Briefing Paper

Judicial Discretion and Death Penalty Reform in China: Drug Transportation and Homicide as Exemplars of Two Reform Paths

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ABSTRACT

This paper focuses on Chinese death penalty reform in relation to two common crimes for which the punishment of death is commonly applied in China: drug transportation and homicide. It looks at how the Supreme People's Court (SPC) has led the way in reforming death sentencing in these areas by encouraging lower courts to use a 'suspended' death sentence rather than an 'immediate execution'. SPC guidance mechanisms including guiding cases and sentencing guidelines are the conduit through which reform has been achieved. These mechanisms help to corral local discretionary powers to encourage judges to recognize case circumstances that attract mitigated punishment. These mechanisms therefore allow local judges to treat many homicide and drug transportation cases as intrinsically less socially harmful than other cases, while at the same time, preserving the status of homicide and drug transportation as capital offences.

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INTRODUCTION

This paper examines two capital punishment reform mechanisms, focusing on two different areas of death sentencing in China: drug transportation crime and homicide. It looks at how the Supreme People's Court (SPC) has reformed death sentencing in China by encouraging lower courts to use a 'suspended' death sentence rather than an 'immediate execution' for these two crimes. A suspended death sentence is a death sentence with a two-year reprieve, known in Chinese as *sihuan* (死缓). After the two-year probation period, the *sihuan* sentence is almost always commuted to a life sentence ranging between 20 to 25 years. It is given as an alternative to immediate execution (*lijǐ zhíxíng* 立即执行) for cases in which there exist mitigating circumstances. From the early 1980s to mid-2000s, *sihuan* was used relatively sparingly. This is because the prevailing criminal justice policy called 'strike hard' (*yanda* 严打) called for 'severe and swift punishment' for a wide range of serious offenders. Since 2007, reform moves have been orchestrated by the SPC in Beijing, which has initiated and worked strategically to institutionalize more lenient use of the death penalty. The SPC has achieved reform by 'interpreting' both politics and law through a new criminal justice policy called Balancing Leniency and Severity (*kuanyan xiangji* 宽严相济) and applying this interpretation to two main judicial reform mechanisms.

The main point of this paper is to demonstrate how reform has largely occurred through two SPC guidance (*zhidao* 指导) mechanisms: guiding cases and sentencing guidelines in the form of conference minutes. The key strategy of reform has been for the SPC to limit local discretionary judicial power through guidance contained within these two mechanisms. The SPC has guided local courts to sentence a greater number of offenders to a suspended death sentence, encouraging judges to recognize case circumstances that attract mitigated punishment. Discretion lies in the choice judges can make between the more lenient 'suspended death sentence' and its alternative, a 'death sentence with immediate execution'.

For homicide cases, the SPC has limited discretionary power by using guiding cases as mechanisms to guide lower court decision-making. For drug transportation cases, it has used a different form of guidance: SPC 'conference minutes', which have acted as authoritative sentencing guidelines. Relying mainly on mechanisms under the direct control of the SPC rather than the state legislature, reformers set about using judicial

mechanisms to encourage judges to accept a wider range of mitigating circumstances in death sentencing. This proved to be a much easier reform route than a politically contentious legislative process.

THE POLITICAL CONTEXT OF REFORM

The Chinese SPC was positioned to move on death penalty reform from January 2007 when the Party-state returned to the SPC the exclusive authority to review and approve all death sentences in China. Since this time, it has used its guidance mechanisms to advise lower courts how to use the law and how to interpret the facts of a case. The SPC worked under the leadership and authority of the Communist Party's political platform called Harmonious Society (*hexie shehui* 和谐社会). By arguing its relevance to the Harmonious Society platform, through the conduit of the Balancing Leniency and Severity policy, judicial authorities in Beijing guided local criminal justice functionaries to treat society's 'have-nots' (or poor) with greater mercy, and to use the Strike Hard policy only toward a very small minority of the most egregious criminals. Within this context, the SPC encouraged courts to give greater leniency for certain types of homicide and drug transportation cases where the circumstances of the crime in a particular case allow courts to err on the side of mercy.

This pathway to greater leniency has been dominated by judicial not legislative reform. This is because harsh punishment and the *yanda* policy are still favored by many politicians in provinces where serious crime is thought to have a serious effect on social stability. *Yanda* policy is still the official policy towards serious drug crime. Judicial reform is a relatively subtle and politically safe means of effecting change that does not require the agreement of National People's Congress (NPC) legislators.

In 2005, and in response to the Party's new Harmonious Society imperative, politico-legal authorities in Beijing led by SPC reformers developed a new criminal justice policy of Balancing Leniency and Severity as a way of helping to realize Hu Jintao's dual political project of 'maintaining stability' while building a harmonious society. This 'Balancing policy' acknowledged that the overuse of the Strike Hard policy was in many ways an obstruction to building a harmonious society: decades of harsh punishment had not deterred crime or instability but on the contrary had a brutalizing effect on society.

Balancing Leniency and Severity was a term that gained its first national attention in the Party's historic 'Resolution on the Building of a Socialist Harmonious Society' in 2006. It quickly gained prominence, becoming the new foundational (*jiben* 基本) criminal justice policy in China. The new policy did not deny the importance of severe punishment. It still encouraged judges to apply severe punishment to extremely serious crimes. But the crucial difference between the new balancing policy and the old Strike Hard policy was that the new policy encouraged judges to apply severe punishment (immediate execution) only to a very small number of the most serious offenders. Strike Hard strikes at serious crime whereas the Balancing policy strikes only at *the most* serious

crime. That way, the SPC has not denied the independent and continuing existence of Strike Hard policy. Conversely, SPC reformers have argued that Strike Hard should only be used for a very small minority of offenders.

MODELLING LENIENCY IN HOMICIDE CASES

Challenges to Reform

China's 1997 Criminal Law identifies a number of general conditions under which an offender's sentence can be considered for mitigated punishment. These circumstances relate mainly to the behavior of the offender after the criminal act (such as 'voluntary surrender' and 'performing an act of meritorious service' like offering important information to police). Discretionary circumstances not outlined in the Criminal Law can also justify a mitigated sentence. These circumstances include the degree of social harm the crime has caused, the danger the offender poses to society, the criminal responsibility of individual offenders in a group crime, and the offender expressing remorse by offering financial compensation to the victim's family.

Cases of homicide resulting in death that were the result of an initial domestic or neighborhood dispute are the most common crimes for which the death sentence is given in China. Hence, the challenge for reformers was to establish and promote a more extensive set of discretionary circumstances under which mitigated punishment could be applied to this type of crime.

Law and politics in China are intimately linked. Judicial reform instruments are directly connected to new criminal justice policy innovations. In turn, criminal justice policy is directly linked to political policy reform innovations. The implications of the new Balancing policy for use of the death penalty were to expand the use of *sihuan* or suspended death sentence in place of immediate execution, especially in homicide cases that had escalated from domestic or neighborhood disputes.

Using Financial Compensation to Address Reform Challenges

Soon after 2007, the SPC had begun to promote the practice of encouraging the use of *sihuan* or suspended death sentence by offering defendants in many homicide cases, the chance for a reduced sentence if they showed remorse, received forgiveness and understanding from the victim's family and promptly paid civil compensation to the family. The Criminal Procedure Law recognizes a process of subsidiary civil action (*fudai minshi susong* 附带民事诉讼) which is handled at the time of the criminal trial. This is a process whereby the victim or the victim's family can sue the defendant for material and psychological damage resulting from the defendant's actions. The SPC used this process as part of the plan to 'exchange' compensation for an agreement by the victim's family to allow the court to give the defendant a *sihuan* sentence rather than immediate execution.

Some provincial court judges had been reluctant to promote the practice of encouraging financial compensation in death penalty cases for fear of encouraging ‘social conflict’, that is, a public backlash or at the very least a backlash from the victim’s family. Others had not promoted the practice because they remained unclear about what specific kinds of crime circumstances the SPC would find acceptable or appropriate when applying this practice.

The SPC’s insistence that lower courts use *sihuan* for homicide cases that were the result of domestic or neighborhood disputes met with a considerable amount of resistance. Local judges complained that because the suspended death sentence nearly always commuted to a life sentence after two years, it was relatively easy for a prisoner to go on to receive a dramatically reduced term of imprisonment through the system of prison reward for good behavior. While ‘immediate execution’ is recognized by many judges as an ‘excessively severe’ penalty for some crimes, custodial sentences are equally recognized as ‘excessively weak’ because custodial sentences can very easily be dramatically reduced through the prison reward for good behavior system.

The first problem was that for many homicide cases (namely, cases which were the result of domestic, neighborhood or other similar personal disputes), lower court judges were still reluctant to apply a suspended sentence when the victim’s family resisted the defendant’s attempts to give financial compensation. The second problem was that lower court judges were reluctant to give *sihuan* sentences because it had become relatively easy for offenders sentenced to *sihuan* to apply for a dramatic reduction of prison time once their sentence was commuted to a life sentence after two years. Many judges called for a system whereby binding restrictions could be placed on minimum terms served in prison at the time of sentencing, for those given suspended death sentences. Below we see how this problem was addressed by SPC reformers.

Guiding Cases as the Conduit for Applying Legislative Change

A new ‘case guidance system’ (*anli zhidao zhidu* 案例指导制度) was established in China in November 2010. This new system enabled the SPC to provide a more direct ‘interpretative’ function in the form of a case exemplar. In November 2010, the SPC issued a Directive on the authority and application of guiding cases. Article 7 of the Directive stated that court ‘shall reference’ the guiding cases when judging similar cases, to improve consistency in sentencing across jurisdictions, so that ‘similar judgments are made in similar cases’. Although this new function gives guiding cases a binding legal force, these are not ‘precedent’ cases. The PRC’s civil law system does not yet formally recognize *stare decisis* or precedent. Guiding cases cannot serve as the basis of a court ruling, rather, they are intended to serve as part of the justification for a sentence.

In 2011, the National People’s Congress amended the Criminal Law (Art 50(2)) to allow a judge, at the time of sentencing a suspended death sentence, to place a ‘restriction on commutation’ in cases of extremely violent crime including murder, rape, robbery, kidnapping, arson, causing explosions, spreading hazardous substances and leading

a criminal organization. This amendment means that for homicide cases deemed extremely malicious in nature, which are given a *sihuan* sentence, when the sentence is commuted to life imprisonment after the two-year suspension period, the actual time served cannot be less than 25 years. For those offenders given a *sihuan* sentence that is not subjected to the restriction on commutation, they must serve at least 15 years of prison time.

To exemplify correct application of the Article 50 amendment, the SPC selected a 'guiding case' (*zhidao anli* 指导案例) as the medium through which to demonstrate the application of this legislative change. This guiding case demonstrated in what circumstances judges can apply Art 50(2). There are many cases in which judges are not willing to give a suspended death sentence because the victim's family has rejected offers of financial compensation from the defendant. The guiding case described below, includes the main points of the judgment, the legal rules related to the case, the basic facts of the case, and the reasons for the judgment and an outline of the main points of the adjudication.

The first major criminal-related guiding case in China was Guiding Case Number 4 issued in 2011. The case involved the defendant, Mr Wang Zhicai, who had murdered his girlfriend because she had rejected his marriage intentions due to her family's objections to the idea. In a fit of rage, he stabbed her repeatedly in the neck, chest, abdomen and back causing her to die of hemorrhagic shock. He subsequently attempted suicide but was unsuccessful. He was apprehended, admitted guilt, giving 'a true account of his crimes' and offered the victim's family compensation but an agreement was not reached.

The Shandong Higher Court determined that the consequences of Wang's criminal action was 'extremely serious' in nature. However, the Court recognized that the action was conceived in the heat of a martial or love-related dispute; he was subsequently extremely remorseful; actively sought to give financial compensation to the victim's family; and he was normally of good behavior. However, his actions were considered especially cruel and the victim's family refused to forgive him, demanding that the most severe punishment be given. In order to solve the potential social conflict that could arise from public perceptions that the sentence was too light, the Court sentenced Wang to death with a two-year reprieve and at the same time, placed a restriction of commutation on his sentence in accordance with newly amended Art 50(2) of the 1997 Criminal Law. As a result, Wang must serve a minimum 25 year sentence.

This case clarifies the type of crime circumstances for which a court can impose a 'restriction on commutation' when handing down a *sihuan* sentence. According to Art 50(2), the restriction on commutation should only be applied to crimes in which the court have determined have 'extremely serious consequences'. That is to say, the social consequences of the crime must be deemed to be 'extreme' in nature. The extremity of the consequences includes not only the outcome (the death) but the cruel means by which a victim died.

This reform path exemplifies the use of one type of judicial instrument – guiding cases – to guide lower court decision-making. Below we take a look at a second type of mechanism, sentencing guidelines, which take the form of conference ‘minutes’.

GUIDING COURTS TOWARDS LENIENCY IN DRUG TRANSPORTATION CASES

In China there are four main drug offences which attract the death penalty: manufacturing, smuggling, trafficking and transportation. Drug transporters are usually poor rural workers who carry but do not own or traffic drugs. For decades they have been routinely executed for transporting beyond the legally specified 50 grams of heroin or methamphetamines. Many judges and prosecutors acknowledge that the act of transporting drugs does not involve the high level of malicious intent and social harm that other drug crimes involve, yet under the Criminal Law (Art 347) this crime is seen to be as serious as drug trafficking, smuggling and manufacturing which are offences that are commonly committed by members of organized drug syndicates.

The Political Problem

Those convicted of serious drug transporting offences in China are almost always poor rural workers who carry drugs for members of organised crime groups. Drug transporters comprise at least half of those convicted of drug offences in the southern drug provinces such as Yunnan. Because they are usually poor rural workers, we might assume that they would be the beneficiaries of the Harmonious Society-inspired death penalty reform. But the process of reform has not been straightforward because local provincial political authorities have been concerned with the effects of drug crime on social instability. After 2007, the majority of provincial party committees remained reluctant to accept more lenient sentencing regime for drug transporters, especially in southern drug provinces.

The provision in the Criminal Law specific to drug crime that guides sentencing for serious drug crime is Article 347. It does not acknowledge the difference in severity between transporting and the three other, arguably more serious, drug offence categories: manufacturing, smuggling, and trafficking. This provision treats all categories of drug crime as equally serious. It universalizes punishment options on the basis of quantity per drug type, across the four offence types rather than distinguishing among them.

Some SPC reformers recognized that drug mules who transport drugs should not be sentenced as severely those who organize the manufacturing, sale or smuggling of drugs. These reformers did not have the power to amend the law but they did have the authority to advise lower court judges about how to interpret the law.

The Legal Problem

The wide space given to judicial discretion in sentencing someone to death is problematic for drug cases because the main criterion for determining the degree of

social harm inflicted by the crime is the drug *quantity*. Many reform-minded judges and legal experts, and even some prosecutors, acknowledge the huge difference between the severity of the crime of drug transportation and the other three offence types that usually involve members of drug syndicates. They believe that the seriousness of the offence of drug transporting should not be regarded equal to that of other drug crimes in respect to the degree of social harm, the subjective malice of the offender in committing the crime, the relative profit gained by the offence and the danger of the offender to society. The problem here is that the Criminal Law does not acknowledge this disparity. It would seem that the most straightforward road to reform would be to amend the Criminal Law to recognize this difference. But Chinese political authorities in provinces where heroin and methamphetamines are rife remain particularly sensitive to the social fallout of drug crime and have been reluctant to support legislative changes to the punishment of drug transportation crime, which would segregate drug transportation from the sentencing regime of the other three offence types.

Using Conference Minutes Cases Facilitate Judicial Reform of Drug Transportation Sentencing

We can see from the discussion above, that the problem in reforming sentencing for drug transportation was both legal and political. Article 347 packages together all four drug crime categories for the same judicial consideration and punishment. Given the decades-long dominance of the Strike Hard policy that favors harsh justice for drug crime, there was an absence of guidance about how to use the *sihuan* or suspended death sentence and to whom to apply it. Until recently, *sihuan* was discouraged as a sentencing option for serious drug crime. This is because Article 347 does not include provisions about how to handle detailed circumstances of the crime and mitigating or aggravating circumstances.

The SPC was not in a position to change the Criminal Law but it was in a position to guide lower courts in how to interpret the law. When legal provisions are unclear or vague, the SPC has traditionally intervened to guide lower courts and standardize local decision-making through what is known as 'judicial interpretations' (*sifa jieshi* 司法解释). These include 'notices' (*tongzhi* 通知), 'opinions' (*yijian* 意见) and even conference summaries or 'minutes' (*jiyao* 纪要). The SPC chose to devise a guidance document in the form of conference minutes as the conduit for the 2008 sentencing guidelines which reformed the way that lower courts sentence drug transporters. The SPC chose minutes of the National SPC Judicial Conference held in Dalian City and not more well-established mechanisms, such as judicial interpretations, possibly because SPC reformers needed to introduce the reforms in a politically unobtrusive way. This instrument is now commonly known in judicial circles in China as the '2008 Dalian Minutes'. These Minutes are significant for two reasons in particular. First, they establish general sentencing guidelines for drug crime in relation to the importance of drug quantity relative to other sentencing factors. Second, they address the issue of how to interpret the new criminal justice policy of Balancing Leniency and Severity in sentencing drug cases. In essence, the SPC's approach was to use the policy of

Balancing Leniency and Severity as a political justification for change and the Dalian Minutes as the legal conduit for change.

A number of new mitigating factors were introduced in the Minutes. The degree of malicious intent compared to other drug crime was one new element. The background of the offender was another. The Dalian Minutes stress that the quantity of narcotics involved in a crime remains the key determinant of discretion in sentencing drug-related crime. But importantly, the 2008 Minutes state that it is now not the *only* determinant. The Minutes encourage judges not only to consider quantity, but also the circumstances of the crime, the harm it has inflicted on society, the degree of malice in the offender's state of mind, and the local situation on drug control.

One of the main breakthroughs in the policy of Balancing Leniency and Severity is that it encourages individuated sentencing. That is to say, it differs from the Strike Hard approach which promotes a common harsh punishment response for all crimes within a certain category of offence, such as serious drug crime. The reform plan was to promote individuated sentencing in drug crime in a way that would enable judges to separate the treatment of drug transportation from the other three categories of drug crime. In line with the Balancing Leniency and Severity policy, the 2008 Dalian Minutes declare that offenders must be treated on a case-by-case basis according to these circumstances. In this way the Minutes encourage judges to consider drug quantity in the socio-economic context of the crime and the offender, rather than using quantity as the sole determinant when considering the death penalty for drug-related crime.

Most perpetrators, the Minutes state, are poverty-stricken, from ethnic minorities on China's borders, or unemployed people who are hired to transport drugs to earn a petty amount from the transportation fee. They are not the owners, buyers or vendors of narcotic drugs, and unlike the organizers or hirers behind the scene, they are a subordinate and passive part of the chain. The nature of their crime—transporting drugs for meager profit—reflects a much less malicious state of mind than a drug offender who manufactures, smuggles or traffics drugs. The 2008 Minutes therefore declare that these types of offenders involved in drug transportation should be dealt with separately from the drug-related criminals who smuggle, traffic in or produce narcotic drugs, or those with the serious crime circumstances the Minutes have identified.

In essence, the 2008 Minutes limit the types of criminal circumstances that can attract immediate execution and the types where immediate execution is not necessary. These circumstances include the quantity of the drugs, the level of narcotic content (ie the quality of the drugs) the background of the offender; the motive for the crime i.e. whether or not the offender committed the crime in order to support a drug habit; and other circumstances.

CONCLUSION

Legislative change is beyond the authority of the SPC. Without the authority to change

the law, reformers in the SPC have exercised their legal authority to provide guidance instruments that set out mitigating and aggravating circumstances to guide judicial interpretation favoring more lenient punishment so judges can interpret vague and ambiguous law as well as policy. Issuing guiding cases and sentencing guidelines enables judges to treat many homicide and drug transportation cases as intrinsically less socially harmful than other cases, while at the same time, preserving the status of homicide and drug transportation as capital offences. This has been achieved by handing down “suspended” rather than “immediate” execution as the preferred sentence and through a determination by reformers to gradually recognize the importance of ‘Balancing Leniency and Severity’ over ‘Strike Hard’.

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