

## Understanding Jurisprudence

An introduction to legal theory

RAYMOND WACKS

FIFTH EDITION

What is law? Does it have a purpose? What is its relationship to justice? Do we have a moral duty to obey the law? These are the questions which lie at the heart of jurisprudence and the study of law in general, providing invaluable context for every branch of substantive law, from tort to criminal law.

'A juristic gem that sparkles with insight and shines with clarity, shedding light on numerous challenging topics in a lucidly accessible style.'

William MacNeil, The Honourable John Dowd Chair in Law, Dean & Head of the School of Law and Justice, Southern Cross University, Australia.

'The elegance of the writing and the breadth of knowledge-displayed here in such an easily accessible form—make it essential reading.'

Stephen Guest, Emeritus Professor of Legal Philosophy, University College London.

'The plentiful discussion topics and Wacks' delightful style make this an impressive read.'

William A. Edmundson, Regents' Professor of Law and of Philosophy, Georgia State University, Atlanta.



## online resources www.oup.com/uk/wacks5e/

This book is accompanied by the following online resources:

- Multiple choice questions and a flashcard glossary give you a chance to test your comprehension of the subject and related terminology
- Further reading suggestions, including links to relevant journal articles provide a starting point for essay preparation
- Additional chapters provide advice on how to approach studying jurisprudence



Professor Raymond Wacks has taught jurisprudence around the world for over thirty years. He has published more than twenty books and numerous articles on legal philosophy, the right of privacy, and human and animal rights.

Cover image: Enlightenment, by Michèle Jaffé-Pearce. Oil, pigment powders, and cold wax on multimedia artboard. 36cm x 28cm.

OXFORD UNIVERSITY PRESS



www.oup.com

FIFTH

# Understanding Jurisprudence

## An Introduction to Legal Theory

Fifth edition

## RAYMOND WACKS

BA, LLB, LLM, LLD, MLITT, PhD Emeritus Professor of Law and Legal Theory





#### Great Clarendon Street, Oxford, OX2 6DP, United Kingdom

Oxford University Press is a department of the University of Oxford.

It furthers the University's objective of excellence in research, scholarship, and education by publishing worldwide. Oxford is a registered trade mark of Oxford University Press in the UK and in certain other countries

© Raymond Wacks 2017

The moral rights of the author have been asserted

Second edition 2009 Third edition 2012 Fourth edition 2015

Impression: 1

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted, in any form or by any means, without the prior permission in writing of Oxford University Press, or as expressly permitted by law, by licence or under terms agreed with the appropriate reprographics rights organization. Enquiries concerning reproduction outside the scope of the above should be sent to the Rights Department, Oxford University Press, at the address above

You must not circulate this work in any other form and you must impose this same condition on any acquirer

Public sector information reproduced under Open Government Licence v3.0 (http://www.nationalarchives.gov.uk/doc/open-government-licence/open-government-licence.htm)

Published in the United States of America by Oxford University Press 198 Madison Avenue, New York, NY 10016, United States of America

British Library Cataloguing in Publication Data

Data available

Library of Congress Control Number: 2017952240

ISBN 978-0-19-880601-1

Printed in Italy by L.E.G.O. S.p.A.

Links to third party websites are provided by Oxford in good faith and for information only. Oxford disclaims any responsibility for the materials contained in any third party website referenced in this work.

## UNDERSTANDING JURISPRUDENCE

## **New to this Edition**

- Expanded chapters on rights, obedience to law, theories of justice, and feminist theories.
- Revised discussions of the rule of law, global justice, virtue ethics, human and animal rights, the economic analysis of law, and postmodernist theories.
- Updated suggested further reading lists and questions at the end of each chapter.

## **Preface**

The role of law—its function, features, and future—is of increasing significance in these changing, challenging times. The Western legal tradition, and, in particular, the Anglo-American common law system, generally presumes the existence of a democratic order; the rule of law; independent, just institutions; and the protection of individual rights and liberties. These values are under increasing attack by those who seek to extinguish many of our most cherished ideals.

Careful, scrupulous analysis of the theoretical underpinnings of our legal system is therefore more urgent than ever. In revising the pages that follow I have been especially conscious of the responsibility we share to advance the understanding of the conceptual foundations of our law. We have an obligation to comprehend and sustain its central ideas; from understanding comes appreciation, and perhaps also admiration. I can only hope that this edition illuminates with even greater lucidity the principles that give life to our law.

My manuscript received the careful and comprehensive review of a squadron of distinguished jurists from a number of countries. I am extremely grateful to them; their recommendations and advice have improved the book in your hands.

I have also been ably assisted by members of Oxford University Press, particularly Felicity Boughton, copy-editor, Jeremy Langworthy, and project manager, Aishwarya Panday. My thanks to them.

Raymond Wacks Lincolnshire, June 2017

## Preface to First edition

In the course of writing this book, Lily and Willy would often peer through my study window. Though intelligent, these doves exhibited an extraordinary curiosity in the words flickering across my monitor. And in the garden, as I sat proofreading, my plucky hens displayed an equally remarkable interest in the fluttering pages I was correcting. One afternoon, Ruby leapt on to the table and pecked 'Dworkin' once and 'Coleman' twice. I have no idea what she was trying to tell me. This avian enthusiasm, I am bound to say, far exceeded that evinced by many of my pragmatic law students who may perhaps have been right: jurisprudence is strictly for the birds.

I hope not. The concept of law lies at the heart of our social and political life. Jurisprudence illuminates it and its relation to the universal questions of justice, rights, and morality. It analyses the nature and purpose of our legal system, and its practice by courts, lawyers, and judges. Or so I told them. Frequently, however, it is only after they have studied legal theory that even students of the strongest black-letter disposition come to recognize how rewarding it was. Or so they told me. Indeed, it may be the lone opportunity in a crowded curriculum for reflection upon, and critical analysis of, law and the legal system. Given proper guidance and encouragement, even the least compliant, most vocationally oriented student may develop a genuine interest in, and even affection for, jurisprudence.

But here lurks a significant difficulty. Much of the literature is an impenetrable thicket to all but the professional jurist, or wholly dedicated and gifted student. It is the chief object of this book, without avoiding the subtleties and complexities of legal theory, to provide such guidance and encouragement. The perplexed and occasionally bewildered faces of my long-suffering students over the years have been in my mind's eye throughout the writing of the pages that follow.

Jurisprudence teachers harbour few illusions about the place of the subject in students' hearts or in the pecking order of most law school curricula. What was once, in many common law jurisdictions, a compulsory course, has, in our anti-authoritarian age, become a forlorn elective. Nor, incomprehensibly, do many American students reap the rich rewards of a discipline in which so many of their professors excel. This is a crime against philosophy. If the approach adopted in this book can contribute even in small measure towards reversing this pernicious drift, my exertions may be justified.

Legal theory is, of course, a demanding discipline. Several dangers lie in wait for anyone injudicious enough to endeavour to condense or elucidate its primary concerns. In embarking upon this imprudent course, I have been alert to these perils. But I have been fortified by the guidance and encouragement I have received from friends and colleagues who have been charitable enough to suppress their misgivings about my attempts to identify and unravel some of the mysteries I have selected for analysis. This has sustained me during periods when I feared that the task I had undertaken was a hopelessly intractable one.

In writing this book I have inevitably drawn on both the earlier incarnation of this work and other published work (listed in the acknowledgements overleaf). In the case of the former, I was fortunate to have received comments, often painstaking, from Roger Cotterrell, Ronald Dworkin, John Finnis, the late Eugene Kamenka, Katherine O'Donovan, Joseph Raz, and the late Alice Tay. In respect of the latter, other debts have—felicitously—been incurred. Friends and colleagues have been humane enough to indulge my attempts to make sense of the questions I consider in my writings on legal theory and privacy that I have drawn on in this book. They have done so over the years by providing generous encouragement, assistance, or (most sensibly) by signalling my many errors. For these, and other, favours I am most grateful to Mick Belson, Colin Bennett, Peter Birks, Michael Bryan, Tom Campbell, Ann Cavoukian, Albert Chen, John Dugard, David Dyzenhaus, John Eekelaar, David Flaherty, Michael Freeman, Jim Harris, Michael Hayes, Alan Hunt, Ellison Kahn, Michael Kirby, Monnie Lee, Eddie Leung, Neil McCormick, Alistair MacQueen, David McQuoid-Mason, Roda Mushkat, Steve Nathanson, Charles Raab, Megan Richardson, Michael Robertson, Wojciech Sadurski, Heather Saward, Scott Shapiro, Jamie Smith, Nico Steytler, Peter Wesley-Smith, and David Wood. None, needless to say, should be indicted as a codefendant for the transgressions I have committed.

My publishers prudently enlisted a detachment of distinguished legal scholars from both sides of the Atlantic to review my manuscript. I was, needless to say, quick to adopt many of their valuable suggestions. And, since their identity is unknown to me, I can, with complete insouciance, hold these anonymous individuals jointly and severally liable for what follows.

The questions that conclude each chapter serve a threefold purpose. First, they identify the central problems in each of the areas analysed. Secondly, they provide fodder for reflection and discussion in seminars or study groups, and, thirdly, they should, I hope, assist students in revising for the examination or other forms of assessment. Most are borrowed from the course materials, essay questions, and examination papers that my students at the University of Hong Kong were compelled to endure. I am grateful to the Faculty of Law for permission to use them here.

This book began life almost twenty years ago as a modest attempt to clarify some of the fundamental concerns of the philosophy of law. Though its ambitions remain modest, it, like many of us, has grown stouter. There are, nevertheless, vestiges of the book's earlier Blackstonian manifestation in these pages. But a great deal is new, for academic ingenuity endlessly slouches toward jurisprudence to be re-born.

I am grateful to those at Oxford University Press who helpfully steered this project from my mind, via my screen, to these pages. Especial thanks to Angela Griffin, Sarah Hyland, Melanie Jackson, Catherine Kernot, Sarah Nattrass, Nicola Rainbow, and Penelope Woolf (who twisted my arm to undertake this project).

This book could not have been written without the love, patience, and support of my wife, Penelope Wacks (who twisted my arm not to undertake this project). My gratitude to her for all she has given me cannot be expressed adequately in words.

This is unashamedly a book for students. It is not, however, a textbook. I have selected its subject-matter on the simple ground that it reflects what tends to be taught

in most jurisprudence courses in the common law world. Inevitably, a number of subjects have had to be omitted; it is therefore neither comprehensive nor exhaustive. Nor is it intended to replace the books and essays to which reference is made throughout, and to which all serious students will want to turn. My principal objective is to point students of jurisprudence in the right direction, soaring above needless deviation, mystification, and impediment—not unlike my discerning doves.

Raymond Wacks October 2004

## **Acknowledgements**

I am grateful for the kind permission of the publishers listed below to draw on the following material:

#### **Oxford University Press**

Richard Nobles and David Schiff, 'Debating with Natural Law: The Emergence of Legal Positivism' in James Penner, David Schiff, and Richard Nobles (eds), *Introduction to Jurisprudence and Legal Theory: Commentary and Materials* (Oxford: Oxford University Press, 2002). Figure 3.1 on p 81 is adapted from the diagram on page 106.

Raymond Wacks, *Privacy and Media Freedom* (Oxford University Press, 2013), pp 42–3. Raymond Wacks, *Philosophy of Law: A Very Short Introduction*, 2nd edn (Oxford: Oxford University Press, 2014).

Raymond Wacks, *Law: A Very Short Introduction*, 2nd edn (Oxford: Oxford University Press, 2015).

#### **Hong Kong University Press**

Raymond Wacks, 'Are Judges Morally Accountable?' in Raymond Wacks, *Law, Morality, and the Private Domain* (Hong Kong: Hong Kong University Press, 2000), pp 91–111.

Raymond Wacks, 'Do Animals Have Moral Rights?' in Raymond Wacks, *Law, Morality, and the Private Domain* (Hong Kong: Hong Kong University Press, 2000), pp 153–7.

Raymond Wacks, 'Can "Human Rights" Survive?' in Raymond Wacks, *Law, Morality, and the Private Domain* (Hong Kong: Hong Kong University Press, 2000), pp 179–209.

Raymond Wacks, 'Sacrificed for Science: Are Animal Experiments Morally Defensible' in Gerhold K Becker (ed), in association with James P Buchanan, *Changing Nature's Course: The Ethical Challenge of Biotechnology* (Hong Kong: Hong Kong University Press, 1996), pp 37–57.

Raymond Wacks, 'One Country, Two *Grundnormen*? The Basic Law and the Basic Norm' in Raymond Wacks (ed), *Hong Kong, China and 1997: Essays in Legal Theory* (Hong Kong: Hong Kong University Press, 1996), pp 151–83.

## Sweet & Maxwell Asia and Hong Kong Law Journal

Raymond Wacks, Review of Michael Moore, *Objectivity in Ethics and Law* (Aldershot: Dartmouth, and Burlington, VT: Ashgate, 2004) in (2004) 34 *Hong Kong Law Journal* 429–32.

Raymond Wacks, 'The End of Human Rights?' (1994) 24 Hong Kong Law Journal 372.

#### **Editions Rodopi BV**

Raymond Wacks, 'Judges and Moral Responsibility' in W Sadurski (ed), *Ethical Dimensions of Legal Theory*, Poznan Studies in the Philosophy of the Sciences and Humanities (Amsterdam: Rodopi, 1991), pp 111–29.

#### **Oneworld Publications**

Raymond Wacks, Justice: A Beginner's Guide (London: Oneworld Publications, 2017).

#### Franz Steiner Verlag

Raymond Wacks, 'Law's Umpire: Judges, Truth, and Moral Accountability' in Peter Koller and André-Jean Arnaud (eds), *Law, Justice, and Culture* (Stuttgart: Franz Steiner Verlag, 1998), pp 75–83.

### Springer Nature

Alan Hunt, *The Sociological Movement in Law* (London: Macmillan, 1978). Tables 7.3 and 7.4 on pp 205 and 207 are adapted from diagrams on pages 107 and 119, respectively.

## **Contents**

Nev	w to this Edition		xiii		
Pre	Preface				
Pre	Preface to First edition				
List	List of Tables and Figure				
Ack	nowledgements		xix		
1	What's it all about?		1		
2	Natural law and morality		15		
3	Classical legal positivism		71		
4	Modern legal positivism		93		
5	Law and moral legitimacy		141		
6	Legal realism		173		
7	Law and social theory		193		
8	Historical and anthropological jurisprudence		233		
9	Theories of justice		251		
10	Rights		293		
11	Why obey the law?		321		
12	Why punish?		329		
13	Critical legal theory		341		
14	Feminist theory		367		
15	Jurisprudence understood?		385		
Glo	Glossary				
Index			393		

## **Detailed Contents**

New to this Edition							
Preface							
Preface to First edition							
List of Tables and Figure							
Ackr	nowle	dgements	xix				
1	What	t's it all about?	1				
	1.1	An analgesic?	2				
	1.2	Reading	3				
	1.3	Why jurisprudence?	5				
	1.4	Descriptive, normative, and critical legal theory	6				
	1.5	Is eating people wrong?	8				
	1.6	The rule of law	10				
		1.6.1 Dicey	10				
		1.6.2 Modern approaches	11				
	1.7	The point of legal theory	12				
2	Natural law and morality						
	2.1	Classical natural law theory	16				
		2.1.1 Plato and Aristotle	17 18				
	2.2	2.1.2 St Thomas Aquinas	22				
	2.2	Contemporary natural law theory					
	2.3	Natural law in political philosophy 2.3.1 Hobbes	23 24				
		2.3.2 Locke	26				
		2.3.3 Rousseau	27				
	2.4	The decline of natural law theory	28				
	2.5	The revival of natural law theory	29				
	2.6	John Finnis	31				
	2.7	Hard and soft natural law?	35				
	2.8	Moral realism	36				
	2.9	Critique	39				
	2.10	Law and morality	39				
		2.10.1 Natural law v positivism	41				
		2.10.2 Hart v Fuller	42				
		2.10.3 Hart v Devlin	45				

	2.11	Judicia	al morality: a case study	50
		2.11.1	Moral questions	51
			Semantic questions	52
			Public or private morality?	55
			The judge's duty	57
			The judge's choice	58
			The judge's surrender	61
			The judge and the lawyer	62
		Questi	ons er reading	63 65
_	CI.			
3			gal positivism	71
	3.1		is legal positivism?	71
		3.1.1	What legal positivism is not	73
	3.2	Jerem	y Bentham: the Luther of jurisprudence?	74
		3.2.1	In search of determinacy	76
		3.2.2	Judge & Co	77
		3.2.3	Codification	78
	3.3		Austin: naive empiricist?	79
		3.3.1	Imperatives	80
			Laws properly so called	80
		3.3.3	Law and power	82
	3.4		am and Austin compared	82
		3.4.1	Their general approaches	82
		3.4.2	The definition of law	83
			Commands	84
		3.4.4	Sovereignty	87
		3.4.5	Sanctions	90 91
		Questi	er reading	92
4	Mod	lern leg	gal positivism	93
	4.1	The fo	oundations	93
	4.2	HLAF	Hart	95
		4.2.1	Hart as legal positivist	95
		4.2.2	Law and language	96
		4.2.3	Law as a system of rules	97
		4.2.4	Social rules	98
		4.2.5	Secondary rules	99
		4.2.6	The rule of recognition	99
		4.2.7	The existence of a legal system	103 104
		4.2.8 4.2.9	The 'internal point of view' The judicial function	104
		4.2.9	'An essay in descriptive sociology'?	104
		4.2.10	Critique	106
	4.3		Kelsen	106
	٦.٥		Unadulterated law	108
		4.3.2		110

DETAILED CONTENTS

vii