Contents

rej	face	page xi
$\lambda c k$	nowledgments	XV
	ble of Abbreviations	xvii
	roduction	xxvii
	Lorel Nature	
1.	Legal Nature	1
	Introduction	1
	§1. The Characteristics of International Crimes and Their Applicability to	0
	CAH	8
	§2. The Concept and Relevance of State Policy	14
	§3. The Legal Elements that Characterize CAH as an International Crime	19
	§4. The Protected Civilian Population under CAH	28
	§4.1. The Distinguishing Element of an Attack against a Civilian Population	
	§5. CAH's Historical Connection to War	33
	§6. Imputability of Individual Conduct to the Responsibility of the State	34
	§7. The Policy Requirement for Nonstate Actors	40
	§8. Some Philosophical Considerations	42
	§9. Policy Considerations	45
2.	Phenomenological Considerations	51
	Introduction	51
	§1. Etiology and Phenomenological Characteristics	53
	§1.1. The Protagonists	58
	§1.2. Neutralization	60
	§1.3. Apathy, Indifference, and Passivity	61
	§1.4. Dehumanization, Subhumanization, and Objectification	63
	§1.5. The "Banality of Evil"	64
	§1.6. Euphemisms and Rationalizations	66
	§1.7. Motivation	69
	§2. Legal Controls	71
	§2.1. Considerations on Legal Philosophy	71
	§2.2. International and Domestic Criminal Law Considerations	74
	§2.2.1. ICL Considerations	77
	§2.2.2. International Human Rights Law	80
	§3. The Enforcement Gap	81
	Conclusion	83

vi

3.	Emergence in Positive International Law	86
	§1. Early History	86
	§2. The Concept of "Laws of Humanity" in the History of the Law of Armed	
	Conflicts	96
	§3. The Law of the London Charter: Crimes Against Humanity Acquires Its	
	Own Identity	111
	§4. The Legislative History of the London Charter's Article 6(c)	117
	§5. Law and Policy Considerations in the Making of the Charter	127
	§6. Post-World War II Formulations Arising out of the London Charter: The	
	IMTFE and Control Council Law No. 10	132
	§7. The War-Connecting Link in the London Charter	136
	§8. The London Charter as Declarative of Customary International Law and	
	Subsequent Affirmations Confirming CAH as an International Crime	146
	§9. Post-World War II Prosecutions Pursuant to the London Charter and the	
	Tokyo Statute	150
	10. The Allied Prosecutions of the CCL 10 Proceedings in the European and	
	Far Eastern Theaters	156
	Conclusion	163
4	Post-Charter Developments	167
4.	-	,
	Introduction	167
	part a: substantive developments	171
	\$1. The ILC's Codification Efforts: 1947–1996	171
	§2. The Security Council's Codifications: The Statutes of the ICTY and the ICTR	-0-
		183
	§3. The Prosecutions for CAH at the ICTY and the ICTR	189
	\$4. The Rome Statute of the ICC\$5. The Status CAH Prosecutions before the ICC	199
	§6. Other Normative Proscriptions Applicable to the Same Protected	204
	Human Interests	208
	\$6.1 1948 Genocide Convention	200
	§6.2. The 1949 Geneva Conventions and 1977 Protocols	210
	\$6.3. 1973 Apartheid Convention	210
	\$6.4. 1984 Convention Against Torture and Other Cruel, Inhuman or	210
	Degrading Treatment or Punishment	212
	§6.5. International Convention for the Protection of All Persons from	
	Enforced Disappearance	213
	§6.6. The International Human Rights Law Regime	213
	§7. The Mixed Model Tribunals	218
	§7.1. Kosovo	222
	§7.2. Bosnia and Herzegovina	228
	§7.3. Sierra Leone	233
	§7.4. Timor-Leste	246
	§7.5. Cambodia	254
	§8. Crimes Against Humanity as Part of Jus Cogens	263
	part b: procedural development	269
	§1. Aut Dedere aut Judicare	269
	§2. The Post-Charter Duty to Prosecute or Extradite	273
	§3. Nonapplicability of Statutes of Limitation	276
	§4. Universal Jurisdiction	279
	Conclusion	294

Contents

5. The Principles of Legality in the London Charter and Post-Charter Developments	296
Introduction	296
§1. Principles of Legality in International Criminal Law	301
\$2. The London Charter's Approach	307
\$2.1. Pragmatism Prevails	317
\$2.2. The German Legal System	320
§3. The Prosecution's Treatment of the Question under the London Ch	
the IMTFE, and Control Council No. 10	322
§4. Assessment of Legality Issues in Post-World War II Prosecutions	334
§ 5. The Principles of Legality in Post-Charter Developments	342
§5.1. The ICTY and the ICTR	342
§5.2. The ICC	349
§5.3. Principles of Legality in Other Post-Charter Legal Developments	353
Conclusion	358
6. Specific Contents	359
§1. Introduction	359
§2. Identifying the Specific Crimes Contained in the Four Primary	
Formulations of Crimes Against Humanity: Article 6(c) of the London	
Charter, Article 5 of the ICTY Statute, Article 3 of the ICTR Statute	
Article 7 of the ICC Statute	361
§2.1. Murder and Extermination	365
§2.2. Enslavement	374
§2.3. Deportation	381
\$2.4. Persecution	396
§2.5. Other Inhumane Acts	405
§2.6. Torture	411
\$2.7. Unlawful Human Experimentation\$2.8. Rape and Sexual Violence	419
\$2.9. Imprisonment	425
§3. The Additional Crimes of Article 7 of the Rome Statute	443
§3.1. Apartheid	445 445
§3.2. Enforced Disappearance of Persons	448
§4. Normative Overlap	452
§5. "General Principles of Law": Meaning, Method, and Function	459
\$5.1. The World's Major Legal Systems	466
§5.2. Identifying Legal Principles	467
\$5.3. Correlation Between the Sources of Law to Be Consulted and the	
Principle Sought to Be Identified	467
Conclusion	479
7. The Theories and Elements of Criminal Responsibility	472
Introduction	472
§1. International Criminal Responsibility of Individuals	473
§1.1. Doctrinal Differences in International Law and National Crimir	
Law Related to Individual, Group, and State Responsibility: Gen	
Considerations	478
§1.2. Responsibility for the Conduct of Another and Group Responsib	oility
in the Law of the IMT, IMTFE, and CCL 10: The Foundations	
Contemporary Notions	482

viii Contents

	§2. Criminal Responsibility and the "General Part": From the IMT to the ICC §2.1. National Legal Norms and Standards and Their Relevance to	494
	International Criminal Law	500
	§2.2. Problems in Identifying the Contents of the "General Part" of	
	International Criminal Law: From the London Charter to the Rome	
	Statute	505
	§2.3. The Jurisprudential Application of the "General Part": From the IMT	
	to the ICC	507
	§3. Knowledge of the Law and Intent	512
	§4. The Jurisprudence of the ICTY and ICTR on Individual Criminal	
	Responsibility	520
	\$4.1. Planning, Instigating, Ordering, and Committing	521
	§4.2. Aiding and Abetting	5 2 4
	§5. Command Responsibility: Policy Considerations	526
	\$5.1. The Evolution of Command Responsibility in the Law of Armed	
	Conflicts as Reflected in the Law and Jurisprudence of the ICTY, the	
	ICTR, and the ICC	530
	\$5.2. Civilian Command Responsibility in the ICTY, the ICTR, and the ICC	557
	§6. Joint Criminal Enterprise: The ICTY's New Doctrine and Its Extended	
	Influence	560
	§6.1. Organisationsherrschaft Conclusion	575
	Conclusion	577
8.	Defenses and Exonerations	581
	Introduction	581
	§1. Obedience to Superior Orders	583
	§1.1. Rationale	583
	§1.2. Policy Considerations	586
	§1.3. Scholarly Views	590
	§1.4. The Judgments of Tribunals	594
	§1.5. Post-Charter Developments	605
	§1.6. Conclusion	612
	§2. Coercion (Compulsion and Duress) and Necessity	613
	§3. Reprisals	623
	§3.1. Introduction	623
	§3.2. Historical Evolution	624
	§4. Tu Quoque	634
	§5. Nonapplicability of Reprisals and <i>Tu Quoque</i> to Crimes Against	6
	Humanity §6. Immunity of Heads of State	637 637
	Conclusion	644
	Concrusion	044
9.	A Survey of National Legislation and Prosecutions for Crimes	
	Against Humanity	649
	Introduction	649
	§1. Pre-World War I National Prosecutions for International Crimes	651
	§2. Post-World War I Prosecutions	655
	§3. National Legislation and National Prosecutions for CAH after	
	World War II	660
	§3.1. National Legislation Criminalizing CAH	660

Contents	ζ
----------	---

a D.W. HW. HM. N. J. ID CAH	
§3.2. Post-World War II Major National Prosecutions for CAH	664
§3.2.1. Germany	665
§3.2.2. Austria	668
§3.2.3. Israel	669
§3.2.4. France	671
§3.2.5. Italy	679
§3.2.6. Canada	680
§3.2.7. Spain	684
§3.2.8. Argentina	685
§3.2.9. Indonesia	692
§3.2.10. Iraq	695
§4. Other Recent Developments and National Prosecutions for CAH	697
§5. Selective Enforcement	715
Conclusion	720
10. Concluding Assessment: The Need for an International Convention .	724
Table of Authorities	743
Table of Cases	797
Index	819
	/