The Role of the UN Special Rapporteur on the Rights of Indigenous Peoples within the United Nations Human Rights System

A Handbook for Indigenous Leaders in the United States
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About the United Nations Special Rapporteur on the Rights of Indigenous Peoples, Professor James Anaya

James Anaya was appointed by the United Nations Human Rights Council to serve as its Special Rapporteur on the Rights of Indigenous Peoples in 2008. He is a Regents Professor and the James J. Lenoir Professor of Human Rights Law and Policy at The University of Arizona James E. Rogers College of Law (USA). Professor Anaya is a graduate of the University of New Mexico (B.A. Economics, 1980) and Harvard Law School (J.D., 1983).

Professor Anaya has lectured in many countries throughout the world. He has advised numerous indigenous and other organizations from several countries on matters of human rights and indigenous peoples, and he has represented indigenous groups from many parts of North and Central America in landmark cases before courts and international organizations.

Among his noteworthy activities, he participated in the drafting of the United Nations Declaration on the Rights of Indigenous Peoples and was the lead counsel for the indigenous parties in the case of Awas Tingni v. Nicaragua, in which the Inter-American Court of Human Rights, for the first time, upheld indigenous land rights as a matter of international law.

Among his numerous publications are his acclaimed books, *Indigenous Peoples in International Law* and *International Human Rights and Indigenous Peoples*. 

*Professor James Anaya*

United Nations Special Rapporteur on the Rights of Indigenous Peoples
Introduction

This handbook describes the functions of the United Nations Special Rapporteur on the Rights of Indigenous Peoples and how the position of the Special Rapporteur fits within the overall United Nations system and its concern for indigenous issues.

The position, or mandate, of the Special Rapporteur on the Rights of Indigenous Peoples is part of the United Nations’ system for the promotion and protection of human rights. More specifically, it is a mechanism of the United Nations Human Rights Council within its system of “Special Procedures,” as discussed in Part I of this handbook. Part II of the handbook discusses the specific functions and types of activities of the Special Rapporteur on the Rights of Indigenous Peoples, and identifies the human rights standards applied by the Special Rapporteur in carrying out those activities.

The Special Rapporteur on the Rights of Indigenous Peoples is one of three different mechanisms within the United Nations that are specifically tasked with addressing the concerns of indigenous peoples. The other two, the Permanent Forum on Indigenous Issues, and the Expert Mechanism on the Rights of Indigenous Peoples, are briefly discussed in Part III of this handbook.

Also discussed in Part III of this handbook are other human rights institutions and procedures within the UN system, which while not dealing specifically with indigenous peoples, have been used by indigenous peoples to help defend and protect their rights. These are the Human Rights Council’s “Universal Periodic Review” of UN Member States and the system of committees that monitor compliance with UN treaties (the “treaty-monitoring bodies”).

Finally, Part IV of this handbook provides information relevant to the Special Rapporteur’s visit to the United States from April 23 to May 4, 2012.
I. Background: The United Nations Human Rights Council and its Special Rapporteurs

The United Nations Human Rights Council has named several “Special Rapporteurs” and other independent experts to assist with its work as the main human rights body of the United Nations. The United Nations is an international organization made up of 193 independent countries (“States,” in the terminology of the UN and international relations). It was created for the purpose of working toward international peace, security, and goodwill among the different countries, and promoting and protecting human rights.

A number of institutions within the United Nations address matters of human rights in one way or another. But the principal human rights organ within the UN is the Human Rights Council.

The Human Rights Council

The Human Rights Council consists of 47 UN Member States, which are entrusted with strengthening the promotion and protection of human rights worldwide. The Council was created by the UN General Assembly in 2006 to spearhead the United Nations’ efforts to promote respect for human rights and to address the various human rights problems confronting people across the globe. The Human Rights Council replaced the lower-level Commission on Human Rights, which was established in 1946. Currently, the United States is a member of the Human Rights Council.
The Human Rights Council has various tools at its disposal to promote and protect human rights, including its process of “Universal Periodic Review” and its Expert Mechanism on the Rights of Indigenous Peoples, both of which are discussed later in this handbook. The Human Rights Council also promotes and protects human rights through its system of “Special Procedures,” which includes a number of Special Rapporteurs and other independent experts.

**The Human Rights Council’s Special Rapporteurs**

The Special Procedures of the Human Rights Council are a system of human rights monitoring carried out by appointed individuals, most of whom are referred to as Special Rapporteurs, or by Working Groups which are usually composed of five members. These Special Rapporteurs and Working Groups are appointed by the Human Rights Council with mandates to examine, monitor, report, and advise either on major issues of concern (thematic mandates) or on human rights situations in particular countries (country mandates). There are currently 35 thematic mandates and 10 country mandates. The Office of the High Commissioner for Human Rights, which is part of the UN Secretariat, provides these Special Procedures mandates with research and logistical support.

The Human Rights Council appoints the Special Rapporteurs and other Special Procedures mandate-holders on the basis of their expertise on human rights matters and to act on an independent basis. As independent experts, they do not represent their countries of origin and answer only to the Human Rights Council. This independent status encourages candid reporting uninfluenced by political powers or particular interests.
II. The Special Rapporteur on the Rights of Indigenous Peoples

The mandate of the Special Rapporteur on the Rights of Indigenous Peoples is one of the Special Procedures of the UN Human Rights Council. In its resolution 15/14, the Human Rights Council authorizes and requests this Special Rapporteur to:

“examine ways and means of overcoming existing obstacles to the full and effective protection of the human rights and fundamental freedoms of indigenous people, in conformity with his/her mandate, and to identify, exchange and promote best practices.”

Under this mandate, the Special Rapporteur is to:

“gather, request, receive and exchange information and communications from all relevant sources, including Governments, indigenous people and their communities and organizations, on alleged violations of their human rights and fundamental freedoms” and to “formulate recommendations and proposals on appropriate measures and activities to prevent and remedy violations.”

In 2001 the UN Commission on Human Rights (the predecessor to the Human Rights Council), appointed Professor Rodolfo
Stavenhagen to be the first Special Rapporteur on the Situation of Human Rights and Fundamental Freedoms of Indigenous Peoples. During his tenure, Professor Stavenhagen focused on promoting and strengthening the development of international human rights norms and their application to indigenous peoples. He conducted several country visits and developed thematic studies.

In March 2008, the Human Rights Council appointed Professor James Anaya to the mandate of Special Rapporteur. In 2010, the title of the mandate was changed to “Special Rapporteur on the Rights of Indigenous Peoples.” After completion of his first three-year term, Professor Anaya’s mandate was renewed for a second period of 3 years. He will continue to hold this position until 2014.

The Special Rapporteur engages in a range of activities, which can be divided into four main areas: promoting good practices, country assessments, addressing allegations of human rights violations, and thematic studies.

What are the Main Functions of the Special Rapporteur?*

1. Promoting Good Practices

The Special Rapporteur’s mandate from the Human Rights Council includes the responsibility to “identify…and promote best practices.” He has worked to fulfill this part of his mandate by encouraging domestic legal, administrative, and programmatic reforms that comply with the standards of the United Nations Declaration on the Rights of Indigenous Peoples and other relevant human rights instruments.

This work has included advising governments and indigenous peoples in developing new laws that reflect respect for the human rights of indigenous peoples, as when the Special Rapporteur went to Ecuador to assist in the process of reforming that country’s constitution to affirm indigenous peoples’ collective rights.

The Special Rapporteur has also promoted good practices by:

- Encouraging steps toward improving relations between indigenous peoples, States, and other stakeholders through agreements and other constructive arrangements;
- Participating in seminars and conferences that address ways of advancing indigenous peoples’ human rights;
- Advising United Nations agencies on indigenous issues relevant to their programming; and by
- Promoting behavior by business enterprises that is respectful of indigenous rights.

*This section is adapted from documents written by the Special Rapporteur, James Anaya, explaining his work areas.
2. Country Assessments

Additionally, the Special Rapporteur examines and reports on the human rights situations of indigenous peoples in particular countries. These reports include conclusions and recommendations aimed at strengthening good practices, identifying areas of concern and improving the human rights conditions of indigenous peoples in the countries concerned.

The reporting process involves a visit to the country under review, including to the capital and selected places of concern within the country, during which the Special Rapporteur interacts with government representatives, indigenous peoples, and a cross section of civil society actors that work on issues relevant to indigenous peoples. In accordance with the Code of Conduct for special procedures mandate-holders, these visits can only take place with governments’ consent and cooperation.

Since assuming his mandate in 2008, Professor Anaya has issued reports or follow-up reports assessing the human rights situations of indigenous peoples in Nepal; Brazil; Chile; Colombia; Australia; Botswana; Russian Federation; New Zealand; the Sápmi region of Norway, Sweden and Finland; Republic of the Congo; New Caledonia, France; and Argentina. In 2012, the Special Rapporteur will be conducting visits to the United States and El Salvador to report on the situations of indigenous peoples in those countries.

Each of these reports can be found at: http://unr.jamesanaya.org/list/country-reports.
3. Communications Relating to Specific Problem Situations

The term “communications” refers to the letters and the follow up letters that are sent by the Special Rapporteur to governments regarding specific cases of alleged human rights violations. Much of the Special Rapporteur’s work is devoted to addressing human rights problems through the communications procedure.

Types of Cases

The mandate of the Special Rapporteur is broadly defined, and thus, his communications with governments have focused on a wide range of issues related to the rights of indigenous peoples, both individual and collective. The Special Rapporteur gives priority consideration to those cases involving infringements of the collective rights of indigenous peoples, in particular the collective rights affirmed in the United Nations Declaration on the Rights of Indigenous Peoples. The intervention of the Special Rapporteur in a specific case can relate to a significant human rights violation that has already occurred, is ongoing, or that has a high risk of occurring.

Past communications have related to allegations of violations of indigenous peoples’ rights over lands and natural resources, such as dispossession and removal from those lands, or lack of prior consultation regarding development or extractive projects taking place in or near those lands. The Special Rapporteur has also intervened with regard to the content of national legislation and policies that have a direct impact on indigenous peoples, in cases of threats or other abuses against indigenous leaders or human rights defenders, and in cases involving the situation of indigenous women.

Most often, these situations are brought to the attention of the Special Rapporteur through information submitted to him by indigenous peoples themselves or by non-governmental organizations. See Part IV on how to submit information to the Special Rapporteur.

Procedure after Receiving Information about a Case

Upon receiving information about a specific situation, the Special Rapporteur first seeks to determine the validity of the information and decides whether it is advisable to send a communication to the government concerned. The decision to intervene is at the discretion of the Special Rapporteur. Due to the large number of cases received, it is impossible to respond to every situation. This Special Rapporteur’s decision will depend on various criteria including: the credibility of information received; the detail provided; the extent to which the case is representative of situations faced by indigenous peoples generally, and the possibility that intervention by the Special Rapporteur may have a positive impact.

If the Special Rapporteur determines that intervention on his part is appropriate given the relevant circumstances, ordinarily he will communicate with the government concerned...
Occasionally, the Special Rapporteur will conduct an on-site visit to a country to assess a particular situation, as he has done to examine particular cases in Costa Rica, Guatemala, Panama, Peru, and Suriname. His observations and recommendations following such country visits are included in Special Reports. The Special Rapporteur has also issued media or other public statements on issues of pressing concern. For instance in 2010, he issued a statement in regard to concerns over the effects of Arizona’s immigration detention law on indigenous peoples who live in the U.S.-Mexico border region.

4. Thematic Studies

Finally, the Special Rapporteur develops thematic studies about recurring issues of interest and concern to the world’s indigenous peoples. Topics for thematic studies have included:

- The content and scope of the UN Declaration on the Rights of Indigenous Peoples;
- The duty of States to consult with indigenous peoples;
- The responsibilities of business enterprises with respect to indigenous peoples; and
- Extractive industries operating in or near indigenous peoples’ lands.

The Special Rapporteur is currently continuing his study on extractive industries, and he welcomes input and commentary by indigenous peoples and their representatives on this study.
What Human Rights Standards Does the Special Rapporteur Apply?

In carrying out the various aspects of his work the Special Rapporteur looks primarily to the United Nations Declaration on the Rights of Indigenous Peoples, while also relying on other human rights instruments where relevant. In particular, when examining particular cases or country situations he will place emphasis on treaties ratified by the State under consideration.

The United Nations Declaration on the Rights of Indigenous Peoples

Throughout his tenure, the Special Rapporteur has placed special emphasis on implementing the Declaration on the Rights of Indigenous Peoples, by encouraging States to reform their domestic laws and policies to comply with this important document.

On September 13, 2007, the United Nations General Assembly adopted the Declaration on the Rights of Indigenous Peoples, affirming that indigenous peoples are equal to all other peoples and have the right to self-determination, along with an array of related rights, including rights to traditional lands and territories. The General Assembly is made up of all the member States of the United Nations, the overwhelming majority of which -143- voted in favor of the Declaration.

The United States, while initially opposing the Declaration, changed its policy stance and announced its support for the Declaration in December 2010. In its statement endorsing the Declaration, the United States committed to collaborating with indigenous tribes, individuals, and communities to address the ongoing human rights challenges they face.

While UN declarations are not in themselves direct sources of law, the core human rights principles that are reflected in the Declaration on the Rights of Indigenous Peoples - such as self-determination, non-discrimination, cultural integrity, and property - are part of international law. In any event, the Declaration represents a political and moral commitment made by States to the standards of indigenous rights embodied in this instrument, a commitment that is linked to the international obligations that UN member States have to promote and respect human rights. In his work, the Special Rapporteur seeks to hold States to that commitment.

The Special Rapporteur also relies on other applicable human rights instruments in his country assessments and in examining specific cases. For example, in the context of his official visit to the United States, in addition to the Declaration, the Special Rapporteur will look to treaties that the United States has ratified to assess its human rights obligations with respect to indigenous peoples. Relevant treaties ratified by the United States include the International Convention on the Elimination of All Forms of Racial Discrimination and the International Covenant on Civil and Political Rights.
III. Other UN Mechanisms Relevant to Indigenous Peoples

The mandate of the Special Rapporteur on the Rights of Indigenous Peoples is but one of several mechanisms within the United Nations that work to advance the rights of indigenous peoples. Two other mechanisms also have mandates that relate specifically to indigenous peoples, the Permanent Forum on Indigenous Issues and the Human Rights Council’s Expert Mechanism on the Rights of Indigenous Peoples. Other relevant United Nations mechanisms include the Human Rights Council’s Universal Periodic Review and treaty-monitoring bodies. It is important to note that, while the Special Rapporteur cooperates with these mechanisms, he functions independently of them.

The basic functions of these other mechanisms are identified below for the purpose of distinguishing them from the mandate of the Special Rapporteur on the Rights of Indigenous Peoples. For more information on each of these mechanisms, please see the appendix.
The Permanent Forum on Indigenous Issues

The United Nations Permanent Forum on Indigenous Issues was established in 2000 as an advisory body to the United Nations Economic and Social Council, focusing on indigenous issues in the fields of economic and social development, culture, the environment, education, health, and human rights. The United Nations Permanent Forum is made up of 16 individual experts and meets annually for two weeks in New York. The Permanent Forum, often through its own “Special Rapporteurs,” conducts studies, and issues recommendations for policy and programmatic reforms and initiatives to the UN system and to States. Unlike the Special Rapporteur on the Rights of Indigenous Peoples, the Permanent Forum is not specifically tasked with examining country situations or with receiving and acting upon information of alleged human rights abuses in particular cases.


The Expert Mechanism on the Rights of Indigenous Peoples

The Expert Mechanism on the Rights of Indigenous Peoples, which held its first annual session in 2008, is composed of five individual experts with a mandate to provide the Human Rights Council with thematic expertise on the rights of indigenous peoples, mainly in the form of studies and research-based advice (Human Rights Council resolution 6/36, art. 1, para. (a)). The Expert Mechanism does not address country situations or specific cases of violations of human rights.

http://www.ohchr.org/EN/Issues/IPeoples/EMRIP/Pages/EMRIPIndex.aspx
The Treaty Monitoring Bodies

Several United Nations treaties contain provisions that have been interpreted to protect the rights of indigenous peoples, including rights to culture, lands and resources, and participation. These include treaties ratified by the United States: in particular, International Convention on the Elimination of all Forms of Racial Discrimination (ICERD), and International Covenant on Civil and Political Rights (ICCPR).

The other core treaties of the United Nations are: International Covenant on Economic, Social and Cultural Rights (ICESCR); Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW); Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (CAT); Convention on the Rights of the Child (CRC); International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (ICRMW); International Convention for the Protection of All Persons from Enforced Disappearance (CPED) and; Convention on the Rights of Persons with Disabilities (CRPD).

Presently, the United Nations has ten bodies that are tasked with monitoring States’ compliance with these treaties, called the “treaty monitoring bodies.” There is one treaty monitoring body for each of the core human rights treaties. These bodies are made up of committees of independent experts. The treaty monitoring bodies are established and governed by the provisions of each treaty they monitor. For example, the Committee on the Elimination of Racial Discrimination is the treaty based mechanism which monitors implementation of the International Convention on the Elimination of All Forms of Racial Discrimination.

http://www.ohchr.org/en/hrbodies/Pages/HumanRightsBodies.aspx

The Universal Periodic Review

The Universal Periodic Review is a cooperative process through which each UN member State has its human rights record reviewed every four years by the Human Rights Council. This process encourages nations to assess their own human rights measures and allows them to explain how they will strive to meet their obligations under international human rights standards.

http://www.ohchr.org/EN/HRBodies/UPR/Pages/UPRMain.aspx
IV. The Special Rapporteur’s Visit to the United States

From April 23 to May 4, 2012, the Special Rapporteur on the Rights of Indigenous Peoples will be travelling across the United States, meeting with tribal leaders and government officials, and assessing the human rights situations of indigenous peoples in the U.S., including Native Americans, Alaska Natives, and Native Hawaiians.

Of particular relevance to the visit are the implications of the United States’ endorsement, in December 2010, of the United Nations Declaration on the Rights of Indigenous Peoples. The Special Rapporteur will assess the ways in which the standards of the Declaration are currently reflected in U.S. law and policy, both domestically and abroad, and identify needed reforms or areas that require further attention in light of the Declaration.

For his mission to the United States, the Special Rapporteur intends to mainly focus on the following issues:

- Lands issues
- Self-governance
- Sacred sites
- Environment
- Social and economic conditions
- Hawaiian and Alaska Native issues
This official visit to the United States will include site visits to native communities, consultation meetings with tribal leaders, and meetings with government officials. He plans to visit the Southwest, Midwest, Pacific Northwest, Alaska, and Washington, D.C.

The results of this assessment will be reflected in a preliminary report that will be submitted to the United States for its comments and consideration. A final version of the report will be circulated publicly and presented to the United Nations Human Rights Council. The report will include recommendations to the United States, indigenous governing bodies, and, possibly, other interested parties on how to address issues of ongoing concern to indigenous peoples.

The ultimate goal of the country report will be to facilitate an on-going dialogue between the Special Rapporteur, indigenous peoples/native nations, and federal and state governments, as they collaborate toward actions that will result in full realization of the human rights of indigenous peoples.

**Itinerary of Visit to the United States**

- April 23-25: Washington, D.C.
- April 26-27: Tucson, Arizona
- April 28-29: Anchorage and Dillingham, Alaska
- April 30: Portland, Oregon
- May 1-2: Rosebud, South Dakota
- May 3: Tulsa, Oklahoma
- May 4: Washington, D.C.

**How to Engage the Special Rapporteur in the Context of the Official Visit to the United States**

In the course of his official visit to the United States, the Special Rapporteur will be meeting with many different indigenous groups and governmental agencies. See the website of the Special Rapporteur for more information about consultations taking place around the country, and how to register for those consultations: [http://www.unsr.jamesanaya.org](http://www.unsr.jamesanaya.org).

In addition to participating in one of the consultations, indigenous representatives or others may, at any time, submit written information to the Special Rapporteur.

**Submitting Written Information**

To carry out his work, the Special Rapporteur relies heavily on information from indigenous peoples, their organizations and NGOs. The Special Rapporteur encourages these sources to submit information that relates to his mandate from the Human Rights Council, which is to promote the human rights of indigenous peoples and address specific situations in which their rights are being violated. This information may be about positive developments, studies or conferences of interest, new initiatives, or problem situations.
Information Alleging Human Rights Violations

The Special Rapporteur is authorized to act on credible information alleging human rights violations of indigenous peoples. No formal requirements exist for the Special Rapporteur to receive information or to send communications on alleged violations. Neither exhaustion of domestic remedies nor a detailed legal argument about the case is required. Any person or organization can send information to the Special Rapporteur irrespective of the relationship with the victim(s) of the alleged violation.

Information submitted to the Special Rapporteur should include a detailed description of the circumstances of the case. It should be precise and as brief as possible (1-2 pages may suffice) while providing a complete statement of the situation, and may be accompanied by annexes providing written or graphic evidence of the facts. Submissions should clearly state how the events violated specific human rights.

It is helpful if you provide supporting documents which corroborate your statements. These may include print sources, pictures, and statements of witnesses. It will also be invaluable if you include a list of persons we may contact to support the facts of your communication.

You should also keep in mind that should the Special Rapporteur decide to proceed further on your matter, he will contact the government asking for clarification of the situation, while keeping the source of the communication confidential. You may want to anticipate what the response from the government may be, and briefly address that in your initial communication.

Submissions should include, where applicable:

When and Where: Date, time, and precise location of the incident (Country, region, municipality).

Victim(s) or Community Affected: Name, number and full details on the location of the indigenous people, community or individual(s) whose rights allegedly have been violated or are under threat.

What happened: Detailed circumstances of the alleged violation. If an initial event leads to others, please describe them chronologically. In cases of general measures, such as national legislation or policies, indicate their stage of development and how indigenous peoples have or will be affected by them.

Perpetrator(s): Detailed information on the person(s) or institution(s) responsible for the violation and their relation, if any, to the government concerned. If circumstances require, provide an explanation of the reasons for suspecting responsibility of the person(s) or institution(s) identified.

Action taken by State authorities: If applicable, what actions have been taken by the relevant authorities to remedy the situation? Has the matter been reported to the administrative or judicial authorities of the State concerned? This information aids the Special Rapporteur in understanding the allegation and developing an appropriate response.
Action taken before international bodies: Has any action been initiated before other international or regional human rights mechanisms? If so, at what stage are these other international actions?

Source: Name and full address of the indigenous people, organization, or individual(s) submitting the information. These contact details are essential in the event the Special Rapporteur needs clarification or further information on the case. This information is kept confidential, unless the source authorizes otherwise.

Contact Information

Submit information to the Special Rapporteur by email at: indigenous@ohchr.org.

Appendix: Useful Links

1. United Nations Special Rapporteur on the Rights of Indigenous Peoples Home Page
   http://unsr.jamesanaya.org/


3. United Nations Homepage
   http://www.un.org/en

   http://www2.ohchr.org/english/bodies/hrcouncil

5. Human Rights Council Special Procedures
   http://www2.ohchr.org/english/bodies/chr/special/index.htm

6. UN Treaty Bodies
   http://www2.ohchr.org/english/bodies/treaty/index.htm

7. UN Declaration on the Rights of Indigenous Peoples

8. The Permanent Forum on Indigenous Issues

9. The Expert Mechanism on Indigenous Rights
   http://www.ohchr.org/EN/Issues/IPeoples/EMRIP/Pages/EMRIPIndex.aspx