



# Table of Contents

(See also Summary of Contents on page xxxix)

<i>Dedication</i> .....	<i>xi</i>
<i>Former Chief Judge Anthony J. Scirica</i>	
<i>Introduction</i> .....	<i>xiii</i>
<i>Chief Judge D. Brooks Smith</i>	
<i>Preface</i> .....	<i>xv</i>
<i>Judge Ruggero J. Aldisert</i>	
<i>Thoughts on Appellate Practice</i> .....	<i>xix</i>
<i>Judge Thomas L. Ambro</i>	
<i>About the Authors</i> .....	<i>xxiii</i>

## Part I: Introduction to the Third Circuit and Administrative Functions

<b>1</b>	<b>Operation of the Clerk’s Office</b> .....	<b>3</b>
<i>Marcia M. Waldron</i>		
1-1	Initiating an Appeal by Filing a Notice of Appeal .....	3
1-2	Initiating an Appeal by Filing for Leave to Appeal.....	3
1-3	Review or Enforcement of an Agency Order .....	4
1-4	Extraordinary Writs .....	4
1-5	Timing for Initiating an Appeal .....	4
1-5.1	Notice of Appeal .....	4
1-5.2	Petition for Leave to Appeal .....	4
1-5.3	Petitions for Review/Enforcement .....	4
1-5.4	Extraordinary Writs .....	4
1-6	Calculation of Time .....	5
1-7	Filing Fees .....	5
1-8	Procedures Once an Appeal is Initiated .....	5
1-9	Other Forms to be Filed with the Third Circuit Clerk’s Office.....	5
1-9.1	Civil Appeal Information Statement and Concise Summary of the Case.....	5
1-9.2	Forms in Criminal Cases .....	6
1-9.2.1	Entry of Appearance and Corporate Disclosure Form .....	6
1-9.2.2	Transcript Purchase Order .....	6
1-10	Appellate Mediation Program .....	6
1-11	Briefing.....	7
1-12	The Appendix.....	8
1-13	Calendaring and Oral Argument .....	9
1-14	Decisions .....	10
1-15	Post-decision Practice .....	10
1-15.1	Petition for Rehearing En Banc .....	10
1-15.2	Bills of Cost and Attorneys’ Fees .....	10
1-15.3	Mandate .....	11

<b>2</b>	<b>Appellate Mediation .....</b>	<b>13</b>
	<i>Joseph A. Torregrossa</i>	
2-1	The Concept of Appellate Mediation .....	17
2-2	Why the Involvement of an Appellate Mediator Is a Good Idea.....	18
	2-2.1 Breaking Through the Hostility That Exists Among the Parties.....	18
	2-2.2 Opening the Lines of Communication .....	18
	2-2.3 Providing a New Perspective .....	19
	2-2.4 Neutrally Assessing the Parties' Positions .....	19
2-3	Why Court-sponsored Appellate Mediation Is a Good Idea.....	19
2-4	Differences in Mediation in the United States Courts of Appeals .....	20
	2-4.1 Mandatory Mediation.....	20
	2-4.2 Issuance of the Briefing Schedule.....	21
	2-4.3 Cases Selected for Mediation .....	21
	2-4.4 Mediator Assignment .....	21
2-5	Third Circuit Appellate Mediation: Rules and Operations.....	22
	2-5.1 Program Establishment.....	22
	2-5.2 Mediation Eligible Cases and Case Selection Procedures .....	22
	2-5.3 Proceedings Following Selection .....	24
	2-5.4 Persons Required to Participate in the Mediation Sessions.....	25
	2-5.5 Conduct of the Mediation Sessions.....	26
	2-5.6 Post-mediation Session Activities .....	27
	2-5.7 Confidentiality.....	27
2-6	Some Typical Appellate Mediation Scenarios.....	28
	2-6.1 Summary Judgment for the Defendant .....	29
	2-6.2 The Verdict for the Plaintiff .....	29
2-7	Statistical Information.....	30
	2-7.1 Number of Mediations .....	30
	2-7.2 Number of Settlements.....	31
	2-7.3 Miscellaneous Statistical Information .....	31
	2-7.3.1 Nature of Cases Settled .....	31
	2-7.3.2 District-by-District Study .....	31
2-8	Pro Se Mediation Program .....	32
	2-8.1 Establishment.....	32
	2-8.2 Procedures.....	32
	2-8.2.1 Case Selection .....	32
	2-8.2.2 Mediation and Post-mediation Procedures .....	33
2-9	Suggestions for Counsel to Make Mediation More Meaningful for the Court and the Client .....	33
	2-9.1 Have the Right Party Representative Present at the Mediation .....	33
	2-9.1.1 The Absent Client.....	33
	2-9.1.2 The Inappropriate Client Representative.....	34
	2-9.2 Avoid Creating a Hostile Environment at the Mediation.....	35
	2-9.3 Avoid Treating the Mediator as an Adversary .....	35
	2-9.4 Prepare Appropriately for the Mediation Session.....	35
	2-9.4.1 Be Prepared to Discuss the Merits of the Appeal.....	35
	2-9.4.2 Be Prepared to Discuss Damages .....	35
	2-9.5 Be Prepared to Assist the Mediator.....	36
	2-9.5.1 Cast Doubt on the Opposing Side's Position .....	36
	2-9.5.2 Think of Ways to Settle .....	36
	2-9.5.3 Provide Rationale for Settlement Proposals .....	36
	2-9.5.4 Alert the Mediator to Nonlegal Factors Affecting Settlement.....	36
	2-9.6 Do Not Rush the Mediation Process .....	37
	2-9.7 Keep an Open Mind about Settlement .....	37
2-10	Conclusion.....	37

<b>3</b>	<b>Electronic Filing</b> .....	<b>39</b>
	<i>Howard J. Bashman</i>	
3-1	Electronic Filing Overview.....	39
3-1.1	What Documents Must Be Electronically Filed.....	39
3-1.2	Format.....	40
3-1.3	Mechanics of Electronic Filing.....	40
3-1.4	Service of Papers Filed with the Court.....	41
3-1.5	Online Access .....	42
3-2	Transmission of Notices, Orders, and Opinions That the Third Circuit Has Issued.....	42
<b>Part II:</b>	<b>Getting Started</b>	
<b>4</b>	<b>Now That the Trial Is Over: Preserving Issues on Appeal in the Federal Court System</b> .....	<b>45</b>
	<i>Nancy Winkelman</i>	
	<i>Danielle Morrison</i>	
4-1	Introduction .....	45
4-2	Post-trial Waiver Issues .....	45
4-2.1	Raising the Issues .....	45
4-2.1.1	Renewed Motions for Judgment as a Matter of Law .....	46
4-2.1.2	Motions for a New Trial.....	47
4-2.2	Inconsistent Verdicts.....	47
4-2.3	Check Relevant Local Rules .....	47
4-3	Notice of Appeal .....	48
4-3.1	Requirements for Proper Filing.....	48
4-4	Docketing Statements .....	51
4-5	The Record and Appendix on Appeal .....	51
4-5.1	The Record.....	51
4-5.2	The Appendix .....	52
4-5.3	Omissions from or Misstatements in the Record.....	52
4-6	Briefs.....	53
4-7	Interlocutory Orders .....	55
4-8	Unique Waiver Issues Involving Appellees .....	56
4-8.1	When an Appellee Must File a Cross-Appeal.....	56
4-8.2	When an Appellee Need Not File a Cross-Appeal .....	56
4-9	Oral Argument .....	57
4-10	Preserving Issues for En Banc or Supreme Court Review .....	57
<b>5</b>	<b>Should I Appeal? Ethical and Practical Issues</b> .....	<b>59</b>
	<i>Alfred W. Putnam, Jr.</i>	
	<i>D. Alicia Hickok</i>	
5-1	Introduction .....	59
5-1.1	Are the Parties on Appeal Covered by any Prior Conflicts Check?.....	60
5-1.2	What Is the Scope of the Representation?.....	60
5-1.3	What Is the State of the Record?.....	60
5-1.4	Has the Record Been Properly and Adequately Preserved? .....	60
5-1.5	What Relief Realistically Can Be Obtained? .....	61

Table of Contents

5-2 Should I Appeal? ..... 61  
5-2.1 Whose Interests Does an Appeal Serve? ..... 61  
5-2.2 What Can Be Appealed? ..... 62  
5-2.3 What Are the Chances of Success on Appeal? ..... 63  
5-2.4 What Are the Possible or Probable Other Consequences of an Appeal? ..... 64  
5-2.5 What Are the Issues Worth Appealing? ..... 65  
5-3 Ethical Considerations ..... 67  
5-3.1 At What Point Does a Client’s Interest Give Way to a Greater Ethical Obligation? ..... 67  
5-3.2 Why Is It Critical to Make These Inquiries and to Review Them In-depth with Clients? ..... 68  
5-4 Conclusion ..... 69

**6 May I Appeal?  
Basics of Appellate Jurisdiction and Writ Relief ..... 71**

*Robert L. Byer  
J. Nicholas Ranjan*

6-1 Introduction ..... 71  
6-2 Final Appealable Orders ..... 72  
6-2.1 Entry of an Order ..... 72  
6-2.2 Final Orders—In General ..... 73  
6-2.2.1 28 U.S.C. § 1291 ..... 73  
6-2.2.2 Other Statutory Bases for Appellate Jurisdiction ..... 74  
6-2.3 Final Orders—Ministerial Acts ..... 75  
6-2.4 Final Orders—Attorneys’ Fees ..... 75  
6-2.5 Final Orders—“Practical Constructions” ..... 76  
6-2.5.1 Fed.R.Civ.P. 54(b) ..... 76  
6-2.5.2 Collateral-Order Doctrine ..... 79  
6-3 Interlocutory Appeals ..... 83  
6-3.1 Interlocutory Appeals as of Right ..... 83  
6-3.1.1 Orders Concerning Injunctions ..... 83  
6-3.1.2 Receivership Orders ..... 85  
6-3.1.3 Admiralty Orders ..... 85  
6-3.2 Interlocutory Appeals by Permission ..... 85  
6-3.2.1 Scope of Appeal ..... 86  
6-3.2.2 Requirements ..... 86  
6-3.2.3 Class Certification Orders ..... 87  
6-3.2.4 Distinguishing between Section 1292(b) and Rule 54(b) ..... 87  
6-4 Extraordinary Writs ..... 88  
6-4.1 Substitute for Appeal ..... 88  
6-4.2 Clear and Indisputable ..... 89  
6-4.3 Otherwise Appropriate ..... 89  
6-5 Waiver of Appeal Rights ..... 90  
6-5.1 Section 1291 and the Collateral-Order Doctrine ..... 90  
6-5.2 Fed.R.Civ.P. 54(b) ..... 90  
6-5.3 Interlocutory Appeals and Extraordinary Writs ..... 90

**7 Should I Retain Appellate Counsel? ..... 91**  
*W. Thomas McGough, Jr.*

7-1 Whether to Retain Appellate Counsel ..... 91  
7-2 When to Involve Appellate Counsel ..... 93  
7-3 How to Select Appellate Counsel ..... 94  
7-4 Conclusion ..... 95

<b>8</b>	<b>Persons Who May Take or Participate in Appeals .....</b>	<b>97</b>
	<i>Bruce P. Merenstein</i>	
8-1	Standing to Appeal.....	97
8-1.1	Parties Who May Take an Appeal .....	97
8-1.1.1	Aggrieved Parties Generally May Take an Appeal .....	97
8-1.1.2	Aggrieved Non-parties May Be Able to Appeal .....	98
8-1.1.3	Prevailing Party May Have Standing to Appeal .....	102
8-1.2	Parties Who Lack Standing to Appeal .....	105
8-1.2.1	Non-aggrieved Party Generally May Not Appeal .....	105
8-1.3	Special Circumstances Involving Standing to Appeal.....	106
8-1.3.1	Bankruptcy Cases .....	106
8-1.3.2	Intervenors .....	106
8-1.3.3	Post-Judgment Intervenor .....	107
8-1.3.4	Consent Judgment .....	107
8-1.3.5	Habeas Corpus Proceedings .....	108
8-1.3.6	Declaratory Judgment .....	108
8-1.4	Special Rules When Governmental Parties Are Involved.....	109
8-1.4.1	Agency Proceedings .....	109
8-1.4.2	In Official Capacity.....	110
8-1.4.3	Involuntary Government Participation .....	110
8-1.4.4	Challenges to Federal or State Statutes .....	110
8-2	Multiple Party Appeals .....	111
8-2.1	Multiple Appeals and Cross-Appeals .....	111
8-2.1.1	Filing Multiple Appeals .....	111
8-2.1.2	Parties Filing Joint Notice of Appeal.....	111
8-2.1.3	Consolidation of Appeals.....	111
8-2.1.4	Cross-Appeals versus Multiple Appeals.....	112
8-2.1.5	Multiple Appeals and Cross-Appeals in Administrative Proceedings .....	112
8-2.1.6	Cross-Appeal Requirement as Jurisdictional .....	113
8-2.1.7	Raising Alternative Grounds for Affirmance .....	114
8-2.2	Additional or New Parties on Appeal.....	115
8-2.2.1	Substitution of Parties .....	115
8-2.2.2	Amicus Curiae .....	115
<b>9</b>	<b>The Initial Steps.....</b>	<b>119</b>
	<i>Nicholas M. Insua</i>	
	<i>Cynthia S. Betz</i>	
	<i>Brett D. Kahn</i>	
9-1	Initiating the Appeal .....	119
9-1.1	Time to File and Extension of Time .....	119
9-1.1.1	General Rules .....	119
9-1.1.2	Exceptions to the General Rules.....	120
9-1.2	Filing and Serving the Notice of Appeal .....	120
9-1.2.1	Premature Notice of Appeal .....	121
9-1.2.2	Notice of Appeal Fees .....	121
9-2	Stay Pending Appeal.....	122
9-2.1	Automatic Stay.....	122
9-2.2	Stay for Post-decision Motions .....	122
9-2.3	Stay Upon Posting Supersedeas Bond .....	123
9-2.4	Motions/Applications for Stay .....	123
9-3	Expediting the Appeal.....	124

**10 The Record on Appeal and the Appendix..... 125**

*Elizabeth J. Sher*

10-1	The Record on Appeal—Overview .....	125
10-2	Composition.....	126
10-2.1	Original Papers and Exhibits.....	126
10-2.2	Transcript of Proceedings .....	126
10-2.3	Certified Copy of the Docket Entries .....	126
10-2.4	Distinguishing the Record on Appeal from the Appendix.....	126
10-3	Designating the Record .....	127
10-3.1	Transcript of the Proceedings .....	127
10-3.1.1	Time for Ordering .....	127
10-3.1.2	The Transcript Order.....	127
10-3.1.3	Designating the Transcript .....	128
10-3.1.4	Ordering a Partial Transcript .....	128
10-3.1.5	Appellee’s Designation.....	129
10-3.1.6	Appellant’s Response to Appellee’s Designation .....	129
10-3.1.7	Procedure when Appellant Fails to or Refuses to Timely Order Transcripts Designated by Appellees .....	129
10-3.2	Statement of Evidence or Proceedings .....	129
10-3.2.1	Preparation by the Appellant.....	129
10-3.2.2	The Appellee’s Response .....	130
10-3.2.3	Effect of the Appellee’s Failure to Respond .....	130
10-3.2.4	Approval by the District Court .....	130
10-3.3	Agreed Statement of Record.....	131
10-3.3.1	Preparation and Submission .....	131
10-3.3.2	Approval by District Court .....	131
10-3.3.3	Certification and Transmission .....	132
10-3.3.4	Filing as Appendix.....	132
10-3.4	Correcting or Modifying the Record.....	132
10-3.4.1	Motion to Correct or Modify the Record .....	132
10-3.4.2	Response to Motion to Correct Record .....	133
10-3.4.3	Action by District Court.....	133
10-3.4.4	Correction by Stipulation of the Parties .....	134
10-4	Transmitting the Record (Fed.R.App.P. 11).....	134
10-4.1	Filing Record with District Court.....	134
10-4.1.1	Acknowledge and Transmit Transcript Order .....	135
10-4.1.2	File Transcript with District Court .....	135
10-4.1.3	Extension of Time.....	135
10-4.1.4	Notify Clerk of Court of Appeals.....	135
10-4.2	Transmitting the Record to the Court of Appeals .....	135
10-4.2.1	Time for Transmitting.....	135
10-4.2.2	Form and Contents.....	135
10-4.2.3	Transmitting Record for Preliminary Hearing in Court of Appeals.....	136
10-4.2.4	Motions Warranting Early Transmission.....	136
10-4.3	Filing the Record in the Court of Appeals .....	137
10-5	The Appendix .....	137
10-6	Record Material Only .....	138
10-6.1	Sealed Records.....	138
10-6.2	Redactions .....	138
10-6.3	Presentence-Investigation Reports .....	138
10-7	The Parties’ Duties in Preparing and Filing the Appendix .....	139
10-7.1	Appellant’s Designation.....	139
10-7.2	Appellee’s Designation.....	139
10-7.3	Supplemental Appendix .....	139
10-7.4	Cross-Appeals.....	139
10-7.5	Consolidated Appeals .....	139
10-8	The Contents of the Appendix .....	140

10-9	Format of the Appendix .....	140
10-9.1	Transcripts .....	140
10-9.2	Exhibits .....	141
10-9.3	Page Numbers .....	141
10-10	Cost of Appendix .....	141
10-11	Filing and Service .....	141
10-11.1	Filing .....	141
10-11.2	Service .....	142
10-11.3	Number of Copies .....	142
10-12	Deferred Appendix .....	142
10-12.1	Citation in Briefs .....	142
10-12.2	Filing and Service .....	142
<b>11</b>	<b>Motion Practice .....</b>	<b>145</b>
	<i>Charles L. Becker</i>	
	<i>Patricia S. Dodszuweit</i>	
11-1	What Is a Motion? .....	145
11-2	Rules Governing Motion Practice in the Third Circuit .....	146
11-2.1	The Controlling Framework for Motions Practice .....	146
11-2.1.1	What Should the Motion Look Like? Formatting Requirements .....	146
11-2.1.2	What Must the Motion Say? Content Requirements .....	148
11-2.1.3	Filing and Service Requirements .....	149
11-2.1.4	Expedited Motions .....	150
11-2.1.5	Emergency Motions .....	150
11-2.1.6	Will the Motion Be Orally Argued? .....	151
11-2.1.7	Nonconforming Motions .....	151
11-2.2	Additional Requirements and Considerations in Responding to Motions .....	151
11-2.2.1	Who May File a Response? .....	151
11-2.2.2	When Is the Response Due? .....	151
11-2.2.3	Responses to Procedural Motions .....	152
11-2.2.4	What Happens If No Response Is Filed? .....	152
11-2.2.5	Expedited Motions .....	152
11-2.3	Filing a Reply .....	152
11-2.3.1	Timing .....	152
11-2.3.2	Scope .....	152
11-2.3.3	Page Limits .....	152
11-2.3.4	Expedited Motions .....	152
11-3	Comments on Specific Types of Motions .....	153
11-3.1	Procedural Motions Referenced in the Rules .....	153
11-3.1.1	Motion for Voluntary Dismissal .....	153
11-3.1.2	Motion for Extension of Time .....	153
11-3.1.3	Motion to Suspend the Appellate Rules .....	154
11-3.1.4	Motion to Dismiss for Failure to Prosecute .....	154
11-3.1.5	Motion by Counsel to Withdraw Representation .....	154
11-3.1.6	Motion to File Papers Under Seal .....	155
11-3.2	Substantive Motions Referenced in the Rules .....	155
11-3.2.1	Motion for Summary Disposition .....	155
11-3.2.2	Motion for Stay of Judgment, Order, or Injunction Pending Appeal .....	156
11-4	Special Concerns in Criminal Appeals .....	157
11-4.1	Withdrawal of Counsel and the <i>Anders</i> Brief .....	157
11-4.2	Death Penalty Cases .....	157
11-4.2.1	Review of Direct Criminal Appeals, Petitions for Writs of Habeas Corpus, and Motions to Vacate Sentence .....	157
11-4.2.2	Motion for Stay of Execution of a Federal or State Court Judgment and Motions to Vacate Orders Granting a Stay .....	157
11-4.2.3	Emergency Motions .....	158

Table of Contents

11-4.3 Sentences of Short Duration ..... 158  
11-4.4 Motions to Voluntarily Withdraw the Appeal ..... 158  
11-4.5 Motions to Enforce Appellate Waiver ..... 158  
11-5 Special Concerns in Immigration Matters ..... 159  
11-6 Who Decides Motions in the Third Circuit ..... 159  
11-6.1 Motions Decided by Three-Judge Panels ..... 159  
11-6.1.1 Standing Motions Panels ..... 159  
11-6.1.2 Merits Panels ..... 160  
11-6.1.3 Reconsideration of a Panel Decision ..... 160  
11-6.2 Motions Decided by a Single Judge ..... 160  
11-6.3 Motions to File Overlength Briefs ..... 161  
11-6.4 Motions Decided by the Clerk’s Office ..... 161

**12 Federal Court Certification of State Law Questions ..... 163**  
*Kim M. Watterson*

12-1 Adjudication of State Law Claims in Federal Courts—Constraints and Inherent Problems ..... 163  
12-2 A Potential Solution: Certification of Legal Questions to State High Courts ..... 166  
12-3 How Certification Works ..... 167  
12-4 Certification Standards and Procedures in the Third Circuit and the States Within Its Geographic Boundaries ..... 168  
12-4.1 The Third Circuit Rule ..... 168  
12-4.2 The Authorizing Laws in Delaware, New Jersey, Pennsylvania, and the Virgin Islands ..... 168  
12-4.2.1 Delaware ..... 168  
12-4.2.2 New Jersey ..... 170  
12-4.2.3 Pennsylvania ..... 170  
12-4.2.4 Virgin Islands ..... 171  
12-5 Takeaways and Practice Pointers ..... 172  
12-6 Conclusion ..... 175

**Part III: The Heart of the Matter**

**13 Standards of Review ..... 179**  
*Lawrence S. Lustberg*  
*Amanda B. Protes*

13-1 Standards of Review ..... 180  
13-1.1 Review of District Court Decisions ..... 182  
13-1.1.1 Abuse of Discretion ..... 182  
13-1.1.2 Clearly Erroneous ..... 187  
13-1.1.3 Plenary ..... 191  
13-1.1.4 Plain Error ..... 195  
13-1.2 Agency Decisions ..... 199  
13-1.2.1 Substantial Evidence ..... 200  
13-1.2.2 5 U.S.C. § 706 ..... 204  
13-2 Conclusion ..... 208

**14 The Significance of Precedent and Identifying and Selecting the Issues ..... 209**  
*James C. Martin*  
*Donna M. Doblick*

14-1 The Importance of Issue Selection: Not All Errors Are Created Equal ..... 209  
14-2 Assess Whether the Error Is Sufficiently Prejudicial to Matter: Will You Win the Battle, But Lose the War? ..... 210  
14-2.1 The Concept of Prejudicial Error ..... 211  
14-2.2 Limited Circumstances in Which a Litigant Will Not Be Required to Show Prejudice ..... 211



14-3	Be Sure That the Error Was Properly Preserved .....	212
14-3.1	Was the Issue Raised in a Proper Vehicle and With the Appropriate Level of Specificity? .....	212
14-3.2	Was the Issue Raised at the Proper Time? .....	213
14-3.3	Did the District Judge Consider and Rule on the Issue? .....	214
14-3.4	Does the Record Reflect Preservation of the Error? .....	214
14-3.5	Are There Any Exceptions to the Waiver Rule? .....	215
14-4	Determine Whether the Controlling Law Gives You Room to Argue for a Different Result on Appeal .....	216
14-4.1	Diversity of Citizenship Cases .....	216
14-4.2	Federal Question Cases .....	217
14-4.3	“Secondary” Sources .....	218
14-4.4	“Procedural” Issues .....	219
14-4.5	Dealing With Adverse Authority .....	220
14-4.6	Challenges to a Statute’s Constitutionality .....	220
14-5	Know the Extent To Which (If At All) the Third Circuit Will Defer to the Trial Court on Each Issue .....	220
14-5.1	De Novo (Plenary) .....	221
14-5.2	Abuse of Discretion .....	222
14-5.3	Clearly Erroneous .....	223
14-5.4	Substantial Evidence .....	223
14-6	Understand the Potential Relief Available to Redress Each Claimed Error and the Time It Likely Would Take to Obtain That Relief .....	224
14-6.1	Types of Relief Available .....	224
14-6.2	When Your Client Can Expect to See Any Relief .....	225
14-7	Back to Basics: The Appellate Lawyer’s Tactical Choices .....	225
<b>15</b>	<b>Brief Writing—In General .....</b>	<b>227</b>
	<i>Nancy Winkelman</i>	
15-1	A Bit of History .....	228
15-2	The Statistics Speak .....	228
15-3	The Judges Judge .....	229
15-4	The Lawyers Practice .....	230
15-5	The “Just a Brief-Writer’s” Solution .....	232
<b>16</b>	<b>Brief Writing—Formal and Technical Requirements .....</b>	<b>235</b>
	<i>Andrew C. Simpson</i>	
16-1	Overview of Technical Requirements .....	235
16-2	Specific Requirements for Submitted Briefs .....	238
16-2.1	Cover Page .....	238
16-2.2	Corporate Disclosure Statement .....	238
16-2.3	Table of Contents .....	238
16-2.4	Table of Authorities .....	239
16-2.5	Statement of Subject Matter and Appellate Jurisdiction .....	240
16-2.6	Statement of Issues .....	240
16-2.7	Statement of Standard of Review .....	241
16-2.8	Statement of the Case .....	242
16-2.9	Statement of Facts .....	242
16-2.10	Statement of Related Cases .....	243
16-2.11	Summary of Argument .....	243
16-2.12	Argument .....	243
16-2.13	Conclusion .....	244
16-2.14	Certificates .....	244
16-2.15	Word Count, Brief Length, and Typeface .....	246
16-2.16	Format Issues Related to Electronic Briefs .....	247
16-2.17	Proofreading Your Brief .....	248

<b>17</b>	<b>Amicus Briefs</b> .....	<b>249</b>
	<i>Witold J. Walczak</i>	
	<i>Mary Catherine Roper</i>	
17-1	What Is an Amicus Brief .....	249
17-2	The Function of Amici.....	250
17-2.1	Amici Raise the Profile of the Case.....	250
17-2.2	Amici Increase the Likelihood the Court Will Grant Oral Argument.....	251
17-2.3	Amici Can Provide Factual, Political, or Other Context.....	251
17-2.4	Amici Can Provide Broader Discussion of the Law Than Litigants .....	252
17-2.5	Amici Can Supplement—or Improve Upon—the Arguments of the Litigants .....	252
17-2.6	The Other Hand—Why Amici Want to Participate.....	253
17-2.7	An Ethical Note About Working with Amici.....	253
17-3	Procedure for Amicus Briefs and Argument .....	254
17-3.1	Time to File an Amicus Brief .....	254
17-3.2	How to File an Amicus Brief .....	254
17-3.2.1	Appearing by Consent.....	254
17-3.2.2	Appearing by Motion for Leave .....	255
17-3.2.3	Filing Electronically as an Amicus.....	256
17-3.2.4	Oral Argument and Amici .....	256
17-4	Content of Amicus Briefs .....	257
17-4.1	Formal Requirements for Amicus Briefs.....	257
17-4.1.1	The Statement of Identity and Interest of Amicus.....	257
17-4.1.2	Format of the Cover and Brief.....	258
17-4.2	Writing a Persuasive Amicus Brief .....	259
17-5	Conclusion.....	260
<b>18</b>	<b>Oral Argument</b> .....	<b>261</b>
	<i>David Rudovsky</i>	
18-1	Overview.....	261
18-2	Initial Preparation.....	262
18-3	Dynamics of Oral Argument.....	264
18-3.1	Setting the Stage.....	264
18-3.2	Preparation.....	264
18-3.3	Delivery .....	266
<b>Part IV:</b>	<b>Post-Judgment Proceedings</b>	
<b>19</b>	<b>Petitions for Rehearing</b> .....	<b>273</b>
	<i>Deena Jo Schneider</i>	
19-1	Panel Rehearing.....	273
19-1.1	Grounds for Panel Rehearing .....	273
19-1.1.1	Judicial Errors of Fact or Law.....	273
19-1.1.2	New Precedent or Statute .....	274
19-1.2	Rules Governing Petitions for Panel Rehearing.....	274
19-1.2.1	Time for Filing.....	274
19-1.2.2	Extension of Time to File.....	275
19-1.2.3	Content.....	276
19-1.2.4	Form .....	276
19-1.2.5	Filing and Service Requirements .....	277
19-1.2.6	Effect of Filing.....	277
19-1.3	No Answer Unless Directed by the Court.....	277
19-1.4	Procedure of the Court.....	277

19-1.5	Content of Answer When Permitted .....	278
19-1.6	Amicus Briefs .....	278
19-1.7	Reply Brief .....	279
19-1.8	No Oral Argument .....	279
19-1.9	Court's Ruling .....	279
19-1.10	Procedure When Panel Rehearing Granted .....	280
19-2	Rehearing En Banc .....	280
19-2.1	Grounds for Rehearing En Banc .....	280
19-2.1.1	Securing or Maintaining Uniformity of Decisions .....	280
19-2.1.2	Question of Exceptional Importance .....	281
19-2.1.3	Third Circuit Amplification .....	281
19-2.2	Required Statement for En Banc Petition .....	281
19-2.3	Procedure for Obtaining Hearing or Rehearing En Banc .....	282
19-2.4	Initial Hearing En Banc .....	283
19-2.5	Court-Originated Rehearing En Banc .....	283
19-2.6	Rules Governing Petitions for Rehearing En Banc .....	283
19-2.6.1	Time for Filing .....	284
19-2.6.2	Content .....	284
19-2.6.3	Format .....	284
19-2.6.4	Filing and Service Requirements .....	285
19-2.6.5	Effect of Filing .....	285
19-2.7	No Response Unless Ordered by the Court .....	285
19-2.8	Procedure of the Court .....	285
19-2.9	Content of Answer When Permitted .....	285
19-2.10	Amicus Briefs .....	286
19-2.11	Reply Brief .....	286
19-2.12	Oral Argument .....	286
19-2.13	Court's Ruling .....	286
19-2.14	Procedure Where Rehearing En Banc Granted .....	287
<b>20</b>	<b>Costs, Judgment, and Mandate Issues .....</b>	<b>289</b>
	<i>Judge Carl A. Solano</i>	
20-1	Award of Costs .....	289
20-1.1	Authority .....	289
20-1.2	Discretion .....	289
20-1.3	Who Must Pay Costs .....	289
20-1.3.1	Default Rules .....	289
20-1.3.2	Special Circumstances .....	290
20-1.4	What Costs Are Taxable .....	290
20-1.4.1	Filing Fee .....	290
20-1.4.2	Docketing Fee .....	291
20-1.4.3	Counsel Fees .....	291
20-1.4.4	Premiums for Appeal Bonds .....	291
20-1.4.5	Record-Related Costs .....	291
20-1.4.6	Costs of Producing Letters and Other Documents Not Officially Filed with the Court .....	291
20-1.4.7	Costs of Producing Motions .....	291
20-1.4.8	Costs of Producing Appellate Briefs and Appendices .....	291
20-1.4.9	Other Costs .....	293
20-1.5	Procedure for Recovery of Costs .....	293
20-1.5.1	Bill of Costs .....	293
20-1.5.2	Objections to Bill of Costs .....	294
20-1.5.3	Answer to Objections .....	294
20-1.5.4	Taxation of Costs by the Clerk .....	294

Table of Contents

20-2	Appellate Attorney’s Fees .....	294
20-2.1	Authority .....	294
20-2.1.1	Statutory Authority .....	294
20-2.1.2	Contractual Authority .....	294
20-2.1.3	Common-Fund Cases .....	295
20-2.2	Discretion .....	295
20-2.3	Who May Recover Fees .....	295
20-2.4	Determination of Recoverable Fees .....	295
20-2.4.1	Reasonable Hourly Rate .....	295
20-2.4.2	Number of Hours Expended .....	295
20-2.4.3	Adjustments .....	295
20-2.5	Procedure for Recovery of Appellate Attorney’s Fees .....	296
20-2.5.1	Application for Fees .....	296
20-2.5.2	Objections to Application .....	296
20-2.5.3	Disposition of Application for Appellate Counsel Fees .....	296
20-2.5.4	Application for Fees Under Criminal Justice Act .....	296
20-3	Effect of Appellate Judgment on Award of Interest .....	297
20-3.1	Interest on Money Judgment That Is Affirmed .....	297
20-3.2	Interest on Money Judgment Resulting from Reversal or Modification of District Court’s Order .....	297
20-4	Issuance of the Mandate .....	297
20-4.1	Judgment and Mandate Distinguished .....	297
20-4.1.1	Judgment .....	297
20-4.1.2	Mandate .....	297
20-4.2	Form of Mandate .....	297
20-4.3	Time of Issuance of Mandate .....	297
20-5	Stay of the Mandate .....	298
20-5.1	Stay While Petition for Rehearing Is Pending .....	298
20-5.2	Stay Upon Motion During Application for Writ of Certiorari to United States Supreme Court .....	298
20-5.2.1	Content of Motion .....	298
20-5.2.2	Security .....	298
20-5.2.3	Duration of the Stay .....	298
20-5.2.4	Course of Action if Stay Is Denied .....	298
20-6	Recall or Vacatur of the Mandate .....	299
<b>21</b>	<b>Certiorari .....</b>	<b>301</b>
	<i>David H. Marion</i>	
	<i>Judge Stella M. Tsai</i>	
21-1	The Nature of Certiorari Review .....	301
21-2	General Principles Governing Certiorari Review .....	301
21-3	Timely Filing a Petition for Certiorari .....	303
21-4	The Effect of the Court of Appeals Mandate .....	304
21-5	The Form of a Certiorari Petition .....	304
21-6	Opposition to the Petition .....	305
21-7	Reply in Support of Petition .....	305
21-8	The Use of Amicus Briefs .....	306
21-9	Contacting the Court .....	306
21-10	A Final Word .....	306
<b>22</b>	<b>Frivolous Appeals and Sanctions .....</b>	<b>307</b>
	<i>David R. Fine</i>	
22-1	Federal Rule of Appellate Procedure 38: Frivolous Appeals, Damages, and Costs .....	307
22-1.1	The Purpose of Rule 38 .....	307
22-1.2	The Standard Governing Frivolous Appeals .....	308
22-1.2.1	Relevant Case Examples .....	308
22-1.2.2	Relevant Factors to Consider on “Frivolousness” .....	310

22-1.3	Procedure for Obtaining Fees and Costs .....	311
22-1.3.1	Award on the Court's Own Motion .....	311
22-1.3.2	Award on Motion by Appellee .....	312
22-1.4	Amounts of Awards and Assessment .....	312
22-1.4.1	Amount of Award .....	313
22-1.4.2	Assessment of Award .....	313
22-2	Sanctions as an Award of Damages for Delay Under 28 U.S.C. § 1912 .....	313
22-3	Sanctions in the Form of Liability for Excessive Costs Under 28 U.S.C. § 1927 .....	314
22-4	Sanctions Based on Inherent Authority .....	314
22-5	Sanctions Under Miscellaneous Local Appellate Rules 107.1 and 107.2 .....	315
22-6	Sanctions in the Form of Attorney Discipline .....	316

## **23 The Effect of the Appellate Court Decision ..... 317**

*William J. Wade*

*Jason J. Rawnsley*

23-1	Effect of the Mandate .....	317
23-1.1	District Court's Obligation to Comply with the Mandate on Remand .....	317
23-1.2	An Exception to the General Rule—A Change in the Law .....	319
23-2	Stare Decisis .....	319
23-2.1	The Nature of Stare Decisis .....	320
23-2.2	Opinions Having Precedential Effect .....	320
23-2.3	Precedential Effect of United States Supreme Court Opinions .....	320
23-2.4	Stare Decisis Effect of Panel Rulings on Another Panel .....	321
23-2.5	Matters Not Constituting Stare Decisis .....	322
23-2.6	Stare Decisis Effect of District Court Opinions .....	322
23-3	Law of the Case .....	322
23-3.1	Purpose of the Doctrine .....	322
23-3.2	Scope of the Doctrine .....	322
23-3.3	Exceptions to the Doctrine .....	323
23-4	Claim and Issue Preclusion .....	324
23-4.1	Applicable Preclusion Law .....	325
23-4.2	Proving Claim Preclusion and Issue Preclusion in the Third Circuit .....	325
23-4.2.1	Final Judgment on the Merits .....	326
23-4.3	The Same Parties or Parties in Privity With Them .....	329
23-4.4	Matters Subject to Preclusion .....	331
23-4.4.1	Same "Cause of Action" for Claim Preclusion Purposes .....	332
23-4.4.2	Same "Issue" for Issue Preclusion Purposes .....	332
23-4.5	Procedural and Other Issues Related to Claim and Issue Preclusion .....	333
23-4.5.1	Reservations and Claim-Splitting .....	333
23-4.5.2	Raising a Preclusion Defense .....	334
23-4.5.3	Standard of Review .....	335
23-5	Recall of the Mandate .....	335
23-5.1	Authority to Recall the Mandate .....	335
23-5.2	Standards for Recalling a Mandate .....	336

## **Part V: Specialized Appeals**

### **24 Criminal Appeals and Habeas Corpus ..... 341**

*Peter Goldberger*

24-1	Appellate Jurisdiction and Appealable Orders .....	341
24-1.1	Introduction .....	341
24-1.2	Post-sentence Appeals from "Final Decisions" (28 U.S.C. § 1291) .....	342
24-1.2.1	Section 1291 .....	342
24-1.2.2	Final Decision .....	342

Table of Contents

24-1.2.3	Single Appeal .....	343
24-1.2.4	Motions Pending at Time of Judgment; Motion Filed and Denied During Appeal .....	343
24-1.2.5	Sentencing Appeals .....	343
24-1.3	Interlocutory Appeals from “Collateral Orders” .....	344
24-1.3.1	Supreme Court Interpretation .....	344
24-1.3.2	“Collateral Order” Doctrine Defined .....	344
24-1.3.3	Examples .....	345
24-1.3.4	Appeals of Bail Orders .....	346
24-1.3.5	Appeals of Orders Postponing Sentence After Refusal to Enhance .....	346
24-1.4	Appeals by Government .....	346
24-1.4.1	Government Appeals in Criminal Cases (18 U.S.C. § 3731) .....	346
24-1.4.2	18 U.S.C. § 3742(b): Government Sentencing Appeals .....	348
24-1.4.3	Orders Concerning Disclosure of Classified Information .....	348
24-1.5	Appeals by Third Parties .....	349
24-1.5.1	Collateral Order .....	349
24-1.5.2	Examples .....	349
24-1.6	Mootness and Abatement of Appeal .....	350
24-1.6.1	Mootness Comparatively Rare in Criminal Appeals .....	350
24-1.6.2	Abatement of Case by Death of Defendant While Appeal Is Pending .....	350
24-1.7	Mandamus and Prohibition .....	351
24-1.7.1	Extraordinary Writs of Mandamus or Prohibition Are Alternative Means of Review of Nonfinal Orders .....	351
24-1.7.2	Mandamus Relief Is Unusual .....	351
24-1.7.3	Factors Governing Court’s Discretion .....	351
24-1.7.4	Examples of Mandamus Granted in Criminal Cases .....	352
24-1.7.5	Mandamus to Enforce Crime Victims’ Rights Act .....	353
24-2	Scope and Standards of Review in Criminal Appeals .....	354
24-2.1	Scope of Review: The Record on Appeal .....	354
24-2.2	Raising and Preserving Issues for Appeal in Trial Court .....	355
24-2.2.1	Forfeiture of Issues Not Raised Below/Plain Error .....	355
24-2.2.2	Manner and Time of Raising Objection .....	355
24-2.2.3	Timely Motion or Objection Generally Sufficient .....	355
24-2.2.4	Some Special Requirements for Preserving Particular Issues in Criminal Cases .....	356
24-2.2.5	Exceptions to Requirement That Issue Be Raised and Preserved .....	360
24-2.2.6	Preserving the Right to Appeal: Filing a Timely Notice .....	361
24-2.3	Waiver and Forfeiture of Issues on Appeal .....	361
24-2.3.1	Waiver of Issues Contrasted with Forfeiture .....	361
24-2.3.2	Forfeiture by Appellant’s Noncompliance with Appellate Rules .....	362
24-2.3.3	Fugitive Disentitlement Doctrine .....	363
24-2.3.4	Guilty Plea Waives or Forfeits Most Errors .....	363
24-2.3.5	Forfeiture of Issues or Grounds of Affirmance by Appellee .....	364
24-2.3.6	Waiver of Right to Appeal .....	365
24-2.3.7	Estoppel as to Particular Issues .....	366
24-2.4	Harmless Error and Related Doctrines .....	367
24-2.4.1	Overview .....	367
24-2.4.2	Burden of Proof .....	368
24-2.4.3	Harmless Error Review Encompasses Entire Record .....	368
24-2.4.4	Harmless Error Assessed in Light of Likely Effect on Outcome .....	368
24-2.4.5	Cumulative Effect of Multiple Errors .....	369
24-2.4.6	Curing of Error .....	369
24-2.4.7	Categories of Error That Are Never Harmless .....	369
24-2.4.8	Errors That May Be Found Harmless .....	370
24-2.4.9	Evidentiary Error More Likely Harmless in Bench Trials .....	371
24-2.4.10	Multiple Issues, Multiple Counts, and Multiple Theories .....	372
24-2.5	Standards of Review .....	373
24-2.5.1	Definition .....	373
24-2.5.2	Standards of Review: Overview .....	373
24-2.5.3	“Plain Error” Review of Issues and Theories Not Raised in District Court .....	373
24-2.5.4	“Clearly Erroneous” Review of Factual Findings .....	376

24-2.5.5	“Abuse of Discretion” Review of Discretionary Rulings of District Court .....	379
24-2.5.6	“De Novo” or “Plenary” Review of Issues of Law .....	382
24-2.5.7	The “Substantial Evidence” Standard for Reviewing the Sufficiency of the Evidence—A Special Form of De Novo Review .....	386
24-2.6	Review of Criminal Sentences: Special Rules.....	389
24-2.6.1	Statutory Grounds for Appeal .....	389
24-2.6.2	Standard of Review Under Sentencing Reform Act of 1984 Prior to <i>United States v. Booker</i> .....	389
24-2.6.3	Current Standards of Review, Post- <i>Booker</i> .....	390
24-2.6.4	Fines, Forfeitures, and Restitution .....	393
24-3	Procedural Steps in a Criminal Appeal .....	393
24-3.1	Timeliness .....	393
24-3.1.1	Notice of Appeal .....	393
24-3.1.2	Time For Filing.....	393
24-3.1.3	When Time to Appeal Begins to Run .....	394
24-3.1.4	Computing Time Period.....	395
24-3.1.5	Effective Date of Notice of Appeal.....	395
24-3.1.6	Matters That Do or Do Not Affect the Time to Appeal .....	396
24-3.1.7	One 30-Day Extension of Time Available for “Excusable Neglect” or “Good Cause”.....	397
24-3.1.8	Court of Appeals Action on Untimely Appeals.....	398
24-3.1.9	Government Appeals: Additional Timeliness Considerations.....	399
24-3.1.10	Timeliness of Cross-Appeals.....	400
24-3.2	How to File an Appeal .....	400
24-3.2.1	The Notice of Appeal.....	400
24-3.2.2	Naming Parties; Joint Notice of Appeal.....	401
24-3.2.3	Where to File the Notice of Appeal.....	401
24-3.2.4	How to File the Notice of Appeal.....	401
24-3.2.5	Other Items Required to be Filed With or Soon After the Notice of Appeal.....	402
24-3.2.6	Government Appeals: Additional Considerations Regarding Filing.....	404
24-3.3	After Filing the Appeal .....	404
24-3.3.1	In General; Sources of Procedural Information .....	404
24-3.3.2	Docketing Letter; Designation of Case Manager.....	404
24-3.3.3	Application for Admission to the Bar of the Third Circuit.....	405
24-3.3.4	Cross-Appeal: Additional Considerations.....	405
24-3.3.5	<i>Anders</i> Brief and Motion to Withdraw from Meritless Appeal .....	406
24-3.3.6	Motions for Bail Pending Appeal, Motions to Expedite Appeal, and Early Dispositive Motions .....	406
24-3.4	Completion of Transcript Preparation, Designation of Record, and Issuance of Briefing Schedule .....	406
24-3.4.1	Completion of the Transcript .....	406
24-3.4.2	Counsel’s Designation of Record Items to be Included in Appendix.....	406
24-3.4.3	Briefing Schedule: Federal Rules.....	406
24-3.4.4	Briefing Schedule Generally Set by Order in Third Circuit .....	406
24-3.4.5	Motion for Extension of Time to File Brief.....	407
24-3.5	The Record and Preparation of the Appendix .....	408
24-3.5.1	The Record on Appeal .....	408
24-3.5.2	Some Practical Issues as to Appendix Preparation in Criminal Appeals.....	408
24-3.5.3	Requirements for the Appendix.....	409
24-3.5.4	Appendix Where Appeal Challenges Sufficiency of the Evidence.....	410
24-3.5.5	Presentence-Investigation Report and Judgment’s Statement of Reasons Not Included in Appendix, but Submitted Separately Under Seal .....	410
24-3.5.6	Documents Sealed in District Court.....	410
24-3.5.7	Supplemental Appendix.....	411
24-3.5.8	Appeals Heard on Original Papers, Without Appendix.....	411
24-3.6	Briefs on Criminal Appeals .....	411
24-3.6.1	Requirements for the Brief.....	411
24-3.6.2	Contents of Appellant’s (Blue) Brief.....	411
24-3.6.3	Contents of Appellee’s (Red) Brief .....	414
24-3.6.4	Contents of Reply (Gray) Brief .....	415

Table of Contents

24-3.6.5	Briefs Where There Is a Cross-Appeal .....	415
24-3.6.6	Format, Filing, and Service of Appeal Briefs .....	415
24-3.6.7	References to Presentence Report .....	416
24-3.6.8	References to Parties, Personal Identifiers .....	416
24-3.6.9	Service .....	417
24-3.6.10	Filing .....	417
24-3.6.11	Miscellaneous Supplemental Submissions .....	417
24-3.7	Oral Argument or Submission on the Briefs .....	418
24-3.7.1	Request for Oral Argument .....	418
24-3.7.2	When Oral Argument Is Held .....	418
24-3.7.3	Disposition Date and Scheduling Oral Argument .....	418
24-3.7.4	A Criminal Defendant’s Considerations and Objectives on Oral Argument .....	419
24-3.7.5	The Government’s Considerations and Objectives on Oral Argument .....	419
24-3.7.6	Loose Ends After Oral Argument .....	420
24-3.8	The Disposition of the Appeal .....	420
24-3.8.1	The Process .....	420
24-3.8.2	Written Decision .....	420
24-3.8.3	Forms of Disposition .....	420
24-3.8.4	Reversal of Some or All Counts of Conviction .....	424
24-3.8.5	Remand to Same or Different District Judge .....	425
24-3.8.6	Disposition of Sentencing Appeals .....	425
24-3.9	Post-Judgment Proceedings .....	426
24-3.9.1	In General .....	426
24-3.9.2	Rehearing by Panel or En Banc in Criminal Appeals .....	426
24-3.9.3	Special Considerations for Rehearing Petitions by the Government .....	428
24-3.9.4	Stay of Mandate: Special Considerations in Criminal Appeals .....	428
24-3.9.5	Petition for Certiorari .....	429
24-3.9.6	Proceedings on Remand .....	429
24-3.10	Motion Practice and Procedure in Criminal Appeals .....	430
24-3.10.1	Procedures for Filing Motions in Criminal Appeals .....	430
24-3.10.2	Motion for Bail Pending Appeal .....	432
24-3.10.3	Other Motions Particularly Relevant to Criminal Appeals .....	433
24-3.11	Matters as to Which District Court May Retain Jurisdiction During an Appeal .....	434
24-3.11.1	General Rule That District Court Loses Jurisdiction While Appeal Is Pending .....	434
24-3.11.2	Exceptions to General Rule: District Court’s Limited Powers During Appeal .....	435
24-4	Review by Habeas Corpus and Section 2255 Motions .....	437
24-4.1	Introduction to Habeas Corpus .....	437
24-4.1.1	State and Territorial Prisoners—28 U.S.C. § 2254 .....	438
24-4.1.2	Federal Prisoners—28 U.S.C. § 2255 .....	438
24-4.1.3	Execution of Federal Sentences—28 U.S.C. § 2241 .....	439
24-4.2	Second and Successive Petitions .....	440
24-4.3	Appeals from Habeas Corpus and Section 2255 Decisions .....	440
24-4.4	Interlocutory Appeals in Habeas Cases .....	441
24-4.5	Initiating Appellate Review .....	441
24-4.5.1	Time for Appeal .....	441
24-4.5.2	Certificate of Appealability .....	441
24-4.6	Stays and Custody Status Pending Review .....	444
24-4.7	Restriction on Transfer Pending Appeal .....	445
24-4.8	Special Aspects of Standards of Review .....	445
24-4.9	Harmless Error .....	445
24-4.10	Habeas and Section 2255 Appeals Treated as Civil .....	446
24-4.11	Mootness Limitation on Habeas Corpus .....	446
24-4.12	Special Considerations in Capital Habeas Appeals .....	446
24-5	Third Circuit Review by Certiorari of Decisions of the Supreme Court of the Virgin Islands .....	447
24-5.1	Criteria for Grant of Certiorari .....	447
24-5.2	Procedural Aspects .....	448



<b>25</b>	<b>Immigration Appeals.....</b>	<b>449</b>
	<i>Judge Steven A. Morley</i>	
	<i>Hannah C. Cartwright</i>	
25-1	Introduction .....	449
25-2	Mechanics of Judicial Review of a Final Order of Deportation/Removal .....	451
25-2.1	Overview .....	451
25-2.2	Stay of Removal .....	453
25-2.3	Nature of the Review .....	454
25-3	The Scope of Review.....	456
25-3.1	Jurisdictional Issues .....	456
25-3.2	Standards of Review.....	458
25-4	Exhaustion of Remedies .....	459
25-5	Deference to the Agency .....	461
25-6	Other Bases of Judicial Review .....	464
25-7	Specialized Issues in Immigration Appeals.....	465
25-7.1	Asylum.....	465
25-7.2	Withholding of Removal and Convention Against Torture .....	472
25-7.3	Other Forms of Relief .....	474
25-7.4	Criminal Aliens .....	478
25-8	Conduct and Evidentiary Issues in Removal Proceedings .....	485
25-9	Detention, Bond, and Release .....	487
25-10	Motions to Reopen.....	490
<b>26</b>	<b>Bankruptcy Appeals .....</b>	<b>495</b>
	<i>Eric A. Schaffer</i>	
	<i>Kurt F. Gwynne</i>	
26-1	Jurisdiction over Bankruptcy Appeals .....	495
26-2	Finality in the Bankruptcy Context .....	496
26-3	Appeals from Final Orders .....	497
26-3.1	Appeals to the District Court.....	497
26-3.2	Appeals to the Third Circuit .....	497
26-3.2.1	After Appeal to the District Court.....	497
26-3.2.2	Direct Appeals to the Third Circuit.....	497
26-4	Appeals from Nonfinal Orders .....	497
26-4.1	Appeals to the District Court.....	497
26-4.2	Appeals to the Third Circuit .....	498
26-4.2.1	After Appeal to the District Court.....	498
26-4.2.2	Direct Appeals to the Third Circuit—Section 158(d)(2) of Title 28, U.S. Code .....	499
26-4.3	Examples of Final and Interlocutory Orders .....	499
26-4.3.1	Appeals of an Order Remanding for Further Proceedings .....	499
26-4.3.2	Appeals of the Appointment of a Trustee .....	499
26-4.3.3	Appeals Under the Collateral-Order Doctrine.....	500
26-4.3.4	Appeals of Nonfinal Orders Followed by Final Order .....	500
26-4.3.5	Appeals of Stay Orders Pending an Appeal .....	500
26-4.3.6	Appeals of Order Disqualifying an Attorney .....	500
26-4.3.7	Appeals of Order Denying Relief from Stay .....	501
26-4.3.8	Appeals of Order Dismissing Action with Prejudice .....	501
26-4.3.9	Appeals of Order Under Section 365 .....	501
26-4.3.10	Appeals of Order Withdrawing the Reference .....	501
26-4.3.11	Appeals of Order Allowing Creditor’s Claim .....	501
26-5	Standing to Appeal.....	501
26-6	Stays Pending Appeal.....	502
26-6.1	The Mootness Doctrines .....	502
26-6.1.1	Constitutional Mootness .....	502
26-6.1.2	Equitable Mootness .....	503

Table of Contents

26-6.2	Determining the Need for a Stay Pending Appeal.....	504
26-6.2.1	Express Statutory Requirement for Stay of a Final Order Pending Appeal.....	504
26-6.2.2	Silence in Other Sections of Bankruptcy Code as to Stays Pending Appeal.....	505
26-6.3	Obtaining a Stay Pending Appeal—F.R.B.P. 8007 and Fed.R.App.P. 8.....	505
26-6.3.1	Appeal to the District Court: Posting Bond and Receiving a Stay.....	505
26-6.3.2	Appeal to the District Court: Motion for a Stay Pending Appeal.....	506
26-6.3.3	Appeal to the District Court: Posting Bond and Receiving a Stay.....	506
26-6.3.4	Appeal to the Third Circuit: Motion for a Stay Pending Appeal.....	507
26-7	Record on Appeal.....	507
26-7.1	F.R.B.P. 8009 and Fed.R.App.P. 6—Record and Issues on Appeal.....	507
26-7.2	F.R.B.P. 8010 and Fed.R.App.P. 6—Completion and Transmission of the Record; Docketing of the Appeal.....	508
26-8	Rules of Procedure.....	509
26-8.1	F.R.B.P. 8003 and Fed.R.App.P. 3—Manner of Taking Appeal as of Right; Dismissal for Failure to Prosecute.....	509
26-8.2	F.R.B.P. 8006—Certification for Direct Appeal to the Third Circuit.....	510
26-8.2.1	Differences in Procedural Requirements for Certifying Interlocutory Appeals.....	512
26-8.3	F.R.B.P. 8002 and Fed.R.App.P. 4—Time for Filing Notice of Appeal.....	513
26-8.4	F.R.B.P. 8004 and Fed.R.App.P. 5—Leave to Appeal.....	514
26-8.5	F.R.B.P. 8003(c) and Fed.R.App.P. 3—Service of Notice of Appeal.....	515
26-8.6	F.R.B.P. 8007 and Fed.R.App.P. 8—Stay Pending Appeal.....	515
26-8.7	F.R.B.P. 8018 and Fed.R.App.P. 31—Briefs; Filing and Service.....	515
26-8.8	F.R.B.P. 8014–8015 and Fed.R.App.P. 28–32—Contents of Briefs; Form of Briefs; Length.....	515
26-8.9	F.R.B.P. 8016 and Fed.R.App.P. 28.1—Cross-Appeals.....	517
26-8.10	F.R.B.P. 8013 and Fed.R.App.P. 27—Motions.....	518
26-8.11	F.R.B.P. 8019 and Fed.R.App.P. 34—Oral Argument.....	518
26-8.12	F.R.B.P. 8025 and Fed.R.App.P. 8—Stay of District Court Judgment.....	518
26-9	Core/Noncore, Relatedness.....	519
26-10	Disposition and Standards of Review.....	520

**Part VI: Pro Bono Representations and Appointments**

<b>27</b>	<b>Pro Bono Representations and Appointments.....</b>	<b>527</b>
	<i>Paul H. Titus</i>	
	<i>Jay Evans</i>	
27-1	Introduction.....	527
27-2	Standards for Appointment of Pro Bono Counsel.....	528
27-3	The Need for Pro Bono Counsel.....	529
27-4	Some Practical Considerations.....	530
27-5	Economics of Pro Bono Cases.....	530
27-6	Conclusion.....	531

**Part VII: Unique Perspectives of Lawyer Turned Judge and Judge Turned Lawyer**

<b>28</b>	<b>Unique Perspectives of Lawyer Turned Judge and Judge Turned Lawyer.....</b>	<b>535</b>
	<i>Judge Cheryl Ann Krause</i>	
	<i>Former Judge Timothy K. Lewis</i>	
28-1	The Perspective of the Honorable Cheryl A. Krause.....	535
28-2	The Perspective of the Honorable Timothy K. Lewis.....	538

**Part VIII: Indexes**

<b>Table of Cases</b> .....	545
<b>Table of Rules and Statutes</b> .....	637
<b>Subject Index</b> .....	647s