Draft Questionnaire for candidates to the 2020 ICC Judicial Election

Civil society plays an important role in monitoring the election of International Criminal Court (ICC) officials. We promote fair, merit-based and transparent elections.

Please answer the questions below.

Name: Sergio Ugalde Godinez
Nationality: Costa Rican
Nominating State: Republic of Costa Rica
Legal Background (List A or List B): List B
Gender: Male
Date: 24 September 2020

BACKGROUND

1. What motivates you to seek election as a judge of the International Criminal Court (ICC)?

I come from a country that banned an active army over 70 years ago and which has taken a prominent position in the defense of human rights, on the renunciation of the use of force to resolve conflicts, that fully adheres to the rule of international law and that has made peace a central aspect of its identity as a nation.

Having been Costa Rica’s most senior international legal counsel for 20 years, has allowed me to defend and promote these ideals and to work closely with partners around the world in the strengthening of human values. One of these values, as per the Rome Statute, is the fight against impunity, particularly that of individuals who, by their own prominent standing, seek to evade accountability for the perpetration of the worst crimes. I have also had the opportunity of being in a position to fight towards the fulfillment of humanity’s obligations with the victims of these crimes, who not only deserve justice but who also deserve to be heard. These are the reasons that motivate me to seek election as a judge of the International Criminal Court.

---

2. What do you believe are the most important challenges and achievements of the ICC in its first 18 years?

There have been many challenges that the Court has had to face during its 18 years of existence; ranging from issues on cooperation, which will be articulated later in this questionnaire, to questions on its performance, effectiveness, collegiality, funding, and lately, on the overall quality of its judiciary, including matters concerning the coherence and certainty of the Court’s jurisprudence. The fact is that the judiciary appears to have entered into a recurring practice of normalized dissenting and separate opinions in decisions, which suggests an antagonistic approach to the deliberation process. These issues have, to some extent, weakened the standing of the Court, and consequently, they need to be properly addressed with urgency.

Notwithstanding the numerous challenges of the last 18 years, I would like to focus on a rather salient topic: complementarity. It is my view that complementarity has been a core challenge since the creation of the Court, because, aside from the cases referred by the involved States, the launching of the prosecutorial powers, on the one hand, and the extent of Chambers’ jurisdictional reach, on the other, rest on establishing if the State concerned has failed in its duty to exercise its criminal jurisdiction over those responsible for international crimes. Yet, since the beginning, the issue of complementarity has been under constant interpretation and debate. Whilst the Court had the opportunity to consider this issue, particularly on the construction of the doctrine concerning “same person/same conduct”, the fact is that some States Parties interpret that the Court ought to exercise its jurisdiction with a much higher degree of deference to national jurisdictions. Other States Parties and several observers believe that the Court actually does not go far enough, and some have fully subscribed the concept of “positive complementarity”, which is based on the idea that a preliminary investigation by the Office of the Prosecutor (OTP) in a given situation, or even the risk of a preliminary investigation by the OTP, will act as stimulus to the national jurisdiction to engage with the case or cases. This might indeed be the case in some circumstances, particularly stemming from a policy objective aimed at fighting impunity. However, the fact is that there is some degree of apprehension between the Rome Statute System and national jurisdictions. Addressing this aspect requires a constructive approach from all stakeholders.

As to achievements from the Court, there are many to be named. The sole fact that humanity has the Rome Statute system and the ICC operational, is, by itself, the biggest success of all. In the context of today’s international relations, it would have been a daring task to get the necessary support for an institution such as the ICC to come to light.

The Court has been successful in cases such as the Thomas Lubanga and Al Mahdi. The first one because it gave substance to the successful prosecution under the Rome Statute of the crime of enlisting and conscripting children and using them to actively participate in hostilities. The judgment showed the resolve of the Court in ascertaining the rights of children in relation to their special situation. These findings sent a strong message to the international community about the fact that the Court would not tolerate any instances of forced engagement of children in international crimes, and that their vulnerable condition shall be protected at all costs. The trial of Al Mahdi is also ground-breaking, regardless of the fact that the accused accepted his responsibility, since it recognized non-typical international criminal conduct as prone to prosecution and conviction. This means that the international criminal justice system, under the Rome Statute, has placed value in
protecting cultural heritage, as was the case here, but also on other areas relevant to humanity. Thus, these protections, which go beyond the customary protection of life and associated rights, address the safeguard of certain category of rights that also are important to humanity.

Another success was the activation of the Court’s jurisdiction over the crime of aggression in 2017.

3. What do you believe are some of the major challenges confronting the ICC and Rome Statute system currently and in the coming years?

The ICC and the Rome Statute face dual challenges, both from within and outside the organization. From within the organization, it is apparent that there are numerous issues, most of which have been outlined in the independent expert review process. However, there is one challenge that, all other matters addressed, will remain at the core of the Court’s success and effectiveness: cooperation. The Court relies fully on State Parties’ commitment to cooperate with the Court to be effective. Cooperation is an essential aspect for the external operation of the Court, but it is particularly relevant for the enforcement of its judicial powers. Aspects such as the arrest, custody and surrendering of suspects—including the seizure and holding of assets; the enforcement of sentencings of imprisonment of individuals that are found guilty for crimes under the Statute, and the protection of witnesses and victims, these are all fully dependent on State cooperation. In addition, a long list of other necessary assistance is specified both in the Statute and in cooperation agreements between the Court and States Parties.

Cooperation is especially necessary when the OTP launches preliminary examinations and investigations. The assistance of States Parties is vital, as the OTP does have little enforcement powers of its own, and the actual in loco activities by OTP personnel requires full support of national authorities, which spans from security protection to the granting of access to a large array of evidence that is either in possession of the State or located within the State in question. Cooperation, as vital as it is, has also presented the Court with its biggest challenge. Not only because it puts the Court on an extraordinary level of dependency of States in its day to day operations, particularly concerning the OTP; but also because there have been obvious instances of reluctance to cooperate, posing challenges to the breadth of cooperation needed for the Court to succeed in its mandate. This has been the case, as stressed in the various non-cooperation decisions by the Court concerning the Omar Al-Bashir case. This case appear to question the Court’s jurisdictional powers concerning obligations that the involved States claim to have in respect to the immunity of Heads of State under conventional and general international law. The Al-Bashir case is the most prominent example of how cooperation remains a substantial hurdle to the Rome Statute system, but it is not the only case. Whilst Part 9 of the Rome Statute will continue to play a major role in the ICC’s functioning, it is evident that a stronger link needs to be developed between the Court and the States Parties in order to make cooperation more effective. This means that cooperation should be more prominent in the relationship between the ICC and the States Parties, and also with the United Nations Security Council. However, building a more collaborative atmosphere requires for other challenges within the Court to be addressed promptly, particularly on the issue of steady and visionary leadership.
As to external challenges, there is the need of cohesiveness and widespread support to successfully withstand current and future threats to the Court. The only way to resist the pressure from some of the most powerful actors out there is by unifying all the stakeholders, from civil society to States Parties, from OTP to judges, from victims to ICC staff. But to unify the Court requires change. This change means shifting the way in which the Court carries out its day to day work, such as making trial management more efficient and effective, to having competent and accountable judges; but also in the way it is perceived, both as an international organization and as an adjudicatory body. For this to be accomplished, competent jurists are needed at the helm, as well as individuals, women and men, willing to lead, to guide and to build an environment of constructive dialogue, undertaking their fiduciary responsibilities seriously and by fully engaging with the mission of the Court.

LEGAL SYSTEM

4. The Rome Statute seeks judges representing all of the world’s major legal systems.

a) Which legal system is your country part of?

Costa Rica is influenced by the Romano-Germanic legal tradition, but, as with other countries in the Latin American and the Caribbean region, it has also a regional influence built into its legal system.

b) Please describe any knowledge or experience you have working in or with other legal systems.

Having obtained a Magister Juris in European and Comparative Law from the University of Oxford, I have been trained to understand and work in any legal system. I have participated in proceedings before the Inter-American System of Human Rights, which is a unique procedural system, and I have also gained expertise concerning litigation before the International Court of Justice, which encompasses a hybrid system of laws, both substantive and procedural. While I have not taken part in litigation before the International Criminal Court, I am thoroughly knowledgeable of the Rome Statute framework, that, whilst unique in its own right, integrates method and substance from most major legal traditions.

LANGUAGE ABILITIES

5. The Rome Statute requires every candidate to have excellent knowledge of and be fluent in English or French.

a) What is your native language?

Spanish
b) What is your knowledge and fluency in English? If it is not your native language, please give an example of your experience working in English.

Having been educated at the University of Oxford in the United Kingdom, it required a high fluency in English. I also have extensive experience litigating before the International Court of Justice in English, which has allowed me to become familiar with the legal terminologies and jargon.

c) What is your knowledge and fluency in French? If it is not your native language, please give an example of your experience working in French?

I have some working knowledge of French, which is also an official language of both the International Court of Justice and of the International Criminal Court. I read and understand it, but I am not fluent.

LIST A OR B CRITERIA

6. Your response to this question will depend on whether you were nominated as a List A candidate or a List B candidate.

a) For List A candidates:
- How would you describe your competence in relevant areas of international law outside of the field of international criminal law, such as international humanitarian law and international human rights law?

b) For List B candidates:
- How would you describe your competence in criminal law and procedure?

Under Costa Rica’s legal system, a fully certified lawyer, as is my case, gets trained on and can practise criminal law and procedure. Therefore, I am competent in criminal law and procedure under Costa Rica’s legal system.

- How would you describe your experience in criminal proceedings?

I have been a lawyer over 25 years. Although most of my career has been devoted to the practice of international law, including human rights law, I have had the opportunity to advise clients, particularly at early stages of my career, on matters concerning criminal law. While lately I have not undertaken criminal cases in Costa Rica, as Costa Rica’s chair of the International Law Commission, I have advised on matters concerning international criminal law, the international law of human rights and international humanitarian law.
OTHER EXPERTISE AND EXPERIENCE

The ICC is a unique institution, as such ICC judges face a number of unique challenges (including managing a regime of victims’ participation and witness protection in complex situations, including of ongoing conflict). Even judges with significant prior experience managing complex criminal trials may not necessarily possess requisite skills and knowledge needed to manage these challenges.

7. Is there any area of expertise, knowledge or skillset which you would like to enhance through workplace trainings?

In any sphere of the law, and particularly in international criminal law, it is fundamental not only to train but to embrace best practices as these evolve. Thus, I am always willing to acquire new skillsets and knowledge, whether in substantive or procedural law, that may afford me the opportunity to become more knowledgeable and a better adjudicator.

8. Please provide examples of your legal expertise in other relevant areas such as the crimes over which the ICC has jurisdiction, the management of complex criminal and mass crimes cases, or the disclosure of evidence.

As a List B candidate, and according to article 36 of the Statute, my experience relates to “competence in relevant areas of international law such as international humanitarian law and the law of human rights, and extensive experience in a professional legal capacity which is of relevance to the judicial work of the Court”. Thus, I have proven expertise in international law relevant to the work of the Court, particularly after having acted as advocate, counsel, and co-agent in numerous proceedings before the International Court of Justice. I handled complex cases, which dealt with armed occupation of foreign territory and environmental damages. I also served as a counsel on matters concerning international humanitarian law and the law of human rights, including cases before the Inter-American System of Human Rights. I also have academic experience in those areas, since I have taught these subjects in academia, as I currently do at the University for Peace.

9. Please describe the aspects of your career, experience or expertise outside your professional competence that you consider especially relevant to the work of an ICC judge.

The crime of aggression has become a subject in which I have gained expertise. Even though since the Nuremberg and Tokyo trials, no individual has been tried under this crime, I was placed in the unique position of presiding over the plenary of the Assembly of States Parties that decided the activation of the jurisdiction of the ICC over the crime of aggression. Thereafter, I have been engaged in conferences and academia addressing what the activation of the Court’s jurisdiction over this crime means for the international criminal justice system, including on the elements of this crime and the unique challenges that the Court could face if such a case concerning this crime reaches the Court. In addition, I have relevant expertise in migration and human displacement matters, as I acted on Costa Rica’s behalf with the United Nations High Commissioner for Refugees, the International Organization for Migration and the Regional Conference on Migration. I believe this is important and relevant experience under the Rome Statute, given that certain category of
crimes involve the forcible transfer of population or deportation, the commission of outrages upon personal dignity, which were subjected to humiliating and degrading treatment, all issues which relate to migration and displacement of population.

EXPERIENCE AND PERSPECTIVE RELATED TO SEXUAL AND GENDER BASED CRIMES (SGBCs)

10. Please describe any experience you may have in dealing with SGBCs, including in addressing misconceptions relating to SGBCs.

While I have not dealt directly with cases concerning SGBC’s, I have a strong position on sexual and gender based crimes, specially concerning the need to address social structural gender related issues. My position is that there must be zero tolerance por the perpetration of these hideous acts of physical and psychological harm, directed, in particular, at women. I have been an outspoken advocate for the eradication of gender based crimes, as a recent op-ed of my authorship recently published in my country’s most recognized newspaper demonstrates.

EXPERIENCE AND PERSPECTIVE RELATED TO CRIMES AGAINST CHILDREN

11. Please describe any experience you may have in addressing crimes against and affecting children and related issues, including dealing with child witnesses.

Other than dealing with cases of children’s rights protection in civil suit cases, I have not been involved in cases concerning crimes against children. However, I have had a strong involvement on policy making concerning the protection of children, their rights, and the consideration of their particular vulnerable condition, particularly that of migrant children. I was also deeply involved in securing my country’s support to the ICC’s Office of the Prosecutor’s official launch of its policy on children.

EXPERIENCE AND PERSPECTIVE RELATED TO VICTIMS

12. Please describe any experience that you may have relevant to the right of victim participation before the ICC and reparations for victims of mass atrocities.

I have not been involved in cases concerning the ICC. However, my view is that victims should play a crucial role in proceedings. That is why I agree with the proposals made on the strategy related to victims, which provides emphasis into aspects of victims attention, and which have been laid out in proposals made by stakeholders, such as enhanced communication, protection and support, participation and representation, and reparations and assistance.

As a Judge acting within Chambers, I will be limited by the Rome Statute and the Rules concerning the Judge’s engagement with, and/or in significantly modifying the legal role of victims’ participation in proceedings. However, there are two aspects that a Judge can ensure in proceedings. First, that representation is adequate and that it responds to all victims. Second, while safeguarding that trials are effective and efficient, a Judge may also take the necessary procedural provisions to make sure that victims fully have their voices heard, particularly those of the most vulnerable, such as children and women.
As a member of the Court outside proceedings, I would propose that all organs and sections of the Court adopt a common strategy concerning victims. I would follow up about how far the Revised Strategy, proposed in 2012, has been incorporated into the Strategic Plan of the Court, and make sure that it is fully implemented. Furthermore, concerning reparations, for these to be meaningful, I would like the Court to have a more robust interaction with the Trust Fund for Victims to avoid its depletion. The transformation of the Trust Fund into a sustainable instrument for reparations should be a priority for the Court and for the States Parties. In whatever way as a Judge I can contribute to this happening, I shall do so.

13. Do you have any specialised training and/or experience in providing protection and support to victims and witnesses participating in a case?

As I have not litigated cases before the ICC, I have not participated in proceedings concerning specific cases of protection and support. However, I played a relevant role in having Costa Rica sign a cooperation agreement with the ICC, whereby a comprehensive framework for the protection and support to witnesses, including victims, was agreed upon and is now in force.

EXPERIENCE RELATED TO FAIR TRIAL CONSIDERATIONS AND THE RIGHTS OF THE ACCUSED

14. Please describe any relevant experience implementing/advocating for the rights of the accused, including any specific experience managing fair trial considerations in criminal proceedings.

For the ICC to be a legitimate, credible, and strong system of international criminal justice, it is fundamental to fully carry out proceedings with the rights of the accused in mind at every procedural step. When one provides legal counsel to individuals suspected of criminal wrongdoing, it is part of the job to make sure that any criminal procedures adhere to fairness and equality of arms principles, and I have been committed to these principles since my early years of practicing law.

HUMAN RIGHTS AND HUMANITARIAN LAW EXPERIENCE

15. Do you have any experience working with or within international human rights bodies or courts and/or have you served on the staff or board of directors of human rights or international humanitarian law organizations? Is so, please briefly describe this experience.

I have experience working within the Inter-American System of Human Rights, both advising in cases presented before the Inter-American Human Rights Commission, and in addressing rapporteurships on human rights issues brought up against the country. These cases addressed mostly matters concerning issues dealing with discrimination and the violation of human rights of migrants. I also taught a course on the Inter-American System of Human Rights at the University of Costa Rica.
16. Have you ever referred to or applied any specific provisions of international human rights or international humanitarian law treaties within any judicial decision that you have issued within the scope of your judicial activity or legal experience?

As part of my experience with the Inter-American Human Rights system, I advocated on matters concerning the Inter-American Convention on Human Rights. As Costa Rica’s most senior international counsel, I advised the government on the application of international humanitarian law, specifically on the Geneva Conventions of 1949 and their Additional Protocols, in a case dealing with the military occupation of Costa Rica’s sovereign territory by another State, which posed an imminent danger of an international armed conflict of taking place. Currently, I teach a course about the International Law of Armed Conflict at the UN mandated University for Peace.

IMPLEMENTATION OF THE ROME STATUTE AND INTERNATIONAL CRIMINAL LAW

17. During the course of your judicial activity, if any, have you ever applied the provisions of the Rome Statute directly or through the equivalent national legislation that incorporates Rome Statute offences and procedure? Have you ever referred to or applied jurisprudence of the ICC, ad hoc, or special tribunals? If yes, please describe the context in which you did.

As Costa Rica’s lead international law adviser, there were instances in which I was tasked to provide legal views concerning the application of provisions of the Rome Statute. One example of this duty concerned the signing of agreements of exception to article 98 of the Rome Statute. Upon my advise, Costa Rica adopted a policy against signing agreements of exception to article 98. Another example concerns the signing of a cooperation agreement between the Court and the Government of Costa Rica, which Costa Rica adopted in 2018, after considering my advise.

EXPERIENCE AND PERSPECTIVE RELATED TO GENDER MAINSTREAMING

18. Could you share examples of when you applied a gender perspective in the course of your professional career?

I am a strong defender of the gender perspective. For example, in the course of my time as chair of the Hague Working Group on the ICC, I repeatedly requested the Court not only to take the necessary steps to achieve gender balance Court-wide, not just in terms of gender parity, but also in terms of equality and fair access to all positions at the Court, especially in positions of seniority, where an imbalance between women and men was persistent. Precisely because of my position in gender perspective, I was asked to act as Rapporteur on “How to achieve gender parity in the International Tribunals” in the GQUAL organized Conference on “Changing the Picture of International Justice”, that took place in The Hague in 2017.

CRITERIA OF HIGH MORAL CHARACTER, INDEPENDENCE, IMPARTIALITY AND INTEGRITY
19. What, in your opinion, does the Rome Statute requirement of “high moral character” mean and how do you embody these characteristics? What in your opinion would be contrary to “high moral character”?

The Rome Statute’s requirement of “high moral character” means that the behaviour expected from the Court’s highest authorities must adhere to recognized principles of honesty, integrity, fairness, and independence. The high moral character means the Judge’s engagement in proceedings without preference or prejudice for the accused or for the prosecution, without political or personal inclination, nor be swayed or influenced by States, public opinion, or even family. A Judge is neutral, is impartial and is honest. High moral character also entails a fiduciary duty, which I have particularly defended publicly.

A behaviour contrary to “high moral character” is one where the judge acts contrary to the principles outlined, or where he or she puts his or her interest above the interest of the Court and the values the Court serves.

20. Have you ever resigned from a position as a member of the bar of any country or been disciplined or censured by any bar association of which you may have been a member? If yes, please describe the circumstances.

No, never.

21. It is expected that a judge shall not, by words or conduct, manifest or appear to condone bias or prejudice, including, but not limited to, bias or prejudice based upon age, race, creed, color, gender, sexual orientation, religion, national origin, disability, marital status, socioeconomic status, alienage or citizenship status.

a) What is your opinion on this expectation?

I fully agree and I fully endorse that judges in particular shall never manifest or condone bias or prejudice based upon age, race, creed, colour, gender, sexual orientation, religion, national origin, disability, marital status, socioeconomic status, alienage or citizenship status. My view is that judges not only need to make sure that their conduct adheres to the highest professional standards, but they should also make sure that the organization to which they belong also upholds the same standards.

b) Have you ever been found by a governmental, legal or professional body to have discriminated against or harasses an individual on these grounds? If yes, please describe the circumstances.

No, never.

22. Are you aware of any formal allegations made about you related to professional misconduct, including allegations of sexual harassment, discrimination, or bullying, or any investigations regarding your alleged professional misconduct related to the same? If so, please explain.
To my knowledge, I have never been subject to allegations or investigations concerning any misconduct or any other allegations concerning my professional conduct.

23. Do you have any reason to believe that any current or former colleagues or professional contacts, if asked, would share concerns regarding your professional conduct? I have no reasons to believe that current or former colleagues or professional contacts will express concerns about my professional conduct.


a) What difficulties, if any, can you envisage in taking a position independent of, and possibly contrary to, the position of your government? I have complete independence from my government and my country. I will have no difficulty in taking a legal position contrary to the position of any government, whether from my own or from any other country.

b) How would you act in cases where significant (direct or indirect) political pressure was exerted upon you and/or you and your colleagues? In those circumstance I will act with complete independence and integrity. To bow when pressured, not only will be a breach of my oath but will undermine the very values that I must uphold under the Rome Statute.

25. Please describe specific measures you have undertaken to advance a work environment free of bullying, harassment, and other harmful behavior. As Co-Agent of Costa Rica in cases before the International Court of Justice, and as legal director of many cases, I have created an environment of collegiality, defended gender participation, and made sure to create an environment of respect and constructive dialogue. Concerning gender participation, as per my view and direction, Costa Rica was one of the first, if not the first country, ever to propose two young women, under 35, to plead viva voce before the ICJ. I also made sure that both national and international counsel fully participated on legal decision-making and that everyone would be heard with utmost respect and consideration, even if in disagreement.

OTHER MATTERS

26. The Rome Statute requires that judges elected to the ICC be available from the commencement of their terms, to serve a non-renewable nine-year term, and possibly to remain in office to complete any trials or appeals. A judge is expected to handle legal matters for at least seven hours per day, five days per week.
a) Do you expect to be able to serve at the commencement and for the duration of your term, if elected?

Yes. I expect to be able to serve at the commencement and for the duration of my term, if elected.

b) To what extent are the judicial tasks described above compliant with your expectations of work standards? Please describe any potential adaptations you may require.

The judicial tasks described are fully understood and agreed as work standards. I do not foresee any adaptations, except, perhaps, that I am prepared to exceed the work standards described if the work load of the Court may so require.

27. Please feel free to address any other points here.


For the ICC to thrive as a robust system of international criminal justice, it is vital not only to hold to account potential judges and other high officers, but to make sure that a frank and constructive dialogue among all stakeholders takes place on a continuous basis. We agree about the importance of strengthening the rule of international law and to uphold the mission of the Rome Statute system, concerning the fight against impunity and in providing redress to the victims of the worst crimes; and this can only be achieved by making sure not only that the most qualified persons are elected, but also that these persons understand the importance of upholding universal values, that they are called to provide leadership and guidance, and that they must defend the ideals of the Rome Statute.

Thank you.