

AN ANALYSIS OF STATE COMPLIANCE WITH THE RECOMMENDATIONS OF THE AFRICAN COMMISSION ON HUMAN AND PEOPLES' RIGHTS

By Lirette Louw

A thesis submitted in fulfilment of the requirements for the degree of Doctor of Laws (LLD) at the University of Pretoria, South Africa

> Prepared at the Faculty of Law, University of Pretoria under the promotership of Professor Frans Viljoen

> > 28 January 2005

© University of Pretoria



DECLARATION

I declare that this dissertation is my original work and that it has not been submitted for the award of a degree at any other university or institution.

Signed: ______ Lirette Louw

Date: _____



ACKNOWLEDGEMENT

The financial assistance of the Mellon Foundation Mentoring Programme, administered by the University of Pretoria, is gratefully acknowledged.



SUMMARY

The African Commission on Human and Peoples' Rights (African Commission), the monitoring mechanism of the African Charter on Human and Peoples' Rights (African Charter), takes decisions on individual communications submitted to it under the African Charter. When the African Commission finds that states have violated the African Charter, its decisions often contain recommendations to these states. The effectiveness of these recommendations depends on their implementation by the states concerned.

The African Commission has not put in place a follow-up mechanism or system to ascertain adherence or to ensure that states implement these recommendations. In the absence of research about state compliance with these recommendations, interviews were conducted to provide a first coordinated attempt at ascertaining the status of compliance with these findings. The study finds that there has been full state compliance in 14%, partial compliance in 20% and non-compliance in 66% of cases. This trend is similar in respect of the implementation by African states of the views of the UN Human Rights Committee, established under the International Covenant on Civil and Political Rights.

A number of diverse factors influence state compliance. Some factors, such as the weaknesses of the Organisation of African Unity (OAU) occasioning a lack of publicity and political pressure, and problems surrounding the institutional legitimacy of the African Commission, explain the general low rate of compliance. Other factors, such as the role of NGOs, the nature and extent of the violation and the form of government in the relevant state, explain (non)-compliance in particular cases.

Drawing on the experience of the United Nations, European and Inter-American human rights systems in addressing similar difficulties to ensure state compliance, the study concludes with extensive and pertinent recommendations to the African Commission and various organs of the African Union for a comprehensive and effective policy on and mechanism for the follow-up of its recommendations.



LIST OF ABBREVIATIONS AND ACRONYMS

ABDP	l'Association Burundaise pour la Defense des Droits des Prisonniers (Burundi Association for the Protection of Prisoners' Rights)
ACHPR	African Commission on Human and Peoples' Rights
ACtHPR	African Court on Human and Peoples' Rights
ACJ	African Court of Justice
ACJ Protocol	Protocol of the Court of Justice of the African Union
AEC	African Economic Community
AHSG	Assembly of Heads of State and Government
APRM	African Peer Review Mechanism
AU	African Union
CADHP	Commission Africaine des Droits de l'Homme et des Peoples (African Commission on Human and Peoples' Rights)
CDDH	Steering Committee for Human Rights (Council of Europe)
CLO	Civil Liberties Organisation
CRP	Constitutional Rights Project
DRC	Democratic Republic of Congo
ECJ	European Court of Justice
ECOSOC	Economic and Social Council



HRC	(UN) Human Rights Committee
HSGIC	Head of State and Government Implementation Committee
ICCPR	International Covenant on Civil and Political Rights
ICJ	International Court of Justice
IHRDA	Institute for Human Rights and Development in Africa
Interights	The International Centre for the Legal Protection of Human Rights
MRA	Media Rights Agenda
MBDHP	Mouvement Burkinabe des Droits de l'Homme et des Peuples (Burkina Faso Human and Peoples' Rights Movement)
NDDC	Niger Delta Development Commission
NEPAD	New Partnership for African Development
NGO	Non-governmental organisation
NHRC	National Human Rights Commission (of Nigeria)
NHRI	National Human Rights Institution
NNPC	Nigerian National Petroleum Company
OAS	Organisation of American States
OAU	Organisation of African Unity
OHCHR	Office of the High Commissioner for Human Rights



RADDHO	Rencontre Africaine pour la Défense des Droits de l'Homme (African Forum for Human Rights Protection)
SERAC	Social and Economic Rights Action Centre
SPDC	Shell Petroleum Development Corporation
UN	United Nations
UNIP	United National Independence Party (Zambia)



TABLE OF CONTENTS

CONTENTS

PAGE

Declaration	ii
Acknowledgement	iii
Summary	iv
List of abbreviations and acronyms	v
Table of contents	viii

CHAPTER 1

INTRODUCTION

1.1	Background and problem statement	1
1.2	Aim of the study	7
1.3	The significance of the study	7
1.4	Terminology	9
1.5	Literature review	10
1.6	Research methodology	13
1.7	Overview of chapters	16
1.8	Limitations to the study	17

CHAPTER 2

A SURVEY AND ANALYSIS OF THE STATUS OF STATE COMPLIANCE WITH THE RECOMMENDATIONS OF THE AFRICAN COMMISSION IN COMPARISON TO THE STATUS OF AFRICAN STATE COMPLIANCE WITH THE VIEWS OF THE UN HUMAN RIGHTS COMMITTEE

2.1	Introduction	21
2.2	Implementation of the recommendations of the African	
Comm	ission	23
2.2.1	Background on establishing follow-up with the	
Commission's recommendations		23
2.2.1	Table A: Implementation of the recommendations of the	
Comm	ission	25
2.3	Status of state compliance with the recommendations	
of the African Commission		52
2.3.1	Categorising implementation efforts	52



2.3.2	Table B: State compliance with the recommendations			
of the A	African Commission	57		
2.3.3	Analysing the findings on state compliance			
with th	e Commission's recommendations	61		
2.4	Implementation by African states of the views of the			
UN Hu	man Rights Committee	62		
2.4.1	Background to interpreting the table on follow-up			
with th	e Committee' views	62		
2.4.2	Table C: Implementation by African states of the views			
of the	UN Human Rights Committee	63		
2.5	Status of state compliance with the views of the			
UN Human Rights Committee				
2.5.1	Categorising implementation efforts by African state parties	78		
2.5.2	Table D: State compliance with the views of the Committee	78		
2.5.3	Analysing the findings on state compliance with the			
Comm	ittee's views	81		
2.6	Table E: Comparative analysis of state compliance with			
the recommendations of the African Commission and African				
state compliance with the views of the Human Rights Committee		81		
2.6.1	Interpreting the comparative findings on the status of state			
compli	ance in the African system as compared to the UN system	82		
2.7	Conclusion	83		

FACTORS INFLUENCING STATE COMPLIANCE WITH THE FINDINGS OF THE AFRICAN COMMISSION

3.1	Introduction	86
3.2	Factors influencing state compliance based on theories	
of state	e compliance with international law	87
3.3	Factors influencing state compliance with the recommendations	
of the A	African Commission	91
3.3.1	The role of the regional political umbrella body	91
3.3.2	The role of the legal framework	95
3.3.3	The role of treaty bodies	97
	(a) Institutional legitimacy of the African Commission	98
	(b) Legal status of the Commission's findings	99
	(c) Quality of findings	101



	(d) Publicity	103
	(e) Follow-up policy	105
3.3.4	The role of state parties	105
	(a) Regional dependence and links between states at the	
	supra-national level	105
	(b) System of governance and level of stability	106
	(c) Change of government	108
	(d) Domestic implementation of treaty body findings	109
3.3.5	The role of the nature of the case	111
	(a) Nature of the violation	112
	(b) Subject matter of the violation	113
	(c) Nature of the remedies	114
3.3.6	The role of victims and NGOs	117
3.4	Conclusion	118

FOLLOW-UP THROUGH THE AFRICAN COMMISSION'S PROMOTIONAL AND PROTECTIVE MANDATE

4.1	Introduction	122		
4.2	African Charter and Rules of Procedure			
4.3	Composition and organisation of the African Commission			
and	the Secretariat of the Commission	130		
4.4	Mandate of the African Commission	135		
4.4.1	Promotional mandate	136		
4.4.1	.1 State reporting	137		
a	a) General provisions on state reporting	138		
Ł	 Problems with state reporting 	140		
c	Following up on individual communications			
through state reporting		144		
c	 Recommendations for improving implementation 			
t	hrough state reporting	146		
4.4.1.2 Promotional missions and missions for protective activities		148		
4.4.1.3 Special Rapporteurs		153		
4.4.1.4 Resolutions		159		
4.4.2	2 Protective mandate	161		
4.4.2	2.1 Individual communications	161		
a	a) Procedures	161		



b)	Remedies			
c)	Confid	entiality	174	
4.4.2.2	2 Interim	measures	177	
4.4	Coope	ration between Non-Governmental Organisations		
and th	e Africa	n Commission	181	
4.5	Coope	Cooperation between National Human Rights Institutions		
and the African Commission			186	
4.6	Relationship between the African Commission and the			
Organisation of African States and its successor the African Union			188	
	(a)	Organisation of African Unity	188	
	(b)	African Union	192	
	(c)	NEPAD	200	
4.8	8 Conclusion			

COMPARATIVE OVERVIEW OF FOLLOW-UP MECHANISMS: EXPERIENCES OF THE EUROPEAN COMMITTEE OF MINISTERS, INTER-AMERICAN COMMISSION ON HUMAN RIGHTS AND THE UN HUMAN RIGHTS COMMITTEE

5.1	Introduction	206	
5.2	Follow-up procedures under the European Convention		
on Human Rights before 1 November 1998			
5.2.1	Introduction	208	
5.2.2	The division of roles and functions of the European		
Comm	ission, European Court and Committee of Ministers	209	
5.2.3	Committee of Ministers: Supervising the implementation		
of dec	isions under article 32	211	
5.2.4	Best practices for the African regional human rights system	217	
5.3	The Inter-American Commission on Human Rights:		
Tracing the establishment of a follow-up mechanism to ensure			
state compliance with the Commission's recommendations 218			
5.3.1	Introduction to the Inter-American human rights system	218	
5.3.2	The Inter-American Commission on Human Rights:		
The individual petition system		221	
5.3.3	Strengthening the Inter-American human rights system:		
Establishing follow-up with the recommendations of the			
Inter-American Commission on Human Rights 22			
5.3.4	Best practices for the African regional human rights system	231	



5.4	United Nations Human Rights Committee:		
The individual complaints mechanism			
5.4.1	Introduction		233
5.4.2	Follow-up to the views issued by the Human Rights Committee		235
	(a)	Before 1990	235
	(b)	1990-1993	236
	(c)	1994	237
	(d)	1995-1997	240
	(e)	1990-2003: Overview of follow-up replies and the	
	future	of the follow-up procedure	241
5.4.3	Best p	practices for the African regional human rights system	243
5.5	Concl	usion	247

A COMPARATIVE ANALYSIS OF THE ENFORCEMENT OF THE JUDGMENTS OF THE EUROPEAN COURT OF HUMAN RIGHTS, THE INTER-AMERICAN COURT OF HUMAN RIGHTS AND THE UPCOMING AFRICAN COURT ON HUMAN AND PEOPLES' RIGHTS

6.1	Introduction	253	
6.2	Supervision of the execution of the judgments of the		
European Court of Human Rights: Lessons to be learnt from			
more	than 40 years of experience	255	
6.2.1	Introduction	255	
6.2.2	The legal obligations arising from judgments of the		
Europ	ean Court of Human Rights	257	
6.2.3	The supervisory role of the Committee of Ministers	260	
	(a) Mandate and working methods	260	
	(b) Problems experienced with state compliance	266	
	(c) Supervisory support from other bodies within the		
	Council of Europe	270	
6.2.3	Best practices for the African Court: Factors that		
contributed to the successful compliance record			
within	the European system	272	
6.3	The Inter-American Court of Human Rights:		
Monitoring compliance with the Court's judgments		274	
6.3.1	The mandate of the Inter-American Court of Human Rights	274	
6.3.2	Baena-Ricardo et al. v Panama:		



The ar	guments underlying the Inter-American Court's	
compe	tence to monitor compliance with its judgments	278
	(a) Facts in Baena (workers) case and Baena (competence) case	278
	(b) Legal framework for monitoring compliance	280
	(c) State obligations to implement the decisions of the Court	281
	(d) Scope of the competence of the Court to determine its	
	own competence and order remedial measures	282
	(e) Procedure applied by the Court to monitor compliance	
	with its decisions	284
	(f) Acceptance by states of the Court's practice of	
	monitoring compliance with its own decisions	286
	(g) Role of the OAS General Assembly in monitoring	
	compliance with the Court's judgments	287
6.3.3	Best practice examples for the African Court based on the	
experie	ences of the Inter-American Court's practice of monitoring	
compli	ance with its own judgments	289
6.4	Supervising the execution of the judgments of the	
Africar	n Court on Human and Peoples' Rights	294
6.4.1	Establishment of the African Court on	
Humar	n and Peoples' Rights	294
6.4.2	Judgments and enforcement: Factors that affect enforcement	298
	(a) Factors that directly impact on state compliance	299
	(b) Factors that could indirectly impact on state compliance	303
6.4.2	The supervisory role of the AU Executive Council and	
other organs of the AU		306
6.5	Conclusion	310

CONCLUSION AND RECOMMENDATIONS

7.1	Introduction	311
7.2	Survey of state compliance	313
7.3	Factors influencing state compliance	314
7.4	A recommended follow-up policy:	
Developing a blue print on follow-up		317
	(a) African Commission	317
	(b) Secretariat of the African Commission	322
	(c) Organs of the African Union	322



(i) Assembly of Heads of State and Government	322	
(ii) Executive Council	323	
(iii) Pan African Parliament	325	
(iv) AU Commission	326	
(v) Peace and Security Council	327	
7.5 Table G: A schematic summary of the main		
features on a follow-up mechanism for the African system	328	
TABLE OF AUTHORITIES	331	
TABLE OF TREATIES AND LEGISLATION		
BIBLIOGRAPHY		