§Law in context

How To Do Things With Rules

second edition

William Twining and David Miers

How To Do Things With Rules

A Primer of Interpretation

Second Edition

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WEIDENFELD AND NICOLSON London

To our parents

Neither this book nor any other can say how a page *should* be *read* – if by that we mean that it can give a recipe for discovering what the page *really* says. All it could do – and that would be much – would be to help us to understand some of the difficulties in the way of such discoveries.

I.A. RICHARDS, How to Read a Page

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HOW TO DO THINGS WITH RULES

LAW IN CONTEXT

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PREFACE TO SECOND EDITION

All of us are confronted with rules every day of our lives. Most of us make, interpret and apply them, as well as rely on, submit to, avoid, evade them and grouse about them; parents, umpires, teachers, members of committees, businessmen, accountants, trade unionists, administrators, gamesmen, logicians, and moralists are among those who through experience may develop some proficiency in handling rules. Lawyers and law students are, for obvious reasons, specialists in rulehandling, but they do not have a monopoly of the art. A central theme of this book is that most of the basic skills of rule-handling are of very wide application and are not confined to law. There are, of course, certain specific techniques which have traditionally been viewed as 'legal', such as using a law library and handling cases and statutes. But these share the same foundations as rule-handling in general; they are only special in the sense that there are some additional considerations which apply to them and which are either not found at all or are given less emphasis in other contexts.

The purpose of this book is to provide a relatively systematic introduction to one basic aspect of rule-handling: interpretation and application. It is written particularly for students of law and administration, but most of it is directly relevant to problems of rule-handling in non-legal contexts. Within legal education, the focus of attention is orthodox in that it concentrates on certain traditional skills and techniques which have commonly, though misleadingly, been referred to as 'legal method', 'juristic method' or 'thinking like a lawyer'. The approach is mildly unorthodox, in that it questions certain widely held assumptions about the nature of these techniques and about

efficient ways of learning to master them. Accordingly, it may be useful to give an indication of some of the juristic and educational assumptions underlying our approach.

The juristic assumptions can be stated in simplified form as follows: specialists in law are characterized as much by their supposed mastery of certain kinds of techniques as by their knowledge of what the law says. This is the core of the notion that law is essentially a practical art. Those who participate in legal processes and transactions, whether or not they are professionally qualified to practise law, are called upon to perform a variety of tasks. Legal practice encompasses such diverse activities as advising on the prudence of a particular course of action, collecting evidence, negotiating, advocacy, other kinds of spokesmanship, drafting statutes, regulations, contracts and other documents, predicting decisions of various types of courts, tribunals and officials, determining questions of fact, making and justifying decisions on questions of law, communicating information about legal rules, devising improvements in the law and so on. To perform these activities intelligently and efficiently requires a wide range of techniques, insights, and abilities. Phrases like 'thinking like a lawyer' or 'legal method' or 'legal reasoning' are misleading in so far as they equate proficiency in handling legal rules and the raw materials of such rules with being a good lawyer. Rule-handling is only one aspect of the crafts of law. Furthermore, interpretation is only one aspect of rulehandling. But it is basic - first, because most rule-handling activities involve or presuppose it, and, secondly, because a clear understanding of what is involved in interpretation inevitably throws light on a number of other matters as well.

Our approach is also based on a number of educational assumptions. First, we think that it is more economical and more efficient to study certain aspects of rule-handling directly than to leave the techniques to be picked up during the course of studying something else. This challenges the view, held by many teachers of law, that case-law techniques are best learned in the context of studying subjects such as Contract and Tort and that skill in handling statutory materials can be incidentally acquired in the course of studying such fields as Revenue Law or Commercial Law. Outside the context of law, the analogous view is that skill in rule-handling can only be acquired by experience. Such views are sometimes based on a confusion between laying a foundation for developing a skill and reinforcing that foundation through practice. This book proceeds on the premise that a direct

approach is both a more economical and a more efficient way of starting off. Reinforcement through practice and experience is essential, but that should come later.

A second assumption is that the art of interpretation is best learned by a combination of theory and practice. A competent interpreter needs to understand the nature of the raw material he is dealing with, in which contexts and under what conditions problems of interpretation arise, how interpreting relates to other activities and what is involved in arguing about competing interpretations; it is also useful for him to have a set of concepts for analysing and discussing these problems, and he needs to be aware of some common fallacies and pitfalls to be avoided. But he also needs practice in handling actual problems. Accordingly this book is a combination of text and exercises. Working through it involves active participation on the part of the reader. If it achieves its objectives we hope that it will help to undermine two other fallacies - that emphasis on 'skills' is inevitably associated with philistine vocationalism and is necessarily illiberal, and that rigorous analysis is incompatible with a contextual approach.

A third assumption is that a subject with such diverse ramifications cannot be mastered by reading a single book. One disappointment with reactions to the first edition has been that relatively few people shared our perception of this book as an introduction to a rich and diverse body of literature in several disciplines. We had hoped that it would not be regarded as a book-in-itself designed to sustain a part, let alone the whole, of a course. Rather we saw it as providing a base from which the reader could sally forth to explore, for example, general books on semantics and reasoning, orthodox treatments of precedent and statutory interpretation, or various themes in jurisprudence, philosophy and social theory. In teaching we have always supplemented it with additional materials; we have been surprised by complaints that it was not self-sufficient and by those who suggested that it is too much to expect a student to use a library to follow up suggestions for further reading or in doing some of the exercises. We have made a few concessions to such reactions - notably by expanding the materials in Chapter 1 - but we still wish to present it as a flexible tool which can be used for a variety of purposes: as an introduction to legal method or to jurisprudence or, more generally, to the study of law; as an attempt to explain, or to demystify, legal ways of thought to non-lawyers, and as a book which may be of practical assistance to

anyone whose work involves wrestling with complex laws, regulations and other rules.

Changes in this edition

The first edition was frankly experimental. In substantially revising and expanding the book we have retained the original aims, but have adjusted the means. Apart from updating, the main changes are as follows: Firstly, we have greatly extended the materials in the first chapter by incorporating some of the material from the old Appendix I and by adding new materials, notably on institutional rules, rules and results, bigamy and on protection of human rights. We have also included a substantial case study (one phase of the story of the Domestic Violence and Matrimonial Proceedings Act 1976) which dramatizes some of the main themes in the book.

Secondly, despite frequent expressions of irritation at Johnny, we have retained and, we hardly dare admit it, expanded his role. The Case of the Legalistic Child is admittedly artificial, but it is a convenient and easily understood analytical device for illustrating many elementary points. We have, however, tried to produce a better balance by using more illustrations drawn from real life in counterpoint with artificial but analytically neater hypothetical examples.

Thirdly, Chapters 2–6 have been rearranged and slightly expanded to provide a more coherent account of how rules and doubts and disputes about them arise. It is hoped that this will make it clear that Chapter 6 on the conditions of doubt is in some ways the fulcrum of the book – it provides a summary of some of the main factors which give rise to doubt in interpretation and it provides a base from which to start on the process of constructing arguments about competing interpretations, especially in legal contexts. The later chapters can then be seen not only as an exploration of such features of legal interpretation and reasoning about cases and statutes as are special, but also as an application of the general approach in a particular kind of context.

Fourthly, the chapter on algorithms has been shortened and relegated to an appendix because in our experience this particular device is less of a novelty for many modern law students than for their teachers. This has enabled us to strengthen, and lengthen, the treatment of legislation.

Finally, we have tried to bring out more clearly the connections between the analysis presented here and some contemporary debates in jurisprudence, as exemplified by the writings of Hart, Dworkin, Fuller, Llewellyn and others. In the process we may have more clearly revealed our own tendencies or biases, as cautious positivists, qualified relativists, moderate rationalists and committed contextualists. We hope that this will increase the usefulness of the book as an introduction to jurisprudence.

How to use the book

The book has been designed to cater for the needs of several different classes of reader. Accordingly it may be useful to try to provide some guidance on different ways of approaching it. The non-lawyer and the beginning law student who is using it as an introduction to jurisprudence or to the study of law generally should find it sufficient to skim Chapter 1, pausing long enough to become familiar with the range of illustrative material and, in particular, with the Case of the Legalistic Child (p. 7), sections (a) and (b) on bigamy (pp. 38-44), the Buckoke case (p. 48) and Article 3 of the European Convention (p. 60), and the charts of the Bad Man in Boston (pp. 68-9). These are used as examples throughout the text. From time to time you may wish to refer back to the appropriate point in Chapter 1 to refresh your memory about details or to clarify an allusion, but it is not necessary to grapple with all the details nor to try to answer the questions in the first chapter in order to understand the general thrust of the analysis in the text. Depending on your background and your interests, some of Chapters 3, 7 and 10 may also be skimmed if you find them too complicated or too detailed. Reading the book in this way should be rather like reading a novel or play in order to get a sense of the plot and the main characters.

If the book is being used for the purpose of stimulating thought and developing certain kinds of analytical skill, the recommended order is to try to answer the questions and do the exercises in the first chapter before moving on; to do some of the exercises related to each chapter immediately after reading it, and finally to re-read the text as a whole and to follow up at least some of the suggestions for further reading. The subject is a complex one, involving many different levels of understanding: what we have tried to do is provide a starting point for