U.S. Compliance with the International Covenant on Civil and Political Rights

Suggested List of Issues to Country Report Task Force on the United States

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Federal Role in Respecting and Ensuring Covenant Rights: Columbia Law School Human Rights Institute; The International Association of Official Human Rights Agencies
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I. Access to Justice, including Meaningful Legal Representation in Civil Cases

II. Reporting Organization(s)

National Coalition for a Civil Right to Counsel; Maryland Legal Aid Bureau; Columbia Law School Human Rights Institute; Northeastern School of Law Program on Human Rights and the Global Economy; and the National Center for Access to Justice

III. Issue Summary

Legal representation is fundamental to safeguarding fair, equal, and meaningful access to the legal system. Millions of Americans lack representation when facing crises such as eviction, foreclosure, workplace discrimination, termination of subsistence income and medical assistance, and loss of child custody. Although the U.S. Supreme Court has recognized the right to counsel in the criminal context, it has failed to establish a similar protection for individuals in the civil context when basic human needs are in jeopardy. The result is a crisis in unmet civil legal needs. Fewer than one in five low-income persons in the United States obtains necessary legal assistance in civil matters. Furthermore, federal law restricts the services that indigents receive through federally-funded legal services organizations. The result is inequality and a denial of fairness in the civil adjudication system, with disproportionate harm to those living in poverty, racial minorities, and women. Attempts at the federal level to address the justice gap have fallen short. Moreover, the United States fails to protect the human rights of migrant agricultural workers throughout the country by allowing and participating in the denial and limitation of access to these workers in their labor camp homes by legal advocates and other community service providers. This denial/limitation makes such workers vulnerable to systemic exploitation, including wage theft, pesticide exposure and, in some cases, human trafficking.

IV. Concluding Observations offered by the Human Rights Committee

None to date.

V. U.S. Government Report

In its 2011 report to the Human Rights Committee, the U.S. government concedes inequalities in its civil justice system, “in part because neither the U.S. Constitution nor federal statutes provide a right to government-appointed counsel in civil cases when individuals are unable to afford it.”\(^1\) The government then identifies several mechanisms it employs to mitigate the justice gap. Chief among those mentioned are the federal in forma pauperis statute, the Department of Justice’s Access to Justice Initiative, and the Legal Services Corporation.\(^2\)

None of these measures, however, are sufficient to address the justice gap in the United States. The in forma pauperis statute only authorizes courts to request an attorney represent an indigent litigant while providing no funding. In practice, this discretionary power is rarely exercised. While promising, the Access to Justice Initiative has institutional and resource constraints that prevent it from fulfilling its potential and comprehensively addressing the dire need for civil legal

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1 United States Report to the Human Rights Committee, para 301.
2 US Report to HRC, para 302.
services. The Legal Services Corporation, which provides grants for civil legal assistance, has experienced crushing budget cuts and severe restrictions on how NGO’s funded by it can conduct their work.

VI. Legal Framework

- ICCPR Articles 2; 14; 26

VII. Human Rights Committee General Comments

General Comment 32 clarifies Article 14’s guarantee of equality before the law. The Human Rights Committee explains that this guarantee encompasses access to the legal system, including in civil cases. It emphasizes that the availability of legal counsel “often determines whether or not a person can access the relevant proceedings or participate in them in a meaningful way.” The Committee recommends that states provide legal assistance to those who cannot afford it, noting that this may be required in certain cases.

VIII. Other UN Body Recommendations

The CERD Committee has taken particular notice of the United States’ failure to provide counsel in civil cases. During its 2008 review of the United States, the CERD Committee expressed concern that the lack of civil counsel for persons living in poverty disproportionately and negatively affects racial minorities in the U.S., and recommended that the U.S. “allocate sufficient resources to ensure legal representation of indigent persons belonging to racial, ethnic and national minorities in civil proceedings, with particular regard to those proceedings where basic human needs, such as housing, health care, or child custody, are at stake.”

A number of other UN bodies and independent experts have identified the importance of the civil right to counsel to vindicating other rights, particularly those relating to basic human needs. The Special Rapporteur on Adequate Housing has written, for example, that legal remedies against forced evictions are only effective where civil legal aid is also provided. Other Special Procedures have made similar comments in regards to protecting the rights of racial minorities, women, and migrants. The Special Rapporteur on Extreme Poverty recently summarized this

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3 Concluding Observations of the Committee on the Elimination of Racial Discrimination: United States of America, 8/05/2008, A/56/18, CERD/C/USA/CO/6, para. 22.
4 Id.
relationship between counsel and the vindication of other rights: “[the] (l)ack of legal aid for civil matters can seriously prejudice the rights and interests of persons…, for example when they are unable to contest tenancy disputes, eviction decisions, immigration or asylum proceedings, eligibility for social security benefits, abusive working conditions, discrimination in the workplace or child custody decisions.”

IX. **Recommended Questions**

- Please provide information on the legislative, policy, and other measures being taken to address the deficiencies in current federal initiatives related to access to justice and to meaningfully expand access to the civil justice system, including the provision of civil legal services in cases where human needs are at stake.

- Please provide information on what measures the United States is taking to ensure the protection and enforcement of the rights of migrant farmworkers to receive visitors in their homes, including educational, religious, health and legal service providers.

X. **Suggested Recommendations**

The United States should take the following steps to address the civil justice gap:

- support research to assess the immediate and long-term financial and other consequences for courts, court users, and communities when court users have counsel in civil cases, and to explore other ways to improve court access;
- enact federal legislation to guarantee right to counsel in immigration cases and all civil cases in federal court where liberty interests or fundamental human needs are at stake;
- fully fund the Legal Services Corporation at a level sufficient to meet the need for free or low cost legal assistance and lift restrictions that prevent legal services lawyers from providing the full array of necessary services;
- intensify the Access to Justice Initiative's activities with respect to civil legal services providers and provide it with the necessary leadership, funding and other support to reach its full potential;
- support and coordinate efforts on the state level to establish a civil right to counsel by developing, evaluating, and disseminating “best practices” for states; and
- take all reasonable measures to ensure the rights of migrant farmworkers to receive visitors in their homes, including educational, religious, health and legal service providers, including enforcement of the rights of migrant farmworkers by all appropriate federal and state agencies.

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I. The Federal Role in Respecting and Ensuring Covenant Rights at the State and Local Level

II. Reporting Organization(s)

Columbia Law School Human Rights Institute & the International Association of Official Human Rights Agencies

III. Issue Summary

Full compliance with the ICCPR requires that treaty provisions are respected and protected at the state and local levels. In ratifying the ICCPR, the United States indicated that state and local governments share authority to implement the treaty. Such shared responsibility is consistent with international law and U.S. federalism. Indeed, state and local governments have jurisdiction over a range of issues covered by the Covenant and are essential partners in ensuring compliance with the ICCPR. Despite their critical role, state and local governments continue to lack the necessary training and resources to implement international human rights treaty standards. The U.S. has yet to establish transparent and effective federal mechanisms to encourage, coordinate and support state and local efforts to monitor and implement human rights. Because there is no national human rights infrastructure, many state and local officials are unaware of the treaties the U.S. has ratified and their obligations with respect to treaty implementation. State and local governments also lack the funding and resources necessary to effectively collect and analyze data on human rights compliance and take other steps to implement human rights. Thus, while state and local agencies and officials have the potential to implement the United States human rights commitments, this potential is largely unrealized.

IV. Concluding Observations

In 2006, the Human Rights Committee called for the creation of mechanisms within the United States to facilitate more comprehensive reviews of compliance at all levels of government and foster

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1 See International Covenant on Civil and Political Rights, Declarations and Understandings of the United States of America, Understandings, ¶ 5. According to Article VI of the U.S. Constitution, treaties are “the supreme law of the land.”


3 To date, several mechanisms have been created to support treaty implementation but these mechanisms have lacked transparency and have not coordinated with state and local officials. In 1998, President Bill Clinton issued Executive Order 13107, setting up an Inter-Agency Working group to promote and implement ratified human rights treaties. This body was never fully operationalized and was rendered inactive and ineffective when George W. Bush took office. More recently, the Obama Administration creating an Interagency Equality Working group, which may be responsible for treaty reporting and UPR implementation. However, there is very little publicly available information about this body. To date, it has no institutionalized mandate and has not engaged with state and local agencies and officials.

4 A number of state and local agencies and officials in states and localities have begun to promote and protect human rights using innovative strategies. These initiatives are detailed in three reports by the Columbia Law School’s Human Rights Institute, available at http://web.law.columbia.edu/human-rights-institute/human-rights-us/treaty-implementation/state-and-local-work/state-local-report.
follow-up with the Concluding Observations. The Committee emphasized the importance of implementation of the treaty at the state level, calling for the U.S. to take steps that ensure federal and state laws comply with the treaty in a number of areas, including racial profiling, housing discrimination on the basis of race and employment discrimination on the basis of gender and sexual orientation. The Committee further requested more comprehensive information on compliance at the state level.

V. U.S. Government Report

For this review, the U.S. has submitted Annex A to the Common Core Document of the United States of America, which describes an array of state, local, tribal and territorial human rights organizations and programs and emphasizes that state and local agencies play a “critical role” in human rights implementation. It offers a snapshot of the ways that some of the approximately 150 existing state and local civil and human rights agencies in the United States are addressing issues of discrimination in their local communities.

We commend the inclusion of state and local agency initiatives. However, the U.S. Report and Annex A omit essential information on the domestic human rights context. Most notably, state and local agencies face numerous constraints in their efforts to promote and protect human rights. First, these agencies are primarily mandated to monitor and enforce state and local anti-discrimination laws and they lack training on human rights standards. Second, agencies are over-burdened and under-resourced, often lacking the staff necessary to carry out even their core anti-discrimination work. Over the past several years, many of these agencies have experienced budget cuts, and several have been forced to close. As a result of these constraints, their capacity to monitor and implement human rights is limited.

Furthermore, neither the Fourth Periodic Report nor Annex A describe how the federal government supports and coordinates efforts to comply with human rights treaty standards through education, training, and other means. The only examples of federal support focus on anti-discrimination initiatives related to provisions of domestic law. Finally, Annex A lacks a broader discussion on the ways in which other state and local actors, such as state and local elected officials and law enforcement personnel, promote and protect human rights, despite the important role these actors can also play to ensure human rights treaty compliance at the state and local level.

VI. Legal Framework

7 Concluding Observations 2006, ¶ 39.
8 Annex A, ¶ 3.
Articles 2; 26 and 50.

VII. Human Rights Committee General Comments

General Comment 31 clarifies that all levels of government—federal, state and local—bear a responsibility to implement human rights standards and affirms that the provisions of the ICCPR “extend to all parts of federal states without any limitations or exceptions.”

VIII. Other UN Body Recommendations

The CERD Committee has recommended that the U.S. “establish appropriate mechanisms to ensure a coordinated approach” to human rights implementation “at the federal, state and local levels.” The Committee on the Rights of the Child has similarly called for greater coordination at the federal and state levels to foster compliance with the Optional Protocols to the CRC. In 2010, the U.N. Working Group of experts on people of African descent recommended that the U.S. create a human rights monitoring body to facilitate greater human rights implementation at the state and federal level. Most recently, during the UPR review of the United States, twelve countries called for the U.S. to establish a national human rights monitoring body and four of these emphasized that such a body should coordinate with state and local entities.

IX. Recommended Questions

- Please describe the education, legislative, policy and other measures taken by the United States to ensure that state and local agencies and officials have the capacity to respect and implement the United States’ commitments under the ICCPR and implement the Committee’s Concluding Observations. Specifically describe how the federal government effectively communicates these standards and recommendations to state and local agencies and officials to foster greater awareness of and compliance with human rights standards.

- What measures has the United States taken to create institutionalized, transparent and coordinated mechanisms to monitor and implement human rights at federal, state and local levels in order to raise awareness of treaty provisions and Committee recommendations,

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disseminate information about and oversee implementation, and provide financial and other resources and support to foster human rights compliance.

X. Suggested Recommendations

- **Establish transparent and effective federal mechanisms** mandated to coordinate with state and local officials to ensure comprehensive monitoring and implementation of international human rights standards at the federal, state and local levels, such as a reinvigorated Inter-Agency Working Group on Human Rights and a National Human Rights Institution.

- Ensure **Dedicated Staff** responsible for coordinating and liaising with state and local agencies and officials regarding human rights reporting and implementation, including identifying and developing best practices at the state and local level and communicating recommendations from international bodies to state and local governments.

- **Provide education and training** to state and local officials on international human rights treaty standards and Concluding Observations, as well as their obligations to implement human rights and effective practices for fostering compliance with human rights standards.

- **Provide** state and local governments with **funding** to engage in civil and human rights implementation and compliance, including through grants to state and local agencies to ensure they have the resources to undertake human rights education, monitoring, reporting and enforcement.
I. Diplomatic Assurances Against Torture

II. Reporting Organization: Columbia Law School Human Rights Institute

III. Issue Summary

Diplomatic assurances against torture are non-binding guarantees of humane treatment the U.S. government seeks when transferring detainees to foreign governments with records of torture or inhumane detention conditions. The U.S. government has used assurances in a variety of contexts: repatriations from the Guantanamo detention facility; deportations and extraditions; custodial detainee transfers in Afghanistan and elsewhere; and renditions.\(^1\) There are reports of recent U.S. involvement in proxy detention and related practices, facilitating the transfer of individuals to the custody of governments with records of torture or inhumane detention conditions, and sometimes participating in the interrogation of these individuals.\(^2\) Whether the U.S. uses assurances or other mechanisms to monitor torture in this context is unknown.

The UN Human Rights Committee, UN Committee Against Torture, several UN experts have repeatedly raised concerns about U.S. use of assurances. Categorized broadly, these concerns are: the government’s lack of transparency regarding detainee transfer policy and procedures, particularly in the context of renditions; the sufficiency of judicial review of the risk of abuse in individual cases; and the efficacy of post-return monitoring arrangements to ensure the safety of transferred detainees.

In January 2009, President Obama signed an executive order establishing the interagency Special Task Force on Interrogations and Transfer Policies, but the government has not published any version of the task force’s report or announced any steps to implement its recommendations.\(^3\)

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\(^3\) Exec. Order No. 13,491, 74 Fed. Reg. 4,893 (Jan. 22, 2009). It includes officials “from law enforcement, the US Intelligence Community, and the Department of Defense.” The Justice Department also issued a press release outlining in basic terms the Task Force’s recommendations. Press Release, US Dep’t of Justice, Special Task Force
its August 2010 report to the U.N. Human Rights Council for the Universal Periodic Review, the Administration noted that it was “developing practices and procedures that will ensure the implementation of [the] Task Force recommendations.” However, it remains unclear whether the government is developing standards on key issues such as: the substantive content of assurances; what countries they will be solicited from; for what categories of individuals they will be sought; and the post-return monitoring protocol for U.S. embassy staff or third-party monitors.

IV. Concluding Observations by the Human Rights Committee

In 2006, the U.N. Human Rights Committee called on the U.S. to “adopt clear and transparent procedures with adequate judicial mechanisms for review” regarding transfers based on assurances. It urged the U.S. to maintain “effective mechanisms to monitor scrupulously and vigorously the fate of the affected individuals.” The Human Rights Committee has likewise urged other States to “exercise the utmost care in relying on diplomatic assurances.”

V. U.S. Government Report

In its 2011 report to the Human Rights Committee, the U.S. government states that “[c]urrent assurances practice in the United States involves greater transparency and improved procedural safeguards.” It confirms that it is implementing recommendations made by the Special Task Force Interrogation and Transfer Policies and describes them generally: the State Department has a role in evaluating assurances; assurances include a monitoring mechanism “in cases in which assurances are required for the transfer to proceed” (emphasis added); and some government agencies submit annual reports about transfers with assurances.

While these steps are an improvement on past practice and the government’s disclosure is welcome, there are significant gaps in transparency and substantive policy:

- **Renditions and Proxy Detention** In its 2011 report, the government does not describe its policy regarding assurances in renditions, proxy detention and related practices. The Central Intelligence Agency, which might be involved in renditions or proxy detention, is not one of the agencies that submit an annual report on assurances; and, in any event, none of these reports have been made public.

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7 Human Rights Committee: Concluding Observations and Recommendations – Denmark, U.N. Doc. CCPR/C/DNK/CO/5 (Dec. 16, 2008) (“The State party should exercise the utmost care in relying on diplomatic assurances when considering the return of foreign nationals to countries where treatment contrary to Article 7 of the Covenant is believed to occur.”); see also Conclusions and recommendations of the Human Rights Committee–France, U.N. Doc. CCPR/C/FRA/CO/4 (July 31, 2008), para.20 (expressing concern that individuals have been transferred abroad pursuant to assurances and have been subjected to treatment in violation of ICCPR Article 7); Conclusions and recommendations of the Human Rights Committee–U.K., U.N. Doc. CCPR/C/GBR/CO/6 (July 30, 2008), para. 12. (calling for for greater procedural guarantees and noting that the risk of failure of assurances increases with the systemic practice of torture in a receiving State);  
Judicial Review The government describes providing an “opportunity to review the assurances” in immigration removals, but this informal process does not provide the same procedural safeguards as judicial review. Moreover, it is unclear whether the government provides this opportunity for other transfers.

Post-return monitoring The government does not specify under what circumstances it will conduct monitoring because it is “required for the transfer to proceed.” Additionally, basic parameters are unknown—including who conducts monitoring, how frequently it occurs and for how long after the transfer—making it impossible to assess the adequacy of the monitoring mechanism.

VI. Legal Framework

ICCPR Article 7 (prohibition on torture and cruel, inhuman or degrading treatment or punishment).

VII. UN Human Rights Committee General Comments

The Human Rights Committee, in General Comment 20, interpreted Article 7’s prohibition on torture to encompass an obligation not to “expose individuals to the danger of torture or cruel, inhuman or degrading treatment or punishment upon return to another country by way of their extradition, expulsion or refoulement.”

VIII. Other UN Body Recommendations

Other UN treaty bodies and experts have regularly expressed concern about the use of assurances. The Committee Against Torture, in evaluating State submissions under the UN Convention Against Torture, often requests that States provide information concerning the frequency of their use, the minimum requirements for assurances, the use of procedural guarantees, existence of monitoring mechanisms, and their legal enforceability. Moreover, with regard to U.S. practice, the Committee has specifically objected to the “secrecy of such procedures including the absence of judicial scrutiny.”

Juan Mendez, the current Special Rapporteur on Torture, and his predecessor Manfred Nowak, have characterized diplomatic assurances as “an attempt to circumvent the absolute prohibition of torture and non-refoulement.” Mendez has emphasized that assurances have “been proven to...

10 Human Rights Committee, General Comment No. 20: Replaces general comment 7 concerning prohibition of torture and cruel treatment or punishment (Art. 7) (1992), ¶9 (“In the view of the Committee, States parties must not expose individuals to the danger of torture or cruel, inhuman or degrading treatment or punishment upon return to another country by way of their extradition, expulsion or refoulement. States parties should indicate in their reports what measures they have adopted to that end.”). With regard to the scope of the obligations under Article 7 ICCPR, see Human Rights Committee, General Comment No. 31: On the nature of the general legal obligation on States Parties to the Covenant, ¶12, U.N. Doc. CCPR/C/21/Rev.1/Add.13 (April 21, 2004).
be unreliable” and “cannot be considered an effective safeguard against torture and ill-
treatment.”

IX. Recommended Questions

1. Please describe the U.S. government position on its non-refoulement obligations in the
   context of rendition, proxy detention, or other cases in which the U.S. extrajudicially
   facilitates a transfer or is involved in the interrogation of an individual held in the custody
   of a foreign government.

2. Please describe U.S. minimum standards for the content of assurances and factors in
   assessing the reliability of assurances, including under what circumstances the U.S.
   government regards post-return monitoring as “required for the transfer to proceed.”

3. Please describe U.S. post-return monitoring practices, including the training of
   monitoring personnel; the frequency and duration of post-return monitoring; and any
   cases in which returned detainees have reported the breach of assurances against torture,
   as well as any remedial steps the government has taken in response.

X. Suggested Recommendations

1. Establish minimum standards for the contents of assurances, including access to a
   lawyer, recording of all interrogations, independent medical examination, prohibition of
   incommunicado detention, and post-return monitoring. Do not conduct transfers where
   the receiving government systematically commits torture or cruel, degrading or inhuman
   treatment or punishment. Do not conduct, facilitate or participate in extrajudicial
   transfers, which deprive a detainee of the opportunity to provide information about his
   individual risk factors for torture or challenge the reliability of assurances.

2. Establish effective post-return monitoring standards and procedures. Do not conduct
   transfers where receiving governments are unwilling to permit monitoring compliant with
   these standards and procedures.

3. Adopt transparency measures with regard to transfers with assurances. In particular,
   make publicly available a version of the Special Task Force on Interrogation and Transfer
   Policy’s report, as well as the annual reports on transfers with assurances that agencies
   submit.

4. Clarify the government’s position on judicial review and ensure that all detainees are
   afforded an opportunity for meaningful judicial review of transfer decisions.

on the question of torture, Manfred Nowak, “Civil and Political Rights, Including the Questions of Torture and
14 Report submitted by the Special Rapporteur on torture and other cruel, inhuman or degrading treatment or
16 These basic requirements for assurances were set out by Theo van Boven, Special Rapporteur on Torture from
   2001 to 2004. See Report of the Special Rapporteur on Torture and other cruel, inhuman or degrading treatment or
17 “The State party should only rely on “diplomatic assurances” in regard to States which do not systematically
   violate the Convention’s provisions, and after thorough examination of the merits of each individual case.”
   CAT/C/USA/CO/2 (July 25, 2006).