

OFFICIAL TRANSCRIPT
PROCEEDINGS BEFORE
THE SUPREME COURT
OF THE
UNITED STATES

CAPTION: JOHN W. BEHRENS, Petitioner,
v. ROBERT J. PELLETIER.

CASE NO: No. 94-1244

PLACE: Washington, D.C.

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1 PROCEEDINGS

2 (11:05 a.m.)

3 CHIEF JUSTICE REHNQUIST: We'll hear argument
4 next in Number 94-1244, John W. Behrens v. Robert
5 Pelletier.

6 Mr. Weiss, you may proceed whenever you're
7 ready.

8 ORAL ARGUMENT OF LENARD G. WEISS

9 ON BEHALF OF THE PETITIONER

10 MR. WEISS: Mr. Chief Justice, may it please the
11 Court:

12 The issue here is, can the court of appeals
13 refuse, on jurisdictional grounds, to hear an
14 interlocutory, qualified immunity appeal solely on the
15 grounds that it is the second such appeal?

16 There are two Bivens claims pleaded in this case
17 before the Court, one, a job termination claim that the
18 plaintiff says he has a constitutionally protected
19 property interest in his contingent employment with
20 Pioneer Savings and Loan, and was deprived of due process
21 when that -- when Pioneer terminated him, and the second
22 claim is that he had a constitutionally protected liberty
23 interest in pursuing other employment in the financial
24 services industry which was impaired by the stigmatizing
25 circumstances of his departure from Pioneer.

1 On the first interlocutory appeal to the Ninth
2 Circuit in this case, following a motion to dismiss and
3 prior to discovery, the Ninth Circuit did three things:
4 it announced its categorical one-appeal jurisdictional
5 rule, it affirmed the district court's denial of qualified
6 immunity as to the job search claim, the first claim, and
7 it revived a previously dismissed job termination claim.

8 Excuse me, I may have misspoken. It affirmed
9 the job search finding by the lower court and revived the
10 job termination claim, which had been dismissed on a
11 statute of limitations basis.

12 On remand, after full discovery, petitioner
13 moved for summary judgment on his qualified immunity
14 defense to the Bivens claims, and that motion was denied
15 on both claims.

16 In the Ninth Circuit, the Court dismissed
17 petitioner's second interlocutory appeal for lack of
18 jurisdiction solely on the basis of its previously
19 announced one-appeal rule.

20 I would like to make several points. First,
21 this case fits squarely within the appealable orders
22 criteria of the Mitchell case. Second, the one-appeal
23 rule effectively emasculates the qualified immunity as
24 immunity from suit, pretrial and litigation burdens of
25 suit.

1 Thirds, the concerns over abuse and judicial
2 economy are misplaced.

3 QUESTION: Well, how many times is a district
4 court expected to entertain a motion for summary judgment
5 in the same case?

6 MR. WEISS: Normally, I -- normally a summary
7 judgment motion in the same case will only occur on one
8 occasion, and normally the district courts that I practice
9 in front of are very careful about scheduling when summary
10 judgment will occur and will not occur.

11 QUESTION: So your question arises when there's
12 been an appeal from a motion -- a denial of a motion to
13 dismiss, then the second time around on summary judgment?

14 MR. WEISS: Precisely, and usually it comes up
15 in the context of a motion to dismiss, because the
16 question is whether the law is settled or not, and
17 sometimes that is a relatively easy question to answer.
18 Perhaps it would have been in this case. We would have
19 thought so.

20 If it does -- if that's not clear, then you have
21 to go through some discovery, at least, and go through the
22 motion for summary judgment stage.

23 QUESTION: In that kind of case, where there's
24 an argument at the motion to dismiss stage, and yet there
25 is some indication that further pleadings and discovery

1 will elucidate the issues, does the district court have
2 the authority to say, I want all summary judgment motions
3 relating to sovereign immunity deferred until 6 months of
4 discovery has gone by, I'm not even going to rule on the
5 motion to dismiss, or must he rule on the motion to
6 dismiss?

7 MR. WEISS: A question I'm not certain of the
8 answer, Your Honor, but I believe the court must respond
9 to the motion to dismiss. It is an attack on the
10 pleadings --

11 QUESTION: Yes.

12 MR. WEISS: -- prediscovery.

13 QUESTION: Well, wouldn't you argue that,
14 because I mean, one of the things that -- or wouldn't the
15 argument be that one of the protections is a protection
16 against discovery, so if that's going to be the case, then
17 necessarily the argument would be, rule on the motion to
18 dismiss first?

19 MR. WEISS: Certainly in the context of
20 qualified immunity --

21 QUESTION: Yes.

22 MR. WEISS: -- which this Court seems to have
23 made clear is an important remedy or defense, and a
24 protection from the rigors of litigation, of which
25 discovery is the worst, perhaps.

1 Turning to my first point, if this case were
2 the -- if this were the first interlocutory appeal in this
3 case, it would clearly be -- it would fit squarely within
4 the category of appealable orders described by this Court
5 in Mitchell and in Cohen, so if this were the first
6 appeal, no question in our view --

7 QUESTION: You use the term, interlocutory
8 appeal. Actually, you do contend it's an appeal from a
9 final judgment, in fact.

10 MR. WEISS: Under 1291, that's correct, Your
11 Honor. This is a variant on that --

12 QUESTION: And having used that word, it prompts
13 this question in my mind: assuming the Ninth Circuit's
14 rule might be right -- I don't know -- and then you've had
15 one appeal the first time, could you have asked the
16 district judge for a 1292(b) certification to get an
17 interlocutory appeal, as you use the term?

18 MR. WEISS: Yes.

19 QUESTION: You could.

20 MR. WEISS: You always have --

21 QUESTION: So there's always at least a
22 safeguard in a really unusual case that perhaps you could
23 get a second bite at the apple.

24 MR. WEISS: Well, as this Court probably well
25 knows, it is very unusual for 1292(b) certifications (a)

1 to occur at the district court, and even far rarer for
2 them to occur at the court of appeals level.

3 Both courts have to exercise their discretion,
4 and in one of the articles we cited by Professor Solemini,
5 he points out, I believe, that something less than 5
6 percent of the cases in which the district court actually
7 certifies, less than 5 percent of those are actually
8 accepted by the court of appeals so it's not a very
9 practical --

10 QUESTION: No, because -- that's because there
11 is a sort of a basic policy disfavoring piecemeal
12 appeals --

13 MR. WEISS: Sure.

14 QUESTION: -- that either -- that's the
15 background.

16 MR. WEISS: Which is also one of the underlying
17 philosophies behind the Cohen rule and its application in
18 qualified immunity cases.

19 QUESTION: If you have a cases in which there's
20 a motion to dismiss, and there's an appeal, and the
21 alleged Government defendant loses the appeal, and then
22 there's more discovery and he appeals again, in a way you
23 can say that the second factor of Cohen has not been
24 satisfied, because the defendant takes the appeal on the
25 first go-around on the theory that this will be

1 dispositive of the case, and he's wrong.

2 MR. WEISS: Well, he's wrong because as a matter
3 of law the court has found that the law is settled or
4 unsettled. That's the only issue on a motion to dismiss.

5 Following discovery, the issue turns as to
6 whether or not the behavior of the Government defendant
7 was reasonable behavior in light of that settled law.
8 It's a different issue after --

9 QUESTION: But my point is that the defendant
10 was wrong on the first appeal, because it didn't
11 conclusively dispose of the case. Then he gets a second
12 appeal to try it again.

13 MR. WEISS: Well, but the thing he's trying is a
14 different thing. He's trying a different issue on the
15 second appeal, because --

16 QUESTION: Well, yes, every -- you could be,
17 like, have a thousand things at the beginning of the case
18 which would technically be a little different one from the
19 other.

20 I take Justice Kennedy to be asking what would
21 be my question. A person moves for dismissal of the
22 complaint on the ground, taking the facts as in the
23 complaint, that it doesn't show a clear violation of the
24 law.

25 The district judge says, yes, it does. The

1 court of appeals says, yes, it does.

2 So now you go back, and now you can only get a
3 subset of the facts, and once again the defendant says the
4 same thing.

5 The district court says, yes, it does.

6 Now, can he get another appeal? Of course. Of
7 course it's a little bit different. Now you have a subset
8 of the facts that were there in the complaint.

9 MR. WEISS: It's --

10 QUESTION: But if that's enough, I don't see --
11 my problem is, I don't see how that satisfies the separate
12 issue.

13 There are four -- I -- we just wrote on this
14 last year, and what I'm having is seeing how this -- the
15 two appeals there satisfy the test that came down in
16 Cohen, that it should really be quite separate from the
17 rest of the case. That means really very separate.

18 MR. WEISS: Well, of course, it is if you - if
19 your first appeal is following a motion to dismiss on the
20 pleadings and you're dealing only with the pleadings, you
21 now have a developed record, and in this case there are --
22 several facts emerge from the record --

23 QUESTION: Yes, and if, in fact, you then have a
24 56(f) response to a motion for summary judgment, and then
25 he says, oh, I see, we need some more facts, and then we

1 get a few more, and then there's another 56(f), then we
2 get another affidavit, and I mean, you could have 50
3 appeals on that theory, couldn't you?

4 MR. WEISS: I think that's purely theoretical.
5 It's not -- the only thing --

6 QUESTION: I've seen a lot of 56(f) cases.

7 MR. WEISS: Well, the only thing that's
8 appealable on the second qualified immunity appeal is
9 whether or not the behavior of the Government defendant
10 was objectively reasonable or not, given the settled law.

11 QUESTION: Each time the difference is not the
12 legal -- the only thing that's changed is the facts that
13 you take as the predicate for asking the question.

14 MR. WEISS: Well, in the Johnson case, the facts
15 were heavily disputed. The law --

16 QUESTION: We could have no dispute as to facts.

17 First, you take the facts as they are, might be
18 stated in the complaint, which is vague.

19 MR. WEISS: Correct.

20 QUESTION: The only difference is, later on the
21 56 motion there's a subset of facts, those that could be
22 proved, given discovery, and the third time, after you
23 went back under 56(f), you have a slightly different
24 subset of facts, so what's changed is the factual
25 predicate.

1 MR. WEISS: I think the rather -- I think the
2 response to that, Your Honor, is that district court is
3 going to say -- and they all do this, as I'm familiar --
4 on 60 -- or 6 months from now in a scheduling order, we
5 will have motions for summary judgment, period, thirty
6 days from now we'll have motions to dismiss, and in
7 between we'll have discovery.

8 And that's the way this is handled in any court,
9 and -- so that the problem, while I understand there's a
10 theoretical issue, there could be --

11 QUESTION: I'm not theoretically worried about
12 the practical problem, I'm theoretically worried about the
13 theoretical problem.

14 MR. WEISS: Well, I --

15 QUESTION: That is -- that is that there has to
16 be a considerable degree of separability --

17 MR. WEISS: If --

18 QUESTION: -- between the -- what's -- you get a
19 collateral appeal on. I mean, you know, your Cohen
20 appeal.

21 MR. WEISS: Right.

22 QUESTION: I thought, Mr. Weiss, that your
23 response to the theoretical problem was that it's not a
24 subset of the facts, it's a totally different set of
25 facts, and hence a totally different issue of law.

1 MR. WEISS: Well, it is --

2 QUESTION: The decision based on just the
3 pleadings is simply a decision that when you say, I was
4 seriously injured, that states a cause of action, because
5 conceivably some facts could be brought out that show that
6 that's enough.

7 What happens at the later stage is that the
8 serious injury consists of no more than depriving you of
9 cinnamon toast instead of -- instead of whole wheat toast
10 in the prison cafeteria.

11 MR. WEISS: In this case --

12 QUESTION: And that's a different issue of law,
13 whether that is something that can be sued on.

14 MR. WEISS: Exactly. In this case, as an
15 example, concerted action by defendants is alleged in the
16 complaint.

17 After discovery is completed -- completed in
18 this case, the only evidence of any kind of concerted
19 action is a unilateral sending of Mr. Behrens' letter to
20 his file and to his --

21 QUESTION: And so does -- is that what the issue
22 turns on in your opinion?

23 MR. WEISS: Well --

24 QUESTION: Whether or not discovery reveals a
25 set of facts that varies a lot from what the judge thought

1 was there in the complaint, or varies just a little?

2 MR. WEISS: Not at all.

3 QUESTION: No.

4 MR. WEISS: In the first instance, the court
5 found -- improperly, we think, but found that there was
6 settled law here. There --

7 QUESTION: Can you come back to that, because
8 you've been talking on a highly abstract plain --

9 MR. WEISS: Yes.

10 QUESTION: -- and I'm having difficulty
11 understanding the basic underlying claims.

12 There are two Bivens claims.

13 MR. WEISS: Correct.

14 QUESTION: Does the same law govern both of
15 them, or are they different?

16 I know one is for losing a job and the other is
17 for the inability to get a future job, but what law --
18 what is the content of the substantive rule that applies
19 to each of those claims, the same rule, different rule, or
20 what?

21 MR. WEISS: They are derivative, one of the
22 other. The underlying issue was a resolution by the
23 Federal Home Loan Bank that said this savings and loan was
24 required to hire a principal operating officer subject to
25 the approval of the Federal Home Loan Bank supervising

1 agent.

2 There followed from that the hiring of
3 Mr. Pelletier. There followed from that Mr. Behrens'
4 letter saying that he ought to step aside pending an
5 investigation that was underway for Mr. Pelletier's
6 previous employer, Beverly Hills Savings, which had gone
7 under at that point.

8 So then Mr. Behrens' says, you've caused me to
9 be fired. That's a job loss, suing for due process
10 violations there, and in addition, because people learned
11 of the circumstances of my departure, I've also had my
12 reputation stigmatized by that fact, and I'm entitled to a
13 liberty interest in that reputation.

14 QUESTION: So the constitutional right at stake
15 in the two claims, you just told me the second one, it's a
16 liberty interest --

17 MR. WEISS: Right.

18 QUESTION: -- in not --

19 MR. WEISS: In a right not to have undue
20 governmental interference in your right to seek employment
21 in your chosen field. That's about what it says, and I'm
22 not quite sure I could tell you much more. I assume it's
23 a due process --

24 QUESTION: So you have a protected liberty
25 interest --

1 MR. WEISS: Correct.

2 QUESTION: Which you say was taken --

3 MR. WEISS: That's what the --

4 QUESTION: -- and in the first, the case of

5 losing the job --

6 MR. WEISS: That's correct.

7 QUESTION: -- is also a liberty interest.

8 MR. WEISS: No, that's more expressly stated in

9 the pleadings as a due process violation. That is, I

10 had --

11 QUESTION: But deprivation of what?

12 MR. WEISS: I had a --

13 QUESTION: Liberty, property?

14 MR. WEISS: I had a property -- I had a property

15 right in my job. You've deprived me of that without due

16 process.

17 QUESTION: So one is a property claim and the

18 other is a liberty claim.

19 MR. WEISS: A liberty claim in reputation.

20 QUESTION: And they're both substantive due

21 process claims.

22 MR. WEISS: That's my understanding of what

23 they're pleading, yes.

24 QUESTION: Well, one of the claims is that

25 Pelletier had a constitutionally protected property

1 interest in his employment with Pioneer --

2 MR. WEISS: Correct.

3 QUESTION: -- right?

4 MR. WEISS: That's correct.

5 QUESTION: And on the motion to dismiss, you
6 argued there is no such constitutionally protected
7 property interest because the employment was subject to
8 Federal regulatory approval.

9 MR. WEISS: Correct.

10 There was also a statute of limitations argument
11 which was sustained here. That issue --

12 QUESTION: So is that issue still here, or gone?

13 MR. WEISS: That issue has never been on appeal
14 on the question of qualified immunity.

15 The job termination claim, because it was
16 dismissed the first time on statute of limitations
17 grounds, when it went to the Ninth Circuit the first time,
18 the Ninth Circuit said, district court, I think there's
19 some recent law that changes the statute of limitations,
20 and when it went back down on remand after the first -- so
21 there was never review on qualified immunity of that first
22 claim, and the district court --

23 QUESTION: The legal issue was never decided?

24 MR. WEISS: On that job termination claim. It
25 was decided -- it was decided on the second claim, and I

1 think the question I heard from Justice Ginsburg, and what
2 you're asking is, the nexus of the underlying legal issue
3 is probably the same on both of those. That is, one is
4 derivative from the other.

5 I don't think you could have a loss of
6 reputation claim, this liberty interest claim, without
7 first having had the job termination property interest
8 claim.

9 QUESTION: Mr. Weiss, may I go back to Justice
10 Breyer's question?

11 Don't you have to say -- he says, you know,
12 first there's a motion to dismiss, then there's some
13 discovery, and there's a new motion based on the subset of
14 the facts assumed in the motion to dismiss, and then there
15 may be another motion based on a -- if that fails, on yet
16 a smaller subset, and so on.

17 Don't you have to say that as between stage 1
18 and stage 2 there's got to be a right to take it up,
19 because one of the express objects of qualified immunity
20 is protection against discovery, so you get that appeal
21 based on the concept of what we're protecting on qualified
22 immunity.

23 MR. WEISS: On the pleadings.

24 QUESTION: That's right.

25 You lose. You go back, and you have some

1 discovery. You go up again on another subset because you
2 have a right, among other things, to avoid trial, and then
3 the problem is, can you keep on narrowing your subsets
4 down? Oh, too bad, we lose, we'll go back and have more
5 discovery, more discovery, more discovery.

6 Isn't the answer to the sort of endless series
7 of subsets that it's up to the trial court, in effect, to
8 manage discovery and say, have your discovery. Finish
9 your discovery, then file your summary judgment motion.
10 You get one summary judgment motion at that point, and
11 isn't that the way to avoid this prospect of, in effect,
12 endless appeal, on your theory?

13 MR. WEISS: Your question assumed that there
14 would be an appeal from the -- at the motion to dismiss
15 stage on the pleadings, followed by discovery, followed by
16 one --

17 QUESTION: That's right, yes, and isn't the
18 power of the court to manage discovery and to limit the
19 number of summary judgment motions that it's going to
20 entertain, you know, barring some lightning bolt of
21 something new?

22 Isn't that the answer to the problem of the --
23 the, sort of the endless series of subset summary
24 judgments?

25 MR. WEISS: Of course. I was trying -- I was

1 struggling with that answer before.

2 The trial courts do, can and do control this
3 issue very well now. That's why, when you look at the
4 jurisprudence in the courts of appeal right now on this
5 issue, you only find two cases where there are actually
6 two appeals that are reported cases, Mitchell and the Abel
7 case.

8 The rest of those cases where the circuits are
9 split, or who have spoken on the subject of qualified
10 immunity, multiple appeals, were not actually two-appeal
11 cases.

12 QUESTION: So you're really saying the only
13 prospect is really two 1291 cases.

14 MR. WEISS: As a practical matter --

15 QUESTION: Yes.

16 MR. WEISS: -- I think that is correct.

17 There is the potential, I think, and it's not
18 before the Court in this case, that you could have a
19 separate issue on Westfall, or a separate -- double
20 jeopardy's not going to happen, but there is a -- I
21 suppose you could make the argument, but I don't think
22 it's a -- it certainly has not come up in the
23 jurisprudence of this Court at all.

24 Your Honor, I'd like to reserve, if I may.

25 Thank you, Mr. Chief Justice.

1 QUESTION: Very well, Mr. Weiss.

2 Ms. Pillard, we'll hear from you.

3 ORAL ARGUMENT OF CORNELIA T. PILLARD,
4 ON BEHALF OF THE U.S. AS AMICUS CURIAE,
5 SUPPORTING THE PETITIONER

6 MS. PILLARD: Thank you, Mr. Chief Justice, and
7 may it please the Court:

8 We agree with petitioner that the one-appeal
9 rule is invalid. As this case shows, there are clearly
10 situations in which the one-appeal rule makes no sense,
11 because it cuts off valid qualified immunity defenses even
12 when they're being asserted on appeal for the first time.

13 QUESTION: Under our rule-making authority,
14 would we have the authority to make a rule that there
15 could be no second appeal without the permission of the
16 district court and a certification that there were, I
17 don't know, extraordinary circumstances, or --

18 MS. PILLARD: I think you would have that
19 authority if you engaged in notice or comment rule-making
20 under 28 U.S.C. 2072.

21 We would be opposed to such a rule. We don't
22 think that -- we think that that cuts directly against the
23 impetus of Mitchell, which is to not leave within the
24 district court's discretion whether to allow a second
25 appeal.

1 QUESTION: And it would make -- it would require
2 a substantive revision of qualified immunity law, wouldn't
3 it?

4 MS. PILLARD: It would require a revision of the
5 Mitchell right, that component of the qualified
6 immunity --

7 QUESTION: Yes.

8 MS. PILLARD: -- nd it would require this Court
9 to determine whether that aspects was a substantive aspect
10 of the qualified immunity, that's right.

11 QUESTION: Well, but if we had authority to make
12 that rule, then the statute is not the answer to the case.
13 There would be no conflict with your statutory right to
14 appeal if we enacted such a rule.

15 MS. PILLARD: If you enacted such a rule, but
16 you could not -- it's argued that that would be the
17 appropriate course, procedurally, would be by rule-making,
18 not by decision in a case such as this, and certainly that
19 the courts of appeals lack the authority to cut back the
20 jurisdiction that they now have under Mitchell and Cohen
21 under this Court's interpretation of 1291 in Mitchell and
22 Cohen, that that -- they can't contract their existing
23 statutory jurisdiction in the absence of the extraordinary
24 measure of this Court making a rule.

25 QUESTION: Can you imagine a situation where the

1 defendant Government employee files his motion to dismiss
2 based on a purely legal argument, it's denied, appeal is
3 filed, loses on appeal, then he tries to raise the
4 identical argument again at the summary judgment stage?

5 MS. PILLARD: We think that if it's the
6 identical argument --

7 QUESTION: Yes.

8 MS. PILLARD: -- that would be barred. The
9 basis of our view is that if a plaintiff asserts a new
10 claim or a new legal basis for an existing claim and a
11 district court denies immunity on qualified immunity
12 grounds after an appeal has already been taken, that the
13 public official has a right to appeal to test whether the
14 new claim or theory is based on clearly established --

15 QUESTION: And you think that can be eliminated
16 by our rulemaking under 2072? Was that your response
17 under 2072, that even what you're arguing for could be
18 eliminated?

19 MS. PILLARD: My response is that the Court
20 would have to at least go through that process. I'm not
21 sure this Court has the power to cut back --

22 QUESTION: Well, that's why I asked.

23 QUESTION: I don't, either.

24 MS. PILLARD: -- that broadly.

25 QUESTION: I mean, subsection (b) says such

1 rules shall not abridge, enlarge or modify any substantive
2 right.

3 MS. PILLARD: Exactly, and I didn't mean to be
4 taken to express the view that such a rule would actually
5 be valid, and a one-appeal rule would actually be valid
6 because it would not cut back a substantive right. It
7 might well cut back a substantive right.

8 But the issue before this Court is affected by
9 the existence of 2072 merely to the extent it indicates it
10 shouldn't be done in this forum.

11 QUESTION: May I ask about Justice O'Connor's
12 hypothetical, where the identical claim is made the second
13 time round, you say that would be improper, but would it
14 not always be possible for the defendant to shade the
15 facts a little bit and at least have the right to argue
16 that it is not the identical claim? It would be an issue
17 on appeal as to whether it was identical or not in order
18 to determine whether the court of appeals had
19 jurisdiction.

20 MS. PILLARD: The court would have to decide
21 whether it was the same --

22 QUESTION: So that really, in every case there
23 would be jurisdiction to file the appeal and to get some
24 attention from the court of appeals on whether this is the
25 special case or it's just a routine delaying tactic.

1 MS. PILLARD: If it's the same claim, though, we
2 don't think that's a complex inquiry. The court --

3 QUESTION: Well, no, but what happens to the
4 trial while the case -- while the appeal is filed and the
5 court of appeals takes a look at it?

6 MS. PILLARD: Ordinarily --

7 QUESTION: The trial stops, right?

8 MS. PILLARD: Ordinarily, where an appeal is
9 filed and the court of appeals lacks jurisdiction, you'll
10 see a motion from the appellee to dismiss the appeal, and
11 those are dealt with by a motion panel.

12 QUESTION: Do you think there's a maximum of two
13 appeals, or could there be cases where there might be
14 three?

15 MS. PILLARD: I think there is no rigid
16 numerical limit on the number of appeals. I agree with
17 Mr. Weiss that as a practical matter the structuring of
18 the litigation in the district court is going to lead to
19 two, at most. Ordinarily there will only be one, if that.

20 But it's the order of the district court that
21 gives rise to the opportunity to appeal, and if the
22 district court refrains from ruling on a summary judgment
23 motion until the claims are ripe for disposition together,
24 that can organize and bracket those claims in such a
25 fashion as to limit the scenario of an infinite sequence

1 of appeals.

2 QUESTION: Have you taken in what was my
3 question on this?

4 MS. PILLARD: Pardon?

5 QUESTION: I mean, I tried to ask it before.
6 I'd be interested in your response.

7 This is a fluke, this case, in my mind. It's a
8 very weird case, never going to come up again. They
9 didn't waive their second appeal anyway. I mean, there
10 are all kinds of special features, so I'm not focusing on
11 this case.

12 I'm thinking, on the general case, and you move
13 for -- dismiss the complaint. No. Now you get some
14 facts, move again. No. Do you get one appeal or two?
15 That's the issue, right?

16 MS. PILLARD: In --

17 QUESTION: And what was bothering me is in
18 Johnson what I thought the Court was trying to do is to
19 set -- not have a Mitchell claim. There's no such thing
20 as a Mitchell claim. What there is is, there's a whole
21 law called collateral order appeal law, of which this is a
22 part, and it's that. I don't know how to reconcile your
23 desire for two appeals, or three, or whatever, with that.
24 That was the question.

25 MS. PILLARD: I think it's wholly consistent

1 with Johnson, because the issue that is being sought to be
2 raised on the second appeal is -- under our rule has to be
3 different from the issue to be raised on the first appeal.

4 QUESTION: Oh, but of course. The whole point
5 of the collateral order doctrine is when the only
6 difference is changes of a fact -- you know, fact changes.
7 That doesn't count. There's a difference. That's what --
8 that doesn't count as a difference. What is supposed to
9 be the difference is a difference in whether you're asking
10 qualified immunity or merits of the case. That's a
11 difference.

12 QUESTION: I don't think that flows from
13 Johnson, but the question is, for example, if you have in
14 the complaint allegations of three elements, A, B, and C,
15 and then you take discovery and you move to dismiss, you
16 say, that doesn't state a violation of a clearly
17 established right. The court disagrees with you, the
18 court of appeals disagrees with you.

19 You go through discovery. After discovery, the
20 undisputed facts show only elements A and B. What you can
21 appeal at that time, consistent with Johnson, is the
22 question whether, given A and B, you have stated a claim,
23 or supported at the summary judgment stage a claim of a
24 violation of clearly established law.

25 If A and B just don't violate clearly

1 established law, that is a qualified immunity
2 determination, and that is something that is not barred by
3 Johnson, and that is something that is -- should be
4 allowed under this case.

5 It's also something that this Court has
6 expressly recognized previously --

7 QUESTION: Ms. Pillard, if I can --

8 MS. PILLARD: -- in Anderson v. Creighton.

9 QUESTION: I have a question that at least is
10 important to me, and I'd like you to tell me what your
11 answer to it is.

12 In your control devices which you've just been
13 outlining, you conspicuously don't mention the rule-making
14 authority that Congress newly gave to the courts both
15 under the 20 -- 1291 type final order and the
16 interlocutory order review, the 1292(e), the new 1292(e)
17 and the 2072(c).

18 You must have known they were there. Why didn't
19 you -- the silence is deafening with respect to those.

20 MS. PILLARD: Well, this really -- I may have
21 created some confusion on this, but it goes, I think, to
22 the issue that Justice Souter raised about whether,
23 because the immunity right is a substantive right, could
24 it be contracted, the right to appeal denial, be
25 contracted by rule-making?

1 We certainly think that that would be the
2 procedure. If the court were to arrive at the conclusion
3 that it's not a substantive right, it would be most
4 appropriately done by rule, but I also don't think that it
5 could be done under 1292(e), because that deals with
6 interlocutory orders. We're talking about a final --

7 QUESTION: Which Cohen --

8 MS. PILLARD: -- order.

9 QUESTION: -- v. Beneficial really is, but we
10 call it a final --

11 MS. PILLARD: Well, as recently as 1994 in the
12 Digital Equipment case, this Court affirmed that the
13 final -- the collateral order doctrine under Cohen is a
14 construction of the final order rule.

15 QUESTION: Yes, it is a construction of 1291.

16 MS. PILLARD: Right.

17 QUESTION: But in every other sense it is
18 interim in the litigation.

19 MS. PILLARD: That's right. That's right.

20 QUESTION: Well, under your view in this case,
21 does he get a second bite at the apple, at the issue that
22 was determined the first time around?

23 MS. PILLARD: I think that's a harder question,
24 but in our view, yes, you should be able to bring that
25 claim up, and that goes to the dialogue that I was having

1 with Justice Breyer.

2 The first -- on the first appeal, the court of
3 appeals assumed both the existence of the letter and also
4 the existence of other concrete steps, perhaps a compact
5 among the regulators to blacklist this fellow.

6 After discovery, those concrete steps were
7 absent. They weren't born out, and so you have a
8 different legal claim as of the attempted second appeal,
9 and that claim should be tested. The court of appeals
10 should issue an authoritative ruling whether that claim is
11 based on clearly established law before this official has
12 to be subjected to burdens of discovery and trial.

13 QUESTION: Thank you, Ms. Pillard.

14 Mr. Rees, we'll hear from you.

15 ORAL ARGUMENT OF SAMUEL TASKER REES

16 ON BEHALF OF THE RESPONDENT

17 MR. REES: Mr. Chief Justice, may it please the
18 Court:

19 In my argument today, I would ask the Court to
20 affirm the one interlocutory appeal rule of the First,
21 Seventh, and Ninth Circuits as the correct application of
22 1291, a correct application of Cohen v. Beneficial
23 Industrial Loan, a correct application of Mitchell v.
24 Forsyth, more importantly a correct balancing of the
25 interests of both the governmental defendants and the

1 plaintiffs and the judicial system which this Court went
2 through in its analysis of Mitchell in the first
3 instance --

4 QUESTION: Well, we don't balance interests
5 until we have a basis for doing that. What I am not
6 clear on, Mr. Rees, is what is the hook on which you're
7 hanging your hat here? What is the theoretical reason why
8 we can come up with a numerical rule, only one, apart from
9 the fact that it's a good idea?

10 I mean, for example, there are a lot of people
11 who think that a two-term limit for Congressmen is a good
12 idea, but nobody has come into the Court and said, you
13 know, impose a two-term limit. You know, two is enough.

14 And that's what you're coming -- you're saying,
15 one is enough. Why -- I need a text. I need some legal
16 gimmick --

17 MR. REES: Justice --

18 QUESTION: -- to reach that result.

19 MR. REES: Excuse me for interrupting.

20 Justice Scalia, when this Court analyzed this
21 issue originally in Mitchell and granted collateral order
22 status in Mitchell, one of the reasons why it did so is
23 because of the three-prong Cohen test and because, as a
24 result of the determination in Mitchell, as a separate
25 issue it was going to decide conclusively an issue, and it

1 was going to do so in such a way that it would have been
2 unreviewable after a trial.

3 QUESTION: Right.

4 MR. REES: In this situation, in the present
5 case before you, and I would submit in virtually every
6 instance except the extreme instance, where there is a
7 second interlocutory appeal, if you are not reexamining
8 for a second time before a second panel an issue already
9 decided by the first panel of the court of appeals, you
10 are of necessity not going to do away with the trial. At
11 best, all you are going to do is reduce the scope of the
12 issues that are actually going to be tried in the trial,
13 and that's not what this Court originally did in its
14 analysis of Mitchell.

15 More importantly, when this --

16 QUESTION: Well now, wait. I don't understand.

17 MR. REES: Okay. I apologize.

18 QUESTION: The immunity right does not exist
19 unless the whole trial is eliminated? You can't get an
20 interlocutory appeal on some of the issues in the case --

21 MR. REES: If the --

22 QUESTION: -- even the first time?

23 MR. REES: In Mitchell -- well, the Court's --
24 this Court has never specifically dealt with that issue,
25 but with regard to the civil rights claim, let's assume

1 that there are no claims other than Bivens-type civil
2 rights claim, and we handle the problem, I think, with the
3 district court putting all of the claims together so that
4 they all come up on appeal at the same time. I think
5 that's a sensible situation.

6 But having had a first appeal where the court
7 has determined that clearly established rights were
8 violated and the defendant would reasonably -- a person in
9 the defendant's position would reasonably understand that
10 they violated clearly --

11 QUESTION: Well, excuse me, I thought the first
12 appeal determined only that there had been a claim which,
13 if proven to be true, would lead to the conclusion that
14 established rights had been violated.

15 MR. REES: The --

16 QUESTION: They didn't hold that they had been.

17 MR. REES: No.

18 QUESTION: They held that a claim had been
19 stated.

20 MR. REES: That's true.

21 QUESTION: Okay.

22 MR. REES: If those facts are proven at trial.

23 QUESTION: Yes.

24 MR. REES: But it also examined a clearly
25 established right as well, Justice Souter.

1 QUESTION: Well, that's true.

2 QUESTION: On those facts. On those facts as
3 pleaded.

4 MR. REES: Certainly, and it examined both the
5 substantive and the procedural due process claim, which
6 are the two claims that were being brought.

7 QUESTION: But the defendant's argument at the
8 12(b)(6) stage was, even if we take everything you say as
9 true, it -- even if we take everything the plaintiff says
10 is true, still the law was not clearly settled with
11 respect to that, and that's the point that the first
12 appeal turned on, at least with respect to the --

13 MR. REES: And that's supposed to be the point
14 that every qualified immunity appeal is supposed to turn
15 on if we are dealing with the purely legal issue as
16 opposed to the fact-determinative issues that the court --

17 QUESTION: But what do you do with the second
18 claim? There was never a first appeal because the
19 district court went off on -- wrongly, as it turned out,
20 on the statute of limitations.

21 MR. REES: Well, I handle that issue several
22 different ways. First of all, that was an error that was
23 created by Mr. Behrens, invited by the district court,
24 which Mr. Behrens recognized and put in his first appeal
25 brief when he argued in his first appeal brief precisely

1 the issue that he wants to raise on the second appeal.

2 He did argue it. The court of appeals decided
3 not to reach it, and fortunately the court of appeals in a
4 footnote indicated that the district court was in error in
5 its statute of limitations determination, something that
6 the plaintiff was unable to raise in an interlocutory
7 appeal.

8 So in this -- this happens to be a situation
9 where that error was in fact invited, but in point and
10 view, there is going to be a trial, and if Mr. Behrens
11 loses in that trial, he does have the opportunity to get
12 an appellate determination. It just happens to be a post
13 trial determination.

14 QUESTION: Mr. Rees, could I recall you to my
15 question?

16 As I understand it, your response to my question
17 as to what gives us the right to say one only is the fact
18 that the right to an interlocutory appeal here, which is
19 deemed a final appeal under the statute, is only a right
20 to eliminate the trial entirely. Is that your point?

21 MR. REES: In Mitchell, the court went that far.
22 This Court has never gone so far as to say it must
23 entirely omit the trial, but --

24 QUESTION: But that's your theory, and that's
25 why you think you're entitled to judgment here.

1 MR. REES: It clearly supports a one-appeal
2 theory.

3 QUESTION: And when you say trial, you mean
4 trial on any issue whatsoever, so that if any --

5 MR. REES: No, Your Honor.

6 QUESTION: I'm sorry, then I misunderstood you.

7 MR. REES: I apologize. Excuse me for
8 interrupting.

9 I don't mean to say that, Justice Souter. I'm
10 talking about with regard to the civil rights claims.

11 There have been some instances where there
12 are --

13 QUESTION: Yes, but there's more than one civil
14 rights claim.

15 MR. REES: Certainly.

16 QUESTION: And you're saying if there's going to
17 be a trial on any civil rights claim, that in effect
18 defeats the right to a further 1291 appeal.

19 MR. REES: I'm saying --

20 QUESTION: Yes, or even the first, I guess.
21 Isn't that your argument?

22 MR. REES: I'm saying that the district court --

23 QUESTION: Well, excuse me, could you give me a
24 yes or no, if it's -- if that's possible, and then
25 explain?

1 MR. REES: I think the answer to your question
2 is yes.

3 QUESTION: Yes, I see.

4 MR. REES: I think the answer to your question
5 is --

6 QUESTION: I suppose you've abandoned this
7 because you'll lose the case, perhaps, but I thought the
8 theory was that there is a rule under Cohen, which
9 governed Mitchell, which says that you only get the appeal
10 if the thing you're appealing on resolves an important
11 issue completely separate from the merits, which is
12 effectively unreviewable.

13 So the first time a person appeals from the
14 dismissal of the complaint, that's not effectively
15 separate and conclusive compared to his later appeal for
16 denial of summary judgment. As long as those two things
17 are out there, you can't say that the first is completely
18 separate despite the factual change, for if you did,
19 thousands of discovery orders would become immediately
20 appealable.

21 Now, that's what -- I mean, but if that's the
22 theory, then I don't see how you win, because their
23 client -- you see, the only way -- they're appealing the
24 summary judgment stage, which is completely separate from
25 the later trial order. It's -- the two that aren't

1 separate are the first two, the dismissal -- is that too
2 complicated?

3 MR. REES: It --

4 QUESTION: Are you seeing what I'm driving at?

5 MR. REES: I understand what you're driving at,
6 but it seems to me that at the point in time that there is
7 a conclusive determination of the issue, then that is the
8 time when the qualified immunity purely legal issue is
9 ripe for appeal.

10 QUESTION: In this case they -

11 MR. REES: It may be that it's ripe for appeal
12 at the motion to dismiss stage, at the later stage.

13 QUESTION: In the First Circuit, what people
14 said was, look, you got -- you want your appeal now,
15 dismissal of complaint, you waive the later one.
16 Otherwise, it's not final. And then the reason they
17 couldn't do the second one was because they'd waived it,
18 but that didn't happen here.

19 MR. REES: That did not happen here. It
20 essentially happens here now because the court in the
21 Ninth Circuit has given the defendant the opportunity to
22 make that decision, because understand that the issue got
23 raised in this case in the Ninth Circuit because we argued
24 that there was not jurisdiction at the motion to dismiss
25 stage.

1 QUESTION: What's your response to the Solicitor
2 General's example, where the appeal from the motion to
3 dismiss, the pleadings say A plus B plus C facts occur,
4 and the court of appeals says that's a violation of a
5 clearly established rule, discovery, and after discovery,
6 it's clear that C cannot be proven, so that only A plus B
7 exists. Can that go again to the court of appeals on
8 denial of a motion for summary judgment?

9 MR. REES: I would assert, Your Honor, that it
10 should not be allowed to go to the court of appeals,
11 because as soon as you do, A plus B plus C gets another
12 appeal. Then you must do A plus B plus C plus D.

13 QUESTION: Well, I don't think so if the
14 district court properly structures so that you only have
15 one -- you know, if you only allowed one motion for
16 summary judgment.

17 MR. REES: In this case, when the case --

18 QUESTION: Well, I -- speak generally, if you
19 would. That's what I'm interested in.

20 MR. REES: Okay, but I thought this case would
21 be instructive on that issue, because when the case came
22 back down from the court of appeal, after the first
23 appeal, the defendant took some more discovery so that the
24 defendant could raise a slightly different issue with
25 regard to their claim for a second interlocutory --

1 QUESTION: Take my hypothesis that the district
2 court does structure the thing. You have a motion to
3 dismiss. You're allowed a motion to dismiss at the
4 beginning. The district court rules on it.

5 Then a certain period of time for discovery, and
6 then motions for summary judgment, now or never after
7 discovery, and the issue on the second appeal taken to the
8 court of appeals is only A plus B can be proven. C cannot
9 be proven. The first time you ruled A plus B plus C was
10 enough. Now you have a different issue, is A plus B
11 enough.

12 MR. REES: And then on the motions in limine you
13 have A, the change in A, and A can't be proven.

14 QUESTION: Well, but I'm not at all sure the
15 district court has to indulge all of that.

16 MR. REES: Clearly the district court will
17 analyze the case under motions in limine, clearly at the
18 time of the pretrial conference order if not on the eve of
19 trial.

20 The case be -- continues in flux from a factual
21 point of view, all the way up to the end, when the jury
22 comes back --

23 QUESTION: Well, but as the Chief Justice said,
24 the district court does not have to allow an infinite
25 number of summary judgment motions. A district court can

1 say, okay, you've lost on the motion to dismiss. Have
2 your discovery. When the discovery is over, I will
3 entertain a motion for a summary judgment on whatever
4 grounds, multiple grounds you may have. The district
5 court can do that, can't it?

6 MR. REES: And clearly a rule, Justice Souter --

7 QUESTION: The answer is yes, it can.

8 MR. REES: Yes. The answer is yes.

9 QUESTION: All right. Now, going back to the
10 Chief Justice's question, if the motion to dismiss assumes
11 facts A, B, and C, and it is lost, the case comes back --
12 after a Cohen appeal the case comes back. Discovery takes
13 place. There is now -- it is now, as in his hypo, clear
14 that C cannot be proven, so that the facts are merely A
15 and B.

16 If you eliminate the appeal when the district
17 court denies the motion for summary judgment on A and B
18 alone, then, as a practical matter, it seems to me, you
19 have totally undercut, if you have not destroyed, that
20 aspect of our qualified immunity doctrine which says you
21 ought to be protected from discovery.

22 You're saying, if you lose on the motion to
23 dismiss, you have no further protection from discovery.
24 If you want to postpone your motion to dismiss, then
25 you've got to go through discovery, which destroys the

1 right to immunity from that. Isn't that true?

2 MR. REES: No.

3 QUESTION: Why?

4 MR. REES: That is one of the benefits, Justice
5 Souter, of the district court's ability to fashion the
6 pretrial proceedings to structure the qualified immunity
7 issues, even insofar as their appeal, so that that issue
8 can be raised and conclusively determined so that a single
9 appeal --

10 QUESTION: No, but what if the -- the district
11 court says, I'm not going to let you go up on -- following
12 the denial of your motion to dismiss, because I want to
13 make sure discovery is over before you appeal.

14 Or what if the district court says, I simply
15 won't rule on the motion to dismiss on the pleadings. I'm
16 going to wait until after you have completed discovery.

17 That would be a way -- and file any summary
18 judgment motions, and so on. That would be a good
19 practical way of limiting the appeals to one appeal, but
20 it would destroy the immunity from discovery, the
21 qualified immunity protection from discovery --

22 MR. REES: It's a practical --

23 QUESTION: -- wouldn't it?

24 MR. REES: It's clearly a practical way for the
25 district court to attempt to destroy --

1 QUESTION: It's -- yes, and it would destroy it.
2 MR. REES: Assuming there's no mandate issued
3 from the circuit court when the defendant said --
4 QUESTION: Yes, but if the district court --
5 MR. REES: -- I'm entitled to have a decision.
6 QUESTION: If the district court did that, it
7 would be in violation of the qualified immunity protection
8 against discovery, wouldn't it?
9 MR. REES: It would --
10 QUESTION: Let's assume the district court just
11 takes this in hand and does what I have outlined. That
12 would destroy the qualified immunity protection against
13 discovery, wouldn't it?
14 MR. REES: The qualified immunity -- it would
15 destroy the ability of the defendant to completely avoid
16 discovery.
17 QUESTION: Right.
18 MR. REES: On the basis of qualified immunity.
19 QUESTION: Now, same result on the one appeal
20 rule that you want. If you're saying, if you take your
21 one appeal after the motion to dismiss, and before
22 discovery, and you can't appeal again, then the defendant
23 is going to have to say, well, do I in fact want this
24 qualified immunity right against discovery?
25 And if he says, yes, I do, then he cannot take a

1 Cohen appeal from a final order on the motion to dismiss,
2 and -- you can't have it both ways.

3 MR. REES: You --

4 QUESTION: You either have one appeal, or you're
5 going to destroy, in effect, the discovery protection.

6 MR. REES: Yes, and you will destroy that
7 discovery protection by the defendant's own choosing.
8 That is, the defendant will be in the best position to
9 decide when he wants to have that issue tested.

10 QUESTION: Well, that's like saying you can
11 condition anything on the waiver of a constitutional
12 right.

13 QUESTION: Do you think there's an obligation on
14 the defendant in order to justify the Cohen appeal to say
15 that his first appeal must conclusively determine the
16 question? That's a requirement of Cohen, isn't it?

17 MR. REES: It is clearly a requirement of Cohen.

18 QUESTION: And that requirement is not fulfilled
19 if he fails on the first appeal, is it?

20 MR. REES: It is not -- it is not satisfied.

21 QUESTION: Your position makes entire sense if
22 you are correct in referring to "the qualified immunity
23 issue" as though it is a single issue at all stages, but
24 that's the vice of it. In fact, it's a quite different
25 issue when it comes up at the motion to dismiss stage and

1 when it comes up after discovery.

2 We then discover that what we're talking about
3 is something quite different, and what you're saying is,
4 you simply have to abandon your ability to challenge the
5 one issue if you want to challenge the later one, and the
6 price of it is discovery. They're two different issues,
7 however.

8 MR. REES: There is also the price, Justice
9 Scalia, on the other side, which is from the multiple
10 interlocutory appeal and the delay --

11 QUESTION: Well, when you say multiple, what is
12 your response to the fact that if the -- to the, I thought
13 fairly plausible argument that if the district court does,
14 indeed, manage its discovery and its summary judgment
15 practice, the so-called multiple is really a practical
16 maximum of two appeals.

17 There would be one, presumably, following a
18 denial of a motion to dismiss, there would be another one,
19 potentially, following all the discovery and all the
20 summary judgments. That's two. Do you think that's an
21 unsound argument?

22 MR. REES: If you are going to fashion a rule
23 that allows for two appeals of the issue, and you're going
24 to attempt not to have the forum-shopping within the
25 circuit of one panel says yes and another panel says no

1 because you're having the same issue reviewed a second
2 time.

3 QUESTION: Well, let's assume you don't have an
4 intracircuit problem of chaos. Let's assume that the
5 district court is, in fact, going to manage the discovery
6 in the way that I have suggested, the Government
7 suggested. Is that an unsound argument which leads to the
8 conclusion that as a practical matter you're going to have
9 a potential of two appeals in the overwhelming number of
10 cases? Is that unsound?

11 MR. REES: Well, not only does it lead to the
12 potential, I think it leads to the absolute conclusion --

13 QUESTION: Well, is it -- is that an unsound
14 argument?

15 MR. REES: It is clearly -- from a balancing
16 point of view, it is an unsatisfactory --

17 QUESTION: Well, I'm not balancing. I'm just
18 saying, is that an unsound argument? Is it going to
19 result in two appeals as a max, in most cases?

20 MR. REES: In the majority of cases it will
21 result in only two appeals, but it will also result in
22 almost every case in two appeals, because it is clearly in
23 the defendant's claimed interest to delay the resolution
24 of the case by taking the two appeals.

25 QUESTION: Well, we've said it's -- the

1 defendant has got a constitutional qualified immunity
2 interest to avoid discovery. He's only doing what we've
3 told him he's got a right to insist on.

4 MR. REES: I believe that --

5 QUESTION: I mean, you're branding him as
6 somebody, in fact, who's taking advantage of the system,
7 and it seems to me that the so-called system is the
8 qualified immunity system, which we have recognized.

9 QUESTION: Do you agree that the qualified
10 immunity defense is constitutionally mandated? There's no
11 constitutional basis for it, is there?

12 QUESTION: Is -- yes, right. I mean, don't
13 criminals every day of the week have to go to trial where
14 the district court has had terribly erroneous rulings of
15 all kinds. They can't appeal in the middle of the case.
16 Is there something called a constitutional right that even
17 though you can appeal, so you don't have to go to trial,
18 you also have a separate constitutional right in a civil
19 case not to undergo discovery?

20 MR. REES: It was a balancing issue --

21 QUESTION: Where was that?

22 MR. REES: -- that was done --

23 QUESTION: Where was that?

24 MR. REES: -- as well. I did not find it as a
25 pure constitutional --

1 QUESTION: You mean a special, separate
2 constitutional right not to undergo discovery? What is
3 the source of --

4 MR. REES: It is not. It is a not a pure
5 constitutional --

6 QUESTION: But in any case, we've recognized it,
7 and we would have to go back on our prior rulings in order
8 to accommodate your position.

9 MR. REES: I don't believe so. I believe that
10 in order to create a two-appeal rule case, because that's,
11 I thought, where your hypothetical led us to, a two-
12 appeal, one at the motion to dismiss and one at summary
13 judgment, I think you've expanded your appellate
14 jurisdiction, the appellate jurisdiction that you've
15 created in Mitchell, and Mitchell was a close case to
16 begin with.

17 QUESTION: Why? Why?

18 MR. REES: Because --

19 QUESTION: If there is a separate cognizable
20 interest, whatever its origin, constitutional, or what-
21 not, if there's a separate cognizable interest in avoiding
22 discovery, then why have we expanded anything in
23 recognizing the -- we'll call it the maximum two-appeal
24 rule?

25 MR. REES: If avoiding discovery is a separate

1 cognizable interest that under Cohen is sufficiently
2 important to view as a need for a single, interlocutory
3 appeal, then you are correct. Then you are looking at
4 qualified immunity avoidance of discovery, qualified
5 immunity avoidance of trial.

6 QUESTION: But if it's not that important, why
7 did we recognize it in the first place?

8 MR. REES: We recog -- I'm sorry.

9 This Court recognized the qualified immunity
10 issue the first time and allowed an interlocutory appeal
11 as an exception under Cohen because after balancing those
12 issues they thought it was important not only because of
13 the defendant's right to avoid discovery, but also the
14 defendant's right to avoid trial --

15 QUESTION: Mr. Rees --

16 MR. REES: -- and it was a single appeal issue.

17 QUESTION: The -- you start out with a one-
18 appeal rule, and that has the kind of a flavor of a
19 legislative measure rather than a court-type doctrine, and
20 then, well, I asked Ms. Pillard why didn't the Government
21 seem to think this was a matter for rule-making, and she
22 said, well there's this Mitchell -- but there have been
23 privileges before, most famously perhaps the work-product
24 privilege, that start out with a court doctrine. Hickman
25 v. Taylor was a court doctrine, and then it got embodied

1 in the Federal rules after.

2 So why isn't the appropriate thing now for the
3 courts to use the rule-making authority that Congress gave
4 them rather than to say, oh, we're going to pick a one-
5 appeal rule or a two-appeal rule, and we're going to try
6 through adjudication to have that kind of a legislative
7 field rule.

8 MR. REES: We do not disagree with the court's
9 power to fashion a rule which allows the escape route for
10 the exceptional case, be it under the rule-making power,
11 be it under 1292(b), be it under the power that says,
12 except in extraordinary circumstances there's only one
13 appeal, because one appeal will resolve the purely legal
14 issue and protect the rights of the governmental defendant
15 to avoid both discovery and trial while at the same time
16 protecting the interests of the plaintiffs and the
17 judicial system, because every time there is an appeal,
18 there is a cost in this system, and there is the cost of
19 the system of taking these seriatim appeals.

20 QUESTION: There -- surely there are deterrents.
21 I mean, if it is frivolous it can be sanctioned, can it
22 not?

23 MR. REES: After the fact.

24 QUESTION: Well, after the fact, but the
25 knowledge that it will happen after the fact tends to

1 deter one's committing the fact, doesn't it?

2 MR. REES: Well, it doesn't help the plaintiff,
3 and I think if -- Justice Scalia, if you take just a brief
4 look at this case, where after 7 years we're still not up
5 to an appeal -- or, a trial, and we've still only done one
6 interlocutory appeal, and the entire governmental agency
7 that was involved has been abolished, all the witnesses
8 have scattered to the four winds --

9 QUESTION: In addition to sanctions, the lawyers
10 I know don't like to go up on a frivolous appeal and come
11 back to the same judge. It always comes back to the same
12 judge, doesn't it?

13 MR. REES: It does not always go back to the
14 same judge. It frequently goes, and is usually the case
15 that it will come back to the same judge.

16 QUESTION: If it goes on much longer, he'll be
17 retired.

18 (Laughter.)

19 MR. REES: I'm afraid so, with this judge.

20 QUESTION: I'm no sure that I understand what
21 your answer to why it should be done through adjudication.
22 Is it because it's easy and it's clear, so you don't need
23 the Rule-Making Committee with the law professors and the
24 lawyers and the judges?

25 MR. REES: Well, we started with 1291, which is

1 the rule that we are interpreting.

2 QUESTION: Yes, but that's the first place where
3 Congress -- it was even before adding to the 1292. In
4 2072, Congress in 1990 gave the courts authority which
5 they've never used to deal with the 1291 type.

6 MR. REES: Yes.

7 QUESTION: The Cohen v. Beneficial --

8 MR. REES: Yes.

9 QUESTION: -- type.

10 MR. REES: And I've said, I believe that it is
11 perfectly permissible to utilize the rule-making authority
12 to handle the problems with the exceptional case and give
13 the governmental defendant who has a legitimate claim for
14 a second interlocutory appeal that opportunity, and I
15 think it can be done under rule-making, I think it can be
16 done under case interpretation, just the same way Mitchell
17 allowed the interlocutory appeal in the first instance,
18 and I think it can -- the escape valve is there --

19 QUESTION: Well, I suppose they would argue that
20 this is an exceptional case. The district court had it
21 wrong the first go-around on the statute of limitations.
22 The court of appeals gave some advice to correct it, and
23 so now the issue's back in front of them. That sounds
24 rather unusual.

25 MR. REES: Well, I mean, we would argue that

1 it's not because it's actually the stronger of the cases
2 that wasn't ruled upon, but not only that, I mean, the
3 fact of the matter is, it's not going to conclusively
4 determine that issue, because Mr. Behrens will still go to
5 trial on the substantive and procedural due process claims
6 that we have done for violation of Mr. Pelletier's liberty
7 interests. He will go to trial with regard to that.

8 At best, the only thing that the second appeal
9 is going to do is reduce the scope of the issues to be
10 tried, and probably not do that terribly effectively.

11 QUESTION: And that's not enough, you say,
12 under -- to invoke the exception -- the Cohen exception.

13 MR. REES: Well, under this Court's reasoning,
14 as this Court did it in Johnson and in Mitchell and in
15 Cohen, and in Digital --

16 QUESTION: The problem is, if that's not enough
17 at appeal two, I don't know why it's not enough at
18 appeal -- why it is enough at appeal one. I mean, you'd
19 have to extend that principle to the first round, too,
20 wouldn't you, and say unless you're challenging the entire
21 lawsuit, you cannot ask that some of it be thrown out.

22 MR. REES: No. I think if you are -- if you are
23 conclusively determining the qualified issue with regard
24 to that action --

25 QUESTION: Why? I mean, why just the qualified

1 issue? Why not just -- why not all issues?

2 MR. REES: Well, we're not allowed to take the
3 other side of the appeal. We're not allowed -- the
4 plaintiff's not allowed to take the statute of
5 limitations, or the Administrative Procedure Act, or any
6 of the other claims where there's been a determination,
7 but --

8 QUESTION: I don't understand -- it was a
9 discrete claim, so you could have asked the judge for a
10 54(b) final, final judgment. Then you would have had --

11 MR. REES: I could have asked for a 1292(b)
12 discretionary appeal with regard --

13 QUESTION: Why? You were out on the statute of
14 limitations.

15 MR. REES: Yes.

16 QUESTION: On a claim.

17 MR. REES: Yes.

18 QUESTION: That claim was over and done. You --
19 couldn't you have gotten a final, final judgment by asking
20 the court for a 54(b)?

21 MR. REES: Oh, no, because that really cut
22 across all the lines of the case. It didn't finally
23 dispose of the issue sufficiently enough --

24 QUESTION: It disposed of one discrete claim,
25 didn't it?

1 MR. REES: No. No, Your Honor. That was a
2 misstatement by Mr. Weiss, I believe. The actual claims
3 here are substantive -- a substantive due process claim
4 and a procedural due process claim, both of which claims
5 asserted both a liberty and property interest.

6 The only thing that happened with regard to the
7 district court, as the district court said, with regard to
8 your substantive claim, you cannot raise that on the
9 writing of the Behrens directive. You must work on a 1-
10 year statute. You can only go back 1 year from the date
11 of the suit, rather than 3 years.

12 QUESTION: But your position is that so long as
13 you make one claim that will survive a qualified immunity
14 challenge you can thereupon add to it as many other claims
15 as you want, all of which will become immunized from a
16 qualified immunity challenge, because after all, the one
17 claim is going to have to go to the jury, and therefore
18 the matter will not be completely disposed of by a Cohen
19 appeal.

20 MR. REES: That's not my argument, Justice
21 Scalia.

22 QUESTION: I thought that was precisely your
23 argument.

24 MR. REES: I must have misspoken --

25 QUESTION: I thought you said that all of the

1 qualified immunity stuff has to be disposed of.

2 MR. REES: No. What I'm saying is, at the point
3 in time of the appeal, the appeal should resolve
4 conclusively the qualified immunity issues the defendant
5 wishes to raise.

6 QUESTION: That's right.

7 MR. REES: So that we don't go in seriatim.

8 QUESTION: So so long as one of the claims is
9 clearly not subject to a qualified immunity defense,
10 you've got one good claim, you can thereupon pile on as
11 many invalid claims as you like, and you cannot take it up
12 under Cohen.

13 MR. REES: No, because he will take it up, all
14 of those claims --

15 QUESTION: No --

16 MR. REES: -- that he has been denied his

17 QUESTION: No, but --

18 MR. REES: -- qualified immunity rights.

19 QUESTION: But one, there's no basis for it.
20 One, clearly the case can't be thrown out.

21 MR. REES: Well, I would assert that you don't
22 need to go that far, and you certainly don't need to go
23 that far in this case.

24 QUESTION: I hope not.

25 MR. REES: This is a case -- this is a case, if

1 you remember back to Mitchell when qualified immunity
2 appeals --

3 QUESTION: Thank you, Mr. Rees.

4 MR. REES: Thank you, Mr. Chief Justice.

5 QUESTION: Mr. Weiss, you have 1 minute
6 remaining.

7 MR. WEISS: Petitioner will waive, Your Honor.
8 Thank you very much.

9 CHIEF JUSTICE REHNQUIST: Very well. The case
10 is submitted.

11 (Whereupon, at 12:04 p.m., the case in the
12 above-entitled matter was submitted.)
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CERTIFICATION

Alderson Reporting Company, Inc., hereby certifies that the attached pages represents an accurate transcription of electronic sound recording of the oral argument before the Supreme Court of The United States in the Matter of:

JOHN W. BEHRENS, Petitioner,
v. ROBERT J. PELLETIER.

CASE NO: No. 94-1244

and that these attached pages constitutes the original transcript of the proceedings for the records of the court.

BY Ann Marie Federico

(REPORTER)