§ 25:2	Summary of limitations principles
§ 25:3	Timeliness a preliminary issue
§ 25:4	Constitutionality
§ 25:5	Mischaracterization of § 2254 petition or § 2255 motion
§ 25:6	Claim-by-claim versus whole-application approach
§ 25:7	Longer state statute of limitations immaterial
§ 25:8	Challenges to prison administrative decisions
§ 25:9	Actual innocence exception
§ 25:10	Pleading the defense, waiver, forfeiture, and <i>sua sponte</i> dismissals
§ 25:11	Appellate standard of review
§ 25:12	Commencement of the statute of limitations
§ 25:13	—Finality of conviction
§ 25:14	— —General principles
§ 25:15	— —Delayed, corrected, or intervening judgments
§ 25:16	— — —Remand for resentencing
§ 25:17	— — —Intervening judgments
§ 25:18	— — — —The <i>Magwood</i> ruling
§ 25:19	— — — —Application to statute of limitations
§ 25:20	— — — —Application to federal prisoners
§ 25:21	— — — —Confinement requirement
§ 25:22	— — — —Prior judgment illegal
§ 25:23	— — — —Challenges to undisturbed conviction
§ 25:24	— — — —Changes to credits
§ 25:25	— — — —Worse-than-before sentence requirement?
§ 25:26	— — — —Clerical changes
§ 25:27	— — — —Reduced sentences
§ 25:28	— — — —Commutation
§ 25:29	— — — — <i>Nunc pro tunc</i> orders
§ 25:30	— — — —Direct appeal stayed
§ 25:31	— — — —Restitution orders
§ 25:32	— — — —Out-of-time direct appeals
§ 25:33	— — — —Deferred adjudications
§ 25:34	—State impediment
§ 25:35	—Newly-recognized, retroactive rights
§ 25:36	—Discovery of factual predicate
§ 25:37	— —Delayed discovery
§ 25:38	— —Reasonable diligence
§ 25:39	Statutory tolling
§ 25:40	—Applications for State post-conviction or other collateral review

POSTCONVICTION REMEDIES

- § 25:41 —Proper filing requirement
- § 25:42 —Pertinent judgment or claim
- § 25:43 —Pending state petitions
- § 25:44 — —No tolling of interval period preceding improperly filed petition
- § 25:45 — —No tolling once state postconviction or other collateral review process concludes
- § 25:46 — —No tolling where petitioner not moving to next higher appellate level
- § 25:47 — —No tolling between different rounds of habeas actions
- § 25:48 — —No tolling for period between finality on direct appeal and state collateral review
- § 25:49 — —No tolling for period between completion of state collateral review and filing of federal habeas corpus petition in district court
- § 25:50 — —No tolling during period that habeas corpus proceeding is pending in federal court
- § 25:51 — —No tolling during period that petitioner is seeking certiorari review in the United States Supreme Court following the completion of state collateral review
- § 25:52 — —Tolling of exhausted claims while petitioner is pursuing state collateral review on unexhausted claims
- § 25:53 — —Tolling for overlapping state petitions
- § 25:54 — —Tolling for out-of-time appeals on collateral review
- § 25:55 Equitable tolling
- § 25:56 —Diligence
- § 25:57 —Causation
- § 25:58 —Extraordinary circumstances
- § 25:59 — —Actions of counsel generally
- § 25:60 — —Incapacity of counsel or pro se petitioner
- § 25:61 — —Withdrawal of counsel
- § 25:62 — —Deception by counsel that petition filed
- § 25:63 — —Language difficulties
- § 25:64 — —Counsel’s failure to provide petitioner with his records
- § 25:65 — —Mental and physical disabilities of the petitioner
- § 25:66 — —Misconduct of government officials
- § 25:67 — —Absence of legal materials in prison library
- § 25:68 — —Lack of access to legal papers
- § 25:69 — —Erroneous district court ruling
- § 25:70 — —Misleading statements by the court
- § 25:71 — —Delay in receipt of court order with tolling consequences

## TABLE OF CONTENTS

- § 25:72 — —Failure of counsel to notify petitioner of a court order with tolling consequences
- § 25:73 — —Uncertainty or changes in the law
- § 25:74 — —Court does not receive petitioner’s pleading
- § 25:75 — —Unextraordinary circumstances
- § 25:76 — —Lack of counsel
- § 25:77 — —Assistance by fellow inmates
- § 25:78 — —Pendency of federal habeas corpus petition
- § 25:79 — —Barely missed limitations deadline
- § 25:80 — —Absence of legal training or knowledge
- § 25:81 — —Conditions unique to incarceration
- § 25:82 — —Transcripts
- § 25:83 Conclusion of the one-year limitations period
- § 25:84 Calculation of dates
- § 25:85 Relation back principles
- § 25:86 — —Common core of operative facts
- § 25:87 — —Newly-exhausted claims in previously dismissed petition
- § 25:88 — —Previously dismissed actions
- § 25:89 — —Significant relation-back decisions
- § 25:90 Laches

## CHAPTER 26. NON-RETROACTIVE NEW RULES

- § 26:1 Chapter summary
- § 26:2 General principles
- § 26:3 — —“Retroactive” terminology
- § 26:4 — —Development of the *Teague* doctrine
- § 26:5 — —Procedural versus substantive rules
- § 26:6 — —*Teague* and its application to state courts
- § 26:7 — —Consideration of *Teague* relative to other issues
- § 26:8 — —Pleading the defense, waiver, and raising the defense *sua sponte*
- § 26:9 — —“New rules” more favorable to the government
- § 26:10 — —Application to federal prisoners
- § 26:11 *Teague*’s three-step approach
- § 26:12 — —Date of finality
- § 26:13 — —Dictated by precedent
- § 26:14 — —Various formulations
- § 26:15 — —Scope of the legal landscape
- § 26:16 — —Ability of lower courts to establish new rules
- § 26:17 — —Rules of general application
- § 26:18 — —Significant cases
- § 26:19 — —The exceptions
- § 26:20 Relationship between *Teague* and AEDPA

## Volume 2

### CHAPTER 27. SECOND OR SUCCESSIVE PETITIONS AND MOTIONS

- § 27:1 Chapter summary
- § 27:2 Historical background—Common law abuse of the writ
- § 27:3 —Habeas Rule 9
- § 27:4 —Cause and prejudice standard established
- § 27:5 —Antiterrorism and Effective Death Penalty Act
- § 27:6 Preliminary issues—Applicability
- § 27:7 —Jurisdiction
- § 27:8 —Constitutionality
- § 27:9 Second or successive defined
- § 27:10 —General principles
- § 27:11 —Conclusion of “first” proceeding required
- § 27:12 — —Amendment during district court proceedings
- § 27:13 — —Final resolution
- § 27:14 — —Appellate proceedings ongoing
- § 27:15 — —Effect of a remand
- § 27:16 —Same judgment rule
- § 27:17 — —The *Magwood* decision
- § 27:18 — —Application to federal prisoners
- § 27:19 — —Confinement requirement
- § 27:20 — —Prior judgment illegal
- § 27:21 — —Challenges to an undisturbed conviction
- § 27:22 — —Specific judgment modifications and their effect on the second or successive status
- § 27:23 — — —Time-served or other similar credits awarded
- § 27:24 — — —Worse-than-before sentence requirement
- § 27:25 — — —Clerical changes
- § 27:26 — — —Reduced sentences
- § 27:27 — — —Commutation
- § 27:28 — — —*Nunc pro tunc* orders
- § 27:29 — — —Law-of-the-case doctrine
- § 27:30 Same-claim petitions and motions
- § 27:31 —“Claim” defined
- § 27:32 —“Prior application” defined
- § 27:33 New-claim petitions and motions
- § 27:34 —New rules of constitutional law
- § 27:35 — —Establishing a “new” rule
- § 27:36 — —Constitutional rules limitation
- § 27:37 — —Retroactive application
- § 27:38 — —Likelihood of benefit
- § 27:39 — —“Previously unavailable”
- § 27:40 —Newly discovered evidence

## TABLE OF CONTENTS

- § 27:41 — —Determining what is “newly discovered”
- § 27:42 — —Diligence
- § 27:43 — —Constitutional error requirement
- § 27:44 — —Innocence requirement
- § 27:45 — —Diligence requirement
- § 27:46 Substantive Claims Bypassing the “Second or Successive” Bar
- § 27:47 —Relief previously unavailable
- § 27:48 —withdrawn petitions
- § 27:49 —Amended federal petitions
- § 27:50 —Reinstatement of appeal
- § 27:51 —Disciplinary proceedings and similar matters
- § 27:52 —The Successive Petition Status of *Brady* Violations
- § 27:53 Procedural Motions and Judicial Recharacterization
- § 27:54 —Rule 60 motions
- § 27:55 — —Substantive standards
- § 27:56 — —Procedural standards
- § 27:57 —Other post-judgment motions
- § 27:58 —Recharacterization by the district court
- § 27:59 —Section 2241 habeas corpus petitions and common law writs
- § 27:60 Transitional Issue: The Effect of Same-Counsel Representation
- § 27:61 Procedure
- § 27:62 —Court of appeals
- § 27:63 —District court
- § 27:64 —Supreme Court

## CHAPTER 28. QUESTIONS OF FACT

- § 28:1 Background
- § 28:2 The deference standard
- § 28:3 —The relationship between § 2254(d)(2) and (e)(1)
- § 28:4 —Evidence presented in the state court proceeding only
- § 28:5 —Adequacy of the fact-finding process
- § 28:6 —Obligation to review state court record
- § 28:7 —Changed circumstances
- § 28:8 —Erroneous factual finding
- § 28:9 —Application of deference standards
- § 28:10 Adjudications: explicit and implicit findings
- § 28:11 State trial and appellate court findings
- § 28:12 Mixed questions of law and fact

## CHAPTER 29. LEGAL AND MIXED QUESTIONS OF LAW AND FACT

- § 29:1 Chapter summary

- § 29:2 General principles
- § 29:3 Constitutionality
- § 29:4 The “adjudication” requirement
- § 29:5 —A “claim”
- § 29:6 —On the merits
- § 29:7 — —Unexplained and summary state court decisions
- § 29:8 — —State court denies state-law claim without explicitly addressing related federal-law claim
- § 29:9 — —Omitted claims or arguments
- § 29:10 — —Ambiguous state court opinions
- § 29:11 — —Federal claim addressed in a different context
- § 29:12 — —No prima facie showing
- § 29:13 — —Plain error review
- § 29:14 — —Contingent observations
- § 29:15 — —Lack of exhaustion
- § 29:16 — —Procedurally defaulted claims
- § 29:17 — —Alternative procedural and merits adjudications
- § 29:18 — —State court’s failure to develop the record
- § 29:19 “Clearly established” law requirement
- § 29:20 —“Clearly established” defined
- § 29:21 —Identifying new rules of law
- § 29:22 —Limited to Supreme Court precedent
- § 29:23 —Relationship with *Teague* new rules
- § 29:24 —Holdings as opposed to dicta
- § 29:25 —Plurality, concurring, and dissenting opinions
- § 29:26 —Nonconstitutional rulings
- § 29:27 —Undecided legal issues
- § 29:28 —Relevance of lower court decisions
- § 29:29 —Date law must be “clearly established”
- § 29:30 —Relevance of post-adjudication Supreme Court authority
- § 29:31 —Significant cases reviewed
- § 29:32 “Contrary to” restriction
- § 29:33 —Defined
- § 29:34 —State court applied a test that was the functional equivalent to, or stricter than, the federal standard
- § 29:35 —Use of imprecise language by the state court
- § 29:36 —Multiple factor tests
- § 29:37 —Significant cases
- § 29:38 “Unreasonable application” deference standard
- § 29:39 —Specificity of the constitutional rule
- § 29:40 —Extension of precedent
- § 29:41 —Relevance of lower court decisions
- § 29:42 —Significance of conflict among courts
- § 29:43 —Reasonableness based on the state court record
- § 29:44 —Effect of unreasonable application of federal precedent

## TABLE OF CONTENTS

- § 29:45 —Effect of unreasonable factual finding
- § 29:46 —State court adjudication dependent on antecedent unreasonable application of federal law
- § 29:47 —Relief based on overruled Supreme Court precedent
- § 29:48 —Relevance of state court’s reasoning
- § 29:49 —Analysis required by the federal court
- § 29:50 —Significant cases
- § 29:51 Burdens
- § 29:52 Waiver of deferential review standards
- § 29:53 Appellate standards of review

## **CHAPTER 30. HARMLESS ERROR DOCTRINE**

- § 30:1 Harmless error generally
- § 30:2 Structural errors
- § 30:3 Cumulative error
- § 30:4 *Chapman* harmless error test
- § 30:5 Collateral review standard
- § 30:6 The availability of state remedies for federal rights violations
- § 30:7 Section 2255 relief: *Brecht* or *Chapman*

## **CHAPTER 31. SUFFICIENCY OF THE EVIDENCE**

- § 31:1 Sufficiency generally
- § 31:2 *Jackson* and the AEDPA
- § 31:3 The “some evidence” standard in prison disciplinary proceedings

## **CHAPTER 32. INSTRUCTIONAL ERRORS**

- § 32:1 General principles
- § 32:2 Application of constitutional principles
- § 32:3 Prejudice: substantial and injurious effect
- § 32:4 Evidentiary presumptions
- § 32:5 Lesser-included offense instructions
- § 32:6 Lesser-included offense instructions

## **CHAPTER 33. STATE EVIDENTIARY RULINGS**

- § 33:1 Generally
- § 33:2 Legal principles
- § 33:3 Harmless error
- § 33:4 AEDPA review standards
- § 33:5 Exclusion of evidence as a sanction

## CHAPTER 34. DUE PROCESS RIGHTS

- § 34:1 Generally
- § 34:2 Post-conviction proceedings
- § 34:3 Conditions of prison confinement
- § 34:4 Parole

## CHAPTER 35. THE RIGHT TO COUNSEL AND EFFECTIVE ASSISTANCE OF COUNSEL

- § 35:1 The right to effective assistance of counsel
- § 35:2 Proceedings where there is a constitutional right to counsel
- § 35:3 —Threshold requirement: constitutional right to counsel
- § 35:4 —When the Sixth Amendment right attaches
- § 35:5 —Critical stages of prosecution
- § 35:6 —Proceedings where the right does not apply
- § 35:7 Self-representation and waiver of counsel
- § 35:8 The four categories of Sixth Amendment cases
- § 35:9 Ineffectiveness claims under *Strickland*
- § 35:10 —The test
- § 35:11 —Deficiency
- § 35:12 — —Core principles
- § 35:13 — —Silent or Undeveloped Record; Continuing Burden of Proof
- § 35:14 — —*Post hoc* rationalizations and the limits on hypothesized strategy
- § 35:15 — —The objective reasonableness standard
- § 35:16 — —Witness and expert selection as strategic decisions
- § 35:17 — —Relevance of professional standards
- § 35:18 — —Failure to raise unsettled legal questions
- § 35:19 — —Relevance of counsel’s experience
- § 35:20 — —Allocation of decision-making authority between counsel and client
- § 35:21 —Prejudice
- § 35:22 — —Two applications of the “result of the proceeding” requirement
- § 35:23 — —Context-specific applications
- § 35:24 — —Structural errors raised through ineffective-assistance claims
- § 35:25 — —Limits on Prejudice: fundamental fairness and windfalls
- § 35:26 — —Federal habeas limitations on prejudice determinations
- § 35:27 —Deference owed to state court merits adjudications under AEDPA

## TABLE OF CONTENTS

- § 35:28 —Duty to investigate
- § 35:29 —Significance of the defendant’s statements and actions
- § 35:30 —Attorney disbarment, absence of admission, and related issues
- § 35:31 —Late appointment of counsel
- § 35:32 —Professional canons and ethical standards
- § 35:33 —Guilty pleas and rejected offers
- § 35:34 — —Leading Supreme Court cases
- § 35:35 — — —Cases where the plea bargain was not accepted
- § 35:36 — — —Cases where the plea bargain was accepted
- § 35:37 — —The deficiency prong
- § 35:38 — —The prejudice prong
- § 35:39 — —Remedies
- § 35:40 — —Evidentiary corroboration requirements
- § 35:41 — —Lower court cases
- § 35:42 —Ineffective assistance of appellate counsel
- § 35:43 — —Failing to appeal
- § 35:44 — —Failing to file a merits brief
- § 35:45 Ineffectiveness claims under *Strickland*—Ineffective assistance of appellate counsel—Failing to raise arguments in a merits brief
- § 35:46 *Per se* violations of the Sixth Amendment
- § 35:47 —Counsel forced to represent codefendants over timely objection and absence of trial court finding of no conflict
- § 35:48 —Breakdown in communications
- § 35:49 —Failure to subject the prosecution’s case to meaningful adversarial testing
- § 35:50 —Conditions prevent effective representation
- § 35:51 —Denial of counsel at a critical stage
- § 35:52 —Failure to file appeal in contravention of defendant’s direct instructions
- § 35:53 —Government-imposed restrictions on counsel
- § 35:54 —Defendant is represented by person posing as a lawyer
- § 35:55 —Counsel involved in same criminal activity as defendant
- § 35:56 Conflicts of interest that adversely affected counsel’s performance
- § 35:57 —Types of conflicts
- § 35:58 —Prejudice presumed
- § 35:59 Government invasions of the attorney-client relationship

## **CHAPTER 36. SUPPRESSION OF EVIDENCE—BRADY CLAIMS**

- § 36:1 Overview of *Brady* disclosure obligations

- § 36:2 *Brady* disclosure obligation at different stages of the criminal process
- § 36:3 *Brady* disclosure obligation at different stages of proceedings—Pretrial plea negotiations
- § 36:4 —Trial proceedings
- § 36:5 —Postconviction proceedings
- § 36:6 Elements of a *Brady* claim
- § 36:7 —Evidence favorable to the accused
- § 36:8 — —Exculpatory evidence
- § 36:9 — —Impeaching evidence
- § 36:10 —Suppression of the evidence
- § 36:11 — —Knowledge of the prosecution team
- § 36:12 — —When materials must be disclosed
- § 36:13 — —No good faith defense
- § 36:14 — —The determination whether disclosure is required
- § 36:15 — —Evidence already known to the defense
- § 36:16 — —Manner of production
- § 36:17 —Prejudice
- § 36:18 Supreme Court precedent
- § 36:19 Related disclosure obligations and preservation of evidence

## **CHAPTER 37. PRE-INDICTMENT DELAY**

- § 37:1 Supreme Court precedent
- § 37:2 Lower court application

## **CHAPTER 38. SPEEDY TRIAL RIGHTS**

- § 38:1 Speedy trial claims generally
- § 38:2 Jurisdiction
- § 38:3 Waiver
- § 38:4 The *Barker* factors
- § 38:5 —Length of delay
- § 38:6 —Reason for the delay
- § 38:7 —Defendant’s assertion of his right to a speedy trial
- § 38:8 —Prejudice from the delay
- § 38:9 — —Length of delay
- § 38:10 — —Oppressive pretrial incarceration
- § 38:11 — —Anxiety and concern
- § 38:12 — —Hindrances to the defense
- § 38:13 AEDPA considerations
- § 38:14 Remedies
- § 38:15 Illustrative cases of when relief is warranted
- § 38:16 Sentencing delays

## **CHAPTER 39. JUDICIAL BIAS**

- § 39:1 Due process requirements

## TABLE OF CONTENTS

- § 39:2 —Categories of structural judicial bias recognized by the Supreme Court
- § 39:3 —Appellate supervisory authority to order reassignment
- § 39:4 The appearance of judicial bias
- § 39:5 —Supreme Court dicta concerning the appearance of justice
- § 39:6 —Circuit court authority and appearance-only claims
- § 39:7 —*Rippo v. Baker* and the probability-of-bias standard
- § 39:8 —AEDPA limitations on appearance-of-bias claims
- § 39:9 Federal recusal statutes and due process
- § 39:10 —Relationship between § 455 and due process
- § 39:11 —Statutory grounds for disqualification under § 455
- § 39:12 —The objective “appearance of impartiality” standard
- § 39:13 —The extrajudicial source doctrine (*Liteky*)
- § 39:14 —Judicial remarks and conduct during proceedings
- § 39:15 —Bias toward counsel vs. bias toward a party

## **CHAPTER 40. RIGHT TO JURY TRIAL**

- § 40:1 Generally
- § 40:2 Petty crimes
- § 40:3 Requisite number of jurors
- § 40:4 Unanimity
- § 40:5 Sentencing

## **CHAPTER 41. UNEXPECTED AND INDEFENSIBLE JUDICIAL ALTERATIONS OF THE LAW (*BOUIE* CLAIMS)**

- § 41:1 Unforeseeable judicial enlargements of law generally
- § 41:2 Application of *Bouie* principles
- § 41:3 Retroactive sentence enhancements and schemes
- § 41:4 Ex Post Facto Clause distinguished
- § 41:5 Prejudice
- § 41:6 AEDPA review standards

## **CHAPTER 42. DISPARATE TREATMENT**

- § 42:1 Disparate treatment generally
- § 42:2 Two types of claims

## **CHAPTER 43. ARBITRARY OR CAPRICIOUS ACTIONS**

- § 43:1 Generally

## **CHAPTER 44. EX POST FACTO CLAUSE**

- § 44:1 Generally

- § 44:2 Determining whether a law is punitive
- § 44:3 The *Calder* factors
- § 44:4 —Changes in substantive criminal law
- § 44:5 —Changes in procedural law
- § 44:6 AEDPA, plain error, and *de novo* review standards

## CHAPTER 45. SUBSTITUTION OF COUNSEL

- § 45:1 Constitutional right to substitution of counsel at trial
- § 45:2 —Retained counsel
- § 45:3 —Appointed counsel
- § 45:4 — —Initiating Substitution: Articulating dissatisfaction
- § 45:5 — —Trial Court’s Duty of Inquiry
- § 45:6 — —Substantive standard: Nature and extent of conflict
- § 45:7 — —Timeliness of the motion
- § 45:8 —Prejudice standard
- § 45:9 —Standard of review
- § 45:10 —Relationship to right of self-representation
- § 45:11 —Significance of a guilty plea
- § 45:12 Constitutional right to substitution of counsel on direct appeal
- § 45:13 Constitutional right to substitution of counsel on federal collateral review
- § 45:14 Non-constitutional grounds for substitution of counsel

## CHAPTER 46. PROSECUTORIAL MISCONDUCT AND STATEMENTS OF COUNSEL

- § 46:1 Generally
- § 46:2 Two-step approach
- § 46:3 Types of improper remarks
- § 46:4 —Inflammatory remarks and law-and-order appeals
- § 46:5 —Personal opinions, beliefs, and vouching
- § 46:6 —Character assaults and personal insults
- § 46:7 —Denigration of defense counsel
- § 46:8 —Misstatement of controlling law
- § 46:9 —False and misleading argument
- § 46:10 —Comment on facts outside the record
- § 46:11 —Comment on defendant’s demeanor
- § 46:12 —Comments on witness’s fear of defendant
- § 46:13 —Patriotic remarks
- § 46:14 —Targeting defendant’s wealth
- § 46:15 —Appeals to a higher law

## TABLE OF CONTENTS

- § 46:16 —Appeals to race, ethnicity, and religion
- § 46:17 —“Golden Rule” arguments
- § 46:18 Prejudicial error
- § 46:19 AEDPA, plain error, and *de novo* review standards

## **CHAPTER 47. COMMENT ON DEFENDANT’S REFUSAL TO TESTIFY (*GRIFFIN* ERROR)**

- § 47:1 Generally
- § 47:2 Direct and indirect comments regarding defendant’s failure to testify
- § 47:3 Fair response
- § 47:4 Prejudice
- § 47:5 AEDPA, plain error, and *de novo* review standards

## **APPENDICES**

- Appendix A. Habeas Corpus Statutes
- Appendix B. Rules Governing Section 2254 Cases in the United States District Courts: 28 U.S.C.A. Foll. § 2254
- Appendix C. Rules Governing Section 2255 Proceedings in the United States District Courts—28 U.S.C.A. Foll. § 2255
- Appendix D. Selected Rules of Appellate Procedure
- Appendix E. California Judicial Council Form MC-275

### **Table of Laws and Rules**

### **Table of Cases**

### **Index**