#### STATE OF MINNESOTA

#### IN SUPREME COURT

C1-84-2137

# ORDER ESTABLISHING DEADLINE FOR SUBMITTING COMMENTS ON PROPOSED AMENDMENTS TO THE RULES OF CRIMINAL PROCEDURE

The Supreme Court Advisory Committee on Rules of Criminal Procedure filed a report on December 26, 2007, recommending amendments to the Rules of Criminal Procedure. This court will consider the proposed amendments without a hearing after soliciting and reviewing comments on the report. A copy of the report is annexed to this order.

IT IS HEREBY ORDERED that any individual wishing to provide a written statement in support or opposition to the proposed amendments shall submit fourteen copies of such statement addressed to Frederick Grittner, Clerk of the Appellate Courts, 305 Judicial Center, 25 Rev. Dr. Martin Luther King Jr. Blvd., St. Paul, MN 55155, on or before March 21, 2008.

Dated: February 1<sup>12</sup>, 2008.

BY THE COURT:

OFFICE OF APPELLATE COURTS

FEB 1 - 2008

FILED

Russell A. Anderson

Chief Justice

## REPORT AND PROPOSED AMENDMENTS TO THE MINNESOTA RULES OF CRIMINAL PROCEDURE

# MINNESOTA SUPREME COURT ADVISORY COMMITTEE ON RULES OF CRIMINAL PROCEDURE

CX-84-2137

#### December 26, 2007

#### Honorable Robert Carolan, Chair

Caroline Bell Beckman Hon, Michael L. Kirk William F. Klumpp Leonardo Castro John W. Lundquist James Donehower James Fleming Prof. Robin Magee Teddie Gaitas Mark Nyvold Paul Scoggin Candice Hojan Michael Junge Robert Stanich Kathryn Keena Hon, Heather L. Sweetland

Thomas M. Kelly

Hon. Paul H. Anderson Supreme Court Liaison

> Philip Marron Reporter

Kelly Lyn Mitchell Staff Attorney

#### INTRODUCTION

As directed by the Supreme Court, the Advisory Committee on Rules of Criminal Procedure has met regularly and continued to monitor and to hear and accept comments concerning the Rules of Criminal Procedure. The following report summarizes the issues considered by the committee and the recommended changes to the Criminal Rules of Procedure. The report narrative is organized by topic and the proposed amendments are organized by rule number.

#### **DISCOVERY PROVISIONS**

The committee addressed several issues relating to discovery.

- a. <u>Exculpatory Evidence in Misdemeanor Cases</u>. The committee noted that the disclosure requirements for misdemeanor cases, which are currently located in Rule 7, do not include a requirement to disclose exculpatory (*Brady*) evidence. The committee proposes amending Rule 7.04 to incorporate this requirement, and has patterned its proposal on the language currently in the disclosure requirements for felony and gross misdemeanor cases in Rule 9.
- b. <u>Expert Opinions</u>. The committee reviewed the disclosure requirements in Rule 9 for examinations and tests, and found that the language did not adequately address expert opinions that will be delivered by oral testimony in court. In those cases, the parties need to know the expert's qualifications, the type of analysis conducted, and a summary of the content of the expert's testimony. The committee proposes amending Rules 9.01, subd. 1(4), and 9.02, subd. 1(2) to address this gap.
- Witness Statements. During the course of this reporting cycle, a member requested that the committee consider amending Rule 9 to return to reciprocal discovery obligations. In Rule 9.01, the prosecutor is required to disclose the "substance" of interviews with witnesses whereas in Rule 9.02, the defense is only required to disclose "written summaries" of interviews. The difference in how these disclosure obligations are worded allows room for argument by the defense that the substance of a particular interview need not be disclosed because it has not been summarized in written form. The committee agreed the disclosure requirement in Rule 9.02 should be amended to be more similar to the disclosure requirement in Rule 9.01. However, though there was quick agreement that the expanded disclosure requirement should be applicable to statements made by witnesses the defense intends to call at trial, the committee engaged in a lengthy debate as to whether the defense should also be required to disclose the substance of statements made by prosecution witnesses to defense counsel or a defense investigator. Proponents of the requirement argued that the defense has no right of surprise, and that fundamental fairness requires disclosure. Opponents of the requirement argued that the information obtained from such interviews could implicate the 5th and 6th Amendments and raise impeachment issues (e.g., the interview could reveal that the defendant committed another crime or that the defendant has been telling different versions of the story), and that the requirement would chill the defense's investigation such that defense counsel would not interview prosecution witnesses to prevent discovery of anything harmful to the defense's case that would then have to be disclosed. The committee proposes amending Rule 9.02, subd. 1(3)(b) relating to disclosure of statements by persons whom the defense intends to call at trial, but does not propose amending the rules to require disclosure of statements made by

prosecution witnesses the defense does not intend to call at trial. The addition of the language "or persons participating in the defense" is intended to cover statements obtained by investigators.

d. <u>Omnibus Witnesses</u>. Though the rules currently require disclosure for witnesses who will be called at trial, there is no similar disclosure requirement for witnesses who will be called at the omnibus hearing for pretrial evidentiary issues. The committee proposes adding a subdivision to Rule 10.04 to incorporate this requirement.

#### FACSIMILE FILING

In 2006, the Minnesota Rules of Civil Procedure were amended to provide that when documents are filed by facsimile, the originals need not be filed, and to provide for a fax filing fee. The amendments to the Civil Rules created a conflict with the Minnesota Rules of Criminal Procedure because Rules 33.04 and 33.05, which relate to the filing of documents in criminal cases, reference the Civil Rules. Minn. R. Crim. P. 33.05 requires the original to be filed subsequent to facsimile filing of orders, warrants, and supporting documentation. Minn. R. Crim. P. 33.04(a) repeats the requirement to file warrants and supporting documentation with the court but states that the papers shall be filed as provided in the Civil Rules. Because of the liberty interests at stake in criminal cases, and in order to deter the possibility of forgery, the committee determined that in this context the rules should continue to require that the original be filed subsequent to a facsimile filing, and proposes amending Rules 33.04 and 33.05 accordingly. The committee noted, however, the rules will soon need to be amended to recognize electronic filing, but recognized in that case there will be security measures in place to address the potential for forgery.

#### DATA ELEMENTS FOR CRIMINAL COMPLAINT

The Minnesota Judicial Branch and CriMNet are currently engaged in eFiling and eCharging projects, respectively, that will allow for the electronic transmission of the criminal complaint and juvenile delinquency petition from the prosecutor to the court. To facilitate these projects, both entities needed to identify the required data elements of the criminal complaint and juvenile petition. This process was completed with regard to the criminal complaint in 2005, and pursuant to existing Minn. R. Crim. P. 2.03, the State Court Administrator's Office issued Uniform Court Practice (UCP) #171, and published a list of administrative information that must included the complaint along with the required (http://www.mncourts.gov/documents/0/Public/Justice Agency/171 V5 Changes to Criminal Complaint.doc). UCP #171 clarifies that the content rather than the form and appearance of the criminal complaint is the critical information. To conform to that result, the committee proposes amending Rules 2 and 17, and removing Criminal Forms 1, 3, and 6, and Mandatory Felony and Gross Misdemeanor Complaint and Indictment Forms A-J.

Respectfully Submitted,

ADVISORY COMMITTEE ON RULES OF CRIMINAL PROCEDURE

#### PROPOSED AMENDMENTS TO THE RULES OF CRIMINAL PROCEDURE

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. Amend Rule 2.01 as follows:

#### Rule 2.01 Contents; Before Whom Made

Subdivision 1. Contents. The complaint is a written signed statement of the essential facts constituting the offense charged. Except as provided in Rules 6.01, subd. 3, 11.06, and 15.08, the facts establishing probable cause to believe that an offense has been committed and that the defendant committed it must be set forth in writing in the complaint, and may be supplemented by supporting affidavits or by sworn testimony of witnesses taken before the issuing judge or judicial officer. The complaint must otherwise conform to the requirements of Rule 17.02.

Subd. 2. Before Whom Made. Except as provided in Rules 11.06 and 15.08, it shall the complaint must be made upon oath before a judge or judicial officer of the district court, elerk or deputy clerk of court administrator, or notary public.

Subd. 3. How Made. Except as provided in Rules 6.01, subd. 3, 11.06 and 15.08, the facts establishing probable cause to believe that an offense has been committed and that the defendant committed it shall be set forth in writing in the complaint, and may be supplemented by supporting affidavits or by sworn testimony of witnesses taken before the issuing judge or judicial officer. If sworn testimony is taken, a note so stating shallmust be made on the face of the complaint by the issuing officer. The testimony shallmust be recorded by a reporter or recording instrument and shallmust be transcribed and filed. Upon the information presented, the judge or judicial officer shall determine whether there is probable cause to believe that an offense has been committed and that the defendant committed it. When the offense alleged to have been committed is punishable by fine only, the determination of probable cause may be made by the clerk or deputy clerk of court if authorized by court order.

Any complaint, supporting affidavits, or supplementary sworn testimony made or taken upon oath before the issuing judge or judicial officer pursuant to this rule may be made or taken by telephone, facsimile transmission, video equipment, or similar device at the discretion of such judge or judicial officer.

Subd. 4. Probable Cause Determination. Upon the information presented, the judge or judicial officer must determine whether there is probable cause to believe that an offense has been committed and that the defendant committed it. When the offense alleged to have been committed is punishable by a fine only, the determination of probable cause may be made by the court administrator if authorized by court order.

#### 2. Repeal Rule 2.03:

#### Rule 2.03. Complaint Forms—Felony or Gross Misdemeanors

For all complaints charging a felony or gross misdemeanor offense the prosecuting attorney or such judge or judicial officer authorized by law to issue process pursuant to Rule 2.02 shall use an appropriate form authorized and supplied by the State Court Administrator or a word processor-produced complaint form in compliance with the supplied form and approved by Information Systems Office, State Court Administration. If for any reason such form is unavailable, failure to comply with this rule shall constitute harmless error under Rule 31.01.

### 3. Amend the second paragraph and remove the last two paragraphs of the comments to Rule 2:

By Rule 2.01, the complaint shallmust consist of a written signed statement of the essential facts constituting the offense charged. This language is taken from F.R.Crim.P. 3. (Present Minnesota statutory law (Minn. Stat. §§ 629.42, 633.03 (1971)) simply provides for the complaint of an offense to be reduced to writing, but does not specify what the complaint shall contain.)—The complaint shallmust otherwise conform to the provisions of Rules 17.02, 17.03. Minn. Stat. §§ 487.25, subd. 3; 488A.10, subd. 3, and 488A.27, subd. 3 govern the procedure for the issuance of complaints in the County Courts, Hennepin County Municipal Court and St. Paul Municipal Court, respectively, but also do not specify what the complaint shall contain.

\* \* \*

Rule 2.03 requires the use by the prosecuting attorney, judge or judicial officer of the uniform complaint forms supplied by the State Court Administrator when charging a felony or gross misdemeanor offense. All efforts shall be made to obtain and implement these forms, but in the event the form is unavailable at the time the offense is charged, failure to use the specific form is to constitute harmless error under Rule 31.01.

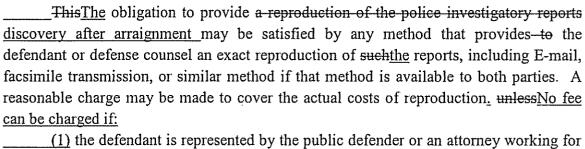
Exemplary copies of the mandatory forms are contained in the general form

#### 4. Amend Rule 7.04 as follows:

#### Rule 7.04 Completion of Discovery

Before the date set for the Omnibus Hearing, in felonies and gross misdemeanor cases, the prosecution prosecutor and defendant shallmust complete the discovery that is required by Rules 9.01 and Rule-9.02 to be made without the necessity of an order of court.

In misdemeanor cases, before arraignment or at any time before trial, without order of the court the prosecuting attorney prosecutor must, on request of the defendant or defense counsel shall, prior to arraignment or at any time before trial, permit the defendant or defense counsel to inspect the police investigatory reports without a court order. Upon request, the prosecutor must also disclose any material or information within the prosecutor's possession and control that tends to negate or reduce the guilt of the accused as to the offense charged. Upon After arraignment and upon request, the defendant or defense counsel also shallmust be entitled to receive provided a reproduction of the police investigatory reports after the arraignment. Any other discovery must be by consent of the parties or by motion to the court.



- (1) the defendant is represented by the public defender or an attorney working for a public defense corporation under Minn. Stat. § 611.216; or
- (2) is determined by the court determines the defendant to be financially unable to obtain counsel pursuant to under Rule 5.02. Any other discovery shall be by consent of the parties or by motion to the court.

#### 5. Amend Rule 9.01, subd. 1(4) as follows:

(4) Reports of Examinations and Tests and Other Expert Opinions. The prosecuting attorney shallmust disclose and permit defense counsel to inspect and reproduce any results or reports of physical or mental examinations, scientific tests, experiments or comparisons made in connections with the particular case. A person who will testify as an expert but who created no results or reports in connection with the

particular case must provide to the prosecutor for disclosure to defense counsel a written summary of the subject matter of the expert's testimony, along with any findings, opinions, or conclusions the expert will give, the basis for them, and the expert's qualifications. The prosecuting attorney shallmust allow the defendant to have reasonable tests made. If a scientific test or experiment of any matter, except those conducted under Minnesota Statutes, chapter 169, may preclude any further tests or experiments, the prosecuting attorney shallmust give the defendant reasonable notice and an opportunity to have a qualified expert observe the test or experiment.

#### 6. Amend Rule 9.02, subd. 1(2) as follows:

defendant shallmust disclose and permit the prosecuting attorney to inspect and reproduce any results or reports of physical or mental examinations, scientific tests, experiments and comparisons made in connections with the particular case within the possession or control of the defendant which the defendant intends to introduce into evidence at the trial or which were prepared by a witness whom the defendant intends to call at the trial when the results or reports relate to testimony of the witness. A person who will testify as an expert but who created no results or reports in connection with the particular case must provide to defense counsel for disclosure to the prosecutor a written summary of the subject matter of the expert's testimony, along with any findings, opinions, or conclusions the expert will give, the basis for them, and the expert's qualifications.

#### 7. Amend Rule 9.02, subd. 1(3)(b) as follows:

Statements of Defense and Prosecution Witnesses. The defendant shallmust permit the prosecuting attorney to inspect and reproduce any relevant written or recorded statements of the persons whom the defendant intends to call as witnesses at the trial and also statements of prosecution witnesses obtained by the defendant, defense counsel, or persons participating in the defense, and which are within the possession or control of the defendant and shallmust permit the prosecuting attorney to inspect and reproduce any written summaries within the defendant's knowledge of the substance of any oral statements made by such witnesses to defense counsel or persons participating in the defense or obtained by the defendant at the direction of defense counsel. The defendant must provide the prosecuting attorney with the substance of any oral statements by persons whom the defendant intends to call as witnesses at the trial that relate to the case made to defense counsel or persons participating in the defense. This provision does not require disclosure of statements made by the defendant to defense counsel or agents of defense counsel that are protected by the attorney-client privilege or by state or federal constitutional guarantees.

#### 8. Amend paragraph 32 of the comments to Rule 9 as follows:

Rule 9.02, subd. 1(3)(b) for disclosure of the statements of defense trial witnesses also follows the parallel prosecution disclosure Rule 9.01, subd. 1(1)(a). Rule 9.02, subd. 1(3)(b), which requires the defense to disclose statements of defense and prosecution witnesses, does not require the disclosure of a defendant's statements made to defense counsel or agents of defense counsel where such information is protected by state and federal constitutional guarantees or the attorney-client privilege. See Minn. Stat. § 595.02, subd. 1(b). The provision in this rule that defense counsel and the defendant disclose the substance of any oral statements obtained from persons whom the defendant intends to call at the trial is not intended to support a claim that if counsel or the defendant interviewed the witness without a third party present that the lawyer can be disqualified in order to testify to any discrepancy between the oral statement disclosed and trial testimony, or that if the defendant declines to testify to any such discrepancy the witness's testimony should be stricken. Other solutions should be sought, such as stipulating to what the witness said that is in dispute.

#### 9. Insert a new subdivision 3 in Rule 10.04 as follows:

Subd. 3. Discovery. A party intending to call witnesses at a motion hearing must disclose them at least three days before the hearing and must comply with Rule 9 as if the witnesses were to be called at the trial.

#### 10. Amend Rule 17.02 as follows:

#### Rule 17.02 Nature and Contents

- **Subd. 1. Complaint.** A complaint shallmust be substantially in the form prescribed by Rule 2.
- **Subd. 2. Indictment.** An indictment shallmust contain a written statement of the essential facts constituting the offense charged. It shallmust be signed by the foreperson of the grand jury.
- Subd. 3. Indictment and Complaint. The indictment or complaint shallmust state for each count the citation of the statute, rule, regulation or other provision of law which the defendant is alleged to have violated. Error in the citation or its omission shallmust not be ground for dismissal or for reversal of a conviction if the error or omission did not prejudice the defendant. Each count maycan charge only one offense. Allegations made in one count may be incorporated by reference in another count. An indictment or complaint may, but need not, contain counts for the different degrees of the

same offense, or for any of such degrees, or counts for lesser or other included offenses, or for any of such offenses. The same indictment or complaint may contain counts for murder, and also for manslaughter, or different degrees of manslaughter. When the offense may have been committed by the use of different means, the indictment or complaint may allege in one count the means of committing the offense in the alternative, or that the means by which the defendant committed the offense are unknown.

Subd. 4. Administrative Information. The indictment or complaint must also contain other administrative information as authorized and published by the State Court Administrator.

**Subd. 45. Bill of Particulars.** The bill of particulars is abolished.

Misdemeanors. For all indictments and complaints charging a felony or gross misdemeanor offense the prosecuting attorney or such judge or judicial officer authorized by law to issue process pursuant to Rule 2.02 shall use an appropriate form authorized and supplied by the State Court Administrator or a word processor produced complaint or indictment form in compliance with the supplied form and approved by Information Systems Office, State Court Administration. If for any reason such form is unavailable, failure to comply with this rule shall constitute harmless error under Rule 31.01.

#### 11. Amend the comments to Rule 17 by adding a new fifth paragraph as follows:

The required legal content of the complaint and indictment is set forth in Minn. R. Crim. P. 2.01, 2.02, and 17.02, and serves the function of informing the court of the offense(s) charged and the facts establishing probable cause. In addition to this legal information, the court requires administrative information to identify the defendant and the case, as well as additional factual information about the defendant or the status of the defendant's case to fulfill the court's statutory obligations to provide such information to other agencies. There is no requirement that the complaint or indictment be submitted to the court in any particular form or format. Rule 17.02, subd. 4 requires the State Court Administrator to identify and publish the administrative content of the complaint or indictment required by the courts. A sample complaint/indictment and a listing of the administrative content approved by the State Court Administrator will be published on the Minnesota Judicial Branch website. This flexibility will allow for e-filing of the complaint or indictment.

#### 12. Amend Rule 33.04(a) as follows:

#### Rule 33.04 Filing

(a) Except as provided in Rule 9.03, subd. 9, search Search warrants and search warrant applications, affidavits and inventories, — including statements of unsuccessful execution, — and papers required to be served shallmust be filed with the court administrator. Papers shallmust be filed as provided in civil actions, but the originals of papers filed by facsimile transmission must be filed as provided in Rule 33.05.

#### 13. Amend Rule 33.05 as follows:

#### Rule 33.05 Facsimile Transmission

Faesimile transmission may be used for the sending of all complaints Complaints, orders, summons, warrants, and other documents including orders and warrants authorizing the interception of communications pursuant to Minn. Stat. Ch. Minnesota Statutes, Chapter 626A, and arrest and search warrants. All procedural and may be sent via facsimile transmission. Procedural and statutory requirements for the issuance of a warrant or order must be met, including the making of a record of the proceedings, shall be met. For all procedural and statutory purposes, a facsimile order or warrant issued by the court shall have has the same force and effect as the original for procedural and statutory purposes. The original order or warrant, along with any other documents, including and affidavits, shall must be delivered to the court administrator of the county in which the request or application therefor was made. Any The original of any facsimile transmissions received by the court shallmust be promptly filed as required by Rule 33.04 for the original of the document transmitted.

- 14. Remove forms 1-3 and 6 in the "Criminal Forms" section following the Rules of Criminal Procedure.
- 15. Remove forms A-J (all forms) in the "Mandatory Felony and Gross Misdemeanor Complaint and Indictment Forms" section following the Rules of Criminal Procedure.



### STATE OF MINNESOTA

OFFICE OF THE ATTORNEY GENERAL

MAR 1 4 2008

OFFICE OF APPELLATE COURTS

SUITE 1800 445 MINNESOTA STREEI ST. PAUL, MN 55101-2134 TELEPHONE: (651) 297-2040

March 13, 2008

Justices of the Minnesota Supreme Court 305 Judicial Center 25 Rev. Dr. Martin Luther King, Jr., Blvd. St. Paul, Minnesota 55155

Re: Proposal to Amend the Minnesota Rules of Criminal Procedure

Honorable Justices of the Minnesota Supreme Court:

The Supreme Court Advisory Committee on the Rules of Criminal Procedure has filed a proposal recommending certain amendments to the criminal rules. I strongly urge this Court to adopt the recommended amendments to Rule 9.01 and Rule 9.02 pertaining to discovery as well as the amendments proposed to Rules 7.04 and 10.04.

The proposed amendments to Rule 9.02 will help to restore criminal discovery in Minnesota to the reciprocal process which existed at the time of the original adoption of the Minnesota Rules of Criminal Procedure. In both *State v. Lindsey*, 284 N.W.2d 368, 372 (Minn. 1979) and in *State v. Schwantes*, 314 N.W.2d 243, 245 (Minn. 1982) this Court quoted with approval the following language from *Williams v. Florida*, 399 U.S. 78, 82, 90 S. Ct. 1893, 1896 (1970):

The adversary system of trial is hardly an end in itself; it is not yet a poker game in which players enjoy an absolute right always to conceal their cards until played. We find ample room in that system, at least as far as "due process" is concerned, for [the rule] which is designed to enhance the search for truth in the criminal trial by ensuring both the defendant and the state ample opportunity to investigate certain facts crucial to the determination of guilt or innocence.

In too many situations prosecutors in this Office have faced criminal defense attorneys who maintain that the criminal rules as presently written permit the defense to deliberately avoid taking notes during interviews of disclosed defense trial witnesses in order to avoid disclosing the substance of the proposed defense witness's testimony. While this has certainly violated the spirit of the rules, some district court judges have ruled that if no written report or notes exist, there is no obligation to disclose on the part of the defense. The proposed amendments to Rule 9.02, subd. 1(3)(b) will take a much needed step to rectify this situation and help to restore needed balance to the discovery obligations. The proposed amendments will clearly help the search for the truth.

The proposed amendments to Rule 9.01, subd. 1(4) and 9.02, subd. 1(2) will create a reciprocal obligation on the part of both the defense and the prosecution to disclose to the opposing party a written summary of the subject matter of a proposed expert witness's testimony along with any findings, opinions, or conclusions the expert will give along with the basis for them and the expert's qualifications. This will avoid surprise created by either party when a party's expert witness does not prepare a report. Again, these amendments will enhance the search for truth at the trial.

The proposed amendment to Rule 10.04, subd. 3 creates a new obligation on the part of both parties to disclose any witness intended to be called at the omnibus hearing. Taken in conjunction with the defense obligation to file written motions setting forth the basis for a motion in *State v. Needham*, 488 N.W.2d 294 (Minn. 1992), this proposed amendment will help to eliminate unnecessary continuances of the omnibus hearing due to the opposing party being surprised by the production of a witness at the hearing.

Although this office is rarely involved in the prosecution of misdemeanor level offenses, I nevertheless encourage the court to adopt the proposed amendment to Rule 7.04 which codifies the existing ethical obligation that prosecutors have to disclose exculpatory evidence. As the rules are presently written this obligation is not expressly set forth in the rule. By adopting the proposed amendment this Court will eliminate any confusion as to the obligation of a misdemeanor prosecutor to disclose so-called *Brady* material.

Sincerely,

DAVID S. VOIGT Deputy Attorney General

(651) 297-1074 (Voice) (651) 297-1235 (Fax)

AG: #1969192-v1