Killing in a Gray Area between Humanitarian Law and Human Rights

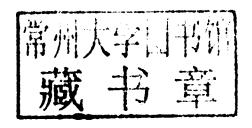
How Can the National Police of Colombia Overcome the Uncertainty of Which Branch of International Law to Apply?





Killing in a Gray Area between Humanitarian Law and Human Rights

How Can the National Police of Colombia Overcome the Uncertainty of Which Branch of International Law to Apply?





Jan Römer Dannenriede 37 29525 Uelzen Germany janrom@web.de

Dissertation zur Erlangung des akademischen Grades eines Doktors der Rechte an der Rechtswissenschaftlichen Fakultät der Europa-Universität Viadrina Frankfurt (Oder) Vorgelegt von: Jan Römer

Erstgutachter: Herr Prof. Dr. Wolff Heintschel von Heinegg

Zweitgutachter: Frau PD Dr. Carmen Thiele

The author has been a delegate of the International Committee of the Red Cross since 2001. The views expressed in this thesis are those of the author and do not necessarily reflect those of the ICRC.

ISSN: 1431-7923

ISBN: 978-3-642-04661-2 e-ISBN: 978-3-642-04662-9

DOI 10.1007/978-3-642-04662-9

Springer Heidelberg Dordrecht London New York

Library of Congress Control Number: 2009941067

© Springer-Verlag Berlin Heidelberg 2010

This work is subject to copyright. All rights are reserved, whether the whole or part of the material is concerned, specifically the rights of translation, reprinting, reuse of illustrations, recitation, broadcasting, reproduction on microfilm or in any other way, and storage in data banks. Duplication of this publication or parts thereof is permitted only under the provisions of the German Copyright Law of September 9, 1965, in its current version, and permission for use must always be obtained from Springer. Violations are liable to prosecution under the German Copyright Law.

The use of general descriptive names, registered names, trademarks, etc. in this publication does not imply, even in the absence of a specific statement, that such names are exempt from the relevant protective laws and regulations and therefore free for general use.

Cover design: WMXDesign GmbH, Heidelberg, Germany

Printed on acid-free paper

Springer is part of Springer Science+Business Media (www.springer.com)

Schriftenreihe der Juristischen Fakultät der Europa-Universität Viadrina Frankfurt (Oder)

Herausgegeben von Professor Dr. iur. Dr. phil. Uwe Scheffler, Frankfurt (Oder)

For further volumes: http://www.springer.com/series/3279

In love and gratitude, to my mother and my father

Acknowlegements

I would like to thank my relatives, friends and colleagues who encouraged me to write this thesis. First and foremost, I would like to mention the various officers of the National Police of Colombia who provided me with the necessary information for the thesis, in addition, the ICRC delegation in Bogotá for facilitating the contacts with the police, Mrs. Luz Marina Tamayo for our discussions, which helped me define the subject of this thesis, Mr. Nils Melzer and Mr. Robert Frau for various discussions on the content, Mrs. Corey Barber for proofreading, as well as Mr. Sebastian Biere for some logistical support. Last but not least, I would like to thank my advisor (*Doktorvater*), Prof. Dr. Wolff Heintschel von Heinegg.

Summary of Contents

I	Introduction	. 1
2	The Situation in Colombia	. 7
	A. Armed Conflict not of International Character:	
	Classification of the Colombian Case	. 7
	B. The Term "Armed Forces" in IHL and the National	
	Police of Colombia	26
3	Legal Requirements for the Use of Lethal Force	29
	A. Introductory Explanations of the Right to Life	29
	B. Applicable Branches of International Law	
	C. Killing under International Humanitarian	
	Law (Hostilities)	41
	D. Killing under International Human Rights Law	
	(Law Enforcement)	94
	E. Findings	
4	Use of Lethal Force by the National Police of Colombia	
•	in Various Operations	119
	A. Introductive Explanations	119
	B. General Aspects Regarding the Operations	122
	C. Scenario One	123
	D. Scenario Two	128
	E. Scenario Three	139
	F. Scenario Four	150
		155
	G. Findings	155
5	Main Findings and Thesis Statement	165

Contents

1	Introduction	1
	A. Content and Questions Addressed	1
	I. Killing: A General Problem in International Law and Its	
	Relevance to the Colombian Case	1
	II. Legal Framework	
	III. The Gray Area Between IHL and Human Rights in Cases	
	of Armed Conflict	2
	B. Justification of the Research Topic	3
	C. Questions That Are not Addressed	
	D. Outline	
2	The Situation in Colombia	7
	A. Armed Conflict not of International Character: Classification	
	of the Colombian Case	7
	I. Article 3 GC I–IV	8
	1. Threshold of Application	9
	2. Party to the Conflict: Groups of Organized Crime	
	and Banditry	10
	a) Degree of Organization	11
	(1) Capacity to Carry Out Operations Reaching	
	the Threshold of Armed Conflict	11
	(2) Ability to Implement IHL	12
	b) Alternative Criteria	12
	c) Are the Armed Groups Required to Have	
	a Political Goal?	13
	d) Can Parties to the Conflict Commit Acts	
	of Terrorism?	14
	(1) View of the US Government	15
	(2) Echoing the US Government's View	15
	(3) Summary	16

xii Contents

	3. Non-State Parties to the Colombian Armed Conflict	17
	a) Guerrilla Movements	17
	(1) FARC-EP	17
	(2) ELN	19
	b) Paramilitary Groups	19
	c) Organized Criminal Groups, Namely Drug Smugglers	22
	II. Criteria under Article 1 AP II	22
	1. The Responsible Command	23
	2. Control Over Part of a Territory	24
	3. The Sustained and Concerted Character	
	of Military Operations	24
	4. Military Operations Against Governmental	
	Armed Forces	25
	5. The Ability to Implement the Protocol	26
	III. Summary	26
	B. The Term "Armed Forces" in IHL and the National Police	
	of Colombia	26
3	Legal Requirements for the Use of Lethal Force	29
	A. Introductory Explanations of the Right to Life	29
	B. Applicable Branches of International Law	
	I. Applicability of Human Rights and Applicable	
	Conventions	30
	II. Relationship Between IHL and the International Law	
	of Human Rights	32
	1. Process of Convergence	32
	2. Different Approaches towards Defining	
	the Relationship	34
	III. Which Body of Law Regulates the Matter?	36
	Conduct of Hostilities and Law Enforcement	37
	2. Legal Framework	37
	IV. Is There a Specific Branch of International Law	
	for the Fight Against Terrorism?	40
	V. Summary	41
	C. Killing under International Humanitarian Law (Hostilities)	41
	I. Pertinent Rules for Colombia	41
	II. Principle of Distinction and Prohibition	
	of Indiscriminate Attacks	41
	1. Reasons for the Loss of Protection and the Use	
	of Lethal Force	43
	2. Reasons for the Use of Lethal Force	44
	3. Notion of "Civilian"	45
	4. Notion of "Member of the Armed Forces"	45
	a) Governmental Armed Forces	46
	b) Organized Armed Groups	46

Contents

		(1) Civilians or Non-Civilians?	46
		(2) Exceptions	50
		(3) De facto Affiliation	50
		(4) Excursus: The Term "Combatant" in IHL	
		Ruling Non-International Conflict	51
		c) Notion of "Armed Forces" According to Article 3	
		GC I–IV	52
	5.	Summary	52
	6.	Direct Participation of Civilians in Hostilities	53
		a) The Term "Direct Participation in Hostilities"	53
		(1) Threshold of Harm	55
		(2) Direct Causality	56
		(3) Belligerent Nexus	57
		(4) Preparatory and Final Measures with Regard	
		to Direct Participation	58
		b) Evaluation of the Three Constitutive Elements	58
		(1) Preliminary Considerations	58
		(2) Attempt to Define	60
		c) Different Approaches regarding Personal Scope	60
		d) Temporal Scope: Discontinuing the Loss	
		of Protection	61
		(1) Civilians	62
		(2) Members of Organized Armed Groups	63
	7.	Presumption in Situations of Doubt	63
	8.	Summary	64
III.		strictions on the Use of Lethal Force	65
		Human Rights Approach	65
		Principle of Military Necessity	68
		a) Concept and Scope of Application	68
		b) Permissive and Restrictive Functions	70
		c) Necessity-Factor with Regard to the Use	
		of Lethal Force	71
	3.	Safeguard of a Person Hors de Combat	73
		a) Article 5 AP II	73
		b) Article 3 GC I–IV	74
		c) Customary Law	74
		(1) Category Two: Defencelessness	76
		(2) Category Three: Surrender	77
		(3) Summary of Category Two and Three	78
		(4) Category One: To Be in the Power	
		of the Adverse Party	78
		(i) The Traditional View of the Legal Doctrine	81
		(ii) Test of Practicability of the Proposed	
		Definition	83
		(5) Meaning of "Attack" under the Safeguard	83

xiv Contents

	(6) The Proviso regarding the Safeguard	85
	(7) Summary and Definition of "to Be in the Power"	86
	4. Relationship Between Hors de Combat	
	and Military Necessity	87
	5. Conclusion	88
	IV. Principle of Proportionality	89
	V. Precautionary Measures	90
	1. Precautionary Measures with regard to the Principle	
	of Distinction	91
	2. Precautionary Measures with regard to the Principle	
	of Proportionality	92
	VI. The Prohibition and Restriction of Certain Means	
	and Methods	93
	1. Denial of Quarter	93
	2. Perfidy	93
	3. Specific Weapons	94
D.	Killing under International Human Rights Law	
	(Law Enforcement)	94
	I. The Right to Life in ICCPR and in ACHR	94
	II. Origin of the Term "Arbitrary"	95
	1. Travaux Préparatoires of the ICCPR	95
	2. Travaux Préparatoires of the ACHR	96
	3. Meaning of "Arbitrary"	96
	III. "Legitimate Purpose" and "Absolute Necessity"	97
	1. View of the United Nations' Human Rights Bodies	97
	2. View of the Inter-American Court on Human Rights	
	and Inter-American Commission on Human Rights	98
	3. European Convention on Human Rights	
	as Interpretative Guidance	99
	4. Code of Conduct for Law Enforcement Officials	
	and the Basic Principles on the Use of Force	
	and Firearms by Law Enforcement Officials	100
	5. Summary of "Legitimate Purpose" and "Absolute	
		102
	a) Legitimate Purpose	102
		103
		104
		105
		105
		106
		107
	6	107
		108
		109
	VII. Further Aspects?	109

Contents xv

	VIII. Precaution, Control and Organisation of the Operation	110
	Prevention of the Escalation of Violence	111
	a) Arrest at an Appropriate Moment	111
	b) Sufficient Set-Up	111
	2. Evaluation of Available Intelligence Information	112
	3. Minimization of Risks Caused by the Use of Firearms	112
	E. Findings	112
	I. Legitimacy of the Use of Lethal Force: Military	
	Objective and Legitimate Purpose	113
	II. Restrictions: The Necessity-Factor and the	
	"Least Harmful Means" Requirement	114
	III. Precautionary Measures	115
	IV. Proportionality	116
	V. Prohibition of and Restrictions on Certain Means	
	and Methods	117
	VI. Summary	117
	, and a second a second and a second and a second a second a second and a second a second a second a second a	
4	Use of Lethal Force by the National Police of Colombia	
	in Various Operations	119
	A. Introductive Explanations	119
	I. The Concerned Police Units	120
	1. EMCAR	120
	2. COPES	120
	II. Justification of the Identified Operations	121
	III. Methodology of the Identification of the Four Scenarios	121
	B. General Aspects regarding the Operations	122
	C. Scenario One	123
	I. Planning	123
	II. Execution	124
	1. Localization of the Area	124
	2. Deployment of the Police	124
	3. Confrontation	124
	III. Legal Assessment	125
	1. Legal Framework Regulating the Scenario	125
	2. Attack of a Military Objective	125
	3. Restriction of Having Been Rendered Hors de Combat	127
	4. Restriction Due to the Principle of Proportionality	127
	5. Further Precautionary Measures	128
	6. Prohibition and Restriction of Certain Means	
	and Methods	128
	D. Scenario Two	128
	I. Planning	129
	II. Execution	129
	III. Legal Assessment	130
	1. Requirements of IHL	131

xvi Contents

a) Legal Framework that Regulates Scenario Two	131
b) Attack of a Military Objective	132
c) Restrictions Due to the Safeguard of a Person	
Hors de Combat	133
(1) Defencelessness Due to Unconsciousness,	
Being Shipwrecked, Wounded or Sick	133
(2) Clear Expression of the Intent to Surrender	133
(3) To Be "in the Power" of the Adversary	133
d) Principle of Proportionality	134
e) Further Precautionary Measures and the Prohibition	
and Restriction of Certain Means and Methods	134
2. Requirements of the International Law	
of Human Rights	135
a) Legitimate Purpose	135
(1) Defence of One's Life or that of Another	135
(2) Prevention of Escape by Lawful Arrest	135
b) Absolute Necessity	136
c) Temporal Scope of Legitimate Purpose	
and Absolute Necessity	136
d) Proportionality	137
e) Precaution, Control and Organization	
of the Operation	137
(1) Arrest at an Appropriate Moment	137
(2) Sufficient Set-Up	138
(3) Available Information	138
(4) Minimization of Risks Due to the Use	
of Firearms	138
E. Scenario Three	139
I. Planning	139
II. Execution	140
III. Legal Assessment	140
1. Requirements in IHL	141
a) Legal Framework Regulating the Present Scenario	141
b) Direct Participation	142
(1) Threshold of Harm	142
(2) Direct Causality Between Hostile Acts	
and the Threshold of Harm	142
(3) Belligerent Nexus	143
(4) Temporal Scope: Spontaneous, Sporadic	
Participation	144
(5) De facto Affiliation	144
(6) Summary	145
c) Restrictions Due to the Safeguard of a Person	
Hors de Combat	145

Contents xvii

(1) Defencelessness Because of Unconsciousness,	
Being Shipwrecked, Wounded or Sick	146
(2) To Be in the Power of the Adversary	146
d) Restrictions Due to the Principle of Proportionality,	
Further Precautionary Measures and the Prohibition	
and Restriction of Certain Means and Methods	146
2. Requirements in the International Law	
of Human Rights	147
a) Legitimate Purpose	147
b) Absolute Necessity	148
c) Temporal Scope	148
d) Proportionality	148
e) Precaution, Control and the Organization	
of the Operation	149
F. Scenario Four	150
I. Planning	150
II. Execution	151
III. Legal Assessment	151
1. Requirements in IHL	151
a) Legal Framework Regulating the Current Scenario	151
b) Attack of a Military Objective and the Use	
of Lethal Force	152
c) The Restriction of the Use of Lethal Force	152
2. Requirements in the International Law	
of Human Rights	152
a) Legitimate Purpose	152
b) Absolute Necessity	153
c) Temporal Scope	153
d) Proportionality	153
e) Precaution, Control and Organization	
of the Operation	154
(1) Arrest at an Appropriate Moment	154
(2) Sufficient Set-Up	154
(3) Further Aspects	155
G. Findings	155
I. Causes of the Gray Area	155
II. Degree of Convergence between the Requirements	
in IHL and Human Rights	157
1. Shooting by the Attacked Individuals and Their	
Attempt to Escape	157
a) Use of Firearms by the Targeted People	157
b) Discontinuing the Use of Firearms	158
2. Escape of Unarmed Guards of the Coca Field	
and Their Behaviour in Further Situations	159

xviii Contents

3. Attack with a Very Limited Set-Up	159
4. Summary of Escape and Limited Set-Up	160
5. Arrest at an Appropriate Moment	162
5 Main Findings and Thesis Statement	165
A. Main Findings	165
B. Further Conclusions	166
C. Thesis Statement	167
Bibliography	169
Other Materials	177
Governmental Documents	177
Reports of International Organizations	178
Non-Governmental and Academic Reports	179
Travaux Préparatoires	180
Abbreviations	183

Chapter 1 Introduction

Abstract Armed forces operating in particular in a non-international armed conflict are often confronted with the problem that they cannot classify a targeted group as one that is or is not party to the conflict. This doubt can be called a gray area. It leads to a legal uncertainty in which it is unclear whether an operation is governed by international humanitarian law or the international law of human rights. The problem is relevant when lethal force is resorted to: is killing legal under international humanitarian law or human rights standards?

In this thesis, two aspects are taken into account in order to resolve this problem. First, whether international law itself provides a ruling, according to which it is clearly defined which branch regulates the operation, is analyzed. Second, the requirements of the use of lethal force are compared. This comparison is first realized on an abstract level – the ruling of killing is analyzed in international humanitarian law and in human rights standards – and on a concrete level – various operations carried out by the National Police of Colombia are assessed. In the assessment, it is questioned which particularities and elements the police operation must have in order to meet the requirements of killing in each branch of law. The aim of the illustration is to find concrete conclusions about the differences between IHL and human rights, but also about their similarities. If they are rather similar, it would not matter if a certain branch of law regulates the Colombian police operation, for the requirements would be similar under the other branch.

A. Content and Questions Addressed

I. Killing: A General Problem in International Law and Its Relevance to the Colombian Case

In 2000, the Israeli government officially admitted to following a policy of killing terrorists as a means of preventing acts of terrorism. The US Government has not

1

2 1 Introduction

admitted to such a policy, although it has been willing, at times, to kill in order to prevent acts of terrorism that targeted its citizens. Since then, the question of lawful killing in international law has become a major issue, particularly for human rights defenders, the legal doctrine, and various international organizations' human rights bodies, such as the United Nations and the Organization of American States. Moreover, on 13 December 2006, the Israeli Supreme Court ruled on the Israel Defence Force's praxis of targeted killing.

The discussion of lawful killing is related mostly to Israel and the USA in their fight against terrorism. Legitimate killing is not often discussed in other contexts. However, it is important to do so. For example, in 2007, the military and police forces in Colombia officially killed 2,703 members of different "guerrilla groups," "self-defence groups," and "criminal bands". In 2008, another 1,564 members of these groups were officially killed by the military and police. These figures are high and should be of grave concern.

II. Legal Framework

Different branches of international law can be applied when analyzing the legality of killing. International humanitarian law (IHL) applies to special situations, namely that of armed conflict. In cases that are not considered armed conflict, only international law of human rights applies.

III. The Gray Area Between IHL and Human Rights in Cases of Armed Conflict

In the case of armed conflict, both branches of international law might be applicable, and therefore, the question arises of which to apply. This can lead to considerable difficulties since the branches differ. One fundamental difference is that humanitarian law requires that humanitarian concerns and military necessity be balanced. The primary goal of military necessity is to achieve the submission of the enemy at the earliest moment possible, with the least possible expenditure of personnel and resources. Military necessity justifies all force that is not prohibited by international law. Thus, killing can be considered to be such a necessity. Conversely, the use of

¹For example, on 3 November 2002, an unmanned aerial vehicle, operated by the US Central Intelligence Agency, launched a missile at a car of suspected terrorists that was travelling through the Marib province of Yemen, killing six people.

²Source: Colombian Ministry of Defence, Logros de la seguridad democratica – Junio 2008, p. 50 ff.

³Source: Colombian Ministry of Defence, Logros de la seguridad democratica – Cifras preliminares 2008, p. 50 ff.