

**SECURITY COUNCIL COMMITTEE ESTABLISHED  
PURSUANT TO RESOLUTION 1572 (2004)  
CONCERNING CÔTE D'IVOIRE**

**GUIDELINES OF THE COMMITTEE FOR THE CONDUCT OF ITS WORK**  
**as adopted by the Committee on 13 June 2005 and revised on 28 June 2011<sup>1</sup>**

**The 1572 Committee**

1. The Committee was established by paragraph 14 of Security Council resolution 1572 (2004), on 15 November 2004, to undertake tasks related to the measures contained in that resolution and in resolution 1643 (2005), in particular: the arms embargo, the restrictions on travel and the freezing of assets set out in paragraphs 7, 9 and 11 of resolution 1572 (2004) and the embargo on diamonds as set out in paragraph 6 of resolution 1643 (2005), respectively.
2. The Committee is a subsidiary organ of the Security Council and will consist of all the members of the Council.
3. The Chairman of the Committee will be appointed by the Security Council to serve in his/her personal capacity. The Chairman will be assisted by two Vice Chairmen who will also be appointed by the Council.
4. The Chairman will chair all formal meetings of the Committee. In his/her absence, he/she will appoint one of the Vice Chairmen to act on his/her behalf. The Chairman, or one of his/her designated representatives may also convene and chair informal consultations of the Committee.
5. The Secretariat of the United Nations will provide the Committee with secretariat support.

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<sup>1</sup> These guidelines are also posted on the Committee's webpage:  
<http://www.un.org/Docs/sc/committees/CITemplate.htm>

**Mandate of the Committee**

6. The Committee's mandate, as specified in paragraph 14 of resolution 1572 (2004), and modified by resolution 1643 (2005) is as follows:

(a) to designate the individuals and entities subject to the measures imposed by paragraphs 9 and 11 of resolution 1572 (2004), and to update this list regularly taking into account the criteria set out in those paragraphs, as well as paragraph 4 of resolution 1643 (2005) and paragraph 3 of resolution 1727 (2006);

(b) to seek from all States concerned, and particularly those in the region, information regarding the actions taken by them to implement the measures imposed by paragraphs 7, 9 and 11 of resolution 1572 (2004), and by paragraph 6 of resolution 1643 (2005) and whatever further information it may consider useful, including by providing them with an opportunity to send representatives to meet the Committee to discuss in more detail any relevant issues;

(c) to consider and decide upon requests for the exemptions set out in paragraphs 8, 10 and 12 of resolution 1572 (2004);

(d) to make relevant information publicly available through appropriate media, including the list of persons referred to in paragraph 14 (a) of resolution 1572 (2004);

(e) to promulgate guidelines as may be necessary to facilitate the implementation of the measures imposed by paragraphs 7, 9 and 11 of resolution 1572 (2004) and by paragraph 6 of resolution 1643 (2005); and

(f) to present regular reports to the Council on its work, with its observations and recommendations, in particular on ways to strengthen the effectiveness of the measures imposed by paragraphs 7, 9 and 11 of resolution 1572 (2004) and by paragraph 6 of resolution 1643 (2005).

7. The Committee will, furthermore, examine the reports and information submitted by Member States pursuant to paragraph 15 of resolution 1572 (2004), paragraph 7 of resolution 1643 (2005) as well as paragraph 5 of resolution 1727 (2006), and as authorized by these paragraphs, the Committee may request whatever further information it may consider necessary.

**List of Individuals and Entities Subject to the Measures Imposed by Paragraphs 9 and 11 of Resolution 1572 (2004) (Consolidated Travel Ban and Assets Freeze List)**

**Listing Procedure**

8. (a) The Committee will decide on the designation of an individual or entity referred to in paragraphs 9 or 11 of resolution 1572 (2004), as expanded by paragraph 4 of resolution 1643 (2005) and by paragraph 3 of resolution 1727 (2006), when it receives relevant information with respect to that individual or entity;

(b) The proposed designation of an individual or entity should be accompanied by, to the greatest extent possible, a narrative description of the information that justifies how that individual or entity fits within the language of paragraphs 9 or 11 of resolution 1572 (2004), paragraph 4 of resolution 1643 (2005) or paragraph 3 of resolution 1727 (2006);

(c) The proposed designation of an individual or entity should be accompanied by, to the greatest extent possible, relevant, specific and up-to-date information to facilitate their identification by competent authorities:

-- For individuals (to the greatest extent possible): name, date of birth, place of birth, nationality, aliases, residence, passport or travel document number, professional or functional title;

-- For entities (to the greatest extent possible): name, acronyms, address, headquarters, subsidiaries, affiliates, fronts, nature of business or activity, leadership;

(d) Details to facilitate the identification of designated individuals and entities by competent authorities shall be included in the list where such information has been made available to the Committee.

(e) The consolidated list established by the Committee in accordance with resolutions 1572 (2004), 1643 (2005) and 1727 (2006), is posted on the webpage of the Committee. Any revision of the consolidated list will be published in a United Nations Press Release as soon as possible and will be officially transmitted to all Member States through a Note Verbale from the Chairman.

### **Updating and Maintaining the List**

9. (a) The Committee will consider all requests from United Nations Member States, submitted in writing, to add or correct names of individuals or entities to the consolidated list within five working days from the date of official transmittal of the requests to Committee members. Requests to add names to the list should be accompanied by relevant information as described in subparagraphs 8 (b) and (c) of these guidelines;
- (b) The Committee may decide to extend the period of consideration in exceptional cases, even in the absence of a hold;
- (c) If no objections are received within five working days, the additional information and/or corrections to names already on the list will be promptly incorporated in the list;
- (d) Any modification to the list (including through the quarterly review described in paragraph 10(a) below) will be promptly communicated to all Member States through a Note Verbale from the Chairman. A Security Council press release will also be issued, and the updated list will be made promptly available on the web page of the Committee.

**De-listing**

10. (a) The Committee will review and, as appropriate, update the list every three months, and on a case-by-case basis in exceptional circumstances as decided by Committee members, in connection with outstanding requests to remove individuals or entities from the list. Requests for both deletions from and additions to the list will be included in the quarterly reviews. All requests for the deletion of names from the list must be received not less than five working days prior to the commencement of the quarterly review process. The Chairman will circulate all requests to the members as soon as they are submitted. The Chairman will also send an interim response to each deletion request, confirming receipt of the request, pending its consideration by the Committee;
- (b) A petitioner (individual(s), groups, undertakings, and/or entities on the Consolidated List) may submit a petition to request review of the case. De-listing requests must be submitted in writing. The petitioner must provide adequate and clear justification for the de-listing request, offer relevant information and request support for de-listing;
- (c) Petitioners seeking to submit a request for de-listing can do so either through the focal point process outlined in sub-paragraph 10 (e) of these guidelines or through their State of residence or citizenship as outlined in sub-paragraph 10 (f) of these guidelines;
- (d) A State can decide that as a rule, its citizens or residents should address their de-listing requests directly to the focal point. The State will do so by a declaration addressed to the Chairman of the Committee that will be published on the Committee's website;

**De-listing request submitted through the focal point established pursuant to resolution 1730 (2006)**

(e) If a petitioner chooses to submit a de-listing request to the focal point, the focal point will perform the following tasks:

i. Receive de-listing requests from a petitioner (individual(s), groups, undertakings, and/or entities on the Sanctions Committee's lists);

ii. Verify if the request is new or is a repeated request;

iii. If it is a repeated request and if it does not contain any additional information return it to the petitioner;

iv. Acknowledge receipt of the request to the petitioner and inform the petitioner on the general procedure for processing that request;

v. Forward the request, for their information and possible comments to the State(s) that originally proposed the designation (the designating State(s)) and to the State(s) of citizenship and residence. Those States are encouraged to consult with the designating State(s) before recommending de-listing. To this end, they may approach the focal point, which, if the designating state(s) so agree(s), will put them in contact with the designating state(s);

vi.

(aa) If, after these consultations, any of these States recommend de-listing, that State will forward its recommendation, either through the focal point or directly to the Chairman of the Sanctions Committee, accompanied by that State's explanation. The Chairman will then place the de-listing request on the Committee's agenda;

(bb) If any of the States, which were consulted on the de-listing request under sub-paragraph v. above oppose the request, the focal point will so inform the Committee and provide copies of the de-listing request. Any member of the Committee, which possesses information in support of the de-listing request, is encouraged to share such information with the States that reviewed the de-listing request under sub-paragraph v. above;

(cc) If, after a reasonable time (3 months), none of the States which reviewed the de-listing request under sub-paragraph v. above comment, or indicate that they are working on the de-listing request to the Committee and require an additional definite period of time, the focal point will so notify all members of the Committee and provide copies of the de-listing request. Any member of the Committee may, after consultation with the designating State(s), recommend de-listing by forwarding the request to the Chairman of the Sanctions Committee, accompanied by an explanation. (Only one member of the Committee needs to recommend de-listing in order to place the issue on the Committee's agenda.) If after one month, no Committee member recommends de-listing, then it shall be deemed rejected and the Chairman of the Committee shall inform the focal point accordingly;

vii. The focal point shall convey all communications, which it receives from Member States, to the Committee for its information;

viii. Inform the petitioner:

(aa) Of the decision of the Sanctions Committee to grant the de-listing petition; or

(bb) That the process of consideration of the de-listing request within the Committee has been completed and that the petitioner remains on the list of the Committee;

**De-listing requests submitted through the State of residence or citizenship**

(f) If the petitioner submits the petition to the State of residence or citizenship, the procedure outlined in the sub-paragraphs below shall apply:

i. The State to which a petition is submitted (the petitioned State) should review all relevant information and should approach bilaterally the designating State(s) to seek additional information and to hold consultations on the de-listing request. With prior consent of the designating State(s), the petitioned State may obtain the name(s) of the designating State(s) through the Chairman;

ii. The original designating State(s) may also request additional information from the petitioner's country of citizenship or residency. The petitioned and the designating State(s) may, as appropriate, consult with the Chairman of the Committee during the course of any such bilateral consultations;

iii. If, after reviewing any additional information, the petitioned State wishes to pursue a de-listing request, it may seek to persuade the designating State(s) to submit jointly or separately a request for de-listing to the Committee. However, the petitioned State may, without an accompanying request from the original designating State(s), submit a request for de-listing to the Committee.

**Requests for Exemptions to Travel Restrictions Pursuant to Paragraph 9 of Resolution 1572 (2004)**

11. Each request for exemption to the travel restrictions imposed under paragraph 9 of resolution 1572 (2004) shall be submitted in writing, on behalf of the listed individual, to the Chairman of the Committee through the Permanent Mission to the United Nations of the State of which the listed individual is a national or resident, or, in exceptional cases, through a United Nations office.

12. Except in cases of emergency, to be determined by the Committee, all requests shall be received by the Chairman no less than five working days before the commencement date of the proposed travel;

13. All requests should include the following information, with accompanying documents:

i. the name, designation, nationality and passport number(s) of the person(s) undertaking the proposed travel;

ii. the purpose(s) for the proposed travel, with copies of supporting documents furnishing details connected to the request such as specific dates and times of meetings or appointments;

iii. the proposed dates and times of departure from and return to the country from which the travel commenced;

iv. the complete itinerary for such travel including the ports of departure and return and all transit stops;

v. details of the mode of transport to be used, including where applicable, record locator, flight numbers and names of vessels;

vi. a statement of specific justification for the exemption.

14. Any request for extension(s) of exemptions approved by the Committee under paragraph 9 of resolution 1572 (2004) shall also be subject to the provisions above, and shall be received by the Committee Chairman in writing, attaching the revised

itinerary, no less than five working days prior to the expiry of the approved exemption period, and circulated to Committee members.

15. The Committee shall receive written confirmation from the State in whose territory the listed individual resides, with supporting documentation, confirming the itinerary and date on which the listed individual travelling under an exemption granted by the Committee returned to the country of residence.

16. Any changes to the required travel information previously submitted to the Committee, including the points of transit, shall require the prior approval of the Committee and shall be received by the Committee Chairman and circulated to Committee members no less than two working days prior to the commencement of the travel, except in cases of emergency.

17. The Committee Chairman shall be immediately informed in writing in the event of advancement or postponement of travel for which the Committee has already issued an exemption. Submission to the Committee Chairman of written notification will be sufficient in cases where the time of departure is advanced or postponed no more than 48 hours and the previously submitted itinerary remains otherwise unchanged. If travel is to be advanced or postponed more than 48 hours before or after the date previously approved by the Committee, then a new exemption request must be submitted, and should be received by the Chairman and circulated to Committee members in conformity with paragraphs 11, 12 and 13 above.

18. For exemption requests based on medical or other humanitarian need, the Committee will determine whether the travel is justified within the exemption of paragraph 10 of Security Council resolution 1572 (2004), once notified of the name of the traveller, the reason for travel, the date and time of treatment, along with flight details, including transit points and destination(s). In cases of emergency medical evacuations, the Committee Chairman shall also be promptly provided with a doctor's note containing details of the nature of the medical emergency and the facility where treatment was received by the patient, as well as information regarding the date, time, and mode of travel by which the patient returned to his/her country of residence.

**Requests for Exemptions to the Arms Embargo pursuant to Paragraph 8 of Resolution 1572 (2004)**

19. In accordance with paragraph 14 of resolution 1572 (2004), as amended by paragraph 9 of resolution 1980 (2011), the Committee shall give consideration to, and decide upon, on a case-by-case basis, requests for the exemptions to the arms embargo set out in paragraph 8 (b) and (e) of the resolution, as follows:

(b) supplies of non-lethal military equipment intended solely for humanitarian or protective use, and related technical assistance and training;

(e) supplies of arms and related materiel, vehicles, and the provision of technical training and assistance in support of the Ivorian process of Security Sector Reform, pursuant to a formal request by the Ivorian Government and approved in advance by the Committee in pursuance of paragraph 9 of resolution 1980 (2011).

20. The Committee shall receive advance notification as set out in paragraph 8 (d) of the resolution as follows:

(d) supplies temporarily exported to Côte d'Ivoire to the forces of a State which is taking action, in accordance with international law, solely and directly to facilitate the evacuation of its nationals and those for whom it has consular responsibility in Côte d'Ivoire.

21. Requests for advance approval by the Committee, and notifications to the Committee, shall be submitted in writing to the Chair by the Permanent or Observer Mission of the State or the international organization or agency supplying the equipment. For the cases related to paragraph 8 (e) of resolution 1572 (2004), as amended by paragraph 9 of resolution 1980 (2011), detailed requests for advance

approval by the Sanctions Committee shall be submitted in writing to the Chairman directly by the Ivorian Government.

**Requests for Exemptions to the Assets Freeze Pursuant to Paragraph 12 of resolution 1572 (2004)**

22. In considering notifications and requests for exemptions to the assets freeze imposed under paragraph 11 of resolution 1572 (2004), the Committee shall apply the provisions of paragraph 12 of the resolution which states that the assets freeze does not apply to funds, other financial assets and economic resources that:

(a) have been determined by relevant States to be necessary for basic expenses, including payment for foodstuffs, rent or mortgage, medicines and medical treatment, taxes, insurance premiums, and public utility charges, or exclusively for payment of reasonable professional fees and reimbursement of incurred expenses associated with the provision of legal services, or fees or service charges, in accordance with national laws, for routine holding or maintenance of frozen funds, other financial assets and economic resources, after notification by the relevant States to the Committee of the intention to authorize, where appropriate, access to such funds, other financial assets and economic resources and in the absence of a negative decision by the Committee within two working days of such notification;

(b) have been determined by relevant States to be necessary for extraordinary expenses, provided that such determination has been notified by the relevant States to the Committee and has been approved by the Committee; or

(c) have been determined by relevant States to be subject of a judicial, administrative or arbitral lien or judgement, in which case the funds, other financial assets and economic resources may be used to satisfy that lien or judgement provided that the lien or judgement: was entered prior to the date of the present resolution, is not for the benefit of a person referred to in paragraph 11 of resolution 1572 (2004) or an individual or entity identified by the Committee, and has been notified by the relevant States to the Committee.

### **Meetings of the Committee**

23. Meetings of the Committee may be convened at any time the Chairman deems necessary, or at the request of any Member of the Committee. Members will be given a two-working-day notice (or shorter in urgent situations) of the meeting. Members of the Committee may also convene informal sessions.

24. The meetings of the Committee will be closed unless it decides otherwise. The Committee may invite non-members of the Committee, including the Secretariat, other UN Member States, regional and international organizations, NGOs and individual experts to appear before it for the purpose of providing information or explanations relating to any violations or alleged violations of the sanctions measures imposed by resolution 1572 (2004), or to address the Committee and assist it, on an ad hoc basis, if necessary and useful to the progress of its work. The Committee will consider requests from Member States to send representatives to meet with the Committee for more in-depth discussion of relevant issues.

### **Decision-making**

25. (a) The Committee will reach all decisions by consensus of its members;

(b) If consensus cannot be reached on a particular issue, the Chairman will undertake consultations, or encourage bilateral exchanges, between Member States, as he/she deems appropriate to resolve the issue and to ensure the effective functioning of the Committee;

(c) If, after these consultations, consensus still cannot be reached, the matter may be submitted to the Security Council.

26. Decisions may be made by a "no-objection procedure". In such cases, the Chairman will circulate to all members of the Committee the proposed decision of the Committee, and will request members of the Committee to indicate, in written form,

any objection they may have to the proposed decision within five working days (in emergency situations the Chairman may decide to reduce that time period after notifying all Committee members accordingly to ensure that no Committee member objects). If no objection is received within the defined period, the proposed decision will be deemed adopted. Objections received after the defined period will not be considered.

27. In order to enhance and publicize the work of the Committee, the Chairman will brief interested Member States and the press following formal meetings of the Committee, unless the Committee decides otherwise. In addition, the Chairman will be authorized, after prior consultations with and approval of the Committee, to hold press conferences or issue press releases on any aspect of the Committee's work.

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