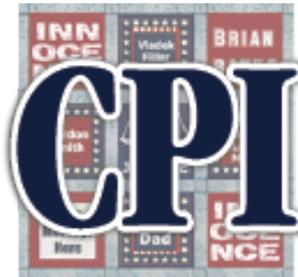


WHITE PAPER

Roadmap for Prosecutor Reform



Center for Prosecutor Integrity

P.O. Box 1221

Rockville, MD 20849

www.prosecutorintegrity.org

Remember, this is not a numbers game for prosecutors. It's not 'the more convictions the better.' A wrongful conviction protects no one. And you are still innocent until proven guilty in this system. -- New York governor Andrew Cuomo¹

Wrongful convictions have become a blight upon our nation's criminal justice system. Over 1,300 persons have been exonerated to date, and the number increases weekly.² Quantitative analyses have yielded false conviction rates ranging from 2% to 5%.^{3,4} A more recent study in Virginia found that among persons convicted of sexual assault, 15% were later excluded due to lack of a DNA match.⁵

One of the most important causes of wrongful convictions is wrong-doing by prosecutors and law enforcement officials. According to the National Registry of Exonerations, 43% of wrongful convictions arise from official misconduct.⁶

Prosecutor misconduct has been variously described as "rampant," "pervasive," "ingrained," and "endemic" in our nation's criminal justice system.⁷ Official wrongdoing is a particular concern for sexual assault and domestic violence cases.⁸

Victims of over-zealous prosecutors, along with their family members, suffer lifelong consequences. When the wrong person is convicted, the real perpetrator remains a threat to society. Taxpayers pay a price, as well. In Texas, 45 wrongful convictions were estimated to cost taxpayers \$8.6 million.⁹ One analysis of 85 exonerations in Illinois found the false convictions cost taxpayers \$214 million.¹⁰

Public confidence and trust in the criminal justice system erodes, as well. Restoring the luster to Lady Justice is the aim of the burgeoning Innocence Movement.

¹ Gov. Andrew M. Cuomo, *NY Rising: State of the State* (Jan. 9, 2013),

<http://www.governor.ny.gov/sites/default/themes/governor/sos2013/2013SOSBook.pdf>.

² National Registry of Exonerations, <http://www.law.umich.edu/special/exoneration/Pages/about.aspx> (last visited Feb. 28, 2014).

³ Samuel R. Gross, *Convicting the Innocent*, (University of Michigan Public Law Working Paper No. 103, Annual Review, 2007), http://papers.ssrn.com/sol3/papers.cfm?abstract_id=1100011.

⁴ D. Michael Risinger, *Innocents Convicted: An Empirically Justified Factual Wrongful Conviction Rate*. *Journal of Criminal Law and Criminology* (2007).

⁵ John Roman et al., *Post-Conviction DNA Testing and Wrongful Conviction*, Urban Institute 6 (2012), <http://www.urban.org/UploadedPDF/412589-Post-Conviction-DNA-Testing-and-Wrongful-Conviction.pdf>.

⁶ National Registry of Exonerations, *UPDATE: 2012 National Registry of Exonerations, April 3, 2013* 17 (2013), http://www.law.umich.edu/special/exoneration/Documents/NRE2012UPDATE4_1_13_FINAL.pdf.

⁷ Center for Prosecutor Integrity, *An Epidemic of Prosecutor Misconduct* 6 (2013),

<http://www.prosecutorintegrity.org/wp-content/uploads/EpidemicofProsecutorMisconduct.pdf>.

⁸ Center for Prosecutor Integrity, *Prosecutor Ethics in Domestic Violence and Sexual Assault Cases*. (2013), <http://www.prosecutorintegrity.org/wp-content/uploads/DomesticViolenceSexualAssault.pdf>.

⁹ Jennifer Emily & Steve McConigle, *Dallas County District Attorney Wants Unethical Prosecutors Punished*, *Dallas Morning News* (May 4, 2008).

¹⁰ John Conroy & Rob Warden, *A Tale of Lives Lost, Tax Dollars Wasted, and Justice Denied*, *Better Government Association* (June 18, 2011), http://www.bettergov.org/investigations/wrongful_convictions_1.aspx.

Scope of Report

This White Paper outlines 20 policies designed to assure prosecutor fulfillment of ethical precepts. For each policy, the relevant ethical principle is presented in italics, followed by the specific recommendation.

The policies fall into one of five categories:

- A. Education and Media
 - 1. Public Education
 - 2. Mass Media
 - 3. Continuing Legal Education
- B. Legal Framework
 - 4. Campaigning for Political Office
 - 5. Over-Criminalization
 - 6. Legal Defense
 - 7. Diversion Programs
 - 8. Innocence Commissions
 - 9. Prosecution Review Boards
- C. Office Policies
 - 10. Policy and Procedure Manuals
 - 11. Conviction Integrity Units
- D. Adjudication
 - 12. Petitioning of Charging Decisions
 - 13. Open-File Discovery
 - 14. Witness and Jailhouse Informant Agreements
 - 15. Plea Bargaining Reform
 - 16. Mandatory Judicial Reporting
- E. Justice for Victims
 - 17. Exoneration or Sentence Reduction
 - 18. Civil Lawsuits
 - 19. Statute of Limitations
 - 20. Post-Exoneration Compensation

This paper is intended for persons who wish to see fairness restored to our criminal justice system: lawmakers, legal oversight bodies, innocence groups, advocacy organizations, prosecutors, defense attorneys, taxpayers, victims of prosecutorial misconduct and their family members, and others.

These policies are at once *bold* and *achievable*. The result of their implementation will be fewer prosecutions, a reduced percentage of wrongful convictions, saving taxpayers billions of dollars each year.

In the end, justice will be served.

A. EDUCATION AND MEDIA

Three ethics-enhancing policies aim to educate prosecutors, media representatives, and the public at large about the nature, extent, and solutions to the problem:

- Public Education
- Mass Media
- Continuing Legal Education

1. Public Education

*The chief prosecutor should educate the public about the programs, policies, and goals of his or her office and alert the public to the ways in which the public may be involved and benefit from those programs, policies, and goals.*¹¹

According to a 2013 survey sponsored by the Center for Prosecutor Integrity:¹²

- 42.8% of respondents say prosecutor misconduct is widespread
- 71.8% believe new laws are needed to curb prosecutor misconduct

But citizens are generally unaware of the specifics of needed policy reforms. Successful efforts to implement ethics-enhancing policies require broad-based understanding and support from the American public.

In the words of the former Ohio Attorney General Jim Petro, “The most effective reform would come by way of the voting booth rather than through the courts, and this required a citizenry that would insist that its legislators, judges, district attorneys, and other elected officials not only commit to justice but also gain a better understanding of how to achieve it.”¹³

2. Mass Media

*A lawyer who is participating or has participated in the investigation or litigation of a matter shall not make an extrajudicial statement that the lawyer knows or reasonably should know will be disseminated by means of public communication and will have a substantial likelihood of materially prejudicing an adjudicative proceeding in the matter.*¹⁴

Media representatives often evince strong interest in covering local crime stories. Media accounts may serve to undermine the defendant’s presumption of innocence. For example, the accuser is often referred to as the “victim,” even in cases where there is no objective evidence that a crime took place. Or media reports may reveal the name of the

¹¹ NDAA Standards, 2-16.3 Public Education.

¹² Press Release, Center for Prosecutor Integrity, *Most Americans Doubt Fairness of Criminal Justice System, Reveals Center for Prosecutor Integrity* (June 11, 2013).

¹³ Jim Petro & Nancy Petro, *False Justice: Eight Myths that Convict the Innocent* 213-214 (2010).

¹⁴ Model Rules of Prof’l Conduct R. 3.6.

defendant, but not the accuser. The result can be prejudice to a defendant even before the trial begins.

Prosecutors have been known to give “off the record” information to the local press, and even to publicly criticize judicial decision-making. Prosecutors should not seek to obtain a legal advantage in a case by “leaking” information to the media or making inflammatory comments. Media representatives need to understand the problem of false allegations and wrongful convictions, and be mindful of their responsibility to present a balanced and fair account of criminal proceedings to the public.

3. Continuing Legal Education

Training programs should be established within the prosecutor's office for new personnel and for continuing education of the staff.¹⁵

Continuing Legal Education (CLE) programs need to address the ethical duties of prosecutors. CLE programs should highlight actual examples of prosecutor misconduct and their consequences for the wrongly prosecuted, their families, and society at large.

CLE is a mandatory requirement for practicing attorneys in all states except for Connecticut, Massachusetts, Maryland, Michigan, South Dakota, as well as the District of Columbia.¹⁶ The requirement generally ranges from 10 to 15 credit hours, with about 2-5 credit hours devoted to ethical and professional responsibilities. No curriculum specific to the topic of prosecutorial ethics is known to exist at the present time.

B. LEGAL FRAMEWORK

Six policies serve to establish and strengthen the legal context for ethical practice:

- Campaigning for Political Office
- Over-Criminalization
- Legal Defense
- Diversion Programs
- Innocence Commissions
- Prosecution Review Boards

¹⁵ *ABA Standards for Criminal Justice: Prosecution and Defense Function*, 3d ed., 3-2.6 (1993) [hereinafter, ABA Standards].

¹⁶ American Bar Association, *Mandatory CLE*, http://www.americanbar.org/cle/mandatory_cle.html (visited Sept. 9, 2013).

4. Campaigning for Political Office

In most jurisdictions, the District Attorney is elected, not appointed to office. Hence, they become attuned to the political impact of their actions. But the electoral process may represent a poor mechanism for holding prosecutors accountable for ethical conduct.¹⁷

Rules governing the conduct of prosecutors in this area are non-existent. In contrast, the Model Code of Judicial Conduct devotes substantial attention to judges who are running for political office.¹⁸

At a minimum, prosecutors should be required to follow the same rules as judges that ban the use of office staff and other government resources in a campaign, and the issuance of public statements that could impact a pending case. If prosecutors make campaign claims pertaining to their conviction rates, they should also inform voters how they have upheld their role as ministers of justice in safeguarding the presumption of innocence, assuring equal treatment under the law, and promoting due process.

Instead of running on a platform of “Get tough on crime,” prosecutors might emphasize an ethical priority to “Get *smart* on crime.”

5. Over-Criminalization

*As a representative of society as a whole, a prosecutor should take an active role in the legislative process when proposals dealing with the criminal justice system are being considered.*¹⁹

Over-criminalization is coming to be recognized as a problem in our criminal justice system.²⁰ An estimated 4,450 federal crimes are currently on the books, many of which are duplicative of other federal and state laws. Many contain definitions that are vague and overly-broad. And many lack any requirement for “guilty mind” (*mens rea*), long viewed as a fundamental component in the definition of a crime.

One consequence of over-criminalization is over-prosecution, i.e., charging persons with a crime in the absence of probable cause. Tragically, a wrongful prosecution can result in a wrongful conviction.

To curb over-criminalization, lawmakers, with the support of prosecutor organizations and other stakeholders, need to assure laws contain crisp definitions of legal offenses, affirm *mens rea* requirements, strengthen standards of proof, and promote due process.

¹⁷ Ronald Wright, *How Prosecutor Elections Fail Us*, 6 Ohio St. J. Crim.L. 581, 583 (2009).

¹⁸ Model Code of Judicial Conduct R. 4.1 (2011).

¹⁹ National District Attorneys Association. *NDAA Standards. Commentary to The Prosecutor’s Responsibilities*, 3 (2009) [hereinafter *NDAA Standards*].

²⁰ Paul Rosenzweig & Brian Walsh, *One Nation Under Arrest: How Crazy Laws, Rogue Prosecutors and Activist Judges Threaten Your Liberty* (Heritage Foundation 2010).

6. Legal Defense

There should be parity of workload, salaries and other resources (such as benefits, technology, facilities, legal research, support staff, paralegals, investigators, and access to forensic services and experts) between prosecution and public defense.²¹

In principle, defense counsel should be able to serve as a first-line defense against unethical prosecutor conduct. In practice, however, defense attorneys seldom file ethics complaints, citing a desire to maintain good working relationships for future cases.

Part of defense reluctance to report stems from a pronounced resource imbalance. The average salary of a public defender may be as much as 30% less than that of the district attorney.²² Resource limitations are known to impair the ability of defense counsel to conduct thorough investigations and compensate experts on the same scale as witnesses for the prosecution.

In addition, public defender offices could be funded in order to maintain a Habeas Corpus division dedicated to the investigation and litigation of post conviction claims of prosecutorial abuse and misconduct.

7. Diversion Programs

Prosecutors should be cognizant of and familiar with all community-based programs to which offenders may be sentenced, referred as a condition of probation, or referred as a diversionary disposition.²³

Mental health and substance abuse problems lie at the root of many criminal offenses. Faced with overcrowded prisons and skyrocketing costs, state and local governments have looked to diversion programs to cut expenditures and provide appropriate services.

The prosecutor's office traditionally has played a gatekeeper role in determining the eligibility of an offender to participate in a diversion program. But lacking mental health expertise, prosecutors have been known to deny services to offenders in need of such assistance.

The National Association of Pretrial Services Agencies recommends that "Broad, equitable, and objective diversion eligibility criteria, applied consistently at multiple points of case processing" be utilized.²⁴ In cases where the prosecutor rejects an

²¹ American Bar Association Ten Principles of a Public Defense Delivery System 3 (2002), http://www.americanbar.org/content/dam/aba/administrative/legal_aid_indigent_defendants/ls_sclaid_def_tenprinciplesbooklet.authcheckdam.pdf.

²² Mary Sue Backus, *The Right to Counsel in Criminal Cases, A National Crisis*, 57 *Hastings L.J.* 1031, 1062 (2006).

²³ *NDAA Standards* 2-11.1.

²⁴ National Association of Pretrial Services Agencies, *Promising Practices in Pretrial Diversion* 17 (2009), <http://www.pretrial.org/Docs/Documents/PromisingPracticeFinal.pdf>.

otherwise eligible participant, he must provide a rationale, and his decision should be subject to court review.

8. Innocence Commissions

*When a prosecutor knows of clear and convincing evidence establishing that a defendant in the prosecutor's jurisdiction was convicted of an offense that the defendant did not commit, the prosecutor shall seek to remedy the conviction.*²⁵

Innocence Commissions, sometimes referred to as Criminal Justice Reform Commissions, are independent bodies established to investigate the causes of and remedies to wrongful convictions. Innocence Commissions bring together a range of stakeholders from the criminal justice system, victims, and other interested parties.

The commissions periodically release reports on their findings of needed reforms to the criminal justice system. In 2003, the Illinois legislature passed a law addressing many of the 85 recommendations made by a special commission created to study capital punishment and create safeguards against wrongful convictions.²⁶

Innocence Commissions or other independent groups could also provide technical assistance to aggrieved citizens who wish to file ethics complaints or take other legal action. To date, Innocence Commissions have been established in 11 states: California, Connecticut, Florida, Illinois, Louisiana, New York, North Carolina, Oklahoma, Pennsylvania, Texas, and Wisconsin.²⁷

9. Prosecution Review Boards

Existing state disciplinary authorities are falling short in fulfilling their public mandate to discipline unethical prosecutors.²⁸ An analysis of 3,625 cases of prosecutor misconduct around the country found only 63—less than 2%—resulted in the imposition of public sanctions.²⁹

Part of the problem is these committees typically do not possess sufficient expertise to address the complexities of prosecutor malfeasance. The solution is to establish an independent Prosecution Review Board that is modeled on the judicial conduct bodies already established in each state.³⁰

²⁵ Model Rules of Prof'l Conduct R.3.8 (2008).

²⁶ *Criminal Justice Reform Commissions Case Studies*, The Innocence Project (2013), http://www.innocenceproject.org/Content/Criminal_Justice_Reform_Commissions_Case_Studies.php.

²⁷ Robert Norris, Catherine Bonventre, Allison Redlich, James Acker. "Than That One Innocent Suffer:" *Evaluating State Safeguards Against Wrongful Convictions*. 1301 Albany Law Review (2011).

²⁸ Fred C. Zacharias, *The Professional Discipline*, 79 N.C. L. Rev. 721 (2001).

²⁹ Center for Prosecutor Integrity. *An Epidemic of Prosecutor Misconduct*, Appendix B (2013), <http://www.prosecutorintegrity.org/wp-content/uploads/EpidemicofProsecutorMisconduct.pdf>

³⁰ Angela Davis, *Arbitrary Justice* 125 (2007).

The Prosecution Review Board should be comprised of prosecutors, judges, defense attorneys, and other individuals who represent a broad range of interests and understanding of the ethical duties of prosecutors. All appellate findings of misconduct should be reported to the Board for investigation and possible imposition of sanctions.

C. OFFICE POLICIES

Two office policies can serve to fortify prosecutor ethics:

- Policy and Procedure Manuals
- Conviction Integrity Units

10. Policy and Procedure Manuals

Each prosecutor's office should develop a statement of (i) general policies to guide the exercise of prosecutorial discretion and (ii) procedures of the office. The prosecutor should establish standards and procedures for evaluating complaints to determine whether criminal proceedings should be instituted.³¹

In the interest of continuity and clarity, such statement of policies and procedures should be maintained in an office handbook. This handbook should be available to the public, except for subject matters declared "confidential."³²

District Attorneys should develop written policies and procedures to guide prosecutor conduct and discretion.³³ The objectives of these policies and procedures should be to achieve a fair, consistent, and effective enforcement of the law.

The manual should address topics such as compliance with Brady rules, plea bargaining procedures, and internal investigational and disciplinary measures for allegations of prosecutor misconduct.

To ensure transparency, policies and procedures should be made available to the public, except for information that would impair the prosecutor function. The Minnesota County (Minn.) Attorneys Association has developed an example of such a policy manual.³⁴ One innovative strategy is to alter the job performance measures for prosecutors and their associated compensation schemes.³⁵

³¹ ABA Standard 3-3.4(c).

³² ABA Standard 3-2.5(b).

³³ ABA Standard 3-2.5.

³⁴ Minnesota County Attorneys Association. *2012 Prosecutors Manual* (2012), <http://www.mcaa-mn.org/docs/2012/2012MinnesotaProsecutorsManual.pdf>.

³⁵ Inimai Chettiar, Lauren-Brooke Eisen, Nicole Fortier, *Reforming Funding to Reduce Mass Incarceration*. 29 Brennan Center for Justice (2013).

11. Conviction Integrity Units

Conviction Integrity Units (CIUs) are internal offices designed to review post-conviction claims of innocence in accordance with the state's Code of Criminal Procedure. In addition, the CIU may also review the procedures of prosecutors and investigators and recommend policy changes.³⁶

The Conviction Integrity Units are operational in the following jurisdictions:

- Dallas, TX
- New York City, NY
- Santa Clara County, CA

D. ADJUDICATION

*[A] prosecutor has a duty to refrain from improper methods calculated to produce a wrongful conviction... [While he] may strike hard blows, he is not at liberty to strike foul ones.*³⁷

Five ethics-enhancing policies apply to the adjudication phase of the criminal justice process:

- Petitioning of Charging Decisions
- Open-File Discovery
- Witness and Jailhouse Informant Agreements
- Plea Bargaining Reform
- Mandatory Judicial Reporting

12. Petitioning of Charging Decisions

*A prosecutor should not institute, or cause to be instituted, or permit the continued pendency of criminal charges when the prosecutor knows that the charges are not supported by probable cause.*³⁸

*The prosecutor should not bring or seek charges greater in number or degree than can reasonably be supported with evidence at trial or than are necessary to fairly reflect the gravity of the offense.*³⁹

No prosecutorial action is more consequential than the decision to charge a person with a crime. Yet there are no direct mechanisms with which to hold prosecutors accountable for

³⁶ Evelyn Malave and Totam Barkai. *Conviction Integrity Units: Toward Prosecutorial Self-Regulation?* In *Wrongful Conviction and Criminal Justice Reform* (2014).

³⁷ *Berger v. United States*, 295 U.S. 78, 88 (1935).

³⁸ ABA Standard 3-3.9.

³⁹ ABA Standard 3-3.9(f).

their charging decisions. Prosecutorial abuse includes both charging without probable cause and over-charging, that is, charging a defendant with redundant crimes as a means to pressure the suspect to acquiesce to a plea agreement.

To remedy this problem, the defendant could be accorded the right to petition a court of competent jurisdiction to review the criminal charges lodged against him/her, and to have the benefit of an evidentiary hearing to determine if the facts reasonably support the crimes charged by the prosecutor. The court shall have the authority to modify, alter, reduce or eliminate the criminal charges.

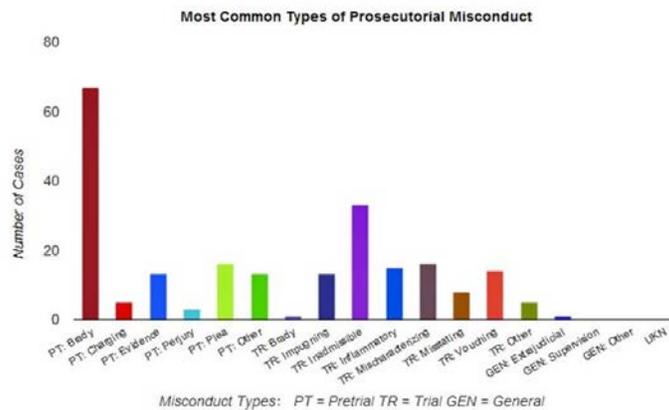
Most states already have a procedure allowing for the filing of a Motion to Dismiss, but the grounds for this motion is based upon the legality of the charges, not the evidentiary sufficiency of the charges.

13. Open-File Discovery

*A prosecutor should not intentionally fail to make timely disclosure to the defense, at the earliest feasible opportunity, of the existence of all evidence or information which tends to negate the guilt of the accused or mitigate the offense charged or which would tend to reduce the punishment of the accused.*⁴⁰

In the American criminal justice system, the prosecutor has far greater access to evidence than does the defendant. This informational imbalance can threaten the fundamental fairness of the criminal justice process.⁴¹ In the landmark case *Brady v. Maryland*, the U.S. Supreme Court ruled that a prosecutor who withholds exculpatory evidence violates due process “where the evidence is material either to guilt or to punishment.”⁴²

Among federal prosecutors, failure to disclose relevant information to the defense is by far the most common type of misconduct, as indicated by the first bar in the graph:⁴³



⁴⁰ ABA Standard 3-3.11(a).

⁴¹ Eleanor J. Ostrow, *The Case for Preplea Disclosure*, 90 Yale L.J. 1581, 1583-84 (1981).

⁴² *Brady v. Maryland*, 373 U.S. 83, 87 (1963).

⁴³ Center for Prosecutor Integrity, *Registry of Prosecutorial Misconduct*, (accessed Feb. 26, 2014).

<http://www.prosecutorintegrity.org/registry/graph/numberbymisconducttype/>

Failure to disclose Brady material can be avoided by means of open-file discovery, by which the defense and prosecutor are provided access to the other's files. This evidence includes the defendant's statements, witness statements, investigating officers' notes, results of tests and examinations, and any other evidence obtained during the investigation.

Prosecutors in jurisdictions with open-file discovery have found that cases can be resolved earlier in the process because defendants can see the strength of the state's case. These prosecutors may also experience fewer reversals and retrials.

14. Witness and Jailhouse Informant Agreements

*A prosecutor should not compensate a witness, other than an expert, for giving testimony...*⁴⁴

Prosecutor abuse has been documented in regards to securing favorable witnesses.⁴⁵ Some district attorneys have been known to go to a local jail in search of a willing witness. One former prosecutor writes, "Odds are, if the inquiry is made to enough inmates, one will be willing to provide an appropriate [incriminating] statement. Such conduct is tantamount to subornation of perjury and should not be tolerated."⁴⁶

All information related to cooperating witness or in-custody informant testimony should be disclosed prior to trial, and the prosecution should be required to disclose:⁴⁷

- Criminal history of the witness
- Statements made by the accused to the in-custody informant
- Any incentives that the witness has, will, or may receive in exchange for testimony
- Whether and how often the witness has agreed to testify at prior criminal trials
- Whether the witness has recanted his or her testimony, or made statements inconsistent with the testimony to be presented at trial

Negotiations with informants could also be videotaped, to be made available to the defense attorney upon request.⁴⁸

⁴⁴ ABA Standard 3-3.2(a).

⁴⁵ The Justice Project, *Jailhouse Snitch Testimony: A Policy Review* (2007), http://www.pewtrusts.org/uploadedFiles/wwwpewtrustsorg/Reports/Death_penalty_reform/Jailhouse%20snitch%20testimony%20policy%20brief.pdf.

⁴⁶ Joseph F. Lawless, *Prosecutorial Misconduct: Law, Procedure, Forms* 302 (1985).

⁴⁷ 752 Ill. Comp. Stat. 5/115-21(c) (2003).

⁴⁸ John F. Terzano, Esq. et al., *Improving Prosecutorial Accountability: A Policy Review*, The Justice Project (2009), <http://amlawdaily.typepad.com/JusticeProjectReport.pdf>.

15. Plea Bargaining Reform

*A prosecutor should not knowingly make false statements or representations as to fact or law in the course of plea discussions with defense counsel or the accused.*⁴⁹

*The prosecutor should disclose to the court any information in the prosecutor's files relevant to the sentence.*⁵⁰

In the current criminal justice system, the great majority of criminal cases are adjudicated by means of a plea. Research on the plea bargaining process reveals a troubling reliance on coercive methods to induce defendants to accept pleas,⁵¹ a problem that is especially troubling in drug cases. Defendants who reject their plea bargain and are subsequently found guilty by a jury typically experience much harsher penalties than those who accept pleas. This serves as a *de facto* punishment for defendants who choose to exercise their right to trial by jury—what has been referred to as the “trial penalty.”⁵²

These reforms can help reduce the incidence of plea bargain abuse:

- End mandatory minimum sentences
- Restore sentencing discretion to the judiciary
- Require the prosecutor to present to the judge factors regarding the disposition of the case to justify each plea, such as considerations delineated in the Department of Justice’s Principles of Federal Prosecution⁵³

16. Mandatory Judicial Reporting

*A lawyer who knows that another lawyer has committed a violation of the Rules of Professional Conduct that raises a substantial question as to that lawyer's honesty, trustworthiness or fitness as a lawyer in other respects, shall inform the appropriate professional authority.*⁵⁴

Professional codes often mandate the reporting of prosecutorial misconduct. In practice, judges withhold the names of offending prosecutors from their written decisions and fail to report findings of misconduct.^{55,56,57}

⁴⁹ ABA Standard 3-4.1(c).

⁵⁰ ABA Standard 3-6.2.

⁵¹ Bureau of Justice Assistance. *Plea and Charge Bargaining: Research Summary* (2011), <https://www.bja.gov/Publications/PleaBargainingResearchSummary.pdf>.

⁵² Human Rights Watch. *An Offer You Can't Refuse: How US Federal Prosecutors Force Drug Defendants to Plead Guilty*, (2013). http://www.hrw.org/sites/default/files/reports/us1213_ForUpload_0.pdf

⁵³ Department of Justice, *Principles of Federal Prosecution* (2002), http://www.justice.gov/usao/eousa/foia_reading_room/usam/title9/27mcrm.htm#9-27.420.

⁵⁴ Model Rules of Prof'l Conduct R. 3.8.

⁵⁵ Adam Gershowitz, *Prosecutorial Shaming*, (Sept. 2008) <http://ssrn.com/abstract=1265738>;

⁵⁶ Cal. Comm'n on the Fair Admin. of Justice, *Final Report* 71, 73, 74 (Gerald Velman & Chris Boscia eds., 2008) <http://www.ccfaj.org/documents/CCFAJFinalReport.pdf>

⁵⁷ Arthur Greenbaum, *The Automatic Reporting of Lawyer Misconduct to Disciplinary Authorities: Filling the Reporting Gap*, 73 Ohio St. L.J. 437, 439-440 (2012).

In some states, judicial reporting requirements hinge on an evaluation of “harmless-error.” In California, for example, a judge is expected to notify the State Bar only when “a modification or reversal of a judgment in a judicial proceeding is based in whole or in part on the misconduct, incompetent representation, or willful misrepresentation of an attorney.”⁵⁸ This harmless-error determination focuses only on the strength of the evidence, not the egregiousness of the prosecutor’s misconduct.

States should strengthen their judicial reporting requirements to include *all* instances of violations of prosecutor ethics.

E. JUSTICE FOR VICTIMS

*John Thompson of Louisiana was wrongfully convicted for armed robbery and murder, and sentenced to death. After exoneration, Thompson declared, “These people tried to eliminate me from the face of the earth. Do you get that? They tried to murder me...there have to be some kind of consequences.”*⁵⁹

Sometimes prosecutor misconduct is detected prior to conviction; in most instances, however, it is only discovered after the defendant has been wrongfully convicted. These four ethics-promoting policies are designed to assure that victims of prosecutor misconduct achieve some measure of justice:

- Exoneration or Sentence Reduction
- Civil Lawsuits
- Statute of Limitations
- Post-Exoneration Compensation

17. Exoneration or Sentence Reduction

Appellate courts that discover prosecutor misconduct usually remand the case for a re-trial. But when a prosecutor is found to have engaged in wrong-doing, a number of troubling questions arise:

- Did the prosecutor engage in other wrongful, still undetected actions that may taint the evidence?
- If a new prosecutor tries the case, will that person be influenced by the same incentives as the first?
- Did media coverage of the original guilty verdict bias future jury members?

⁵⁸ California Mandatory Reporting Statute § 6086.7(a)(2).

⁵⁹ Radley Balko, *The Untouchables: America’s Misbehaving Prosecutors, and the System that Protects Them*, Huffington Post (Aug. 1, 2013), http://www.huffingtonpost.com/2013/08/01/prosecutorial-misconduct-new-orleans-louisiana_n_3529891.html

In some cases, exoneration is the proper and just decision to make. In less egregious cases, sentence reduction may be the appropriate route.⁶⁰

18. Civil Lawsuits

Kenny Waters was convicted of a murder he did not commit, as a result of a prosecutor who withheld exculpatory evidence. Waters served a total of 19 years in prison, finally being released in 2001. He sued the Town of Ayer, MA which partially settled the case for \$3.4 million.⁶¹ At a subsequent hearing in Federal court, damages were increased to a total sum of \$10.7 million.⁶²

The federal Civil Rights Act of 1871 created a federal cause of action for actions of civil liability committed by state officials, including prosecutors, who deprive citizens of their rights.⁶³

But in a seminal 1976 case, the Supreme Court ruled prosecutors are immune from civil suits when they act within their capacity as an “officer of the court.”⁶⁴ Subsequent decisions expanded absolute immunity to encompass prosecutor conduct associated with presenting evidence before a grand jury⁶⁵ and administrative functions.⁶⁶ Absolute immunity has been upheld even when the prosecutor acted in bad faith or with malice.⁶⁷

States should enact a statute similar to the federal Civil Rights Act to confer only *qualified* immunity upon prosecutors who violate ethical requirements.

An alternative approach is for a victim of prosecutor misconduct to file a lawsuit under the theory of municipal liability. In 1978 the Supreme Court ruled that a municipal government could be held liable if the plaintiff demonstrates that a deprivation of a federal right occurred as a result of a policy of the local government's legislative body.⁶⁸

⁶⁰ Sonja B. Starr, *Sentence Reduction as a Remedy for Prosecutor Misconduct*, 97 Geo. L.J. 1509, 1511-12 (2009), <http://georgetownlawjournal.org/files/pdf/97-6/Starr.PDF>.

⁶¹ Jonathan Saltzman, *Town of Ayer and insurers pay millions to estate of wrongly convicted man*, Boston Globe, July 14, 2009, http://www.boston.com/news/local/breaking_news/2009/07/by_jonathan_sal_4.html.

⁶² *Waters v. Town of Ayer*, No. 04-10521-GAO (D. Mass. 2009) (order on assessment of damages) <http://pacer.mad.uscourts.gov/dc/cgi-bin/recentops.pl?filename=otoole/pdf/waters%20v%20town%20of%20ayer%20damages%20order.pdf>.

⁶³ 42 U.S.C. §1983 (2006).

⁶⁴ *Imbler v. Pachtman*, 424 U.S. 409, n.33 (1976).

⁶⁵ *Burns v. Reed*, 500 U.S. 478 (1991).

⁶⁶ *Kemp v. Goldstein*, 555 U.S. 335 (2009).

⁶⁷ Margaret Johns, *Reconsidering Prosecutorial Immunity*, 2005 B.Y.U. L. Rev. 53, 54 (2005).

⁶⁸ *Monell v. Dep't of Soc. Serv.*, 436 U.S. 658, 658 (1978).

19. Statute of Limitations

*Conduct of a lawyer, no matter when it has occurred, is always relevant to the question of fitness to practice.*⁶⁹

Twenty-one states have instituted a statute of limitations that limit the filing of a prosecutor misconduct grievance: AL, AK, CA, CO, CT, FL, GA, LA, MA, MS, MO, NV, NH, NM, NC, PA, TX, UT, WV, WI, and WY.⁷⁰ But the nature of prosecutorial misconduct is such that evidence of wrong-doing often is not discovered until long after the harmful actions took place and the case adjudicated.

Some states toll their statutes of limitation if the misconduct was not discovered due to concealment or fraud. Other states suspend the statute of limitations only if the misconduct could not be “reasonably” discovered at the time of the occurrence.

Statutes of limitation concerning disciplinary proceedings should be eliminated, lengthened, or at least started at the time of discovery and not at the time of occurrence.

20. Post-Exoneration Compensation

Given the state’s responsibility to assure ethical behavior of prosecutors, the government has a moral obligation to provide compensation to those who can prove actual innocence. Compensatory statutes allow an unjustly convicted individual to seek redress for injuries without having to show malice or negligence by officials involved in the case.

States should allocate money for the wrongfully convicted to compensate them for their time in prison, provide job training, and allow the wrongfully convicted to receive rehabilitative medical and psychological care.⁷¹

Compensation statutes not only serve to restore justice to the wrongly convicted, they also serve to remind taxpayers and lawmakers of the pivotal role that prosecutors play in avoiding wrongful convictions. At the present time the federal government, the District of Columbia, and 29 states have some form of compensation statutes.⁷²

⁶⁹ Model Rules for Disciplinary Enforcement R. 32 cmt. (2002).

⁷⁰ David Keenan, Deborah Jane Cooper, David Lebowitz & Tamar Lerer, *The Myth of Prosecutorial Accountability After Connick v. Thompson: Why Existing Professional Responsibility Measures Cannot Protect Against Prosecutorial Misconduct*, 121 Yale L.J. Online 203 (2011), <http://yalelawjournal.org/2011/10/25/keenan.html>

⁷¹ Jessica R. Lonergan, *Protecting the Innocent: A Model for Comprehensive, Individualized Compensation of the Exonerated*, 11 N.Y.U. J. Legis. & Pub. Pol’y 405 (2007-2008). <http://www.nyuilpp.org/wp-content/uploads/2012/10/Lonergan-Protecting-The-Innocent.pdf>

⁷² Innocence Project. *Compensating the Wrongly Convicted*. (Accessed March 1, 2014). <http://www.innocenceproject.org/Content/309.php>

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The following legal interns also researched sections of this report:

- Mario Ecung—Howard University School of Law
- Stacy Paul—Howard University School of Law
- Miatrai Brown—American University School of Law

The following persons were consulted during the development of this report:

- Mike Cassidy—Boston College Law School, Boston, MA
- James Coleman—Duke Center for Criminal Justice and Professional Responsibility, Durham, NC
- Angela Davis—American University Washington College of Law, Washington, DC
- Harry Dietzler—West Virginia Bar Association, Charleston, WV
- Jeffrey L. Kirchmeier—CUNY Law School, Long Island City, NY
- Daniel Medwed, JD—Northeastern University College of Law
- Kathleen Ridolfi—Northern California Innocence Project Director, Santa Clara, CA
- Linda Smith—Kentucky Innocence Project, Frankfort, KY
- Larry Vogelmann—New Hampshire Bar Association, Concord, NH
- Tony Weiler—State Bar Association of North Dakota, Bismarck, ND