

**Legislative Council
Subcommittee to Examine the Implementation
in Hong Kong of Resolutions of the United Nations
Security Council in relation to Sanctions**

**UNITED NATIONS SANCTIONS (DEMOCRATIC REPUBLIC OF
THE CONGO) REGULATION 2009**

INTRODUCTION

A At the meeting of the Executive Council on 10 March 2009, the Council advised and the Chief Executive ordered that the United Nations Sanctions (Democratic Republic of the Congo) Regulation 2009 (“the Regulation”) (at Annex A) should be made under section 3 of the United Nations Sanctions Ordinance (Cap. 537) (“the Ordinance”). The Regulation was gazetted on 13 March 2009 and came into effect on the same day.

BACKGROUND

Obligation and Authority

B 2. Under section 3(1) of the Ordinance, the Chief Executive (“CE”) is required to make regulations to give effect to instructions from the Ministry of Foreign Affairs (“MFA”) of the People’s Republic of China to implement sanctions decided by the United Nations Security Council (“UNSC”). In January 2009, the CE received an instruction from the MFA to implement UNSC Resolution 1857. A document issued by the Chief Secretary for Administration confirming the MFA’s instruction is at Annex B.

Sanctions against the Democratic Republic of the Congo

3. Given that the unstable situation in the Democratic Republic of the Congo (DR Congo) constitutes a threat to international peace and

security in the region, the UNSC has adopted several resolutions imposing sanctions against DR Congo since 2003. The sanctions include the following –

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(a) measures on arms supply and military assistance, advice or training imposed by Resolution 1493 (at Annex C) as amended and expanded by Resolution 1596 (at Annex D);

E & F

(b) travel measures imposed by Resolution 1596, Resolution 1649 (at Annex E) and Resolution 1698 (at Annex F); and

(c) financial measures imposed by Resolution 1596, Resolution 1649 and Resolution 1698.

To implement these resolutions, Regulations have been made under the Ordinance, the most recent one being the United Nations Sanctions (Democratic Republic of the Congo) (No. 2) Regulation 2008 (Cap. 537AJ), made to implement UNSC Resolution 1807. That Regulation expired at midnight on 31 December 2008.

UNSC Resolution 1857

G

4. On 22 December 2008, the UNSC adopted Resolution 1857 (at Annex G) which, among other things, imposes or renews until 30 November 2009 the following measures against DR Congo –

(a) the measures on arms imposed by paragraph 1 of Resolution 1807 and the provisions of paragraphs 2, 3 and 5 of that Resolution [*i.e. the prohibition against the supply, sale or transfer of arms and any related materiel; and the provision of any assistance, advice or training related to military activities, with some exceptions, imposed on all non-government entities and individuals operating in the territory of the DR Congo*]; and

(b) the travel measures and financial measures, with certain exceptions, imposed by paragraphs 9 and 11 of Resolution 1807 and the provisions of paragraphs 10 and 12 of that resolution [*i.e. (a) the travel ban, with some exceptions, on*

all persons designated by the Committee¹ pursuant to paragraph 4 of Resolution 1857, as well as those designated pursuant to paragraph 13 of Resolution 1596, paragraph 2 of Resolution 1649, paragraph 13 of Resolution 1698 and paragraph 9 of Resolution 1807; and (b) the financial measures, with some exceptions, on all persons and entities designated by the Committee pursuant to paragraph 4 of Resolution 1857, as well as those designated pursuant to paragraph 15 of Resolution 1596, paragraph 2 of Resolution 1649, paragraph 13 of Resolution 1698 and paragraph 11 of Resolution 1807].

THE REGULATION

5. The Regulation at Annex A seeks to implement the sanctions provided for by Resolution 1857. The main provisions include -

- (a) sections 2 and 3, which provide for a prohibition against the supply, delivery and carriage of arms and related material to persons operating in the territory of DR Congo;
- (b) section 4, which provides for prohibitions against the provision of assistance, advice or training related to military activities to such persons;
- (c) section 5, which provides for a prohibition against making funds, other financial assets or economic resources available to or for the benefit of certain persons and entities;
- (d) sections 6 and 7, which provide for a prohibition against entry into or transit through the HKSAR by certain persons;
- (e) sections 8 to 11, which provide for the granting of licences for the supply, delivery or carriage of arms and related material; the provision of assistance, advice or training related to military activities; or the making available of funds, other financial assets or economic resources to or for

¹ The Committee is established pursuant to Resolution 1533.

the benefit of certain persons or entities;

- (f) sections 13 to 22, which provide for enforcement powers;
- (g) section 30, which provides that the CE may, by notice published in the Gazette, specify (i) a person or an entity designated by the Committee under paragraph 15 of Resolution 1596, paragraph 2 of Resolution 1649, paragraph 13 of Resolution 1698 and paragraph 11 of Resolution 1807 and in respect of whom paragraph 11 of Resolution 1807 applies by virtue of paragraphs 3 and 5 of Resolution 1857 or (ii) a person or an entity designated by the Committee under paragraph 4 of Resolution 1857, as a relevant person or a relevant entity; and
- (h) section 32, which provides for the expiry of the Regulation at midnight on 30 November 2009.

IMPLICATIONS OF THE REGULATION

6. The proposal is in conformity with the Basic Law, including the provisions concerning human rights. The Regulation will not affect the binding effect of the Ordinance. It has no financial, civil service, productivity, environmental or sustainability implications. As DR Congo is not a major trading partner of Hong Kong, the arms embargo and financial sanctions against DR Congo are unlikely to have any significant impact on the Hong Kong economy.

PUBLICITY

7. A press release was issued on 13 March 2009 when the Regulation was published in the Gazette.

ADVICE SOUGHT

8. Members are invited to note the implementation of UNSC Resolution 1857 by the Regulation.

**Commerce and Economic Development Bureau
March 2009**

L.N. 37 of 2009**UNITED NATIONS SANCTIONS (DEMOCRATIC REPUBLIC
OF THE CONGO) REGULATION 2009****CONTENTS**

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UNITED NATIONS SANCTIONS (DEMOCRATIC REPUBLIC OF THE CONGO) REGULATION 2009

(Made by the Chief Executive under section 3 of the United Nations Sanctions Ordinance (Cap. 537) on the instruction of the Ministry of Foreign Affairs of the People's Republic of China and after consultation with the Executive Council)

PART 1

PRELIMINARY

1. Interpretation

In this Regulation, unless the context otherwise requires—

“authorized officer” (獲授權人員) means—

- (a) a police officer;
- (b) a member of the Customs and Excise Service holding an office specified in Schedule 1 to the Customs and Excise Service Ordinance (Cap. 342); or
- (c) a public officer employed in the Customs and Excise Department in the Trade Controls Officer Grade;

“Commissioner” (關長) means the Commissioner of Customs and Excise, any Deputy Commissioner of Customs and Excise or any Assistant Commissioner of Customs and Excise;

“Committee” (委員會) means the Committee of the Security Council established under paragraph 8 of Resolution 1533;

“funds” (資金) includes—

- (a) gold coin, gold bullion, cash, cheques, claims on money, drafts, money orders and other payment instruments;
- (b) deposits with financial institutions or other entities, balances on accounts, debts and debt obligations;
- (c) securities and debt instruments (including stocks and shares, certificates representing securities, bonds, notes, warrants, debentures, debenture stock and derivatives contracts);
- (d) interest, dividends or other income on or value accruing from or generated by property;
- (e) credit, rights of set-off, guarantees, performance bonds or other financial commitments;

(f) letters of credit, bills of lading and bills of sale; and

(g) documents evidencing an interest in funds or financial resources, and any other instrument of export financing;

“licence” (特許) means a licence granted under section 8(1)(a) or (b), 9(1) or 10(1);

“master” (船長), in relation to a ship, includes any person (other than a pilot) for the time being in charge of the ship;

“operator” (營運人), in relation to a ship, aircraft or vehicle, means the person for the time being having the management of the ship, aircraft or vehicle;

“pilot in command” (機長), in relation to an aircraft, means the pilot designated by the operator or the owner, as appropriate, as being in charge of the aircraft without being under the direction of any other pilot in the aircraft and charged with the safe conduct of a flight;

“prohibited goods” (禁制物品) means any arms or related material;

“relevant entity” (有關實體) means an entity specified by the Chief Executive as a relevant entity in accordance with section 30;

“relevant person” (有關人士) means a person specified by the Chief Executive as a relevant person in accordance with section 30;

“Resolution 1533” (《第 1533 號決議》) means Resolution 1533 (2004) adopted by the Security Council on 12 March 2004;

“Resolution 1596” (《第 1596 號決議》) means Resolution 1596 (2005) adopted by the Security Council on 18 April 2005;

“Resolution 1649” (《第 1649 號決議》) means Resolution 1649 (2005) adopted by the Security Council on 21 December 2005;

“Resolution 1698” (《第 1698 號決議》) means Resolution 1698 (2006) adopted by the Security Council on 31 July 2006;

“Resolution 1807” (《第 1807 號決議》) means Resolution 1807 (2008) adopted by the Security Council on 31 March 2008;

“Resolution 1857” (《第 1857 號決議》) means Resolution 1857 (2008) adopted by the Security Council on 22 December 2008;

“Security Council” (安理會) means the Security Council of the United Nations.

PART 2

PROHIBITIONS

2. Prohibition against supply or delivery of certain goods

(1) This section applies to—

(a) a person acting in the HKSAR; and

- (b) a person acting outside the HKSAR who is—
 - (i) both a Hong Kong permanent resident and a Chinese national; or
 - (ii) a body incorporated or constituted under the law of the HKSAR.
- (2) Except under the authority of a licence granted under section 8(1)(a), a person must not supply or deliver, agree to supply or deliver, or do any act likely to promote the supply or delivery of, any prohibited goods—
 - (a) to, or to the order of, a person operating in the territory of the Democratic Republic of the Congo; or
 - (b) to a destination for the purpose of delivery, directly or indirectly, to, or to the order of, a person operating in the territory of the Democratic Republic of the Congo.
- (3) A person who contravenes subsection (2) commits an offence and is liable—
 - (a) on conviction on indictment to a fine and to imprisonment for 7 years; or
 - (b) on summary conviction to a fine at level 6 and to imprisonment for 6 months.
- (4) It is a defence for a person charged with an offence under subsection (3) to prove that the person did not know and had no reason to believe—
 - (a) that the goods concerned were prohibited goods; or
 - (b) that the goods concerned were or were to be supplied or delivered—
 - (i) to, or to the order of, a person operating in the territory of the Democratic Republic of the Congo; or
 - (ii) to a destination for the purpose of delivery, directly or indirectly, to, or to the order of, a person operating in the territory of the Democratic Republic of the Congo.

3. Prohibition against carriage of certain goods

- (1) This section applies to—
 - (a) a ship that is registered in the HKSAR;
 - (b) an aircraft that is registered in the HKSAR;
 - (c) any other ship or aircraft that is for the time being chartered to a person who is—
 - (i) in the HKSAR;
 - (ii) both a Hong Kong permanent resident and a Chinese national; or
 - (iii) a body incorporated or constituted under the law of the HKSAR; and

(d) a vehicle in the HKSAR.

(2) Without limiting section 2, except under the authority of a licence granted under section 8(1)(b), a ship, aircraft or vehicle must not be used for the carriage of any prohibited goods if the carriage is, or forms part of, a carriage—

(a) to, or to the order of, a person operating in the territory of the Democratic Republic of the Congo; or

(b) to a destination for the purpose of delivery, directly or indirectly, to, or to the order of, a person operating in the territory of the Democratic Republic of the Congo.

(3) Subsection (2) does not apply if—

(a) the carriage of the prohibited goods is performed in the course of the supply or delivery of the prohibited goods; and

(b) the supply or delivery was authorized by a licence granted under section 8(1)(a).

(4) If a ship, aircraft or vehicle is used in contravention of subsection (2), each of the following persons commits an offence—

(a) in the case of a ship registered in the HKSAR, the charterer, the operator and the master of the ship;

(b) in the case of any other ship—

(i) the charterer of the ship;

(ii) the operator of the ship, if the operator is in the HKSAR, or is both a Hong Kong permanent resident and a Chinese national, or is a body incorporated or constituted under the law of the HKSAR; and

(iii) the master of the ship, if the master is in the HKSAR or is both a Hong Kong permanent resident and a Chinese national;

(c) in the case of an aircraft registered in the HKSAR, the charterer, the operator and the pilot in command of the aircraft;

(d) in the case of any other aircraft—

(i) the charterer of the aircraft;

(ii) the operator of the aircraft, if the operator is in the HKSAR, or is both a Hong Kong permanent resident and a Chinese national, or is a body incorporated or constituted under the law of the HKSAR; and

(iii) the pilot in command of the aircraft, if the pilot in command is in the HKSAR or is both a Hong Kong permanent resident and a Chinese national;

(e) in the case of a vehicle, the operator and the driver of the vehicle.

(5) A person who commits an offence under subsection (4) is liable—

- (a) on conviction on indictment to a fine and to imprisonment for 7 years; or
- (b) on summary conviction to a fine at level 6 and to imprisonment for 6 months.

(6) It is a defence for a person charged with an offence under subsection

(4) to prove that the person did not know and had no reason to believe—

- (a) that the goods concerned were prohibited goods; or
- (b) that the carriage of the goods concerned was, or formed part of, a carriage—
 - (i) to, or to the order of, a person operating in the territory of the Democratic Republic of the Congo; or
 - (ii) to a destination for the purpose of delivery, directly or indirectly, to, or to the order of, a person operating in the territory of the Democratic Republic of the Congo.

4. Prohibition against provision of certain assistance, advice or training

(1) This section applies to—

- (a) a person acting in the HKSAR; and
- (b) a person acting outside the HKSAR who is—
 - (i) both a Hong Kong permanent resident and a Chinese national; or
 - (ii) a body incorporated or constituted under the law of the HKSAR.

(2) Except under the authority of a licence granted under section 9(1), a person must not provide to a person operating in the territory of the Democratic Republic of the Congo any assistance, advice or training related to military activities, including financing and financial assistance.

(3) A person who contravenes subsection (2) commits an offence and is liable—

- (a) on conviction on indictment to a fine and to imprisonment for 7 years; or
- (b) on summary conviction to a fine at level 6 and to imprisonment for 6 months.

(4) It is a defence for a person charged with an offence under subsection

(3) to prove that the person did not know and had no reason to believe—

- (a) that the assistance, advice or training concerned was to be provided to a person operating in the territory of the Democratic Republic of the Congo; or
- (b) that the assistance, advice or training concerned related to military activities.

5. Prohibition against making available funds, etc.

(1) This section applies to—

(a) a person acting in the HKSAR; and

(b) a person acting outside the HKSAR who is—

(i) both a Hong Kong permanent resident and a Chinese national; or

(ii) a body incorporated or constituted under the law of the HKSAR.

(2) Except under the authority of a licence granted under section 10(1), a person must not make available any funds or other financial assets or economic resources to, or for the benefit of, a relevant person or a relevant entity.

(3) The addition to an account owned or controlled by a relevant person or a relevant entity of interest or other earnings due on that account does not constitute making available funds or other financial assets or economic resources to, or for the benefit of, the relevant person or the relevant entity.

(4) A person who contravenes subsection (2) commits an offence and is liable—

(a) on conviction on indictment to a fine and to imprisonment for 7 years; or

(b) on summary conviction to a fine at level 6 and to imprisonment for 6 months.

(5) It is a defence for a person charged with an offence under subsection (4) to prove that the person did not know and had no reason to believe that the funds or other financial assets or economic resources concerned were to be made available to, or for the benefit of, a relevant person or a relevant entity.

6. Prohibition against entry or transit by certain persons

(1) Subject to section 7, a specified person must not enter or transit through the HKSAR.

(2) A person who contravenes subsection (1) commits an offence and is liable on conviction to a fine at level 4 and to imprisonment for 2 years.

(3) This section does not prohibit a person having the right of abode or the right to land in the HKSAR from entry into the HKSAR.

(4) In this section—

“specified person” (指明人士) means—

- (a) a person—
 - (i) designated by the Committee under paragraph 13 of Resolution 1596, paragraph 2 of Resolution 1649, paragraph 13 of Resolution 1698 and paragraph 9 of Resolution 1807; and
 - (ii) in respect of whom paragraph 9 of Resolution 1807 applies by virtue of paragraphs 3 and 5 of Resolution 1857; or
- (b) a person designated by the Committee under paragraph 4 of Resolution 1857.

7. Exceptions to prohibition against entry or transit by certain persons

Section 6 does not apply to a case in respect of which—

- (a) the Committee has determined that the relevant entry into or transit through the HKSAR is justified on the ground of humanitarian need, including religious obligation;
- (b) the Committee has determined that the relevant entry into or transit through the HKSAR would further the objectives of the resolutions of the Security Council, that is, peace and national reconciliation in the Democratic Republic of the Congo and stability in the region;
- (c) the Committee has authorized the relevant transit through the HKSAR by a person returning to the territory of the State of his or her nationality; or
- (d) the Committee has authorized the relevant transit through the HKSAR by a person participating in efforts to bring to justice perpetrators of grave violations of human rights or international humanitarian law.

PART 3

LICENCES

8. Licence for supply, delivery or carriage of certain goods

(1) If satisfied on application that any of the requirements in subsection (2) is met, the Chief Executive must, subject to subsection (3), grant, as appropriate—

- (a) a licence for the supply or delivery of, or the doing of an act likely to promote the supply or delivery of, prohibited goods—

- (i) to, or to the order of, a person operating in the territory of the Democratic Republic of the Congo; or
 - (ii) to a destination for the purpose of delivery, directly or indirectly, to, or to the order of, a person operating in the territory of the Democratic Republic of the Congo; or
- (b) a licence for the carriage of prohibited goods that is, or forms part of, a carriage—
 - (i) to, or to the order of, a person operating in the territory of the Democratic Republic of the Congo; or
 - (ii) to a destination for the purpose of delivery, directly or indirectly, to, or to the order of, a person operating in the territory of the Democratic Republic of the Congo.
- (2) The requirements referred to in subsection (1) are as follows—
 - (a) it is a supply, delivery or carriage of prohibited goods to the Government of the Democratic Republic of the Congo;
 - (b) the prohibited goods are intended solely for the support of or use by the United Nations Organization Mission in the Democratic Republic of the Congo;
 - (c) the prohibited goods are protective clothing, including flack jackets and military helmets, to be temporarily exported to the Democratic Republic of the Congo by United Nations personnel, representatives of the media, humanitarian or development workers or associated personnel, for their personal use only;
 - (d) the prohibited goods are non-lethal military equipment intended solely for humanitarian or protective use.
- (3) If the Chief Executive is satisfied that the requirement in subsection (2)(a) or (d) is met, before granting the licence, the Chief Executive must cause the Committee to be notified of the proposed supply, delivery or carriage of the prohibited goods to which the application for the licence relates.

9. Licence for provision of certain assistance, advice or training

(1) If satisfied on application that any of the requirements in subsection (2) is met, the Chief Executive must, subject to subsection (3), grant a licence to provide to a person operating in the territory of the Democratic Republic of the Congo assistance, advice or training related to military activities, including financing and financial assistance.

(2) The requirements referred to in subsection (1) are as follows—

- (a) the assistance, advice or training is provided to the Government of the Democratic Republic of the Congo;
- (b) the assistance, advice or training is related to protective clothing, including flack jackets and military helmets, to be temporarily exported to the Democratic Republic of the Congo by United Nations personnel, representatives of the media, humanitarian or development workers or associated personnel, for their personal use only;
- (c) the assistance or training is technical assistance or training intended solely for the support of or use by the United Nations Organization Mission in the Democratic Republic of the Congo;
- (d) the assistance or training is technical assistance or training related to non-lethal military equipment intended solely for humanitarian or protective use.

(3) If the Chief Executive is satisfied that the requirement in subsection (2)(a) or (d) is met, before granting the licence, the Chief Executive must cause the Committee to be notified of the proposed provision of the assistance, advice or training to which the application for the licence relates.

10. Licence for making available funds, etc. to certain persons or entities

(1) If on application the Chief Executive determines that any of the requirements in subsection (2) is met, the Chief Executive must, subject to subsection (3), grant a licence for making available funds or other financial assets or economic resources to, or for the benefit of, a relevant person or a relevant entity.

(2) The requirements referred to in subsection (1) are as follows—

- (a) the funds or other financial assets or economic resources are—
 - (i) necessary for basic expenses, including payment for foodstuffs, rents, mortgages, medicines, medical treatments, taxes, insurance premiums and public utility charges; or
 - (ii) for the payment of reasonable professional fees or reimbursement of incurred expenses associated with the provision of legal services;
- (b) the funds or other financial assets or economic resources are necessary for extraordinary expenses;

- (c) the funds or other financial assets or economic resources—
 - (i) are the subject of a judicial, administrative or arbitration lien or judgment that was entered prior to 31 March 2008 and is not for the benefit of a person designated by the Committee under paragraph 13 of Resolution 1807; and
 - (ii) are to be used to satisfy the lien or judgment.
- (3) If the Chief Executive determines that—
 - (a) the requirement in subsection (2)(a) is met, the Chief Executive—
 - (i) must cause the Committee to be notified of the intention to grant a licence under subsection (1); and
 - (ii) must grant the licence in the absence of a negative decision by the Committee within 4 working days of the notification;
 - (b) the requirement in subsection (2)(b) is met, the Chief Executive—
 - (i) must cause the Committee to be notified of the determination; and
 - (ii) must not grant the licence unless the Committee approves the determination;
 - (c) the requirement in subsection (2)(c) is met, before granting the licence, the Chief Executive must cause the Committee to be notified of the determination.

11. Provision of false information or documents for purpose of obtaining licences

(1) A person who, for the purpose of obtaining a licence, makes any statement or provides or produces any information or document that the person knows to be false in a material particular commits an offence and is liable—

- (a) on conviction on indictment to a fine and to imprisonment for 2 years; or
- (b) on summary conviction to a fine at level 6 and to imprisonment for 6 months.

(2) A person who, for the purpose of obtaining a licence, recklessly makes any statement or provides or produces any information or document that is false in a material particular commits an offence and is liable—

- (a) on conviction on indictment to a fine and to imprisonment for 2 years; or
- (b) on summary conviction to a fine at level 6 and to imprisonment for 6 months.

PART 4

THINGS DONE OUTSIDE HKSAR

12. Licence or permission granted by authorities of places outside HKSAR

(1) If the circumstances described in subsection (2) apply, a provision of this Regulation that prohibits the doing of a thing by a person except under the authority of a licence does not have effect in relation to any such thing done in a place outside the HKSAR by the person.

(2) For the purposes of subsection (1), the circumstances are that the thing is done by the person under the authority of a licence or with permission granted, in accordance with any law in force in that place outside the HKSAR (being a law substantially corresponding to the relevant provision of this Regulation), by the authority competent in that behalf under that law.

PART 5

ENFORCEMENT OF REGULATION

Division 1—Investigation, etc. of Suspected Ships**13. Investigation of suspected ships**

(1) If an authorized officer has reason to suspect that a ship to which section 3 applies has been, is being or is about to be used in contravention of section 3(2), the officer may—

- (a) either alone or accompanied and assisted by any person acting under the officer's authority, board the ship and search it and, for that purpose, use or authorize the use of reasonable force; and
- (b) request the charterer, operator or master of the ship to provide any information relating to the ship or its cargo, or produce for inspection any of its cargo or any document relating to the ship or its cargo, that the officer may specify.

(2) If an authorized officer has reason to suspect that a ship to which section 3 applies is being or is about to be used in contravention of section 3(2), the officer may, for the purpose of stopping or preventing the use of the ship in contravention of that section or to pursue enquiries, either there and then or on consideration of any information provided or cargo or document produced in response to a request made under subsection (1)(b), do one or more of the following—

- (a) direct the charterer, operator or master of the ship to refrain, except with the consent of an authorized officer, from landing, at any port specified by the authorized officer, any part of the ship's cargo that is so specified;
 - (b) request the charterer, operator or master of the ship to take any of the following steps—
 - (i) to cause the ship and any of its cargo not to proceed with the voyage on which the ship is then engaged or about to be engaged until the charterer, operator or master is notified by an authorized officer that the ship and its cargo may so proceed;
 - (ii) if the ship is in the HKSAR, to cause the ship and any of its cargo to remain in the HKSAR until the charterer, operator or master is notified by an authorized officer that the ship and its cargo may depart;
 - (iii) if the ship is in any other place, to take the ship and any of its cargo to a port specified by an authorized officer, and to cause the ship and its cargo to remain in that place until the charterer, operator or master is notified by an authorized officer that the ship and its cargo may depart;
 - (iv) to take the ship and any of its cargo to another destination specified by an authorized officer in agreement with the charterer, operator or master.
- (3) A power conferred by this section to request a person to provide any information or produce any cargo or document for inspection includes a power to—
- (a) specify whether the information should be provided orally or in writing and in what form; and
 - (b) specify the time by which, and the place in which, the information should be provided or the cargo or document should be produced for inspection.

14. Offences by charterer, operator or master of ship

(1) A charterer, operator or master of a ship who disobeys any direction given under section 13(2)(a), or, without reasonable excuse, refuses or fails to comply with a request made under section 13(1)(b) or (2)(b) within the time specified by an authorized officer or, if no time is specified, within a reasonable time, commits an offence and is liable on conviction to a fine at level 6 and to imprisonment for 6 months.

(2) A charterer, operator or master of a ship who, in response to a request made under section 13(1)(b) or (2)(b), provides or produces to an authorized officer any information or document that the charterer, operator or master knows to be false in a material particular, or recklessly provides or produces to an authorized officer any information or document that is false in a material particular, commits an offence and is liable on conviction to a fine at level 6 and to imprisonment for 6 months.

15. Power of authorized officers to enter and detain ships

(1) Without limiting section 14, if an authorized officer has reason to suspect that a request that has been made under section 13(2)(b) may not be complied with, the officer may take any steps that appear to the officer to be necessary to secure compliance with that request including, in particular, any of the following steps—

- (a) enter or authorize the entry on any land or the ship concerned;
- (b) detain or authorize the detention of that ship or any of its cargo;
- (c) use or authorize the use of reasonable force.

(2) Subject to subsection (3), subsection (1) does not authorize the detention of a ship for more than 12 hours.

(3) The Chief Secretary for Administration may, by order in writing, authorize the detention of a ship for further periods of not more than 12 hours each, and the order must state the time from which, and period for which, the order is effective.

Division 2—Investigation, etc. of Suspected Aircraft

16. Investigation of suspected aircraft

(1) If an authorized officer has reason to suspect that an aircraft to which section 3 applies has been, is being or is about to be used in contravention of section 3(2), the officer may—

- (a) either alone or accompanied and assisted by any person acting under the officer's authority, board the aircraft and search it and, for that purpose, use or authorize the use of reasonable force; and
- (b) request the charterer, operator or pilot in command of the aircraft to provide any information relating to the aircraft or its cargo, or produce for inspection any of its cargo or any document relating to the aircraft or its cargo, that the officer may specify.

(2) If the aircraft referred to in subsection (1) is in the HKSAR, an authorized officer may, either there and then or on consideration of any information provided or cargo or document produced in response to a request made under subsection (1)(b), further request the charterer, operator or pilot in command of the aircraft to cause the aircraft and any of its cargo to remain in the HKSAR until the charterer, operator or pilot in command is notified by an authorized officer that the aircraft and its cargo may depart.

(3) A power conferred by this section to request a person to provide any information or produce any cargo or document for inspection includes a power to—

- (a) specify whether the information should be provided orally or in writing and in what form; and
- (b) specify the time by which, and the place in which, the information should be provided or the cargo or document should be produced for inspection.

17. Offences by charterer, operator or pilot in command of aircraft

(1) A charterer, operator or pilot in command of an aircraft who, without reasonable excuse, refuses or fails to comply with a request made under section 16(1)(b) or (2) within the time specified by an authorized officer or, if no time is specified, within a reasonable time, commits an offence and is liable on conviction to a fine at level 6 and to imprisonment for 6 months.

(2) A charterer, operator or pilot in command of an aircraft who, in response to a request made under section 16(1)(b) or (2), provides or produces to an authorized officer any information or document that the charterer, operator or pilot in command knows to be false in a material particular, or recklessly provides or produces to an authorized officer any information or document that is false in a material particular, commits an offence and is liable on conviction to a fine at level 6 and to imprisonment for 6 months.

18. Power of authorized officers to enter and detain aircraft

(1) Without limiting section 17, if an authorized officer has reason to suspect that a request that has been made under section 16(2) may not be complied with, the officer may take any steps that appear to the officer to be necessary to secure compliance with that request including, in particular, any of the following steps—

- (a) enter or authorize the entry on any land or the aircraft concerned;

- (b) detain or authorize the detention of that aircraft or any of its cargo;
 - (c) use or authorize the use of reasonable force.
- (2) Subject to subsection (3), subsection (1) does not authorize the detention of an aircraft for more than 6 hours.
- (3) The Chief Secretary for Administration may, by order in writing, authorize the detention of an aircraft for further periods of not more than 6 hours each, and the order must state the time from which, and period for which, the order is effective.

Division 3—Investigation, etc. of Suspected Vehicles

19. Investigation of suspected vehicles

- (1) If an authorized officer has reason to suspect that a vehicle in the HKSAR has been, is being or is about to be used in contravention of section 3(2), the officer may—
- (a) either alone or accompanied and assisted by any person acting under the officer's authority, board the vehicle and search it and, for that purpose, use or authorize the use of reasonable force;
 - (b) request the operator or driver of the vehicle to provide any information relating to the vehicle or any article carried on it, or produce for inspection any article carried on it or any document relating to the vehicle or any article carried on it, that the officer may specify; and
 - (c) further request, either there and then or on consideration of any information provided or article or document produced in response to a request made under paragraph (b), the operator or driver to take the vehicle and any article carried on it to a place specified by an authorized officer, and to cause the vehicle and the article to remain in that place until the operator or driver is notified by an authorized officer that the vehicle and the article may depart.
- (2) A power conferred by this section to request a person to provide any information or produce any article or document for inspection includes a power to—
- (a) specify whether the information should be provided orally or in writing and in what form; and
 - (b) specify the time by which, and the place in which, the information should be provided or the article or document should be produced for inspection.

20. Offences by operator or driver of vehicle

(1) An operator or driver of a vehicle who, without reasonable excuse, refuses or fails to comply with a request made under section 19(1)(b) or (c) within the time specified by an authorized officer or, if no time is specified, within a reasonable time, commits an offence and is liable on conviction to a fine at level 6 and to imprisonment for 6 months.

(2) An operator or driver of a vehicle who, in response to a request made under section 19(1)(b) or (c), provides or produces to an authorized officer any information or document that the operator or driver knows to be false in a material particular, or recklessly provides or produces to an authorized officer any information or document that is false in a material particular, commits an offence and is liable on conviction to a fine at level 6 and to imprisonment for 6 months.

21. Power of authorized officers to enter and detain vehicles

(1) Without limiting section 20, if an authorized officer has reason to suspect that a request that has been made under section 19(1)(c) may not be complied with, the officer may take any steps that appear to the officer to be necessary to secure compliance with that request including, in particular, any of the following steps—

- (a) enter or authorize the entry on any land or enter or authorize the entry into the vehicle concerned;
- (b) detain or authorize the detention of that vehicle or any article carried on it;
- (c) use or authorize the use of reasonable force.

(2) Subject to subsection (3), subsection (1) does not authorize the detention of a vehicle for more than 12 hours.

(3) The Commissioner may, by order in writing, authorize the detention of a vehicle for further periods of not more than 12 hours each, and the order must state the time from which, and period for which, the order is effective.

Division 4—Proof of Identity**22. Production of proof of identity**

Before or on exercising a power conferred by section 13, 15, 16, 18, 19 or 21, an authorized officer must, if requested by any person so to do, produce proof of the officer's identity to the person for inspection.

PART 6

EVIDENCE

23. Power of magistrate or judge to grant warrant

(1) A magistrate or judge may grant a warrant if the magistrate or judge is satisfied by information on oath given by an authorized officer that there are reasonable grounds for suspecting that—

- (a) an offence under this Regulation has been committed or is being committed; and
- (b) there is on any premises specified in the information, or on any ship, aircraft or vehicle so specified, evidence in relation to the commission of the offence.

(2) A warrant granted under subsection (1) may authorize any authorized officer, together with any other person named in the warrant, to enter the premises, ship, aircraft or vehicle specified in the information or any premises on which the ship, aircraft or vehicle so specified may be, at any time within one month from the date of the warrant, and to search the premises, ship, aircraft or vehicle.

(3) A person authorized by a warrant to search any premises, ship, aircraft or vehicle may exercise any or all of the following powers—

- (a) search any person who is found on, or whom the authorized person has reasonable grounds to believe to have recently left or to be about to enter, the premises, ship, aircraft or vehicle;
- (b) seize and detain any document, cargo or article found on the premises, ship, aircraft or vehicle or on any person referred to in paragraph (a) that the authorized person has reasonable grounds to believe to be evidence in relation to the commission of an offence under this Regulation;
- (c) take in relation to any document, cargo or article seized under paragraph (b) any other steps that may appear necessary for preserving the document, cargo or article and preventing interference with it.

(4) A person may only be searched under this section by a person who is of the same sex.

(5) If a person is empowered under this section to enter any premises, ship, aircraft or vehicle, the person may use any force that is reasonably necessary for that purpose.

24. Detention of documents, cargoes or articles seized

(1) Subject to subsection (2), any document, cargo or article seized under section 23(3) may not be detained for more than 3 months.

(2) If the document, cargo or article is relevant to an offence under this Regulation, and proceedings for the offence have begun, the document, cargo or article may be detained until the completion of those proceedings.

PART 7**DISCLOSURE OF INFORMATION OR DOCUMENTS****25. Disclosure of information or documents**

(1) Any information or document provided, produced or seized under this Regulation may be disclosed only if—

(a) the person who provided or produced the information or document or from whom the document was seized has given consent to the disclosure;

(b) the information or document is disclosed to a person who would have been empowered under this Regulation to request that it be provided or produced;

(c) the information or document is disclosed on the authority of the Chief Executive, subject to the information or document being transmitted through and with the approval of the instructing authority, to—

(i) any organ of the United Nations;

(ii) any person in the service of the United Nations; or

(iii) the Government of any place outside the People's Republic of China,

for the purpose of assisting the United Nations or that Government in securing compliance with, or detecting evasion of, measures in relation to the Democratic Republic of the Congo decided on by the Security Council; or

(d) the information or document is disclosed with a view to the institution of, or otherwise for the purposes of, any proceedings for an offence under this Regulation.

(2) For the purposes of subsection (1)(a)—

(a) a person may not give consent to the disclosure if the person has obtained the information or possessed the document only in the person's capacity as servant or agent of another person; and

- (b) a person may give consent to the disclosure if the person is entitled to the information or to the possession of the document in the person's own right.

PART 8

OTHER OFFENCES AND MISCELLANEOUS MATTERS

26. Liability of person other than principal offender

(1) If the person convicted of an offence under this Regulation is a body corporate and it is proved that the offence was committed with the consent or connivance of, or was attributable to any neglect on the part of, any director, manager, secretary or other similar officer of the body corporate, the director, manager, secretary or other similar officer is guilty of the like offence.

(2) If the person convicted of an offence under this Regulation is a firm and it is proved that the offence was committed with the consent or connivance of, or was attributable to any neglect on the part of, any partner in the firm or any person concerned in the management of the firm, the partner or the person concerned in the management of the firm is guilty of the like offence.

27. Offences in relation to obstruction of authorized persons, etc.

A person who obstructs another person (including a person acting under the authority of an authorized officer) in the exercise of the powers of that other person under this Regulation commits an offence and is liable on conviction to a fine at level 6 and to imprisonment for 6 months.

28. Offences in relation to evasion of this Regulation

A person who destroys, mutilates, defaces, secretes or removes any document, cargo or article with intent to evade any of the provisions of this Regulation commits an offence and is liable—

- (a) on conviction on indictment to a fine and to imprisonment for 2 years; or
- (b) on summary conviction to a fine at level 6 and to imprisonment for 6 months.

29. Consent and time limit for proceedings

(1) Proceedings for an offence under this Regulation may only be instituted by or with the consent of the Secretary for Justice.

(2) Summary proceedings for an offence under this Regulation that is alleged to have been committed outside the HKSAR may be commenced at any time not later than 12 months from the date on which the person charged first enters the HKSAR after the alleged commission of the offence.

30. Specification of relevant person or relevant entity by Chief Executive

The Chief Executive may, by notice published in the Gazette, specify as a relevant person or a relevant entity any of the following persons or entities—

- (a) a person or entity—
 - (i) designated by the Committee under paragraph 15 of Resolution 1596, paragraph 2 of Resolution 1649, paragraph 13 of Resolution 1698 and paragraph 11 of Resolution 1807; and
 - (ii) in respect of whom paragraph 11 of Resolution 1807 applies by virtue of paragraphs 3 and 5 of Resolution 1857;
- (b) a person or entity designated by the Committee under paragraph 4 of Resolution 1857.

31. Exercise of powers of Chief Executive

(1) The Chief Executive may delegate any of the Chief Executive's powers or functions under this Regulation to any person or class or description of person.

(2) The Chief Executive may authorize a person to whom a power or function is delegated to sub-delegate it to any other person or class or description of person.

(3) A delegation or authorization under subsection (1) or (2) may be subject to any restrictions or conditions that the Chief Executive thinks fit.

PART 9**DURATION****32. Duration**

This Regulation expires at midnight on 30 November 2009.

Donald TSANG
Chief Executive

11 March 2009

Explanatory Note

The purpose of this Regulation is to give effect to certain decisions in Resolution 1857 (2008) as adopted by the Security Council of the United Nations on 22 December 2008 by providing for the prohibition against—

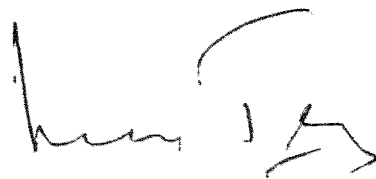
- (a) the supply, delivery or carriage of arms or related materials to certain persons;
- (b) the provision to certain persons of assistance, advice or training related to military activities;
- (c) making available to, or for the benefit of, certain persons or entities any funds or other financial assets or economic resources; and
- (d) entry into or transit through the HKSAR by certain persons.

United Nations Sanctions Ordinance (Cap. 537)

**United Nations Sanctions (Democratic Republic of the Congo)
Regulation 2009**

This is to confirm that the Chief Executive received specific instruction from the Ministry of Foreign Affairs of the People's Republic of China in January 2009 which requested the Government of the Hong Kong Special Administrative Region to fully implement Resolution No. 1857 of the Security Council of the United Nations, and that the United Nations Sanctions (Democratic Republic of the Congo) Regulation 2009 was made in pursuance of that instruction.

Dated this 10th day of March 2009

A handwritten signature in black ink, appearing to read 'Henry Tang', with a stylized flourish at the end.

(Henry Tang)
Chief Secretary for Administration

United Nations

S/RES/1493 (2003)

**Security Council**Distr.: General
28 July 2003

Resolution 1493 (2003)**Adopted by the Security Council at its 4797th meeting,
on 28 July 2003***The Security Council,**Recalling* its previous resolutions and the statements by its President concerning the Democratic Republic of the Congo,*Reaffirming* its commitment to respect for the sovereignty, territorial integrity and political independence of the Democratic Republic of the Congo and all the States of the region,*Reaffirming also* the obligations of all States to refrain from the use of force against the territorial integrity and political independence of any State or in any other manner incompatible with the purposes and principles of the United Nations,*Concerned* by the continued illegal exploitation of the natural resources of the Democratic Republic of the Congo, and *reaffirming* in this regard its commitment to respect for the sovereignty of the Democratic Republic of the Congo over its natural resources,*Welcoming* the conclusion of the Global and All Inclusive Agreement on the Transition in the Democratic Republic of the Congo (signed in Pretoria on 17 December 2002), and the subsequent establishment of the Government of National unity and Transition,*Deeply concerned* by the continuation of hostilities in the eastern part of the Democratic Republic of the Congo, particularly in North and South Kivu and in Ituri, and by the grave violations of human rights and of international humanitarian law that accompany them,*Recalling* that it is incumbent on all the parties to cooperate in the overall deployment of the United Nations Organization Mission in the Democratic Republic of the Congo (MONUC),*Renewing* its support to the Interim Emergency Multinational Force deployed in Bunia and *stressing* the need to ensure effective and timely replacement of the Force, as requested in resolution 1484 (2003), to contribute in the best way to the stabilization of Ituri,

03-44315 (E)

UN/RES

Taking note of the second special report of the Secretary-General on MONUC, of 27 May 2003 (S/2003/566), and of its recommendations,

Taking note also of the report of the Security Council Mission to Central Africa, of 18 June 2003 (S/2003/653),

Noting that the situation in the Democratic Republic of the Congo continues to constitute a threat to international peace and security in the region,

Acting under Chapter VII of the Charter of the United Nations,

1. *Expresses satisfaction* at the promulgation, on 4 April 2003, of the Transitional Constitution in the Democratic Republic of the Congo and at the formation, announced on 30 June 2003, of the Government of National Unity and Transition, *encourages* the Congolese parties to take the necessary decisions in order to allow the transitional institutions to begin functioning effectively, and *encourages* them also in this regard to include representatives of the interim institutions that emerged from the *Ituri Pacification Commission* in the transitional institutions;

2. *Decides* to extend the mandate of MONUC until 30 July 2004;

3. *Notes with appreciation* the recommendations in the second special report of the Secretary-General and *authorizes* increasing the military strength of MONUC to 10,800 personnel;

4. *Requests* the Secretary-General to ensure, through his Special Representative for the Democratic Republic of the Congo, who convenes the International Committee in support of the Transition, the coordination of all the activities of the United Nations system in the Democratic Republic of the Congo, and to facilitate coordination with other national and international actors of activities in support of the transition;

5. *Encourages* MONUC, in coordination with other United Nations agencies, donors and non-governmental organizations, to provide assistance, during the transition period, for the reform of the security forces, the re-establishment of a State based on the rule of law and the preparation and holding of elections, throughout the territory of the Democratic Republic of the Congo, and *welcomes*, in this regard, the efforts of the Member States to support the transition and national reconciliation;

6. *Approves* the temporary deployment of MONUC personnel intended, during the first months of the establishment of the transitional institutions, to participate in a multi-layer security system in Kinshasa in accordance with paragraphs 35 to 38 of the second special report of the Secretary-General, *approves also* the reconfiguration of the MONUC civilian police component as outlined in paragraph 42 of that report, and *encourages* MONUC to continue to support police development in areas of urgent need;

7. *Encourages* donors to support the establishment of an integrated Congolese police unit and *approves* the provision by MONUC of the additional assistance that might be needed for its training;

8. *Strongly condemns* the acts of violence systematically perpetrated against civilians, including the massacres, as well as other atrocities and violations of international humanitarian law and human rights, in particular, sexual violence against women and girls, *stresses* the need to bring to justice those responsible, including those at the command level, and *urges* all parties, including the

Government of the Democratic Republic of the Congo, to take all necessary steps to prevent further violations of human rights and international humanitarian law, in particular those committed against civilians;

9. *Reaffirms* the importance of a gender perspective in peacekeeping operations in accordance with resolution 1325 (2000), *recalls* the need to address violence against women and girls as a tool of warfare, and in this respect *encourages* MONUC to continue to actively address this issue; and *calls* on MONUC to increase the deployment of women as military observers as well as in other capacities;

10. *Reaffirms* that all Congolese parties have an obligation to respect human rights, international humanitarian law and the security and well-being of the civilian population;

11. *Urges* the Government of National Unity and Transition to ensure that the protection of human rights and the establishment of a State based on the rule of law and of an independent judiciary are among its highest priorities, including the establishment of the necessary institutions as reflected in the Global and All-inclusive agreement, *encourages* the Secretary-General, through his Special Representative, and the United Nations High Commissioner for Human Rights to coordinate their efforts in particular to assist the transitional authorities of the Democratic Republic of the Congo in order to put an end to impunity, and *encourages also* the African Union to play a role in this regard;

12. *States that it is profoundly preoccupied* by the humanitarian situation throughout the country and, in particular, in the eastern regions, and *demands* that all the parties guarantee the security of the civilian population thereby enabling MONUC and humanitarian organizations to have total, unrestricted and immediate access to the population groups in need;

13. *Strongly condemns* the continued recruitment and use of children in the hostilities in the Democratic Republic of the Congo, especially in North and South Kivu and in Ituri, and *reiterates* the request addressed to all the parties, in Security Council resolution 1460 (2003) to provide the Special Representative of the Secretary-General with information on the measures that they have taken to put an end to the recruitment and use of children in their armed components, as well as the requests concerning the protection of children set forth in resolution 1261 (1999) and subsequent resolutions;

14. *Strongly condemns* the continuing armed conflict in the eastern part of the Democratic Republic of the Congo especially the serious ceasefire violations that occurred recently in North and South Kivu, including in particular the offensives by the Congolese Rally for Democracy (RCD-Goma), *demands* that all the parties, in compliance with the Bujumbura "Acte d'Engagement" of 19 June 2003, establish without delay or precondition the full cessation of hostilities and withdraw to the positions agreed to in the Kampala/Harare disengagement plans, and that they refrain from any provocative action;

15. *Demands* that all the parties desist from any interference with freedom of movement of United Nations personnel, *recalls* that all the parties have the obligation to provide full and unhindered access to MONUC to allow it to carry out its mandate, and *asks* the Special Representative of the Secretary-General to report any failure to comply with this obligation;

16. *Expresses concern* at the fact that the continuing hostilities in the eastern part of the Democratic Republic of the Congo are seriously compromising MONUC action in the process of the disarmament, demobilization, repatriation, reintegration or resettlement (DDRRR) of the foreign armed groups referred to in chapter 9.1 of the Lusaka Ceasefire Agreement (S/1999/815), *urges* all the parties concerned to cooperate with MONUC and *underscores* the importance of making rapid and appreciable progress in that process;

17. *Authorizes* MONUC to assist the Government of National Unity and Transition in disarming and demobilizing those Congolese combatants who may voluntarily decide to enter the disarmament, demobilization and reintegration (DDR) process within the framework of the Multi-Country Demobilization and Reintegration Programme, pending the establishment of a national DDR programme in coordination with the United Nations Development Programme and other agencies concerned;

18. *Demands* that all States and in particular those in the region, including the Democratic Republic of the Congo, ensure that no direct or indirect assistance, especially military or financial assistance, is given to the movements and armed groups present in the Democratic Republic of the Congo;

19. *Demands* that all parties provide full access to MONUC military observers, including in ports, airports, airfields, military bases and border crossings, and *requests* the Secretary-General to deploy MONUC military observers in North and South Kivu and in Ituri and to report to the Security Council regularly on the position of the movements and armed groups and on information concerning arms supply and the presence of foreign military, especially by monitoring the use of landing strips in that region;

20. *Decides* that all States, including the Democratic Republic of the Congo, shall, for an initial period of 12 months from the adoption of this resolution, take the necessary measures to prevent the direct or indirect supply, sale or transfer, from their territories or by their nationals, or using their flag vessels or aircraft, of arms and any related materiel, and the provision of any assistance, advice or training related to military activities, to all foreign and Congolese armed groups and militias operating in the territory of North and South Kivu and of Ituri, and to groups not party to the Global and All-inclusive agreement, in the Democratic Republic of the Congo;

21. *Decides* that the measures imposed by paragraph 20 above shall not apply to:

- supplies to MONUC, the Interim Emergency Multinational Force deployed in Bunia and the integrated Congolese national army and police forces;
- supplies of non-lethal military equipment intended solely for humanitarian or protective use, and related technical assistance and training as notified in advance to the Secretary-General through its Special Representative;

22. *Decides* that, at the end of the initial 12 months, the Security Council will review the situation in the Democratic Republic of the Congo and in particular in the eastern part of the country, with a view to renewing the measures stipulated in paragraph 20 above if no significant progress has been made in the peace process, in particular an end to support for armed groups, an effective ceasefire and progress in the DDRRR by foreign and Congolese armed groups;

23. *Expresses its determination* closely to monitor compliance with the measures laid down in paragraph 20 and to consider necessary steps to ensure the effective monitoring and implementation of these measures, including the possible establishment of a monitoring mechanism;

24. *Urges* the States neighbouring the Democratic Republic of the Congo, particularly Rwanda and Uganda, which have an influence over movements and armed groups operating in the territory of the Democratic Republic of the Congo, to exercise a positive influence on them to settle their disputes by peaceful means and join in the process of national reconciliation;

25. *Authorizes* MONUC to take the necessary measures in the areas of deployment of its armed units, and as it deems it within its capabilities:

- to protect United Nations personnel, facilities, installations and equipment;
- to ensure the security and freedom of movement of its personnel, including in particular those engaged in missions of observation, verification or DDRRR;
- to protect civilians and humanitarian workers under imminent threat of physical violence;
- and to contribute to the improvement of the security conditions in which humanitarian assistance is provided;

26. *Authorizes* MONUC to use all necessary means to fulfil its mandate in the Ituri district and, as it deems it within its capabilities, in North and South Kivu;

27. *Requests* the Secretary-General to deploy in the Ituri district, as soon as possible, the tactical brigade-size force whose concept of operation is set out in paragraphs 48 to 54 of his second special report, including the reinforced MONUC presence in Bunia by mid-August 2003 as requested in resolution 1484 (2003), particularly with a view to helping to stabilize the security conditions and improving the humanitarian situation, ensuring the protection of airfields and displaced persons living in camps and, if the circumstances warrant it, helping to ensure the security of the civilian population and the personnel of the United Nations and the humanitarian organizations in Bunia and its environs and eventually, as the situation permits, in other parts of Ituri;

28. *Condemns* categorically the illegal exploitation of the natural resources and other sources of wealth of the Democratic Republic of the Congo and *expresses its intention* to consider means that could be used to end it, *awaits with interest* the report to be submitted shortly by the group of experts on such illegal exploitation and on the link that exists between it and the continuation of hostilities, and *demand*s that all parties and interested States offer full cooperation to the group of experts;

29. *Encourages* the Governments of the Democratic Republic of the Congo, Rwanda, Uganda and Burundi to take steps to normalize their relations and cooperate in assuring mutual security along their common borders, and *invites* these Governments to conclude good-neighbourly agreements among themselves;

30. *Reaffirms* that an international conference on peace, security, democracy and development in the Great Lakes region of Africa, with participation by all the Governments of the region and all the other parties concerned, should be organized at the appropriate time under the aegis of the United Nations and the African Union

with a view to strengthening stability in the region and working out conditions that will enable everyone to enjoy the right to live peacefully within national borders;

31. *Reiterates its support* unreservedly for the Special Representative of the Secretary-General and for all MONUC personnel, and for the efforts they continue to make to assist the parties in the Democratic Republic of the Congo and in the region to advance the peace process;

32. *Decides* to remain actively seized of the matter.

United Nations

S/RES/1596 (2005)*

**Security Council**Distr.: General
3 May 2005

Resolution 1596 (2005)**Adopted by the Security Council at its 5163rd meeting,
on 18 April 2005***The Security Council,*

Recalling its resolutions concerning the Democratic Republic of the Congo, in particular resolutions 1493 of 28 July 2003, 1533 of 12 March 2004, 1552 of 27 July 2004, 1565 of 1 October 2004 and 1592 of 30 March 2005, and *recalling* also the statements by its President concerning the Democratic Republic of the Congo, in particular on 7 December 2004,

Reiterating its serious concern regarding the presence of armed groups and militias in the Eastern part of the Democratic Republic of the Congo, particularly in the provinces of North and South Kivu and in the Ituri district, which perpetuate a climate of insecurity in the whole region,

Welcoming the fact that some of these groups and militias have started to submit an inventory of arms and related materiel in their possession, as well as their location, with a view to their participation in the programmes of disarmament, and *encouraging* those who have not yet done so rapidly to do so,

Expressing its readiness to review the provisions of its resolutions 918 of 17 May 1994, 997 of 9 June 1995 and 1011 of 16 August 1995 in a broader perspective, taking into account the implications of continued instability in the Eastern part of the Democratic Republic of the Congo for peace and security in the Great Lakes Region of Africa,

Condemning the continuing illicit flow of weapons within and into the Democratic Republic of the Congo, and *declaring* its determination to continue closely monitoring implementation of the arms embargo imposed by resolution 1493 of 28 July 2003,

Recalling the importance for the Government of National Unity and Transition to implement without delay the integration for which it bears responsibility of the armed forces of the Democratic Republic of the Congo, by continuing to work within the framework of the Joint Commission on Security Sector Reform, and *encouraging* the donor community to provide coordinated financial and technical assistance for this task,

* Reissued for technical reasons.

Commending the efforts made by the Secretary-General, the African Union and other actors concerned to restore peace and security in the Democratic Republic of the Congo and *welcoming in this regard* the Declaration adopted in Dar es Salaam on 20 November 2004 at the conclusion of the first summit of the International Conference on Peace, Security, Democracy and Development in the Great Lakes Region of Africa,

Taking note of the reports of the Group of Experts established by paragraph 10 of resolution 1533, dated 15 July 2004 (S/2004/551) and 25 January 2005 (S/2005/30), transmitted by the Committee established in accordance with paragraph 8 of that resolution (hereafter the Committee), and of their recommendations,

Noting that the situation in the Democratic Republic of the Congo continues to constitute a threat to international peace and security in the region,

Acting under Chapter VII of the Charter of the United Nations,

1. *Reaffirms* the measures established by paragraph 20 of resolution 1493, dated 28 July 2003, and extended until 31 July 2005 by resolution 1552, dated 27 July 2004, *decides* that these measures shall from now on apply to any recipient in the territory of the Democratic Republic of the Congo, and *reiterates* that assistance includes financing and financial assistance related to military activities;

2. *Decides* that the measures above shall not apply to:

(a) Supplies of arms and related materiel or technical training and assistance intended solely for support of or use by units of the army and police of the Democratic Republic of the Congo, provided that the said units:

- have completed the process of their integration, or
- operate under the command, respectively, of the *état-major intégré* of the Armed Forces or of the National Police of the Democratic Republic of the Congo, or
- are in the process of their integration, in the territory of the Democratic Republic of the Congo outside the provinces of North and South Kivu and the Ituri district,

(b) Supplies of arms and related materiel as well as technical training and assistance intended solely for support of or use by the United Nations Organization Mission in the Democratic Republic of the Congo (MONUC),

(c) Supplies of non-lethal military equipment intended solely for humanitarian or protective use, and related technical assistance and training, as notified in advance to the Committee in accordance with paragraph 8 (e) of resolution 1533;

3. *Requests* MONUC, within its existing capabilities and without prejudice to the performance of its current mandate, and the Group of Experts referred to in paragraph 21 below to continue to focus their monitoring activities in North and South Kivu and in Ituri;

4. *Decides* that all future authorized shipments of arms and related materiel consistent with such exemptions noted in paragraph 2 (a) above shall only be made to receiving sites as designated by the Government of National Unity and

Transition, in coordination with MONUC, and notified in advance to the Committee;

5. *Demands* that all parties other than those referred to in paragraph 2 (a) above with military capabilities in Ituri, in North Kivu or in South Kivu, help the Government of National Unity and Transition implement its commitments regarding disarmament, demobilization and reintegration of foreign and Congolese combatants, and regarding security sector reform;

6. *Decides* that, during the period of enforcement of the measures referred to in paragraph 1 above, all governments in the region, and in particular those of the Democratic Republic of the Congo and of States bordering Ituri and the Kivus, shall take the necessary measures:

- To ensure that aircraft operate in the region in accordance with the Convention on International Civil Aviation, signed in Chicago on 7 December 1944, in particular by verifying the validity of documents carried in aircraft and the licences of pilots,
- To prohibit immediately in their respective territories operation of any aircraft inconsistent with the conditions in that Convention or the standards established by the International Civil Aviation Organization, in particular with respect to the use of falsified or out-of-date documents, and to notify the Committee, and to maintain such prohibition until the Committee is informed by States or by the Group of Experts that these aircraft meet the said conditions and standards set forth in Chapter V of the Chicago Convention and determines that they will not be used for a purpose inconsistent with the resolutions of the Security Council,
- To ensure that all civilian and military airports or airfields on their respective territories will not be used for a purpose inconsistent with the measures imposed by paragraph 1 above;

7. *Further decides* that each government in the region, in particular those of States bordering Ituri and the Kivus, as well as that of the Democratic Republic of the Congo, shall maintain a registry for review by the Committee and the Group of Experts of all information concerning flights originating in their respective territories en route to destinations in the Democratic Republic of the Congo, as well as flights originating in the Democratic Republic of the Congo en route to destinations in their respective territories;

8. *Calls upon* the Government of National Unity and Transition to strengthen the monitoring of the activity of all airports and airfields, in particular those located in Ituri and in the Kivus, to ensure in particular that only customs airports are used for international air service, and *requests* MONUC, in airports and airfields where it has a permanent presence, to cooperate within its existing capability with the competent Congolese authorities, with a view to enhancing the capability of those authorities to monitor and control the use of airports;

9. *Recommends* in this context to States in the region, and in particular to those parties to the Declaration adopted in Dar es Salaam on 20 November 2004, to promote regional cooperation in the field of air traffic control;

10. *Decides* that, during the period of enforcement of the measures referred to in paragraph 1 above, the Government of the Democratic Republic of the Congo

on the one hand, and those of States bordering Ituri and the Kivus on the other hand, shall take the necessary measures:

- To strengthen, as far as each of them is concerned, customs controls on the borders between Ituri or the Kivus and the neighbouring States,
- To ensure that all means of transport on their respective territories will not be used in violation of the measures taken by Member States in accordance with paragraph 1 above, and notify MONUC of such actions,

and *requests* MONUC and the United Nations Operation in Burundi (ONUB), in accordance with their respective mandates, to provide assistance to this end, where they have a permanent presence, to the competent customs authorities of the Democratic Republic of the Congo and of Burundi;

11. *Reiterates its call* upon the international community, in particular the specialized international organizations concerned, notably the International Civil Aviation Organization and the World Customs Organization, to provide financial and technical assistance to the Government of National Unity and Transition with a view to helping it exercise effective control over its borders and its airspace, and *invites in this regard* the International Monetary Fund and the World Bank to provide assistance with a view to evaluating and improving the performance and enhancing the capacity of the Customs of the Democratic Republic of the Congo;

12. *Urges* all States to conduct inquiries into the activities of their nationals who operate or are associated with the operation of aircraft or other means of transport such as those referred to in paragraphs 6 and 10 above used for the transfer of arms or related materiel in violation of the measures imposed by paragraph 1 above, and if necessary to institute the appropriate legal proceedings against them;

13. *Decides* that, during the period of enforcement of the measures referred to in paragraph 1 above, all States shall take the necessary measures to prevent the entry into or transit through their territories of all persons designated by the Committee as acting in violation of the measures taken by Member States in accordance with paragraph 1 above, provided that nothing in this paragraph shall oblige a State to refuse entry into its territory to its own nationals;

14. *Decides* that the measures imposed by the previous paragraph shall not apply where the Committee determines in advance and on a case-by-case basis that such travel is justified on the grounds of humanitarian need, including religious obligation, or where the Committee concludes that an exemption would further the objectives of the Council's resolutions, that is peace and national reconciliation in the Democratic Republic of the Congo and stability in the region;

15. *Decides* that all States shall, during the period of enforcement of the measures referred to in paragraph 1 above, immediately freeze the funds, other financial assets and economic resources which are on their territories from the date of adoption of this resolution, which are owned or controlled, directly or indirectly, by persons designated by the Committee pursuant to paragraph 13 above, or that are held by entities owned or controlled, directly or indirectly, by any persons acting on their behalf or at their direction, as designated by the Committee, and *decides further* that all States shall ensure that no funds, financial assets or economic resources are made available by their nationals or by any persons within their territories, to or for the benefit of such persons or entities;

16. *Decides* that the provisions of the previous paragraph do 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 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 four 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 the subject of a judicial, administrative or arbitration 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 or entity designated by the Committee pursuant to paragraph 15 above, and has been notified by the relevant States to the Committee;

17. *Decides* that, no later than 31 July 2005, it shall review the measures set forth in paragraphs 1, 6, 10, 13 and 15 above, in the light of progress accomplished in the peace and transition process in the Democratic Republic of the Congo, in particular with regard to the integration of the Armed Forces and of the National Police;

18. *Decides* that the Committee shall undertake, in addition to the tasks listed in paragraph 8 of resolution 1533, those hereafter:

(a) to designate persons and entities with respect to the measures set forth in paragraphs 6, 10, 13 and 15 above, including aircraft and airlines, and regularly to update its list,

(b) to seek from all States concerned, and particularly those in the region, information regarding the actions taken by them to enforce the measures imposed by paragraphs 1, 6, 10, 13 and 15 above, and any further information it may consider useful, including by providing all States with an opportunity to send representatives to meet the Committee to discuss in more detail any relevant issues,

(c) to call upon all States concerned, and particularly those in the region, to provide the Committee with information regarding the actions taken by them to investigate and prosecute as appropriate individuals designated by the Committee pursuant to subparagraph (a) above,

(d) to consider and decide on requests for the exemptions set out in paragraphs 14 and 16 above,

(e) to promulgate guidelines as may be necessary to facilitate the implementation of paragraphs 6, 10, 13 and 15 above;

19. *Demands* that all parties and all States cooperate fully with the work of the Group of Experts referred to in paragraph 21 below and of MONUC, and that they ensure:

- the safety of their members,
- unhindered and immediate access for the members of the Group of Experts, in particular by supplying them with any information on possible violations of the measures taken by Member States in accordance with paragraphs 1, 6, 10, 13 and 15 above, and by facilitating access of the Group of Experts to persons, documents and sites it deems relevant to the execution of its mandate;

20. *Requests* all States concerned, in particular those in the region, to report to the Committee, within forty-five days from the date of adoption of this resolution, on the actions they have taken to implement the measures imposed by paragraphs 6, 10, 13 and 15 above, and *authorizes* the Committee thereafter to request from all Member States any information it may consider necessary to fulfil its mandate;

21. *Requests* the Secretary-General, in consultation with the Committee, to re-establish, within thirty days from the date of adoption of this resolution, and for a period expiring on 31 July 2005, the Group of Experts referred to in paragraph 10 of resolution 1533 with the addition of a fifth expert for financial issues, and requests further that the Secretary-General provide the Group of Experts with the necessary resources to fulfil its mandate;

22. *Requests* the Group of Experts above to report to the Council in writing before 1 July 2005, through the Committee, including on the implementation of the measures set forth in paragraphs 1, 6, 10, 13 and 15 above;

23. *Decides* to remain seized of the matter.

United Nations

S/RES/1649 (2005)

**Security Council**Distr.: General
21 December 2005

Resolution 1649 (2005)**Adopted by the Security Council at its 5340th meeting,
on 21 December 2005***The Security Council,*

Recalling its resolutions and the statements by its President concerning the Democratic Republic of the Congo, especially resolutions 1533 of 12 March 2004, 1565 of 1 October 2004, 1592 of 30 March 2005, 1596 of 18 April 2005, 1616 of 15 August 2005, 1621 of 6 September 2005 and 1628 of 30 September 2005, and the statements of 2 March (S/PRST/2005/10) and 4 October 2005 (S/PRST/2005/46),

Reaffirming its commitment to respect for the sovereignty, territorial integrity and political independence of the Democratic Republic of the Congo as well as all States in the region, and its support for the process of the Global and All-Inclusive Agreement on the Transition in the Democratic Republic of the Congo, signed in Pretoria on 17 December 2002, and *underlining* the importance of elections as the foundation for the longer-term restoration of peace and stability, national reconciliation and establishment of the rule of law in the Democratic Republic of the Congo,

Reiterating its serious concern regarding the continuation of hostilities by militias and foreign armed groups in the eastern part of the Democratic Republic of the Congo, and at the threat they pose to civilians and to the holding of elections in the Democratic Republic of the Congo and to stability in the region,

Deploing the violations of human rights and international humanitarian law committed by these groups and militias and *stressing the urgent need* for those responsible for these crimes to be brought to justice,

Welcoming the robust action taken by the United Nations Organization Mission in the Democratic Republic of the Congo (MONUC) against these groups and militias, and *commending* the dedication of the personnel of MONUC, who are operating in particularly hazardous conditions,

Calling upon all armed groups in the Great Lakes Region of Africa, such as the Forces démocratiques de libération du Rwanda (FDLR), the Palipehutu — Forces nationales de libération (FNL), the Lord's Resistance Army, to act without delay to lay down their arms, enter demobilization programmes and support efforts to consolidate peace under way in the region,

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*** 0565800 ***

Having noted the decision, taken on 16 September 2005 by the Democratic Republic of the Congo, Uganda, Rwanda and Burundi, acting within the framework of the Tripartite Plus Joint Commission, to retain the deadline of 30 September 2005 for the voluntary disarmament of the FDLR, on the understanding that sanctions would be imposed should they fail to respect this deadline,

Taking note of the letter dated 21 October 2005 from the ministers representing Burundi, the Democratic Republic of the Congo, Rwanda and Uganda on the Tripartite Plus Joint Commission addressed to the President of the Council,

Calling upon the States of the region to deepen their cooperation with a view to putting an end to the activities of illegal armed groups, and *underlining* that any recourse to the threat or use of force against the territorial integrity of a State is contrary to the Charter of the United Nations,

Urging in this regard participants in the International Conference on Peace, Security, Democracy and Development in the Great Lakes Region of Africa to convene the second summit as soon as possible,

Aware that the link between the illegal exploitation of natural resources, the illicit trade in those resources and the proliferation and trafficking of arms is one of the factors fuelling and exacerbating conflicts in the Great Lakes Region of Africa, and especially in the Democratic Republic of the Congo,

Paying tribute to the donor community for the assistance it is providing to the Democratic Republic of the Congo, and *encouraging* it to maintain that assistance,

Taking note of the report of the Security Council mission which visited the region of Central Africa from 4 to 11 November 2005 (S/2005/716), and *endorsing* its recommendations,

Noting that the situation in the Democratic Republic of the Congo continues to pose a threat to international peace and security in the region,

Acting under Chapter VII of the Charter of the United Nations,

1. *Deplores* the fact that foreign armed groups present in the eastern part of the Democratic Republic of the Congo have not yet laid down their arms, and *demand*s that all such groups engage voluntarily and without any delay or preconditions in their disarmament and in their repatriation and resettlement;

2. *Decides* that, for a period expiring on 31 July 2006, the provisions of paragraphs 13 to 16 of resolution 1596 shall extend to the following individuals, as designated by the Committee established pursuant to resolution 1533 ("the Committee"):

(a) political and military leaders of foreign armed groups operating in the Democratic Republic of the Congo who impede the disarmament and the voluntary repatriation or resettlement of combatants belonging to those groups,

(b) political and military leaders of Congolese militias receiving support from outside the Democratic Republic of the Congo and in particular those operating in Ituri, who impede the participation of their combatants in disarmament, demobilization and reintegration processes;

3. *Decides* that the measures imposed under paragraph 2 above as well as those under paragraph 13 of resolution 1596 shall not apply where the Committee

authorizes in advance, and on a case by case basis, the transit of individuals returning to the territory of the State of their nationality, or participating in efforts to bring to justice perpetrators of grave violations of human rights or international humanitarian law;

4. *Decides* that the tasks of the Committee set out in paragraph 18 of resolution 1596 shall extend to the provisions set out in paragraph 2 above;

5. *Requests* the Secretary-General and the Group of Experts established under resolution 1533, within its capabilities and without prejudice to the execution of the other tasks in its mandate, to assist the Committee in the designation of the leaders referred to in paragraph 2 above;

6. *Decides* that the provisions of paragraphs 2 to 5 above shall enter into force on 15 January 2006, unless the Secretary-General informs the Council that the process of disarmament of those foreign armed groups and Congolese militias operating in the Democratic Republic of the Congo is being completed;

7. *Decides* that, no later than 31 July 2006, it shall review the measures set forth in paragraph 2 above, in light of progress accomplished in the peace and transition process in the Democratic Republic of the Congo, in particular with regard to the disarmament of foreign armed groups;

8. *Urges* the Government of National Unity and Transition to do its utmost to ensure the security of civilians, including humanitarian personnel, by effectively extending State authority throughout the territory of the Democratic Republic of the Congo, and in particular in the provinces of North Kivu and South Kivu and in the Ituri district;

9. *Recalls* that, by its resolution 1565, the Council has mandated MONUC to support operations led by the Armed Forces of the Democratic Republic of the Congo to disarm foreign combatants, and to facilitate the voluntary repatriation of disarmed foreign combatants and their dependants;

10. *Requests* in this regard the Secretary-General, in close coordination with all relevant stakeholders and in particular the Government of National Unity and Transition, to submit to the Council for its consideration, by 15 March 2006, a comprehensive and integrated strategy for the disarmament, repatriation and resettlement of foreign combatants, incorporating military, political, economic and justice-related aspects, including MONUC's contribution within its current mandate, in accordance with the applicable norms of international law and with respect for the rights and freedom of the human person;

11. *Emphasizes* that, as per resolution 1565, MONUC is authorized to use all necessary means, within its capabilities and in the areas where its armed units are deployed, to deter any foreign or Congolese armed group from attempting to use force to threaten the political process, and to ensure the protection of civilians under imminent threat of physical violence;

12. *Urges* the Government of National Unity and Transition to carry out reform of the security sector, through the expeditious integration of the Armed Forces and of the National Police of the Democratic Republic of the Congo, and in particular by ensuring adequate and timely payment and logistical support for their personnel, with a view to allowing them, inter alia, to expedite the disarmament of armed groups operating on Congolese territory, *taking note* as appropriate of the

Eusec recommendations mentioned in the report of the Security Council mission to Central Africa;

13. *Reiterates its call* on the donor community, as a matter of urgency, to continue to engage firmly in the provision of assistance needed for the integration, training and equipping of the Armed Forces and of the National Police of the Democratic Republic of the Congo, and *urges* the Government of National Unity and Transition to promote all possible means to facilitate and expedite cooperation to this end;

14. *Requests* the Secretary-General to submit his observations and, if he deems it necessary, recommendations concerning the letter dated 21 October 2005 from the ministers representing Burundi, the Democratic Republic of the Congo, Rwanda and Uganda on the Tripartite Plus Joint Commission addressed to the President of the Council;

15. *Demands* that the Governments of Uganda, Rwanda, the Democratic Republic of the Congo and Burundi take measures to prevent the use of their respective territories in support of violations of the arms embargo imposed by resolutions 1493 and 1596, and renewed by resolution 1616, or in support of activities of armed groups present in the region;

16. *Demands further* that all States neighbouring the Democratic Republic of the Congo as well as the Government of National Unity and Transition, impede any kind of support to the illegal exploitation of Congolese natural resources, particularly by preventing the flow of such resources through their respective territories;

17. *Requests* States concerned and particularly those in the region to take additional measures with regard to the political and military leaders of the foreign armed groups present in their respective territories, including, where necessary, by taking action to bring them to justice or by taking appropriate measures of international cooperation and judicial assistance;

18. *Reiterates its call* upon the Congolese authorities to bring to justice without delay perpetrators of grave violations of human rights and of international humanitarian law, and *reiterates* that MONUC's mandate, as set out in resolution 1565, includes cooperation with efforts to bring such perpetrators to justice;

19. *Demands* that all parties cooperate fully with the International Criminal Tribunal for Rwanda in Arusha, particularly with regard to the arrest and transfer of indictees who remain at large;

20. *Decides* to remain actively seized of the matter.

United Nations

S/RES/1698 (2006)

**Security Council**Distr.: General
31 July 2006

Resolution 1698 (2006)**Adopted by the Security Council at its 5502nd meeting, on
31 July 2006***The Security Council,*

Recalling its previous resolutions and the statements by its President concerning the Democratic Republic of the Congo, in particular resolutions 1493 of 28 July 2003, 1533 of 12 March 2004, 1552 of 27 July 2004, 1565 of 1 October 2004, 1592 of 30 March 2005, 1596 of 18 April 2005, 1616 of 29 July 2005, 1649 of 21 December 2005 and 1654 of 31 January 2006,

Reaffirming its commitment to respect for the sovereignty, territorial integrity and political independence of the Democratic Republic of the Congo as well as all States in the region,

Condemning the continuing illicit flow of weapons within and into the Democratic Republic of the Congo, and *declaring its determination* to continue close monitoring of the implementation of the arms embargo imposed by resolution 1493 and expanded by resolution 1596, and to enforce the measures provided for in paragraphs 13 and 15 of resolution 1596 against persons and entities acting in violation of this embargo,

Reiterating its serious concern regarding the presence of armed groups and militias in the Eastern part of the Democratic Republic of the Congo, particularly in the provinces of Ituri, North Kivu and South Kivu, which perpetuate a climate of insecurity in the whole region,

Recognizing the linkage between the illegal exploitation of natural resources, illicit trade in such resources and the proliferation and trafficking of arms as one of the factors fuelling and exacerbating conflicts in the Great Lakes region of Africa,

Encouraging the authorities of the Democratic Republic of the Congo to continue their efforts with a view to promoting good governance and transparent economic management, and *welcoming* in this regard the work of the National Assembly's Special Commission in charge of evaluating the validity of the economic and financial contracts concluded during the 1996-1997 and 1998 conflicts,

Taking note of the reports of the Group of Experts referred to in paragraph 10 of resolution 1533 and paragraph 21 of resolution 1596 (hereafter the Group of

06-45081 (E)



Experts), dated 26 January 2006 (S/2006/53) and 18 July 2006 (S/2006/525), transmitted by the Committee established in accordance with paragraph 8 of resolution 1533 (hereafter the Committee),

Recalling its resolution 1612 of 26 July 2005 and its previous resolutions on children and armed conflict,

Taking note of the report of the Secretary-General on children and armed conflict in the Democratic Republic of the Congo, dated 13 June 2006 (S/2006/389), and of its recommendations,

Taking note of the report of the Security Council mission which visited Kinshasa from 10 to 12 June 2006 (S/2006/434), and *endorsing* its recommendations,

Noting that the situation in the Democratic Republic of the Congo continues to constitute a threat to international peace and security in the region,

Acting under Chapter VII of the Charter of the United Nations,

1. *Reaffirms* the demands of paragraphs 15, 18 and 19 of resolution 1493, of paragraph 5 of resolution 1596, and of paragraphs 15 and 16 of resolution 1649;

2. *Decides*, in light of the failure by the parties to comply with the demands of the Council, to renew until 31 July 2007 the provisions of paragraphs 20 to 22 of resolution 1493, as amended and expanded by paragraph 1 of resolution 1596 and by paragraph 2 of resolution 1649, and *reaffirms* paragraphs 2, 6, 10 and 13 to 16 of resolution 1596, as well as paragraphs 3 to 5 of resolution 1649 and paragraph 10 of resolution 1671;

3. *Requests* the Secretary-General to take the necessary administrative measures as expeditiously as possible with a view to extending the mandate of the Group of Experts for a period expiring on 31 July 2007, drawing, as appropriate, on the expertise of the members of the Group of Experts established pursuant to resolution 1654 and appointing new members as necessary in consultation with the Committee;

4. *Requests* the Group of Experts to continue fulfilling its mandate as defined in resolutions 1533, 1596 and 1649, to update regularly the Committee on its work, and to report to the Council in writing, through the Committee, by 20 December 2006, and again before 10 July 2007;

5. *Recalls* that, by its resolutions 1533, 1596, 1616 and 1649, the Council has mandated the Group of Experts:

(a) To examine and analyse information gathered by the United Nations Organisation Mission in the Democratic Republic of the Congo (MONUC) in the context of its monitoring mandate;

(b) To gather and analyse all relevant information in the Democratic Republic of the Congo, countries of the region and, as necessary, in other countries, in cooperation with the governments of those countries, flows of arms and related materiel, as well as networks operating in violation of the measures imposed by paragraph 20 of resolution 1493;

(c) To consider and recommend, where appropriate, ways of improving the capabilities of States interested, in particular those of the region, to ensure the measures imposed by paragraph 20 of resolution 1493 are effectively implemented;

(d) To report to the Council in writing, through the Committee, on the implementation of the measures imposed by paragraph 20 of resolution 1493 and on the implementation of the measures set forth in paragraphs 1, 6, 10, 13 and 15 of resolution 1596, with recommendations in this regard, including information on the sources of financing, such as from natural resources, which are funding the illicit trade of arms;

(e) To keep the Committee frequently updated on its activities;

(f) To exchange with MONUC, as appropriate, information that might be of use in the fulfilment of its monitoring mandate as described in paragraphs 3 and 4 of resolution 1533;

(g) To provide the Committee in its reports with a list, with supporting evidence, of those found to have violated the measures imposed by paragraph 20 of resolution 1493, and those found to have supported them in such activities for possible future measures by the Council;

(h) Within its capabilities and without prejudice to the execution of the other tasks in its mandate, to assist the Committee in the designation of the leaders referred to in paragraph 2 of resolution 1649;

6. *Requests* the Group of Experts, in close consultation with all relevant stakeholders, including the Governments of the Democratic Republic of the Congo and of the neighbouring States, the World Bank, MONUC and private sector actors:

- to include in its report to be submitted by 20 December 2006, further recommendations based on paragraphs 158 and 159 of its report dated 18 July 2006, on feasible and effective measures the Council might impose to prevent the illegal exploitation of natural resources financing armed groups and militias in the Eastern part of the Democratic Republic of the Congo, including through a certificate of origin regime;
- to include in the above-mentioned report an assessment of the relative importance of the exploitation of natural resources to the armed groups as compared to other sources of income;

7. *Requests* the Secretary-General to enable the Group of Experts to perform the tasks set out in the previous paragraph without prejudice to the execution of the other tasks in its mandate, by providing it with the necessary additional resources;

8. *Requests* the Secretary-General to present before 15 February 2007, in close consultation with the Group of Experts, a report comprising an assessment of the potential economic, humanitarian and social impact on the population of the Democratic Republic of the Congo of implementation of the possible measures referred to in paragraph 6 above;

9. *Expresses its intention* to consider, after it reviews the reports referred to in paragraphs 6 and 8 above, possible measures to stem the sources of financing of armed groups and militias, *including* the illegal exploitation of categories of natural resources, in the Eastern part of the Democratic Republic of the Congo;

10. *Urges* the Government of the Democratic Republic of the Congo to strengthen its efforts, with the support of the international community, including specialised international organisations, with a view to effectively extending State authority throughout its territory, to establishing its control over the exploitation and export of natural resources, and to improving the transparency of export revenue from those natural resources;

11. *Welcomes* the recommendations of the Group of Experts aimed at improving the tracking of ore and precious metals within a regional framework, and *encourages* States in the region of the Great Lakes of Africa to agree on ways to act upon those recommendations;

12. *Recalls* the terms of paragraph 13 of resolution 1493, and *once again strongly condemns* the continued use and recruitment of children in the hostilities in the Democratic Republic of the Congo;

13. *Decides* that, for a period expiring on 31 July 2007, the provisions of paragraphs 13 to 16 of resolution 1596 shall extend to the following individuals, operating in the Democratic Republic of the Congo and designated by the Committee:

- Political and military leaders recruiting or using children in armed conflict in violation of applicable international law;
- Individuals committing serious violations of international law involving the targeting of children in situations of armed conflict, including killing and maiming, sexual violence, abduction and forced displacement;

14. *Decides* that the tasks of the Committee set out in paragraph 18 of resolution 1596 shall extend to the provisions set out in the previous paragraph;

15. *Expresses its intention* to modify or to remove the provisions above if it determines that the demands reaffirmed in paragraph 1 have been satisfied;

16. *Recalls* that, by its resolution 1565, the Council has mandated MONUC:

- to monitor the implementation of the measures imposed by paragraph 20 of resolution 1493, including on the lakes, in cooperation with the United Nations Operation in Burundi (ONUB) and, as appropriate, with the Governments concerned and with the Group of Experts, including by inspecting, as it deems it necessary and without notice, the cargo of aircraft and of any transport vehicle using the ports, airports, airfields, military bases and border crossings in North Kivu, in South Kivu and in Ituri;
- to seize or collect, as appropriate, the arms and any related materiel whose presence in the territory of the Democratic Republic of the Congo violates the measures imposed by paragraph 20 of resolution 1493, and dispose of such arms and related materiel as appropriate;

17. *Requests* the working group of the Security Council on children in armed conflict, the Secretary-General and his Special Representative for children in armed conflict, as well as the Group of Experts, within its capabilities and without prejudice to the execution of the other tasks in its mandate, to assist the Committee in the designation of the individuals referred to in paragraph 13 above, by making known without delay to the Committee any useful information;

18. *Reaffirms its demand*, expressed in paragraph 19 of resolution 1596, that all parties and all States cooperate fully with the work of the Group of Experts, and that they ensure:

- the safety of its members;
- unhindered and immediate access, in particular to persons, documents and sites the Group of Experts deems relevant to the execution of its mandate;

19. *Further demands* that all parties and all States ensure the cooperation with the Group of Experts of individuals and entities within their jurisdiction or under their control, and *calls on* all States in the region to implement fully their obligations under paragraph 18 above;

20. *Acknowledges* the assurances given by the Government of Uganda to the Committee on 23 May 2006 in relation to its commitment to fulfil its obligations under paragraph 19 of resolution 1596, and *calls on* the Government of Uganda to demonstrate this commitment fully;

21. *Expresses its intention* to consider extending application of the individual measures provided for in paragraphs 13 and 15 of resolution 1596 to individuals obstructing the action of MONUC or of the Group of Experts, and *requests* the Secretary-General to present to the Council his observations in this regard;

22. *Recalls* that, in accordance with paragraphs 2 (c) and 4 of resolution 1596, States have an obligation to notify in advance to the Committee supplies to the Democratic Republic of the Congo of non-lethal military equipment intended solely for humanitarian or protective use, and related technical assistance and training, as well as authorised shipments of arms and related materiel to the Democratic Republic of the Congo consistent with such exemptions noted in paragraph 2 (a) of resolution 1596;

23. *Decides* to remain actively seized of the matter.

United Nations

S/RES/1857 (2008)

**Security Council**Distr.: General
22 December 2008

Resolution 1857 (2008)**Adopted by the Security Council at its 6056th meeting, on
22 December 2008***The Security Council,*

Recalling its previous resolutions, in particular resolution 1804 (2008) and 1807 (2008), and the statements of its President concerning the Democratic Republic of the Congo,

Reaffirming its commitment to the sovereignty, territorial integrity and political independence of the Democratic Republic of the Congo as well as all States in the region,

Reiterating its serious concern regarding the presence of armed groups and militias in the eastern part of the Democratic Republic of the Congo, particularly in the provinces of North and South Kivu and the Ituri district, which perpetuate a climate of insecurity in the whole region, and *demanding that* all the parties to the Goma and Nairobi processes to respect the ceasefire and implement their commitments effectively and in good faith,

Stressing the primary responsibility of the Government of the Democratic Republic of the Congo for ensuring security in its territory and protecting its civilians with respect for the rule of law, human rights and international humanitarian law,

Taking note of the interim and final reports (S/2008/772 and S/2008/773) of the Group of Experts on the Democratic Republic of the Congo ("the Group of Experts") established pursuant to resolution 1771 (2007) and extended pursuant to resolution 1807 (2008) and of their recommendations,

Condemning the continuing illicit flow of weapons within and into the Democratic Republic of the Congo and *declaring* its determination to continue to monitor closely the implementation of the arms embargo and other measures set out by its resolutions concerning the Democratic Republic of the Congo,

Stressing the obligation of all States to abide by the notification requirements set out in paragraph 5 of resolution 1807 (2008),

Reiterating the importance of the Government of the Democratic Republic of the Congo and the Governments of the region taking effective steps to ensure that there is no support, in and from their territories, for the armed groups in the eastern part of the Democratic Republic of the Congo,

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Supporting the Democratic Republic of the Congo's decision to work towards enhancing revenue transparency in its extractive industries,

Recognizing the linkage between the illegal exploitation of natural resources, illicit trade in such resources and the proliferation and trafficking of arms as one of the major factors fuelling and exacerbating conflicts in the Great Lakes region of Africa,

Recalling its resolutions 1325 (2000) and 1820 (2008) on women, peace and security, its resolution 1502 (2003) on the protection of United Nations personnel, associated personnel and humanitarian personnel in conflict zones, its resolution 1612 (2005) on children in armed conflict and its resolution 1674 (2006) on the protection of civilians in armed conflicts,

Determining that the situation in the Democratic Republic of the Congo continues to constitute a threat to international peace and security in the region,

Acting under Chapter VII of the Charter of the United Nations,

1. *Decides* to renew until 30 November 2009 the measures on arms imposed by paragraph 1 of resolution 1807 (2008) and *reaffirms* the provisions of paragraphs 2, 3 and 5 of that resolution;

2. *Decides* to renew, for the period specified in paragraph 1 above, the measures on transport imposed by paragraphs 6, and 8 of resolution 1807 and *reaffirms* the provisions of paragraph 7 of that resolution;

3. *Decides* to renew, for the period specified in paragraph 1 above, the financial and travel measures imposed by paragraphs 9 and 11 of resolution 1807 (2008) and *reaffirms* the provisions of paragraphs 10 and 12 of that resolution;

4. *Decides* that the measures referred to in paragraph 3 above shall apply to the following individuals and, as appropriate, entities, as designated by the Committee:

(a) Persons or entities acting in violation of the measures taken by Member States in accordance with paragraph 1 above;

(b) Political and military leaders of foreign armed groups operating in the Democratic Republic of the Congo who impede the disarmament and the voluntary repatriation or resettlement of combatants belonging to those groups;

(c) Political and military leaders of Congolese militias receiving support from outside the Democratic Republic of the Congo, who impede the participation of their combatants in disarmament, demobilization and reintegration processes;

(d) Political and military leaders operating in the Democratic Republic of the Congo and recruiting or using children in armed conflicts in violation of applicable international law;

(e) Individuals operating in the Democratic Republic of the Congo and committing serious violations of international law involving the targeting of children or women in situations of armed conflict, including killing and maiming, sexual violence, abduction and forced displacement;

(f) Individuals obstructing the access to or the distribution of humanitarian assistance in the eastern part of the Democratic Republic of the Congo;

(g) Individuals or entities supporting the illegal armed groups in the eastern part of the Democratic Republic of the Congo through illicit trade of natural resources;

5. *Decides*, for a further period ending on the date referred to in paragraph 1 above, that the measures in paragraph 3 above shall continue to apply to individuals and entities already designated pursuant to paragraphs 9 and 11 of resolution 1807 (2008), paragraphs 13 and 15 of resolution 1596 (2005), paragraph 2 of resolution 1649 (2005), and paragraph 13 of resolution 1698 (2006), unless the Committee decides otherwise;

6. *Decides further* to expand the mandate of the Committee as set out in paragraph 8 of resolution 1533 (2004) and expanded upon in paragraph 18 of resolution 1596 (2005), paragraph 4 of resolution 1649 (2005) and paragraph 14 of resolution 1698 (2006) and reaffirmed in paragraph 15 of resolution 1807 (2008) to include the following tasks:

(a) to review regularly the list of individuals and entities designated by the Committee pursuant to paragraphs 4 and 5 above with a view to keeping the list as updated and accurate as possible and to confirm that listing remains appropriate and to encourage Member States to provide any additional information whenever such information becomes available;

(b) to promulgate guidelines in order to facilitate the implementation of the measures imposed by this resolution and keep them under active review as may be necessary;

7. *Calls upon* all States, in particular those of the region, to support the implementation of the measures specified in this resolution, to cooperate fully with the Committee in carrying out its mandate and to report to the Committee, within forty-five days from the date of adoption of this resolution, on the actions they have taken to implement the measures imposed by paragraphs 1, 2, 3, 4 and 5 above and *encourages* all States to send representatives, at the Committee's request, to meet the Committee for more in-depth discussion of relevant issues;

8. *Requests* the Secretary-General to extend, for a period expiring on 30 November 2009, the Group of Experts established pursuant to resolution 1771 (2007) and *requests* the Group of Experts to fulfil its mandate as set out in paragraph 18 of resolution 1807 (2008) and to report to the Council in writing, through the Committee, by 15 May 2009 and again before 15 October 2009;

9. *Decides* that the mandate of the Group of Experts referred to in paragraphs 8 above shall also include the tasks outlined below:

(a) to include in its reports to the Committee any information relevant to the Committee's designation of the individuals and entities described in paragraph 4 and 5 above;

(b) to assist the Committee in updating the publicly available reasons for listing and identifying information for individuals and entities referenced in paragraph 5 above and in compiling narrative summaries referred to in paragraph 18 below;

10. *Requests* the Group of Experts to continue to focus its activities in North and South Kivu and in Ituri;

11. *Requests* the Government of the Democratic Republic of the Congo, other governments in the region as appropriate, the United Nations Organization Mission in the Democratic Republic of the Congo (MONUC) and the Group of Experts, to cooperate intensively, including by exchanging information regarding arms shipments, the illegal trafficking in natural resources and activities of individuals and entities designated by the Committee pursuant to paragraphs 4 and 5 above;

12. *Requests* in particular that MONUC share information with the Group of Experts, especially on the support received by armed groups, on recruitment and use of children and on the targeting of women and children in situations of armed conflicts;

13. *Further demands* that all parties and all States ensure cooperation with the Group of Experts by individuals and entities within their jurisdiction or under their control;

14. *Reiterates* its demand, expressed in paragraph 21 of resolution 1807, that all parties and all States, particularly those in the region, cooperate fully with the work of the Group of Experts, and that they ensure:

- the safety of its members;
- unhindered and immediate access, in particular to persons, documents and sites the Group of Experts deems relevant to the execution of its mandate;

15. *Encourages* Member States to take measures, as they deem appropriate, to ensure that importers, processing industries and consumers of Congolese mineral products under their jurisdiction exercise due diligence on their suppliers and on the origin of the minerals they purchase;

16. *Encourages* Member States to submit to the Committee for inclusion on its list of designees, names of individuals or entities who meet the criteria set out in paragraph 4 above, as well as any entities owned or controlled, directly or indirectly, by the submitted individuals or entities acting on behalf of or at the direction of the submitted entities;

17. *Decides* that, when proposing names to the Committee for listing, Member States shall provide a detailed statement of case, together with sufficient identifying information to allow for the positive identification of individuals and entities by Member States, and decides further that for each such proposal Member States shall identify those parts of the statement of case that may be publicly released, including for use by the Committee for development of the summary described in paragraph 18 below or for the purpose of notifying or informing the listed individual or entity, and those parts which may be released upon request to interested States;

18. *Directs* the Committee in coordination with the relevant designating States and with the assistance of the Group of Experts referred to in paragraph 8 above after a name is added to the list, to make accessible on the Committee's website a narrative summary of reasons for listing and further *directs* the Committee, with the assistance of the Group of Experts and in coordination with the relevant designating States, to update the publicly available reasons for listing and identifying information for the individuals and entities referred to in paragraph 5;

19. *Decides* that the Secretariat shall, after publication but within one week after a name is added to the list of individuals and entities, notify the Permanent Mission of the country or countries where the individual or entity is believed to be located and, in the case of individuals, the country of which the person is a national (to the extent this information is known) and to include with this notification a copy of the publicly releasable portion of the statement of case, any information on reasons for listing available on the Committee's website, a description of the effects of designation, the Committee's procedures for considering delisting requests, and the provisions regarding available exemptions;

20. *Demands* that Member States receiving notification as in paragraph 19 above take, in accordance with their domestic laws and practices, all possible measures to notify or inform in a timely manner the listed individual or entity of the designation, together with the information provided by the Secretariat as set out in paragraph 19 above;

21. *Welcomes* the establishment within the Secretariat of the Focal Point, pursuant to resolution 1730 (2006), that provides listed individuals, groups, undertakings or entities with the option to submit a petition for de-listing directly to the Focal Point;

22. *Urges* designating States and States of citizenship and residence to review de-listing petitions received through the Focal Point, in accordance with the procedures outlined in the annex to resolution 1730 (2006), in a timely manner and to indicate whether they support or oppose the request in order to facilitate the Committee's review;

23. *Directs* the Committee to consider requests, in accordance with its guidelines, for the removal from the Committee's list of designees those who no longer meet the criteria pursuant to this resolution;

24. *Decides* that the Secretariat shall, within one week after a name is removed from the Committee's list of designees, notify the Permanent Mission of the country or countries where the individual or entity is believed to be located and, in the case of individuals, the country of which the person is a national (to the extent this information is known), and *demands* that States receiving such notification take measures, in accordance with their domestic laws and practices, to notify or inform the concerned individual or entity of the delisting in a timely manner;

25. *Encourages* the Committee to ensure that fair and clear procedures exist for placing individuals and entities on the Committee's list of designees and for removing them as well as for granting humanitarian exemptions;

26. *Decides* that, when appropriate and no later than 30 November 2009, it shall review the measures set forth in this resolution, with a view to adjusting them, as appropriate, in the light of consolidation of the security situation in the Democratic Republic of the Congo, in particular progress in security sector reform including the integration of the armed forces and the reform of the national police, and in disarming, demobilizing, repatriating, resettling and reintegrating, as appropriate, Congolese and foreign armed groups;

27. *Decides* to remain actively seized of the matter.