## Treatise on International Criminal Law

Volume III: International Criminal Procedure

KAI AMBOS



	able of Cases	XVII	
Te	able of Legislation	lxxvii	
Li	List of Abbreviations		
List of Figures			
I.	The Framework of International Criminal Procedure:		
	Conceptual Foundations, Origins, Goals, and Rights	1	
	A. Conceptual foundations	1	
	(1) 'Civil Law' and 'Common Law'—The division into legal families	1	
	(a) Civil Law	2	
	(b) Common Law	3	
	(2) Theories of criminal procedure	4 4	
	<ul><li>(a) Adversarial and inquisitorial</li><li>(b) Other models of criminal procedure</li></ul>	47	
	B. The history of international criminal procedure	8 8	
	<ul><li>(1) The origins of international criminal procedure</li><li>(a) Nuremberg</li></ul>	8	
	(b) Tokyo	14	
	(c) Post-Nuremberg and post-Tokyo trials	16	
	(d) Problems and legacies of the IMT and IMTFE	19	
	(2) The influence of Nuremberg and Tokyo on the procedure of		
	international criminal tribunals	24	
	(a) The development of procedural rules at the ad hoc tribunals	25	
	<ul><li>(b) The development of procedural rules at the ICC</li><li>(c) The development of procedural rules at the 'mixed' tribunals</li></ul>	28 30	
	(i) Procedural rules at tribunals that are part of a transitional	50	
	UN administration or a regional organization	30	
	(1) East Timor (UNTAET)	30	
	(2) Kosovo (UNMIK and EULEX)	31	
	(ii) Procedural rules at tribunals based on a bilateral		
	agreement with the UN or a regional organization	34	
	(1) Special Court for Sierra Leone	34	
	<ul><li>(2) Extraordinary Chambers in the Court of Cambodia</li><li>(2) Special Tribunal for Lebanon</li></ul>	36 38	
	(3) Special Tribunal for Lebanon (iii) Procedural rules at other tribunals	39	
	(1) Iraqi Higher Criminal Court (IHCC)	39	
	(2) International Crimes Tribunal (ICT) in Bangladesh	41	
	(3) Special Jurisdiction for Peace in Colombia	42	
	(d) Intermediate conclusion	44	
	C. Goals of international criminal justice	44	
	(1) Traditional goals of international criminal justice	46	
	(2) Special goals of international criminal justice	48	
	(a) Provision of an accurate historical record of events/substantive		
	truth finding	48	
	<ul><li>(b) Restoration of international peace and security</li><li>(c) Satisfaction of victims—Victim participation</li></ul>	49 51	
	(3) The goals in context	52	
	(5) The Board in context	22	

I	D.	Rights of the Accused	57 57
		(1) Overview	
		(2) Fair trial and equality of arms	60
		(a) Preliminary remarks	60
		(b) Equality of arms	61
		(c) Towards an adversarial procedure?	63
		(d) Application ratione temporis	65
		(3) Concrete rights	67
		(a) Preliminary remarks	67
		(b) Presumption of innocence	69
		(c) Prompt information about nature and cause of the charge	73
		(d) Adequate time and facilities for the preparation of defence	79
		(e) Full and effective defence	80
		(f) Right to witness confrontation	84
		(g) Free assistance of an interpreter	88
		(h) Trial without undue delay	90
		(i) Right to judicial review	91
		(j) Ne bis in idem (double jeopardy rule)	93
		(4) Overall assessment of fair trial	95
П.	Ro	ble and Status of Legal Participants	99
			99
	Α.	Judges and Chambers	99
		(1) Position (2) Communities of Charles have	101
		(2) Composition of Chambers	101
		(a) Pre-Trial Chamber	101
		(b) Trial Chamber	102
		(c) Appeals Chamber	103
		(3) Selection	105
		(4) Legal ethics	107
		(5) Control and review (accountability)	
	B.	Prosecutor and Office of the Prosecution	111
		(1) Position: A separate and independent organ of the Court	111
		(2) Composition and structure	117
		(3) Qualifications, selection, and tenure	123
		(4) Function and mandate	126
		(5) Strategy and policy	130
		(6) Professional ethics: The OTP's Code of Conduct	135
		(7) Control and review (accountability)	137
	С	Defence Counsel	141
	0.	(1) Right to counsel	141
		(a) Introduction	141
		(b) Legal framework and scope of protection	141
		(c) Free choice of counsel	144
		(d) Free legal assistance	145
		(2) Defence attorney ethics	146
			146
		<ul><li>(a) Preliminary remarks</li><li>(b) Code of Professional Conduct for counsel</li></ul>	147
			151
		<ul><li>(3) Standby counsel</li><li>(4) Ad hec counsel</li></ul>	151
		(4) Ad hoc counsel	
	D	Defendants	159
		(1) Rights of the suspect/accused	159
		(2) Presence at trial	162
		(3) Self-representation	165

	E.	Victims	167
		(1) A new concept in ICL: From victor's justice to justice for victims	167
		(2) Definition of victims	171
		(3) Assistance to victims by the Registry	174
		(4) Victim participation	175
		(a) Article 68 (3) ICCS: The core provision on victim participation	175
		(b) Specific participation and information rights	179
		(c) The application process	181
		(d) Modalities of victim participation	187
		(5) Victim protection	194
		(6) Reparations to victims	194
	F.	Amicus curiae	203
HI.	Iu	risdiction and Admissibility (Complementarity)	206
	Α.	Jurisdiction	206
		(1) Principles of national jurisdiction	206
		(a) The starting point: Principle of non-interference	206
		(b) Genuine links in international law	209
		(c) Solving conflicts by balancing out the respective interests	210
		(2) The legitimate genuine links in detail	211
		(a) Principle of territoriality	211
		(i) General	211
		(ii) Objective territoriality/ubiquity vs. effects	213
		(iii) The flag principle	216
		(b) The active personality principle	217
		(i) Absolute active personality principle	218
		(ii) Limited active personality principle	218
		(iii) Domicile or residence principle	219
		(iv) Seat principle	220
		(c) The protective principle: Substantial State interests and	
		passive personality	220
		(i) Protective principle <i>stricto sensu</i>	221
		(ii) Passive personality principle	222
		(d) Principle of universal jurisdiction	224
		(i) Foundation	224
		(ii) Scope or subject matter	227
		(e) The principle of representation (aut dedere aut iudicare)	230
		(3) Conflicts of jurisdiction	233
		(a) Conflict of jurisdiction in the broad sense and double jeopardy	234
		(b) Settling conflicts of jurisdiction: A call for a hierarchy of the	
		jurisdictional links	235
		(4) Jurisdiction of the ICC vis-á-vis international criminal tribunals	242
		(a) Jurisdiction of the ICC	242
		(i) Preliminary remarks	242
		(ii) Ratione loci jurisdiction	244
		(iii) Declaration under Article 12 (3) ICCS	248
		(iv) Challenges to jurisdiction	251
		(b) Exercise of Jurisdiction: Referral (trigger) mechanisms	255
		(i) State referral, including self-referral	256
		(ii) Security Council referral (and deferral)	260
		(iii) <i>Proprio motu</i> investigation by the Prosecutor	264
		= / = / = / · · · · · · · · · · · · · ·	

			nissibility, in particular the complementarity test Primacy vs. subsidiarity (complementarity)	266 266
			(a) Primacy	266
			(b) Subsidiarity (complementarity)	268
		(2)	Admissibility (Article 17 ICCS): Gravity and complementarity <i>stricto sensu</i> (a) Introductory remarks	271 271
			(b) Situation and case—The objects of reference of the	
			admissibility test	274
			(c) Sufficient gravity (Article 17 (1)(d) ICCS)	284
			(i) The standard in current practice	284
			(ii) The own approach	292
			(d) Complementarity stricto sensu (Article 17 (1)(a)-(c), (2),	
			and (3) ICCS)	295
			(i) Admissibility due to total State inaction	296
			(ii) Inadmissibility due to State action (Article 17 $(1)(a)$ -(c) and	201
			Article 20 (3) ICCS)	301
			(iii) Admissibility due to unwillingness or inability (Article 17 (2)	305
			and (3) ICCS)	305
			<ul> <li>(1) Preliminary remarks</li> <li>(2) Unwilling page</li> </ul>	307
			(2) Unwillingness 1. General	307
			2. Specific criteria	309
			(3) Inability	317
			(e) Challenges to admissibility (Articles 18, 19)	322
		(3)	Positive complementarity	327
		(5)	(a) Origin and concept	327
			(b) Assessment: A realistic role for positive complementarity	331
IV.			dings before the ICC and the Ad Hoc Tribunals—Overview	224
	and	d Sp	pecial Issues	334
	А.	Ov	erview	334
		(1)	Investigation	335
			(a) Preliminary examination	335
			(b) Formal investigation	342
		(2)	Charges and judicial review: Confirmation proceedings	345
			(a) Indictment (ad hoc tribunals) and Document Containing	245
			the Charges (ICC)	345 354
		(-)	(b) Confirmation proceedings, hearing, and decision	362
		(3)	Trial	362
			(a) General Overview	502
				368
		(4)	(b) Presence of the accused and joinder/severance	368 370
			Judgment	370
	В.	Sp	Judgment ecial Issues	370 376
	B.	Sp (1)	Judgment ecial Issues Selection and prioritization as key elements of a prosecutorial strategy	370 376 376
	B.	Sp (1) (2)	Judgment ecial Issues Selection and prioritization as key elements of a prosecutorial strategy The fine distinction between Article 53 (1) and (2) ICC Statute	370 376
	B.	Sp (1) (2)	Judgment ecial Issues Selection and prioritization as key elements of a prosecutorial strategy The fine distinction between Article 53 (1) and (2) ICC Statute Prosecutorial discretion vs. judicial supervision during preliminary	370 376 376 380
	B.	Sp (1) (2) (3)	Judgment ecial Issues Selection and prioritization as key elements of a prosecutorial strategy The fine distinction between Article 53 (1) and (2) ICC Statute Prosecutorial discretion vs. judicial supervision during preliminary examination and investigation	370 376 376 380 381
	B.	Sp( (1) (2) (3) (4)	Judgment ecial Issues Selection and prioritization as key elements of a prosecutorial strategy The fine distinction between Article 53 (1) and (2) ICC Statute Prosecutorial discretion vs. judicial supervision during preliminary examination and investigation The interests of justice clause	370 376 376 380
	B.	Sp( (1) (2) (3) (4)	Judgment ecial Issues Selection and prioritization as key elements of a prosecutorial strategy The fine distinction between Article 53 (1) and (2) ICC Statute Prosecutorial discretion vs. judicial supervision during preliminary examination and investigation The interests of justice clause Investigatory powers of the Prosecutor (simple and qualified	370 376 376 380 381 387
	B.	Sp (1) (2) (3) (4) (5)	Judgment ecial Issues Selection and prioritization as key elements of a prosecutorial strategy The fine distinction between Article 53 (1) and (2) ICC Statute Prosecutorial discretion vs. judicial supervision during preliminary examination and investigation The interests of justice clause Investigatory powers of the Prosecutor (simple and qualified investigative measures)	370 376 376 380 381
	B.	Sp (1) (2) (3) (4) (5)	Judgment ecial Issues Selection and prioritization as key elements of a prosecutorial strategy The fine distinction between Article 53 (1) and (2) ICC Statute Prosecutorial discretion vs. judicial supervision during preliminary examination and investigation The interests of justice clause Investigatory powers of the Prosecutor (simple and qualified investigative measures) Individualization: Arrest and pre-trial detention, summons to appear	370 376 376 380 381 387
	B.	Sp (1) (2) (3) (4) (5)	Judgment ecial Issues Selection and prioritization as key elements of a prosecutorial strategy The fine distinction between Article 53 (1) and (2) ICC Statute Prosecutorial discretion vs. judicial supervision during preliminary examination and investigation The interests of justice clause Investigatory powers of the Prosecutor (simple and qualified investigative measures)	370 376 376 380 381 387 391

		Contents	xiii
	(7)	Continuous investigation, amendment/withdrawal of charges,	
		cumulative/alternative charging, and recharacterization of facts (a) Continuous investigation versus premature termination	415 415
		(b) Amendment/withdrawal of charges and presentation of new evidence	418
		(c) Cumulative/alternative charging and recharacterization of facts	
		<ul><li>(Regulation 55)</li><li>(d) The gist of the issue: Distinguishing law and facts and ensuring</li></ul>	420
		a fair trial	427
	(8)	Guilty plea versus 'admission of guilt'	433
		(a) ad hoc tribunals (b) Internetional Count	434
		(b) International Criminal Court	437
V.		nce and Disclosure	446
	A. Evi		446
	(1)	General remarks	446
		<ul><li>(a) Free assessment and admissibility</li><li>(b) Submission of evidence</li></ul>	447
	(2)	Relevance, probative value (reliability), and fundamental	453
	(2)	procedural principles	456
		(a) Relevance, probative value, and reliability	456
		(b) Fundamental principles, in particular the beyond reasonable	
		doubt standard	461
	(3)	Witness testimony, including expert witnesses	464
		(a) General: Order and manner of interrogation	464
		(b) Probative value, reliability, credibility, and corroboration	472
		<ul><li>(c) Hearsay evidence, including intermediaries</li><li>(d) Familiarization and preparation of witnesses ('proofing')</li></ul>	474 478
		(e) Expert witnesses	478
	(4)	Documentary evidence	486
	(-)	(a) Concept and forms: Testimonial and other written evidence	486
		(b) Admissibility: General principles	487
		(c) Ad hoc tribunals: The move to written evidence	489
		(d) ICC: Admission of written evidence, especially Rule 68 RPE ICC	494
		(e) Bar table evidence and authenticity of documents	500
	(5)	Special rules due to subject matter or other reasons	502 503
		<ul><li>(a) Judicial notice</li><li>(b) Non-contestation of facts</li></ul>	505
		(c) Others	506
	(6)	Direct versus indirect (circumstantial) evidence	509
		Documentation ('record of proceedings')	511
		Inadmissibility (exclusion) of evidence due to rights violations	513
		(a) Conceptual foundations: Exclusionary rules versus	<b>C14</b>
		<ul><li>prohibitions of use</li><li>(b) The substantive (two-step) test: Nature of violation and impact</li></ul>	514 516
	R Die	closure	
		Introduction	520 520
	(1)	(a) Conceptual clarification	520
		(b) The Human Rights Law dimension of disclosure	521
		(c) The role of the Chamber and the Registry	522
	(2)	Prosecution disclosure	523
		(a) General remarks	523
		(b) Disclosure relating to an arrest warrant	525

	<ul><li>(c) Disclosure prior and at the confirmation hearing</li><li>(i) The legal regime</li></ul>	526 526
	(ii) Extent of disclosure	527
	(iii) The obligation to provide an analysis chart	529
	(d) Exculpatory evidence	532
	<ul> <li>(i) The importance of an obligation to disclose exculpa evidence</li> </ul>	332
	(ii) Definition of 'exculpatory evidence'	532 533
	(iii) Discretionary decision by the Prosecution	535
	(iv) Timing and form	535
	(e) Documents and tangible objects	537
	(f) Witness disclosure and limitations	540
	(3) Defence disclosure	541
	(4) Disclosure restrictions	544
	(5) Consequences of non-disclosure	546
	(6) Conclusion	510
VI.	Appeal, Revision, and other Remedies	548
	A. Preliminary remarks	548
	B. Appeal	550
	(1) Appeal against final decision or sentence	550
	(a) Procedure	550
	(b) Standard of review and grounds of appeal	554
	(i) Factual errors	555
	(ii) Errors of law	558
	(iii) Procedural and other errors	561
	(c) Presentation of additional evidence	563
	(d) Appeals judgment	568
	(2) (Interlocutory) Appeal against other decisions	569
	(a) General, including legal standing	569
	(b) Reasons of appeal	572 576
	(c) Standard of review	
	C. Revision, including reconsideration	576
	(1) General, including standing and standard	576
	(2) Grounds of revision	577
	(3) Reconsideration	580
	D. Other remedies	582
	(1) Remedies in case of rights violations	582
	(a) General	582
	(b) Stay of proceedings	582
	(c) Other remedies	585
	(2) Review of administrative decisions	588
VII.	. The Cooperation Regime	591
	A. Introductory remarks	591
		591
	<ul><li>(1) Importance, nature, and forms of cooperation</li><li>(2) Cooperation obligations and non-compliance</li></ul>	596
		600
	B. The cooperation regime in more detail	600
	(1) General aspects	601
	(a) ICC (b) Ad hoc tribunals	605

(2) Surrender and provisional arrest of persons	606
(a) The ICC regime and national implementation	606
(i) Basic principles and rules	606
(ii) Limitations	614
(1) General	614
(2) Immunity and other conflicting obligations (Article 98 ICCS)	617
1. Article 98 (1) 2. Article 98 (2)	618 622
(b) ICTY and ICTR	622
(3) Other mutual legal assistance	626
(a) ICC regime	626
(i) General rules and national implementation	626
(i) Limitations	630
(b) ICTY and ICTR	633
VIII. Enforcement of Sentences and Other Penalties	635
A. Introductory remarks	635
B. Enforcement of sentences of imprisonment	638
(1) The ICC regime and the role of States	638
(a) General willingness of States, concrete designation, and acceptance	
of convicts	638
(b) The actual enforcement	643
(2) ICTY, ICTR, and SCSL	650
(a) General willingness of States, concrete designation, and acceptance	
of convicts	650
(b) The actual enforcement	652
C. Enforcement of fines and other financial measures, including	
reparation orders	654
D. National implementation: Some examples	657
IX. Concluding Remarks	660
General Literature	665
Index of Names	673
Index of Subjects	675
Index of Subjects	0/5

xv