

Table of Contents

- Acknowledgements 3
- Citation of UN Documents Symbols System 15
- Acronyms and Abbreviations..... 17

- Prologue23**
- A. Subject..... 23
- What is torture?..... 23
- Prohibitions of torture in international instruments 24
- UN Convention Against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (UNCAT)..... 25
- Reason for this study 26
- Literature and body of source material 27
- B. Terminology 29
- C. Content and Methodology 31
- Aim of this study..... 31
- Issues and Methodology 31
- Content..... 32

- PART I – History of torture and universal jurisdiction33**
- Chapter 1: Torture in law and practice throughout the ages 33**
- A. Antiquity: emergence of torture as a means to obtain truth..... 34
 - I. Torture of non-citizens in ancient Greece 35
 - II. Expanded application of torture in the Roman Republic and Roman Empire..... 38
- B. Medieval times: torture becoming part of ordinary criminal procedure..... 43
 - I. Sparse reception of torture in early medieval times 43
 - II. From accusatorial to inquisitorial procedure with torture as a means to obtain confession ('regina probationum') 46
- C. Modern era: from the codification of torture to the codification of its prohibition..... 54
 - I. Early modern times: from height of torture to its gradual abolition 54
 - 1. 'Ancien régime' of the fifteenth and sixteenth century with the largest compilation of systematic law codes on torture 56
 - 2. Rise of moral objections towards torture practice during the eighteenth century 59
 - II. Modern times: torture becomes an illegal technique 62
 - 1. Abolition of torture in Europe's domestic criminal procedures and twentieth century global resurgence of widespread torture practice 62

2.	Evolution of an international protection against the use of torture	71
a.	International protection against torture under customary international law	71
b.	Treaty-based international protection against torture....	74
3.	Final considerations torture becoming an illegal technique.....	101
III.	Final considerations on the modern era	102
D.	Final considerations on the history of torture	102
	Chapter 2: Development of universal jurisdiction	106
A.	Traditional use of universal jurisdiction: the archetypal universal crime of piracy or a sui generis rule for piracy	108
I.	Piracy's origins: a municipal crime with extraordinary jurisdiction	110
II.	Customary law prohibition for privately operated piratical acts.....	114
III.	Final considerations on the historical exercise of universal jurisdiction	116
B.	Scope of extraterritorial jurisdiction in the Lotus case of 1927 (France v. Turkey).....	118
C.	Extension of universal jurisdiction to humanitarian and human rights law crimes in the post-World War era	121
I.	Axis powers drawing upon universal jurisdiction for post-war prosecution of war crimes and crimes against humanity	122
II.	Eichmann courts' reliance on the universality principle	132
III.	Final considerations on the extended application of universal jurisdiction to war crimes, crimes against peace and crimes against humanity	135
D.	Recent extension of universal jurisdiction to certain terrorist activities and further human rights violations	139
E.	Final considerations on the development of universal jurisdiction ..	147
	PART II – Torture and the United Nations Convention against torture	151
	Chapter 1: Asserting jurisdiction on the basis of the torture convention.....	151
A.	Criminal jurisdiction under the 1984 Torture Convention	151
I.	Traditional principles of jurisdiction, Art. 5 (1) (a-c).....	153
1.	Territorial jurisdiction on the basis of the territoriality principle, Art. 5 (1) (a).....	154
2.	Extraterritorial jurisdiction	157
a.	Jurisdictions of the flag state over torture committed on board a ship or aircraft (flag principle), Art. 5 (1) (a).....	158
b.	Jurisdiction of the torturer's home country (active nationality principle), Art. 5 (1) (b).....	160
c.	Jurisdiction of the torture victim's home country (passive nationality principle), Art. 5 (1) (c).....	162

3.	Final considerations on the traditional principles of jurisdiction	164
II.	Article 5 (2) jurisdiction	164
B.	Final considerations on criminal jurisdiction under the UN Torture Convention.....	173
Chapter 2: Establishing and exercising Arts. 5 (2), 7(1) jurisdiction.....		174
A.	Presence of the offender as a nexus requirement for the exercise of aut dedere aut judicare and thus universal jurisdiction as laid down in the Torture Convention?	174
I.	Mandatory exercise of universal jurisdiction in the torturer's presence.....	176
1.	Torturer's presence required prior to investigations at the moment of complaint?	176
a.	French proceedings in re Affaire Javor	176
b.	French proceedings in re Duvalier	177
c.	French proceedings in re Pinochet Ugarte.....	178
d.	French and ICJ proceedings in re Disappeared of the Beach.....	179
e.	Dutch proceedings in re Pinochet Ugarte	185
f.	Dutch proceedings in re Zorreguieta.....	188
g.	Danish proceedings in re Pinochet Ugarte.....	189
h.	Spanish proceedings in re Guatemala Genocide and subsequent Spanish cases	190
i.	Final considerations on the supposed requirement of the torturer's presence at the moment of complaint..	196
2.	Torturer's presence required at the 'moment of arrest'?... ..	197
a.	Dutch proceedings in re Bouterse.....	197
b.	Final considerations on the supposed requirement of the torturer's presence at the 'moment of arrest'	199
3.	Torturer's presence required at the moment of the initiation of investigations?	199
a.	French proceedings in re Ould Dah	200
b.	Final considerations on the supposed requirement of the torturer's presence at the moment of the initiation of investigation.....	202
4.	Torturer's presence required at the moment of the opening of the trial?.....	202
a.	Spanish proceedings in re Pinochet Ugarte	202
b.	Belgian proceedings in re Pinochet Ugarte	205
c.	Belgian proceedings in re Habré.....	207
5.	Final considerations on the presence requirement.....	212
II.	Voluntary exercise of universal jurisdiction in the torturer's absence?	218
1.	Contemporary state practice on trials in absentia	218
2.	International jurisprudence on trials in absentia	221
a.	Case of the S.S. Lotus (PCIJ).....	222
b.	Absence of offenders and the IMT of Nuremberg	223
c.	Absence of offenders and international treaties	224

d.	Case Concerning the Arrest Warrant of 11 April 2000 (Democratic Republic of Congo v. Belgium) (ICJ).....	225
e.	Final considerations on the state of international law on trials in absentia.....	230
3.	Voluntary exercise of universal jurisdiction and the presence requirement under the <i>aut dedere aut judicare</i> obligation of Art. 5 (2)	231
III.	Final considerations on the presence requirement	232
B.	Issues relating to the temporal and geographical scope of the UN Torture Convention	233
I.	Interpretations regarding the scope <i>ratione temporis</i>	233
1.	UK courts on the temporal scope in <i>re Pinochet Ugarte</i> ...	234
2.	Dutch courts on the temporal scope in <i>re Bouterse</i>	245
3.	Senegalese courts on the temporal scope in <i>re Habré</i>	249
4.	French courts on the temporal scope in <i>re Ould Dah</i>	253
5.	Final considerations on the UN Torture Convention's scope <i>ratione temporis</i>	255
II.	Interpretations of the scope <i>ratione loci</i>	256
1.	State Party obligation to exercise universal jurisdiction over torture suspects originating from Non-State Parties to the Convention?	257
a.	Scottish proceedings against the Sudanese national Dr. Mahgoub.....	257
b.	Dutch proceedings against the Surinamese national Bouterse	257
c.	French proceedings against the Mauritanian national Ould Dah	258
d.	Senegalese proceedings against the Chadian national Habré.....	258
e.	Final considerations	259
2.	State Party obligation to exercise universal jurisdiction in the case of an extradition request from a Non-State Party to the Convention?	259
a.	Textual wording of the Convention.....	260
b.	Historical interpretation	260
c.	Systematic interpretation	260
d.	Teleological interpretation	261
3.	Final considerations on the UN Torture Convention's scope <i>ratione loci</i>	262
III.	Scope of universal jurisdiction compared to the Geneva Conventions.....	263
C.	Exercise of criminal jurisdiction, Arts. 6, 7.....	263
I.	Pre-trial detention and preliminary inquiry, Art. 6.....	264
II.	Obligation to submit torture cases to competent authorities, Art. 7.....	265
1.	<i>Aut dedere aut judicare</i> formula and further problems associated therewith, Art. 7(1).....	265

2. Safeguards ensuring due process guarantees, Arts. 7 (2) and (3)	270
III. Final considerations on the exercise of criminal jurisdiction	271
D. Final considerations on establishing and exercising Arts. 5 (2), 7(1) jurisdiction	272

PART III – Barriers to exercising universal jurisdiction over international crimes such as torture273

Chapter 1: Political barriers to torture prosecutions on the basis of universal jurisdiction..... 273

A. States' political interest opposing the proper application of universal jurisdiction.....	273
B. Potential of politically motivated abuse of universal jurisdiction?	274
C. Expressed concerns of 'jurisdictional imperialism' (North-South divide).....	275
D. Interference with the judiciary by executive branch officials mounting guard over the use of universal jurisdiction	276
I. Differing prosecutorial authorities exercising different degrees of discretion and the broad ground of 'public interest' preventing torture prosecutions.....	278
II. Case study: alleged executive's interference with the Senegalese judiciary in re Habré.....	286
III. Final considerations on interference with the judiciary	288
E. Domestic amnesties preventing prosecutions on the basis of universal jurisdiction in third states?	290
I. Terminology	291
1. Defining the term 'amnesty'	291
2. Applied types of amnesties	292
II. Validity of amnesties under the UN Torture Convention	293
1. State practice on the application of domestic amnesties ...	293
a. Argentina's blanket amnesty laws and the CONADEP report titled 'Nunca Más'	297
b. Chile's blanket amnesty and efforts of the Rettig Commission	299
c. Uruguay's blanket amnesty.....	304
d. Amnesties and UN-sponsored peace settlements in Latin America and Africa	305
aa. Case study: El Salvador.....	306
bb. Case study: Haiti.....	308
cc. Case study: Guatemala	311
dd. Case study: Sierra Leone	313
e. South Africa's conditional amnesty and its Truth and Reconciliation Commission.....	314
f. Final considerations on the application of domestic amnesties	321
2. Academic justice v. peace debate in the context of states in transition to democracy.....	321

a.	Justice through accountability by application of international and domestic criminal law (retributive justice).....	323
b.	Truth through peace settlements and 'realpolitik' (restorative justice).....	326
c.	Intermediate positions and proposals by academia ..	328
d.	Final considerations on the justice v. peace debate	330
3.	International human rights bodies on amnesties	331
a.	Amnesties and the Inter-American Commission and Court of Human Rights	331
b.	Amnesties and the UN General Assembly	334
c.	Amnesties and the UN Human Rights Committee	334
d.	Amnesties and the UN Committee against Torture ...	336
e.	Final considerations on the human rights bodies' views on amnesties	338
4.	Domestic state practice on foreign amnesties in torture prosecutions on the basis of universal jurisdiction	339
a.	French proceedings and foreign amnesties	339
b.	British proceedings and foreign amnesties	341
c.	Spanish proceedings and foreign amnesties	341
d.	Mexican proceedings and foreign amnesties	343
5.	Final considerations on the validity of amnesties under the UN Torture Convention	345
III.	Attempt to define selection criteria and standards for the recognition or refusal of foreign amnesties (amnesty guidelines)	348
IV.	Final considerations on amnesties in prosecutions based on universal jurisdiction	354
F.	Conclusions on political obstacles to exercising universal jurisdiction over torture.....	355
Chapter 2: Legal barriers to torture prosecutions on the basis of universal jurisdiction.....		356
A.	Disharmony among domestic judicial systems	356
I.	Different modes to implement international law causing incoherent practice	356
II.	Torture prosecutions under jurisdictional regimes other than the Torture Convention and issues associated therewith	360
1.	Torture investigated and charged as crime against humanity.....	363
a.	Torture allegations in Belgium's proceedings against Pinochet Ugarte.....	364
b.	Torture allegations in Belgium's proceedings against Habré.....	365
c.	Torture allegations in Germany's Abu Ghraib prison case	366
2.	Torture investigated and charged as war crime	368
a.	Torture allegations in Germany's Abu Ghraib prison and Guantánamo Bay prison camp case	369

b.	Torture allegations in Denmark's proceedings against Saric	371
3.	Torture investigated and charged as genocide	372
III.	Final considerations on inconsistent practice in the applicability of universal jurisdiction	375
B.	Issues relating to conflicts of competing jurisdictions	375
I.	Mock trials and double jeopardy, or the principle of ne bis in idem principle	376
II.	Operation of a supposed principle of subsidiarity	379
1.	Subsidiarity principle as a test to determine the appropriate court?	382
2.	Subsidiarity principle as a principle of customary international law supplementing the principle of universal jurisdiction?	383
a.	Spanish practice in the Guatemala and Peruvian Genocide cases	383
b.	Belgian statutory requirements	389
c.	German practice and the statutory requirements of the Code of Crimes against International Law	391
d.	Dutch practice on subsidiarity jurisdiction	392
e.	ICJ case-law on subsidiarity jurisdiction	393
3.	Final considerations on the subsidiarity principle	394
III.	Final considerations on jurisdictional conflicts	395
C.	Immunities as legal hindrance precluding torture prosecution on the basis of universal jurisdiction in third states?	397
I.	Terminology	399
1.	Definition, nature and rationale of immunities	399
2.	Theories of immunity: the absolute and restrictive approach	400
II.	Types of state immunity	406
1.	Scope of immunity <i>ratione materiae</i>	408
2.	Scope of immunity <i>ratione personae</i>	410
3.	Final considerations on the types of state immunity	412
III.	Immunity protection and the UN Torture Convention	413
IV.	Recent domestic jurisprudence on immunity from torture prosecutions	413
1.	Pinochet case before UK courts	413
a.	Overview over the Law Lords' single votes in the Pinochet No. 3 ruling	413
aa.	Lord Judge Browne-Wilkinson's vote	414
bb.	Lord Hope of Craighead's vote	415
cc.	Lord Hutton's vote	416
dd.	Lord Saville of Newdigate's vote	417
ee.	Lord Millet's vote	418
ff.	Lord Phillips of Worth Matravers' vote	419
gg.	Lord Goff of Chieveley's vote	419
b.	Analysis of the Pinochet No. 3 ruling	420
aa.	Majority vote of the Law Lords	420

(a)	Torture acts cannot be considered governmental acts	420
(b)	Exclusion of immunity through entry into force of the UN Torture Convention	421
(c)	Incompatibility of immunity rules with international criminal law	422
bb.	Dissenting opinion of Lord Goff of Chieveley: extensive coverage by immunity	423
cc.	Final considerations on the majority vote	423
c.	Final considerations on the Pinochet No. 3 ruling before UK courts	425
2.	Disappeared of the Beach case before French courts	429
3.	Habré case before Senegalese courts	430
V.	Practice of the UN Committee against Torture on immunities	433
VI.	Recent international jurisprudence on immunities preventing the prosecution of international crimes	434
1.	ICJ on immunities in re Arrest warrant of 11 April 2000 (DR Congo v. Belgium)	434
a.	ICJ decision of 11 April 2000	434
b.	Reasoning underlying the majority vote	435
c.	Dissenting votes of Judges Oda, Al-Khasawneh and ad hoc Judge van den Wyngaert	438
d.	Final considerations on the ICJ's Arrest Warrant of 11 April 2000 decision	439
2.	ICTY on immunities in re Milosevic	445
a.	ICTY decision of 8 November 2001 regarding Milosevic's preliminary motions	446
b.	Final considerations on the ICTY's decision of 8 November 2001	446
3.	SCSL on immunities in re Taylor	447
a.	SCSL Appeals Chamber decision of 31 May 2004	448
b.	Final considerations on the SCSL decision of 31 May 2004	449
4.	Further jurisprudence on immunities in prosecuting international crimes	450
VII.	Final remarks on the jurisprudence of international tribunals with regard to immunities	451
D.	Domestic statutes of limitation prevention torture prosecutions on the basis of universal jurisdiction in third states?	452
I.	Prescription in the French proceedings against Pinochet Ugarte	452
II.	Prescription in the Mexican proceedings against Cavallo	453
III.	Prescription in the Belgian proceedings against Pinochet	455
IV.	Prescription in the Italian proceedings against Olivera	456
V.	Prescription in the Senegalese proceedings against Habré	458
VI.	Final considerations on domestic prescription rules	460
E.	Conclusions on legal barriers preventing successful torture prosecutions on the basis of universal jurisdiction	462

Chapter 3: Practical barriers to torture prosecutions on the basis of universal jurisdiction	464
A. Obstacles in gathering evidence for torture prosecutions	464
I. General concerns regarding the cooperation among states in criminal matters	464
1. Reluctance of domestic states' authorities to co-operate with foreign authorities and investigation teams and Art. 9 obligations	465
2. General scarcity of legal instruments adequately regulating mutual legal assistance and Art. 9 obligations	468
3. Final considerations on co-operation between states in torture prosecutions	469
II. Specific issues in torture investigations and trial relating to certain types of evidence	470
1. Documentary and other physical pieces of evidence in torture prosecutions	470
2. Witnesses of torture crimes	471
III. Case studies of successful torture investigations	475
1. Extensive investigations permitting a founded prosecution and conviction: Zardad (United Kingdom).....	475
2. Habré awaiting trial in Senegal after Belgium's extensive investigation	476
IV. Final considerations on evidentiary problems.....	477
B. Inadequate prevention of torture suspects' flight	478
I. Failure to detain or ensure presence of Ould Dah, Ben Saïd and Nezzar in France	478
II. Failure to detain and ensure presence of Alvarez Ruiz in Mexico	481
III. Failure to detain and ensure presence of Almatov in Germany.....	482
IV. Failure to detain and ensure presence of Al Doorri in Austria	483
V. Final considerations on flight prevention of torture suspects ...	484
C. Lack of law enforcement personnel specialised and trained in investigating and prosecuting the international crime of torture	484
D. Final considerations on practical barriers preventing successful torture prosecutions on the basis of universal jurisdiction.....	486

PART IV –Additional factors contributing to states' frequent failure in meeting their obligations arising under the torture convention

487

Chapter 1: Lack of judicial authority and systematic international supervision	487
A. Obstacles in enforcing domestic legal decisions based on universal jurisdiction.....	487
B. Insufficient supervisory mechanisms observing the compliance with obligations under the UN Torture Convention	487

C. Final considerations on additional factors for states' failure to fully comply with the UN Torture Convention 489

PART V – Findings, conclusions and final considerations on the exercise of universal jurisdiction over torture491

Abstract (German)..... 495

Abstract (English)..... 497

Bibliography 499

Index 523

Curriculum Vitae of the author..... 533