



DEMO EVIDENCE HYPERLINKED

Federal Rules of Evidence 2006

Effective July 1, 1975, as amended to December 1, 2005

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INTRODUCTION

Evidence Hyperlinked is a reformatted version of the Federal Rules of Evidence based on the rules as published by the General Printing Office of the United States in the 2005 revision including selected notes of the Advisory Committee on Proposed Rules. The full notes can be found in the appendix section of Title 28 of the United States Code. This Demo is intended to present a sample of the content presented in Evidence Hyperlinked. The full version consists of 177 pages.

The purpose of this book is to present the Rules of Evidence in itemized rather than paragraph form in order to make the elements of each rule readily identifiable. Each rule and each element is hyperlinked when cross-referenced so that a click of the mouse will take the reader to a referenced term, rule, or element. The hyperlinks provide a way for the reader to gain a more complete understanding of the interrelationship between different or related terms in an efficient manner.

The notes selected for inclusion are those found to be helpful in explaining the intent, purpose, and operation of each rule and element. The book includes only those notes relevant to the rules currently in effect. Notes historical in nature, or irrelevant to the current version of the rules are not included.

Citations and Authorities are included where space permits, however when necessary to make the rule and the selected notes fit on a single page, they have been either removed or reduced to one citation or authority instead of multiple ones.

The Bookmarks Section provides the reader with easy navigation through the Rules and makes the book an excellent and efficient reference source. Also included is a Subject Outline Section which can be used for test preparation or as a quick reference.

Use of this book in electronic form provides both a unique learning experience and a handy reference tool based on the hyperlink features employed. Letters in blue text are hyperlinks that will take the reader to the section of the book related to the word or phrase. Clicking on the Back Arrow in the navigation toolbar area returns the reader to the previous section. Please note that the functions and layout features will vary depending on the set up and capabilities of the specific reader program. To get an idea about how to use these features, use the mouse to left click on any words in [blue](#) text.

For best printing results, select print to fit in the print menu. Also, the Bookmarks Tab should be on the left side of the screen. If there are miniature pages on the left side of the screen instead of bookmarks, click the bookmarks tab for an easy way to navigate through the rules. If you received the book by email attachment, it is recommended to download the file to your hard drive. Further, downloading to the hard drive is necessary for offline use.

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Sincerely, Edward Torriel

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Article I: General Provisions

Rule 101: Scope

These rules govern proceedings in the courts of the United States and before the United States bankruptcy judges and United States magistrate judges, to the extent and with the exceptions stated in [rule 1101](#).

[Rule 1101](#) specifies in detail the courts, proceedings, questions, and stages of proceedings to which the rules apply in whole or in part.

Rule 102: Purpose and Construction

Truth and Justice

These rules shall be construed to secure fairness in administration, elimination of unjustifiable expense and delay, and promotion of growth and development of the law of evidence to the end that the truth may be ascertained and proceedings justly determined.

For similar provisions see Rule 2 of the Federal Rules of Criminal Procedure, Rule 1 of the Federal Rules of Civil Procedure, California Evidence Code § 2, and New Jersey Evidence Rule 5.

Article IV: Relevancy and its Limits

Rule 401: Relevant Evidence

Definition

"Relevant evidence" means evidence having any tendency to make the existence of any fact that is of consequence to the determination of the action more probable or less probable than it would be without the evidence.

The variety of relevancy problems is coextensive with the ingenuity of counsel in using circumstantial evidence as a means of proof. An enormous number of cases fall in no set pattern, and this rule is designed as a guide for handling them. On the other hand, some situations recur with sufficient frequency to create patterns susceptible of treatment by specific rules. [Rule 404](#) and those following it are of that variety; they also serve as illustrations of the application of the present rule as limited by the exclusionary principles of [Rule 403](#).

Relevancy is not an inherent characteristic of any item of evidence but exists only as a relation between an item of evidence and a matter properly provable in the case. Does the item of evidence tend to prove the matter sought to be proved? Whether the relationship exists depends upon principles evolved by experience or science, applied logically to the situation at hand. James, Relevancy, Probability and the Law, 29 Calif.L.Rev. 689, 696, n. 15 (1941), in Selected Writings on Evidence and Trial 610, 615, n. 15 (Fryer ed. 1957).

Probative Value: Problems of relevancy call for an answer to the question whether an item of evidence, when tested by the processes of legal reasoning, possesses sufficient [probative value](#) to justify receiving it in evidence. The standard of probability under the rule is "more . . . probable than it would be without the evidence." Any more stringent requirement is unworkable and unrealistic. Dealing with probability in the language of the rule has the added virtue of avoiding confusion between questions of admissibility and questions of the sufficiency of the evidence.

Materiality: The rule uses the phrase "fact that is of consequence to the determination of the action" to describe the kind of fact to which proof may properly be directed. The language is that of California Evidence Code § 210; it has the advantage of avoiding the loosely used and ambiguous word "material."

The fact to be proved may be ultimate, intermediate, or evidentiary; it matters not, so long as it is of consequence in the determination of the action. The fact to which the evidence is directed need not be in dispute. While situations will arise which call for the exclusion of evidence offered to prove a point conceded by the opponent, the ruling should be made on the basis of such considerations as [waste of time and undue prejudice](#) (see [Rule 403](#)), rather than under any general requirement that evidence is admissible only if directed to matters in dispute.

Evidence which is essentially background in nature can scarcely be said to involve disputed matter, yet it is universally offered and admitted as an aid to understanding. Charts, [photographs](#), views of real estate, murder weapons, and many other items of evidence fall in this category. A rule limiting admissibility to evidence directed to a controversial point would invite the exclusion of this helpful evidence, or at least the raising of endless questions over its admission.

Conditional Relevancy: Passing mention should be made of so-called "[conditional](#)" relevancy. Morgan, Basic Problems of Evidence 45-46 (1962). In this situation, probative value depends not only upon satisfying the basic requirement of relevancy as described above but also upon the existence of some matter of fact. For example, if evidence of a spoken [statement](#) is relied upon to prove notice, probative value is lacking unless the person sought to be charged heard the [statement](#). The problem is one of fact, and the only rules needed are for the purpose of determining the respective functions of judge and jury. See Rules [104\(b\)](#) and [901](#).

Rule 402: Relevant Evidence Generally Admissible

Irrelevant Evidence Inadmissible

All relevant evidence is admissible, except as otherwise provided by the Constitution of the United States, by Act of Congress, by these rules, or by other rules prescribed by the Supreme Court pursuant to statutory authority. Evidence which is not relevant is not admissible.

The provisions that all [relevant evidence](#) is admissible, with certain exceptions, and that evidence which is not relevant is not admissible are "a presupposition involved in the very conception of a rational system of evidence." Thayer, Preliminary Treatise on Evidence 264 (1898).

They constitute the foundation upon which the structure of admission and exclusion rests.

Exclusion of Relevant Evidence: Not all [relevant evidence](#) is admissible. The exclusion of [relevant evidence](#) occurs in a variety of situations and may be called for by these rules, by the Rules of Civil and Criminal Procedure, by Bankruptcy Rules, by Act of Congress, or by constitutional considerations.

Succeeding rules in the present article, in response to the demands of particular policies, require the exclusion of evidence despite its [relevancy](#). In addition, [Article V](#) recognizes a number of [privileges](#); [Article VI](#) imposes limitations upon witnesses and the manner of dealing with them; [Article VII](#) specifies requirements with respect to [opinions](#) and [expert testimony](#); [Article VIII](#) excludes [hearsay](#) not falling within an exception; [Article IX](#) spells out the handling of [authentication and identification](#); and [Article X](#) restricts the manner of proving the contents of [writings and recordings](#).

The Rules of Civil and Criminal Procedure in some instances require the exclusion of [relevant evidence](#). For example, Rules 30(b) and 32(a)(3) of the Rules of Civil Procedure, by imposing requirements of notice and [unavailability of the deponent](#), place limits on the use of [relevant](#) depositions. Similarly, Rule 15 of the Rules of Criminal Procedure restricts the use of depositions in criminal cases, even though [relevant](#). And the effective enforcement of the command, originally statutory and now found in Rule 5(a) of the Rules of Criminal Procedure, that an arrested person be taken without unnecessary delay before a commissioner or other similar officer is held to require the exclusion of [statements](#) elicited during detention in violation thereof. *Mallory v. U.S.*, 354 U.S. 449, 77 S.Ct. 1356, 1 L.Ed.2d 1479 (1957); 18 U.S.C. § 3501(c).

While congressional enactments in the field of evidence have generally tended to expand admissibility beyond the scope of the common law rules, in some particular situations they have restricted the admissibility of [relevant evidence](#). Most of this legislation has consisted of the formulation of a [privilege](#) or of a prohibition against disclosure. 8 U.S.C. § 1202(f), records of refusal of visas or permits to enter United States confidential, subject to discretion of Secretary of State to make available to court upon certification of need; 10 U.S.C. § 3693, replacement certificate of honorable discharge from Army not admissible in evidence; 10 U.S.C. § 8693, same as to Air Force; 11 U.S.C. § 25(a)(10), testimony given by bankrupt on his examination not admissible in criminal proceedings against him, except that given in hearing upon objection to discharge; 11 U.S.C. § 205(a), railroad reorganization petition, if dismissed, not admissible in evidence; 11 U.S.C. § 403(a), list of creditors filed with municipal composition plan not an admission; 13 U.S.C. § 9(a), census information confidential, retained copies of reports [privileged](#); 47 U.S.C. § 605, interception and divulgence of wire or radio communications prohibited unless authorized by sender. These statutory provisions would remain undisturbed by the rules.

The rule recognizes but makes no attempt to spell out the constitutional considerations which impose basic limitations upon the admissibility of [relevant evidence](#). Examples are evidence obtained by unlawful search and seizure, *Weeks v. U.S.*, 232 U.S. 383, 34 S.Ct. 341, 58 L.Ed. 652 (1914); *Katz v. U.S.*, 389 U.S. 347, 88 S.Ct. 507, 19 L.Ed.2d 576 (1967); incriminating [statement](#) elicited from an accused in violation of right to counsel, *Massiah v. U.S.*, 377 U.S. 201, 84 S.Ct. 1199, 12 L.Ed.2d 246 (1964).

Rule 403: Exclusion of Relevant Evidence

Prejudice, Confusion, Waste of Time

Although relevant, evidence may be excluded if its probative value is substantially outweighed by the danger of unfair prejudice, confusion of the issues, or misleading the jury, or by considerations of undue delay, waste of time, or needless presentation of cumulative evidence.

The case law recognizes that certain circumstances call for the exclusion of evidence which is of [unquestioned relevance](#). These circumstances entail risks which range all the way from inducing decision on a purely emotional basis, at one extreme, to nothing more harmful than merely wasting time, at the other extreme.

Situations in this area call for balancing the [probative value](#) of and need for the evidence against the harm likely to result from its admission. Slough, *Relevancy Unraveled*, 5 Kan. L. Rev. 1, 12-15 (1956); Trautman, *Logical or Legal Relevancy--A Conflict in Theory*, 5 Van. L. Rev. 385, 392 (1952); McCormick § 152, pp. 319-321.

The rules which follow in this Article are concrete applications evolved for particular situations. However, they reflect the policies underlying the present rule, which is designed as a guide for the handling of situations for which no specific rules have been formulated.

Exclusion for risk of unfair prejudice, confusion of issues, misleading the jury, or waste of time, all find ample support in the authorities.

Unfair Prejudice

"Unfair prejudice" within its context means an undue tendency to suggest decision on an improper basis, commonly, though not necessarily, an emotional one.

In reaching a decision whether to exclude on grounds of unfair prejudice, consideration should be given to the probable effectiveness or lack of effectiveness of a limiting instruction. See [Rule 105](#).

The availability of other means of proof may also be an appropriate factor.

Unfair Surprise

The rule does not enumerate surprise as a ground for exclusion, in this respect following Wigmore's view of the common law. 6 Wigmore § 1849. Cf. McCormick § 152, p. 320, n. 29, listing unfair surprise as a ground for exclusion but stating that it is usually "coupled with the danger of prejudice and confusion of issues."

While it can scarcely be doubted that claims of unfair surprise may still be justified despite procedural requirements of notice and instrumentalities of discovery, the granting of a continuance is a more appropriate remedy than exclusion of the evidence. Tentative Recommendation and a Study Relating to the Uniform Rules of Evidence (Art. VI. Extrinsic Policies Affecting Admissibility), Cal. Law Revision Comm'n, Rep., Rec. & Studies, 612 (1964).

Rule 404: Character Evidence

Inadmissible to Prove Conduct

(a) Character evidence generally.--Evidence of a person's character or a trait of character is not admissible for the purpose of proving action in conformity therewith on a particular occasion, **except**:

(1) Character of accused.--Evidence of a pertinent trait of character offered by an accused, or by the prosecution to rebut the same, or if evidence of a trait of character of the alleged victim of the crime is offered by an accused and admitted under [Rule 404\(a\)\(2\)](#), evidence of the same trait of character of the accused offered by the prosecution;

(2) Character of alleged victim.--Evidence of a pertinent trait of character of the alleged victim of the crime offered by an accused, or by the prosecution to rebut the same, or evidence of a character trait of peacefulness of the alleged victim offered by the prosecution in a homicide case to rebut evidence that the alleged victim was the first aggressor;

(3) Character of witness.--Evidence of the character of a witness, as provided in rules [607](#), [608](#), and [609](#).

(b) Other crimes, wrongs, or acts.--Evidence of other crimes, wrongs, or acts is not admissible to prove the character of a person in order to show action in conformity therewith. It may, however, be admissible for other purposes, such as proof of motive, opportunity, intent, preparation, plan, knowledge, identity, or absence of mistake or accident, provided that upon request by the accused, the prosecution in a criminal case shall provide reasonable notice in advance of trial, or during trial if the court excuses pretrial notice on good cause shown, of the general nature of any such evidence it intends to introduce at trial.

Character may itself be an element of a crime, claim, or defense. A situation of this kind is commonly referred to as "**character in issue**." A situation of this kind is commonly referred to as "**character in issue**."

Illustrations are: the chastity of the victim under a statute specifying her chastity as an element of the crime of seduction, or the competency of the driver in an action for negligently entrusting a motor vehicle to an incompetent driver.

No problem of the **general relevancy** of **character evidence** is involved, and the present rule therefore has no provision on the subject. The only question relates to allowable methods of proof, as to which see [Rule 405](#), immediately following.

Evidence of other crimes, wrongs, or acts is not admissible to prove **character** as a basis for suggesting the inference that conduct on a particular occasion was in conformity with it. However, the evidence may be offered for another purpose, such as proof of motive, opportunity, and so on, which does not fall within the prohibition. In this situation the rule does not require that the evidence be excluded.

Rather, it is anticipated that with respect to permissible uses for such evidence, the trial judge may exclude it only on the basis of those considerations set forth in [Rule 403](#), i.e. **prejudice, confusion or waste of time**.

Once the admissibility of **character evidence** in some form is established under this rule, reference must then be made to [Rule 405](#), which follows, in order to determine the appropriate method of proof. If the **character** is that of a witness, see Rules [608](#) and [610](#) for methods of proof.

Finally, the Committee does not intend through the amendment to affect the role of the court and the jury in considering such evidence. *U.S. v. Huddleston*, 485 U.S. 681, 108 S.Ct 1496 (1988).

- A similar provision in [Rule 608](#), to which reference is made in paragraph (3), limits **character evidence** respecting witnesses to the trait of **truthfulness or untruthfulness**.

Rule 404(a): Character Evidence Inadmissible to Prove Conduct

(a) Character evidence generally.--Evidence of a person's character or a trait of character is not admissible for the purpose of proving action in conformity therewith on a particular occasion, **except**:

(1) Character of accused.--Evidence of a pertinent trait of character offered by an accused, or by the prosecution to rebut the same, or if evidence of a trait of character of the alleged victim of the crime is offered by an accused and admitted under Rule 404(a)(2), evidence of the same trait of character of the accused offered by the prosecution;

(2) Character of alleged victim.--Evidence of a pertinent trait of character of the alleged victim of the crime offered by an accused, or by the prosecution to rebut the same, or evidence of a character trait of peacefulness of the alleged victim offered by the prosecution in a homicide case to rebut evidence that the alleged victim was the first aggressor;

(3) Character of witness.--Evidence of the character of a witness, as provided in rules 607, 608, and 609.

In most jurisdictions today, the circumstantial use of character is rejected but with important exceptions: (1) an accused may introduce pertinent evidence of good character (often misleadingly described as "putting his character in issue"), in which event the prosecution may rebut with evidence of bad character; (2) an accused may introduce pertinent evidence of the character of the victim, as in support of a claim of self-defense to a charge of homicide or consent in a case of rape, and the prosecution may introduce similar evidence in rebuttal of the character evidence, or, in a homicide case, to rebut a claim that deceased was the first aggressor, however proved; and (3) the character of a witness may be gone into as bearing on his credibility. McCormick § 155-161. This pattern is incorporated in the rule.

Action in Conformity with Character

Character evidence is susceptible of being used for the purpose of suggesting an inference that the person acted on the occasion in question consistently with his character. This use of character is often described as "circumstantial." This circumstantial use of character evidence raises questions of [relevancy](#) as well as questions of allowable methods of proof.

"Character evidence is of slight [probative value](#) and may be very [prejudicial](#). It tends to distract the trier of fact from the main question of what actually happened on the particular occasion. It subtly permits the trier of fact to reward the good man to punish the bad man because of their respective characters despite what the evidence in the case shows actually happened." Cal. Law Revision Comm'n, Rep., Rec. & Studies, 657-658 (1964).

Pertinent Character Traits Exceptions

Rule 404(a)(1) has been amended to provide that when the accused attacks the character of an alleged victim under subdivision (a)(2) of this Rule, the door is opened to an attack on the same character trait of the accused. The amendment makes clear that the accused cannot attack the alleged victim's character and yet remain shielded from the disclosure of equally [relevant evidence](#) concerning the same character trait of the accused.

By its placement in Rule 404(a)(1), the amendment covers only proof of character by way of [reputation or opinion](#).

The amendment does not affect the admissibility of evidence of specific acts of uncharged misconduct offered for a purpose other than [proving character](#) under [Rule 404\(b\)](#). Nor does it affect the standards for proof of character by evidence of other sexual behavior or sexual offenses under Rules [412-415](#).

The amendment does not permit proof of the accused's character if the accused merely uses character evidence for a purpose other than to prove the alleged victim's propensity to act in a certain way. Finally, the amendment does not permit proof of the accused's character when the accused attacks the alleged victim's character as a witness under [Rule 608](#) or [609](#).

Rule 404(b): Other Crimes, Wrongs, Acts Admissible to Prove State of Mind and Identity

(b) Other crimes, wrongs, or acts.--Evidence of other crimes, wrongs, or acts is not admissible to prove the character of a person in order to show action in conformity therewith. It may, however, be admissible for other purposes, such as proof of motive, opportunity, intent, preparation, plan, knowledge, identity, or absence of mistake or accident, provided that upon request by the accused, the prosecution in a criminal case shall provide reasonable notice in advance of trial, or during trial if the court excuses pretrial notice on good cause shown, of the general nature of any such evidence it intends to introduce at trial.

Subdivision (b) deals with a specialized but important application of the general rule excluding circumstantial use of [character evidence](#). Evidence of other crimes, wrongs, or acts is not admissible to prove [character](#) as a basis for suggesting the inference that conduct on a particular occasion was in conformity with it. However, the evidence may be offered for another purpose, such as proof of motive, opportunity, and so on, which does not fall within the prohibition. In this situation the rule does not require that the evidence be excluded.

Rather, it is anticipated that with respect to permissible uses for such evidence, the trial judge may exclude it only on the basis of those considerations set forth in [Rule 403](#), i.e. [prejudice, confusion or waste of time](#).

404(b) Notice

The amendment to Rule 404(b) adds a pretrial notice requirement in criminal cases and is intended to reduce surprise and promote early resolution on the issue of admissibility.

Reasonable Notice: The court in its discretion may, under the facts, decide that the particular request or notice was not reasonable, either because of the lack of timeliness or completeness. Because the notice requirement serves as condition precedent to admissibility of 404(b) evidence, the offered evidence is inadmissible if the court decides that the notice requirement has not been met.

Time of Notice: Other than requiring pretrial notice, no specific time limits are stated in recognition that what constitutes a reasonable request or disclosure will depend largely on the circumstances of each case.

Form of Notice: Likewise, no specific form of notice is required. Instead, the Committee opted for a generalized notice provision which requires the prosecution to apprise the defense of the general nature of the evidence of extrinsic acts. The Committee does not intend that the amendment will supercede other rules of admissibility or disclosure, such as the [Jencks Act, 18 U.S.C. § 3500](#), et seq. nor require the prosecution to disclose directly or indirectly the names and addresses of its witnesses, something it is currently not required to do under Federal Rule of Criminal Procedure 16.

Intended Use: The amendment requires the prosecution to provide notice, regardless of how it intends to use the extrinsic act evidence at trial, i.e., during its case-in-chief, for impeachment, or for possible rebuttal.

The amendment does not extend to evidence of acts which are "intrinsic" to the charged offense. *U.S. v. Williams*, 900 F.2d 823 (5th Cir. 1990). Nor is the amendment intended to redefine what evidence would otherwise be admissible under Rule 404(b).

Nothing in the amendment precludes the court from requiring the government to provide it with an opportunity to rule in limine on 404(b) evidence before it is offered or even mentioned during trial. When ruling in limine, the court may require the government to disclose to it the specifics of such evidence which the court must consider in determining admissibility.

Finally, the Committee does not intend through the amendment to affect the role of the court and the jury in considering such evidence. *U.S. v. Huddleston*, 485 U.S. 681, 108 S.Ct 1496 (1988).

- **Other Notice Provisions:** [Rule 412](#) (written motion of intent to offer evidence under rule), [Rule 609](#) (written notice of intent to offer conviction older than 10 years), [Rule 807](#) (notice of intent to use residual hearsay exceptions).

Rule 405: Methods of Proving Character

Reputation, Opinion, Specific Instances of Conduct

(a) Reputation or opinion.--In all cases in which evidence of character or a trait of character of a person is admissible, proof may be made by testimony as to reputation or by testimony in the form of an opinion. On cross-examination, inquiry is allowable into relevant specific instances of conduct.

(b) Specific instances of conduct.--In cases in which character or a trait of character of a person is an essential element of a charge, claim, or defense, proof may also be made of specific instances of that person's conduct.

The rule deals only with allowable methods of proving [character](#), not with the admissibility of [character evidence](#), which is covered in [Rule 404](#).

Specific Instances of Conduct: Of the three methods of proving [character](#) provided by the rule, evidence of specific instances of conduct is the most convincing. At the same time it possesses the greatest capacity to arouse [prejudice, to confuse, to surprise, and to consume time](#). Consequently the rule confines the use of evidence of this kind to cases in which [character](#) is, in the strict sense, in issue and hence deserving of a searching inquiry.

Reputation and Opinion: When [character](#) is used circumstantially and hence occupies a lesser status in the case, proof may be only by reputation and opinion. These latter methods are also available when [character is in issue](#).

It seems likely that the persistence of reputation evidence is due to its largely being opinion in disguise. Traditionally [character](#) has been regarded primarily in moral overtones of good and bad: chaste, peaceable, truthful, honest. Nevertheless, on occasion nonmoral considerations crop up, as in the case of the incompetent driver, and this seems bound to happen increasingly.

If [character](#) is defined as the kind of person one is, then account must be taken of varying ways of arriving at the estimate. These may range from the opinion of the employer who has found the man honest to the opinion of the psychiatrist based upon examination and testing. No effective dividing line exists between [character](#) and mental capacity, and the latter traditionally has been provable by opinion.

Cross-Examination

According to the great majority of cases, on [cross-examination inquiry](#) is allowable as to whether the reputation witness has heard of particular instances of conduct pertinent to the trait in question. *Michelson v. U.S.*, 335 U.S. 469, 69 S.Ct. 213, 93 L.Ed. 168 (1948); Annot., 47 A.L.R.2d 1258.

The theory is that, since the reputation witness relates what he has heard, the inquiry tends to shed light on the accuracy of his hearing and reporting. Accordingly, the opinion witness would be asked whether he knew, as well as whether he had heard. The fact is, of course, that these distinctions are of slight if any practical significance, and the second sentence of subdivision (a) eliminates them as a factor in formulating questions. This recognition of the propriety of inquiring into specific instances of conduct does not circumscribe inquiry otherwise into the bases of opinion and reputation testimony.

Related Provisions

The express allowance of inquiry into specific instances of conduct on [cross-examination](#) in subdivision (a) and the express allowance of it as part of a case in chief when [character](#) is actually in issue in subdivision (b) contemplate that testimony of specific instances is not generally permissible on the direct examination of an ordinary opinion witness to [character](#). Similarly as to witnesses to the [character](#) of witnesses under [Rule 608\(b\)](#). Opinion testimony on direct in these situations ought in general to correspond to reputation testimony as now given, i.e., be confined to the nature and extent of observation and acquaintance upon which the opinion is based. See [Rule 701](#).

Rule 406: Habit, Routine Practice

Relevant to Prove Conduct

Evidence of the habit of a person or of the routine practice of an organization, whether corroborated or not and regardless of the presence of eyewitnesses, is relevant to prove that the conduct of the person or organization on a particular occasion was in conformity with the habit or routine practice.

"**Character** and habit are close akin. **Character** is a generalized description of one's disposition, or of one's disposition in respect to a general trait, such as honesty, temperance, or peacefulness. 'Habit,' in modern usage, both lay and psychological, is more specific. It describes one's regular response to a repeated specific situation. If we speak of **character** for care, we think of the person's tendency to act prudently in all the varying situations of life, in business, family life, in handling automobiles and in walking across the street. A habit, on the other hand, is the person's regular practice of meeting a particular kind of situation with a specific type of conduct, such as the habit of going down a particular stairway two stairs at a time, or of giving the hand-signal for a left turn, or of alighting from railway cars while they are moving. The doing of the habitual acts may become semi-automatic." McCormick, § 162, p. 340.

Equivalent behavior on the part of a group is designated "routine practice of an organization" in the rule.

Agreement is general that habit evidence is highly persuasive as proof of conduct on a particular occasion.

"**Character** may be thought of as the sum of one's habits though doubtless it is more than this. But unquestionably the uniformity of one's response to habit is far greater than the consistency with which one's conduct conforms to **character** or disposition. Even though **character** comes in only exceptionally as evidence of an act, surely any sensible man in investigating whether X did a particular act would be greatly helped in his inquiry by evidence as to whether he was in the habit of doing it." McCormick § 162, p. 341.

Corroboration of Routine Practice is not required: This requirement is specifically rejected by the rule on the ground that it relates to the sufficiency of the evidence rather than admissibility.

Absence of Eyewitnesses is not required: The rule also rejects the requirement of the absence of eyewitnesses, sometimes encountered with respect to admitting habit evidence to prove freedom from contributory negligence in wrongful death cases.

The omission of the requirement from the California Evidence Code is said to have effected its elimination. Comment, Cal.Ev.Code § 1105.

Rule 407: Subsequent Remedial Measures

Inadmissible to Prove Fault

When, after an injury or harm allegedly caused by an event, measures are taken that, if taken previously, would have made the injury or harm less likely to occur, evidence of the subsequent measures is not admissible to prove negligence, culpable conduct, a defect in a product, a defect in a product's design, or a need for a warning or instruction. This rule does not require the exclusion of evidence of subsequent measures when offered for another purpose, such as proving ownership, control, or feasibility of precautionary measures, if controverted, or impeachment.

The rule incorporates conventional doctrine which excludes evidence of subsequent remedial measures as proof of an [admission](#) of fault.

The rule rests on two grounds:

- (1) The conduct is not in fact an [admission](#), since the conduct is equally consistent with injury by mere accident or through contributory negligence. Or, as Baron Bramwell put it, the rule rejects the notion that "because the world gets wiser as it gets older, therefore it was foolish before." *Hart v. Lancashire & Yorkshire Ry. Co.*, 21 L.T.R. N.S. 261, 263 (1869). Under a liberal theory of [relevancy](#) this ground alone would not support exclusion as the inference is still a possible one.
- (2) The other, and more impressive, ground for exclusion rests on a social policy of encouraging people to take, or at least not discouraging them from taking, steps in furtherance of added safety. The courts have applied this principle to exclude evidence of subsequent repairs, installation of safety devices, changes in company rules, and discharge of employees, and the language of the present rules is broad enough to encompass all of them. See *Falknor, Extrinsic Policies Affecting Admissibility*, 10 Rutgers L.Rev. 574, 590 (1956).

Permissible Purposes

Exclusion is called for only when the evidence of subsequent remedial measures is offered as proof of negligence or culpable conduct. In effect it rejects the suggested inference that fault is [admitted](#). Evidence of subsequent measures that is not barred by Rule 407 may still be subject to exclusion on [Rule 403](#) grounds when the dangers of [prejudice or confusion](#) substantially outweigh the [probative value](#) of the evidence.

- **Allowable:** Other purposes are, however, allowable, including ownership or control, existence of duty, and feasibility of precautionary measures, if controverted, and impeachment. 2 Wigmore § 283; Annot., 64 A.L.R.2d 1296.
- **If Controverted:** The requirement that the other purpose be controverted calls for automatic exclusion unless a genuine issue be present and allows the opposing party to lay the groundwork for exclusion by making an admission. Otherwise the factors of [undue prejudice, confusion of issues, misleading the jury, and waste of time](#) remain for consideration under [Rule 403](#).

The amendment to Rule 407 makes two changes in the rule.

Prior Remedial Measures: First, the words "an injury or harm allegedly caused by" were added to clarify that the rule applies only to changes made after the occurrence that produced the damages giving rise to the action. Evidence of measures taken by the defendant prior to the "event" causing "injury or harm" do not fall within the exclusionary scope of Rule 407 even if they occurred after the manufacture or design of the product. See *Chase v. General Motors Corp.*, 856 F.2d 17, 21-22 (4th Cir. 1988).

Products Liability Claims: Second, Rule 407 has been amended to provide that evidence of subsequent remedial measures may not be used to prove "a defect in a product or its design, or that a warning or instruction should have accompanied a product." This amendment adopts the view of a majority of the circuits that have interpreted Rule 407 to apply to products liability actions. See *Raymond v. Raymond Corp.*, 938 F.2d 1518, 1522 (1st Cir. 1991).

Rule 408: Compromise and Offers to Compromise

Inadmissible to Prove Liability, Validity, or Amount of a Claim

Evidence of (1) furnishing or offering or promising to furnish, or (2) accepting or offering or promising to accept, a valuable consideration in compromising or attempting to compromise a claim which was disputed as to either validity or amount, is not admissible to prove liability for or invalidity of the claim or its amount. Evidence of conduct or statements made in compromise negotiations is likewise not admissible. This rule does not require the exclusion of any evidence otherwise discoverable merely because it is presented in the course of compromise negotiations. This rule also does not require exclusion when the evidence is offered for another purpose, such as proving bias or prejudice of a witness, negating a contention of undue delay, or proving an effort to obstruct a criminal investigation or prosecution.

This rule as reported makes evidence of settlement or attempted settlement of a disputed claim inadmissible when offered as an [admission](#) of liability or the amount of liability. The purpose of this rule is to encourage settlements which would be discouraged if such evidence were admissible.

While the rule is ordinarily phrased in terms of offers of compromise, it is apparent that a similar attitude must be taken with respect to completed compromises when offered against a party thereto. This latter situation will not, of course, ordinarily occur except when a party to the present litigation has compromised with a third person.

The final sentence of the rule serves to point out some limitations upon its applicability. Since the rule excludes only when the purpose is proving the validity or invalidity of the claim or its amount, an offer for another purpose is not within the rule.

Disputed Claim Requirement

The policy considerations which underlie the rule do not come into play when the effort is to induce a creditor to settle an admittedly due amount for a lesser sum. McCormick § 251, p. 540.

Hence the rule requires that the claim be disputed as to either validity or amount.

Otherwise Discoverable Evidence

This amendment adds a sentence to insure that evidence, such as documents, is not rendered inadmissible merely because it is presented in the course of compromise negotiations if the evidence is otherwise discoverable. A party should not be able to immunize from admissibility documents otherwise discoverable merely by offering them in a compromise negotiation.

Public Policy Rationale

As with evidence of [subsequent remedial measures](#), dealt with in [Rule 407](#), exclusion may be based on two grounds.

- (1) The evidence is irrelevant, since the offer may be motivated by a desire for peace rather than from any concession of weakness of position. The validity of this position will vary as the amount of the offer varies in relation to the size of the claim and may also be influenced by other circumstances.
- (2) a more consistently impressive ground is promotion of the public policy favoring the compromise and settlement of disputes. McCormick § 76, 251.

The same policy underlies the provision of Rule 68 of the Federal Rules of Civil Procedure that evidence of an unaccepted offer of judgment is not admissible except in a proceeding to determine costs.

Rule 409: Payment of Medical and Similar Expenses

Inadmissible to Prove Liability

Evidence of furnishing or offering or promising to pay medical, hospital, or similar expenses occasioned by an injury is not admissible to prove liability for the injury.

"[G]enerally, evidence of payment of medical, hospital, or similar expenses of an injured party by the opposing party, is not admissible, the reason often given being that such payment or offer is usually made from humane impulses and not from an admission of liability, and that to hold otherwise would tend to discourage assistance to the injured person." Annot., 20 A.L.R.2d 291, 293.

Incidental Admissions and Facts

Contrary to Rule 408, dealing with offers of compromise, the present rule does not extend to conduct or statements not a part of the act of furnishing or offering or promising to pay.

This difference in treatment arises from fundamental differences in nature. Communication is essential if compromises are to be effected, and consequently broad protection of statements is needed.

This is not so in cases of payments or offers or promises to pay medical expenses, where factual statements may be expected to be incidental in nature.

Public Policy Rationale

The considerations underlying this rule parallel those underlying Rules 407 and 408, which deal respectively with subsequent remedial measures and offers of compromise.

Rule 410: Inadmissibility of Pleas, Plea Discussions, and Related Statements

Admissible for Rebuttal and Perjury

Except as otherwise provided in this rule, evidence of the following is not, in any civil or criminal proceeding, admissible against the defendant who made the plea or was a participant in the plea discussions:

- (1) a plea of guilty which was later withdrawn;*
- (2) a plea of nolo contendere;*
- (3) any statement made in the course of any proceedings under Rule 11 of the Federal Rules of Criminal Procedure or comparable state procedure regarding either of the foregoing pleas; or*
- (4) any statement made in the course of plea discussions with an attorney for the prosecuting authority which do not result in a plea of guilty or which result in a plea of guilty later withdrawn.*

However, such a statement is admissible (i) in any proceeding wherein another statement made in the course of the same plea or plea discussions has been introduced and the statement ought in fairness be considered contemporaneously with it, or (ii) in a criminal proceeding for perjury or false statement if the statement was made by the defendant under oath, on the record and in the presence of counsel.

Exclusion of offers to plead guilty or nolo has as its purpose the promotion of disposition of criminal cases by [compromise](#).

"Effective criminal law administration in many localities would hardly be possible if a large proportion of the charges were not disposed of by such [compromises](#)." McCormick § 251, p. 543.

As with [compromise offers](#) generally, [Rule 408](#), free communication is needed, and security against having an [offer of compromise](#) or related [statement](#) admitted in evidence effectively encourages it.

Exclusion Limited to the Accused

Limiting the exclusionary rule to use against the accused is consistent with the purpose of the rule, since the possibility of use for or against other persons will not impair the effectiveness of withdrawing pleas or the freedom of discussion which the rule is designed to foster. See A.B.A. Standards Relating to Pleas of Guilty § 2.2 (1968).

Withdrawn Guilty Plea

Withdrawn pleas of guilty are inadmissible in federal prosecutions. The Court pointed out that to admit the withdrawn plea would effectively set at naught the allowance of withdrawal and place the accused in a dilemma utterly inconsistent with the decision to award him a trial. *Kercheval v. U.S.*, 274 U.S. 220, 47 S.Ct. 582, 71 L.Ed. 1009 (1927).

In addition to the reasons set forth in *Kercheval*, which was quoted at length, the court pointed out that the effect of admitting the plea was to compel defendant to take the stand by way of explanation and to open the way for the prosecution to call the lawyer who had represented him at the time of entering the plea.

Nolo Contendere Plea

Pleas of nolo contendere are recognized by Rule 11 of the Rules of Criminal Procedure, although the law of numerous States is to the contrary. The present rule gives effect to the principal traditional characteristic of the nolo plea, i.e., avoiding the [admission](#) of guilt which is inherent in pleas of guilty.

This position is consistent with the construction of Section 5 of the Clayton Act, 15 U.S.C. § 16(a), recognizing the inconclusive and [compromise nature](#) of judgments based on nolo pleas. *General Electric Co. v. City of San Antonio*, 334 F.2d 480 (5th Cir. 1964).

Rule 411: Liability Insurance

Inadmissible to Prove Fault

Evidence that a person was or was not insured against liability is not admissible upon the issue whether the person acted negligently or otherwise wrongfully. This rule does not require the exclusion of evidence of insurance against liability when offered for another purpose, such as proof of agency, ownership, or control, or bias or prejudice of a witness.

The courts have with substantial unanimity rejected evidence of liability insurance for the purpose of proving fault, and absence of liability insurance as proof of lack of fault. At best the inference of fault from the fact of insurance coverage is a tenuous one, as is its converse.

More important, no doubt, has been the feeling that knowledge of the presence or absence of liability insurance would induce juries to decide cases on improper grounds. McCormick § 168; Annot., 4 A.L.R.2d 761.

Scope of Exclusion: Fault

The rule is drafted in broad terms so as to include contributory negligence or other fault of a plaintiff as well as fault of a defendant.

Rule 412: Sex Offense Cases

Relevance of Alleged Victim's Past Sexual Behavior or Alleged Sexual Predisposition

(a) Evidence Generally Inadmissible.--The following evidence is not admissible in any civil or criminal proceeding involving alleged sexual misconduct except as provided in subdivisions (b) and (c):

(1) Evidence offered to prove that any alleged victim engaged in other sexual behavior.

(2) Evidence offered to prove any alleged victim's sexual predisposition.

(b) Exceptions.-- (1) In a criminal case, the following evidence is admissible, if otherwise admissible under these rules:

(A) evidence of specific instances of sexual behavior by the alleged victim offered to prove that a person other than the accused was the source of semen, injury or other physical evidence;

(B) evidence of specific instances of sexual behavior by the alleged victim with respect to the person accused of the sexual misconduct offered by the accused to prove consent or by the prosecution; and

(C) evidence the exclusion of which would violate the constitutional rights of the defendant.

(2) In a civil case, evidence offered to prove the sexual behavior or sexual predisposition of any alleged victim is admissible if it is otherwise admissible under these rules and its probative value substantially outweighs the danger of harm to any victim and of unfair prejudice to any party. Evidence of an alleged victim's reputation is admissible only if it has been placed in controversy by the alleged victim.

(c) Procedure To Determine Admissibility.--

(1) A party intending to offer evidence under [subdivision \(b\)](#) must--

(A) file a written motion at least 14 days before trial specifically describing the evidence and stating the purpose for which it is offered unless the court, for good cause requires a different time for filing or permits filing during trial; and

(B) serve the motion on all parties and notify the alleged victim or, when appropriate, the alleged victim's guardian or representative.

(2) Before admitting evidence under this rule the court must conduct a hearing in camera and afford the victim and parties a right to attend and be heard. The motion, related papers, and the record of the hearing must be sealed and remain under seal unless the court orders otherwise.

- Rule 412 applies to both civil and criminal proceedings.
- The rule aims to safeguard the alleged victim against the invasion of privacy, potential embarrassment and sexual stereotyping that is associated with public disclosure of intimate sexual details and the infusion of sexual innuendo into the factfinding process. By affording victims protection in most instances, the rule also encourages victims of sexual misconduct to institute and to participate in legal proceedings against alleged offenders. Rule 412 seeks to achieve these objectives by barring evidence relating to the alleged victim's sexual behavior or alleged sexual predisposition, whether offered as substantive evidence or for impeachment, except in designated circumstances in which the [probative value](#) of the evidence significantly outweighs possible harm to the victim.
- The revised rule applies in all cases involving sexual misconduct without regard to whether the alleged victim or person accused is a party to the litigation. Rule 412 extends to "pattern" witnesses in both criminal and civil cases whose testimony about other instances of sexual misconduct by the person accused is otherwise admissible. When the case does not involve alleged sexual misconduct, evidence relating to a third-party witness' alleged sexual activities is not within the ambit of Rule 412. The witness will be protected by other rules such as [Rules 404](#) and [608](#), as well as [Rule 403](#).
- The terminology "alleged victim" is used because there will frequently be a factual dispute as to whether sexual misconduct occurred. It does not connote any requirement that the misconduct be alleged in the pleadings. Rule 412 does not, however, apply unless the person against whom the evidence is offered can reasonably be characterized as a "victim of alleged sexual misconduct." When this is not the case, as for instance in a defamation action involving [statements](#) concerning sexual misconduct in which the evidence is offered to show that the alleged defamatory [statements](#) were true or did not damage the [plaintiff's reputation](#), neither [Rule 404](#) nor this rule will operate to bar the evidence; [Rule 401](#) and [403](#) will continue to control. Rule 412 applies in a Title VII action in which the plaintiff has alleged sexual harassment.
- The reference to a person "accused" is also used in a non-technical sense. There is no requirement that there be a criminal charge pending against the person or even that the misconduct would constitute a criminal offense. Evidence offered to prove allegedly false prior claims by the victim is not barred by Rule 412. However, this evidence is subject to the requirements of [Rule 404](#).

Rule 412(a): Sexual Behavior and Disposition Inadmissible

(a) Evidence Generally Inadmissible.--The following evidence is not admissible in any civil or criminal proceeding involving alleged sexual misconduct except as provided in subdivisions (b) and (c):

(1) Evidence offered to prove that any alleged victim engaged in other sexual behavior.

(2) Evidence offered to prove any alleged victim's sexual predisposition.

Rule 412 bars evidence offered to prove the victim's sexual behavior and alleged sexual predisposition. Evidence, which might otherwise be admissible under Rules 402, 404(b), 405, 607, 608, 609, or some other evidence rule, must be excluded if Rule 412 so requires.

The word "other" is used to suggest some flexibility in admitting evidence "intrinsic" to the alleged sexual misconduct. Cf. Committee Note to 1991 amendment to Rule 404(b). The conditional clause, "except as provided in subdivisions (b) and (c)" is intended to make clear that evidence of the types described in subdivision (a) is admissible only under the strictures of those sections.

Criminal Cases: The reason for extending the rule to all criminal cases is obvious. The strong social policy of protecting a victim's privacy and encouraging victims to come forward to report criminal acts is not confined to cases that involve a charge of sexual assault. The need to protect the victim is equally great when a defendant is charged with kidnapping, and evidence is offered, either to prove motive or as background, that the defendant sexually assaulted the victim.

Civil Cases: The reason for extending Rule 412 to civil cases is equally obvious. The need to protect alleged victims against invasions of privacy, potential embarrassment, and unwarranted sexual stereotyping, and the wish to encourage victims to come forward when they have been sexually molested do not disappear because the context has shifted from a criminal prosecution to a claim for damages or injunctive relief. There is a strong social policy in not only punishing those who engage in sexual misconduct, but in also providing relief to the victim. Thus, Rule 412 applies in any civil case in which a person claims to be the victim of sexual misconduct, such as actions for sexual battery or sexual harassment.

Past Sexual Behavior

Past sexual behavior connotes all activities that involve actual physical conduct, i.e. sexual intercourse and sexual contact, or that imply sexual intercourse or sexual contact.

- Use of contraceptives inadmissible since use implies sexual activity. *U.S. v. Galloway*, 937 F.2d 542 (10th Cir. 1991), cert. denied, 113 S.Ct. 418 (1992).
- Birth of an illegitimate child inadmissible. *U.S. v. One Feather*, 702 F.2d 736 (8th Cir. 1983).
- Evidence of venereal disease inadmissible. *State v. Carmichael*, 727 P.2d 918, 925 (Kan. 1986).

In addition, the word "behavior" should be construed to include activities of the mind, such as fantasies or dreams. See 23 C. Wright & K. Graham, Jr., *Federal Practice and Procedure*, § 5384 at p. 548 (1980).

Sexual Predisposition

The rule has been amended to also exclude all other evidence relating to an alleged victim of sexual misconduct that is offered to prove a sexual predisposition. This amendment is designed to exclude evidence that does not directly refer to sexual activities or thoughts but that the proponent believes may have a sexual connotation for the factfinder.

Admission of such evidence would contravene Rule 412's objectives of shielding the alleged victim from potential embarrassment and safeguarding the victim against stereotypical thinking. Consequently, unless the (b)(2) exception is satisfied, evidence such as that relating to the alleged victim's mode of dress, speech, or life-style will not be admissible.

Rule 412(b): Admissible Defense Evidence

(b) Exceptions.-- (1) *In a criminal case, the following evidence is admissible, if otherwise admissible under these rules: (A) evidence of specific instances of sexual behavior by the alleged victim offered to prove that a person other than the accused was the source of semen, injury or other physical evidence; (B) evidence of specific instances of sexual behavior by the alleged victim with respect to the person accused of the sexual misconduct offered by the accused to prove consent or by the prosecution; and (C) evidence the exclusion of which would violate the constitutional rights of the defendant.* (2) *In a civil case, evidence offered to prove the sexual behavior or sexual predisposition of any alleged victim is admissible if it is otherwise admissible under these rules and its probative value substantially outweighs the danger of harm to any victim and of unfair prejudice to any party. Evidence of an alleged victim's reputation is admissible only if it has been placed in controversy by the alleged victim.*

Criminal Cases: As amended, [Rule 412](#) will be virtually unchanged in criminal cases, but will provide protection to any person alleged to be a victim of sexual misconduct regardless of the charge actually brought against an accused. In a criminal case, evidence may be admitted under subdivision (b)(1) pursuant to three possible exceptions, provided the evidence also satisfies other requirements for admissibility specified in the Federal Rules of Evidence, including [Rule 403](#). Subdivisions (b)(1)(A) and (b)(1)(B) require proof in the form of [specific instances of sexual behavior](#) in recognition of the limited [probative value](#) and dubious reliability of [evidence of reputation or evidence in the form of an opinion](#).

- **Proof of Innocence:** Under subdivision (b)(1)(A), evidence of [specific instances of sexual behavior](#) with persons other than the person whose sexual misconduct is alleged may be admissible if it is offered to prove that another person was the source of semen, injury or other physical evidence. Where the prosecution has directly or indirectly asserted that the physical evidence originated with the accused, the defendant must be afforded an opportunity to prove that another person was responsible. *U.S. v. Begay*, 937 F.2d 515, 523 n. 10 (10th Cir. 1991). Evidence offered for the specific purpose identified in this subdivision may still be excluded if it does not satisfy [Rules 401](#) or [403](#).
- **Proof of Consent or Offered by Prosecution:** Under the exception in subdivision (b)(1)(B), evidence of [specific instances of sexual behavior](#) with respect to the person whose sexual misconduct is alleged is admissible if offered to prove consent, or offered by the prosecution. Admissible pursuant to this exception might be evidence of prior instances of sexual activities between the alleged victim and the accused, as well as [statements](#) in which the alleged victim expressed an intent to engage in sexual intercourse with the accused, or voiced sexual fantasies involving the specific accused. In a prosecution for child sexual abuse, for example, evidence of uncharged sexual activity between the accused and the alleged victim offered by the prosecution may be admissible pursuant to [Rule 404\(b\)](#) to show a pattern of behavior. Evidence relating to the victim's alleged sexual predisposition is not admissible pursuant to this exception.
- **Constitutional Protection:** Under subdivision (b)(1)(C), evidence of [specific instances of conduct](#) may not be excluded if the result would be to deny a criminal defendant the protections afforded by the Constitution. For example, [statements](#) in which the victim has expressed an intent to have sex with the first person encountered on a particular occasion might not be excluded without violating the due process right of a rape defendant seeking to prove consent. The United States Supreme Court has recognized that in various circumstances a defendant may have a right to introduce evidence otherwise precluded by an evidence rule under the [Confrontation Clause](#). *Olden v. Kentucky*, 488 U.S. 227 (1988).

Civil Cases: Subdivision (b)(2) governs the admissibility of otherwise proscribed evidence in civil cases. It employs a balancing test rather than the specific exceptions stated in subdivision (b)(1) in recognition of the difficulty of foreseeing future developments in the law. The balancing test requires the proponent of the evidence, whether plaintiff or defendant, to convince the court that the [probative value](#) of the proffered evidence "substantially outweighs the danger of harm to any victim and of [unfair prejudice](#) of any party." This test for admitting evidence offered to prove sexual behavior or sexual propensity in civil cases differs in three respects from the general rule governing admissibility set forth in [Rule 403](#). First, it reverses the usual procedure spelled out in [Rule 403](#) by shifting the burden to the proponent to demonstrate admissibility rather than making the opponent justify exclusion of the evidence. Second, the standard expressed in subdivision (b)(2) is more stringent than in the original rule; it raises the threshold for admission by requiring that the [probative value](#) of the evidence substantially outweigh the specified dangers. Finally, the [Rule 412](#) test puts "harm to the victim" on the scale in addition to [prejudice](#) to the parties. [Evidence of reputation](#) may be received in a civil case only if the alleged victim has put his or her [reputation](#) into controversy.

Rule 412(c): Procedure to Determine Admissibility

(c) Procedure To Determine Admissibility.--

(1) A party intending to offer evidence under [subdivision \(b\)](#) must--

(A) file a written motion at least 14 days before trial specifically describing the evidence and stating the purpose for which it is offered unless the court, for good cause requires a different time for filing or permits filing during trial; and

(B) serve the motion on all parties and notify the alleged victim or, when appropriate, the alleged victim's guardian or representative.

(2) Before admitting evidence under this rule the court must conduct a hearing in camera and afford the victim and parties a right to attend and be heard. The motion, related papers, and the record of the hearing must be sealed and remain under seal unless the court orders otherwise.

Late Filing of Motion

In deciding whether to permit late filing, the court may take into account the conditions previously included in the rule: namely whether the evidence is newly discovered and could not have been obtained earlier through the existence of due diligence, and whether the issue to which such evidence relates has newly arisen in the case. The rule recognizes that in some instances the circumstances that justify an application to introduce evidence otherwise barred by [Rule 412](#) will not become apparent until trial.

Hearing In Camera

The amended rule provides that before admitting evidence that falls within the prohibition of [Rule 412\(a\)](#), the court must hold a hearing in camera at which the alleged victim and any party must be afforded the right to be present and an opportunity to be heard.

Motion and Hearing Record under Seal

All papers connected with the motion and any record of a hearing on the motion must be kept and remain under seal during the course of trial and appellate proceedings unless otherwise ordered. This is to assure that the privacy of the alleged victim is preserved in all cases in which the court rules that proffered evidence is not admissible, and in which the hearing refers to matters that are not received, or are received in another form.

Discovery Protective Orders

The procedures set forth in subdivision (c) do not apply to discovery of a victim's past sexual conduct or predisposition in civil cases, which will be continued to be governed by Fed.R.Civ.P. 26. In order not to undermine the rationale of [Rule 412](#), however, courts should enter appropriate orders pursuant to Fed.R.Civ.P. 26(c) to protect the victim against unwarranted inquiries and to ensure confidentiality.

Courts should presumptively issue protective orders barring discovery unless the party seeking discovery makes a showing that the evidence sought to be discovered would be [relevant](#) under the facts and theories of the particular case, and cannot be obtained except through discovery. Confidentiality orders should be presumptively granted as well.

In an action for sexual harassment, for instance, while some evidence of the alleged victim's sexual behavior and/or predisposition in the workplace may perhaps be [relevant](#), non-work place conduct will usually be irrelevant: Posing for a nude magazine outside work hours is irrelevant to issue of unwelcomeness of sexual advances at work. *Burns v. McGregor Electronic Industries, Inc.*, 989 F.2d 959, 962-63 (8th Cir. 1993).

Rule 413: Evidence of Similar Crimes in Sexual Assault Cases

Criminal Cases

(a) In a criminal case in which the defendant is accused of an offense of sexual assault, evidence of the defendant's commission of another offense or offenses of sexual assault is admissible, and may be considered for its bearing on any matter to which it is relevant.

(b) In a case in which the Government intends to offer evidence under this rule, the attorney for the Government shall disclose the evidence to the defendant, including statements of witnesses or a summary of the substance of any testimony that is expected to be offered, at least fifteen days before the scheduled date of trial or at such later time as the court may allow for good cause.

(c) This rule shall not be construed to limit the admission or consideration of evidence under any other rule.

(d) For purposes of this rule and [Rule 415](#), "offense of sexual assault" means a crime under Federal law or the law of a State (as defined in section 513 of title 18, United States Code) that involved--

(1) any conduct proscribed by chapter 109A of title 18, United States Code;

(2) contact, without consent, between any part of the defendant's body or an object and the genitals or anus of another person;

(3) contact, without consent, between the genitals or anus of the defendant and any part of another person's body;

(4) deriving sexual pleasure or gratification from the infliction of death, bodily injury, or physical pain on another person;
or

(5) an attempt or conspiracy to engage in conduct described in paragraphs (1)-(4).

Rule 414: Evidence of Similar Crimes in Child Molestation Cases

Criminal Cases

- (a) In a criminal case in which the defendant is accused of an offense of child molestation, evidence of the defendant's commission of another offense or offenses of child molestation is admissible, and may be considered for its bearing on any matter to which it is relevant.*
- (b) In a case in which the Government intends to offer evidence under this rule, the attorney for the Government shall disclose the evidence to the defendant, including statements of witnesses or a summary of the substance of any testimony that is expected to be offered, at least fifteen days before the scheduled date of trial or at such later time as the court may allow for good cause.*
- (c) This rule shall not be construed to limit the admission or consideration of evidence under any other rule.*
- (d) For purposes of this rule and [Rule 415](#), "child" means a person below the age of fourteen, and "offense of child molestation" means a crime under Federal law or the law of a State (as defined in section 513 of title 18, United States Code) that involved--*
- (1) any conduct proscribed by chapter 109A of title 18, United States Code, that was committed in relation to a child;*
 - (2) any conduct proscribed by chapter 110 of title 18, United States Code;*
 - (3) contact between any part of the defendant's body or an object and the genitals or anus of a child;*
 - (4) contact between the genitals or anus of the defendant and any part of the body of a child;*
 - (5) deriving sexual pleasure or gratification from the infliction of death, bodily injury, or physical pain on a child; or*
 - (6) an attempt or conspiracy to engage in conduct described in paragraphs (1)-(5).*

Rule 415: Evidence of Similar Acts in Civil Cases Concerning Sexual Assault or Child Molestation

Civil Cases

(a) In a civil case in which a claim for damages or other relief is predicated on a party's alleged commission of conduct constituting an offense of sexual assault or child molestation, evidence of that party's commission of another offense or offenses of sexual assault or child molestation is admissible and may be considered as provided in [Rule 413](#) and [Rule 414](#) of these rules.

(b) A party who intends to offer evidence under this Rule shall disclose the evidence to the party against whom it will be offered, including statements of witnesses or a summary of the substance of any testimony that is expected to be offered, at least fifteen days before the scheduled date of trial or at such later time as the court may allow for good cause.

(c) This rule shall not be construed to limit the admission or consideration of evidence under any other rule.

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