# CHAPTER 10 EVIDENCE/OBJECTIONS/MISTRIAL

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### I. RULES OF EVIDENCE CHART

SUBJECT	RULE	COMMENTS
AUTHENTICATION		
Rule on Admissibility	901(a)	Requires a showing that matter in question is what its proponent claims.
Proper Means of Authentication	901(b)	Examples of proper means of authentication include:  (1) Testimony of witness with knowledge,  (2) Non-expert opinion on handwriting,  (3) Comparison by trier or expert witness to authenticated specimens,  (4) Distinctive characteristics and the like,  (5) Voice identification,  (6) Telephone conversations, by proof of call being made,  (7) Public records or reports,  (8) Ancient documents or data compilation, in existence for 30 years or more and found in likely place,  (9) Evidence describing process or system to show accurate result,  (10) Methods provided by statute or rule.
Self-Authenticating Documents	902	Extrinsic evidence of authenticity not required for admissibility. Coates v. State, 650 N.E.2d 58 (Ind. Ct. App. 1995). Self-authentication of document relieves proponent from submitting foundational testimony as to authenticity, but it does not guarantee admissibility. Dumes v. State, 718 N.E.2d 1171 (Ind. Ct. App. 1999).  (1) Domestic public documents under seal, (2) Certified copies of unsealed domestic public documents, (3) Foreign public documents signed and certified to level of U.S. consul, (4) Certified copies of public records, (5) Official publications issued by a public authority, (6) Newspapers and periodicals (7) Trade inscriptions (tags, labels), (8) Documents with acknowledgment certificates, (9) Commercial Paper and related documents, (10) Matters declared presumptively authentic by United States or Indiana law, (11) Certified domestic or foreign records of regularly conducted activity (business records).
Subscribing Witness's Testimony Unnecessary	903	Subscribing witness's testimony unnecessary to authenticate writing unless required by jurisdiction whose laws govern the validity of writings.
HEARSAY		
Admissibility	802	Hearsay is inadmissible absent an "exception" or by law. <u>Arndt v. State</u> , 642 N.E.2d 224 (Ind. 1994).
Attacking and Supporting the Declarant's Credibility	806	Credibility of hearsay declarant may be attacked, then supported, by evidence that would be admissible for those purposes if declarant had testified.
Defined	801(c)	Hearsay "is a statement, other than one made by a declarant while testifying at the trial or hearing, offered in evidence to prove the truth of the matter asserted." Bonner v. State, 650 N.E.2d 1139 (Ind. 1995) (Out-of-court statements by informants that defendant was drug trafficking lacked

SUBJECT	RULE	COMMENTS
		relevance except as to matter asserted therein and were thus inadmissible hearsay).
NOT HEARSAY		
Prior Statements by Witness	801(d)	Prior statement of witness, then under oath and now cross-examined, is not hearsay. Owens v. State, 659 N.E.2d 466 (Ind. 1995) (Police officer's testimony that witness's two pre-trial statements were consistent was inadmissible under evidence rule concerning prior consistent statements; State should have offered statements themselves into evidence; officer's bare conclusion that statements were consistent irrelevant in attempt by state to rebut charge that witness changed his testimony).
Statement by Party-Opponent	801(d)	Admissions of a party, including his co-conspirators or agents (within scope of employment), and admissions adopted by a party are not hearsay.
HEARSAY EXCEPTIONS: Availability of Declarant Immaterial	803	<ol> <li>Present sense impression (e.g., "Look, it is raining").</li> <li>Excited utterance, by anyone, "relating to" event and before excitement fades. Arndt v. State, 642 N.E.2d 224 (Ind. 1994) (out-of-court statements by 3-year-old victim, made while in pain, arguably admissible under excited utterance exception).</li> <li>Then existing mental state or physical condition. Arndt v. State, 642 N.E.2d 224 (Ind. 1994).</li> <li>Statements made by attack victim to doctor for purpose of diagnosis and treating her injuries admissible; however, all non-diagnostic statements are inadmissible. VanPatten v. State, 986 N.E.2d 255 (Ind. 2013).</li> <li>If witness record past recollected facts once facts known, recorded them when fresh in mind, and presently has exhausted recollection, memorandum may be read into record but may not become exhibit unless offered by adverse party.</li> <li>Business records: Testimony by custodian or other qualified witness, showing a regular practice to keep such records and that the exhibit was made in ordinary course of business and relates thereto. Carmichael v. Kroger Co., 654 N.E.2d 1188 (Ind. Ct. App. 1995) (affidavit from custodian of records and report from doctor about physical exam of plaintiff met requirements of hearsay exception for records of regularly conducted business activity).</li> <li>Absence of entry in business records or other records regularly kept.</li> <li>Public records or reports maintained by public office or agency: regular conducted and recorded activities, matters observed pursuant to duty and duty to report; or factual findings from duty to investigate, except: (a) police reports; (b) investigative reports for government where government is party; (c) factual findings offered by government in criminal cases; and (d) factual findings resulting from special investigation of complaint, case, or incident. Coates v. State, 650 N.E.2d 58 (Ind. Ct. App. 1995) (Properly certified records of BMV admissible under public records hearsay</li></ol>

SUBJECT	RULE	COMMENTS
		<ul> <li>(18) Learned Treatises relied on in direct or called to an expert's attention on cross. If shown by testimony or judicial notice to be reliable authority, may be read into record but may not become an exhibit.</li> <li>(19) Reputation re: personal or family history.</li> <li>(20) Reputation re: boundaries or historical matters.</li> <li>(21) Character reputation.</li> <li>(22) Judgments of convictions. Crime punishable by death or imprisonment more than one year (felonies).</li> <li>(23) Judgments involving personal, family, or general history, or a boundary.</li> </ul>
HEARSAY EXCEPTIONS:	804(a)	Declarant must be unavailable (e.g., exempted by privilege, refuses despite order, shows lack of memory, cannot attend due to illness or death, or is absent despite attempt to subpoena).
Declarant Unavailable	804(b)	<ol> <li>Former Testimony where predecessor in interest had opportunity and motive to develop testimony via direct, cross, or redirect. Kellems v. State, 651 N.E.2d 326 (Ind. Ct. App. 1995) (depositions of defendant's alibi witnesses should have been admitted where witnesses were unavailable due to invocation of 5th Amendment and prosecutor had previous opportunity to examine witnesses concerning testimony at their depositions).</li> <li>Dying declarations, if believed death imminent, concerning the cause or circumstances of what he believed to be impending death.</li> <li>Statements against interests pecuniary, penal, or proprietary.</li> <li>Statements re: personal or family history (e.g., birth, adoption)</li> <li>Forfeiture by wrongdoing.</li> </ol>
Hearsay within Hearsay	805	Barred unless each statement is covered by an exception. <u>Davis v. State</u> , 635 N.E.2d 1117 (Ind. Ct. App. 1994) (when multiple levels of hearsay offered, each level must qualify under an exception to hearsay rule)
JUDICIAL NOTICE		
Facts	201(a)	Court may take judicial notice of a fact. <u>Griffin v. Acker</u> , 659 N.E.2d 659 (Ind. Ct. App. 1995). Burden is on opposing party to show inaccuracy. <u>Horton v. State</u> , 51 N.E.3d 1154 (Ind. 2016) (trial or appellate court, by request or <i>sua sponte</i> , can take judicial notice of case files not entered into record).
Instructing Jury	201(f)	In civil case, court must instruct jury to accept as conclusive judicially noticed fact. Griffin v. Acker, 659 N.E.2d 659 (Ind. Ct. App. 1995). In criminal case, court must instruct jury that it may, but is not required to, accept as conclusive any fact judicially noticed. Bonds v. State, 729 N.E.2d 1002 (Ind. 2000) (error to fail to instruct jury on effect of court's taking judicial notice of administrative regulations).
Laws	201(b)	Court may take judicial notice of decisional, constitutional, public statutory law, rules of court, public regulations of gov't agencies, codified ordinances of municipalities, records of a court in this state, and law of other gov't subdivision of U.S. <u>Christie v. State</u> , 939 N.E.2d 691 (Ind. Ct. App. 2011).
Mandatory	201(c)	Court shall take judicial notice if requested by a party and supplied with necessary information. <u>Griffin v. Acker</u> , 659 N.E.2d 659 (Ind. Ct. App. 1995) (error for court to refuse to take judicial notice of interest tables).
Opportunity to be Heard	201(e)	Opponent is entitled to be heard upon timely request, on "the propriety of taking judicial notice and the nature of the fact to be noticed." <u>In re Paternity of P.R.</u> , 940 N.E.2d 346, 349 (Ind. Ct. App. 2010).
Time of Taking Notice	201(d)	Any stage of the proceeding.
OPINION TESTIMONY		

SUBJECT	RULE	COMMENTS
EXPERT OPINION	702	Allowed if it assists trier of fact. Court must be satisfied scientific principles reliable. Matter of Adoption of L.C., 650 N.E.2d 726 (Ind. Ct. App. 1995) (determination of whether witness qualifies as expert in sound discretion of trial court; advanced degrees, special recognition, or accomplishments not necessary; error to admit psychotherapist's testimony about child sexual abuse syndrome following defense objection, when no foundational showing of reliability made). Fleener v. State, 656 N.E.2d 1140 (Ind. 1995).
Basis of Opinion	703	Expert opinion may be based on known, admissible facts or any fact typically relied on in the field. Matter of Adoption of L.C., 650 N.E.2d 726 (Ind. Ct. App. 1995).
Disclosure of Facts or Data	705	Expert may be required to disclose underlying facts or data on cross.
Lay Opinion	701	Admissible if rationally based on perceptions and helpful to trier of fact. Hawkins v. State, 626 N.E.2d 436 (Ind. 1993) (officer's testimony provides sufficient factual basis on which she could reasonably form an opinion). See also Castillo v. State, 734 N.E.2d 299 (Ind. Ct. App. 2000).
Ultimate Issue	704	Opinion on ultimate issue is admissible if otherwise proper. Witnesses may not testify to opinions of guilt, innocence, or intent in criminal case; truth or falsity of allegations; or legal conclusions. Smith v. State, 721 N.E.2d 213 (Ind. 1999) (Rule 704(b) applies to statements offered at trial that were made at another time or place). Osmulski v. Becze, 638 N.E.2d 828 (Ind. Ct. App. 1994) (opinion testimony by witness as to ultimate fact in issue not objectionable merely because it invades province of trier of fact). Weaver v. State, 643 N.E.2d 342 (Ind. 1994) (court properly excluded girlfriend/victim's testimony concerning what she believed caused defendant to beat her and whether he intended to kill her).
PAST SEXUAL CONDUCT		
Rape Shield Rule	412	Rule allows three exceptions to inadmissibility of past sexual behavior, and State v. Walton, 715 N.E.2d 824 (Ind. 1999) adds a fourth: witness has made past false sexual misconduct allegations against others.
Procedure	412(c)	File written notice 10 days before trial specifically describing evidence and purpose for evidence (must serve parties and notify alleged victim). Before admitting evidence under this rule, court must conduct <i>in camera</i> hearing and give victim and parties a right to attend and be heard. Motion, related materials, and record of hearing is confidential and excluded from public access in accordance with Administrative Rule 9.
PLEA DISCUSSIONS	410	Withdrawn offers of pleas, plea discussions not admissible. <u>Bell v. State</u> , 622 N.E.2d 450 (Ind. 1993) (confession made during plea negotiations inadmissible during subsequent jury trial). <u>Cf. Gilliam v. State</u> , 650 N.E.2d 45 (Ind. Ct. App. 1995) (statements made to police detective were not part of plea negotiations and were admissible.).
PRIVILEGES	501	Privileges are decided by state law
REFRESHING MEMORY	612	Writings or objects used to refresh witness's memory during or before testimony must be produced to adversary.
PRESUMPTIONS	301	In civil proceedings, presumptions apply only to the burden of going forward and do not shift the burden of proof.
RELEVANCY		
Defined	401	Relevant evidence: makes a fact of consequence to the case more or less probable. McKinstry v. State, 660 N.E.2d 1052 (Ind. Ct. App. 1996) (false alibi statement given to investigators relevant to show consciousness of guilt). See also Robinson v. State, 720 N.E.2d 1269 (Ind. Ct. App. 1999).

SUBJECT	RULE	COMMENTS
Admissibility	402	Irrelevant evidence is inadmissible. Williams v. State, 634 N.E.2d 849 (Ind. Ct. App. 1994) (document "not material to the issues in both time and content" properly excluded).
Balancing Test for Exclusion: Prejudice v. Probative value	403	Relevant evidence may be excluded if outweighed by prejudice. <u>Carson v. State</u> , 659 N.E.2d 216 (Ind. Ct. App. 1995) (evidence of drive-by shooting had little probative value and created potential for unfair prejudice). <u>Fisher v. State</u> , 641 N.E.2d 105 (Ind. Ct. App. 1994) (evidence of acts occurring 23 years previously too remote in time to be relevant and admission was error). <u>Barnes v. State</u> , 634 N.E.2d 46 (Ind. 1994) (not error to admit gruesome photos of victim at crime scene and autopsy when photos depicted witnesses' testimony).
CHARACTER EVIDENCE		
Generally, not admissible	404(a)	Character is not admissible to prove an act unless first offered by an accused via a witness. Forrest v. State, 655 N.E.2d 584 (Ind. Ct. App. 1995) (cross examination of defendant's character witnesses regarding defendant's prior arrest for disorderly conduct proper where witnesses had testified as to defendant's peaceful nature).
Other Crimes, Wrongs, or Acts	404(b)	Evidence of other crime, wrongs, or acts not admissible to prove character of a person to show action in conformity therewith. It may be admissible to show motive, opportunity, intent, preparation, plan, knowledge, identity, or absence of mistake or accident. Kimble v. State, 659 N.E.2d 182 (Ind. Ct. App. 1995) (evidence of defendant's participation in racially biased group admissible to show motive for robbery/murder of black victim). Levi v. State, 627 N.E.2d 1345 (Ind. Ct. App. 1994) (error to admit evidence of defendant's prior burglary conviction to show intent to commit current burglary).
METHOD OF PROVING	405(a)	Character is proved by reputation or opinion.
Character Witness, On Cross	405(a)	On cross-examination, inquiry is allowable into specific instances of conduct. <u>Forrest v. State</u> , 655 N.E.2d 584 (Ind. Ct. App. 1995) (witnesses who testified as to defendant's reputation as nonviolent, peaceful person properly cross-examined regarding his prior arrests for disorderly conduct and resisting law enforcement).
Specific Instances of Conduct	405(b)	Where character of person is essential element of charge, claim, or defense, specific instances of conduct allowed.
Compromise, Offers to	408	All statements in settlement discussions are inadmissible (except to explain delay or show bias).
Habit/Routine Practices	406	Relevant to prove conduct on particular occasion in conformity with habit, whether or not corroborated.
Liability Insurance	411	Insurance is inadmissible on liability (allowed re: ownership, control, agency, or bias).
MEDICAL EXPENSES		
Charges	411	Statements of charges for medical expenses occasioned by injury are admissible and constitute prima facie evidence that charges are reasonable.
Payment of	409	Payment of medical expenses is not admissible to prove liability.
Subsequent Remedial Measures	407	Subsequent measures not admissible to prove culpable conduct or liability in connection with the event (allowed re: ownership, control, feasibility).
RULINGS ON EVIDENCE		
Effect of Erroneous Ruling	103(a)	Error may not be predicated upon a ruling that admits or excludes evidence unless a substantial right of the party is affected, and an objection or offer-of-proof is made (unless it is clear error). <u>Coates v. State</u> , 650 N.E.2d 58 (Ind. Ct. App. 1995) (objection must be timely and specific).

SUBJECT	RULE	COMMENTS
Fundamental Error	103 (e)	Nothing precludes taking notice of fundamental errors affecting substantial rights of defendant although they were not brought to attention of court.
Limited Admissibility	105	Evidence may be received for a limited purpose; jury should be admonished.
Remainder of Writing or Statement	106	If fairness requires, upon offer of a writing or recording, the offering party may be required to offer at that time related parts thereof or related exhibits.
PRELIMINARY QUESTIONS		
Judge Decides	104(a)	Judge decides qualification of person to be a witness, existence of privilege or admissibility of evidence.
Outside Hearing of Jury	104(c)	Hearings on admissibility of confessions, other preliminary matters in the interest of justice, or when an accused is a witness and so requests are all conducted out of the presence of jury.
Relevancy Conditioned on Fact	104(b)	When relevancy of evidence depends upon fulfillment of a condition of fact, court shall admit it upon, or subject to, the introduction of evidence sufficient to support fulfillment of the condition.
Testimony of Accused	104(d)	Accused does not become subject to cross as to other issues in case by testifying on preliminary matter.
Weight and Credibility	104(e)	Party's right to introduce relevant evidence to weight or credibility is not limited by rule 104.
SCOPE OF EXAMINATION	611(a)	Court controls examination to find truth, avoid delay, and protect witness. <u>Isaacs v. State</u> , 659 N.E.2d 1036 (Ind. 1995) (within court's discretion to refuse to allow defendant to recall pathologist where testimony not vital to case and testimony could have been presented through another witness). <u>See also Haak v. State</u> , 695 N.E.2d 944 (Ind. 1998).
Scope of Cross-examination	611(b)	Scope of cross is limited to direct and matters affecting credibility unless Court permits more. Whitehair v. State, 654 N.E.2d 296 (Ind. Ct. App. 1995) (defendant opened door to cross-examination of witness about defendant's less than honorable military discharge by repeated references to defendant's military service during direct exam).
Leading Questions	611(c)	Leading is allowed on direct, if necessary, to develop testimony, on cross, and with hostile or adverse witnesses.
WITNESSES		
Bias	616	Evidence of bias, prejudice, interest of witness is admissible.
Call and interrogate by judge and jury	614	Court may call and question witnesses; objections may be made out of jury's presence. Jury may submit written questions.
Competency	601	Witness is competent unless Rules disqualify. <u>Thornton v. State</u> , 653 N.E.2d 493 (Ind. Ct. App. 1995).
Interpreters	604	Interpreters must be qualified as expert and work under oath.
Lack of Personal Knowledge	602	Disqualified if witness does not have personal knowledge (perception, recall, and ability to communicate).
Judges, as Witness	605	Judge may not serve as witness.
Jurors, as Witness	606	Jurors may not testify; verdicts impeachable only regarding extraneous influences.
IMPEACHMENT		
Prior Convictions	609	Unpardoned convictions of murder, treason, rape, robbery, kidnapping, burglary, arson, criminal confinement or perjury; or crime involving dishonesty or false statement, if less than 10 years old or older if, upon notice and hearing, court finds it fair to permit their use. <u>Currin v. State</u> ,

SUBJECT	RULE	COMMENTS
		638 N.E.2d 1319 (Ind. Ct. App. 1994) (conviction that has no bearing on witness's propensity to tell truth not admissible for impeachment purposes). Pierce v. State, 640 N.E.2d 730 (Ind. Ct. App. 1994) (prior bad acts may be used for impeachment only if "infamous" crime or crime probative of credibility - conviction for dealing in cocaine may not be used to impeach).
Prior Juvenile Adjudications	609(d)	Generally inadmissible, but adjudications of witnesses other than accused if offense would be admissible to attack credibility of an adult and court finds it fair to permit use. <u>Lahr v. State</u> , 640 N.E.2d 756 (Ind. Ct. App. 1994) (evidence regarding juvenile delinquency proceedings cannot later be used for impeachment purposes).
Prior Statements	613	<ul> <li>(a) Prior statements need not be first disclosed to witness in impeachment; and</li> <li>(b) Extrinsic proof of prior statements is permitted only if witness is first given opportunity to explain or deny. Griffith v. State, 31 N.E.3d 965 (Ind. 2015) (despite preferred method of confronting a witness with his inconsistent statement prior to its introduction into evidence, trial courts are given broad discretion in excluding or admitting extrinsic evidence under Rule 613(b)).</li> </ul>
Religious Beliefs	610	Religious beliefs may not be used to impeach.
Specific Instances of Conduct to Prove Character	608	Credibility is attacked by opinion or reputation for truthfulness, not specific acts other than crimes (Rule 609), unless on cross-examination court permits in its discretion. Manuel v. State, 971 N.E.2d 1262 (Ind. Ct. App. 2012). Dynes v. Dynes, 637 N.E.2d 1321 (Ind. Ct. App. 1994) (reversible error to exclude mother's reputation for dishonesty in workplace; evidence central to her credibility as a witness). Palmer v. State, 654 N.E.2d 844 (Ind. Ct. App. 1995) (evidence of police officer's drug use not admissible impeachment evidence; does not constitute opinion of officer's reputation; may not inquire into specific acts of misconduct except as provided for in Rule 609).
Who Can Impeach?	607	Any witness's credibility may be impeached by any party ( <u>e.g.</u> , bias, prior statements).
Interrogations by Court	614 (a-c)	Court may call and question witnesses; objections must be made out of jury's presence.
Interrogations by Jury	614(d)	Jurors may submit questions in writing to judge who has discretion to ask witness those questions; parties can object outside presence of jury.
Oath or Affirmation	603	Witness must make and understand oath or affirmation to tell truth.
Separation of Witnesses	615	Court shall order witnesses except party, agent of party, or person essential to party excluded at request of party or on own motion. Smiley v. State, 649 N.E.2d 697 (Ind. Ct. App. 1995) (error to disqualify witness from testifying for violating witness separation order where no evidence defendant connived to have witness violate order). Vinson v. State, 735 N.E.2d 828 (Ind. Ct. App. 2000) (whether witness fits exemption under rule within trial court's discretion).
WRITINGS		
DEFINITIONS		
Original	1001(d)	Include counterparts and prints from negatives; "duplicates" are identical copies.
Photographs	1001(c)	Include photographic images or equivalent stored in any form.
Writings and Recordings	1001(1)	Consists of letters, words, sounds, or numbers, or their equivalent, set down in any form.

SUBJECT	RULE	COMMENTS
Duplicates, Admissibility of	1003	Duplicates are admissible unless (1) genuine question of authenticity exists, or (2) use of duplicate would be unfair.
Functions of Court and Jury	1008	Trier of fact decides (a) if original ever existed, (b) whether an exhibit is an original, and (3) whether evidence of its contents reflects the contents.
Other Evidence of Contents, Admissibility of	1004	Evidence of the contents of an original is permitted if (1) original is lost without bad faith, (2) original is unobtainable, (3) opponent will not produce original, or (4) writing, recording, or photograph relates only to collateral matters.
Public Records	1005	Public records must be proved by a copy unless unobtainable despite due diligence.
Requirement of Original	1002	Original writing, recording, or photograph must be used to prove its contents, except as provided by statute.
Summaries	1006	Summaries of voluminous records are permitted for convenience; originals must be reasonably available for review.
Testimony or Written Admissions	1007	Contents of originals may be proved by a party's testimony or written admissions.

#### II. COMMON TRIAL OBJECTIONS

#### 1. VOIR DIRE

Asking Jurors to Predetermine Weight and Credibility

Being Repetitive or Argumentative

Commenting on Defendant's Right not to Testify

Commenting on Role of Defense Counsel

Conditioning Jurors to Be Receptive to State's Case

Deliberately Exposing to Substantive Issues

Fear of Retribution Created

Informing Jury of Legal Theories or Principles

Misstating Law

Making Prejudicial or Inflammatory Comments

Suggesting Personal Knowledge of Guilt

Trying Case Before Evidence Presented

#### 2. OPENING STATEMENT

Addressing Jurors by Name

Anticipating Defenses of Adversary

Arguing

Attacking Character of Accused

Attacking Character of Defense Counsel

Commenting on Defendant's Failure to Testify

Discussing Prosecutor's Personal Dealings With

Witness

Introducing Unprovable Facts

Instructing Jurors on Law

Making Inflammatory Remarks/Pleas to Passion

Mentioning Inadmissible Matter

Mentioning Polygraph

Mentioning Prior Crimes, Wrongs, or Acts

Misstating Facts

Presuming Defendant's Guilt

Putting Jurors in Place of Victim

Stating Personal Belief or Opinion

#### 3. COMPETENCY OF WITNESSES

Deadman's Statute Bars Testimony

Inability to Observe, Remember, and

Communicate

Inability to Understand Duty to tell the Truth

Judge Called as Witness

Juror Called as Witness

Personal Knowledge Lacking

#### 4. FORM OF QUESTION

Ambiguous

Argumentative

Asked and Answered

Assumes a Fact Not in Evidence

Compound

Confusing or Unintelligible

Hypothetical Question Misused

Leading

Misquotes a Witness or Exhibit

Narrative Answer Requested

Overly Broad or General

#### 5. TESTIMONY AND EXHIBITS

**Bolstering Credibility Before Impeachment** 

**Authentication Lacking** 

Best Evidence Rule Violated

Collateral Matter

Conclusion Improperly Elicited

Corpus Delicti Not Proven

Cumulative

Deadman's Statute Violated

Excludable in Court's Discretion

Fact Barred by Pleading or Admission

Foundation Defective

Hearsay

Illegally Obtained Evidence

**Immaterial** 

Impeachment Improperly Handled

Irrelevant

Narrative Answer

Non-Responsive Answer

Objectionable on Other Grounds

Opinion Offered Without Basis

Parol Evidence Rule Violated

Prejudicial or Inflammatory

Pretrial Order Precludes Testimony

Privileged or Protected Information

Reading from Document Not in Evidence Rehabilitation Improperly Handled

Renabilitation improperty Handled

Scope of Proper Examination Exceeded

Self-Serving (Frequently Hearsay)

Plea Negotiations Disclosed

Speaks for Itself (Exhibit)

Speculation or Agreement Obviates Answer

Subsequent Repairs Inadmissible

Testimony by Counsel

Uncharged Misconduct Misused

Undefined Term Employed

Undisclosed Document Barred

Wealth or Poverty Injected

#### 6. CONDUCT OF A WITNESS

Argumentative Answer

Communication with a Juror

**Disparaging Comments** 

Display of Unadmitted Exhibit to Jury

Fee Contingent on Answers Inaudible Answers Interruption of Questions Looking to Counsel for Answer Cue Narrative Answers Notes Being Used Without Permission Prejudicial or Inflammatory Statements Protracted Answers Refusal to Answer Precise Question Unavailability for Cross-Examination Unresponsive Answers

#### 7. CONDUCT OF PROSECUTOR

Bickering

Blocking View of Counsel, Judge, or Jury

Candor or Fairness Lacking

Characterizing Witnesses as Liars

Coaching Comments in Question or Objection

Communicating with a Represented Party

Communicating with a Jury

Currying Jury Favor

Custom or Courtesy of Practice Ignored

Cutting Off Witnesses' Answers

Deceit or Collusion

Deliberately Eliciting Inadmissible and Prejudicial Evidence

**Dilatory Tactics** 

Displaying Unadmitted Exhibit to Jury

Disparaging Counsel, Party, or Witness

Distracting Noise or Movement

Ex Parte Communications with Court

Facts not Proved or Provable Stated

Failing to Follow Court Instructions

Forcing a Claim of Privilege

Gesturing or Signaling to Witness or Jury

Habitual or Intentional Violation of Rules

Hostility to Court, Counsel, Party, or Witness

Insurance Injected

Interrupting Questions of Adversary

**Interviewing Potential Jurors** 

Irrelevant Matter Injected

Location of Counsel while Questioning

Misquoting Testimony or Exhibit

Objecting for Improper Purposes

Orderly Trial Subverted

Personal Belief in Merit or Credibility

Conveved

Personal Knowledge Asserted

Personal Influence Exerted on Judge or Juror

Prejudicial or Inflammatory Matter Raised

Pretrial Order Violated

Protracted Examination

**Publicity Violations** 

Religious Beliefs Injected

Repeating Objectionable Questions

Respect for Court Lacking

Stipulation Violated

Subornation of Perjury

Suppressing Evidence

Testimony by Counsel

**Undignified Conduct** 

Using False Testimony

Withdrawn Guilty Plea Mentioned

#### 8. CONDUCT OF JUDGE

Bias re Counsel or a Party

Coercion

Credibility of Witnesses Assessed

Disparaging Counsel or a Party

Disparaging Witness or Testimony

**Excessive Examination of Witnesses** 

Gestures or Facial Expressions

Interfering with Presentation of Case

Merits of Case Evaluated for Jury

Mistakes (and Misconduct)

Off-The-Record Comments

Prejudicial Statements

Summarization of Testimony

#### 9. JURY INSTRUCTIONS

Ambiguous

Argumentative

Confusing or Unclear

Credibility Assessed Improperly

Emphasis on One Theory, Issue, or Side of

Case

Evidence Lacking to Support Charge

Failure to Call Witness Mishandled

Jury Role Usurped

Inconsistent Charge

Legal Standard Erroneous

Overly General or Abstract Charge

Personal Opinion Stated

Prejudice or Sympathy Appealed to

Suggestion Improper

Technical Terms Undefined or Misused

Theory or Issue Omitted

Weight of Evidence Assessed Improperly

#### 10. CLOSING ARGUMENT

Appealing to Prejudices and Biases

Attacking Counsel

Attacking Defendant

Denigrating Counsel's Objections

Defendant's Failure to Call Witness

Defendant's Failure to Testify

**Duration of Punishment** 

Facts Misstated

Grand Jury Improperly Mentioned

Hung Jury Improperly Mentioned

Inadmissible Evidence Mentioned

Irrelevant Facts or Issues
Jurors Addressed by Name
Law Misstated
Matters not in Evidence Mentioned
Personal Belief on Guilt of Accused
Personal Knowledge Independent of
Evidence
Post-arrest Silence Mentioned
Prosecutor's Duty to All Society
Rebuttal: Matters Not Addressed by
Defendant
Repetitious Reading of Charging Document
Role of Defense Counsel

#### 11. JUROR MISCONDUCT

False Statements on Voir Dire Out-of-Court Communication or Contact Socializing with State's Witnesses Consuming of Alcohol Sleeping
Using Prescribed Tranquilizers
Testifying as Witness before Jury
Foreman Prevents Free and Open Discussion
Impeaching Own Verdict
Divulging Extraneous Evidence Before Verdict
Experiment by Jury
Failing to Disclose Personal Knowledge of
Material Fact
Talking About Case Related Subject Before
Case is Submitted to Jury

#### III. MISTRIAL

**Note:** For discussion of "Mistrial" during OPENING STATEMENT see IPDC Trial Manual, Chapter 8 § III.B.

## A. PROSECUTORIAL MISCONDUCT – GENERAL FAIRNESS IN TRIAL PROCEEDINGS

#### 1. Prompt admonition presumed adequate

If alleged misconduct concerns general fairness in the trial proceedings, there is strong presumption a timely and accurate admonition to the jury is sufficient to protect the rights of the defendant. Agilera v. State, 862 N.E.2d 298, 307-08 (Ind. Ct. App. 2007) and Smith v. State, 471 N.E.2d 733, 734 (Ind. Ct. App. 1984).

<u>Boner v. State</u>, 796 N.E.2d 1249, 1252-53 (Ind. Ct. App. 2003) (trial judge's timely, specific, and accurate admonishment to jury regarding inadmissible and potentially prejudicial hearsay testimony was sufficient and recommended for future cases).

<u>Greenlee v. State</u>, 655 N.E.2d 488 (Ind. 1995) (references to prior misconduct did not warrant mistrial because of trial court's prompt admonishments and strong eyewitness testimony supporting the verdict). <u>See also Lucio v. State</u>, 907 N.E.2d 1008 (Ind. 2009).

<u>James v. State</u>, 613 N.E.2d 15 (Ind. 1993) (even though two police officers testified about defendant's criminal history, trial court did not abuse discretion in denying motion for mistrial because trial court promptly admonished jury to disregard references to criminal history, independent evidence of guilty was overwhelming, so there was no substantial likelihood that improper evidence played role in defendant's conviction).

Moore v. State, 652 N.E.2d 53 (Ind. 1995) (mistrial properly denied even though prosecutor repeatedly used word "murder" after being directed by trial court. to use word "homicide" instead).

However, Indiana Supreme Court requires a high level of assurance that there was no residuum of prejudice left after the jury was admonished to disregard the testimony. <u>Davis v. State</u>, 418 N.E.2d 203, 205 (Ind. 1981) and <u>English v. State</u>, 485 N.E.2d 93 (Ind. 1985).

Bonner v. State, 650 N.E.2d 1139 (Ind. 1995) (simple fact that admonition is given does not necessarily mean that particularly prejudicial, erroneously admitted evidence will be erased from minds of reasonable jurors or omitted from their deliberations).

#### 2. Waiver if counsel refuses admonition

Refusal to agree to the court's offer to admonish waives any error in denial of a motion for mistrial. <u>Boyd v. State</u>, 430 N.E.2d 1146, 1149 (Ind. 1982) and <u>Kindred v. State</u>, 540 N.E.2d 1161, 1176 (Ind. 1989).

<u>Gamble v. State</u>, 831 N.E.2d 178, 183-84 (Ind. Ct. App. 2005) (must request jury admonishment to avoid waiver, even when counsel believes that an admonishment would compound the error by drawing attention to it).

#### 3. Instruction to disregard is unmitigated fiction

There are various social science studies and law review articles that seriously question the efficacy of jury admonishments. See Gill v. State, 730 N.E.2d 709, 712 (Ind. 2000) (at a minimum a court should construct and deliver jury admonishments with care and precision). Commentary, Ind. R. Evid. 105. The ineffectiveness of the trial court's instruction to the jury

to disregard the improper testimony was recognized by Justice Jackson in his concurring opinion in <u>Krulewitch v. United States</u>, 336 U.S. 440, 453, 69 S.Ct. 716(1949): "The naïve assumption that prejudicial effects can be overcome by instructions to the jury...all practicing lawyers know to be unmitigated fiction."

Martin v. Lilly, 121 N.E. 443, 446 (Ind. 1919) ("one party may not be permitted to get the other into a dying condition and then expect the court to revive him by instructions.").

White v. State, 272 N.E.2d 312, 319-20 (Ind. 1971) (in view of an admonition, we feel that where there are serious conflicts in the evidence entitling the jury to go either way upon the issue of guilt or innocence, it is especially important that they not be subjected to improper influences; in such a case, the defendant should be given the benefit of reasonable doubts).

Bonner v. State, 650 N.E.2d 1139, 1142 (Ind. 1995) (despite presence of jury admonition, Court declined to find improper admission of prejudicial hearsay evidence harmless; simple fact that admonition is given does not necessarily mean that particularly prejudicial, erroneously admitted evidence will be erased from minds of reasonable jurors or omitted from their deliberations).

<u>Scifres-Martin v. State</u>, 635 N.E.2d 218 (Ind. Ct. App. 1994) (evidence inferring family cover-up of crime was so prejudicial that neither admonishment from the court nor curative instruction could remove prejudice).

#### B. EVIDENTIARY HARPOON – NOT CORRECTED BY ADMONITION

An evidentiary harpoon involves improper evidence deliberately introduced by counsel or a witness to prejudice the jury, the effect of which cannot be corrected by an admonition by the trial court. Pallett v. State, 381 N.E.2d 452, 456 (Ind. 1978) and Lewis v. State, 438 N.E.2d 289, 291 (Ind. 1982).

#### 1. Can be evidentiary harpoon even if not elicited by State

The doctrine of evidentiary harpoons is concerned with protecting parties from intentionally prejudicial comments, not counsel misconduct. Therefore, a harpoon may hit the defendant even if not purposely fired by counsel.

<u>Perez v. State</u>, 728 N.E.2d 234, 237 (Ind. Ct. App. 2000) (although not elicited by prosecutor's question, comment by detective about defendant being a convicted felon was an evidentiary harpoon; the detective undoubtedly understood significance of statement and the comment was deliberately made to incite prejudice).

#### 2. If intentional and evidence of guilt in conflict

Indiana Supreme Court requires a high level of assurance the irregularity did not affect the verdict before it will affirm trial court's judgment. Smith v. State, 471 N.E.2d 733, 734 (Ind. Ct. App. 1984).

#### 3. No harpoon if defendant opens door

If defendant opens door to prejudicial comment, therefore making it admissible, there is not an evidentiary harpoon. <u>Alvies v. State</u>, 795 N.E.2d 493, 504 (Ind. Ct. App. 2003).

<u>Alvies v. State</u>, 795 N.E.2d 493, 504 (Ind. Ct. App. 2003) (where defense asked witness on cross-examination whether anything would have happened in jail to cause memory problems, State could then ask him to discuss beating received by cellmates hours before testifying in murder trial).

#### 4. Move for mistrial

Where counsel has deliberately violated the rights of Defendant and there are reasonable grounds to believe that such violation may have prejudiced his cause, a mistrial should be declared, if moved by the injured party. White v. State, 272 N.E.2d 312, 319-20 (Ind. 1971); Lambert v. State, 448 N.E.2d 288, 291 (Ind. 1983); and May v. State, 502 N.E.2d 96, 102 (Ind. 1986).

The motion for mistrial should demonstrate in what manner the movant would be prejudicially harmed if the motion was denied by the trial court. <u>Duke v. State</u>, 249 Ind. 466, 233 N.E.2d 159 (1968).

#### 5. Showing – "Grave Peril"

To prevail on appeal based on claim that trial court erred by failing to grant mistrial, defendant must show that he was so prejudiced that he was placed in a position of grave peril to which he should not have been subjected. White v. State, 272 N.E.2d 312, 319-20 (Ind. 1971) and Neuhausel v. State, 530 N.E.2d 121, 123 (Ind. Ct. App. 1988). Factors considered in determining whether circumstances place defendant in grave peril and warrant mistrial include: (1) degree of materiality of improper testimony or comment; (2) other evidence of guilt; (3) whether prosecutor deliberately presented improper material; (4) whether defendant or defense counsel played part in presenting improper material; and (5) whether improper material was repeatedly placed before jury. Small v. State, 632 N.E.2d 779 (Ind. Ct. App. 1994).

<u>Mack v. State</u>, 736 N.E.2d 801 (Ind. Ct. App. 2000) (grave peril to a defendant as a result of trial court's failure to grant mistrial is measured by the probable persuasive effect on the jury of the challenged action, evidence, or misconduct).

Mote v. State, 775 N.E.2d 687, 691 (Ind. Ct. App. 2002) (motion for mistrial should have been granted when a redacted videotape containing twelve references to the defendant's prior criminal history was played to the jury over defendant's objection without any limiting admonishment).

<u>Fox v. State</u>, 399 N.E.2d 827 (Ind. Ct. App. 1980) (reversible error for police witness to make reference to "mug file" and bring same into court, where such reference was distinguishable from an inadvertent reference to "mug shots").

<u>Carr v. State</u>, 388 N.E.2d 603, 605 (Ind. Ct. App. 1979) (reversible error in theft prosecution to admit evidence that defendant's home was under police surveillance prior to crime and his arrest for suspected involvement in other thefts).

#### 6. Factors determining whether mistrial is necessary

In determining whether a trial irregularity mandates reversal, the gauge is not exclusively the way in which the testimony entered the case but rather the probable impact of the irregularity on the verdict. <u>Davis v. State</u>, 418 N.E.2d 203, 205 (Ind. 1981) and <u>English v. State</u>, 481 N.E.2d 413, 415 (Ind. Ct. App. 1985).

Owens v. State, 714 N.E.2d 250, 252 (Ind. Ct. App. 1999) (motion for mistrial must be granted when defendant is subjected to grave peril, and grave peril is measured by the probable persuasive effect on the jury of the challenged action, evidence, or misconduct; the trial court's decision will be reversed on appeal only for abuse of discretion).

<u>Bisard v. State</u>, 26 N.E.3d 1060 (Ind. Ct. App. 2016) (defendant moved for a mistrial upon learning that a juror had performed an internet search on reliability of blood tests;

trial court's remedy of replacing juror with an alternate as opposed to granting mistrial affirmed).

<u>Jarrett v. State</u>, 160 N.E.3d 526 (Ind. Ct. App. 2020) (trial judge's comments that she was uncomfortable after defendant wished judge happy birthday did not entitle defendant to mistrial when judge's comments were made outside presence of jury and could have had no persuasive effect on members of jury).

#### (a) The way the testimony entered the case

Courts have applied the following factors in determining the adequacy of striking improper testimony and admonishing the jury, as opposed to declaring a mistrial:

- 1. Effect of constitutional provisions, statutes or rules relating to harmless error;
- 2. Degree of materiality of the testimony;
- 3. Other evidence of guilt;
- 4. Other evidence tending to prove the same fact;
- 5. Other evidence that may cure the improper testimony;
- 6. Possible waiver by the injured party;
- 7. Whether statement was volunteered by witness and whether there had been deliberate action by prosecution to present the matter to the jury;
- 8. Penalty assessed;
- 9. Whether or not testimony, although volunteered by witness, was in part brought out by action of the defendant or his counsel;
- 10. Existence of other errors;
- 11. Whether question of guilt is close or clear and compelling;
- 12. Standing and experience of person giving objectionable testimony; and
- 13. Whether or not objectionable testimony or misconduct was repeated.

White v. State, 272 N.E.2d 312, 314-15 (Ind. 1971) and Mack v. State, 736 N.E.2d 801 (Ind. Ct. App. 2000).

Kemper v. State, 35 N.E.3d 306 (Ind. Ct. App. 2015) (no error in denying motion for mistrial where, after State witness's in-court identification of defendant, the defense became aware that the State was in possession of two videotaped interviews with witness in which he identified someone other than defendant as the robber; there was no evidence the State had intentionally withheld the interviews and trial court effectively remedied situation by allowing defense time to review and making witness available for further cross-examination).

#### (b) Probable impact on verdict

In cases concerning an irregularity bearing on a constitutionally secured right or concerning an evidentiary harpoon, the reviewing court undertakes to assess the probable impact of the irregularity on the final verdict and will require a high level of assurance that the irregularity did not affect the verdict. Hightower v. State, 296 N.E.2d 654 (Ind. 1973); Phillips v. State, 719 N.E.2d 809, 811 (Ind. 1999); and Smith v. State, 471 N.E.2d 733, 736 (Ind. Ct. App. 1984).

<u>Davis v. State</u>, 418 N.E.2d 203, 205 (Ind. 1981) (reference by police officer that "a person," meaning defendant, had been apprehended at scene of another offense near in time and location to scene of burglary for which defendant was charged, was inadvertent and did not mandate reversal; reference was vague as to defendant's involvement in other crime, trial judge immediately admonished jury to disregard what they had heard, and in response to individual polling by judge, jurors each stated that they could disregard both the question, the answer and any inference from it).

#### C. RE-PROSECUTION AFTER MISTRIAL

#### 1. Retrial barred only when prosecutor "intended to goad" defendant to move for mistrial

#### (a) Federal double jeopardy clause

If defendant moves for mistrial, he or she forfeits right to raise double jeopardy claim in subsequent proceedings unless motion for mistrial was necessitated by governmental conduct intended to goad defendant into moving for mistrial. Wilson v. State, 697 N.E.2d 466 (Ind. 1998).

<u>Butler v. State</u>, 724 N.E.2d 600, 604 (Ind. 2000) (prosecutor's attempt to introduce new evidence mid-trial was intended to obtain conviction, not to goad defendant into seeking a mistrial).

Wilson v. State, 697 N.E.2d 466, 472-73 (Ind. 1998) (trial court's determination that prosecutor did not intend to goad the defendant into requesting a mistrial is "very persuasive" but not conclusive on the issue of intent).

Noble v. State, 734 N.E.2d 1119 (Ind. Ct. App. 2000) (double jeopardy did not prohibit retrial where prosecutor called police officer and elicited testimony about lab report which had not been admitted into evidence or disclosed to defense; court granted defendant's motion for mistrial; and at subsequent hearing on motion to dismiss the charges, prosecutor stated that he had expected defense counsel would object to his line of questioning and he did not intentionally try to goad defendant in requesting mistrial by eliciting inadmissible evidence).

Etter v. State, 56 N.E.3d 53 (Ind. Ct. App. 2016) (no evidence trial court's flippant comments "have it your way" and "it's Burger King Day" in response to defense counsel's request for mistrial were made with the intent of goading defendant into moving for a mistrial).

Jackson v. State, 925 N.E.2d 369 (Ind. 2010) (trial court did not abuse discretion or subject defendant to double jeopardy in granting State's motion for mistrial (over defendant's objection) and allowing retrial because, even though five jurors said they read defendant's letter to prosecutor, reproduced in a local newspaper, which implied defendant was prosecuted because of his race and that prosecutor was not honest with the victim's family. Even though 5 jurors said the newspaper article would not influence their decision, trial court was in best position to determine article's impact on jurors. As to double jeopardy issue, Court balanced factors against allowing retrial, such as stigmatization of defendant, against society's interest in allowing the prosecution "one complete opportunity for a conviction").

Brock v. State, 955 N.E.2d 195 (Ind. 2011) (trial court neither abused its discretion by denying defendant's Motion to Dismiss retrial, where the retrial was prompted by granting State's motion for mistrial, nor violate defendant's rights against double jeopardy by allowing the retrial; even though trial court did not allow defendant to

object to granting of mistrial, there was manifest necessity of mistrial because defendant's counsel, during closing argument, repeatedly misled the jury about the law and the facts despite numerous admonitions from trial court).

Key to inquiry on appeal concerns subjective intent of prosecuting attorney. Trial court's determination of the State's intent is "very persuasive." <u>Wilson v. State</u>, 697 N.E.2d 466, 473 (Ind. 1998).

#### (b) Indiana Constitution

Article I, Section 14 as a bar to retrial has not been decided. Other states have rejected the "intended to goad" standard set out by <u>Oregon v. Kennedy</u>, 456 U.S. 667 (1982), as too narrow and adopted a broader standard for prohibiting retrials under their own constitutions. <u>See e.g.</u>, <u>State v. Rogan</u>, 984 P.2d 1231 (Haw. 1999) and <u>State v. Breit</u>, 930 P.2d 792 (N.M. 1996). Counsel must provide authority or independent analysis supporting separate standard under Indiana Constitution or claim is waived. <u>Butler v. State</u>, 724 N.E.2d. 600, 605 n.1 (Ind. 2000) and <u>Noble v. State</u>, 734 N.E.2d 1119, 1121 n.4 (Ind. Ct. App. 2000).

<u>Calvert v. State</u>, 14 N.E.3d 818 (Ind. Ct. App. 2014) (Court rejected defendant's argument that Indiana Constitution's double jeopardy prohibition barred retrial on conviction reversed where trial court denied continuance request and let trial proceed *in absentia*; defendant failed to move for mistrial based on State's bad faith pursuit of trial *in absentia* and the challenged misconduct occurred in argument prior to defendant's trial).

#### 2. Retrial barred where judge or prosecutor asked for mistrial, and no manifest necessity

A trial court does not necessarily have to make a specific finding that a mistrial is required by a manifest necessity in order to permit a retrial. Renico v. Lett, 130 S.Ct. 1855 (2010). The term "manifest necessity" contemplates a sudden and overwhelming emergency beyond the control of the court.

State v. Glasscock, 759 N.E.2d 1170, 1173 (Ind. Ct. App. 2001) (trial court's declaration of a mistrial on its own motion after a witness for the State claimed the privilege against self-incrimination and the State decided not to immunity was not necessary since the State could have granted immunity and the State had other evidence to pursue its case; since there was no manifest necessity for the mistrial, double jeopardy barred retrial).

<u>Pavey v. State</u>, 764 N.E.2d 692, 700-01 (Ind. Ct. App. 2002) (the word "necessity" does not need to be interpreted literally; there need be only a "high degree" of necessity before concluding that a mistrial is appropriate.

For discussion and cases on manifest necessity, double jeopardy, and retrial, see *IPDC Pretrial Manual*, Chapter 9, Motions to Dismiss (2021 Ed.).