GRAND JURY DISCRETION AND
CONSTITUTIONAL DESIGN

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The grand jury possesses an unqualified power to decline to indict—
despite probable cause that alleged criminal conduct has occurred. A grand
jury might exercise this power, for example, to disagree with the wisdom of a
criminal law or its application to a particular defendant. A grand jury
might also use its discretionary power to “send a message” of disapproval
regarding biased or unwise prosecutorial decisions or inefficient allocation of
law enforcement resources in the community. This ability to exercise discre-
tion on bases beyond the sufficiency of the evidence has been characterized
pejoratively as “grand jury nullification.” Grand jury nullification, like its
well-known cousin, petit jury nullification, is controversial. The dominant
substantive critiques of grand jury nullification attack the grand jury’s dis-
cretion in this regard as bad criminal justice policy at best and subversive of
the rule of law at worst. Any acknowledgement of the grand jury’s discréc-
tionary power often is accompanied by concerns regarding the damage that crit-
ics perceive it to levy upon the criminal process. This Article argues that such
concerns largely are unfounded and derive from a fundamental misunder-
standing of the scope of the grand jury’s discretion and its function in the
constitutional structure. The Article defends grand jury discretion against
the critique that it is necessarily inconsistent with the rule of law. It contends
instead that grand jury discretion actually buttresses the rule of law by facilit-
ating the grand jury’s structural role in the constitutional design as a check
on the three branches of government and as a moderator of criminal law
federalism. In addition, the Article maps the spectrum of discretion that is
exercised by various actors throughout the criminal process and argues that
the grand jury’s discretionary power represents an appropriate, if not opti-
mal, allocation of that discretion. Finally, the Article argues that grand jury

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discretion is desirable because it can enhance the administration of criminal justice—not only from an individual rights perspective but also from crime control and efficiency perspectives. The Article concludes that the grand jury's robust discretionary role in the criminal justice process not only is consistent with but also implements constitutional design.

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GRAND JURY DISCRETION

INTRODUCTION

A grand jury in northern California refuses to indict a community activist for federal narcotics offenses even though the activist admitted distributing free marijuana to AIDS patients at a local clinic.

A grand jury in the District of Columbia informs an Assistant United States Attorney (AUSA) that it will not return an indictment in any nonviolent drug offense case until the AUSA investigates a high-ranking city official whom many community members believe to be taking bribes from a large public works contractor.

A grand jury in Texas refuses to indict for past nonviolent property crimes a twenty-five-year-old community college student who has recently broken ties with his gang, made restitution, and turned his life around.

A grand jury in Colorado refuses to indict a decorated Desert Storm veteran for a firearms possession crime stemming from his use of a banned, modified weapon during a family hunting trip.

Each of these hypothetical scenarios exemplifies the grand jury’s power to exercise its discretion whether to indict on bases other than sufficiency of the evidence. These portrayals, in which a grand jury moves beyond the function of determining whether probable cause exists to proceed to trial, sit in stark contrast with the familiar perception of the modern grand jury—a body that, after passively receiving from the prosecutor just enough evidence (usually in the form of unchallenged hearsay testimony) to satisfy the probable cause threshold, reflexively and without critical analysis votes to indict, just as the prosecutor requested.¹

This critique, which has enjoyed traction since Jeremy Bentham’s early-nineteenth-century call for the abolition of the grand jury,² views the grand jury as a weak, passive, and, for some, unnecessary screening organ designed to determine simply whether probable cause exists before a case proceeds to trial. Although constitutional mandate and the potent investigative power of the grand jury necessitate its continued existence, changes in substantive criminal law and in criminal procedure have worked symbiotically over the past two-hundred years to render the portrait of marginalization from which the grand jury

¹ See, e.g., 1 Sara Sun Beale et al., Grand Jury Law and Practice § 1:9 (2d ed. 2005); Niki Kuckes, The Useful, Dangerous Fiction of Grand Jury Independence, 41 Am. Crim. L. Rev. 1, 2 (2004); Andrew D. Leipold, Why Grand Juries Do Not (and Cannot) Protect the Accused, 80 Cornell L. Rev. 260, 294–304 (1995) (arguing that lay grand jurors are ill-equipped to make the legal conclusion that probable cause exists in a given case and therefore will accept a prosecutor’s recommendation to indict).

suffers today. It is a self-fulfilling prophecy: the greater the perception that the grand jury does little to protect individual rights or to improve the efficient administration of justice, the more society will allow the institution to be marginalized. And the underlying premise of this negative perception is that the grand jury’s defining purpose is to test the sufficiency of the evidence by determining whether probable cause exists.

To the contrary, the grand jury was never designed as a mere sounding board to test the sufficiency of the evidence, nor is it limited to that basic, albeit important, function today. Where the grand jury truly adds value is through its ability to exercise robust discretion not to indict where probable cause nevertheless exists—what might be termed “grand jury nullification.” Understandably, some may be troubled by concerns that grand jury discretion undermines the rule of law, is somehow unwarranted, or hinders the administration of justice—all arguments often lodged against petit jury nullification. This Article, however, contends that such concerns are misplaced in the context of the grand jury.

Grand jury discretion not only is consistent with the rule of law, but it buttresses the rule of law in significant ways by, inter alia, facilitating the grand jury’s hidden structural role within our constitutional democracy. Furthermore, the grand jury’s discretionary power is consistent with an appropriate allocation of discretion among actors in the criminal process. Finally, from a normative standpoint, the grand jury’s ability to exercise discretion on bases beyond sufficiency of the evidence can actually contribute to the effective administration of the criminal justice system—both enhancing crime control and protecting individual rights. Although the grand jury’s robust discretion is not without its drawbacks and limitations, it is the defining characteristic of a grand jury that fully performs its intended function in the criminal justice system.

Part I of this Article unpacks the value-laden grand jury “nullification” characterization and places in proper historical and analytical context the grand jury’s power to exercise discretion not to indict despite the existence of probable cause. Questioning the definitional judgments that underlie the concept of nullification, Part I grapples with some of the major conceptual difficulties that confront a normative embrace of the grand jury’s discretion to consider factors beyond

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4 Cf. Darryl K. Brown, Jury Nullification Within the Rule of Law, 81 Minn. L. Rev. 1149, 1150 (1997) (defining “jury nullification” as “a jury’s ability to acquit a criminal defendant despite finding facts that leave no reasonable doubt about violation of a criminal statute”). As I discuss below, see infra note 10, the term “grand jury nullification” deserves careful definition and is more properly characterized as “grand jury discretion.”
the sufficiency of the evidence, including the desires to ensure that legitimate law enforcement is not frustrated and to minimize ignoble motivations. Part II argues that the grand jury’s robust discretion fortifies rather than subverts the rule of law and that it can function wholly consistently with constitutional design. Highlighting the significance of the grand jury’s discretion for the implementation of criminal law federalism and the separation and checking of powers in our tripartite system of government, Part II also casts doubt on the rule-of-law critique’s premise that the grand jury’s function is confined to measuring sufficiency of the evidence. In Part III, the Article maps the vast discretion of the various decision makers in the criminal process and argues that, given its history and purpose, the grand jury not only deserves its robust discretion but is also uniquely equipped to exercise such discretion. Part IV describes the benefits of this robust discretion and suggests that the grand jury’s ability to employ that discretion actually may enhance the administration of criminal justice, including crime-control efforts.

I

CONTEXTUALIZING GRAND JURY DISCRETION

A. Defining and Identifying Grand Jury “Nullification”

The Fifth Amendment’s Grand Jury Clause mandates that “[n]o person shall be held to answer for a capital, or otherwise infamous crime, unless on a presentment or indictment of a Grand Jury.”5 The Constitution thus requires that the government obtain a grand jury’s consent before prosecuting a capital or other felony offense.6 The dominant modern conception is that such consent rests solely upon

5 U.S. Const. amend. V. The Grand Jury Clause has not been incorporated to apply to the states, which may choose to initiate felony criminal proceedings in other ways consistent with the Due Process Clause. See Hurtado v. California, 110 U.S. 516, 537 (1884). Although this Article focuses primarily on the federal grand jury, it will periodically discuss state grand juries, as the overwhelming majority of criminal law enforcement takes place at the state level, see Darryl K. Brown, Democracy and Decriminalization, 86 Texas L. Rev. 223, 260 n.184 (2007), and about half of the fifty states have some form of grand jury requirement. See 2 Beale et al., supra note 1, § 8.2.

6 The federal grand jury is a body of sixteen to twenty-three people, summonsed for service in much the same way as petit jurors, and selected and empanelled with the participation of both a judge and the prosecutor. See Fed. R. Crim. P. 6. Sitting for eighteen months or more, the grand jury typically hears evidence presented by the prosecutor in a variety of cases, this evidence having been subpoenaed to the grand jury in the form of testimony, documents, or physical evidence. See id. The grand jury issues its consent in the form of an indictment, which is a statement of charges against the accused. See Fed. R. Crim. P. 7(c)(1) (“The indictment . . . must be a plain, concise, and definite written statement of the essential facts constituting the offense charged . . . .”); 1 Beale et al., supra note 1, § 1.8.
the grand jury’s assessment of the sufficiency of the evidence. In other words, the modern conception assumes that the grand jury should indicted if the government presents enough evidence to establish probable cause that the accused committed the alleged crimes. In this view, grand jury nullification occurs if the grand jury, despite receiving sufficient evidence to establish probable cause, “exercises its own political, moral, and social judgment in reviewing the prosecutor’s decision to bring the case” and declines to indict.

Although the definition of grand jury nullification is relatively straightforward, identifying when such nullification has occurred is not nearly as clear. Like attempts to identify petit jury nullification, attempts to identify specific instances of grand jury nullification suffer from the difficulty—if not impossibility—of determining whether a particular decision was based on an impartial weighing of the evidence or on some other ground. For example, in the petit jury con-

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7 This dominant view assumes that the grand jury is performing a quasi-judicial function in passing upon probable cause. See Model Grand Jury Charge: Approved by the Judicial Conference of the United States, March 2005, http://www.uscourts.gov/jury/charge.html (last visited Mar. 7, 2008) [hereinafter Model Grand Jury Charge] (“The purpose of the Grand Jury is to determine whether there is sufficient evidence to justify a formal accusation against a person—that is, to determine if there is ‘probable cause’ to believe the person committed a crime. . . . [Y]ou should vote to indict where the evidence presented to you is sufficiently strong to warrant a reasonable person’s belief that the person being investigated is probably guilty of the offense charged.”). In her insightful article, Professor Niki Kuckes illuminates difficulties arising from the Supreme Court’s lack of commitment to either a ‘judicial’ or ‘prosecutorial’ characterization of the grand jury’s constitutional function and advances a resolution that casts the grand jury as a “democratic prosecutor”—a vehicle for citizen participation within the prosecution function. See Niki Kuckes, The Democratic Prosecutor: Explaining the Constitutional Function of the Federal Grand Jury, 94 Geo. L.J. 1265, 1300 (2006).

8 See, e.g., ADMIN. OFFICE OF THE U.S. COURTS, HANDBOOK FOR FEDERAL GRAND JURORS 3 (1999) (instructing grand jurors that if they “find[] probable cause to exist, then [they] will return a written statement of the charges called an ‘indictment’”); AM. BAR ASS’N, JUDICIAL ADMIN. SECTION, FEDERAL GRAND JURY HANDBOOK 8 (1958) (noting that an indictment is “voted by the Grand Jury when evidence is found to sustain the charge”).

9 Simmons, supra note 3, at 46.

10 The term “grand jury nullification” is somewhat of a misnomer because it assumes that the grand jury’s discretion is confined to sufficiency of the evidence. As is discussed below, see infra subpart II.B, this is far too cramped a conception of the grand jury’s discretionary role. Also, the term has pejorative connotations, see Kuckes, supra note 7, at 1269, does not capture the essence of the enterprise of the grand jury’s exercise of discretion, cf. David C. Brody, Sparf and Dougherty Revisited: Why the Court Should Instruct the Jury of Its Nullification Right, 33 Am. Crim. L. Rev. 89, 91 (1995), and unfairly yokes grand jury discretion with petit jury nullification without careful consideration. See infra subpart I.C. Accordingly, a more appropriate characterization than “grand jury nullification” is the grand jury’s “exercise of robust discretion.” This Article will use both characterizations to describe instances where the grand jury determines whether to indict on bases other than the sufficiency of the evidence.

11 See, e.g., Harry Kalven, Jr. & Hans Zeisel, The American Jury 429–33 (1966) (listing nonevidentiary factors upon which petit juries rest decisions regarding whether to convict or acquit, including the personal characteristics of the defendant, propriety of the prosecutorial decision, and the wisdom of the law allegedly violated).
text, one might suspect that nullification motivated a particular jury verdict. Unless the petit jurors publicly and truthfully reveal their reasons for acquitting, however, one cannot confirm that nullification has occurred.

Even if we agree that jury nullification occurs when a prosecutor presents a jury with a quantum of unrebutted evidence sufficient to satisfy the relevant standard of proof yet that jury fails to convict or indict, who determines whether the evidence was sufficient? The evidence may overwhelmingly and credibly persuade the observer of a trial that each element of a charged crime has been satisfied. Certainly, such an observer would conclude that the jury has nullified unless it convicts. The jury, however, might view the evidence through a lens different from that of mere observers or active participants in the trial. Also, different juries may view the same evidence differently, as might individual jurors on the same jury. There is no absolute truth with regard to sufficiency of the evidence. To be sure, courts sometimes second-guess (or first-guess) juries when assessing sufficiency of the evidence on appeal or in the context of a motion for a judgment of acquittal. Most often, however, the task of these courts is simply to opine what a reasonable or rational jury might have done. Thus,

12 See, e.g., id.

13 See Norman J. Finkel, Commonsense Justice: Jurors’ Notions of the Law 41–46 (1995). One possible exception, of course, may include “public confession” cases in which an individual violates a law publicly to protest a policy related to the law or the legitimacy of the law itself. One may reasonably identify jury nullification in jury acquittals in such civil disobedience cases—such as Vietnam-era draft card burning in violation of federal law—where there is no doubt (and often a confession) as to the violation of a criminal statute. See, e.g., Lawrence W. Crispo et al., Jury Nullification: Law Versus Anarchy, 31 Loy. L.A. L. Rev. 1, 13–16 (1997) (discussing United States v. Moylan, 417 F.2d 1002 (4th Cir. 1969)); David N. Dorfman & Chris K. Iijima, Fictions, Fault, and Forgiveness: Jury Nullification in a New Context, 28 U. Mich. J. L. Reform 861, 876–77 (1995) (discussing Vietnam War resister cases). A context in which it may be less difficult to determine that a jury has relied on non-evidentiary grounds is that of strict liability offenses where there is an admission by the defendant. For example, former New York magistrate judge Morris Ploscowe has suggested that grand juries frequently refused to indict in statutory rape prosecutions involving young couples. See Morris Ploscowe, Sex and the Law 178 (Ace Books 1962) (1951). This pattern of grand jury forbearance presumably would hold even where the young defendant publicly admits to the conduct violating the statute.

14 As one anonymous seventeenth-century pamphleteer noted on the subject of occasions when public perception might differ from the grand jury’s assessment of the evidence, “a man cannot see by another’s Eye, nor hear by another’s Ear; no more can a Man conclude or infer things to be resolved, by another’s Understanding or Reasoning . . . .” Barbara J. Shapiro, “Beyond Reasonable Doubt” and “Probable Cause”: Historical Perspectives on the Anglo-American Law of Evidence 66 (1991) (quoting a dialogue between “Indifference” and “Prejudice” in Ignoramus Vindicated).

determining when jury nullification has taken place is an inexact science at best.\textsuperscript{16} The stringent secrecy restrictions on grand jurors’ communications present and exacerbate the difficulties in identifying grand jury nullification.\textsuperscript{17} Whereas petit jurors may expose the substance of jury deliberations after trial, thus helping an assessment of whether petit jurors nullified, grand jurors are forbidden, under penalty of contempt, from disclosing any information about matters that occurred before the grand jury—even after the grand jury has disbanded.\textsuperscript{18}

Secrecy rules also impede public disclosure of the evidence—inculpatory or exculpatory—that a prosecutor presented to a grand jury, thus frustrating an informed assessment of whether the grand jury nullified.\textsuperscript{19} Grand jury secrecy requirements also shield the identity of grand jury witnesses.\textsuperscript{20} If one discovers that a particular witness testified before the grand jury and that witness recounts the substance of that witness’s testimony (as is that witness’s right\textsuperscript{21}), the outside observer has no way to assess the witness’s truthfulness or thoroughness of recollection. Even where trial discovery obligations prompt the disclosure of certain witnesses’ grand jury testimony transcripts,\textsuperscript{22} the cold record does not convey the witness’s appearance, mannerisms, or other factors that would inform an attendant observer’s credi-

\textsuperscript{16} Further complicating the problem is the fact that juries may (and often do) reach compromise verdicts, where inconsistencies in the verdict signal that the jury may have disregarded evidence sufficient to satisfy one or more counts as a compromise to reach agreement on conviction on other counts. Often, this occurs when jurors seek to limit the possible punishment to which the defendant might be exposed. \textit{See, e.g.}, Diane E. Cour-selle, \textit{Struggling with Deliberative Secrecy, Jury Independence, and Jury Reform}, 57 S.C. L. Rev. 203, 220–21 (2005); Ethan J. Leib, \textit{Supermajoritarianism and the American Criminal Jury}, 33 Hastings Const. L.Q. 141, 184–85 (2006). A recent study demonstrates that some judges might succumb to the same temptation, particularly given the constraints on their sentencing discretion. \textit{See} Andrew D. Leipold, \textit{Why Are Federal Judges So Acquittal Prone?}, 83 Wash. U. L.Q. 151, 200–18 (2005) (evaluating the hypothesis that judges may acquit more frequently when faced with having to impose severe sentences compelled by strict sentencing guidelines regimes).

\textsuperscript{17} \textit{See} Leipold, \textit{supra} note 1, at 288.

\textsuperscript{18} \textit{See} \textbf{Fed. R. Crim. P. 6(e)(2)(B)(i)}; United States v. Marcucci, 299 F.3d 1156, 1163 (9th Cir. 2002).

\textsuperscript{19} \textit{See} Leipold, \textit{supra} note 1, at 287–88, 310. The prosecutor has the best sense of the scope of evidence that the grand jury received but is perhaps the least neutral assessor of whether the grand jury has nullified. \textit{Cf. id.} at 275 (explaining that prosecutors are likely to bring those cases where the prosecutor expects the grand jury will issue an indictment and to decline to bring those cases that the grand jury will reject).

\textsuperscript{20} \textit{See} Am. Bar Ass’n, \textit{supra} note 8, at 17.

\textsuperscript{21} \textit{See} Butterworth v. Smith, 494 U.S. 624, 634–35 (1990) (finding a statute that prohibited a grand jury witness from publicly recounting one’s own testimony to violate the First Amendment).

\textsuperscript{22} \textit{See, e.g.}, 18 U.S.C. § 3500 (2000); \textbf{Fed. R. Crim. P. 26.2}; Brady v. Maryland, 373 U.S. 83, 86–87 (1963) (holding that the state violates a criminal defendant’s due process rights when it suppresses information that is material and favorable to the defendant’s case).
bility assessment. Also, the outside observer may not be aware of testimony given by other witnesses, nor will such an observer know of other evidence that the grand jury considered—documentary or physical—that contradicts a known witness’s testimony.

Furthermore, unlike those of the petit jury, grand jury instructions are largely shielded from the public view. Although many grand juries receive general instructions based on the Model Grand Jury Charge, which is available for public review, the specific instructions that prosecutors give to specific grand juries are shrouded in secrecy. Thus, a grand jury may decide not to indict based on incorrect or confusing instructions on the applicable law rather than on disregard of the evidence.

Attempts to identify instances of grand jury nullification inherently involve a fair amount of uncertainty. Even where the strength of the evidence or the circumstances surrounding a case strongly indicate that a grand jury has nullified by declining to indict, certainty is fleeting. Although it may seem unsatisfactory to rely on a “you know it when you see it” approach in classifying a grand jury’s action as nullification, a better metric is elusive.

B. Categorizing Grand Jury “Nullification”

Even tolerating the uncertainty attendant to framing our notions of when a grand jury has nullified, there remain the questions of why it has nullified and what might such action attempt to achieve. Some

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24 Cf. United States v. Marcucci, 299 F.3d 1156, 1163 (9th Cir. 2002) (“[W]e have no indication that the standard charge generally has not been given to federal grand juries . . . .”).

25 Model Grand Jury Charge, supra note 7.

26 Indeed, it is difficult even for a defendant seeking to raise objections to a prosecutor’s instructions to a grand jury to obtain a transcript. See Fed. R. Crim. P. 6(e)(3)(E)(ii) (conditioning disclosure of grand jury matters upon a defendant’s showing that “a ground may exist to dismiss the indictment because of a matter that occurred before the grand jury”); id. 16(a)(3) (excluding grand jury transcripts from the discovery obligations imposed by this rule); Benjamin E. Rosenberg, A Proposed Addition to the Federal Rules of Criminal Procedure Requiring the Disclosure of the Prosecutor’s Legal Instructions to the Grand Jury, 38 AM. CRIM. L. REV. 1443, 1448 (2001) (proposing a revision of the Federal Rules of Criminal Procedure to provide arraigned defendants with a transcript of the legal instructions given to the grand jury).

27 See Leipold, supra note 1, at 288 n.142.

28 Related to the question of when grand jury nullification has occurred is the question of how often it occurs. Although the factors mentioned above frustrate an accurate and complete quantitative assessment, the existence of significant motive and opportunity for the grand jury’s exercise of its robust discretion provides a basis for concluding that the phenomenon occurs, even though there are barriers to cataloging specific instances in a comprehensive manner. See Leipold, supra note 1, at 308 n.217; infra subpart II.B–Part III.
instances of grand jury nullification merely seek to frustrate an individual prosecution from going forward; others reflect an empowered grand jury, acting as the voice of the community, which intends to send a message directly to the government regarding its views of the criminal laws or their application. Indeed, a grand jury might decline to indict despite probable cause in a particular case for more than one reason. The various rationales for grand jury nullification, though sometimes overlapping, are divisible into four categories.

1. Unjust or Unconstitutional Law

A grand jury might nullify in response to a criminal law that the jurors find contrary to their sense of justice or outside the sovereign’s criminalization power. For example, members of a nineteenth-century grand jury who shared the belief that every person has a human right to education might have nullified a prosecution of an individual for violating laws against teaching enslaved African Americans to read—regardless of the quantum of evidence against the accused. Likewise, a grand jury might determine that a criminal statute violates the Constitution and refuse to indict the accused under that law.

29 See Simmons, supra note 3, at 49 (summarizing examples of cases in which the grand jury may have rejected the prosecutor’s decision to prosecute a “borderline” case).

30 See Susan W. Brenner, The Voice of the Community: A Case for Grand Jury Independence, 3 VA. J. SOC. POL’Y & L. 67, 121 (1995); Simmons, supra note 3, at 46, 51. Also, the grand jury does not necessarily need to return a no true bill to achieve its aims. The very threat of the no true bill in a particular case, or in a category of cases, may be sufficient to communicate the grand jury’s message. See Leipold, supra note 1, at 308 n.217; infra Part II.

31 See, e.g., United States v. Marcucci, 299 F.3d 1156, 1165 (9th Cir. 2002) (“It would be impossible to tell whether the motivation not to indict was, for example, based on local politics, racial or other discrimination, or anti-government sentiment . . . .”).

32 In their thought-provoking works on petit jury nullification, both Professor Darryl Brown and Professor Nancy Marder have delineated categories of nullification-provoking scenarios that are helpful organizing tools in the grand jury nullification context. See Brown, supra note 4, at 1171–96; Nancy S. Marder, The Myth of the Nullifying Jury, 93 NW. U. L. REV. 877, 887–902 (1999). Professor Marder has sketched out categories of petit jury nullification: (1) refusal to apply the law to a particular defendant; (2) refusal to apply a law with which the jurors disagree; (3) response to extra-legal factors such as unsatisfactory social conditions; and (4) hybrids of the first three categories. See Marder, supra, at 887–902. Professor Brown has outlined four categories, comprising nullification in response to: (1) uncorrected rule violations; (2) unjust laws or norm violations; (3) biased or unjust application of law; and (4) desires to uphold illegal or immoral community norms. See Brown, supra note 4, at 1171–96.


34 The historical record indicates that the concept of petit jury review—the prerogative of juries to declare a statute unconstitutional—has been embraced at various times in America. See Akhil Reed Amar, America’s Constitution: A Biography 239–42 (2005); Harris G. Mirkin, Judicial Review, Jury Review & the Right of Revolution Against Despotism, 6 POLITY 36, 55–63 (1973). Certainly, a grand jury might determine that a criminal law contravenes the Constitution of the United States and decline to return an indictment for that reason.
2. *Unwise Law or Application of Law*

Similarly, a grand jury might nullify based on its opinion on the perceived wisdom (or lack thereof) of a criminal law or its application. A grand jury might decide that a particular statute criminalizes conduct that the criminal law *should not* proscribe.\(^{35}\) Even when a grand jury does not take issue with the wisdom of a criminal law generally, it might determine that its application to a particular defendant or in a particular community is unwise.\(^{36}\) For example, a grand jury might understand the need for a federal law banning a certain type of high-powered hunting rifle, but the grand jury might nevertheless question the law’s necessity in its rural community where hunting is ubiquitous and local game requires a particular gauge of weapon. A grand jury might also decide that it should not apply a criminal law to a defendant’s conduct in a particular case.\(^{37}\) For example, a grand jury might refuse to indict a hospice manager for violating a statute outlawing distribution of a recreational drug that terminally ill patients widely use for its therapeutic effects. Despite a belief in aggressive narcotics enforcement and clear evidence that the accused violated the statute by distributing the contraband to patients, the grand jury might disapprove of applying the statute in the particular case.

3. *Biased or Unwise Allocation of Prosecutorial Resources*

A grand jury might nullify in response to what it perceives to be an unfair or unwise allocation of limited prosecutorial resources. For example, a grand jury might decline to indict based on the belief that the defendant is being targeted because of prosecutorial bias.\(^{38}\) Likewise, if it were well known that an elected prosecutor with higher political aspirations deliberately targeted potential opponents for investigation and prosecution, then a grand jury might refuse to cooperate, regardless of the would-be defendants’ culpability. In addition, a grand jury might determine that a matter is better handled in a civil action or that an offense should be prosecuted by a different sovereign.

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\(^{35}\) See Leipold, *supra* note 1, at 288.

\(^{36}\) See Simmons, *supra* note 3, at 16 (“Throughout history, the grand jury maintained and enhanced its reputation because it was acting as the political voice of the people in the community. . . . [T]he grand jury wielded that power to bring about an outcome consistent with the majority view of the community at that time and place, regardless of the strength of the case or the prevailing legal standard.”).


eign; for example, a federal grand jury might refuse to indict because the conduct also is covered by state criminal law. A grand jury also might decide that the thrust of the government’s enforcement program represents a poor allocation of resources. For instance, a grand jury might object to a prosecutor’s decision to pursue nonviolent drug offenders when that prosecutor might redirect resources to prevent violent offenses in the community.39 A grand jury in that same community might decline to indict an elderly resident for illegal possession of a handgun, considering that the resident lives alone in a high-crime area with inadequate police presence.

4. Improper Motivation

This final category describes a motivation that even proponents of nullification would consider illegitimate—a motivation that Professor Darryl Brown describes as the desire to uphold immoral community norms.40 For example, a grand jury might decline to indict in the face of sufficient evidence for trivial reasons, such as because the defendant is a celebrity41 or simply because the prosecutor displays a disagreeable or abrasive personality.42 Furthermore, despite grand juries’ secrecy and anonymity, they might nevertheless encounter outside influences and nullify due to corruption, intimidation, or inappropriate consideration of sympathetic public sentiment for a particular defendant.43 Likewise, a grand jury might nullify out of bias or prejudice,44 refusing to indict a defendant because he belongs to a favored race or because the alleged victim belongs to a disfavored race.45 Indeed, of the types of nullification motives in this category, the one with the most ignoble history in this country is racial prejudice.46 Grand and

39 See Butler, supra note 38, at 715–16 (advocating race-based petit jury nullification for nonviolent offenses but arguing for conviction of violent offenders); see also Ed Burns et al., Saving Cities, and Souls, Time, Mar. 17, 2008, at 50 (espousing petit jury nullification in cases involving non-violent drug offenses).
40 See Brown, supra note 4, at 1191–96.
42 See Leipold, supra note 1, at 288 n.142, 309; Dan Markel, Against Mercy, 88 Minn. L. Rev. 1421, 1457 (2004).
43 See, e.g., Charge to Grand Jury, 30 F. Cas. 992, 994–95 (C.C.D. Cal. 1872) (No. 18,255).
44 See Leipold, supra note 1, at 288; Judith M. Beall, Note, What Do You Do with a Runaway Grand Jury?: A Discussion of the Problems and Possibilities Opened up by the Rocky Flats Grand Jury Investigation, 71 S. Cal. L. Rev. 617, 629 (1998) (“Grand jurors frequently reflected the prejudices of their community, indicting the unpopular and the politically powerless.”).
45 Cf. Marder, supra note 32, at 888 (discussing the role of racial animus in the context of petit jury nullification).
petit juries alike have furthered the invidious racial violence and oppression that plagued communities in the United States. For instance, as Professor Owen Fiss highlights:

In the 1960s the risk of jury nullification was particularly pronounced in southern communities, where the human rights victim typically was black and the accused white. The racial polarization of the community could easily be exploited to devalue the life of the black victims or to exonerate or excuse the defendant.

This improper potential motivation for grand jury discretion, though regrettable and unavoidable, can—and often does—overlap

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49 Professor Fiss, of course, raises a significant challenge to the normative case for grand jury discretion. As Judge John Minor Wisdom noted, however, the ability of some grand juries to use their power for these purposes is an unavoidable by-product of the grand jury’s independence. See United States v. Cox, 342 F.2d 167, 190 (5th Cir. 1965) (Wisdom, J., concurring specially); see also United States v. Marcucci, 299 F.3d 1156, 1167 (9th Cir. 2002) (Hawkins, J., dissenting) (“[R]egardless of its apparent virtues and vices, the requirement of the grand jury’s independent exercise of its discretion is a fixed star in our constitutional universe.”). Additionally, in communities where racial prejudice might infect the votes of a majority of grand jurors, other actors in the criminal justice system may share similar biases. See, e.g., Brown, supra note 4, at 1194–95. While this may be of little comfort, it does support the notion that grand jury deliberations are not necessarily more susceptible to bias than other exercises of unreviewable discretion throughout the criminal process. Cf Paul H. Robinson, Fair Notice and Fair Adjudication: Two Kinds of Legality, 154 U. Pa. L. Rev. 335, 366–67 (2005) (“Room for the exercise of discretion also can give opportunity to malevolent influences such as racism, sexism, and the like.”). Indeed, there were instances in the Jim Crow South in which grand juries returned indictments for crimes committed against African Americans but the petit jury declined to convict. See, e.g., Gail Williams O’Brien, The Color of the Law: Race, Violence, and Justice in the Post-World War II South 185 & n.14 (1999) (noting the “first lynching indictment” secured from a grand jury in Mississippi, which ended without a guilty verdict at trial); Conrad, supra note 47, at 32–33. Perhaps the most prominent example is the infamous Emmett Till case, in which an all-white jury acquitted the defendants in just over an hour. See Bad News for NAACP, Jackson Daily News, Sept. 8, 1955, reprinted in The Lynching of Emmett Till: A Documentary Narrative 40 (Christopher Metress ed. 2002); James L. Kilgallen, Defendants Receive Handshakes, Kisses, Memphis Com. Appeal, Sept. 24, 1955, reprinted in The Lynching of Emmett Till: A Documentary Narrative 104 (Christopher Metress ed., 2002). Furthermore, the monumental changes in grand juror selection prompted by the 1968 Jury Selection and Service Act have spurred progress toward the cross-sectional ideal. See Jury Selection and Service Act of 1968, 28 U.S.C. §§ 1821, 1861–1869, 1871 (2000) (affording litigants rights to juries that are representative of the community and prohibiting discrimination against potential jurors). There is no longer a “key-man” system under which grand juries are handpicked. See id. §§ 1861, 1863. Grand jurors are now more likely to be representative of their community. See id. §§ 1861–1863; Kevin K. Washburn, Restoring the Grand Jury, 76 Fordham L. Rev. 2333, 2369 & n.178 (2008) (noting that although “the countermajoritarian nature of the grand jury can have troubling consequences, . . . these dire consequences occurred only because significant portions of the relevant communities were denied participation as jurors in criminal justice processes”). But see Fiss, supra note 48, at 136 (arguing that “even when the [petit] jury more adequately reflected a cross section of the community [the nullification] problem was not entirely
with the motivations for grand jury discretion described in the other categories above.\footnote{See, e.g., Marder, \textit{supra} note 32, at 892. For example, one may approve of grand jury nullification in an attempted criminal prosecution under the oppressive nineteenth-century slave codes but disapprove of grand juries exercising that same discretion when refusing to convict Ku Klux Klan members for clear violations of criminal civil-rights statutes. See, e.g., \textit{Blanche Davis Blank, The Not So Grand Jury: The Story of the Federal Grand Jury System} 6 (1993); \textit{Conrad, supra} note 46, at 167–90; \textit{cf. Editorial, When Jurors Ignore the Law}, \textit{N.Y. Times}, May 27, 1997, at A16 (“Nullification . . . kept fugitive slaves from being sent back to the South, when juries refused to enforce fugitive-slave laws before the Civil War. But history is also replete with examples of shameful acts of nullification, like the hung juries in the 1964 trials for the murder of Medgar Evers, the civil rights leader.”). However, an observer presumably might characterize either grand jury as nullifying laws that the jurors genuinely perceived as unjust or unwise, or thwarting prosecutions the juries subjectively believed were borne of bias. See \textit{Leipold, supra} note 1, at 288 & n.142, 309. This, along with Professor Fiss’s observation, see \textit{Fiss, supra} note 48, at 136, illustrates perhaps the central difficulty with the normative case for exercises of discretion by grand juries.}

\section*{C. Beyond the Normative Debate}

Perhaps one’s normative view of grand jury nullification differs with the circumstances that surround a particular exercise of discretion. One might countenance a grand jury’s having mercy on a sympathetic defendant in an individual case.\footnote{See \textit{Markel, supra} note 42, at 1456–59; see also Stephanos Bibas, \textit{Forgiveness in Criminal Procedure}, 4 \textit{Ohio St. J. Crim. L.} 329, 341 (2007). \textit{See generally} Carol S. Steiker, \textit{Tempering or Tampering? Mercy and the Administration of Criminal Justice}, in \textit{Forgiveness, Mercy, and Clemency} 16 (Austin Sarat & Nasser Hussain eds., 2007) (exploring the conceptual role of mercy in discretionary judgments made in the criminal justice system); Rachel E. Barkow, \textit{The Ascent of the Administrative State and the Demise of Mercy}, 121 \textit{Harv. L. Rev.} (forthcoming 2008), available at http://papers.ssrn.com/sol3/papers.cfm?abstract_id=1019071 (discussing how certain exercises of mercy, including jury nullification, are weakened in the administrative state).} Another might tolerate grand jury nullification only where the grand jury acted out of concern that the prosecutor was applying the law unevenly and unfairly.\footnote{See \textit{Brown, supra} note 4, at 1171–96; \textit{Butler, supra} note 38, at 705–12.} Yet another might condemn grand jury nullification for any reason other than the grand jury’s shared belief that a law was unjust.\footnote{See \textit{Brown, supra} note 4, at 1183–91; \textit{Marder, supra} note 32, at 888–93.} One might tolerate grand jury nullification for any reason other than political beliefs, religious convictions, or other biases that grand jurors might hold against the government or the victim.\footnote{See \textit{Leipold, supra} note 1, at 308–09.} Finally, one might consider grand jury nullification to be dangerous and illegitimate in all circumstances, precisely because grand juries can nullify in any

eliminated” because “a conviction could be blocked by one or two jurors.”). See generally Kim Forde-Mazrui, \textit{Jural Districting: Selecting Impartial Juries Through Community Representation}, 52 \textit{Vand. L. Rev.} 353, 360–65 (1999) (explaining the advantages of representative juries). Of course, in the grand jury context, it typically would take twelve of the twenty-three grand jurors to block an indictment. See infra note 156.\footnote{\textit{See supra} note 156.}
kind of case and for any reason at all—even for reasons we find repulsive.55

The knotty normative questions that grand jury nullification presents are further complicated by the long shadow cast by petit jury nullification. To be sure, the term “jury nullification” carries significant baggage. The question of whether petit juries should nullify has been hotly debated in many volumes of academic and judicial commentary, and deep skepticism about both the legitimacy and desirability of petit jury nullification animates much of the scholarship and case law.56 Critiques of petit jury nullification include concerns that the practice is counterdemocratic,57 frustrates justice in the individual case,58 and diminishes public safety by hindering the effective enforcement of the criminal law.59 As a result of the skepticism over petit jury nullification, even commentators who recognize the grand jury’s potential role in giving voice to the community’s conscience might shy away from considering the grand jury’s exercise of discretion as a legitimate expression of that conscience. This apparent incongruity results, in part, from the fact that grand jury nullification remains laden with the baggage that renders petit jury nullification so odious to many, even though grand jury nullification is analytically and historically distinct in many ways.

Although this Article does not claim to settle the normative debate over petit and grand jury nullification, it does seek to challenge the dominant substantive critiques of grand jury discretion: (1) grand jury discretion subverts the rule of law;60 (2) the grand jury possesses

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55 See id. at 309 (noting the potential for grand jury nullification to serve as a “potent force for frustrating legitimate societal objectives”). However, as is discussed below, see infra subpart III.A, virtually every other discretion-wielding actor in the criminal justice system can make decisions on any of these bases—even those many might consider illegitimate. For an intriguing study of possible links between perceived petit jury nullification, community disrespect, and diminished compliance with the law, see Janice Nadler, Flouting the Law, 83 Tex. L. Rev. 1399 (2005).

56 Compare Crispo et al., supra note 13, at 3–4 (arguing strongly against petit jury nullification, as it leads to “inconsistent application of laws, allows bad law to remain on the books, and permits juries to disregard the law without accountability”), with Lysander Spooner, An Essay on the Trial by Jury 189–91 (1852) (arguing that a juror must have complete discretion to render any verdict, regardless of the defendant’s potential guilt), and Jack B. Weinstein, Considering Jury “Nullification”: When May and Should a Jury Reject the Law to Do Justice?, 30 Am. Crim. L. Rev. 239, 240–41 (1992) (arguing that “judges can and should exercise their discretion to allow nullification by flexibly applying the concepts of relevancy and prejudice and by admitting evidence bearing on moral values”). See generally Teresa Conaway et al., Jury Nullification: A Selective, Annotated Bibliography, 39 Val. U. L. Rev. 393 (2004) (listing scores of articles and other commentary debating the merits of petit jury nullification).


58 See id. at 306–09.

59 See id. at 260–63.

60 See infra Part II.
unwarranted discretion relative to other actors in the criminal justice system; and (3) grand jury discretion necessarily detracts from the effectiveness of the criminal justice system. In questioning the criticism that the grand jury’s exercise of robust discretion necessarily amounts to lawlessness and undermines the efficiency and efficacy of criminal justice, this Article reveals important features of the nature and role of the grand jury in the constitutional and procedural framework of our system of criminal justice.

II

THE COMPATIBILITY OF GRAND JURY DISCRETION WITH CONSTITUTIONAL DESIGN AND THE RULE OF LAW

The most powerful and potentially damning substantive critique of grand jury discretion is the charge that the practice is subversive of the rule of law. Although a taxonomy of the many complexities of the rule-of-law concept is beyond the scope of this Article, “[a]t the heart of the rule of law is the powerful idea that it is law that should govern society and not that the arbitrary will of particular persons—a government of laws, not persons.” While consensus regarding the conceptual contours of the rule of law may be fleeting, the mainstream American reaction to perceived violations of the rule of law is condemnation.

Pretermitting formulations of the rule-of-law ideal that emphasize substantive notions of justice, a hallmark of the rule of law is the avoidance of arbitrariness and the cabining of the discretion of government actors. Nowhere is such discretion and potential for arbi-
One of the several principles philosopher Joseph Raz has delineated as derived from the rule of law is that "discretion of the crime-preventing agencies should not be allowed to pervert the law." As Raz explains, prosecutors and law enforcement officials subvert the rule of law when they exercise discretion or allocate resources in attempts to avoid enforcing certain criminal laws or pursuing certain classes of offenders.

Concern over the rule of law likewise renders nullifying juries subject to scrutiny. The traditional rule-of-law critique of petit jury nullification—and, by extension, grand jury nullification—is that “[n]ullification entails the rule of [jurors] . . . arbitrarily deciding to resolve a case according to their own political and moral beliefs rather than applying the general rule that has governed other, comparable cases.” Even where one deems the rationale for nullification acceptable in a given context, the rule of law still condemns its exercise.

Under this rule-of-law critique, a grand jury must indict where a prosecutor has presented sufficient evidence that the accused committed the alleged crimes. When the government has met its burden of demonstrating probable cause, the argument goes, the grand jury should indict the accused if it is to act consistently with the rule of law. Failing to indict in such a situation, regardless of the normative law is one that seeks to impose limits on and provide guidance for the exercise of official power.”

See, e.g., Robinson, supra note 49, at 344–45 (considering judicial discretion and observing that “[t]he danger is not just arbitrary application by judges but . . . arbitrary application by other decision makers in the criminal justice process, with ‘the potential for arbitrary and discriminatory enforcement of the penal law’” (citation omitted)).


See id.

See, e.g., Butler, supra note 38, at 705–06 (1995) (“The idea that jury nullification undermines the rule of law is the most common criticism of the doctrine.”). Professor Butler observes that rule of law critiques of jury nullification are moral rather than legal, given the irrefutable power of the petit jury to acquit contrary to the evidence. See id. at 705.

Brown, supra note 4, at 1159. However, as Professor Darryl Brown persuasively explained, a post-realistic conception of the rule of law, which features among its attributes an expanded notion of legitimate law-giving sources and their use in a contextual interpretation of legal rules, may accommodate the compatibility of jury nullification with the rule of law. See id. at 1159–71; see also Butler, supra note 38, at 705–14 (responding to rule-of-law critiques of principled jury nullification); Michael T. Cahill, Punishment Decisions at Conviction: Recognizing the Jury as Fault Finder, 2005 U. Chi. Legal F. 91, 117 (2005) (citing Brown’s argument that petit jury nullification need not be seen as lawlessness).

See, e.g., Roscoe Pound, Law in Books and Law in Action, 44 Am. L. Rev. 12, 18 (1910) (characterizing jury nullification as “the great corrective of law in its actual administration” but nonetheless referring to it as “[j]ury lawlessness”).

See Brown, supra note 4, at 1160.

See id.
appeal of the grand jury’s rationale, signals disregard for this clear rule and, ultimately, subverts the rule of law. 76

Adherence to the rule of law, however, does not prohibit all discretion. Rather, the rule of law condemns the exercise of unwarranted discretion. 77 Where a government of laws yields a process that affords appropriate discretion to certain actors, the exercise of such discretion can be consistent with the rule of law. 78

This Part challenges the premise that the rule of law is incompatible with the grand jury’s robust discretion to decide on bases beyond sufficiency of the evidence. Such discretion can comply with the rule of law both because the grand jury is not limited—by either tradition or constitutional design—to merely screening criminal cases for probable cause and because the grand jury’s robust discretion enhances its ability to perform its intended constitutional role—facilitating horizontal separation of powers through checks and balances and moderating criminal law federalism. In this way, grand jury nullification is not only consistent with the rule of law, but it buttresses the rule of law in an important manner.

A. Redefining Terms: Contours of the Rule of Law

The rule-of-law critique of grand jury discretion rests on the premise that the grand jury was designed to operate as a mere probable cause filter. 79 Although probable cause is the current evidentiary standard, 80 the applicable standard has shifted considerably, often changing in response to dominant political views regarding the appropriate role of the grand jury. 81 Indeed, today’s probable cause standard is

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76 Cf. State v. Ragland, 519 A.2d 1361, 1372 (N.J. 1986) (declaring that “[j]ury nullification is an unfortunate but unavoidable power”). Professors Kaimi Wenger and David Hoffman have described ways in which petit jury nullification might perform certain functions—protective, equitable, and participatory—consistent with the rule of law. See Kaimi pono David Wenger & David Hoffman, Nullificatory Juries, 2003 WIS. L. REV. 1115, 1149–56 (2003). Professor Paul Butler has questioned the conceptual legitimacy of the rule of law, arguing that “[i]f the rule of law is a myth . . . the criticism that jury nullification undermines it loses force.” Butler, supra note 38, at 708.


78 See, e.g., id.

79 See, e.g., Brenner, supra note 30, at 100–01.

80 See id.

81 See SHAPIRO, supra note 14, at 42 (“The history of grand jury [evidentiary] standards . . . is marked by frequent, and essentially political, conflicts over the proper role of the institution itself.”). For more than four centuries, evidentiary standards governing the grand jury’s inquiry evolved from mere rumor and “suspicion” to “probable evidence” to “satisfied belief” to “prima facie” to the current “probable cause” standard. See id. at 47–48, 58–59, 78–86, 96–98. At their core, these debates in England and America were as much about the role, power, and independence of the grand jury as they were about evidentiary standards, with many attempting to frame the institution by shaping its discretion and nullification power. See, e.g., Bushell’s Case, (1670) 124 Eng. Rep. 1006, 1011–12 (C.P.) (rul-
distinct from the significantly more robust “truth of the accusation” standard used when the grand jury right was enshrined in the Bill of Rights.\footnote{See \textit{Joseph Chitty}, \textit{A Practical Treatise on the Criminal Law} 261 (1819); Thomas Y. Davies, \textit{The Fictional Character of Law-and-Order Originalism: A Case Study of the Distortion and Evasions of Framing-Era Arrest Doctrine in Atwater v. Lago Vista}, 37 \textit{Wake Forest L. Rev.} 239, 427–28 (2002) (noting that the framing-era grand jury “did not merely assess whether there was probable cause for a prosecution; rather, at common law, grand jurors were usually instructed not to indict unless they were persuaded, based on the prosecutor’s evidence, of the ‘truth’ of the accusation”); Thomas Y. Davies, \textit{What Did the Framers Know and When Did They Know It?: Fictional Originalism in Crawford v. Washington}, 71 \textit{Brook. L. Rev.} 105, 210–12 & n.333 (2005).} However, regardless of the standard that grand juries used at any given time, they have always exercised power to decline to indict despite evidence satisfying the governing standard.\footnote{See \textit{id.}} Even when the evidentiary threshold was more exacting than probable cause, grand juries were not bound to indict when the prosecutor presented evidence satisfying that prevailing standard.\footnote{See \textit{id.}}

Since the formative stages of the grand jury in England, grand juries have engaged in nullification. Almost all contemporary historical accounts of the grand jury’s development treat the late-seventeenth-century \textit{Colledge}\footnote{85 8 How. St. Tr. 549 (1681).} and \textit{Shaftesbury}\footnote{86 8 How. St. Tr. 759 (1681).} cases as the turning point in the life of the English grand jury—where it began to transform from an exclusive tool of the monarchy to a protector of subjects against the power of the Crown.\footnote{See \textit{George J. Edwards, Jr., The Grand Jury} 28–30 (1906).} These two cases focused on the attempted royal prosecution of Stephen Colledge and Anthony Ashley Cooper, the Earl of Shaftesbury, for high treason.\footnote{See \textit{id.}} Both men were accused of conspiring to diminish Roman Catholic influence over the monarchy.\footnote{See \textit{id.}} The grand juries in both cases refused to indict the Protestant defendants, despite significant pressure from the Crown and rigging of the grand jury process against the accused.\footnote{See \textit{id.}} As a result, the \textit{Colledge} and \textit{Shaftesbury} cases stand as a symbolic turning point for the grand jury in England, after which the grand jury ceased to be a
passive facilitator for criminal prosecutions by the Crown and began to assume a more robust role.\textsuperscript{91}

The American colonial grand jury, the direct descendant of these English grand juries, played a part in expressing colonists’ dissatisfaction with the exercise of monarchical power as it aggressively issued “angry and well-publicized presentments and indictments” against representatives of the monarchy and nullified attempted prosecutions of critics of the Crown.\textsuperscript{92} For example, a 1743 grand jury refused to indict New York publisher Peter Zenger for seditious libel against the Royal Governor of New York, even though Zenger was technically guilty for publishing stories critical of the governor.\textsuperscript{93} Colonial grand juries famously resisted prosecutions under the British trade and navigation laws and refused to indict colonial protesters of British laws whose prosecutions were thought to be unfair; for example, in 1765 a Boston grand jury declined to indict the Stamp Act rioters.\textsuperscript{94} Following the American Revolution and the ratification of the Grand Jury Clause in the Bill of Rights,\textsuperscript{95} grand juries nullified prosecutions under the Alien and Sedition Acts\textsuperscript{96} and under the Fugitive Slave Act and Reconstruction-era civil rights laws.\textsuperscript{97}

As these historical accounts reveal, probable cause is merely an evidentiary standard and not a framework for the grand jury’s defining purpose.\textsuperscript{98} The probable cause standard does not describe the grand jury’s power to render a decision on bases beyond sufficiency of the evidence.\textsuperscript{99} The grand jury’s robust discretionary power was a pri-

mary feature of the institution emblazoned on the consciousness of the Founders as they drew from the lessons of the colonial experience in constructing American democracy. Today, the grand jury retains its power to exercise robust discretion on bases beyond sufficiency of the evidence.

The Supreme Court recognized the grand jury’s robust discretion when it acknowledged that “[t]he grand jury does not determine only that probable cause exists to believe that a defendant committed a crime, or that it does not.” In Vasquez v. Hillery, the Court explained that “[t]he grand jury is not bound to indict in every case where a conviction can be obtained.” The Court’s recognition of the grand jury’s discretionary power parallels that of a number of prominent jurists. Judge John Minor Wisdom recognized “the power of the grand jury to shield suspected law violators” and the grand jury’s “unchallengeable power to shield the guilty, should the whims of the jurors or their conscious or subconscious response to community pressures induce twelve or more jurors to give sanctuary to the guilty.” Judge Henry Friendly noted that the grand jury’s discretionary ability to grant mercy to accused who are likely guilty is “implicit in [the grand jury’s] role.” Other jurists have affirmed the notion that the grand jury has an unqualified power to decline to indict regardless of the evidence placed before it.

100 See Shapiro, supra note 14, at 87.
102 Id. (quoting United States v. Ciambrone, 601 F.2d 616, 629 (2d Cir. 1979) (Friendly, J., dissenting)). To be sure, the Court has sent mixed messages in this regard, more recently implying that a grand jury may have a duty to indict when there is evidence sufficient to establish probable cause. See United States v. Cotton, 535 U.S. 625 (2002).
103 United States v. Cox, 342 F.2d 167, 189 (5th Cir. 1965) (Wisdom, J., concurring specially).
104 Id. at 190.
105 Ciambrone, 601 F.2d at 629 n.2 (Friendly, J., dissenting).
106 See, e.g., United States v. Marcucci, 299 F.3d 1156, 1168–69 (9th Cir. 2002) (Hawkins, J., dissenting); Gaither v. United States, 413 F.2d 1061, 1066 n.6 (D.C. Cir. 1969) (“Since it has the power to refuse to indict even when a clear violation of law is shown, the grand jury can reflect the conscience of the community in providing relief where strict application of the law would prove unduly harsh.” (quoting 8 Moore’s Federal Practice § 6.02(1) (1968))); United States v. Asdrubal-Herrera, 470 F. Supp. 939, 942 (N.D. Ill. 1979) (“Just as a prosecutor can, in the exercise of discretion, decline prosecution in the first instance, a grand jury can return a true bill or no bill as they deem fit.”). Professor Herbert Wechsler, in support of a proposal to include a de minimis “defense” (Section 2.12) to the Model Penal Code, noted that “[n]othing is more common in criminal law enforcement, of course, than the exercise on the part of the prosecuting attorney, to some extent—grand juries where there are grand juries—of a kind of unarticulated authority to mitigate the general provisions of the criminal law to prevent absurd applications . . . .” Discussion of the Model Penal Code, 39 A.L.I. Proc. 61, 105 (1962). For more on de minimis statutory provisions, see Stanislaw Pomorski, On Multiculturalism, Concepts of Crime, and the “De Minimis” Defense, 1997 BYU L. Rev. 51 (1997); Paul H. Robinson, Criminal Law Defenses: A Systematic Analysis, 82 Colum. L. Rev. 199, 211 (1982).
While many recognize the grand jury’s power to nullify, the legal culture seems unready or unwilling to fully accept that the grand jury role implicitly includes a discretionary function. Advocates and courts seeking to minimize the grand jury’s nullification power often distinguish between the “power” and the “right.”\textsuperscript{107} They are willing to concede—as they must—that the grand jury possesses the power (or the ability) to nullify, as no mechanism exists to prevent or remedy the practice.\textsuperscript{108} Judge Learned Hand, for example, described grand jury nullification as “an irresponsible utterance of the community at large, answerable only to the general body of citizens, from whom they come at random, and with whom they are again at once merged.”\textsuperscript{109} Nevertheless, they contend that the grand jury has no right to nullify.\textsuperscript{110} By arguing that a nullifying grand jury is doing something it has no right to do, these advocates and courts essentially characterize grand jury nullification as lawless.\textsuperscript{111}

This “lawless” view is problematic for a number of reasons. First, substantial evidence indicates that the grand jury’s power exists by design.\textsuperscript{112} The nullification power is an intended feature of the grand jury’s robust discretion—not a mere accident borne of a flawed insti-

\textsuperscript{107} Cf. Sparf v. United States, 156 U.S. 51, 78–83 (1895) (distinguishing between the power of a petit jury to nullify and its right to do so); Mark DeWolfe Howe, Juries as Judges of Criminal Law, 52 HARV. L. REV. 582, 588–89 (1938).
\textsuperscript{108} See, e.g., Brief for the United States at 28, United States v. Cotton, 535 U.S. 625 (2002) (No. 01-687). As the U.S. Solicitor General argued in a brief on the merits in a recent Supreme Court case, grand jury nullification is “a power that courts must tolerate for reasons of public policy” rather than “a right that courts must encourage.” Id.
\textsuperscript{109} In re Kittle, 180 F. 946, 947 (S.D.N.Y. 1910) (L. Hand, J.).
\textsuperscript{110} See, e.g., United States v. Kerley, 838 F.2d 932, 938 (7th Cir. 1988) (stating that the ability to nullify is “just a power, not also a right”); Todd E. Pettys, Evidentiary Relevance, Morally Reasonable Verdicts, and Jury Nullification, 86 IOWA L. REV. 467, 503 (2001) (“While readily conceding that juries have the power to nullify, therefore, the courts have insisted that juries do not have the right to nullify.”). Professor Paul Butler, who advanced a case for race-based petit jury nullification in certain circumstances, see Butler, supra note 38, at 678, does seem to require a moral justification for the petit jury’s exercise of its nullification power. See Paul D. Butler, Race-Based Jury Nullification: Case-in-Chief, 30 J. MARSHALL L. REV. 911, 918 (1997) (“[I]t is not enough to say that there is a power to nullify; there also has to be some moral basis for this power.”); see also Allen, supra note 67, at 14 (1996) (“We can conceive of exertions of governmental authority that are legal in the sense of being authorized by law but that offend the rule-of-law concept.”).
\textsuperscript{111} Cf. Strickland v. Washington, 466 U.S. 668, 694–95 (1984) (stating that a court, when determining whether an attorney error prejudiced the defendant, “should presume . . . that the judge or jury acted according to law” and that “[a] defendant has no entitlement to the luck of a lawless decisionmaker, even if a lawless decision cannot be reviewed”). See also Daniel J. Meltzer, Deterring Constitutional Violations by Law Enforcement Officials: Plaintiffs and Defendants as Private Attorneys General, 88 COLUM. L. REV. 247, 257 n.41 (1988).
\textsuperscript{112} See, e.g., United States v. Ciambrone, 601 F.2d 616, 629 n.2 (2d Cir. 1979) (Friendly, J., dissenting).
tutional blueprint.\textsuperscript{113} Given the Framers’ experience with the grand jury and its role in nullifying unjust colonial criminal laws and prosecutions,\textsuperscript{114} there is good reason to believe that the grand jury’s nullification power is exactly what the Framers intended. The Framers were well aware that colonial grand juries communicated dissent to the central royal authorities and checked those individuals making, interpreting, and enforcing colonial laws.\textsuperscript{115} If the Framers did not want federal grand juries to retain that same power, they easily could have established a mechanism for judicial review of grand jury decisions. That they did not establish such a mechanism supports the view that the grand jury’s exercise of discretion on bases beyond the sufficiency of the evidence is consistent with the grand jury’s intended role.

Additionally, the use of the “rights” language surrounding grand jury discretion misunderstands the nature of the grand jury in the first instance. As discussed below, the grand jury is a preconstitutional entity that predates the establishment of the three branches of government.\textsuperscript{116} Although the Grand Jury Clause cemented the grand jury’s position as a central mechanism of individual liberty,\textsuperscript{117} the preconstitutional status of the grand jury suggests that it was akin to a central organ of government and not simply a vehicle for applying a criminal procedural requirement. Presumably, constitutional limitations could curtail the grand jury’s nullification prerogative in this regard, as could procedural practice, common law, or statutory law.\textsuperscript{118} In the absence of such a constraint, however, the grand jury does not need the “right” to exercise its discretion on bases beyond sufficiency of the evidence. Shedding the fictions that surround the proper role of the grand jury's exercise of discretion on bases beyond the sufficiency of the evidence is consistent with the grand jury’s intended role.

\textsuperscript{114} See, e.g., Younger, supra note 96, at 49–52, 103–05, 118–33.
\textsuperscript{115} See, e.g., Lettow, supra note 92, at 1337.
\textsuperscript{116} See discussion infra section II.B.1.
\textsuperscript{118} Indeed, one such limitation on the prerogative of the grand jury surfaced when criminal defendants asserted that the Fifth Amendment right to grand jury indictment contemplates that grand juries not be instructed that they “should” vote to indict where the government establishes probable cause, an argument that the Ninth Circuit recently considered and rejected over vigorous dissent. See, e.g., United States v. Navarro-Vargas, 408 F.3d 1184, 1199 (9th Cir. 2005); United States v. Rivera-Sillas, 376 F.3d 887, 893–94 (9th Cir. 2004); United States v. Adams, 343 F.3d 1024, 1027 n.1 (9th Cir. 2003); United States v. Marcucci, 299 F.3d 1156, 1159–65 (9th Cir. 2002) (consolidating three identical challenges). Ultimately, the Ninth Circuit held that the Constitution does not mandate that the grand jury receive instruction that it may decline to indict even where it finds probable cause. See, e.g., Navarro-Vargas, 408 F.3d at 1199. For commentary on the Ninth Circuit skirmishes over the model grand jury charge, see Kuckes, supra note 7, at 1299–1300 (endorsing the dissenters’ reasoning); Gregory T. Fouts, Note, Reading the Grand Jurors Their Rights: The Continuing Question of Grand Jury Independence, 79 Ind. L.J. 323, 334–40 (2004) (commenting on the Marcucci case); Laurie L. Levinson, Grand Jury Nullification, Nat’l L.J., June 14, 2004, at 14.
grand jury fosters greater recognition that the grand jury’s discretion is consistent with the rule of law.

B. The Structural Role of Grand Jury Discretion

While the modern conception of the grand jury relegates it to a mere probable cause filter for serious criminal charges, the grand jury actually plays a hidden *structural* role in our constitutional design—it serves both as a check on the three branches of government and as a moderator of criminal law federalism. The characteristics of the grand jury uniquely equip it to serve as a conduit for communication between the national government and local communities on issues of criminal justice policy. The grand jury’s robust discretion—its ability to determine the propriety of indictments on bases beyond sufficiency of the evidence—enhances this function.

1. *Separation of Powers/Checks and Balances*

Contrary to popular belief, and despite its usual physical location in the courthouse and its reliance on the process and compulsion power of the courts, the grand jury is not a part of the judicial branch.119 Likewise, the grand jury is not an arm of the Executive even though the prosecutor wields a great deal of (at least perceived) power over the grand jury.120 While modern grand jury practice may not evidence the fact, the grand jury is its own constitutional entity, which checks each of the three branches of government.121 Although not mentioned in the original written constitution, the grand jury was a creature of the common law, understood as an independent constitutional entity and intended to play a *structural* role:122

[U]nder the constitutional scheme, the grand jury is not and should not be captive to any of the three branches. The grand jury is a pre-constitutional institution, given constitutional stature by the Fifth Amendment but not relegated by the Constitution to a position within any of the three branches of the government.123

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121 *See, e.g.*, Kuckes, *supra* note 1, at 28.

122 *See* United States v. Cox, 342 F.2d 167, 178 (5th Cir. 1965) (Rives, Gewin & Bell, J.J., concurring in part and dissenting in part) (“[T]he grand jury originated long before the doctrine of separation of powers was made the constitutional basis of our frame of government. . . . Its authority is derived from none of the three basic divisions of our government, but rather directly from the people themselves.” (internal quotations omitted)).

123 United States v. Chanen, 549 F.2d 1306, 1312 (9th Cir. 1977) (internal citation omitted).
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As the Supreme Court explained in United States v. Williams, the grand jury “is a constitutional fixture in its own right. In fact, the whole theory of its function is that it belongs to no branch of the institutional Government, serving as kind of a buffer or referee between the Government and the people.”

Not only is the grand jury independent of the three branches of government, but it serves as a check on them. In the context of the judicial branch, Article III provides that “[t]he judicial power shall extend to all Cases . . . arising under . . . the Laws of the United States.” Although Congress vested the federal courts with jurisdiction over cases arising under criminal statutes, this jurisdiction cannot be exercised in felony and capital cases without the grand jury’s consent. Pursuant to the common law traditions that informed the Framers and the mandate of the Grand Jury Clause, a felony or capital criminal case cannot proceed to trial except upon the indictment or presentment of a grand jury. In addition, the grand jury limits courts’ ability to sentence criminal defendants after a guilty verdict or plea. Thus, the grand jury performs a structural role as gatekeeper of the federal courts’ exercise of subject matter jurisdiction in criminal cases. The grand jury’s robust discretion to limit the cases that

125 Id. at 47 (internal citations and quotations omitted).
126 See United States v. Navarro-Vargas, 408 F.3d 1184, 1199 (9th Cir. 2005) (quoting United States v. Chanen, 549 F.2d 1306, 1312 (9th Cir. 1977)).
129 See Fed. R. Crim. P. 7(a) (“An offense (other than criminal contempt) must be prosecuted by an indictment if it is punishable: (A) by death; or (B) by imprisonment for more than one year.”). Of course, a defendant may waive the right to grand jury indictment and allow a court to try and sentence upon an information. See Id. 7(b). There is some doubt associated with the constitutionality of this waiver provision. See generally Roger A. Fairfax, Jr., The Jurisdictional Heritage of the Grand Jury Clause, 91 Minn. L. Rev. 398, 430–38 (2006).
130 See U.S. Const. amend. V (“No person shall be held to answer for a capital, or otherwise infamous crime, unless on a presentment or indictment of a Grand Jury . . . .”).
131 See, e.g., Howard C. Joyce, Treatise on the Law Governing Indictments with Forms § 32 (1908) (“[W]here there has been no presentment of . . . a bill of indictment, the fact that a person confess[e]d in court to being guilty of a crime which requires an indictment or presentment, confers no power upon the court to sentence him to imprisonment . . . .”). Although in most cases the sentencing judge’s ability to render punishment will be limited to that prescribed by the legislature for crimes outlined in the grand jury’s indictment, the Supreme Court has sometimes strayed from that ideal. See, e.g., United States v. Cotton, 535 U.S. 625, 633–34 (2002) (finding no plain error where the district court sentenced the defendant for conduct not charged in the indictment).
132 Although a twentieth-century jurisprudence influenced by progressive criminal law reform and a diminished respect for the efficacy of the grand jury right largely obscured this function, the jurisdictional heritage of the grand jury demonstrates the way in which
courts may hear enhances its checking function with regard to the judicial branch.

The grand jury also checks the executive branch by sometimes barring prosecution of federal crimes. Article II charges the Executive with the duty to “take Care that the Laws be faithfully executed.” A grand jury must determine whether sufficient evidence exists to justify a trial, and an affirmative decision will subject a criminal defendant to the economic, personal, reputational, and psychological costs of standing trial and defending against the indictment’s charges. Unless and until a grand jury assents, the Executive cannot press its case. The grand jury’s robust discretion allows it to check the executive branch on bases beyond sufficiency of the evidence. The grand jury may frustrate the Executive’s efforts to prosecute an individual where it suspects that the prosecutor has targeted that individual because of bias or caprice. Further, the grand jury may exercise its discretion to send the Executive a message about its preferred allocation of law enforcement and prosecutorial resources. This discretion also can be brought to bear on exercises of prosecutorial discretion in specific cases. The grand jury’s robust discretion enhances its ability to check the tremendous power of the Executive in fulfilling its Article II duties related to criminal law enforcement and prosecution.

Furthermore, the grand jury checks the legislative branch by determining when conduct that Congress has proscribed will be subject to criminal prosecution. The Legislature relies on the Executive and Judiciary performing their respective constitutional duties of enforcing criminal statutes and entertaining cases arising therefrom. Because the grand jury’s discretion can derail the performance of these duties, it represents another significant check on the legislative branch. Not only is the grand jury in a position to decline to allow a prosecution under a particular criminal statute, it also can influence the Executive to enforce criminal statutes it otherwise would not.

the grand jury was designed to play a checking role on the judicial branch. See generally Fairfax, supra note 129.

133 U.S. Const. art. II, § 3.

134 See United States v. Williams, 504 U.S. 36, 51 (1992) (“It is axiomatic that the grand jury sits not to determine guilt or innocence, but to assess whether there is adequate basis for bringing a criminal charge.”).


136 See Simmons, supra note 3, at 16.

137 See, e.g., Butler, supra note 38, at 678.

138 See id.

139 See U.S. Const. art. II, § 3 & art. III, § 2.


141 In fact, at the time of the Founding, the power of grand juries to present or initiate charges for federal crimes without the prompting or participation of the prosecutor was well established. While the Presentment Clause of the Fifth Amendment’s Grand Jury
As discussed above, the grand jury might consider a particular criminal statute to be ill-considered or ill-suited and refuse to indict a defendant under it. Whether motivated, for example, by the perceived severity of the punishment, the disproportionality of the punishment to the alleged crime, or the dubious constitutionality of the criminal statute, the grand jury is well situated to check the Legislature’s power to proscribe certain conduct and to prescribe criminal sanctions.

This system of checks and balances was central to the Founders’ ideal of a government that would not trample individual rights. Although the grand jury is not commonly considered an independent constitutional entity, it plays an important structural role in criminal law, where individual rights are particularly subject to encroachment. Just as constitutional structure provides each of the branches with the prerogative to check the others, the grand jury, with its robust discretion, checks the judicial, executive, and legislative branches and represents a structural protection of individual rights.

2. Federalism

The grand jury’s robust discretion also allows it to play a structural role by moderating federalism in the criminal law arena. The grand jury serves as a forum for local communities to express their views about federal criminal laws and enforcement priorities. The English experience was instructive for the American framers. The English grand jury, once a vehicle for the hegemony of centralized government, gradually became a vehicle of local input and power. Although criminal prosecutions were undertaken pursuant to the laws of the royal central government, grand juries were composed of members from the local community and “wielded tremendous authority in their power to determine who should and who should not face...
The colonial experience demonstrated that grand juries could recalibrate the balance of power between the central government and the colonies; colonial grand juries had a rich history of resisting perceived unjust expressions of royal authority through criminal prosecutions. Because of their discretionary power, colonial grand juries “enforced or refused to enforce laws as they saw fit.”

For those of the founding generation concerned about the potential aggrandizement of central governmental authority, the grand jury, much like the petit jury, represented a significant check on the federal criminal prosecution power. A grand jury could refuse to allow the prosecutor to enforce federal law because no prosecution could proceed within the confines of the grand jury’s district without its consent. For example, because no prosecutor could bring a serious federal criminal charge against a Virginian without an indictment from a grand jury of Virginians, there was a strong, localized counter to the power of the federal government. Thus, the grand jury offered local communities a say in how the federal criminal law would be used. Justice James Wilson recognized this very function when he described the late-eighteenth-century grand jury as “a great channel of communication, between those who make and administer the laws, and those for whom the laws are made and administered.”

\[\text{\textsuperscript{148}}\text{Younger, supra note 96, at 26.}\]
\[\text{\textsuperscript{149}}\text{See Shapiro, supra note 14, at 87 (noting politicization of grand juries shortly before the Revolution and stating that “[g]rand juries provided a means of frustrating the policies of imperial authorities. They sometimes refused to indict political offenders and prevented the enforcement of unpopular laws.”); Younger, supra note 96, at 28–29 (recounting instances of grand jury nullification in the colonies during the decades before the Revolution); supra notes 92–94 and accompanying text.}\]
\[\text{\textsuperscript{150}}\text{Younger, supra note 96, at 26; see also Leonard W. Levy, The Palladium of Justice: Origins of Trial by Jury 66–67 (1999).}\]
\[\text{\textsuperscript{151}}\text{See, e.g., United States v. Datcher, 830 F. Supp. 411, 413 (M.D. Tenn. 1993) (describing founding-era attitudes toward jury nullification), overruled by United States v. Chesney, 86 F.3d 564 (6th Cir. 1996).}\]
\[\text{\textsuperscript{152}}\text{See Younger, supra note 96, at 45–46; Washburn, supra note 49, at 2368–69.}\]
\[\text{\textsuperscript{153}}\text{See John P. Kaminski & C. Jennifer Lawton, Duty and Justice at “Every Man’s Door”: The Grand Jury Charges of Chief Justice John Jay, 1790–1794, 31 J. SUP. CT. HIST. 235, 242 (2006) (noting that, in the late 18th century, “[t]he district of the jurors was commensurate with the borders of the state”).}\]
\[\text{\textsuperscript{154}}\text{See Brenner, supra note 30, at 127 (“Grand juries are by nature parochial . . . and were designed to import a local, lay perspective on the legal significance of [local] activity.”); Pound, supra note 73, at 18 (“The will of the state at large imposed on a reluctant community . . . find[s] the same obstacle in the local jury that formerly confronted kings and ministers.”).}\]
\[\text{\textsuperscript{155}}\text{James Wilson, The Subject Continued—Of Juries, in 2 The Works of James Wilson 503, 537 (Robert Green McCloskey ed., 1967). To be sure, this communication channel worked both ways, as founding-era jurists utilized the grand jury charge as an opportunity to lecture captive audiences of prominent local citizens on political issues of the day. See Younger, supra note 96, at 47; cf. Kaminski & Lawton, supra note 153, at 240–50 (describing Chief Justice John Jay’s early grand jury charges).}\]
juries can send a message that a law or its application contradicts local values.\textsuperscript{156} Today, although views on federalism have shifted,\textsuperscript{157} there certainly remains some benefit to giving local communities input into federal criminal law enforcement priorities.

If the grand jury did not comfort those Framers concerned about use of federal criminal law as a tool for central government encroachment on state and local prerogatives, it should have. Indeed, the right to indictment by grand jury was a topic of discussion among states considering ratification of the Constitution partly because of fear of the central government’s power.\textsuperscript{158} At the time of the Founding, the grand jury was (and, at least in theory, it remains) a moderator of criminal law federalism. The grand jury’s robust discretion helps it serve this structural role.

As this Part reveals, grand jury nullification is not only consistent with the rule of law, but also buttresses the rule of law in important ways. The grand jury’s robust discretion did not result from historical accident; it is in the grand jury’s DNA and helps it to perform its intended role in the constitutional design.

\textsuperscript{156} Cf. Wenger & Hoffman, \textit{supra} note 76, at 1153–56 (discussing how petit jury nullification can perform a communicative function). However, it must be conceded that there are certain limits to the efficacy of this communicative function. As discussed below, it can be difficult to discern \textit{why} a grand jury declined to indict in a given case. Certain features of the grand jury, such as secrecy restrictions and the lack of double jeopardy protection, can hinder the actual dissemination of such a message beyond the prosecutors charged with enforcing the law. See \textit{infra} section III.B.4. Furthermore, the lack of a requirement of unanimity (twelve of the twenty-three grand jurors can derail an indictment) may frustrate efforts to discern what, if anything, one can learn from a divided grand jury’s failure to indict. See \textit{infra} subpart III.B.

\textsuperscript{157} There are obvious dangers posed to a federal system when local grand juries are in a position to nullify congressional statutes. See, e.g., United States v. Navarro-Vargas, 408 F.3d 1184, 1203–04 (9th Cir. 2005). Concerns arise when a local grand jury is in a position to frustrate national enforcement priorities or even the protection of oppressed minorities in local communities. While the author shares those concerns, grand juries, by their design and very nature, do have that power, whether it is one we think, from a normative standpoint, should be exercised in a given case. Also, there are certain features of the grand jury, such as the ability of prosecutors to obtain review by a subsequent grand jury, that make grand jury nullification less worrisome than petit jury nullification in this regard. See \textit{infra} section III.B.1.

\textsuperscript{158} See Clark, \textit{supra} note 41, at 19–20 (“The federal Constitution’s provisions were adopted not only because the grand jury had a key role in the Revolution but also because many colonists were fearful of creating a powerful central government that could arbitrarily use the criminal process against its political enemies.”); Younger, \textit{supra} note 96, at 45–46 (describing how ratifying conventions in Massachusetts, New York, and New Hampshire recommended amendment to include a grand jury requirement, which became part of the Fifth Amendment); Simmons, \textit{supra} note 3, at 12 (“When the original Constitution made no provision for grand juries, eight of the thirteen original states recommended that it be amended to ensure the right to a grand jury.”).
III
OPTIMIZING THE EXERCISE OF DISCRETION IN CRIMINAL JUSTICE

Another primary critique claims that the grand jury possesses unwarranted discretion relative to that of other actors in the criminal justice system. To the contrary, the grand jury’s discretion is at least as appropriate as the discretion afforded to other community justice actors. Furthermore, the grand jury is well equipped—in contrast to the petit jury and other discretion-wielding criminal justice actors—to exercise this sort of discretion.

A. Inventorying Discretion in Criminal Justice

Discretion is the backbone of the criminal justice system. The administration of criminal justice is not wooden and mechanical—there are far too many criminal laws and far too many offenders for society’s limited police, prosecutorial, judicial, and penological resources. Therefore, actors in the criminal justice system must exercise some discretion in deciding which individuals to arrest, prosecute, convict, and punish. In order to map the contours and relative advantages of the grand jury’s robust discretion, this subpart briefly explains how discretion, though subject to statutory and constitutional limits, undergirds the criminal justice process from beginning to end.

1. Executive Criminal Enforcement Policymaking

The Executive exercises tremendous discretion in setting policy regarding enforcement priorities. This takes two forms. First, the Executive may set policy on the criminalization of a certain type of conduct and work to persuade the Legislature to proscribe that conduct. Second, the Executive—from both a law enforcement and a prosecutorial standpoint—determines which criminal laws to enforce. For instance, a presidential administration hostile to laissez-faire approaches to market regulation might vigorously enforce anti-
trust laws to the detriment of other enforcement priorities. Likewise, an Executive with a strong gun-control position might exercise discretion to focus enforcement and prosecutorial resources on gun crimes.

2. Law Enforcement Discretion

Although investigating certain types of criminal activity involves collaboration between law enforcement officials and prosecutors, prosecutors will often be unaware of potentially criminal conduct until law enforcement officials bring it to their attention after an investigation is underway or even complete. Law enforcement personnel, therefore, exercise tremendous discretion to determine whether to investigate an individual or entity in the first place and, if they discover criminal conduct, whether to bring it to the prosecutor for a charging decision. Any criminal procedure hornbook recounts the discretion law enforcement officers wield in determining who to stop and frisk, question, or ask for consent to conduct more invasive searches. Although the Constitution and statutes highly regulate the manner in which law enforcement personnel conduct investigations, the decision to investigate an individual in the first instance is unchecked.

Once law enforcement personnel have investigated a person of interest, they must decide whether to detain and/or seek charges against that person. This exercise of discretion has perhaps the most profound impact on a putative defendant because it comes at the point when the person will or will not be entered into the “system.” Even where other actors exercise discretion later in the criminal justice process in the individual’s favor, the stigma of the investigation and arrest, many times memorialized in an arrest record, can have lasting effects. And while indications of possible criminal conduct—enough to satisfy the probable cause standard—will often

the President determines “what types of offenses merit the greatest attention, what resources will be allocated, and what cases will be prosecuted”).


163 Additionally, with respect to state law enforcement, prosecution, and trial, state constitutions may provide greater protection than the U.S. Constitution. See Robert F. Utter, State Constitutional Law, The United States Supreme Court, and Democratic Accountability: Is There a Crocodile in the Bathtub?, 64 Wash. L. Rev. 19, 27 & n.54 (1989).


165 See, e.g., Thomas, supra note 159, at 1047–48.

166 See, e.g., id. at 1048–49.
determine whether law enforcement will present a case to a prosecutor for a charging decision, other factors unrelated to the sufficiency of the evidence might drive this discretion. These factors include whether the individual might be a valuable asset to other investigatory activity, whether the individual is a prominent member of society, whether litigating the case would expose unconstitutional officer conduct to scrutiny, whether the case would advance the career of the investigating officer, and whether the case has received publicity.\textsuperscript{167} These and any number of other nonevidentiary factors, legitimate and illegitimate, may guide the virtually unfettered and unreviewable discretion of law enforcement officials.

3. Prosecutorial Discretion

Perhaps the broadest exercise of discretion occurs at the crucial charging stage.\textsuperscript{168} Prosecutors in individual cases exercise discretion when deciding whether to charge a defendant in the first instance,\textsuperscript{169} and such discretion is virtually unfettered.\textsuperscript{170} The prosecutor can decide whether to charge an individual on any number of grounds. Often whether there is, or will likely be, enough admissible evidence to obtain a conviction will factor prominently in the prosecutor’s decision to charge. For example, the resolve of a whistleblower or complaining witness, the credibility of the investigating law enforcement officer, or the availability of documentary, forensic, or other physical evidence will drive the prosecutor’s discretion.

However, prosecutors just as often will decide whether to charge based on factors other than the sufficiency of the evidence.\textsuperscript{171} In ex-
ercising discretion whether to charge a defendant, a prosecutor might ask a host of nonevidentiary questions including whether the defendant is a recidivist or is likely to offend again, whether the prosecutor has a heavy caseload at the time, whether the type of case is career advancing, whether the case has received publicity, whether the victim is vocal and empowered, whether the investigating law enforcement agency is pleasant to work with, whether the case has jury appeal, whether a matter is more appropriately prosecuted by a different sovereign or handled as a civil matter, and whether the criminal conduct is a priority area for the prosecutor’s superiors. While some of these bases seem more legitimate than others,\textsuperscript{172} all are typical grounds for prosecutors’ exercise of their unfettered charging discretion.\textsuperscript{173}

Beyond that initial decision \textit{whether} to charge, prosecutors make many other important discretionary judgments.\textsuperscript{174} Obviously, where a defendant’s conduct implicates multiple criminal statutes, a prosecutor must decide which crimes to charge.\textsuperscript{175} And once the prosecutor...
charges the defendant with those crimes, it is within the discretion of the prosecutor to decide whether to dismiss some or all of the charges previously lodged.\textsuperscript{176} As with the decision to charge, each of these later prosecutorial decisions is marked by discretion that is, in most instances, unreviewable.\textsuperscript{177}

4. Petit Jury Discretion

As discussed above, the petit jury in a criminal case is tasked with determining whether the government has proven each element of the crimes charged beyond a reasonable doubt, but also has the power to acquit on bases other than the sufficiency of the evidence.\textsuperscript{178} Several features of this power bear repeating. Although judges instruct petit juries on the law and acting contrary to such instruction is generally disfavored, there are effectively no controls on a petit jury’s ability to exercise its discretion on bases beyond sufficiency of the evidence.\textsuperscript{179} Therefore, even where the government has presented evidence establishing the defendant’s guilt beyond a reasonable doubt, a petit jury can nevertheless use its discretion to acquit.\textsuperscript{180} Petit juries, like grand juries, can exercise this discretion for virtually any reason at all, from disagreement with the wisdom or fairness of the criminal statute to bias toward the accused or hatred of the victim.\textsuperscript{181} Also, a sole member of a petit jury can frustrate a prosecution, as the federal system and most states require unanimity for conviction.\textsuperscript{182} Most impor-
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tantly, because the Double Jeopardy Clause prohibits retrial following acquittal, the petit jury can forever shield a defendant from liability for an alleged crime. The petit jury’s discretion in this regard is unfettered and unreviewable.

5. Judicial Discretion

Judicial officers—magistrate judges, trial judges, and sentencing judges—also exercise significant discretion in the criminal justice process. Although the discretion of judicial officers based on nonevidentiary bases is, in many ways, much more constrained than that of law enforcement officers, prosecutors, and petit juries, some characteristics of judicial discretion deserve mention.

Magistrate judges must decide whether the government has presented sufficient evidence for probable cause to support an arrest warrant and for charges to proceed. In cases not requiring grand jury indictment, this may be the only determination regarding the sufficiency of the evidence prior to the fact finder at trial reaching a verdict of conviction or acquittal. Although the law explicitly charges magistrate judges with determining whether the government has presented evidence sufficient to satisfy probable cause, magistrate judges can ground such findings on bases other than the sufficiency of the evidence. Perhaps a magistrate judge doubts the credibility of the investigating officer or the prosecutor even though the magistrate judge has no specific knowledge of misconduct in the case at bar. The magistrate judge can simply find that the government has not met its burden of probable cause. Or a magistrate judge could dismiss charges because of disagreement with the enforcement priorities of the law enforcement agency or prosecutor’s office, or belief that the particular defendant should not be prosecuted for reasons unrelated to require unanimous verdicts in criminal cases. See, e.g., James Q. Whitman, The Origins of Reasonable Doubt: Theological Roots of the Criminal Trial 22 (2008); Edward P. Schwartz & Warren F. Schwartz, And So Say Some of Us . . . What To Do When Jurors Disagree, 9 S. Cal. Interdisc. L.J. 429, 429 (2000).

183 See, e.g., Smith v. Massachusetts, 543 U.S. 462, 466–67 (2005). Of course, pursuant to the “dual sovereignty” doctrine, a second sovereign may bring a successive prosecution for acquitted conduct. See, e.g., Barikus v. Illinois, 359 U.S. 121, 132–34 (1959). However, the U.S. Department of Justice has internal guidelines, commonly referred to as the “Petite Policy,” to guide federal prosecutorial discretion with regard to the decision to initiate a prosecution for conduct previously prosecuted under the law of another sovereign. See, e.g., Rinaldi v. United States, 434 U.S. 22, 27–29 (1977); U.S. Attorneys’ Manual, supra note 175, § 9-2.031 (discussing the policy on dual and successive prosecution).

184 See Fed. R. Crim. P. 3, 4, 5.1, 41. In capital and other felony cases, where the Grand Jury Clause requires indictment, the magistrate judge often may be called upon to make a probable cause determination should the grand jury not issue an indictment within a certain time frame. See, e.g., id. 5.1.

185 See id. 5.1(e).
to the quality and quantity of the evidence. To be sure, the prosecutor has some recourse and can simply present the case to another judicial officer or seek an indictment from a grand jury to obviate the need for the judicial officer’s finding.\textsuperscript{188} Prosecutors are often loathe to resort to these techniques, however. They are often repeat players before magistrate judges and may wish to avoid sidestepping their authority out of fear of alienating them.\textsuperscript{189}

Arguably, trial judges sitting as fact finders in bench trials have the same power to nullify that petit juries have.\textsuperscript{190} In fact, because trial judges have such broad experience across numerous cases in both fact-finding and sentencing roles, they may perceive themselves as better equipped to make “just” decisions on bases beyond sufficiency of the evidence.\textsuperscript{191} Even a trial judge presiding over a jury trial has the discretion to grant a motion for judgment of acquittal or enter judgment of acquittal \textit{sua sponte}.\textsuperscript{192} While such “directed verdicts” are supposed to be based solely on the quantum of evidence presented by the government, a judge could acquit a defendant on one or all charges on bases other than the sufficiency of the evidence. A judge who acquits a defendant during a bench trial or enters a judgment of acquittal in a jury trial exercises unfettered and unreviewable discretion\textsuperscript{193} because of the strictures of the Double Jeopardy Clause.\textsuperscript{194}

\textsuperscript{188} See id. 5.1.


\textsuperscript{191} See, e.g., Leipold, \textit{supra} note 16, at 200–18 (evaluating the hypothesis that judges may acquit more frequently when faced with having to impose severe sentences compelled by strict sentencing guidelines regimes). However, as Professor Robinson points out, there are barriers associated with the socioeconomic and educational background and institutional role of most judges that may make them less well equipped to make such normative judgments. See Paul H. Robinson, \textit{Legality and Discretion in the Distribution of Criminal Sanctions}, 25 \textit{Harv. J. on Legis.} 393, 416–419 (1988).

\textsuperscript{192} See \textit{Fed. R. Crim. P.} 29(a).


\textsuperscript{194} See Smith v. Massachusetts, 543 U.S. 462, 466–67 (2005). Generally, the government cannot appeal a judgment of acquittal entered by a trial judge. The only exception is when the trial judge enters a judgment of acquittal after a jury has voted to convict. In that instance, the government can appeal the judgment of acquittal. See \textit{id.} at 467.
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Furthermore, the sentencing judge has an obvious discretionary role to play.\(^\text{195}\) Although the legislatively prescribed limits of punishment cabin this discretion, sentencing discretion has, for much of the nation’s history, given judges broad latitude to determine sentences.\(^\text{196}\) Indeed, the perceived unfairness of the broad discretion inherent in indeterminate sentencing was an impetus for the promulgation of the Federal Sentencing Guidelines in the 1980s.\(^\text{197}\) Now that the Supreme Court has rendered those guidelines advisory,\(^\text{198}\) judges have regained discretion to sentence convicted criminal defendants within statutory confines.\(^\text{199}\)

\(^{195}\) See Walker, supra note 77, at 117–18; Easterbrook, supra note 168, at 322–25. In addition to the initial sentencing decision, judges in the federal and some state systems have discretion to revisit the imposed sentence after a period of time. See, e.g., Fed. R. Crim. P. 35(b)(1) (allowing judges to modify a sentence for a defendant’s “substantial assistance” with other criminal investigations); Md. R. § 4-345 (allowing court to reduce a sentence within a set period of time).


\(^{199}\) Shortly after Booker, it remained to be seen how much discretion the Supreme Court had returned to sentencing judges, as sentences still were subject to appellate review for “reasonableness.” See, e.g., Nancy J. King, Reasonableness Review After Booker, 43 Hous. L. Rev. 325, 325–26 (2006) (accounting for sentences that fall within or without the Guidelines range). In 2007, the Court, in what fairly can be characterized as two landmark decisions, made clear that district judges indeed enjoyed much greater sentencing discretion after Booker. See Gall v. United States, 128 S. Ct. 586, 597 (2007) (holding that appellate courts must apply more deferential abuse-of-discretion standard when reviewing sentences for reasonableness, whether or not the sentence is within the advisory Guidelines range); Kimbrough v. United States, 128 S. Ct. 558, 574 (2007) (holding that the crack versus powder cocaine disparity contained in the advisory Guidelines is not mandatory and reasonably may be considered by the judge when fashioning an out-of-Guidelines sentence); Kate Stith, Arc of the Pendulum: The Exercise of Discretion in Sentencing, 117 Yale L.J. (forthcoming 2008); Linda Greenhouse, Justices Restore Judges’ Control over Sentencing, N.Y. Times,
6. Executive Mercy Discretion

Finally, the Executive also exercises unchecked discretion through its clemency and pardon power. Parole boards, often appointed by (and loyal to) the Executive, possess broad discretion to shorten the sentences of convicted defendants. Executive clemency is perhaps the starkest example of absolute discretion in the criminal justice process. In the federal system and in many states, the Executive has the unconditional power to commute the sentence of a criminal defendant—even one condemned to death. When deciding whether to pardon a defendant or grant clemency, the executive branch often relies on recommendations of a formal commission or informal advisors, and decides on a careful weighing of factors such as evidence of the defendant’s redemption, views of the victim or the victim’s family, and the public interest. Pardons often come with strings attached and require the pardoned individual to comply with certain conditions. However, the decision to pardon, entrusted to the President by Article II in the federal system, can be made for any reason at all. Although the Executive’s decision to exercise (or not exercise) the pardon and clemency powers often encounter great
controversy, this exercise of discretion cannot be reviewed or overturned.

A close look at the discretion that the criminal justice system affords to other actors reveals that the grand jury’s robust discretion is not unusual. In many ways, the grand jury’s discretion is no greater than that of the law enforcement officer, the prosecutor, or the judge. Many of these other criminal justice actors are empowered to make dispositive decisions based on considerations beyond a bare sufficiency of the evidence analysis. As noted above, various nonevidentiary considerations may compel a certain decision when actors exercise discretion at other points during the criminal justice process. Although one may find greater comfort, for instance, in exercises of discretion by law enforcement and prosecutors than in the dispositive discretionary choices made by fact-finding judges and juries, the fact remains that significant discretion is a common and integral feature of the entire criminal justice process.

Furthermore, many of these dispositive exercises of discretion are completely unreviewable or at least not reviewable in any meaningful sense. Attempts to review petit jury acquittals, judicial acquittals, and executive pardons are futile; the Constitution, by operation of the Double Jeopardy Clause and the pardon power, renders these deci-

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208 See King, supra note 143, at 455 & n. 95–96; Markel, supra note 42, at 1458.

209 See, e.g., Roscoe Pound, Criminal Justice in Cleveland 569 (1922) (placing the “power of the grand jury to ignore the charge” among all the other discretionary judgments made throughout the criminal process).

210 See, e.g., United States v. Asdrubal-Herrera, 470 F. Supp. 939, 942 (N.D. Ill. 1979) (“Just as a prosecutor can, in the exercise of discretion, decline prosecution in the first instance, a grand jury can return a true bill or a no bill as they deem fit.”); Robert T. Hall, Legal Tolerance of Civil Disobedience, 81 ETHICS 128, 132–35 (1971) (discussing the different forms of discretion for law officers, prosecutors, and judges); Thomas, supra note 159, at 1044–45 (discussing the broad discretion of police officers and prosecutors); Weinstein, supra note 56, at 246–47 (“Compared to prosecutorial nullification, grand jury refusal to indict . . . [is] of minor significance.”).

211 Cf. Brown, supra note 4, at 1189–90. As Professor Brown explains in the context of petit jury nullification:

We fully accept that prosecutors have discretion to apply criminal law or not according to their own judgment, into which they are readily allowed to consider moral or social policy factors well beyond the facts’ relation to the statutory elements. Rare is the contention that prosecutorial discretion is “lawless,” as opposed to merely ill-advised. Yet a jury making essentially the same judgment—thus double-checking the prosecutor’s choice by deciding whether it finds compelling reasons to nullify rather than endorse the prosecutor’s application of law—faces the traditional objections of bias, irrationality, or subversion of the democratic process.

Id.

212 See supra notes 202–03.
sions unreviewable.\footnote{213} Also, while the Executive answers to the citizenry through the ballot, the structure of the professional civil service means that career law enforcement agents and prosecutors exercise most on-the-ground discretion.\footnote{214} Even considering the setting of broad criminal justice policy, which is more likely to bear the strong imprint of elected decision makers sensitive to political consequences, the nature of the democratic process may not lend itself to meaningful policy dialogue between those in power and the populace.\footnote{215}

And even where review is theoretically available within the judicial process, as with pretrial probable cause determinations\footnote{216} and sentencing decisions,\footnote{217} barriers to review often exist in all but the most extraordinary cases. When appeals are available, they are often slow and require great resources—sometimes more than government actors are willing to devote. As mentioned above, law enforcement investigatory and prosecutorial charging decisions are largely unregulated, as well.\footnote{218} Although the Fourth Amendment and the Equal Protection Clause provide some parameters for this discretion, numerous hurdles exist. For example, the Supreme Court has been fairly rigid and formalistic in responding to attempts to limit discretion with regard to racial profiling.\footnote{219} Even where the source of a remedy for an unconstitutional exercise of discretion clearly exists, it is difficult to achieve redress. Equal protection challenges to exercises of prosecutorial and investigatory discretion are notoriously difficult to bring and to prove; many would consider even gaining access to dis-

\footnote{213}See Smith v. Massachusetts, 543 U.S. 462, 466–67 (2005) (holding that the Double Jeopardy Clause “prohibits reexamination of a court-decreed acquittal to the same extent it prohibits reexamination of an acquittal by a jury verdict”); Conn. Bd. of Pardons v. Dumschat, 452 U.S. 458, 464 (1981) (“[P]ardon and commutation decisions have not traditionally been the business of courts; as such, they are rarely, if ever, appropriate subjects for judicial review.”).

\footnote{214}See Goldstein, supra note 164, at 178 (“Police decisions not to invoke the criminal process largely determine the outer limits of law enforcement.”). But see Bruce A. Green & Fred C. Zacharias, “The U.S. Attorneys Scandal” and the Allocation of Prosecutorial Power, 69 Ohio St. L.J. (forthcoming 2008) (manuscript at 6–7), available at http://ssrn.com/abstract=1015026 (discussing control of subordinate career prosecutors by political superiors). It should be noted, as Professor Fiss reminds, that although United States Attorneys are appointed by the President, they typically are put forward by the home-state Senators, who are elected at the state level. Therefore, the United States Attorneys “are very responsive to local politics.” Fiss, supra note 48, at 137.


\footnote{216}Fed. R. Crim. P. 5.1.

\footnote{217}See Fed. R. Crim. P. 35.

\footnote{218}See supra sections III.A.2, III.A.3.

covery a victory.\textsuperscript{220} Furthermore, tort actions against decision makers are often futile in the face of high litigation costs, discovery restrictions, and qualified or absolute immunity.\textsuperscript{221}

B. The Grand Jury as a Locus of Robust Discretion

Therefore, many \textit{dispositive} exercises of discretion by criminal justice actors are or can be based on considerations other than the sufficiency of the evidence. Furthermore, these exercises of robust discretion are not reviewed and, in some cases, \textit{cannot} be reviewed. Given the amount of unchecked discretion that other actors in the criminal justice system enjoy, query whether we should be concerned about the grand jury exercising such discretion. Indeed, in many ways the grand jury is the best equipped of all the criminal justice actors to exercise such discretion.

1. Safety Valve

First, an important feature attendant to the grand jury’s robust discretion is that grand jury decisions, unlike those of the petit jury, do not enjoy Double Jeopardy Clause protection. Generally, a grand jury’s decision not to indict a potential defendant is not dispositive.\textsuperscript{222} Assuming there are no statute of limitations concerns,\textsuperscript{223} the prosecutor can simply present the case to another grand jury and attempt to obtain an indictment.\textsuperscript{224} While prosecuting agencies may self-regulate their abilities to present cases to successive grand juries,\textsuperscript{225} no constitutional provision prohibits such actions.\textsuperscript{226}

One cannot overstate the importance of the fact that a subsequent grand jury may review a prior grand jury’s decision to decline indictment. Whether a grand jury acts from an improper motive or simply frustrates a law enforcement priority, the grand jury’s nullifica-


\textsuperscript{222} See, e.g., 2 BEALE ET AL., \textit{supra} note 1, § 8:6 (2005 & Supp. 2007); GEORGE J. EDWARDS, JR., \textit{The Grand Jury} 42 (1906) (“[I]f the grand jury improperly reject a bill, it is still competent for the district attorney to lay the matter before a subsequent grand jury, which may act otherwise. The ability of the grand jurors to work harm by the abuse of their power is, therefore, more fancied than real.”).

\textsuperscript{223} See, e.g., 18 U.S.C. § 3282 (2000) (“[N]o person shall be prosecuted, tried, or punished for any offense, not capital, unless the indictment is found . . . within five years next after such offense shall have been committed.”).

\textsuperscript{224} See United States v. Williams, 504 U.S. 36, 49 (1992) (“The Double Jeopardy Clause of the Fifth Amendment does not bar a grand jury from returning an indictment when a prior grand jury has refused to do so.”).

\textsuperscript{225} See U.S. ATTORNEYS’ \textit{Manual}, \textit{supra} note 173, § 9-11.120(A) (requiring approval by a United States Attorney before resubmission of the matter to a new grand jury).

\textsuperscript{226} See Williams, 504 U.S. at 49.
tion may send a message to the government but does not permanently block a prosecution.227 This represents a significant difference from the petit jury’s nullification power because the Double Jeopardy Clause shields an accused individual from criminal liability for the alleged conduct forever.228 Therefore, the grand jury features a concomitant safety valve to protect against gross abuse of its discretion.

2. Enhanced Deliberation of the Grand Jury

Also, the grand jury’s unique characteristics may offer higher quality deliberation than that of other actors in the criminal justice system. Because the grand jury sits for an extended period of time and has no oversight of its pace of decision making, it does not have the time pressures that other criminal justice actors face.229 A law enforcement agency may respond to public pressure to quickly apprehend an individual, and a prosecutor may feel the need to charge a suspect promptly. Executive clemency and pardon decisions often occur in the last days of a chief executive’s term, amidst a whirlwind of other activity.230 Even a petit jury knows that the court and the parties are waiting for a verdict; a court often will interpret extended jury deliberations as a sign of futility or deadlock.231 In contrast, the grand jury may deliberate on the merits of the prosecution for as long as it desires—limited only, perhaps, by the prosecutor’s patience232 or the expiration of the grand jury’s term.233 This lack of pressured, heat-of-the-moment decision making may enhance the quality of the grand jury’s deliberation.234

227 As discussed below, the fact that a prosecutor may press ahead with a prosecution through another grand jury may somewhat dilute the grand jury’s communicative ability. See infra Part III.
228 See, e.g., Smith v. Massachusetts, 543 U.S. 462, 466–67 (2005). But see Leipold, supra note 57, at 259 (arguing for “error-correcting procedures” in jury trials, including a right of appeal from acquittals).
229 See 1 BEALE ET AL., supra note 1, § 4:12.
231 See, e.g., Allen v. United States, 164 U.S. 492, 501 (1896) (endorsing a charge to a deadlocked jury designed to prompt resolution of deliberations).
232 See 1 BEALE ET AL., supra note 1, § 4:12. Of course, the prosecutor does have considerable influence by regulating the pace at which the grand jury hears the evidence. See id.
233 See Fed. R. Crim. P. 6(g). Even when a grand jury’s term expires, the prosecutor may present the matter to a new grand jury. One can find a recent example of this in the empanelment of a successor grand jury believed to be investigating circumstances surrounding baseball great Barry Bonds after the first grand jury’s term expired in July 2006 amidst much anticipation. See Dave Sheinin, A New Grand Jury Imppaneled for Bonds, Wash. Post, July 21, 2006, at E5. The government empaneled a successor grand jury to continue the investigation. See id.
234 Of course, this is not to say that a grand jury may not be cognizant of the same public pressures that bear on other criminal justice actors. See CLARK, supra note 41, at 23. (“The grand juries in more recent times have continued to reflect responsiveness to . . . executive pressure that labels one or another group as . . . deserving of indictment.”).
Closely related to the luxury of time is the fact that grand jurors work together for a significant period, in some instances twenty-four months. Unlike petit juries, which join together for one discrete case and then disband, grand juries meet consistently for an extended period of time. This contact certainly generates synergies and familiarity that can enhance the decision-making process. When jurors spend more time together, they may create an environment in which the deliberating grand jury recognizes and considers each juror’s unique perspective. Unlike most discretion-wielding actors in the criminal process, grand juries are drawn from the citizenry and represent the voice of the community. Furthermore, the grand jury, which is roughly twice the size of the traditional petit jury, might benefit more from the cross-sectional ideal of deliberative juries than does the trial jury.

Grand jurors considering an indictment associated with a notorious criminal act, such as the killing of a child or terrorist activity, may feel the same compulsion of expediency that other actors who usually operate under more substantial and direct time constraints also feel.

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235 See Fed. R. Crim. P. 6(g).
236 See 1 Beale et al., supra note 1, § 4:12.
237 See Robinson, supra note 191, at 416 (noting that the fact that petit juries sit for only one case and then disband is an obstacle to “consistently applying abstract, normative standards”).
238 See Brenner, supra note 30, at 81 (“The frequency with which grand juries are convened carries implications for . . . enhanced community voice.”).
239 See, e.g., id.
241 See, e.g., John Guinther, The Jury in America 89–95 (1988) (surveying empirical studies concerning sources of trial jury bias); Jeffrey Abramson, Two Ideals of Jury Deliberation, 1998 U. Chi. Legal F. 125, 125 (referencing the jury as an institution often considered to “embod[y] the ideal of using collective reasoned discussion to attain a common verdict”); Forde-Mazrui, supra note 49, at 360–61 (1999) (discussing benefits of representative juries); Jason Mazzone, The Justice and the Jury, 72 Brook. L. Rev. 59, 59 (2006) (querying whether larger juries might bring about a net gain in “participatory” benefits); cf. Ballew v. Georgia, 435 U.S. 223 (1978) (reviewing scholarly studies on petit jury size); Guinther, supra, at 76 (describing criticism that smaller petit juries are “less representative of the community”). But see Guinther, supra, at 78–79 (noting research suggesting that smaller juries have smoother and more cordial deliberations). Even with the larger number of jurors, however, there may be a concern that a grand jury may not be sufficiently representative to claim to be the voice of the community. See Jon Van Dyke, The Grand Jury: Representative or Elite?, 28 Hastings L.J. 17, 41–44 (1976) (discussing potential grand jury manipulation). Historically, society has considered the grand jury an elite body of (usually) men, chosen by a “key man” who recommended each grand juror for service. See Jeffrey Abramson, We, the Jury: The Jury System and the Ideal of Democracy 99–100 (Harvard Univ. Press 2000) (1994). Although reforms have abolished such a system, see 28 U.S.C. § 1861 (2000), questions remain as to whether practical impediments stand in the way of true cross-representation in the grand jury. For example, the length of time that many grand juries must serve—eighteen months—conceivably could limit the demographic group from which grand jurors are drawn; even though grand juries meet only a few days each month, missed workdays may have a harsher impact on those lower on the economic scale. Also, the fact that grand jurors are drawn from far-ranging geographic areas means that they do not represent a “community” in any meaningful sense. See gener-
3. **Enhanced Access and Exposure to Information**

Another benefit of grand juries’ extended service relates not to its length of service but rather to its volume of cases. While there are grand juries essentially dedicated to the investigation of a single category of alleged criminal conduct or to the investigation of a single individual or entity, most grand juries gain exposure to a wide array of criminal cases during a term of service.242 Because grand juries are repeat players, they may obtain a broad sense of important issues, including the government’s enforcement priorities, the characteristics of a sample of the individuals whom the prosecutor refers for indictment, and the prosecutor’s charging decisions over a large group of cases.243 In this way, the grand jury, unlike the petit jury, is well positioned to see the big picture regarding criminal justice policy in a particular jurisdiction and to factor that policy into its decision making in a more informed manner.244

The grand jury also enjoys access to a broader swath of evidence than do most other criminal justice actors.245 One of the criticisms of petit jury nullification claims is that evidentiary rules deny jurors access to all of the information that a reasoned nullification decision requires.246 However, as the Supreme Court famously recounted, the grand jury, on behalf of the public, “has a right to every man’s evi-
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The grand jury may subpoena any person to testify about any subject and to produce any item. No hearsay restrictions limit the evidence that the grand jury can hear. Furthermore, there are very few constitutional barriers to a grand jury’s reception of evidence. Unlike how it operates in the petit jury context, the exclusionary rule does not suppress evidence to be submitted to the grand jury. Also, although constitutional and some common law privileges are valid against a grand jury subpoena for testimony and tangible evidence, these can be (and often are) defeated by the provision of immunity to the subpoenaed witness. Most importantly, although anecdotal evidence compels the conclusion that the grand jury often passively receives the evidence that the prosecutor wants it to see, the grand jury can use its tremendous subpoena power to seek any information it desires—whether or not the prosecutor concurs. Potential access to unlimited and unfiltered information certainly places the grand jury in a unique position to exercise robust discretion.

252  See, e.g., Brenner, supra note 30, at 99–100 (describing grand juries that act as the “passive collaborator of a prosecutor”). Grand jury subpoenas are technically issued under the auspices of the grand jury. See 1 Beale et al., supra note 1, § 6:2. However, prosecutors typically issue grand jury subpoenas to witnesses sua sponte without the input of the grand jury. See Brenner, supra note 30, at 68 (“American grand jurors generally rely on a prosecutor to present evidence to them . . . .”).
253  See 1 Beale et al., supra note 1, § 4:14. The question remains how the grand jury is to learn that it has this broad subpoena power. Also, one should note that the grand jury has to rely on the contempt power of the judiciary to enforce its subpoenas, as the grand jury has no independent means of compelling compliance. See Fed. R. Crim. P. 17(g).
254  See Brenner, supra note 30, at 83–86. A seventeenth-century observer of the grand jury noted that it was much better situated than the petit jury to exercise discretion because of its ability to “send for persons, or Papers.” Shapiro, supra note 14, at 70 (quoting John Somers, The Security of English-Men’s Lives: Or the Trust, Power and Duty of Grand Juries of England 86 (London, J. Almon 1761) (1681)). Although no known study examines how often self-initiated grand jury investigative requests occur, the process of grand jury requests for additional evidence can be fairly informal and requests often are simply routed through the prosecutor. Occasionally, instances of grand jury investigative initiative come to light despite the opacity of grand jury secrecy barriers; such motivated grand juries often will draw the pejorative label “runaway grand jury.” See, e.g., Beall, supra note 44, at 617.
4. Secrecy

Finally, the secrecy of the grand jury’s deliberations enhances the quality of its decision making. The Federal Rules of Criminal Procedure cloak the grand jury in complete secrecy; nonwitness participants may not disclose any aspect of the grand jury’s work, including the identity of the grand jurors and any “matter[s] occurring before the grand jury.”255 This secrecy rule performs a number of functions by preserving the integrity and confidentiality of criminal investigations and protecting the identity, safety, and reputation of witnesses, targets, and unindicted subjects.256 Secrecy also shields the grand jury’s exercise of discretion from public glare, thereby minimizing the possibility that grand jury members will feel compelled to base their decisions on concerns about immediate public backlash in a given case.257 Thus, secrecy can lead to greater reflection and richer, more sincere deliberation.

Of course, grand jury secrecy also raises a number of problems. Rules against disclosure of grand jury matters can frustrate the communicative function of the grand jury’s discretion.258 Messages that the grand jury intended for various parts of the governmental structure might be lost in the web of secrecy regulations or not passed to higher-ranking decision makers by the prosecutor.259

Furthermore, we have come to expect transparency and accountability in a free and democratic society. The same secrecy that can enhance the quality of deliberations also reduces accountability and transparency—core values associated with legitimate discretionary judgments.260 Certainly, it is fair to argue that grand jurors have no accountability whatsoever because they are unelected and operate in secret. Furthermore, the secrecy of their deliberations runs counter to our preference for transparency in the judgments of discretion-

257 See, e.g., United States v. Navarro-Vargas, 408 F.3d 1184, 1201 (9th Cir. 2005). Of course, grand jurors are often cognizant of strong public sentiment about the desirability of a certain prosecution and may act accordingly. However, were a grand jury to resist this pressure, it would do so knowing that the identities of the grand jurors would remain secret. See id.
258 See id. at 1201–02.
259 See id.
wielding actors.\textsuperscript{261} Despite our preference for transparency and accountability, however, the grand jury was meant to operate in secrecy and to be unaccountable—if not to the community,\textsuperscript{262} then certainly to the governmental structure.\textsuperscript{263} Indeed, these features of the American grand jury were part of its original design.

Accountability concerns exist regarding other criminal justice actors with similar discretion. Although the grand jury certainly does not have the direct or indirect electoral accountability of other criminal justice actors,\textsuperscript{264} that electoral accountability is often fairly detached—if it exists at all. Law enforcement officers answer to publicly accountable political appointees at the top of the organizational chart, but the average law enforcement officer does not face such pressure on a daily basis.\textsuperscript{265} Much of the same can be said with regard to line prosecutors.\textsuperscript{266} Federal judges and some state judges enjoy lifetime tenure and, therefore, are not subject to electoral accountability at

\textsuperscript{261} See Fenster, supra note 260, at 910–11. The cover of secrecy might empower a grand jury nullifying for so-called improper motives to do so without public scrutiny or accountability. The grand jury has certainly been a two-edged sword in this regard. For example, secrecy rules can enable jurors to act contrary to broader public opinion and avoid decisions motivated by race prejudice, something that might be difficult for petit jurors to do because their identities and decisions are exposed to the community. \textit{Cf.} O’BRIEN, supra note 49, at 185 & n.14 (noting swiftness of the grand jury proceedings and grand jurors’ isolation from the broader community during deliberation as central factors to securing a rare indictment in a 1942 Mississippi lynching case). Likewise, the grand jury’s anonymity and unqualified power to decline to indict has created a situation ripe for manipulation by those who would use the nullification power to protect those accused of using murder and violence to oppress racial minorities. See United States v. Cox, 342 F.2d 167, 190 (5th Cir. 1965) (Wisdom, J., concurring specially); BLANCHE DAVIS BLANK, THE NOT SO GRAND JURY 6 (1993) (“[M]embers of the Ku Klux Klan were often protected by Southern grand juries against indictment under the Civil Rights Acts”); Brown, supra note 4, at 1171; Leipold, supra note 1, at 309.

\textsuperscript{262} At certain times, grand jurors were chosen for service in ways that may have affected the grand jury’s accountability. Under one such method, the “key man” system, individuals (mainly men) were specifically selected for service on the grand jury because of their stature in the community. See ABRAMSON, supra note 241, at 99–100. The Jury Selection and Service Act, passed by Congress in 1968, rendered the “key man” method illegal. See 28 U.S.C. § 1861 (2000).

\textsuperscript{263} See supra Part II. Indeed, the Framers were likely familiar with the late seventeenth-century English experience of judges fining and jailing grand juries with whose decisions they did not agree. See SHAPIRO, supra note 14, at 55–56.

\textsuperscript{264} See United States v. Navarro-Vargas, 408 F.3d 1134, 1203 (9th Cir. 2005) (observing that executive, prosecutorial, and court-made determinations that certain laws are unwise or unconstitutional are public and subject to review).

\textsuperscript{265} See Bibas, supra note 260, at 923 (explaining that “[m]uch of the criminal justice system is hidden from [the public’s] view” and noting that the public is unaware of many of the decisions that law-enforcement officers make on a daily basis).

\textsuperscript{266} See, e.g., Navarro-Vargas, 367 F.3d at 902 (Kozinski, J., dissenting) (describing the lack of electoral accountability for federal prosecutors). Perhaps the policy pronouncements from the Deputy Attorney General in the wake of the politically sensitive corporate scandals of the late 1990s provide a counterexample. See, e.g., Memorandum from Larry D. Thompson, Deputy Attorney Gen., to the Heads of Dep’t Components, U.S. Attorneys (Jan. 20, 2003), available at http://www.usdoj.gov/dag/cftf/corporate_guidelines.htm (set-
Petit juries, of course, have no electoral accountability either. And while executive policymaking in the criminal justice area is theoretically subject to electoral accountability, concrete discretionary judgments, such as late, final-term pardons, are often timed to avoid such accountability. The grand jury, though not accountable to the electorate in any concrete sense, is no less accountable than many of the criminal justice actors who wield similar discretion.

Furthermore, given the grand jury’s unique role, one can make a colorable argument that its lack of electoral accountability is desirable. The grand jury’s independence from electoral politics might best complement its role of checking the three branches of government and providing cross-sectional feedback on the wisdom of criminal justice policy. Recent scholarship has illuminated many impediments to the political structure’s ability to pass effective and prudent crime-control measures—or to repeal bad ones. As it can in other areas, special interest advocacy in criminal justice policymaking sometimes diminishes the influence of voters. Perhaps the grand jury’s freedom from electoral accountability enhances its distinctive function of helping to shape criminal justice policy with greater input from the citizenry.

Although the grand jury’s secrecy renders its exercises of discretion nontransparent, the discretion of other criminal justice actors likewise lacks significant transparency. The public is typically not privy to law enforcement decisions whether to investigate, apprehend, or refer an individual for charges. Sometimes law enforcement maintains investigative notes and records that the public can conceivably forth a revised set of principles for prosecutors deciding whether to bring charges against a business organization).


But see Navarro-Vargas, 408 F.3d at 1203 (arguing that prosecutors and courts are accountable for their actions because they act transparently when determining that a law is unwise or unconstitutional).

See, e.g., Symposium, Overcriminalization: the Politics of Crime, 54 Am. U. L. Rev. 541 (2005). But see Bonfield, supra note 175, at 390 (noting “reluctance among legislators to repeal existing enactments”); Brown, supra note 5, at 256–61 (noting that policymakers in the state systems, where the vast majority of American criminal law enforcement takes place, are more democratically responsive than their counterparts in the federal system); Craig S. Lerner, Legislators as the “American Criminal Class”: Why Congress (Sometimes) Protects the Rights of Defendants, 2004 U. Ill. L. Rev. 599, 613, 622–27 (2004).
bly review through a Freedom of Information Act request\textsuperscript{274} or a litigation discovery request\textsuperscript{275} In most nonlitigation instances, however, the discretionary judgments of law enforcement officials never receive any public scrutiny.\textsuperscript{276} Similarly, prosecutors often make discretionary judgments about whether and what to charge without disclosing their rationale or, in cases where they decline to prosecute, their conclusion.\textsuperscript{277} Although well-publicized cases exist as obvious exceptions, prosecutors make the vast majority of their charging decisions without any opportunity for public review.\textsuperscript{278}

The public cannot force petit juries to discuss their deliberations, and it is difficult to obtain information regarding jury deliberations even where there exists suspicion of jury tampering or misconduct.\textsuperscript{279} Therefore, unless individual jurors voluntarily discuss their thought processes, their collective exercise of discretion—aside from the ultimate conclusion—is completely nontransparent. Likewise, judges who acquit defendants in bench trials or enter a judgment of acquittal in jury trials may render their judgments without stating the reasons underlying the decision, except for a reference to the governing standard of proof.\textsuperscript{280} Here again, although the evidence in the case is obviously public, the decision to acquit (and thus forever shield from criminal liability) a particular defendant is nontransparent.

Although executive criminal policymaking is potentially more transparent than discretionary criminal investigations and prosecutions, such policymaking often occurs behind closed doors. While the Executive may solicit public input and media coverage of the policy discussion, the nature of the political process often shields compromises and concessions from public knowledge.\textsuperscript{281} Even in the case


\textsuperscript{276} See, e.g., Bibas, supra note 260, at 923.

\textsuperscript{277} See id. at 912 (noting that prosecutors, along with others, “decid[e] which cases to charge, which crimes and defendants should receive probation, and what prison sentences are appropriate. They reach many of these decisions in private negotiating rooms and conference calls; in-court proceedings are mere formalities that confirm these decisions.”).

\textsuperscript{278} See id.

\textsuperscript{279} See Fed. R. Evid. 606(b) (prohibiting juror testimony about jury deliberations or a particular juror’s mental processes during deliberations).

\textsuperscript{280} See Fong Foo v. United States, 369 U.S. 141, 143 (1962) (holding that the Double Jeopardy Clause bars retrial even if a trial judge’s “acquittal was based upon an egregiously erroneous foundation”); Mannes v. Gillespie, 967 F.2d 1310, 1316 (9th Cir. 1992) (holding that the Double Jeopardy Clause bars retrial if a trial judge dismissed the charges against a defendant because of “insufficient evidence”); United States v. Giampa, 758 F.2d 928, 929 (3d Cir. 1985) (holding that a court cannot review a lower court acquittal without violating the Double Jeopardy Clause).

\textsuperscript{281} See Matthew Lynch, Closing the Orwellian Loophole: The Present Constitutionality of Big Brother and the Potential for a First Amendment Cure, 5 FIRST AMENDMENT L. REV. 234, 271 (2007) (“Because the laws do not open all political transactions and communications to the public eye, politicians may still make corrupt deals behind closed doors.”).
of executive pardons, which typically receive much press coverage, the public only knows that which the Executive discloses regarding the process of deliberation and the justification for the ultimate decision.

Again, the lack of transparency that surrounds the grand jury’s robust discretion is not remarkable when compared to other criminal justice actors wielding significant discretion. Moreover, given the other safeguards and advantages associated with the grand jury, its secrecy may be less of a concern than the secrecy that shrouds other exercises of discretion. The grand jury’s discretion to decide on bases beyond the sufficiency of the evidence does not differ in kind, or even in degree, from the discretion of other criminal justice actors. In addition, one can fairly argue that the grand jury is also better equipped than other criminal justice actors—including the petit jury—to exercise such robust discretion. For example, grand jury deliberations may be of higher quality because of the grand jury’s structure, access to evidence, and secrecy. Rather than bemoan the grand jury’s discretion, we should acknowledge that its nature and unique role in our constitutional structure position it to exercise the sort of robust discretion that the criminal justice system freely extends to other actors.

IV

ENHANCING THE ADMINISTRATION OF CRIMINAL JUSTICE

Even if the grand jury’s exercise of discretion on grounds beyond sufficiency of the evidence neither subverts the rule of law nor allocates to the grand jury undue discretion, the question remains whether it is desirable from a normative standpoint. For those who are unconvinced that grand jury discretion is consistent with the rule of law, the undermining influence the practice has on our commitment to “government of laws, not persons” outweighs any of its potential benefits.282 However, even for those who are persuaded that the grand jury’s robust discretion is legitimate, it is important to highlight how the grand jury’s robust discretion may enhance the administration of justice. Indeed, regardless of whether one approves of the grand jury’s exercise of robust discretion, the unquestionable potential for its occurrence should prompt an examination of its positive and negative consequences from the perspectives of various constituencies in the criminal justice system.

A. Crime Control

Effective law enforcement is of paramount importance in a functioning society. At first blush, it would seem that grand jury discretion necessarily hinders crime-control efforts. When law enforcement in-

282 Hutchinson, supra note 64, at 196 (emphasis omitted).
vestigates a case and prosecutors seek to take it to trial and secure a conviction, a grand jury’s refusal to indict can frustrate their efforts to bring a perpetrator to justice. While the grand jury’s filtering obviously will derail at least some cases that the prosecutor presents for indictment, the grand jury’s refusal to indict may particularly disrupt prosecutorial efforts when it bases its decision on grounds other than sufficiency of the evidence. Where a prosecutor presents sufficient evidence to establish probable cause, a grand jury’s refusal to indict clearly represents an obstacle to the prosecution and punishment of criminal offenders.\textsuperscript{283} Assuming that the grand jury’s nature, role, and its discretionary power will sometimes frustrate the government’s capacity to control crime, it might be useful to look to the other side of the ledger—how might such discretion enhance the administration of criminal justice from a crime-control perspective? How might prosecutors harness the grand jury’s discretionary power as an asset to effective law enforcement?

The ability of the grand jury to exercise its robust discretion might actually strengthen cases against criminal defendants. A grand jury may filter out cases that meet the bare probable cause threshold but lack real jury appeal. Of course, prosecutors will sometimes decide to dismiss a case postindictment, either because flaws in the evidence have developed or other issues have revealed weaknesses in the case. However, if prosecutors become immersed in a case’s details, particularly where the facts strongly indicate a defendant’s guilt,\textsuperscript{284} then prosecutors may not see these all-important flaws and weaknesses in the same way that the grand jury members might. Such insights from the grand jury may spill over to nonevidentiary considerations that would draw the attention of a petit jury later in the process. Thus, the grand jury can assist the government by counseling the prosecutor to change course in a flawed case—either by dismissing the case outright or revising the charges—before the case ever reaches trial.\textsuperscript{285} Regardless of one’s views on nullification, grand jury

\textsuperscript{283} See supra subpart I.B.

\textsuperscript{284} Although some might argue that one can never be completely certain of a defendant’s guilt, a prosecutor’s estimation of a defendant’s guilt may be stronger than that of a petit jury because of the prosecutor’s other evidence. For example, a prosecutor may know of unconstitutionally obtained evidence or plea proffers that are inaccessible to the petit jurors.

\textsuperscript{285} See United States v. Navarro-Vargas, 408 F.3d 1184, 1193–95 (9th Cir. 2005) (discussing the traditional “screening function of the grand jury”). It should be noted that, in certain cases, the prosecutor may welcome a grand jury’s exercise of discretion, see, e.g., Howard W. Goldstein, Grand Jury Practice § 4.02[2], at 49 (2007), particularly where action by the grand jury insulates the prosecutor from political pressure in favor of, or in opposition to, a potential prosecution. Cf., e.g., Bob Kemper, Grand Jury Refuses to Indict McKinney, ATLANTA J.-CONST., June 17, 2006, at A1; McKinney Won’t Be Indicted in March Incident with Capitol Police, Grand Jury Decides, CONG. Q. Wkly., June 19, 2006, at 1721.
nullification would seem to be preferable to petit jury nullification after a full trial because early nullification prevents the waste of tremendous and precious resources.\(^{286}\)

Aside from filtering cases or individual counts that are less likely to result in conviction at trial, the grand jury’s exercise of robust discretion can strengthen the government’s already formidable bargaining position in postindictment plea negotiations. Where there is a general perception that the grand jury passively approves indictments upon receipt of a bare minimum of proof, the grand jury’s indictment does not significantly enhance the government’s bargaining position; if a grand jury will “indict a ham sandwich,”\(^{287}\) the indictment says little, if anything, about the strength of the government’s case.\(^{288}\) If, however, it were common knowledge that the grand jury not only possessed robust discretion but also exercised it when appropriate, the prosecutor could point to an indictment as a strong affirmation of the government’s case and as a significant indicator that a petit jury will be less likely to acquit so long as the prosecution meets its evidentiary burden.

Also, a putative defendant may be more willing to waive the Fifth Amendment privilege against self-incrimination and testify before the grand jury when that client knows of the grand jury investigation and the grand jury is aware of its robust discretion and willing to exercise it in appropriate cases.\(^{289}\) Although this allows the defendant to at-

\(^{286}\) See United States v. Navarro-Vargas, 367 F.3d 896, 900, 902–03 (9th Cir. 2004) (Kozinski, J., dissenting), vacated en banc, 382 F.3d 920 (9th Cir. 2004) (arguing that the grand jury is a check on prosecutorial discretion and “may consider the wisdom of the law in deciding whether to indict”). Grand jury discretion might actually serve to reduce the amount of petit jury nullification in the system. Where grand juries are cognizant of their robust discretion and, more importantly, citizens are familiar with and endorse the legitimacy of such discretion, so-called nullification might actually occur at the grand jury stage rather than the petit jury stage. Recognition of the grand jury’s unique role and robust discretion may have the impact of ensuring greater fidelity by petit juries to deciding cases based solely on the evidence. Under this view, the grand jury would be the forum for considerations such as the wisdom of a law, justice ideals, or the redeeming qualities of a defendant; once the grand jury declines to derail the prosecution on such grounds, the petit jury’s function is simply to test the sufficiency of the evidence and to convict a defendant if the government carries its burden of proof. See Robinson, supra note 191, at 403 (“Studies on jury nullification indicate that jurors frequently exercise their nullification power to circumvent specific rules when they believe that applying them would conflict with broad normative notions of justice.”).


\(^{288}\) Of course, indictment itself adversely impacts the defendant. Indictment may diminish a defendant’s bargaining power in the criminal justice system and levy a reputational, social, economic, and psychological toll upon an accused.

\(^{289}\) See Simmons, supra note 3, at 24 (stating that testimony of the potential defendant before the grand jury “makes sense if the grand jury is actually performing a broader, more political role”). If a defendant has been charged with a felony prior to grand jury indict-
tempt to influence that grand jury to make a decision on bases other than the sufficiency of the evidence, many prosecutors would likely take that risk in exchange for the chance to question a defendant before the grand jury. Prosecutors regularly send “target” letters to potential defendants, informing them that the grand jury investigations are concluding and inviting them to testify before the grand jury. Potential defendants rarely accept these invitations, no doubt because acceptance would require waiving the privilege against self-incrimination, because defense counsel generally cannot be present in the grand jury room, and because evidentiary restrictions do not limit the questions that a prosecutor can ask a witness before a grand jury. The (perhaps overly optimistic) hope that the benefits of persuading the grand jury to exercise its robust discretion will outweigh the dangers of testifying might prompt more defendants to accept their invitations to testify.

Finally, grand jury discretion may enhance community involvement and positively impact law enforcement strategies. The active, robust participation of grand juries in shaping enforcement priorities helps to foster community buy-in—a phenomenon that can enhance overall crime-control efforts. Community participation via the grand jury can create and nurture incentives for community members

290 See Simmons, supra note 3, at 38 (explaining that prosecutors benefit from disclosure of the defendant’s theory of the case so early on in the process).
292 See Simmons, supra note 3, at 37 & n.173.
293 See id. at 37–38 (noting that a prosecutor may later use anything a defendant said in the grand jury proceeding).
295 See Simmons, supra note 3, at 23–25. Recent trends indicate that in systems in which a defendant has the right to make a presentation to the grand jury, more grand jury targets take the opportunity to attempt to persuade the grand jury to reject charges. See, e.g., William Glaberson, New Trend Before Grand Juries: Meet the Accused, N.Y. TIMES, June 20, 2004, at N1. The absence of a double jeopardy rule in federal grand jury practice, however, makes a defendant’s testimony before a federal grand jury dangerous. Even if one grand jury refuses to indict, the government could seek an indictment from a second grand jury and use any of a defendant’s potentially incriminating statements from the defendant’s earlier grand jury testimony.

to work with law enforcement to develop crime-prevention and crime-control initiatives in their communities.\textsuperscript{297} Indeed, the integration of the community in enforcement design perhaps portends a more direct and tangible crime-control benefit than the aforementioned features of robust grand jury discretion.

B. Efficiency

From an efficiency standpoint, the grand jury’s robust discretion may offer some benefits. Whatever one thinks about the merits of petit jury nullification, its costs in wasted time and court resources are immense.\textsuperscript{298} A trial requires the government to devote one or more of its attorneys for an often-intense period of trial preparation.\textsuperscript{299} This preparatory period is then followed by the trial itself, which can range from hours to months. Given the caseloads of many prosecutors, a trial that results in petit jury nullification represents a tremendous waste of time and energy.\textsuperscript{300} Witnesses, both government and civilian, must expend time, miss work or leisure commitments, and travel sometimes great distances to the place of trial. The court itself transfers scarce resources to the trial of a matter, from blocks of time on the judge’s calendar to court security personnel assigned to the courtroom.

For these reasons, it would seem that a case that will ultimately result in nullification is better nullified at the grand jury stage than at the petit jury stage. Of course, there is no guarantee that a petit jury would inevitably nullify a case that a grand jury deems appropriate for nullification. Although both grand and petit juries are drawn from the same pool,\textsuperscript{301} their ultimate members will consist of different individuals with different perspectives and, as was discussed above, the petit jury likely will be exposed to a narrower slice of the available....

\textsuperscript{297} Cf. Kahan, \textit{supra} note 296, at 1538–39 (concluding that fostering trust and reciprocal cooperation between the citizenry and police officers more effectively controls crime than standard policing methods do alone).

\textsuperscript{298} Cf. Edward Brunet, \textit{A Study in the Allocation of Scarce Judicial Resources: The Efficiency of Federal Intervention Criteria}, 12 Ga. L. Rev. 701, 710 (1978) (asserting that increasingly important efficiency goals often lead to less accurate decision making).

\textsuperscript{299} Of course, in busy jurisdictions, it is not unheard of for a prosecutor to be assigned to try the case in the courtroom as the judge is taking the bench. Although these trials obviously do not receive the same amount of preparation as others, witness and court-personnel time are still a considerable cost.

\textsuperscript{300} See F. Andrew Hessick, III & Reshma M. Saujani, \textit{Plea Bargaining and Convicting the Innocent: The Role of the Prosecutor, the Defense, and the Judge}, 16 BYU J. Pub. L. 189, 193 (2002) (asserting that jury nullification indicates that “the prosecutor has misallocated his resources and time in deciding to prosecute the case”).

information.\textsuperscript{302} For those cases where a grand jury and a petit jury are likely to respond similarly to presented evidence, however, earlier disposition can help to avoid wasting time and resources.

Another efficiency benefit of the grand jury’s robust discretion is that it may increase early pleas or dispositions of criminal cases.\textsuperscript{303} Because the grand jury has such broad entitlement and access to information, it is in a key position to illuminate for the government certain paths to conclusion that may not be readily apparent. A grand juror who has become fully informed through questioning key witnesses and reviewing information received in the grand jury might suggest to the prosecutor an alternate set of charges or civil settlement that a defendant might find amenable while still imposing the appropriate amount of societal condemnation.\textsuperscript{304} In this way, the grand jury can function almost as a sounding board for prosecutors or an alternative dispute resolution tool in certain criminal cases. Where the grand jury prompts alternate sanctions and means of restitution or guides the prosecutor’s plea bargaining strategy, the grand jury, in its exercise of robust discretion, enhances the efficiency of the criminal justice process by facilitating pretrial disposition of criminal cases.

Finally, the grand jury’s robust discretion may calibrate the discretion of other criminal justice actors, leading to more careful and deliberative decision making elsewhere in the system. Because the grand jury is the choke point in the stream of cases flowing from the investigative stage to the prosecution stage,\textsuperscript{305} the grand jury is uniquely situated to review and shape the otherwise unchecked discretion of other actors in the criminal justice system. For example, a prosecutor might tire of receiving disorderly conduct cases from the local police for charging and papering. Believing the cases to involve minimal criminal conduct and to be an inefficient use of prosecutorial resources, the prosecutor may simply tell the police department that he or she will no longer pursue those types of cases—regardless of the amount of evidence that supports the defendant’s guilt. Although the police may not agree with the prosecutor’s position, they will most likely alter their enforcement priorities and may better exercise discretion regarding the individuals whom they arrest.

\textsuperscript{302} See supra section III.B.3. Conceivably, a petit jury could actually be exposed to more information than a grand jury because of the development of additional evidence during the postindictment investigation or because the prosecutor will hold back—and the grand jury may fail to request—the full portfolio of available inculpatory evidence at the time of indictment.

\textsuperscript{303} Of course, one may fairly argue that a public trial of the accused serves socially useful ends, even if petit jury nullification is likely to occur.

\textsuperscript{304} See Kuckes, supra note 7, at 1317 (concluding that recognizing the grand jury’s function as a “democratic prosecutor” creates room for community values to influence prosecutorial charging decisions).

\textsuperscript{305} See supra subpart I.A.
for disorderly conduct. Similarly, a grand jury’s exercise of its discretion can create ripple effects on the exercises of discretion of other criminal justice actors, thus increasing the overall efficiency of the criminal justice process.

C. The Grand Jury and Individual Rights

The ability to exercise discretion also benefits the grand jury itself and, by extension, enhances the protection of individual rights. While the reporters and scholarly pages are replete with references to the grand jury as a shield between the power of the government and the liberty of the individual, many nevertheless perceive the grand jury as having strayed from its moorings as an active and vigilant protector of individual rights. However, the grand jury’s robust discretion can cut against this notion and serve as the basis for a more vigorous institution that performs its protective function and adds value to the administration of criminal justice. Recognition of the grand jury’s discretion may very well strengthen the grand jury as an institution, and a fortified grand jury may enhance the individual liberties it serves to protect.

This enhancement begins with the grand jurors themselves—they must recognize their own robust discretion. Presumably, if the grand jury exercises this discretion, grand jurors would take greater ownership of their investigations and demand answers to questions regarding the merits of individual cases. This mode of behavior runs contrary to the common view of the grand jury as passively receiving hearsay evidence that the government packages and presents for uncritical consumption and acceptance. In this way, the grand jury’s discretion enhances citizen participation in the criminal justice system—participation that the system sorely lacks in this age of ubiquitous guilty pleas. The grand jury’s robust discretion allows for direct community guidance of law enforcement and prosecutorial re-

306 See, e.g., United States v. Calandra, 414 U.S. 338, 343 (1974) (“[T]he Founders thought the grand jury so essential to basic liberties that they provided in the Fifth Amendment that federal prosecution for serious crimes can only be instituted by a presentment or indictment of a Grand Jury.” (internal citations and quotations omitted)); Ex parte Bain, 121 U.S. 1, 12 (1887), overruled by United States v. Cotton, 535 U.S. 625 (2002); [pt. 3 vol. 1] BERNARD SCHWARTZ, A COMMENTARY ON THE CONSTITUTION OF THE UNITED STATES 84 (1968); SURRENEX, supra note 267.

307 See, e.g., Kuckes, supra note 1, at 1–2; Leipold, supra note 1, at 286–88.

308 See Leipold, supra note 1, at 263 (“The grand jury is frequently criticized for failing to act as a meaningful check on the prosecutor’s charging decisions; according to the clichés it is a ‘rubber stamp,’ perfectly willing to ‘indict a ham sandwich’ if asked to do so by the government.” (citations omitted)); see also Peter J. Henning, Prosecutorial Misconduct in Grand Jury Investigations, 51 S.C. L. Rev. 1, 4–6 (1999) (considering critiques of the grand jury’s lack of independence from the prosecutor).

309 See Bibas, supra note 260, at 912; Kuckes, supra note 7, at 1307–08; Adriaan Lanni, The Future of Community Justice, 40 Harv. C.R.-C.L. L. Rev. 359, 369–70 (2005) (discussing
source allocation as well as feedback on criminal legislation. As citizens take greater ownership in the grand jury, they strengthen the institution.

In turn, greater engagement of grand jurors enhances the benefits that accused individuals enjoy from the grand jury’s protective function. Certainly, where the grand jury exercises its discretion on bases beyond mere sufficiency of the evidence, it expands the inquiry beyond whether a case may proceed to trial to whether it should proceed to trial.\textsuperscript{310} Whether or not one agrees with its appropriateness, this expanded view provides greater protection to criminal defendants than does the bare sufficiency of the evidence view. Furthermore, central to the protective function is the idea that the grand jury will ensure that prosecutors do not pursue meritless charges, given the tremendous economic, psychological, social, and reputational costs that accompany a trial. In cases where the petit jury or trial judge likely would have eventually acquitted on grounds other than the sufficiency of the evidence or a sentencing judge likely would have spared the defendant any serious punishment,\textsuperscript{311} the grand jury’s exercise of discretion spares defendants the ordeal of trial, public shame, and reputational damage.

The grand jury’s robust discretion also highlights the value of the grand jury in an era when many believe that it serves no real function. Some argue that the modern grand jury’s probable cause determination function is unnecessary and redundant.\textsuperscript{312} In the federal system, for example, a judicial officer will make a probable cause determination that supports the arrest warrant or summons of the defendant.\textsuperscript{313} Most defendants then will have probable cause determined by a judicial officer—a magistrate or district judge—at a preliminary examination, during which defense counsel may cross-examine the government’s witnesses.\textsuperscript{314} The typical felony case will require that a grand jury determine the existence of probable cause—a prerequisite to an indictment.\textsuperscript{315} Although the grand jury can disagree with these earlier judicial probable cause determinations and decline to indict,

\textsuperscript{310} See supra subpart I.B.
\textsuperscript{311} Of course, whether a petit jury or judge would have done such a thing in a given case is a matter of conjecture.
\textsuperscript{312} See, e.g., Margolick, supra note 287, at B2.
\textsuperscript{313} See Fed. R. Crim. P. 4.
\textsuperscript{314} See Fed. R. Crim. P. 5.1.
\textsuperscript{315} See Fed. R. Crim. P. 6(f); Admin. Office of the U.S. Courts, supra note 8, at 3 (noting that “[i]f the grand jury finds probable cause to exist, then it will return a written statement of the charges called an ‘indictment’”).
its approval of an indictment is dispositive on the question of probable cause for all other purposes.\textsuperscript{316}

Because other actors also determine probable cause,\textsuperscript{317} some see the grand jury as a “superfluous” vestige of an era before the development of a professional police force and court system to ensure pretrial screening of charges for merit.\textsuperscript{318} Others argue that lay grand jurors are ill-equipped to balance the complex considerations inherent in determining whether evidence reaches the legal threshold of probable cause.\textsuperscript{319} Judicial officers, the argument goes, can better recognize when the legal definition of probable cause is satisfied and therefore are more effective.\textsuperscript{320}

This view is problematic for a few reasons. First, the fact that both judicial officers and grand juries can determine the existence of probable cause does not mean they are performing overlapping roles.\textsuperscript{321} Historical evidence shows that evidentiary standards have shifted over time, and the probable cause on which the grand jury currently operates does not indicate that the grand jury was to perform the same function as judicial officers.\textsuperscript{322} Also, the fact that grand jury indictment is required, even though the Constitution guarantees a probable cause determination for arrested individuals, indicates that the grand jury plays an additional role in the justice system. Finally, from a more practical standpoint, an indictment often will allege charges that the initial complaint did not, meaning that the judicial officer who presided over the preliminary hearing did not review such charges for probable cause. Thus, the grand jury alone reviews those allegations for probable cause.

However, apart from one’s opinion on the issue of the grand jury’s role in determining probable cause, the grand jury’s robust discretion to consider bases beyond the sufficiency of the evidence counters the claim of redundancy and inadequacy. The grand jury, sitting as a body of the accused’s peers and representing the voice of the community, is uniquely positioned to exercise such discretion. Some

\textsuperscript{316} For example, a grand jury indictment before arrest obviates the need for a probable cause determination related to the complaint, and a grand jury indictment returned before a preliminary examination obviates the need for a probable cause determination at that stage. See Fed. R. Crim. P. 5.1(a)(2), 9(a); see also Kuckes, supra note 7, at 1281–82 (noting that courts view preliminary hearings following grand jury indictment as duplicative).

\textsuperscript{317} It remains important to note that new charges may develop by the time a case reaches the indictment stage. As a result, the grand jury often passes upon counts that judicial officers have not reviewed.

\textsuperscript{318} See Edwards, supra note 87, at 35.

\textsuperscript{319} See Leipold, supra note 1, at 294–304.

\textsuperscript{320} See id.

\textsuperscript{321} See Kuckes, supra note 7, at 1294–99.

\textsuperscript{322} See supra subpart II.B.
argue that the grand jury’s power to nullify represents the only “meaningful screening function” that it performs. Even if we assume that grand juries are deficient in screening cases on grounds associated with the sufficiency of the evidence, the argument stands. By exercising discretion, the grand jury adds value to the indictment process and distinguishes itself from judicial officers tasked with making bare probable cause determinations.

Regardless of whether one believes that the grand jury is of diminished value and utility, the grand jury’s discretion potentially can energize and engage grand jurors, enhance the grand jury’s protective function, and provide a greater role for ordinary citizens in the criminal justice process. In this way, the grand jury’s discretion also demonstrates its added value to the administration of criminal justice.

Assuming that the grand jury’s nullification power is consistent with the rule of law and enhances the administration of criminal justice, a question remains: how should grand jurors be informed of their discretion? One method might be civic education, either under the auspices of the government or through private organizations. Of course, the most direct method would involve informing the grand jurors of their discretion when they are empanelled and sworn at the beginning of their terms of service. An empanelling judge will typically charge the grand jurors that if they find probable cause in a case, they should indict. A simple shift to language informing grand jurors that they may indict if they find probable cause would enhance the grand jury’s discretionary role. Furthermore, along with the discretion instruction, grand jurors would need a reminder of their own investigative prerogative and the limits on the role of the prosecutor in the grand jury.

Once the grand jury is fully equipped with knowledge of its role and power, the aforementioned benefits of robust grand jury discretion may be realized. Such realization would restore the grand jury as an engine of criminal justice, rather than merely a vehicle.

323 Leipold, supra note 1, at 307.
324 See Model Grand Jury Charge, supra note 7 (“The purpose of the Grand Jury is to determine whether there is sufficient evidence to justify a formal accusation against a person—that is, to determine if there is ‘probable cause’ to believe the person committed a crime. . . . [Y]ou should vote to indict where the evidence presented to you is sufficiently strong to warrant a reasonable person’s belief that the person being investigated is probably guilty of the offense charged.”).
325 Cf. Kalven, supra note 11, at 498 (1966) (“Perhaps one reason why the [petit] jury exercises its very real power [to deviate from the judge] so sparingly is because it is officially told it has none.”); Brody, supra note 10, at 91–93. However, it remains to be seen whether resistance—on both policy and constitutional grounds—to the notion that grand juries should exercise discretion on bases beyond sufficiency of the evidence will prevent such instructions from being implemented voluntarily or deemed mandatory under the Fifth Amendment’s Grand Jury Clause. See United States v. Navarro-Vargas, 408 F.3d 1184, 1210–11 (9th Cir. 2005) (Hawkins, J., dissenting); supra note 118.
Conclusion

One prominent scholar has queried “whether the [grand jury’s] power to nullify is consistent with the constitutional command, and whether it is a desirable part of a rational criminal justice system.”326 This Article answers both questions affirmatively. The grand jury, by design, serves a structural role in our constitutional system as a check on the three branches of government and moderator of criminal law federalism. Given its characteristics, the grand jury is uniquely equipped to serve as a conduit for communication between the people and the governmental structure, as well as between the national government and local communities, on issues of criminal justice policy. The grand jury’s robust discretion—its ability to determine the propriety of indictments on bases beyond sufficiency of the evidence—enhances this communicative function.

Furthermore, the grand jury’s discretion can and does operate as part of a rational system of criminal justice. The discretion implicit in the nullification power is appropriately lodged in the grand jury—a body better equipped for it than other discretion-wielding actors within the criminal justice system. Additionally, and perhaps more importantly, the availability of this discretion can positively impact the administration of criminal justice from efficiency and crime-control perspectives. At the same time, the grand jury’s ability to exercise its discretion can enhance individual rights, our participatory democracy, and the institution of the grand jury itself.

To be sure, grand jury discretion also poses significant difficulties. The rule of law critique and discretion-allocation issues aside, a number of questions are left unanswered. One question asks whether grand jury nullification actually fulfills its claimed structural and communicative role when double jeopardy protections do not prevent prosecutors from empanelling another grand jury that may be more willing to indict. Also, as discussed above, the concerns presented by the grand jury’s discretionary power—such as the lack of transparency and accountability, potential for oppression of disfavored groups, and frustration of law enforcement—are important and should not be cast aside.

Nevertheless, the grand jury’s discretionary power, properly viewed, is consistent with the rule of law, prudent allocation of discretion, and efficient and wise administration of criminal justice. This recognition is a necessary first step to unlocking the nature and role of the grand jury in our constitutional democracy and criminal justice system. Rather than reflexively condemning the grand jury’s discretion, we should acknowledge how it allows the grand jury to play its

326 Leipold, supra note 1, at 310.
intended and important function in our constitutional design. In fact, the grand jury’s ability to exercise robust discretion may reveal its full necessity and value.