

STATE OF MINNESOTA

IN SUPREME COURT

C1-84-2137

**ORDER FOR HEARING TO CONSIDER
PROPOSED AMENDMENTS TO
THE RULES OF CRIMINAL PROCEDURE**

IT IS HEREBY ORDERED that a hearing be held before this court in Courtroom 300 of the Minnesota Supreme Court, Minnesota Judicial Center, on December 12, 2006, at 2:00 p.m., to consider a report filed on September 28, 2006, by the Supreme Court Advisory Committee on Rules of Criminal Procedure, recommending amendments to the Minnesota Rules of Criminal Procedure. A copy of the report is annexed to this order.

IT IS FURTHER ORDERED that:

1. All persons, including members of the Bench and Bar, desiring to present written statements concerning the subject matter of this hearing, but who do not wish to make an oral presentation at the hearing, shall file 12 copies of such statement with Frederick Grittner, Clerk of the Appellate Courts, 305 Judicial Center, 25 Rev. Dr. Martin Luther King, Jr. Boulevard, St. Paul, Minnesota 55155, on or before December 4, 2006; and
2. All persons desiring to make an oral presentation at the hearing shall file 12 copies of the material to be so presented with the aforesaid Clerk together with 12 copies of a request to make an oral presentation. Such statements and requests shall be filed on or before December 4, 2006.


Dated: October 6th, 2006

BY THE COURT:

OFFICE OF
APPELLATE COURTS

OCT - 6 2006

FILED



Russell A. Anderson
Chief Justice

**C1-84-2137
STATE OF MINNESOTA
IN SUPREME COURT**

In Re:

**Supreme Court Advisory Committee
On Rules of Criminal Procedure**

**REPORT WITH PROPOSED AMENDMENTS
TO THE RULES OF CRIMINAL PROCEDURE**

September 28, 2006

Hon. Robert Lynn, Chair

Carolyn Bell Beckman, Saint Paul
Leonardo Castro, Minneapolis
James W. Donehower, Detroit Lakes
James D. Fleming, Mankato
Theodora Gaitas, Minneapolis
Candice Hojan, Minneapolis
Kathryn M. Keena, Hastings
Thomas M. Kelly, Minneapolis

Hon. Michael L. Kirk, Moorhead
William F. Klumpp, Saint Paul
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Robin K. Magee, Saint Paul
Mark D. Nyvold, Saint Paul
Paul Scoggin, Minneapolis
Robert Stanich, Saint Paul
Hon. Heather L. Sweetland, Duluth

Hon. Paul H. Anderson
Supreme Court Liaison

Philip Marron, Minneapolis
Reporter

C. Paul Jones, Minneapolis
Counselor

Kelly Mitchell, Saint Paul
Staff Attorney

**REPORT TO THE MINNESOTA SUPREME COURT
FROM THE SUPREME COURT
ADVISORY COMMITTEE
ON RULES OF
CRIMINAL PROCEDURE
September 28, 2006**

As directed by the Supreme Court, the Advisory Committee on Rules of Criminal Procedure has met regularly and continued to monitor the rules and to hear and accept comments concerning them. The committee has reviewed those matters referred to it by the Supreme Court as well as any comments or suggestions received from the bench and bar and other judicial committees and task forces. Based on this review the Supreme Court Advisory Committee on Rules of Criminal Procedure recommends that the Supreme Court adopt the Proposed Amendments to the Minnesota Rules of Criminal Procedure submitted herewith. A brief summary of those rule amendments follows:

GROSS MISDEMEANOR GUILTY PLEAS

Rule 5.01 currently permits a defendant to plead guilty to a misdemeanor at the first appearance under Rule 5 but does not permit that for a gross misdemeanor. The committee believes that for that purpose it is appropriate to treat misdemeanors and gross misdemeanors the same. The committee therefore proposes amending Rule 5.01 to allow defendants to plead guilty to gross misdemeanors as well as misdemeanors at the first appearance under Rule 5, provided that they first have had the opportunity to consult with counsel. In conjunction with that proposal, the committee also proposes conforming amendments to Rule 11 and the comments to those rules.

RULE 20.01. COMPETENCY TO PROCEED

For a person found incompetent to proceed in a misdemeanor case, Rule 20.01, subd. 4(2) provides that the proceedings must be dismissed by the court. For a person found incompetent to proceed in a felony or gross misdemeanor case, such a dismissal is not required. Rather, in that situation the rule provides for suspension of the felony or gross misdemeanor proceedings. The committee does not believe that it is appropriate to treat gross misdemeanors exactly the same as misdemeanors in this situation, but does believe that it is appropriate to place some time limits on the suspension of the gross misdemeanor proceedings. Consequently, the committee recommends amending Rule 20.01, subd. 6 to require dismissal of the gross misdemeanors proceedings 30 days after a finding of incompetence unless by that time the prosecutor files with the court a notice of intention to prosecute the defendant when the defendant has been restored to competency. Even if such a notice is filed, the gross misdemeanor proceedings must be dismissed later if the defendant has been confined long enough to be entitled to at least one year of custody credit if convicted in the proceedings.

RULE 26.01. STIPULATED FACTS TRIALS

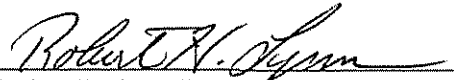
This Court requested our committee to examine issues surrounding the use of stipulated facts trials under Rule 26.01, subd. 3 and proceedings under State v. Lothenbach, 296 N.W.2d 854 (Minn. 1980). We have done that and have proposed a new Rule 26.01, subd. 4 to establish procedure for those cases that have been governed by the Lothenbach decision in the past.

RULE 28.04. STAY OF ADJUDICATION APPEALS

The Minnesota Rules of Criminal Procedure currently do not contain any procedures concerning stays of adjudication. Consequently, there is no provision in the rules expressly authorizing the prosecution to appeal from a stay of adjudication entered by the district court over the objection of the prosecution. This Court has allowed the prosecution to appeal such stays on the theory that they are pretrial orders. See State v. Thoma, 571 N.W.2d 773 (Minn. 1997), *aff'g* 569 N.W.2d 205 (Minn. App. 1997); State v. Verschelde, 595 N.W.2d 192 (Minn. 1999`); and State v. Hoelzel, 639 N.W.2d 605 (Minn. 2002). In State v. Lee, 706 N.W.2d 491 (Minn. 2005) this Court recognized that a stay of adjudication is not precisely a pretrial order but rather “a unique judicial tool with the need for its own rules of procedure”. Consequently, this Court referred this issue to our committee for study and recommendation. Our committee has reviewed that issue and the proposed amendments contain revisions in Rule 28.04 to expressly permit the prosecution to appeal from stays of adjudication entered over the objection of the prosecution and to establish the procedure for such appeals. The committee continues to review other issues concerning stays of adjudication and, if necessary, will report to the court on that in the future.

Dated: 9/28/06

Respectfully Submitted,



Judge Robert Lynn, Chair
Supreme Court Advisory Committee
on Rules of Criminal Procedure

**PROPOSED AMENDMENTS TO THE
RULES OF CRIMINAL PROCEDURE
September 28, 2006**

The Supreme Court Advisory Committee on Rules of Criminal Procedure recommends that the following amendments be made in the Minnesota Rules of Criminal Procedure. In the proposed amendments, except as otherwise indicated, deletions are indicated by a line drawn through the words and additions by a line drawn under the words.

1. Rule 5.01. Statement to the Defendant.

Amend this rule as follows:

Rule 5.01. Statement to the Defendant

A defendant arrested with or without a warrant or served with a summons or citation appearing initially before a judge or judicial officer, shall be advised of the nature of the charge. The court shall first determine whether the defendant is handicapped in communication. A defendant is handicapped in communication if, (a) because of either a hearing, speech or other communications disorder, or (b), because of difficulty in speaking or comprehending the English language, the defendant cannot fully understand the proceedings or any charges made against the defendant or is incapable of presenting or assisting in the presentation of a defense. If a defendant is handicapped in communication, the judge or judicial officer shall appoint a qualified interpreter to assist the defendant throughout the proceedings. The proceedings at which a qualified interpreter is required are all those covered by these rules which are attended by the defendant. A defendant who has not previously received a copy of the complaint, if any, and supporting affidavits and the transcription of any supplementary testimony, shall be provided with copies thereof. Upon motion of the prosecuting attorney, the court shall require that the defendant be booked, photographed, and fingerprinted. In felony cases of ~~felonies and gross misdemeanors~~, the defendant shall not be called upon to plead.

The judge, judicial officer, or other duly authorized personnel shall advise the defendant substantially as follows:

(a) That the defendant is not required to say anything or submit to interrogation and that anything the defendant says may be used against the defendant in this or any subsequent proceedings;

(b) That the defendant has a right to counsel in all subsequent proceedings, including police line-ups and interrogations, and if the defendant appears without

counsel and is financially unable to afford counsel, that counsel will forthwith be appointed without cost to the defendant charged with an offense punishable upon conviction by incarceration;

(c) That the defendant has a right to communicate with defense counsel and that a continuance will be granted if necessary to enable defendant to obtain or speak to counsel;

(d) That the defendant has a right to a jury trial or a trial to the court;

(e) That if the offense is a misdemeanor, the defendant may either plead guilty or not guilty, or demand a complaint prior to entering a plea;

(f) That if the offense is a designated gross misdemeanor as defined in Rule 1.04(b) and a complaint has not yet been made and filed, a complaint must be issued within 10 days if the defendant is not in custody or within 48 hours if the defendant is in custody.

(g) That if the offense is a gross misdemeanor and the defendant has had an opportunity to consult with an attorney, the defendant may enter a plea of guilty in accordance with Rule 15.01.

The judge, judicial officer, or other duly authorized personnel may advise a number of defendants at once of these rights, but each defendant shall be asked individually before arraignment whether the defendant heard and understood these rights as explained earlier.

2. Comments on Rule 5.01.

Amend the comments on Rule 5 by adding a new paragraph after the existing sixth paragraph as follows:

Pursuant to Rule 5.01(g) a defendant may plead guilty to a gross misdemeanor at the first appearance under Rule 5 in accordance with the guilty plea provisions of Rule 15.01. If that is done, the defendant must first have the opportunity to consult with an attorney. If the guilty plea is to a designated gross misdemeanor prosecuted by tab charge, it is necessary that a complaint be made, served and filed before the court accepts the guilty plea. See Rule 4.02, subd. 5(3) and the comments to that rule. Also see Rule 5.02, subd. 1(4) concerning waiver of the right to counsel. Rule 5.01(g) does not permit a defendant to enter a plea of not guilty to a gross misdemeanor at the first appearance under Rule 5. Rather, in accordance with Rules

8.01 and 11.10, a not guilty plea in felony and gross misdemeanor cases is not entered until the Omnibus Hearing or later.

3. Rule 11. Omnibus Hearing in Felony and Gross Misdemeanor Cases.

Amend the introductory language at the beginning of Rule 11 as follows:

If the defendant does not plead guilty in a felony case at the initial appearance under Rule 8 or, in a gross misdemeanor case, at the first appearance under Rule 5 or at the initial appearance under Rule 8, ~~before the district court following a complaint or, for a designated gross misdemeanor as defined by Rule 1.04(b), following a tab charge,~~ a hearing shall be held as follows:

4. Comments on Rule 11.

Amend the first paragraph of the comments on Rule 11 as follows:

If, following the filing of a complaint, a defendant does not plead guilty at the initial appearance before the district court under Rule 8 for felonies and gross misdemeanors or at the first appearance under Rule 5 for gross misdemeanors, or if the defendant does not plead guilty at the arraignment under Rule 19.04, subd. 4 following an indictment, the Omnibus Hearing provided by Rule 11 shall be held. The initial appearance may be continued, and if the defendant does not then plead guilty, the Omnibus Hearing shall be held as provided by the rule.

Amend the fourth paragraph of the comments on Rule 11 as follows:

If, following the filing of a complaint, the defendant does not plead guilty upon the first appearance in the district court under Rule 5 for gross misdemeanors or upon the initial appearance in the district court under Rule 8 for felonies and gross misdemeanors ~~following a complaint or, where permitted, a tab charge~~ or upon arraignment in the district court under Rule 19.04, subd. ~~5~~ 4 following an indictment, the Omnibus Hearing (See ABA Standards, Discovery and Procedure Before Trial, 1.1, 5.1-5.3 (Approved Draft, 1970)), shall be held as provided by Rule 11 not later than twenty-eight (28) days after the initial appearance or 7 days after the indictment arraignment, unless the period is extended for good cause related to the particular case (Rules 8.04; 19.04, subd. 5).

5. Rule 20.01. Competency to Proceed.

Amend subdivision 6 of Rule 20.01 as follows:

Subd. 6. Dismissal of Criminal Proceedings.

(1) Felonies. Except when the defendant is charged with murder, the criminal proceedings shall be dismissed upon the expiration of three years from the date of the finding of the defendant's incompetency to proceed unless the prosecuting attorney, before the expiration of the three-year period, files a written notice of intention to prosecute the defendant when the defendant has been restored to competency.

(2) Gross Misdemeanors. The criminal proceedings shall be dismissed 30 days after the date of the finding of the defendant's incompetency to proceed unless by that date the prosecuting attorney files a written notice of intention to prosecute the defendant when the defendant has been restored to competency. If such a notice has been filed, the criminal proceedings shall be dismissed when the defendant would be entitled under these rules to custody credit of at least one year if convicted in the criminal proceedings.

6. Comments on Rule 20.

Amend the thirteenth paragraph of the comments on Rule 20 as follows:

If the charge is a felony or gross misdemeanor and the defendant is found to be incompetent, the criminal proceedings shall continue to be suspended (Rule 20.01, subd. 4(2)), and the court shall follow the procedure established by Rules 20.01, subd. 4(2) to 20.01, subd. 6. For gross misdemeanors, the criminal proceedings must be dismissed by the court 30 days after the finding of incompetency unless the prosecuting attorney has filed with the court by that time a written notice of intention to prosecute the defendant on the gross misdemeanor when the defendant is restored to competency. Additionally, even if such a notice is filed, the proceedings must be dismissed later if the defendant becomes entitled to at least one year of custody credit if the defendant were to be convicted of the gross misdemeanor offense. This would include custody credit for time confined in a jail or correctional facility and also for time confined in a hospital or other facility under this rule (see subdivision 9 of this rule).

7. Rule 26.01. Trial by Jury or by the Court.

Amend subdivision 3 of Rule 26.01 and add a new subdivision 4 to that rule

as follows:

Subd. 3. Trial on Stipulated Facts. By agreement of the defendant and the prosecuting attorney, a determination of defendant's guilt, or the existence of facts to support an aggravated sentence, or both, may be submitted to and tried by the court based on stipulated facts. Before proceeding in this manner, the defendant shall acknowledge and waive the rights to testify at trial, to have the prosecution witnesses testify in open court in the defendant's presence, to question those prosecution witnesses, and to require any favorable witnesses to testify for the defense in court. The agreement and the waiver shall be in writing or orally on the record. If this procedure is utilized for determination of defendant's guilt and the existence of facts to support an aggravated sentence, there shall be a separate waiver as to each issue. Upon submission of the case on stipulated facts, the court shall proceed as on any other trial to the court pursuant to subdivision 2 of this rule. If the defendant is found guilty based on the stipulated facts, the defendant may appeal from the judgment of conviction and raise issues on appeal the same as from any trial to the court.

Subd. 4. Stipulation to Prosecution's Case to Obtain Review of a Pre-Trial Ruling. When the parties agree that the court's ruling on a specified pre-trial issue is dispositive of the case, or that the ruling otherwise makes a contested trial unnecessary, the following procedure shall be used to preserve the issue for appellate review. The defendant shall maintain the plea of not guilty. The defendant and the prosecuting attorney shall acknowledge that the pre-trial issue is dispositive, or that a trial will otherwise be unnecessary if the defendant prevails on appeal. The defendant, after an opportunity to consult with counsel, shall waive the right to a jury trial under Rule 26.01, subd. 1(2)(a), and shall also waive the rights specified in Rule 26.01, subd. 3. The defendant shall stipulate to the prosecution's evidence in a trial to the court, and acknowledge that the court will consider the prosecution's evidence and may find the defendant guilty based on that evidence. The defendant shall also acknowledge that appellate review will be of the pre-trial issue, but not of the defendant's guilt, or of other issues that could arise at a contested trial. The defendant and the prosecuting attorney must make the foregoing acknowledgments personally, in writing or orally on the record. The court after consideration of the stipulated evidence shall make an appropriate finding, and if that finding is guilty, the court shall also make findings of fact, orally on the record or in writing, as to each element of the offense(s).

8. Comments on Rule 26.

Amend the sixteenth paragraph of the comments on Rule 26 as follows:

Rule 26.01, subd. 2 (Trial Without a Jury) requiring special findings in a case tried to the court is taken from F.R.Crim.P. 23(c), and in addition prescribes time limits for general findings and for special findings. Rule 14.01 prescribes the pleas referred to in the rule. The consequences of an omission of a finding on an essential fact comes from Minn.R.Civ.P. 49(a). The provision in Rule 26.01, subd. 3 (Trial on Stipulated Facts) for submitting the case to the court for decision on stipulated facts is in accord with ABA Standards for Criminal Justice 21-1.3(c) (1985). In addition to determining guilt, the trial on stipulated facts provisions of subdivision 3 could be used for determining whether aggravated facts exist to support an upward sentencing departure under Blakely v. Washington, 542 U.S. 296, 124 S.Ct. 2531 (2004). The rules do not permit conditional pleas of guilty whereby the defendant reserves the right to appeal the denial of a motion to suppress evidence or other pretrial order. State v. Lothenbach, 296 N.W.2d 854 (Minn.1980). Rule 26.01, subd. 4 (Stipulation to Prosecution’s Case to Obtain Review of a Pre-Trial Ruling) implements the procedure authorized by State v. Lothenbach, 296 N.W.2d 854 (Minn. 1980). The rule supersedes the case as to the procedure for stipulating to the prosecution’s case to obtain review of a pre-trial ruling. The rule also distinguishes the Lothenbach-type procedure it implements from the Rule 26.01, subd. 3 Trial on Stipulated Facts. The latter rule should be used if there is no pre-trial ruling dispositive of the case, and if the defendant wishes to have the full scope of appellate review, including a challenge to the sufficiency of the evidence. See, State v. Busse, 644 N.W.2d 79, 89 (Minn. 2002). The phrase in the first sentence of Rule 26.01, subd. 4 –“or that the ruling otherwise makes a contested trial unnecessary”-- recognizes that a pre-trial ruling will not always be dispositive of the entire case, but that a successful appeal of the pre-trial issue could nonetheless make a trial unnecessary, such as in a DWI case where the only issue is the validity of qualified prior impaired driving incidents as a charge enhancement. See, e.g., State v. Sandmoen, 390 N.W.2d 419 (Minn. App. 1986). The parties could agree that if the defendant prevailed on appeal that the defendant would still have a conviction for an unenhanced DWI offense. Where a conviction for some offense is supportable regardless of the outcome of the appeal, but a contested trial would serve no purpose, the rule could be used. However, by agreement of the parties, the issues may be preserved by submitting the case on stipulated facts as authorized by Rule 26.01, subd. 3.

9. Rule 28.04. Appeal by Prosecuting Attorney.

Amend this rule as follows:

Rule 28.04. Appeal by Prosecuting Attorney

Subd. 1. Right of Appeal. The prosecuting attorney may appeal as of right to the Court of Appeals:

(1) in any case, from any pretrial order of the trial court, including probable cause dismissal orders based on questions of law. However, an order is not appealable (a) if it is based solely on a factual determination dismissing a complaint for lack of probable cause to believe the defendant has committed an offense or (b) if it is an order dismissing a complaint pursuant to Minn. Stat. § 631.21; and

(2) in felony cases from any sentence imposed or stayed by the trial court; and

(3) in any case, from an order granting postconviction relief under Minn. Stat. Ch. 590; and

(4) in any case, from an order staying adjudication of an offense for which the defendant pleaded guilty or was found guilty at a trial. An order for a stay of adjudication to which the prosecuting attorney did not object is not appealable; and

~~(4)~~ (5) in any case, from a judgment of acquittal by the trial court entered after the jury returns a verdict of guilty under Rule 26.03, subd. 17(2) or (3); and

~~(5)~~ (6) in any case, from an order of the trial court vacating judgment and dismissing the case made after the jury returns a verdict of guilty under Rule 26.04, subd. 2; and

~~(6)~~ (7) in any case, from an order for a new trial granted under Rule 26.04, subd. 1, after a verdict or judgment of guilty, if the trial court expressly states therein, or in a memorandum attached thereto, that the order is based exclusively upon a question of law which in the opinion of the trial court is so important or doubtful as to require a decision by the appellate courts. However, an order for a new trial is not appealable if it is based on the interests of justice.

Subd. 2. Procedure Upon Appeal of Pretrial Order. The procedure upon appeal of a pretrial order by the prosecuting attorney shall be as follows:

(1) *Stay.* Upon oral notice that the prosecuting attorney intends to appeal a pretrial order which shall also include a statement for the record as to how the trial court's alleged error, unless reversed, will have a critical impact on the outcome of the trial, the trial court shall order a stay of proceeding of five (5) days to allow time to perfect the appeal.

(2) *Notice of Appeal.* The prosecuting attorney shall file with the clerk of the appellate courts a notice of appeal, a statement of the case as provided for by Rule 133.03 of the Minnesota Rules of Civil Appellate Procedure which shall also include a summary statement by the prosecutor as to how the trial court's alleged error, unless reversed, will have a critical impact on the outcome of the trial, and a copy of the written request to the court reporter for such transcript of the proceedings as appellant deems necessary. The notice of appeal, the statement of the case, and request for transcript shall have attached at the time of filing, proof of service on the defendant or

defense counsel, the State Public Defender, the attorney general for the State of Minnesota, and the ~~clerk~~ court administrator of the trial court in which the pretrial order is entered. Failure to serve or file the statement of the case, to request the transcript, to file a copy of such request, or to file proof of service does not deprive the Court of Appeals of jurisdiction over the prosecuting attorney's appeal, but it is ground only for such action as the Court of Appeals deems appropriate, including dismissal of the appeal. The contents of the notice of appeal shall be as set forth in Rule 28.02, subd. 4(2).

(3) *Briefs.* Within fifteen (15) days of delivery of the transcripts, or within fifteen (15) days of the filing of the notice of appeal if the transcript was delivered prior to the filing of the notice of appeal or if the appellant has not requested any transcript under Rule 28.04, subd. 2(2), appellant shall file the appellant's brief with the clerk of the appellate courts together with proof of service upon the respondent. Within 8 days of service of appellant's brief upon respondent the respondent shall file the respondent's brief with said clerk together with proof of service upon the appellant. In all other respects the Minnesota Rules of Civil Appellate Procedure to the extent applicable shall govern the form and filing of briefs and appendices except that the appellant's brief shall contain a statement of the procedural history.

(4) *Dismissal by Attorney General.* In appeals by the prosecuting attorney, the attorney general may, within 20 days after entry of the order staying proceedings, dismiss the appeal and shall within 3 days thereafter give notice thereof to the judge of the lower court and file with the clerk of the appellate courts notice of such dismissal. The lower court shall then proceed as if no appeal had been taken.

(5) *Oral Argument and Consideration.* The provisions of Rule 28.02, subd. 13 concerning oral argument shall apply to appeals by the prosecuting attorney provided that the date of oral argument or submission of the case to the court without oral argument shall not be more than 3 months after all briefs have been filed. The Court of Appeals shall not hear or accept as submitted any such appeals more than 3 months after all briefs have been filed and in such cases the lower court shall then proceed as if no appeal had been taken.

(6) *Attorney's Fees.* Reasonable attorney's fees and costs incurred shall be allowed to the defendant on such appeal which shall be paid by the governmental unit responsible for the prosecution involved.

(7) *Joinder.* The prosecuting attorney may appeal from one or several of the orders under this rule joined in a single appeal.

(8) *Time for Appeal.* The prosecuting attorney may not appeal under this rule until after the Omnibus Hearing has been held under Rule 11, or the evidentiary hearing and pretrial conference, if any, have been held under Rule 12, and all issues raised therein have been determined by the trial court. The appeal then shall be taken within 5 days after the defense, or the ~~clerk~~ court administrator pursuant to Rule 33.03, subsequently serves notice of entry of the order appealed from upon the prosecuting attorney or within 5 days after the prosecuting attorney is notified in court on the record of such order, whichever occurs first. All pretrial orders entered and

noticed to the prosecuting attorney prior to the trial court's final determination of all issues raised in the Omnibus Hearing under Rule 11, or the evidentiary hearing and pretrial conference under Rule 12, may be included in this appeal. An appeal by the prosecuting attorney under this rule bars any further appeal by the prosecuting attorney from any existing orders not included in the appeal. No appeal of a pretrial order by the prosecuting attorney shall be taken after jeopardy has attached.

An appeal under this rule does not deprive the trial court of jurisdiction over pending matters not included in the appeal.

Subd. 3. Cross-Appeal by Defendant. Upon appeal by the prosecuting attorney, the defendant may obtain review of any pretrial or postconviction order which will adversely affect the defendant, by filing a notice of cross-appeal with the clerk of the appellate courts, together with proof of service on the prosecuting attorney, within 10 days after service of notice of the appeal by the prosecuting attorney, provided that in postconviction cases the notice of cross-appeal may be filed within 60 days after the entry of the order granting or denying postconviction relief, if that is later. Failure to serve the notice does not deprive the Court of Appeals of jurisdiction over defendant's cross-appeal, but is ground only for such action as the Court of Appeals deems appropriate, including dismissal of the cross-appeal.

Subd. 4. Conditions of Release. Upon appeal by the prosecuting attorney of a pretrial order, the conditions for defendant's release pending the appeal shall be governed by Rule 6.02, subd. 1 and subd. 2. The court shall also consider that the defendant, if not released, may be confined for a longer time pending the appeal than would be possible under the potential sentence for the offense charged.

Subd. 5. Proceedings in Forma Pauperis. An indigent defendant wishing the services of an attorney in an appeal taken by the prosecuting attorney under this rule shall proceed under Rule 28.02, subd. 5.

Subd. 6. Procedure Upon Appeal of Postconviction Order.

(1) *Service and Filing.* An appeal shall be taken by filing a notice of appeal with the clerk of the appellate courts together with proof of service on the opposing counsel, the ~~clerk~~ court administrator of the trial court in which the order appealed from is entered, and, when the appellant is not the attorney general, also the attorney general for the State of Minnesota. No fees or bond for costs shall be required for the appeal. Unless otherwise ordered by the appellate court, a certified copy of the order appealed from or a statement of the case as provided for by Rule 133.03 of the Minnesota Rules of Civil Appellate Procedure need not be filed. Failure of the prosecuting attorney to take any other step than timely filing the notice of appeal does not affect the validity of the appeal, but is ground only for such action as the Court of

Appeals deems appropriate, including dismissal of the appeal.

(2) *Time for Taking an Appeal.* An appeal by the prosecuting attorney of an order granting postconviction relief shall be taken within 60 days after entry of the order.

(3) *Other Procedures.* The provisions of Rule 28.02, subd. 4(2), concerning the contents of the notice of appeal, Rule 28.02, subd. 8, concerning the record on appeal, Rule 28.02, subd. 9, concerning transcript of the proceedings and transmission of the transcript on record, Rule 28.02, subd. 10, concerning briefs, Rule 28.02, subd. 13, concerning oral argument, Rule 28.04, subd. 2(4), concerning dismissal by the attorney general, and Rule 28.04, subd. 2(6), concerning attorney's fees, shall apply to appeals by the prosecuting attorney of an order granting postconviction relief.

Subd. 7. Procedure Upon Appeal From Order Staying Adjudication.

(1) Service and Filing. An appeal from an order staying adjudication shall be taken by filing a notice of appeal with the clerk of the appellate courts together with proof of service on opposing counsel, the court administrator of the trial court in which the order is entered, the State Public Defender, and when the appellant is not the attorney general, the attorney general of the State of Minnesota. The notice shall be accompanied by a copy of a written request to the court reporter for such transcript of the proceedings as appellant deems necessary. No fees or bond for costs shall be required for the appeal. Unless otherwise ordered by the appellate court, a certified copy of the order appealed from or a statement of the case as provided for by Rule 133.03 of the Minnesota Rules of Civil Appellate Procedure need not be filed. Failure of the prosecuting attorney to take any other step than timely filing the notice of appeal does not affect the validity of the appeal, but is ground only for such action as the Court of Appeals deems appropriate, including dismissal of the appeal.

(2) Time for Taking an Appeal. An appeal by the prosecuting attorney from an order staying adjudication shall be taken within 10 days after entry of the order.

(3) Briefs. Within 15 days after delivery of the transcript, or within 15 days after the filing of the notice of appeal if the transcript was delivered prior to filing of the notice of appeal or if the appellant has not requested a transcript, the appellant shall file the appellant's brief with the clerk of the appellate courts together with proof of service upon the respondent. The brief shall be identified as a stay of adjudication brief. Within 8 days after service of the appellant's brief, the respondent shall file the respondent's brief with the clerk together with proof of service upon the appellant. In all other respects the Minnesota Rules of Civil Appellate Procedure to the extent applicable shall govern the form and filing of briefs and appendices except that the appellant's brief shall contain a statement of the procedural history.

(4) Other Procedures. The provisions of Rule 28.02, subd. 4(2), concerning the contents of the notice of appeal, Rule 28.02, subd. 5, concerning proceedings in forma pauperis, Rule 28.02, subd. 7, concerning release of the defendant pending appeal, Rule 28.02, subd. 8, concerning the record on appeal, and Rule 28.02, subd. 13, concerning oral argument, shall apply to appeals by the prosecuting attorney from an order staying adjudication.

Subd. 7 8. Procedure Upon Appeal From Judgment of Acquittal or Vacation of Judgment After a Jury Verdict of Guilty, or From an Order Granting a New Trial.

(1) *Service and Filing.* An appeal shall be taken by filing a notice of appeal with the clerk of the appellate courts together with proof of service on the opposing counsel, the ~~clerk~~ court administrator of the trial court in which the judgment or order appealed from is entered, and when the appellant is not the attorney general, also the attorney general for the State of Minnesota. No fees or bond for costs shall be required for the appeal. Unless otherwise ordered by the appellate court, a certified copy of the judgment or order appealed from or a statement of the case as provided for by Rule 133.03 of the Minnesota Rules of Civil Appellate Procedure need not be filed. Failure of the prosecuting attorney to take any other step than timely filing the notice of appeal does not affect the validity of the appeal, but is ground only for such action as the Court of Appeals deems appropriate, including dismissal of the appeal.

(2) *Time for Taking an Appeal.* An appeal by the prosecuting attorney from either a judgment of acquittal after a jury verdict of guilty, or an order vacating judgment and dismissing the case after a jury verdict of guilty, or an order granting a new trial, shall be taken within ten days after entry of the judgment or order.

(3) *Stay and Conditions of Release.* Upon oral notice that the prosecuting attorney intends to appeal from a judgment of acquittal after a jury verdict of guilty or from an order vacating judgment and dismissing the case after a jury verdict of guilty, or from an order granting a new trial, the trial court shall order a stay of execution of the judgment or order of ten (10) days to allow time to perfect the appeal. The trial court shall also determine the conditions for defendant's release pending the appeal, which conditions shall be governed by Rule 6.02, subs. 1 and 2.

(4) *Other Procedures.* The provisions of Rule 28.02, subd. 4(2), concerning the contents of the notice of appeal, Rule 28.02, subd. 8, concerning the record on appeal, Rule 28.02, subd. 9, concerning transcript of the proceedings and transmission of the transcript and record, Rule 28.02, subd. 10, concerning briefs, Rule 28.02, subd. 13, concerning oral argument, Rule 28.04, subd. 2(4), concerning dismissal by the attorney general, and Rule 28.04, subd. 2(6), concerning attorney's fees, shall apply to appeals by the prosecuting attorney from either a judgment of acquittal after a jury

verdict of guilty or an order vacating judgment and dismissing the case after a jury verdict of guilty, or an order granting a new trial.

(5) *Cross-Appeals*. Upon appeal by the prosecuting attorney under this subdivision, the defendant may obtain review of any pretrial and trial orders and issues, by filing a notice of cross-appeal with the clerk of the appellate courts, together with proof of service on the prosecuting attorney, within 30 days of the prosecutor filing notice of appeal or within ten days after delivery of the transcript by the reporter, whichever is later. If this election is made and the jury's verdict is ultimately reinstated, the defendant may not file a second appeal from the entry of judgment of conviction unless it is limited to issues, such as sentencing, that could not have been raised in the cross-appeal. The defendant may also elect to respond to the issues raised in the prosecutor's appeal and reserve appeal of any other issues until such time as the jury's verdict of guilty is reinstated. If reinstatement occurs, the defendant may appeal from the judgment using the procedures set forth in Rule 28.02, subd. 2.

10. Comments on Rule 28.

Amend the twenty-first paragraph of the comments on Rule 28 as follows:

To the extent that an order granting a defendant a new trial also suppresses evidence, it will be viewed as a pretrial order concerning the retrial and the prosecuting attorney may appeal the suppression part of the order under Rule 28.04, subd. 1(1). State v. Brown, 317 N.W.2d 714 (Minn.1982). In response to State v. Lee, 706 N.W.2d 491 (Minn. 2005), Rule 28.04, subd. 1(4) was revised to expressly permit a prosecuting attorney to appeal a stay of adjudication ordered by the district court over the objection of the prosecuting attorney. Prior to that revision such appeals were permitted by construing the appeal as an appeal from a pretrial order under part (1). See State v. Thoma, 571 N.W.2d 773 (Minn. 1997), aff'g 569 N.W.2d 205 (Minn. App. 1997); State v. Vershelde, 595 N.W.2d 192 (Minn. 1999); and State v. Hoelzel, 639 N.W.2d 605 (Minn. 2002). Additionally, a stay of adjudication is considered to be a pretrial order that may be appealed by the prosecuting attorney. State v. Thoma, 571 N.W.2d (Minn. 1997), aff'g 569 N.W.2d 205 (Minn. App. 1997). A good faith timely motion by the prosecuting attorney for clarification or rehearing of an appealable order extends the time to appeal from that order. State v. Wollan, 303 N.W.2d 253 (Minn.1981). Originally under Rules 28.04, subd. 2(2) and (8) the prosecuting attorney had 5 days from entry of an appealable pretrial order to perfect the appeal. It was possible for this short time limit to expire before the prosecuting attorney received actual notice of the order sought to be appealed. These rules as revised eliminate this unfairness and assure that notice of the pretrial order will be served on or given to the prosecuting attorney before the 5-day time limit begins to run. In State v. Hugger, 640 N.W.2d 619 (Minn. 2002), the court held that in

computing the 5-day time period within which an appeal must be taken under Rule 28.04, subd. 2(8), intermediate Saturdays, Sundays, and legal holidays shall be excluded pursuant to Rule 34.01 before the additional 3 days for service by mail is added pursuant to Rule 34.04.

Grittner, Fred

From: Johnson, Lawrence (Anoka Judge)
Sent: Monday, October 16, 2006 10:42 AM
To: Mitchell, Kelly
Subject: Amendments to Criminal Rules

While I concur in the concept that a gross misdemeanor defendant who has consulted with an attorney should be allowed to plead guilty at a Rule 5 appearance, I am concerned about one language change. The negative implication of the change to the last sentence of the first paragraph of Rule 5.01 is that a gross misdemeanor defendant shall be called upon to enter a plea at the Rule 5 appearance.

I think that the intent was to permit a defendant to plead guilty after consulting with an attorney at the Rule 5 appearance, but the intent was not to require all gross misdemeanor defendants to enter a plea of guilty or not guilty at a Rule 5 appearance. I do not think any change is needed to the last sentence of the first paragraph. Thus, gross misdemeanor defendants would not be called upon to enter a plea, but could plead guilty if they had consulted with an attorney.

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December 4, 2006

Frederick Grittner
Clerk of the Appellate Courts
305 Judicial Center
25 Rev Dr Martin Luther King Blvd
St. Paul, MN 55155

RE: Proposed Amendments to the Rules of Criminal Procedure
C1-84-2137

Dear Mr. Grittner:

The MACDL has reviewed the four recently proposed criminal rule changes and requests that they be adopted as drafted. Unless there is some unexpected significant opposition, the MACDL does not request to make an oral presentation on these proposed rule changes.

Thank you for your consideration of this letter

Very Truly Yours,



Douglas Olson
MACDL Rules Committee

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