



Submission Guidance:

Misdirection

This paper is intended to provide guidance for those thinking of applying to the Commission on the basis that there was a misdirection in the judge's charge to the jury. It sets out, in brief outline, the Commission's understanding of the key principles of law. It then explains the information that the Commission is likely to require in different categories of case. For a fuller explanation of the Commission's understanding of this area of law, see the appended position paper.

Misdirection – in Brief

- The judge's charge to the jury forms a key part of the "framework" of materials in a jury trial.
 - A charge that is inadequate *may* result in a miscarriage of justice
- Misdirections may arise in relation to the judge's summary of the applicable law or the summary of the facts of the case.
- The charge to the jury must always be read as a whole document. An error that seems serious in isolation may seem less so within its proper context.
- A misdirection will only be considered a miscarriage of justice if it is material.
 - The test that the Commission applies for determining materiality is whether or not there is a real possibility that the misdirection may have affected the verdict

Identifying the Misdirection

It is, of course, easier to identify a misdirection if you have a copy of the trial judge's charge. In such a case, it should be possible to point to the exact passage(s) that you consider objectionable. You should do this if possible.

The charge to the jury is transcribed in any case in which the accused has sought leave to appeal. If you did not try to appeal, it is unlikely that the charge will have been transcribed. In such a case, it is possible for us to obtain a copy of the charge. In order to persuade us to do so, you should explain in as much detail as possible how you consider that the judge made a mistake.

Misdirection on the Law

If you consider that the trial judge made an error of law, you should try to explain, in as much detail as possible:

- (1) What the judge said
- (2) Why it was wrong
- (3) What effect this is likely to have had on the jury's deliberations

You may wish to refer to legal authorities (eg cases and statutes) if you know them and they are relevant.

Misdirection on the Evidence

If you intend to submit that the charge was unbalanced in relation to a key area of fact, try to refer to the passages of the charge that lead you to this conclusion. If it is not obvious why the area of fact under discussion was important, explain why it was important.

Materiality

In any case of alleged misdirection, you will need to show that the error was material to the case. It is not enough simply to argue that there has been an error. You will need to outline how the error might have affected the outcome of the trial. In order to do so, you may need to refer to the evidence in the trial and how the parties presented their cases.

Misdirection

This paper sets out, in broad terms, the Commission's approach when dealing with this area of law.

Introduction

1. In solemn criminal procedure¹, it is the responsibility of the presiding judge, after the legal representatives have given their closing speeches, to charge the jury². The charge to the jury forms a vital part of the “framework” that makes the jury’s verdict comprehensible³. In the course of the charge, the judge provides an explanation of the matters of law that the jury will be required to apply in reaching their decision, linking these, where appropriate, to the facts in issue. The judge may also summarise some or all of the evidence.
2. A ground of appeal, usually described as “misdirection”, may arise from the judge’s charge in a number of different ways. It is a misdirection if the judge states the law incorrectly or applies it wrongly to the facts. It is also a misdirection if the judge provides a misleading or unbalanced summary of the evidence available at trial. A misdirection will, however, only lead to a miscarriage of justice if it is deemed to be “material” to the case.
3. Misdirection is a common ground of review for the Commission⁴. It is, proportionately, an even more frequent ground of referral. In 16% of the Commission’s referrals⁵ on conviction points misdirection was the main ground of review, placing the ground second only to fresh evidence in terms of total volume of conviction referrals. Some of these cases have had a significant impact upon the law

¹ Trial by jury with a presiding judge or sheriff

² In summary procedure, the sheriff or justices of the peace act(s) as finder(s) of fact, and thus there is no need for a charge.

³ *Judge v United Kingdom* 2011 SCCR 241; *Beggs v HMA* 2010 SCCR 681

⁴ Misdirection was the main ground of review in 5% of the Commission’s aggregate caseload from 1 April 1999-31 March 2015.

⁵ To April 2015

in this area. *Liehne v HMA*⁶, for example, established that, in cases involving complex forensic evidence, it may be incumbent upon the trial judge to focus the attention of the jury upon the contentious issues.

The Commission's Position

Misdirection on the Law

4. The directions appropriate in any particular case will vary depending on the areas of law engaged. It would not be possible to cover all of the possibilities. The *Jury Manual*⁷, published by the Judicial Institute, catalogues standard directions relating to the areas of law that arise most frequently.

5. In *Sim v HMA*⁸, the court observed that the directions “must be looked at in the context of the oral tradition in which they are given as part of the trial process.” It continued:

“The words should not be scrutinised in isolation or as if they were part of a conveyancing document or a provision in a penal statute (*Beck v HM Advocate* [[2013] HCJAC 51...) Minor deviances from standard formulae will not normally be regarded as productive of miscarriages of justice, if the directions on a particular topic are, when the charge is read as a whole, clear and correct”

6. It is thus important to consider any direction within the context of the charge as a whole⁹, as well as that of the speeches and the evidence at trial¹⁰. Whilst an isolated passage may appear to be misleading, this may not be so when considered in conjunction with the remaining directions. The charge is not to be evaluated as an “academic treatise” on the law¹¹. The extent of the directions required in relation to any particular legal issue will depend on the circumstances of the case at hand.

⁶ 2011 SCCR 419

⁷ http://www.scotland-judiciary.org.uk/Upload/Documents/mrcJURY_MANUAL_JAN2011nosignature.pdf

⁸ [2016] HCJAC 48

⁹ *Withers v HMA* 1947 JC 109

¹⁰ *Sim v HMA*; *Cumlin v HMA* [2018] HCJAC 44.

In situations in which the conduct of the Crown has departed significantly from proper practice, it is incumbent upon the presiding judge “to take decisive action to correct the balance” (*Lundy v HMA* [2018] HCJAC 3 at paragraphs 53 & 59; see also *P(K) v HMA* 2017 SCL 729 and *Morrison v HMA* 2013 SCL 965). Whilst it is not improper for the advocate depute to refer to the law in the course of the exposition of his arguments, a material error may necessitate judicial correction.

¹¹ *Grenfell v HMA* [2013] HCJAC 125

Where the complaint is that a direction has been omitted, the question at hand is whether or not it was “necessary for a proper verdict”¹².

7. It is worth noting that the directions required in any particular case are not limited by the manner in which the parties presented it in their closing speeches¹³. In *Ferguson v HMA*¹⁴, a case in which defence counsel had invited the jury to acquit his client or convict him of murder, the court held, following the approach in *R v Coutts*¹⁵, that it was incumbent upon the trial judge nonetheless to direct the jury in relation to any “obvious” alternative verdict, in that case culpable homicide. In *Coutts*, Lord Bingham of Cornhill explained that this should be taken to mean: “alternatives which should suggest themselves to the mind of any ordinarily knowledgeable and alert criminal judge, excluding alternatives which ingenious counsel may identify through diligent research after the trial.” Whether or not an alternative verdict is available will depend upon the facts of the case.

Misdirection on the Evidence

8. Generally speaking, a trial judge is obliged to refer in the charge to the evidence only insofar as it is necessary to do so in order to explain to the jury how to apply the directions in law. Canvassing the evidence is primarily the responsibility of the Crown and the accused¹⁶. The judge may, nonetheless, choose to summarise some or all of the remaining evidence. This is more likely to be appropriate in long and complex cases¹⁷. Following *Liehne v HMA*, there are some cases in which the nature of the evidence requires the judge to focus the issues at hand¹⁸, but these are not common; the court generally affords a wide discretion to the trial judge in this regard.
9. If a judge does decide that it is appropriate to go into the evidence, whether in full or in part, then, in offering the jury a summary of evidence, they must do so accurately and in a balanced manner¹⁹. An applicant who seeks to found on imbalance must demonstrate that, viewing the charge as a whole, “its tenor was

¹² *Cumlin v HMA*

¹³ Although, in relation to the ability of the Crown as “master of the instance” to restrict the charges under consideration, see *Buchanan v Hamilton* 1990 SLT 244

¹⁴ 2009 SCL 250

¹⁵ [2007] 1 Cr App R 6

¹⁶ *Sim v HMA*

¹⁷ *Shepherd v HMA* 1997 SLT 525 at page 528

¹⁸ Although cf *Younas v HMA* [2014] HCJAC 114 & *Geddes v HMA* 2015 SCL 342

¹⁹ *Shepherd v HMA*

unbalanced in the sense of demonstrably favouring the Crown upon a contentious issue of fact raised at trial.”²⁰ If a witness’s position has altered, it would not be sufficient to refer merely to what was said in examination-in-chief. The trial judge must be careful not to trespass on the province of the jury by expressing or implying his own view on the credibility or reliability of the evidence²¹. Where the judge has presented a misleading or unbalanced summary of the evidence, this will not be readily rescued by general directions relating to the differing functions of judge and jury or an instruction to disregard any impression that the jury may have formed in relation to the judge’s own views on the evidence²².

Materiality

10. It is well established that an error by the trial judge does not necessarily constitute a miscarriage of justice. The High Court will consider the materiality of the misdirection upon which an appeal is based. It will consider the misdirection in the context of the trial and the directions given as a whole, before deciding whether or not it may have affected the jury’s understanding of the case to the extent that the appellant did not receive a fair trial.
11. Until recently, there was little in the way of guidance as to the test to be applied in determining whether a misdirection is material. In *Fraser v HMA*²³, Lord Hope noted that there appeared to be some disagreement between two (then) recent High Court judgements, *Coubrough’s Executrix v HMA*²⁴ and *Black v HMA*²⁵. In the former case, the court expressed the view that the test in *McInnes v HMA*²⁶ ought to be used in misdirection cases, whilst in the latter, the court doubted the relevance of the test to a misdirection point. Noting the disagreement, the court in *McGrory v HMA*²⁷, a misdirection case that post-dated *Fraser*, took the view that it lacked the authority to determine the issue conclusively, but, in the face of a Crown concession, was content to proceed on the assumption that the *McInnes* test was appropriate. More recently, in *Brodie v HMA*²⁸, the court rejected the contention put forward by counsel for the appellant to the effect that *McInnes* ought to be adopted as a

²⁰ *Snowden v HMA* [2014] HCJAC 100

²¹ *Simpson v HMA* 1952 JC 1; *O’Donnell v HMA* [2014] HCJAC 43

²² *O’Donnell v HMA*

²³ 2011 SCCR 396

²⁴ 2010 SCCR 473

²⁵ 2011 SCCR 87

²⁶ 2010 SCCR 286

²⁷ 2013 SCCR 113

²⁸ 2013 SCCR 23

general standard for the assessment of miscarriage of justice, but appeared to apply a functional equivalent²⁹ to a ground relating to a misdirection on dock identification. The approach that the court took in *Brodie* leads the Commission to conclude that a *McInnes*-type approach is correct in this category of cases³⁰.

12. Where a misdirection has been established, the question to which the Commission will apply its mind is thus whether there is a real possibility that, had there been no misdirection, the jury might have delivered a different verdict.

Specific Considerations

13. In cases in which it is contended that there has been a misdirection, it will invariably be necessary to have recourse to the charge to the jury. If the case has been the subject of appeal proceedings, the charge should be among the papers obtained from Justiciary Office during the stage 1 process. If it has not, it should be possible to have the charge transcribed. It may also be helpful to have access to the Crown and defence speeches. These are unlikely to have been transcribed. Where it is interested in a particular passage from the speeches, the Commission will consider whether it is appropriate to listen to the audio recording at Justiciary Office rather than requesting a transcription.
14. Where it is suggested that the trial judge has misdirected the jury in relation to a matter of law, it may be beneficial to consult the *Jury Manual*. Whilst not intended to be prescriptive with regard to the form of words that trial judges should use³¹, a significant deviation may be indicative of misdirection.

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²⁹ At paragraph 32: "There was no realistic possibility that the jury would have returned a different verdict had such a warning been given."

³⁰ Cf Renton & Brown, *Criminal Procedure*, 6th Ed at paragraph 29-30.2 and *Duffy v HMA* 2015 SCL 544 at paragraph 24

³¹ *Deeney v HMA* 2014 SCL 858 at paragraph 19