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Report of the Bureau on non-cooperation

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I. Introduction

1. Article 112, paragraph (2) (f), of the Rome Statute provides that “the Assembly shall consider pursuant to article 87, paragraphs 5 and 7, any question relating to non-cooperation.”

2. At its tenth session, the Assembly of States Parties (“the Assembly”) adopted the Assembly procedures relating to non-cooperation (“the Procedures”).¹ At its subsequent sessions the Assembly approved mandates with regard to non-cooperation and requested the Bureau to submit reports on the implementation of the Procedures. At its seventeenth session, the Assembly adopted the revised Procedures and approved mandates accordingly with its request for the Bureau to submit reports on the implementation of the revised Procedures.² The present report is submitted pursuant to the mandate approved at the twenty-first session of the Assembly.³

3. In operative paragraph 21 of resolution ICC-ASP/21/Res.2, entitled “Strengthening the International Criminal Court and the Assembly of States Parties”, adopted at its nineteenth session, the Assembly “[u]nderline[d] also the necessity to continue the discussions between the co-facilitators on cooperation and the focal points on non-cooperation and the Court, following the joint panel discussion on strengthening cooperation with the Court held on 5 October 2020”.⁴

4. In operative paragraph 27 of resolution ICC-ASP/21/Res.2, the Assembly also “[r]ecall[ed] the Procedures relating to non-cooperation adopted by the Assembly in ICC-ASP/10/Res.5 and revised by the Assembly in resolution ICC-ASP/17/Res.5, recognize[d] with concern the negative impact that the non-execution of Court requests continue[d] to have on the ability of the Court to execute its mandate, and [took] note of the past decisions of the Court on non-cooperation”.⁵

5. In operative paragraph 28 of resolution ICC-ASP/21/Res.2, the Assembly also “[r]ecall[ed] the Toolkit for the implementation of the informal dimension of the Assembly procedures relating to non-cooperation, which [had been] revised as annex III to ICC-ASP/17/31 and encourage[d] States Parties to make use of it as they [saw] fit in order to improve the implementation of the Assembly procedures relating to non-cooperation”.⁶

6. In operative paragraph 29 of resolution ICC-ASP/21/Res.2, the Assembly also “[took] note of the report of the Bureau on non-cooperation, welcome[d] the efforts of the President of the Assembly in implementing the Assembly procedures relating to non-cooperation, recall[ed] that the President serves ex officio as focal point for his or her region, and call[ed] upon all stakeholders, at all levels, to continue assisting the President of the Assembly, including when accomplishing his or her task with the support of the regional focal points for non-cooperation”.⁷

7. In operative paragraph 30 of resolution ICC-ASP/21/Res.2, the Assembly also “[r]ecall[ed] the role of the Assembly of States Parties and the Security Council with respect to non-cooperation as provided for by articles 87, paragraph 5, and 87, paragraph 7, of the Rome Statute, and welcome[d] the efforts of States Parties to strengthen the relationship between the Court and the Council”.⁸

8. In operative paragraph 32 of resolution ICC-ASP/21/Res.2, the Assembly also “[c]all[ed] upon States Parties to continue their efforts to ensure that the Security Council addresses the communications received from the Court on non-cooperation pursuant to the Rome Statute, encourage[d] the President of the Assembly and the Bureau to continue consulting with the Security Council and also encourage[d] both the Assembly and the Security Council to strengthen their mutual engagement on this matter”.⁹

¹ ICC-ASP/10/Res.5, para. 9 and annex, amended via ICC-ASP/11/Res.8, para. 10 and annex I.

² ICC-ASP/17/Res.5, para. 31 and annex II.

³ ICC-ASP/21/Res.2, annex I, paras.3(k)-(m).

⁴ ICC-ASP/21/Res.2, para. 21.

⁵ ICC-ASP/21/Res.2, para. 27.

⁶ ICC-ASP/21/Res.2, para. 28.

⁷ ICC-ASP/21/Res.2, para. 29.

⁸ ICC-ASP/21/Res.2, para. 30.

⁹ ICC-ASP/21/Res.2, para. 32.

9. In operative paragraph 33 of resolution ICC-ASP/21/Res.2, the Assembly “*encourage[d]* the authorities in Sudan to effectively cooperate with the Court in accordance with Security Council resolution 1593, while *expressing concern* about the military takeover in Sudan on 25 October 2021”.¹⁰

10. In operative paragraph 34 of resolution ICC-ASP/21/Res.2, the Assembly further “*not[ed]* the past orders of the Pre-Trial Chamber to the Registrar concerning action to be taken in case of information relating to the travel of suspects, *urge[d]* States to share with the focal points on non-cooperation any information concerning potential or confirmed travel of persons against whom an arrest warrant [had been] issued”.¹¹

11. At its twenty-first session, the Assembly “*request[ed]* the President of the Assembly to continue to engage actively and constructively with all relevant stakeholders, in accordance with the Assembly procedures relating to non-cooperation, both to prevent instances of non-cooperation and to follow up on any matter of non-cooperation referred by the Court to the Assembly”.¹² The Assembly also “*request[ed]* that any information concerning potential or confirmed travel of persons against whom an arrest warrant [had] been issued be promptly shared with the Court by the focal points on non-cooperation”.¹³ The Assembly further “*request[ed]* the Bureau to continue to actively engage throughout the intersessional period with all relevant stakeholders to continue to ensure effective implementation of the Assembly procedures relating to non-cooperation and to submit a report on its activities to the Assembly at its twenty-second session”.¹⁴

12. Paragraph 17 of the Procedures on non-cooperation calls for the appointment of four or, if so requested by the President of the Assembly, five focal points from among all States Parties, on the basis of equitable geographical representation; the President serves *ex officio* as focal point for her own region.¹⁵

13. The Bureau appointed Argentina, Ireland and Romania at its second meeting on 14 February 2023 as ad country focal points on non-cooperation (“focal points”) for their respective regional groups.¹⁶ The Bureau further appointed Sierra Leone as ad country focal point for non-cooperation for the African regional group at its third meeting on 10 March 2023.¹⁷ The Bureau also appointed Vanuatu as ad country focal point for non-cooperation for the Asia-Pacific regional group via silence procedure on 25 August 2023. The focal points are appointed on an ad country mandate, which implies that the respective countries are engaged at high diplomatic and political levels in New York, The Hague, capitals and in other embassies, where appropriate.

14. The present report covers activities during the inter-sessional period between the twenty-second session of the Assembly.

15. The focal points on non-cooperation recall the provisions of the Rome Statute, the Declaration on Cooperation (RC/Dec.2) agreed by States Parties at the Review Conference in Kampala and previous resolutions and declarations of the Assembly of States Parties with regard to cooperation, and reiterate the obligation of States Parties to cooperate with the Court. We also recall that the Rome Statute, in article 112(2)(f), provides that the Assembly shall consider any question relating to non-cooperation, and pursuant to article 112(2)(g), entrusted the Assembly to “[p]erform any other function consistent with this Statute or the Rules of Procedure and Evidence”. To this effect, on 21 June 2023, the focal points on non – cooperation brought once again to the attention of States Parties, Observer and Invited States and non-governmental organizations the Toolkit for the implementation of the informal dimension of the Assembly procedures relating to non-cooperation (the Toolkit on non-cooperation, ICC-ASP/15/31/Add.1 as revised by ICC-ASP/17/31, annex III)

¹⁰ ICC-ASP/21/Res.2, para. 33.

¹¹ ICC-ASP/21/Res.2, para. 34.

¹² ICC-ASP/21/Res.2, annex I, para. 3(k).

¹³ ICC-ASP/21/Res.2, annex I, para. 3(l).

¹⁴ ICC-ASP/21/Res.2, annex I, para. 3(m).

¹⁵ ICC-ASP/17/Res.5, annex II, para. 17.

¹⁶ Decision of the Bureau of the Assembly of States Parties, 14 February 2023, available at https://asp.icc-cpi.int/sites/default/files/asp_docs/2023-Bureau2-Agenda-Decisions.pdf.

¹⁷ Decision of the Bureau of the Assembly of States Parties, 10 March 2023, available at https://asp.icc-cpi.int/sites/default/files/asp_docs/Bureau3-Agenda-Decisions.pdf.

16. The focal points on non-cooperation also recall that the “Comprehensive Action Plan for the assessment of the recommendations of the Group of Independent Experts, including requirements for possible further action” proposed by the Review Mechanism on 30 June 2021 and adopted by the Bureau on 28 July 2021 allocated recommendations 284, 286 and 289 of the Independent Expert Review (IER) to the non-cooperation focal points, in conjunction with the cooperation facilitation (recommendations 284 and 289), the Office of the Prosecutor (recommendations 286 and 289) and the Registry (recommendation 289).

17. Following the positive assessment of the recommendations by the cooperation facilitation on 29 June 2022, the focal points for non-cooperation considered whether any further action was necessary on their part. After careful consideration, the non-cooperation focal points agreed that no further action was necessary and endorsed the conclusion reached by the cooperation facilitation and the representatives of the Office of the Prosecutor, reflecting the views of States, that recommendations 284, 286 and 289 were positively assessed. The focal points for non-cooperation look forward to continue contributing to efforts undertaken to implement the three recommendations, together with relevant actors identified in the Comprehensive Action Plan, while noting that substantial progress has already been made in this respect, in particular at the level of the OTP.

II. Court proceedings and findings: States Parties

18. Pursuant to article 86 of the Rome Statute, States Parties shall, in accordance with the provisions of the Statute, cooperate fully with the Court in its investigation and prosecution of crimes within the jurisdiction of the Court. Pursuant to article 89, States Parties are obliged to execute the Court’s pending orders for the arrest and surrender of a person.

19. No Court proceedings concerning non-cooperation took place in relation to States Parties.

III. Court proceedings and findings: States under an obligation to cooperate with the Court pursuant to a decision of the United Nations Security Council

20. Pursuant to Security Council resolution 1593 (2005), “the Government of Sudan and all other parties to the conflict in Darfur, shall cooperate fully with and provide any necessary assistance to the Court and the Prosecutor.”¹⁸

21. Pursuant to Security Council resolution 1970 (2011), the Libyan authorities shall cooperate fully with and provide any necessary assistance to the Court and the Prosecutor.

22. No Court proceedings concerning non-cooperation took place in relation to States under an obligation to cooperate with the Court pursuant to a decision of the United Nations Security Council.

IV. Court proceedings and findings: States not Parties

23. While States not party to the Rome Statute have no obligation under it, pursuant to Security Council resolutions 1593 (2005) and 1970 (2011), all States and concerned regional and other international organizations are urged to fully cooperate with the Court and the Prosecutor.

24. No Court proceedings concerning non-cooperation took place regarding States not Parties to the Statute.

¹⁸ S/RES/1593 (2005), para. 2.

V. Actions undertaken by the President of the Assembly and the Bureau, States Parties and other stakeholders

25. Throughout the year, the President of the Assembly recalled the importance for States to spare no effort in executing the arrest warrants issued by the Court.

26. The focal points were grateful to receive information about the possible travel of persons subject to warrants of arrest issued by the Court known to have engaged in international travel during the reporting period, from the Court, from various States Parties and from representatives of civil society.

27. Where such information originated from States Parties or civil society, the focal points shared such information with the Court.

28. Working through their respective regional groups, the focal points also kept States Parties informed regarding any proposed travel.

29. The focal points were grateful that States Parties kept them informed of their diplomatic action with respect to such travel. The focal points commend those States Parties that took steps to encourage other States to meet their cooperation obligations in full.

VI. The United Nations Security Council

30. During the reporting period, the Prosecutor presented his thirty-sixth and thirty-seventh reports to the Security Council pursuant to resolution 1593 (2005), on 25 January 2023 and 13 July 2023, respectively. The Prosecutor renewed his appeal to the Council to provide the necessary support to enable the Court to carry out its mandate under the Rome Statute following the referral in resolution 1593.¹⁹

31. The Prosecutor presented the twenty-fifth and twenty-sixth reports to the Security Council pursuant to resolution 1970 (2011), with reference to several aspects relevant to cooperation and non-cooperation, on 11 May and 8 November 2023, respectively, calling for greater support from, inter alia, the Council, including for the arrest and surrender of suspects against whom arrest warrants have been issued by the Court in the situation.²⁰

VII. Consultations on non-cooperation

32. Pursuant to the mandate of the Bureau, the focal points on non-cooperation engaged in consultations with relevant stakeholders in order to ensure effective implementation of the Procedures and to submit a report on its activities to the Assembly at its twenty-second session.

33. The focal points held a strategic planning meetings o 16 June 2023, to discuss and update the programme of work for 2023, as well as the ongoing review process. The focal points participated in the meetings of mandate-holders with the President of the Assembly on 19 July 2023, to discuss the work of the facilitation during the intersessional period. The focal points also updated the New York Working Group on their work on 29 November 2023, The focal points also took the opportunity to remind States Parties, Observer States and civil society of the utility of the toolkit for non-cooperation.

VIII. Recommendations

34. The focal points recommend that the Assembly take note of the present report and adopt the proposed language concerning mandates on non-cooperation that is contained in annex I to this report.

¹⁹ Id.

²⁰ See Twenty-fifth and twenty-sixth Reports of the Prosecutor of the International Criminal Court to the United Nations Security Council pursuant to UNSCR 1970 (2011), available at <https://www.icc-cpi.int/about/otp/Pages/otp-reports.aspx>; see also the relevant meeting records of the United Nations Security Council for the briefing of the Prosecutor of the International Criminal Court.

35. The focal points consider that they and the President of the Assembly should continue to engage in any necessary measures that ensure knowledge, understanding and implementation of measures by States Parties and the Assembly, to prevent instances of non-cooperation.
36. With respect to the application of the Procedures on non-cooperation, the Assembly should request the Bureau, including the President and the focal points, to implement the Procedures more consistently.
37. The focal points suggest that future sessions of the Assembly include an agenda item to consider non-cooperation issues arising throughout the inter-sessional periods.
38. Additionally, during the inter-sessional period, the focal points will continue consultations on means to strengthen the application of the Procedures.
39. The focal points should continue to monitor judicial developments as well as travels of persons against whom warrants of arrest have been issued with the assistance of States Parties, and promptly inform the Court of any relevant information.
40. The focal points consider that the Court should continue to provide up-to-date information to the Assembly on judicial developments related to non-cooperation via the President and the focal points.
41. The focal points further recommend that States Parties continue to inform them on measures undertaken to prevent or to address instances of non-cooperation.
42. The focal points, in conjunction with the other stakeholders identified in the Comprehensive Action Plan for the assessment of the recommendations of the Group of Independent Experts, propose that the next steps for implementing recommendations R284, R286 and R289 be decided by the Assembly at its twenty-second session.

Annex I

Language for the omnibus resolution

1. The following paragraphs of the 2022 omnibus resolution (ICC-ASP/21/Res.2), located in in the section on cooperation, are to be amended as follows:

27. *Recalls* the Procedures relating to non-cooperation adopted by the Assembly in ICC-ASP/10/Res.5 and revised by the Assembly in resolution ICC-ASP/17/Res.5, *recognizes* with concern the negative impact that the non-execution of Court requests *continues* to have on the ability of the Court to execute its mandate, and *takes note* of the past decisions of the Court on non-cooperation;

28. *Recalls* the Toolkit for the implementation of the informal dimension of the Assembly procedures relating to non-cooperation,¹ which was revised as annex III to ICC-ASP/17/31 and *encourages* States Parties to make use of it as they see fit in order to improve the implementation of the Assembly procedures relating to non-cooperation;

29. *Takes note* of the report of the Bureau on non-cooperation,² *welcomes* the efforts of the President of the Assembly in implementing the Assembly procedures relating to non-cooperation and *recalls* that the President serves ex officio as focal point for his or her region,³ *calls upon* all stakeholders, at all levels, to continue assisting the President of the Assembly, including when accomplishing his or her task with the support of the regional focal points for non-cooperation;

30. *Recalls* the role of the Assembly of States Parties and the Security Council with respect to non-cooperation as provided for by articles 87, paragraph 5, and 87, paragraph 7, of the Rome Statute, and *welcomes* the efforts of States Parties to strengthen the relationship between the Court and the Council;

32. *Calls upon* States Parties to continue their efforts to ensure that the Security Council addresses the communications received from the Court on non-cooperation pursuant to the Rome Statute, *encourages* the President of the Assembly and the Bureau to continue consulting with the Security Council and also *encourages* both the Assembly and the Security Council to strengthen their mutual engagement on this matter;

33. *Encourages* the authorities in Sudan to effectively cooperate with the Court in accordance with Security Council resolution 1593, while *expressing continued concern* about the ~~military takeover in Sudan on 25 October 2021~~ **military conflict erupted in the Sudan on 15 April 2023** ;

34. *Noting* the past orders of the Pre-Trial Chamber to the Registrar concerning action to be taken in case of information relating to travel of suspects, *urges* States to share with the focal points on non-cooperation any information concerning potential or confirmed travel of persons against whom an arrest warrant has been issued;

Language for omnibus resolution mandates annex

2. The following subparagraphs of paragraph 3 of annex I (Mandates) of the 2022 omnibus resolution (ICC-ASP/21/Res.2) is replaced by the following:

(k) *requests* the President of the Assembly to continue to engage actively and constructively with all relevant stakeholders in accordance with the Assembly procedures *relating* to non-cooperation, both to prevent instances of non-cooperation and to follow up on any matter of non-cooperation referred by the Court to the Assembly;

¹ ICC-ASP/15/31, Add.1, annex II.

² ICC-ASP/24/22/3335.

³ ICC-ASP/11/29, para. 12.

(l) *requests* that any information concerning potential or confirmed travel of persons against whom an arrest warrant has been issued be promptly shared with the Court by the focal points on non-cooperation; and

(m) *requests* the Bureau to continue to actively engage throughout the intersessional period with all relevant stakeholders to continue to ensure effective implementation of the Assembly procedures relating to non-cooperation and to submit a report on its activities to the Assembly at its twenty-second~~second~~^{third} session.

Annex II

Assembly procedures relating to non-cooperation

The Assembly procedures relating to non-cooperation to address and respond to the failure by any State Party, or another State required to comply with a specific Court request for cooperation, can be found in annex II of resolution ICC-ASP/17/Res.5 at: https://asp.icc-cpi.int/iccdocs/asp_docs/ASP17/RES-5-ENG.pdf.

Annex III

Toolkit for the implementation of the informal dimension of the Assembly procedures relating to non-cooperation

The toolkit for the implementation of the informal dimension of the Assembly procedures relating to non-cooperation has been developed by the non-cooperation focal points as a resource for States Parties to improve the implementation of the informal measures of the procedures on non-cooperation. Its text can be found in annex III of the report of the Bureau on non-cooperation (ICC-ASP/17/31) at: https://asp.icc-cpi.int/iccdocs/asp_docs/ASP17/ICC-ASP-17-31-ENG.pdf#page=14.
