

Chapter IV

RESERVATIONS TO TREATIES

A. Introduction

51. The Commission, at its forty-fifth session (1993), decided to include the topic “The law and practice relating to reservations to treaties”¹³ in its programme of work and, at its forty-sixth session (1994), appointed Mr. Alain Pellet Special Rapporteur for the topic.¹⁴

52. At the forty-seventh session (1995), following the Commission’s consideration of his first report,¹⁵ the Special Rapporteur summarized the conclusions he had drawn from the Commission’s debate, including a change of the title of the topic to “Reservations to treaties”; the form the results of the study should take, namely, a guide to practice in respect of reservations; the flexible way in which the Commission’s work on the topic should be carried out; and the consensus in the Commission that there should be no change in the relevant provisions of the 1969 Vienna Convention, the Vienna Convention on succession of States in respect of treaties (1978 Vienna Convention) and the Vienna Convention on the Law of Treaties between States and International Organizations or between International Organizations (1986 Vienna Convention).¹⁶ In the view of the Commission, those conclusions constituted the results of the preliminary study requested by the General Assembly in resolutions 48/31 of 9 December 1993 and 49/51 of 9 December 1994. The Guide to Practice would take the form of draft guidelines with commentaries, which would be of assistance for the practice of States and international organizations; the guidelines would, if necessary, be accompanied by model clauses. At the same session (1995), the Commission, in accordance with its earlier practice,¹⁷ authorized the Special Rapporteur to prepare a detailed questionnaire on reservations to treaties, to ascertain the practice of, and problems encountered by, States and international organizations, particularly those which were depositaries of multilateral conventions.¹⁸ The questionnaire was sent to the addressees by the Secretariat. In its resolution 50/45 of 11 December 1995, the General Assembly took note of the Commission’s conclusions, inviting it to continue its work along the lines indicated in its report and also inviting States to answer the questionnaire.¹⁹

¹³ The General Assembly, in its resolution 48/31 of 9 December 1993, endorsed the decision of the Commission.

¹⁴ *Yearbook ... 1994*, vol. II (Part Two), para. 381.

¹⁵ *Yearbook ... 1995*, vol. II (Part One), document A/CN.4/470.

¹⁶ *Ibid.*, vol. II (Part Two), para. 487.

¹⁷ See *Yearbook ... 1983*, vol. II (Part Two), para. 286.

¹⁸ See *Yearbook ... 1995*, vol. II (Part Two), para. 489. The questionnaires addressed to Member States and international organizations are reproduced in *Yearbook ... 1996*, vol. II (Part One), document A/CN.4/477 and Add.1, annexes II and III.

¹⁹ As of 31 July 2011, 33 States and 26 international organizations had responded to the questionnaire. See also the comments and observations mentioned in paragraph 56 below.

53. At its forty-eighth (1996) and forty-ninth (1997) sessions, the Commission had before it the Special Rapporteur’s second report,²⁰ to which was annexed a draft resolution on reservations to normative multilateral treaties, including human rights treaties, which was addressed to the General Assembly for the purpose of drawing attention to and clarifying the legal aspects of the matter.²¹ At the latter session (1997), the Commission adopted preliminary conclusions on reservations to normative multilateral treaties, including human rights treaties.²² In its resolution 52/156 of 15 December 1997, the General Assembly took note of the Commission’s preliminary conclusions and of its invitation to all treaty bodies set up by normative multilateral treaties that might wish to do so to provide, in writing, their comments and observations on the conclusions, while drawing the attention of Governments to the importance for the Commission of having their views on the preliminary conclusions.

54. From its fiftieth session (1998) to its sixty-second session (2010), the Commission considered 14 more reports²³ and a note²⁴ by the Special Rapporteur, along with a memorandum by the Secretariat on reservations to treaties in the context of succession of States,²⁵ and provisionally adopted 199 draft guidelines and commentaries thereto.

55. At its sixty-second session (2010), the Commission, having completed the provisional adoption of the Guide to Practice on Reservations to Treaties, indicated that it intended to adopt the final version of the Guide to Practice during its sixty-third session (2011), and that, in doing so, it would take into consideration the observations of States

²⁰ *Yearbook ... 1996*, vol. II (Part One), documents A/CN.4/477 and Add.1. and A/CN.4/478.

²¹ *Ibid.*, vol. II (Part Two), para. 136 and footnote 238.

²² *Yearbook ... 1997*, vol. II (Part Two), pp. 57–58, para. 157.

²³ Third report: *Yearbook ... 1998*, vol. II (Part One), document A/CN.4/491 and Add.1–6; fourth report: *Yearbook ... 1999*, vol. II (Part One), documents A/CN.4/499 and A/CN.4/478/Rev.1; fifth report: *Yearbook ... 2000*, vol. II (Part One), document A/CN.4/508 and Add.1–4; sixth report: *Yearbook ... 2001*, vol. II (Part One), document A/CN.4/518 and Add.1–3; seventh report: *Yearbook ... 2002*, vol. II (Part One), document A/CN.4/526 and Add.1–3; eighth report: *Yearbook ... 2003*, vol. II (Part One), document A/CN.4/535 and Add.1; ninth report: *Yearbook ... 2004*, vol. II (Part One), document A/CN.4/544; tenth report: *Yearbook ... 2005*, vol. II (Part One), document A/CN.4/558 and Add.1–2; eleventh report: *Yearbook ... 2006*, vol. II (Part One), document A/CN.4/574; twelfth report: *Yearbook ... 2007*, vol. II (Part One), document A/CN.4/584; thirteenth report: *Yearbook ... 2008*, vol. II (Part One), document A/CN.4/600; fourteenth report: *Yearbook ... 2009*, vol. II (Part One), document A/CN.4/614 and Add.1–2; fifteenth report: *Yearbook ... 2010*, vol. II (Part One), document A/CN.624 and Add.1–2; and sixteenth report: *ibid.*, document A/CN.4/626 and Add.1. See a detailed historical presentation of the third to ninth reports in *Yearbook ... 2004*, vol. II (Part Two), paras. 257–269.

²⁴ *Yearbook ... 2007*, vol. II (Part One), document A/CN.4/586.

²⁵ *Yearbook ... 2009*, vol. II (Part One), document A/CN.4/616.

and international organizations as well as the organs with which the Commission cooperates, made since the beginning of the examination of the topic, together with further observations received by the secretariat of the Commission before 31 January 2011.²⁶

B. Consideration of the topic at the present session

56. At the present session, the Commission had before it the seventeenth report of the Special Rapporteur (A/CN.4/647 and Add.1), which it considered at its 3099th, 3104th and 3106th meetings, on 6, 13 and 15 July 2011, as well as the comments and observations received from Governments on the Guide to Practice as provisionally adopted by the Commission at its sixty-second session²⁷ (A/CN.4/639 and Add.1).

57. At its 3080th meeting, on 26 April 2011, the Commission decided to establish a Working Group on reservations to treaties, chaired by Mr. Marcelo Vázquez-Bermúdez, to work on finalizing the Guide to Practice as envisaged by the Commission at its sixty-second session (2010).²⁸ The Working Group reviewed the version of the Guide to Practice provisionally adopted in 2010 on the basis of the changes proposed by the Special Rapporteur in the light of the oral and written observations made by States on the topic since 1995.

58. At its 3090th meeting, on 20 May 2011, the Commission took note of the first report of the Chairperson of the Working Group on reservations to treaties, in which he presented to the Commission the text of the guidelines constituting the Guide to Practice on Reservations to Treaties (A/CN.4/L.779), as finalized by the Working Group.

59. At its 3099th meeting, on 6 July 2011, the Commission entrusted the Working Group on reservations to treaties with the task of finalizing the text of a draft recommendation or conclusions of the Commission on the reservations dialogue, contained in the Special Rapporteur's seventeenth report (A/CN.4/647, para. 68). At its 3106th meeting, on 15 July 2011, the Commission also referred to the Working Group a draft recommendation of the Commission on technical assistance and assistance in the settlement of disputes concerning reservations, as proposed by the Special Rapporteur in the addendum to his seventeenth report (A/CN.4/647/Add.1).

60. At its 3114th meeting, on 28 July 2011, the Commission took note of the second report of the Chairperson of the Working Group on reservations to treaties and of the recommendations of the Working Group with respect to (a) conclusions and a recommendation on the reservations dialogue, intended to appear in an annex to the Guide to Practice on Reservations to Treaties (A/CN.4/L.793), and (b) a draft recommendation of the Commission to the General Assembly on mechanisms of assistance in relation to reservations (A/CN.4/L.795).

61. At its 3118th meeting and from its 3120th to 3125th meetings, from 5 to 11 August 2011, the Commis-

sion adopted the guidelines and commentaries constituting the Guide to Practice on Reservations to Treaties, including an introduction to the Guide to Practice and an annex setting out conclusions and a recommendation of the Commission on the reservations dialogue.

62. The text of the guidelines constituting the Guide to Practice on Reservations to Treaties followed by an annex on the reservations dialogue is reproduced in section F.1 below; the text of the Guide to Practice including an introduction, commentaries, the annex on the reservations dialogue and a bibliography is reproduced in the continuation of section F.2, contained in an addendum to this report (A/66/10/Add.1).²⁹

63. In accordance with its statute, the Commission submits to the General Assembly the Guide to Practice on Reservations to Treaties, together with the recommendation set forth in section C below.

64. The Commission also submits to the General Assembly the recommendation on mechanisms of assistance in relation to reservations, set forth in section D below.

CONSIDERATION OF THE SEVENTEENTH REPORT OF THE SPECIAL RAPPORTEUR

(a) *Introduction by the Special Rapporteur*

65. The seventeenth report (A/CN.4/647) dealt with the question of the reservations dialogue, while its addendum (A/CN.4/647/Add.1) addressed the question of assistance in the settlement of disputes concerning reservations and proposed a draft introduction on how to use the Guide to Practice.

66. The Special Rapporteur recalled that the phrase "reservations dialogue" was not a term of art with a precise meaning but an expression he himself had coined in his eighth report.³⁰ The expression "reservations dialogue" alluded to the fact that, independently of the substantive and procedural rules applicable to reservations, contracting States and contracting international organizations could, and in many cases did, engage in an informal dialogue concerning the permissibility, scope and meaning of the reservations or objections to reservations formulated by a contracting State or a contracting organization. Such a dialogue, which could take place before as well as after a reservation was formulated, could take many forms and employ a wide variety of methods. While the normal interplay of objections and acceptances often served to start a reservations dialogue, the practice revealed the existence of *sui generis* reactions to reservations, reactions that constituted neither acceptances nor objections but that could nonetheless be taken into account by the author of the reservation—who might, in some cases, be induced to withdraw its reservation or limit its scope—or by dispute settlement bodies or treaty monitoring bodies. A particular form of reservations dialogue took place under the auspices of treaty monitoring bodies, especially those charged with monitoring the implementation of human

²⁶ *Yearbook ... 2010*, vol. II (Part Two), para. 45.

²⁷ *Ibid.*, para. 105.

²⁸ See paragraph 55 above.

²⁹ *Yearbook ... 2011*, vol. II (Part Three).

³⁰ *Yearbook ... 2003*, vol. II (Part One), document A/CN.4/535 and Add.1, pp. 42 *et seq.*

rights treaties. The Special Rapporteur stressed that the reservations dialogue offered advantages, notably, of seeking to prevent positions from becoming fixed, to allow the author of the reservation to explain its reasons and to facilitate better understanding among the parties concerned. The Special Rapporteur therefore thought that the Commission should not only take that practice into account but should encourage it, while taking care not to destroy its spontaneity and effectiveness through a legal formalism that might make it inflexible. That was the purpose of the draft recommendation or conclusions on the reservations dialogue proposed in the seventeenth report,³¹

³¹ The draft recommendation or conclusions, contained in paragraph 68 of the seventeenth report (A/CN.4/647), read as follows:

“Draft recommendation or conclusions of the International Law Commission on the reservations dialogue

“*The International Law Commission,*

“*Recalling* the provisions on reservations to treaties contained in the Vienna Convention on the Law of Treaties and the Vienna Convention on the Law of Treaties between States and International Organizations or between International Organizations,

“*Bearing in mind* the need to safeguard the integrity of multilateral treaties while ensuring the universality of those for which universal accession is envisaged,

“*Recognizing* the usefulness of reservations to treaties formulated within the limits imposed by the law of treaties, including article 19 of the Vienna Conventions and concerned at the large number of reservations that appear incompatible with these requirements,

“*Aware* of the difficulties that States and international organizations face in assessing the validity of reservations,

“*Convinced* of the usefulness of a pragmatic dialogue with the author of a reservation and of cooperation among all reservations stakeholders,

“*Welcoming* the efforts made in recent years, including within the framework of human rights treaty bodies and certain regional organizations,

“1. *Calls upon* States and international organizations wishing to formulate reservations to ensure that they are not incompatible with the object and purpose of the treaty to which they relate, to consider limiting their scope, to formulate them as clearly and concisely as possible, and to review them periodically with a view to withdrawing them if appropriate;

“2. *Recommends* that in formulating a reservation, States and international organizations should indicate, to the extent possible, the nature and scope of the reservation, why the reservation is deemed necessary, the effects of the reservation on fulfilment by the author of the reservation of its treaty obligations arising from the instrument in question, and whether it plans to limit the reservation’s effects, modify it or withdraw it according to a specific schedule and modalities;

“3. *Recommends also* that States and international organizations should state the reason for any modification or withdrawal of a reservation;

“4. *Recalls* that States, international organizations and monitoring bodies may express their concerns about a reservation and stresses the usefulness of such reactions for assessment of the validity of a reservation by all the key players;

“5. *Encourages* States, international organizations and monitoring bodies to explain to the author of a reservation the reasons for their concerns about the reservation and, where appropriate, to request any clarification that they deem useful;

“6. *Recommends* that States, international organizations and monitoring bodies should, if they deem it useful, call for the full withdrawal of reservations, reconsideration of the need for a reservation and gradual reduction of the scope of a reservation through partial withdrawals, and should encourage States and international organizations that formulate reservations to do so;

“7. *Encourages* States and international organizations to welcome the concerns and reactions of other States, international organizations and monitoring bodies and to address those concerns and take them duly into account, to the extent possible, with a view to reconsidering, modifying or withdrawing a reservation;

“8. *Calls on* all States, international organizations and monitoring bodies to cooperate as closely as possible in order to

which was intended to encourage States and international organizations to engage in such a dialogue whenever possible in the manner they deemed appropriate. The Special Rapporteur thought it preferable to address the question of the reservations dialogue, not in the body of the Guide to Practice, but in an annex to the Guide that could take the form of recommendations or conclusions.

67. The Special Rapporteur noted that the reservations dialogue was not always successful and sometimes ended without resolving differences of opinion that could have practical consequences. Nonetheless, it was not appropriate for the Commission to propose a fully fledged dispute settlement mechanism in the context of reservations, in view, among other things, of the flexible nature of the Guide to Practice. The Special Rapporteur thought it preferable that the Commission suggest a flexible mechanism of assistance in relation to reservations, one that could provide both technical advice and assistance in resolving differences concerning reservations. The main features of such a mechanism were outlined in the draft recommendation on technical assistance and assistance in the settlement of disputes concerning reservations, contained in the addendum to the seventeenth report.³²

exchange views on problematic reservations and to coordinate the measures to be taken; and

“9. *Expresses* the hope that States, international organizations and monitoring bodies will initiate, undertake and pursue such dialogue in a pragmatic and transparent manner.”

³² The draft recommendation, contained in paragraph 101 of the addendum (A/CN.4/647/Add.1), read as follows:

“Draft recommendation of the International Law Commission on technical assistance and assistance in the settlement of disputes concerning reservations

“*The International Law Commission,*

“*Having completed* preparation of the Guide to Practice on Reservations to Treaties,

“*Aware* of the difficulties faced by States and international organizations in the interpretation, assessment of the permissibility, and implementation of reservations and objections thereto,

“*Attaching great importance* to the principle that States should resolve their international disputes by peaceful means,

“*Convinced* that adoption of the Guide to Practice should be supplemented by the establishment of a flexible assistance mechanism for States and international organizations that face difficulties in implementation of the legal rules applicable to reservations,

“1. *Recalls* that States and international organizations that disagree as to the interpretation, permissibility or effects of a reservation or an objection to a reservation must, first of all, as with any international dispute, seek a solution by negotiation, enquiry, mediation, conciliation, arbitration, judicial settlement, resort to regional agencies or arrangements, or other peaceful means of their own choice;

“2. *Recommends* that a reservations and objections to reservations assistance mechanism should be established; and

“3. *Suggests* that this mechanism should take the form described in the annex to this recommendation.

“Annex

“1. A reservations and objections to reservations assistance mechanism is hereby established.

“2. The mechanism shall consist of 10 government experts, who shall be selected on the basis of their technical competence and their practical experience in public international law and, specifically, treaty law.

“3. The mechanism shall meet, as needed, to consider problems related to the interpretation, permissibility and effects of reservations, or objections to and acceptances of reservations, that are submitted to it by concerned States and international organizations. To that end, it may suggest that States trust it to find solutions for the resolution of their disputes. States or international organizations that are parties

68. The draft introduction to the Guide to Practice, also contained in the addendum to the seventeenth report (A/CN.4/647/Add.1, para. 105), was intended to provide clarification as to the content, purposes and structure of the Guide and the legal nature of the rules formulated in the guidelines that constituted it.

(b) *Action taken on the seventeenth report*

69. Since the idea of a draft recommendation or conclusions on the reservations dialogue had been favourably received by the members of the Commission, the Commission instructed the Working Group on reservations to treaties to finalize the text in question.³³ The Commission subsequently decided to attach an annex to the Guide to Practice, containing conclusions and a recommendation on the reservations dialogue.³⁴

70. Although some members had expressed doubts about the idea of proposing a specific mechanism of assistance in relation to reservations to treaties, the Commission entrusted the Working Group on reservations to treaties with the task of considering the draft recommendation on that subject proposed by the Special Rapporteur.³⁵ The Commission subsequently adopted the recommendation contained in section D below.

71. The proposal of the Special Rapporteur to preface the Guide to Practice with an introduction was favourably received by the Commission.³⁶

C. Recommendation of the Commission concerning the Guide to Practice on Reservations to Treaties

72. At its 3125th meeting, on 11 August 2011, the Commission decided, in accordance with article 23 of its statute, to recommend to the General Assembly to take note of the Guide to Practice and ensure its widest possible dissemination.

D. Recommendation of the Commission on mechanisms of assistance in relation to reservations to treaties

73. At its 3125th meeting, held on 11 August 2011, the Commission decided to transmit to the General Assembly the following recommendation:

“The International Law Commission,

“Having completed the preparation of the Guide to Practice on Reservations to Treaties,

to a dispute concerning a reservation may undertake to accept the mechanism’s proposals for its resolution as compulsory.

“4. The mechanism may also provide a State or international organization with technical assistance in formulating reservations to a treaty or objections to reservations formulated by other States or international organizations.

“5. In making such proposals, the mechanism shall take into account the provisions on reservations contained in the 1969, 1978 and 1986 Vienna Conventions on the Law of Treaties and the guidelines contained in the Guide to Practice.”

³³ See paragraphs 59 and 60 above.

³⁴ See paragraph 61 above.

³⁵ See paragraphs 59 and 60 above.

³⁶ See paragraph 61 above.

“Aware of the difficulties faced by States in the formulation, interpretation, assessment of the permissibility, and implementation of reservations and objections thereto,

“Attaching great importance to the principle that States shall settle their international disputes by peaceful means,

“Considering that the adoption of the Guide to Practice could be supplemented by the establishment of flexible mechanisms to assist States in the implementation of the legal rules applicable to reservations,

“Suggests that the General Assembly:

“1. Consider establishing a reservations assistance mechanism, which could take the form described in the annex to this recommendation;

“2. Consider establishing within its Sixth Committee an ‘observatory’ on reservations to treaties, and also recommend that States consider establishing similar ‘observatories’ at the regional and subregional levels.³⁷

“Annex

“1. The reservations and objections to reservations assistance mechanism could consist of a limited number of experts, selected on the basis of their technical competence and their practical experience in public international law and, specifically, treaty law.

“2. The mechanism could meet, as needed, to consider problems related to reservations, or objections to and acceptances of reservations, that would be submitted to it.

“3. The mechanism could make proposals to requesting States in order to settle differences of view concerning reservations. States that have such differences could undertake to accept proposals for their resolution as compulsory.

“4. The mechanism could also provide a State with technical assistance in formulating reservations to a treaty or objections to reservations formulated by other States.³⁸

“5. In making its proposals, the mechanism should take into account the provisions on reservations contained in the 1969, 1978 and 1986 Vienna Conventions on the Law of Treaties and the guidelines contained in the Guide to Practice.”

E. Tribute to the Special Rapporteur

74. At its 3125th meeting, on 11 August 2011, the Commission, after adopting the complete Guide to Practice on Reservations to Treaties, adopted the following resolution by acclamation:

“The International Law Commission,

“Having adopted the Guide to Practice on Reservations to Treaties,

“Expresses its deep appreciation and warm congratulations to the Special Rapporteur, Mr. Alain Pellet, for the outstanding contribution he has made to the preparation of the Guide to Practice on Reservations to Treaties through his tireless efforts and devoted work, and has no doubt that the Guide to Practice will be a valuable tool in solving numerous problems posed by reservations to treaties and interpretative declarations.”

³⁷ Such “observatories” could draw their inspiration from the observatory established within CAHDI. For more information, see the Council of Europe website (www.coe.int).

³⁸ The experts who would be called to assist States for the settlement of differences of view in accordance with paragraph 3 should be different from those who would have provided assistance to one of the parties under paragraph 4.

F. Text of the Guide to Practice on Reservations to Treaties, adopted by the Commission at its sixty-third session

1. TEXT OF THE GUIDELINES CONSTITUTING THE GUIDE TO PRACTICE, FOLLOWED BY AN ANNEX ON THE RESERVATIONS DIALOGUE

75. The text of the guidelines constituting the Guide to Practice on Reservations to Treaties adopted by the Commission at its sixty-third session, followed by an annex on the reservations dialogue, is reproduced below.

GUIDE TO PRACTICE ON RESERVATIONS TO TREATIES

1. Definitions

1.1 Definition of reservations

1. “Reservation” means a unilateral statement, however phrased or named, made by a State or an international organization when signing, ratifying, formally confirming, accepting, approving or acceding to a treaty or by a State when making a notification of succession to a treaty, whereby the State or organization purports to exclude or to modify the legal effect of certain provisions of the treaty in their application to that State or to that international organization.

2. Paragraph 1 is to be interpreted as including reservations which purport to exclude or to modify the legal effect of certain provisions of a treaty, or of the treaty as a whole with respect to certain specific aspects, in their application to the State or to the international organization which formulates the reservation.

1.1.1 Statements purporting to limit the obligations of their author

A unilateral statement formulated by a State or an international organization at the time when that State or that organization expresses its consent to be bound by a treaty, by which its author purports to limit the obligations imposed on it by the treaty, constitutes a reservation.

1.1.2 Statements purporting to discharge an obligation by equivalent means

A unilateral statement formulated by a State or an international organization at the time when that State or that organization expresses its consent to be bound by a treaty, by which that State or that organization purports to discharge an obligation pursuant to the treaty in a manner different from, but considered by the author of the statement to be equivalent to that imposed by the treaty, constitutes a reservation.

1.1.3 Reservations relating to the territorial application of the treaty

A unilateral statement by which a State purports to exclude the application of some provisions of a treaty, or of the treaty as a whole with respect to certain specific aspects, to a territory to which they would be applicable in the absence of such a statement constitutes a reservation.

1.1.4 Reservations formulated when extending the territorial application of a treaty

A unilateral statement by which a State, when extending the application of a treaty to a territory, purports to exclude or to modify the legal effect of certain provisions of the treaty in relation to that territory constitutes a reservation.

1.1.5 Reservations formulated jointly

The joint formulation of a reservation by several States or international organizations does not affect the unilateral character of that reservation.

1.1.6 Reservations formulated by virtue of clauses expressly authorizing the exclusion or the modification of certain provisions of a treaty

A unilateral statement made by a State or an international organization when that State or organization expresses its consent to be bound by a treaty, in accordance with a clause expressly authorizing the parties or some of them to exclude or to modify the legal effect of certain provisions of the treaty with regard to the party that has made the statement, constitutes a reservation expressly authorized by the treaty.

1.2 Definition of interpretative declarations

“Interpretative declaration” means a unilateral statement, however phrased or named, made by a State or an international organization, whereby that State or that organization purports to specify or clarify the meaning or scope of a treaty or of certain of its provisions.

1.2.1 Interpretative declarations formulated jointly

The joint formulation of an interpretative declaration by several States or international organizations does not affect the unilateral character of that interpretative declaration.

1.3 Distinction between reservations and interpretative declarations

The character of a unilateral statement as a reservation or as an interpretative declaration is determined by the legal effect that its author purports to produce.

1.3.1 Method of determining the distinction between reservations and interpretative declarations

To determine whether a unilateral statement formulated by a State or an international organization in respect of a treaty is a reservation or an interpretative declaration, the statement should be interpreted in good faith in accordance with the ordinary meaning to be given to its terms, with a view to identifying therefrom the intention of its author, in light of the treaty to which it refers.

1.3.2 Phrasing and name

The phrasing or name of a unilateral statement provides an indication of the purported legal effect.

1.3.3 Formulation of a unilateral statement when a reservation is prohibited

When a treaty prohibits reservations to all or certain of its provisions, a unilateral statement formulated in respect of those provisions by a State or an international organization shall be presumed not to constitute a reservation. Such a statement nevertheless constitutes a reservation if it purports to exclude or modify the legal effect of certain provisions of the treaty, or of the treaty as a whole with respect to certain specific aspects, in their application to its author.

1.4 Conditional interpretative declarations

1. A conditional interpretative declaration is a unilateral statement formulated by a State or an international organization when signing, ratifying, formally confirming, accepting, approving or acceding to a treaty, or by a State when making a notification of succession to a treaty, whereby the State or international organization subjects its consent to be bound by the treaty to a specific interpretation of the treaty or of certain provisions thereof.

2. Conditional interpretative declarations are subject to the rules applicable to reservations.

1.5 Unilateral statements other than reservations and interpretative declarations

Unilateral statements formulated in relation to a treaty which are not reservations nor interpretative declarations (including conditional interpretative declarations) are outside the scope of the present Guide to Practice.

1.5.1 *Statements of non-recognition*

A unilateral statement by which a State indicates that its participation in a treaty does not imply recognition of an entity which it does not recognize is outside the scope of the present Guide to Practice, even if it purports to exclude the application of the treaty between the declaring State and the non-recognized entity.

1.5.2 *Statements concerning modalities of implementation of a treaty at the internal level*

A unilateral statement formulated by a State or an international organization whereby that State or that organization indicates the manner in which it intends to implement a treaty at the internal level, without affecting its rights and obligations towards the other contracting States or contracting organizations, is outside the scope of the present Guide to Practice.

1.5.3 *Unilateral statements made under a clause providing for options*

1. A unilateral statement made by a State or an international organization, in accordance with a clause in a treaty permitting the parties to accept an obligation that is not otherwise imposed by the treaty, or permitting them to choose between two or more provisions of the treaty, is outside the scope of the present Guide to Practice.

2. A restriction or condition contained in a statement by which a State or an international organization accepts, by virtue of a clause in a treaty, an obligation that is not otherwise imposed by the treaty does not constitute a reservation.

1.6 *Unilateral statements in respect of bilateral treaties*

1.6.1 *"Reservations" to bilateral treaties*

A unilateral statement, however phrased or named, formulated by a State or an international organization after initialling or signature but prior to entry into force of a bilateral treaty, by which that State or that organization purports to obtain from the other party a modification of the provisions of the treaty, does not constitute a reservation within the meaning of the present Guide to Practice.

1.6.2 *Interpretative declarations in respect of bilateral treaties*

Guidelines 1.2 and 1.4 are applicable to interpretative declarations in respect of both multilateral and bilateral treaties.

1.6.3 *Legal effect of acceptance of an interpretative declaration made in respect of a bilateral treaty by the other party*

The interpretation resulting from an interpretative declaration made in respect of a bilateral treaty by a State or an international organization party to the treaty and accepted by the other party constitutes an authentic interpretation of that treaty.

1.7 *Alternatives to reservations and interpretative declarations*

1.7.1 *Alternatives to reservations*

In order to achieve results comparable to those effected by reservations, States or international organizations may also have recourse to alternative procedures, such as:

(a) the insertion in the treaty of a clause purporting to limit its scope or application;

(b) the conclusion of an agreement, under a specific provision of a treaty, by which two or more States or international organizations purport to exclude or modify the legal effect of certain provisions of the treaty as between themselves.

1.7.2 *Alternatives to interpretative declarations*

In order to specify or clarify the meaning or scope of a treaty or certain of its provisions, States or international organizations may also have recourse to procedures other than interpretative declarations, such as:

(a) the insertion in the treaty of provisions purporting to interpret the treaty;

(b) the conclusion of a supplementary agreement to the same end, simultaneously or subsequently to the conclusion of the treaty.

1.8 *Scope of definitions*

The definitions of unilateral statements included in the present Part are without prejudice to the validity and legal effects of such statements under the rules applicable to them.

2. *Procedure*

2.1 *Form and notification of reservations*

2.1.1 *Form of reservations*

A reservation must be formulated in writing.

2.1.2 *Statement of reasons for reservations*

A reservation should, to the extent possible, indicate the reasons why it is being formulated.

2.1.3 *Representation for the purpose of formulating a reservation at the international level*

1. Subject to the usual practices followed in international organizations which are depositaries of treaties, a person is considered as representing a State or an international organization for the purpose of formulating a reservation if:

(a) that person produces appropriate full powers for the purposes of adopting or authenticating the text of the treaty with regard to which the reservation is formulated or expressing the consent of the State or organization to be bound by the treaty; or

(b) it appears from practice or from other circumstances that it was the intention of the States and international organizations concerned to consider that person as representing the State or the international organization for such purposes without having to produce full powers.

2. In virtue of their functions and without having to produce full powers, the following are considered as representing their State for the purpose of formulating a reservation at the international level:

(a) Heads of State, Heads of Government and Ministers for Foreign Affairs;

(b) representatives accredited by States to an international conference, for the purpose of formulating a reservation to a treaty adopted at that conference;

(c) representatives accredited by States to an international organization or one of its organs, for the purpose of formulating a reservation to a treaty adopted in that organization or organ;

(d) heads of permanent missions to an international organization, for the purpose of formulating a reservation to a treaty between the accrediting States and that organization.

2.1.4 *Absence of consequences at the international level of the violation of internal rules regarding the formulation of reservations*

1. The competent authority and the procedure to be followed at the internal level for formulating a reservation are determined by the internal law of each State or the relevant rules of each international organization.

2. A State or an international organization may not invoke the fact that a reservation has been formulated in violation of a provision of the internal law of that State or the rules of that organization regarding competence and the procedure for formulating reservations for the purpose of invalidating the reservation.

2.1.5 *Communication of reservations*

1. A reservation must be communicated in writing to the contracting States and contracting organizations and other States and international organizations entitled to become parties to the treaty.

2. A reservation to a treaty in force which is the constituent instrument of an international organization must also be communicated to such organization.

2.1.6 *Procedure for communication of reservations*

1. Unless otherwise provided in the treaty or agreed by the contracting States and contracting organizations, the communication of a reservation to a treaty shall be transmitted:

(a) if there is no depositary, directly by the author of the reservation to the contracting States and contracting organizations and other States and international organizations entitled to become parties to the treaty; or

(b) if there is a depositary, to the latter, which shall notify the States and international organizations for which it is intended as soon as possible.

2. The communication of a reservation shall be considered as having been made with regard to a State or an international organization only upon receipt by that State or organization.

3. The communication of a reservation to a treaty by means other than a diplomatic note or depositary notification, such as electronic mail or facsimile, must be confirmed within an appropriate period of time by such a note or notification. In such case, the reservation is considered as having been formulated at the date of the initial communication.

2.1.7 *Functions of depositaries*

1. The depositary shall examine whether a reservation to a treaty formulated by a State or an international organization is in due and proper form and, if need be, bring the matter to the attention of the State or international organization concerned.

2. In the event of any difference appearing between a State or an international organization and the depositary as to the performance of the latter's functions, the depositary shall bring the question to the attention of:

(a) the signatory States and organizations and the contracting States and contracting organizations; or

(b) where appropriate, the competent organ of the international organization concerned.

2.2 *Confirmation of reservations*

2.2.1 *Formal confirmation of reservations formulated when signing a treaty*

If formulated when signing a treaty subject to ratification, act of formal confirmation, acceptance or approval, a reservation must be formally confirmed by the reserving State or international organization when expressing its consent to be bound by the treaty. In such a case, the reservation shall be considered as having been formulated on the date of its confirmation.

2.2.2 *Instances of non-requirement of confirmation of reservations formulated when signing a treaty*

A reservation formulated when signing a treaty does not require subsequent confirmation when a State or an international organization expresses by signature its consent to be bound by the treaty.

2.2.3 *Reservations formulated upon signature when a treaty expressly so provides*

Where the treaty expressly provides that a State or an international organization may formulate a reservation when signing the treaty, such a reservation does not require formal confirmation by the reserving State or international organization when expressing its consent to be bound by the treaty.

2.2.4 *Form of formal confirmation of reservations*

The formal confirmation of a reservation must be made in writing.

2.3 *Late formulation of reservations*

A State or an international organization may not formulate a reservation to a treaty after expressing its consent to be bound by the treaty, unless the treaty otherwise provides or none of the other contracting States and contracting organizations opposes the late formulation of the reservation.

2.3.1 *Acceptance of the late formulation of a reservation*

Unless the treaty otherwise provides or the well-established practice followed by the depositary differs, the late formulation of a reservation shall only be deemed to have been accepted if no contracting State or contracting organization has opposed such formulation after the expiry of the twelve-month period following the date on which notification was received.

2.3.2 *Time period for formulating an objection to a reservation that is formulated late*

An objection to a reservation that is formulated late must be made within twelve months of the acceptance, in accordance with guideline 2.3.1, of the late formulation of the reservation.

2.3.3 *Limits to the possibility of excluding or modifying the legal effect of a treaty by means other than reservations*

A contracting State or a contracting organization cannot exclude or modify the legal effect of provisions of the treaty by:

(a) the interpretation of an earlier reservation; or

(b) a unilateral statement made subsequently under a clause providing for options.

2.3.4 *Widening of the scope of a reservation*

The modification of an existing reservation for the purpose of widening its scope is subject to the rules applicable to the late formulation of a reservation. If such a modification is opposed, the initial reservation remains unchanged.

2.4 *Procedure for interpretative declarations*

2.4.1 *Form of interpretative declarations*

An interpretative declaration should preferably be formulated in writing.

2.4.2 *Representation for the purpose of formulating interpretative declarations*

An interpretative declaration must be formulated by a person who is considered as representing a State or an international organization for the purpose of adopting or authenticating the text of a treaty or expressing the consent of the State or international organization to be bound by a treaty.

2.4.3 *Absence of consequences at the international level of the violation of internal rules regarding the formulation of interpretative declarations*

1. The competent authority and the procedure to be followed at the internal level for formulating an interpretative declaration are determined by the internal law of each State or the relevant rules of each international organization.

2. A State or an international organization may not invoke the fact that an interpretative declaration has been formulated in violation of a provision of the internal law of that State or the rules of that organization regarding competence and the procedure for formulating interpretative declarations for the purpose of invalidating the declaration.

2.4.4 *Time at which an interpretative declaration may be formulated*

Without prejudice to the provisions of guidelines 1.4 and 2.4.7, an interpretative declaration may be formulated at any time.

2.4.5 *Communication of interpretative declarations*

The communication of written interpretative declarations should follow the procedure established in guidelines 2.1.5, 2.1.6 and 2.1.7.

2.4.6 *Non-requirement of confirmation of interpretative declarations formulated when signing a treaty*

An interpretative declaration formulated when signing a treaty does not require subsequent confirmation when a State or an international organization expresses its consent to be bound by the treaty.

2.4.7 *Late formulation of an interpretative declaration*

Where a treaty provides that an interpretative declaration may be formulated only at specified times, a State or an international organization may not formulate an interpretative declaration concerning that treaty subsequently, unless none of the other contracting States and contracting organizations objects to the late formulation of the interpretative declaration.

2.4.8 *Modification of an interpretative declaration*

Unless the treaty otherwise provides, an interpretative declaration may be modified at any time.

2.5 *Withdrawal and modification of reservations and interpretative declarations*

2.5.1 *Withdrawal of reservations*

Unless the treaty otherwise provides, a reservation may be withdrawn at any time and the consent of a State or of an international organization which has accepted the reservation is not required for its withdrawal.

2.5.2 *Form of withdrawal*

The withdrawal of a reservation must be formulated in writing.

2.5.3 *Periodic review of the usefulness of reservations*

1. States or international organizations which have formulated one or more reservations to a treaty should undertake a periodic review of such reservations and consider withdrawing those which no longer serve their purpose.

2. In such a review, States and international organizations should devote special attention to the aim of preserving the integrity of multilateral treaties and, where relevant, consider the usefulness of retaining the reservations, in particular in relation to developments in their internal law since the reservations were formulated.

2.5.4 *Representation for the purpose of withdrawing a reservation at the international level*

1. Subject to the usual practices followed in international organizations which are depositaries of treaties, a person is considered as representing a State or an international organization for the purpose of withdrawing a reservation made on behalf of a State or an international organization if:

(a) that person produces appropriate full powers for the purpose of that withdrawal; or

(b) it appears from practice or from other circumstances that it was the intention of the States and international organizations concerned to consider that person as representing the State or the international organization for such purpose without having to produce full powers.

2. In virtue of their functions and without having to produce full powers, the following are considered as representing a State for the purpose of withdrawing a reservation at the international level on behalf of that State:

(a) Heads of State, Heads of Government and Ministers for Foreign Affairs;

(b) representatives accredited by States to an international organization or one of its organs, for the purpose of withdrawing a reservation to a treaty adopted in that organization or organ;

(c) heads of permanent missions to an international organization, for the purpose of withdrawing a reservation to a treaty between the accrediting States and that organization.

2.5.5 *Absence of consequences at the international level of the violation of internal rules regarding the withdrawal of reservations*

1. The competent authority and the procedure to be followed at the internal level for withdrawing a reservation are determined by the internal law of each State or the relevant rules of each international organization.

2. A State or an international organization may not invoke the fact that a reservation has been withdrawn in violation of a provision of the internal law of that State or the rules of that organization regarding competence and the procedure for the withdrawal of reservations for the purpose of invalidating the withdrawal.

2.5.6 *Communication of withdrawal of a reservation*

The procedure for communicating the withdrawal of a reservation follows the rules applicable to the communication of reservations contained in guidelines 2.1.5, 2.1.6 and 2.1.7.

2.5.7 *Effects of withdrawal of a reservation*

1. The withdrawal of a reservation entails the full application of the provisions to which the reservation relates in the relations between the State or international organization which withdraws the reservation and all the other parties, whether they had accepted the reservation or objected to it.

2. The withdrawal of a reservation entails the entry into force of the treaty in the relations between the State or international organization which withdraws the reservation and a State or international organization which had objected to the reservation and opposed the entry into force of the treaty between itself and the reserving State or international organization by reason of that reservation.

2.5.8 *Effective date of withdrawal of a reservation*

Unless the treaty otherwise provides, or it is otherwise agreed, the withdrawal of a reservation becomes operative in relation to a contracting State or a contracting organization only when notice of it has been received by that State or that organization.

2.5.9 *Cases in which the author of a reservation may set the effective date of withdrawal of the reservation*

The withdrawal of a reservation becomes operative on the date set by the State or international organization which withdraws the reservation, where:

(a) that date is later than the date on which the other contracting States or contracting organizations received notification of it; or

(b) the withdrawal does not add to the rights of the withdrawing State or international organization, in relation to the other contracting States or contracting organizations.

2.5.10 *Partial withdrawal of a reservation*

1. The partial withdrawal of a reservation limits the legal effect of the reservation and achieves a more complete application of the provisions of the treaty, or of the treaty as a whole, in the relations between the withdrawing State or international organization and the other parties to the treaty.

2. The partial withdrawal of a reservation is subject to the same rules on form and procedure as a total withdrawal and becomes operative on the same conditions.

2.5.11 *Effect of a partial withdrawal of a reservation*

1. The partial withdrawal of a reservation modifies the legal effect of the reservation to the extent provided by the new

formulation of the reservation. Any objection formulated to the reservation continues to have effect as long as its author does not withdraw it, insofar as the objection does not apply exclusively to that part of the reservation which has been withdrawn.

2. No new objection may be formulated to the reservation resulting from the partial withdrawal, unless that partial withdrawal has a discriminatory effect.

2.5.12 *Withdrawal of interpretative declarations*

An interpretative declaration may be withdrawn at any time by an authority considered as representing the State or international organization for that purpose, following the same procedure applicable to its formulation.

2.6 *Formulation of objections*

2.6.1 *Definition of objections to reservations*

“Objection” means a unilateral statement, however phrased or named, made by a State or an international organization in response to a reservation formulated by another State or international organization, whereby the former State or organization purports to preclude the reservation from having its intended effects or otherwise opposes the reservation.

2.6.2 *Right to formulate objections*

A State or an international organization may formulate an objection to a reservation irrespective of the permissibility of the reservation.

2.6.3 *Author of an objection*

An objection to a reservation may be formulated by:

- (a) any contracting State or contracting organization; and
- (b) any State or international organization that is entitled to become a party to the treaty, in which case the objection does not produce any legal effect until the State or international organization has expressed its consent to be bound by the treaty.

2.6.4 *Objections formulated jointly*

The joint formulation of an objection by several States or international organizations does not affect the unilateral character of that objection.

2.6.5 *Form of objections*

An objection must be formulated in writing.

2.6.6 *Right to oppose the entry into force of the treaty vis-à-vis the author of the reservation*

A State or an international organization that formulates an objection to a reservation may oppose the entry into force of the treaty as between itself and the author of the reservation.

2.6.7 *Expression of intention to preclude the entry into force of the treaty*

When a State or an international organization formulating an objection to a reservation intends to preclude the entry into force of the treaty as between itself and the reserving State or international organization, it shall definitely express its intention before the treaty would otherwise enter into force between them.

2.6.8 *Procedure for the formulation of objections*

Guidelines 2.1.3, 2.1.4, 2.1.5, 2.1.6 and 2.1.7 are applicable *mutatis mutandis* to objections.

2.6.9 *Statement of reasons for objections*

An objection should, to the extent possible, indicate the reasons why it is being formulated.

2.6.10 *Non-requirement of confirmation of an objection formulated prior to formal confirmation of a reservation*

An objection to a reservation formulated by a State or an international organization prior to confirmation of the reservation in accordance with guideline 2.2.1 does not itself require confirmation.

2.6.11 *Confirmation of an objection formulated prior to the expression of consent to be bound by a treaty*

An objection formulated prior to the expression of consent to be bound by the treaty does not need to be formally confirmed by the objecting State or international organization at the time it expresses its consent to be bound if that State or that organization was a signatory to the treaty when it formulated the objection; it must be confirmed if the State or international organization had not signed the treaty.

2.6.12 *Time period for formulating objections*

Unless the treaty otherwise provides, a State or an international organization may formulate an objection to a reservation within a period of twelve months after it was notified of the reservation or by the date on which such State or international organization expresses its consent to be bound by the treaty, whichever is later.

2.6.13 *Objections formulated late*

An objection to a reservation formulated after the end of the time period specified in guideline 2.6.12 does not produce all the legal effects of an objection formulated within that time period.

2.7 *Withdrawal and modification of objections to reservations*

2.7.1 *Withdrawal of objections to reservations*

Unless the treaty otherwise provides, an objection to a reservation may be withdrawn at any time.

2.7.2 *Form of withdrawal of objections to reservations*

The withdrawal of an objection to a reservation must be formulated in writing.

2.7.3 *Formulation and communication of the withdrawal of objections to reservations*

Guidelines 2.5.4, 2.5.5 and 2.5.6 are applicable *mutatis mutandis* to the withdrawal of objections to reservations.

2.7.4 *Effect on reservation of withdrawal of an objection*

A State or an international organization that withdraws an objection formulated to a reservation is presumed to have accepted that reservation.

2.7.5 *Effective date of withdrawal of an objection*

Unless the treaty otherwise provides, or it is otherwise agreed, the withdrawal of an objection to a reservation becomes operative only when notice of it has been received by the State or international organization which formulated the reservation.

2.7.6 *Cases in which the author of an objection may set the effective date of withdrawal of the objection*

The withdrawal of an objection becomes operative on the date set by its author where that date is later than the date on which the reserving State or international organization received notice of it.

2.7.7 *Partial withdrawal of an objection*

1. Unless the treaty otherwise provides, a State or an international organization may partially withdraw an objection to a reservation.

2. The partial withdrawal of an objection is subject to the same rules on form and procedure as a total withdrawal and becomes operative on the same conditions.

2.7.8 *Effect of a partial withdrawal of an objection*

The partial withdrawal modifies the legal effects of the objection on the treaty relations between the author of the objection and the author of the reservation to the extent provided by the new formulation of the objection.

2.7.9 *Widening of the scope of an objection to a reservation*

1. A State or an international organization which has made an objection to a reservation may widen the scope of that objection during the time period referred to in guideline 2.6.12.

2. Such a widening of the scope of the objection cannot have an effect on the existence of treaty relations between the author of the reservation and the author of the objection.

2.8 *Formulation of acceptances of reservations*

2.8.1 *Forms of acceptance of reservations*

The acceptance of a reservation may arise from a unilateral statement to this effect or from silence of a contracting State or contracting organization during the periods specified in guideline 2.6.12.

2.8.2 *Tacit acceptance of reservations*

Unless the treaty otherwise provides, a reservation is considered to have been accepted by a State or an international organization if it shall have raised no objection to the reservation within the time period provided for in guideline 2.6.12.

2.8.3 *Express acceptance of reservations*

A State or an international organization may, at any time, expressly accept a reservation formulated by another State or international organization.

2.8.4 *Form of express acceptance of reservations*

The express acceptance of a reservation must be formulated in writing.

2.8.5 *Procedure for formulating express acceptance of reservations*

Guidelines 2.1.3, 2.1.4, 2.1.5, 2.1.6 and 2.1.7 apply *mutatis mutandis* to express acceptances.

2.8.6 *Non-requirement of confirmation of an acceptance formulated prior to formal confirmation of a reservation*

An express acceptance of a reservation formulated by a State or an international organization prior to confirmation of the reservation in accordance with guideline 2.2.1 does not itself require confirmation.

2.8.7 *Unanimous acceptance of reservations*

In the event of a reservation requiring unanimous acceptance by some or all States or international organizations which are parties or entitled to become parties to the treaty, such acceptance, once obtained, is final.

2.8.8 *Acceptance of a reservation to the constituent instrument of an international organization*

When a treaty is a constituent instrument of an international organization and unless it otherwise provides, a reservation requires the acceptance of the competent organ of that organization.

2.8.9 *Organ competent to accept a reservation to a constituent instrument*

Subject to the rules of the organization, competence to accept a reservation to a constituent instrument of an international organization belongs to the organ competent to:

- (a) decide on the admission of a member to the organization; or
- (b) amend the constituent instrument; or
- (c) interpret this instrument.

2.8.10 *Modalities of the acceptance of a reservation to a constituent instrument*

1. Subject to the rules of the organization, the acceptance by the competent organ of the organization shall not be tacit. However, the admission of the State or the international organization which is the author of the reservation is tantamount to the acceptance of that reservation.

2. For the purposes of the acceptance of a reservation to the constituent instrument of an international organization, the individual acceptance of the reservation by States or international organizations that are members of the organization is not required.

2.8.11 *Acceptance of a reservation to a constituent instrument that has not yet entered into force*

In the case set forth in guideline 2.8.8 and where the constituent instrument has not yet entered into force, a reservation is considered to have been accepted if no signatory State or signatory international organization has raised an objection to that reservation within a period of twelve months after they were notified of that reservation. Such a unanimous acceptance, once obtained, is final.

2.8.12 *Reaction by a member of an international organization to a reservation to its constituent instrument*

Guideline 2.8.10 does not preclude States or international organizations that are members of an international organization from taking a position on the permissibility or appropriateness of a reservation to a constituent instrument of the organization. Such an opinion is in itself devoid of legal effects.

2.8.13 *Final nature of acceptance of a reservation*

The acceptance of a reservation cannot be withdrawn or amended.

2.9 *Formulation of reactions to interpretative declarations*

2.9.1 *Approval of an interpretative declaration*

“Approval” of an interpretative declaration means a unilateral statement made by a State or an international organization in reaction to an interpretative declaration in respect of a treaty formulated by another State or another international organization, whereby the former State or organization expresses agreement with the interpretation formulated in that declaration.

2.9.2 *Opposition to an interpretative declaration*

“Opposition” to an interpretative declaration means a unilateral statement made by a State or an international organization in reaction to an interpretative declaration in respect of a treaty formulated by another State or another international organization, whereby the former State or organization disagrees with the interpretation formulated in the interpretative declaration, including by formulating an alternative interpretation.

2.9.3 *Recharacterization of an interpretative declaration*

1. “Recharacterization” of an interpretative declaration means a unilateral statement made by a State or an international organization in reaction to an interpretative declaration in respect of a treaty formulated by another State or another international organization, whereby the former State or organization purports to treat the declaration as a reservation.

2. A State or an international organization that intends to treat an interpretative declaration as a reservation should take into account guidelines 1.3 to 1.3.3.

2.9.4 *Right to formulate approval or opposition, or to recharacterize*

An approval, opposition or recharacterization in respect of an interpretative declaration may be formulated at any time by any contracting State or any contracting organization and by any State or any international organization that is entitled to become a party to the treaty.

2.9.5 *Form of approval, opposition and recharacterization*

An approval, opposition or recharacterization in respect of an interpretative declaration should preferably be formulated in writing.

2.9.6 *Statement of reasons for approval, opposition and recharacterization*

An approval, opposition or recharacterization in respect of an interpretative declaration should, to the extent possible, indicate the reasons why it is being formulated.

2.9.7 *Formulation and communication of approval, opposition or recharacterization*

Guidelines 2.1.3, 2.1.4, 2.1.5, 2.1.6 and 2.1.7 are applicable *mutatis mutandis* to an approval, opposition or recharacterization in respect of an interpretative declaration.

2.9.8 *Non-presumption of approval or opposition*

1. An approval of, or an opposition to, an interpretative declaration shall not be presumed.

2. Notwithstanding guidelines 2.9.1 and 2.9.2, an approval of an interpretative declaration or an opposition thereto may be inferred, in exceptional cases, from the conduct of the States or international organizations concerned, taking into account all relevant circumstances.

2.9.9 *Silence with respect to an interpretative declaration*

An approval of an interpretative declaration shall not be inferred from the mere silence of a State or an international organization.

3. *Permissibility of reservations and interpretative declarations*

3.1 *Permissible reservations*

A State or an international organization may, when signing, ratifying, formally confirming, accepting, approving or acceding to a treaty, formulate a reservation unless:

- (a) the reservation is prohibited by the treaty;
- (b) the treaty provides that only specified reservations, which do not include the reservation in question, may be made; or
- (c) in cases not falling under subparagraphs (a) and (b), the reservation is incompatible with the object and purpose of the treaty.

3.1.1 *Reservations prohibited by the treaty*

A reservation is prohibited by the treaty if it contains a provision:

- (a) prohibiting all reservations;
- (b) prohibiting reservations to specified provisions to which the reservation in question relates; or
- (c) prohibiting certain categories of reservations including the reservation in question.

3.1.2 *Definition of specified reservations*

For the purposes of guideline 3.1, the expression “specified reservations” means reservations that are expressly envisaged in the treaty to certain provisions of the treaty or to the treaty as a whole with respect to certain specific aspects.

3.1.3 *Permissibility of reservations not prohibited by the treaty*

Where the treaty prohibits the formulation of certain reservations, a reservation which is not prohibited by the treaty may be formulated by a State or an international organization only if it is not incompatible with the object and purpose of the treaty.

3.1.4 *Permissibility of specified reservations*

Where the treaty envisages the formulation of specified reservations without defining their content, a reservation may be formulated by a State or an international organization only if it is not incompatible with the object and purpose of the treaty.

3.1.5 *Incompatibility of a reservation with the object and purpose of the treaty*

A reservation is incompatible with the object and purpose of the treaty if it affects an essential element of the treaty that is necessary to its general tenour, in such a way that the reservation impairs the *raison d'être* of the treaty.

3.1.5.1 *Determination of the object and purpose of the treaty*

The object and purpose of the treaty is to be determined in good faith, taking account of the terms of the treaty in their context, in particular the title and the preamble of the treaty. Recourse may also be had to the preparatory work of the treaty and the circumstances of its conclusion and, where appropriate, the subsequent practice of the parties.

3.1.5.2 *Vague or general reservations*

A reservation shall be worded in such a way as to allow its meaning to be understood, in order to assess in particular its compatibility with the object and purpose of the treaty.

3.1.5.3 *Reservations to a provision reflecting a customary rule*

The fact that a treaty provision reflects a rule of customary international law does not in itself constitute an obstacle to the formulation of a reservation to that provision.

3.1.5.4 *Reservations to provisions concerning rights from which no derogation is permissible under any circumstances*

A State or an international organization may not formulate a reservation to a treaty provision concerning rights from which no derogation is permissible under any circumstances, unless the reservation in question is compatible with the essential rights and obligations arising out of that treaty. In assessing that compatibility, account shall be taken of the importance which the parties have conferred upon the rights at issue by making them non-derogable.

3.1.5.5 *Reservations relating to internal law*

A reservation by which a State or an international organization purports to exclude or to modify the legal effect of certain provisions of a treaty or of the treaty as a whole in order to preserve the integrity of specific rules of the internal law of that State or of specific rules of that organization in force at the time of the formulation of the reservation may be formulated only insofar as it does not affect an essential element of the treaty nor its general tenour.

3.1.5.6 *Reservations to treaties containing numerous interdependent rights and obligations*

To assess the compatibility of a reservation with the object and purpose of a treaty containing numerous interdependent rights and obligations, account shall be taken of that interdependence as well as the importance that the provision to which the reservation relates has within the general tenour of the treaty, and the extent of the impact that the reservation has on the treaty.

3.1.5.7 *Reservations to treaty provisions concerning dispute settlement or the monitoring of the implementation of the treaty*

A reservation to a treaty provision concerning dispute settlement or the monitoring of the implementation of the treaty is not, in itself, incompatible with the object and purpose of the treaty, unless:

- (a) the reservation purports to exclude or modify the legal effect of a provision of the treaty essential to its *raison d'être*; or
- (b) the reservation has the effect of excluding the reserving State or international organization from a dispute settlement or treaty implementation monitoring mechanism with respect to a treaty provision that it has previously accepted, if the very purpose of the treaty is to put such a mechanism into effect.

3.2 *Assessment of the permissibility of reservations*

The following may assess, within their respective competences, the permissibility of reservations to a treaty formulated by a State or an international organization:

- (a) contracting States or contracting organizations;
- (b) dispute settlement bodies;
- (c) treaty monitoring bodies.

3.2.1 *Competence of the treaty monitoring bodies to assess the permissibility of reservations*

1. A treaty monitoring body may, for the purpose of discharging the functions entrusted to it, assess the permissibility of reservations formulated by a State or an international organization.

2. The assessment made by such a body in the exercise of this competence has no greater legal effect than that of the act which contains it.

3.2.2 *Specification of the competence of treaty monitoring bodies to assess the permissibility of reservations*

When providing bodies with the competence to monitor the application of treaties, States or international organizations should specify, where appropriate, the nature and the limits of the competence of such bodies to assess the permissibility of reservations.

3.2.3 *Consideration of the assessments of treaty monitoring bodies*

States and international organizations that have formulated reservations to a treaty establishing a treaty monitoring body shall give consideration to that body's assessment of the permissibility of the reservations.

3.2.4 *Bodies competent to assess the permissibility of reservations in the event of the establishment of a treaty monitoring body*

When a treaty establishes a treaty monitoring body, the competence of that body is without prejudice to the competence of the contracting States or contracting organizations to assess the permissibility of reservations to that treaty, or to that of dispute settlement bodies competent to interpret or apply the treaty.

3.2.5 *Competence of dispute settlement bodies to assess the permissibility of reservations*

When a dispute settlement body is competent to adopt decisions binding upon the parties to a dispute, and the assessment of the permissibility of a reservation is necessary for the discharge of such competence by that body, such assessment is, as an element of the decision, legally binding upon the parties.

3.3 *Consequences of the non-permissibility of a reservation*

3.3.1 *Irrelevance of distinction among the grounds for non-permissibility*

A reservation formulated notwithstanding a prohibition arising from the provisions of the treaty or notwithstanding its incompatibility with the object and purpose of the treaty is impermissible, without there being any need to distinguish between the consequences of these grounds for non-permissibility.

3.3.2 *Non-permissibility of reservations and international responsibility*

The formulation of an impermissible reservation produces its consequences pursuant to the law of treaties and does not engage the international responsibility of the State or international organization which has formulated it.

3.3.3 *Absence of effect of individual acceptance of a reservation on the permissibility of the reservation*

Acceptance of an impermissible reservation by a contracting State or by a contracting organization shall not affect the impermissibility of the reservation.

3.4 *Permissibility of reactions to reservations*

3.4.1 *Permissibility of the acceptance of a reservation*

Acceptance of a reservation is not subject to any condition of permissibility.

3.4.2 *Permissibility of an objection to a reservation*

An objection to a reservation by which a State or an international organization purports to exclude in its relations with the author of the reservation the application of provisions of the treaty to which the reservation does not relate is only permissible if:

(a) the provisions thus excluded have a sufficient link with the provisions to which the reservation relates; and

(b) the objection would not defeat the object and purpose of the treaty in the relations between the author of the reservation and the author of the objection.

3.5 *Permissibility of an interpretative declaration*

A State or an international organization may formulate an interpretative declaration unless the interpretative declaration is prohibited by the treaty.

3.5.1 *Permissibility of an interpretative declaration which is in fact a reservation*

If a unilateral statement which appears to be an interpretative declaration is in fact a reservation, its permissibility must be assessed in accordance with the provisions of guidelines 3.1 to 3.1.5.7.

3.6 *Permissibility of reactions to interpretative declarations*

An approval of, opposition to, or recharacterization of, an interpretative declaration shall not be subject to any conditions for permissibility.

4. *Legal effects of reservations and interpretative declarations*

4.1 *Establishment of a reservation with regard to another State or international organization*

A reservation formulated by a State or an international organization is established with regard to a contracting State or a contracting organization if it is permissible and was formulated in accordance with the required form and procedures, and if that contracting State or contracting organization has accepted it.

4.1.1 *Establishment of a reservation expressly authorized by a treaty*

1. A reservation expressly authorized by a treaty does not require any subsequent acceptance by the other contracting States and contracting organizations, unless the treaty so provides.

2. A reservation expressly authorized by a treaty is established with regard to the other contracting States and contracting organizations if it was formulated in accordance with the required form and procedures.

4.1.2 *Establishment of a reservation to a treaty which has to be applied in its entirety*

When it appears, from the limited number of negotiating States and organizations and the object and purpose of the treaty, that the application of the treaty in its entirety between all the parties is an essential condition of the consent of each one to be bound by the treaty, a reservation to this treaty is established with regard to the other contracting States and contracting organizations if it is permissible and was formulated in accordance with the required form and procedures, and if all the contracting States and contracting organizations have accepted it.

4.1.3 *Establishment of a reservation to a constituent instrument of an international organization*

When a treaty is a constituent instrument of an international organization, a reservation to this treaty is established with regard

to the other contracting States and contracting organizations if it is permissible and was formulated in accordance with the required form and procedures, and if it has been accepted in conformity with guidelines 2.8.8 to 2.8.11.

4.2 *Effects of an established reservation*

4.2.1 *Status of the author of an established reservation*

As soon as a reservation is established in accordance with guidelines 4.1 to 4.1.3, its author becomes a contracting State or contracting organization to the treaty.

4.2.2 *Effect of the establishment of a reservation on the entry into force of a treaty*

1. When a treaty has not yet entered into force, the author of a reservation shall be included in the number of contracting States and contracting organizations required for the treaty to enter into force once the reservation is established.

2. The author of the reservation may, however, be included at a date prior to the establishment of the reservation in the number of contracting States and contracting organizations required for the treaty to enter into force, if no contracting State or contracting organization is opposed.

4.2.3 *Effect of the establishment of a reservation on the status of the author as a party to the treaty*

The establishment of a reservation constitutes its author a party to the treaty in relation to contracting States and contracting organizations in respect of which the reservation is established if or when the treaty is in force.

4.2.4 *Effect of an established reservation on treaty relations*

1. A reservation established with regard to another party excludes or modifies for the reserving State or international organization in its relations with that other party the legal effect of the provisions of the treaty to which the reservation relates or of the treaty as a whole with respect to certain specific aspects, to the extent of the reservation.

2. To the extent that an established reservation excludes the legal effect of certain provisions of a treaty, the author of that reservation has neither rights nor obligations under those provisions in its relations with the other parties with regard to which the reservation is established. Those other parties shall likewise have neither rights nor obligations under those provisions in their relations with the author of the reservation.

3. To the extent that an established reservation modifies the legal effect of certain provisions of a treaty, the author of that reservation has rights and obligations under those provisions, as modified by the reservation, in its relations with the other parties with regard to which the reservation is established. Those other parties shall have rights and obligations under those provisions, as modified by the reservation, in their relations with the author of the reservation.

4.2.5 *Non-reciprocal application of obligations to which a reservation relates*

Insofar as the obligations under the provisions to which the reservation relates are not subject to reciprocal application in view of the nature of the obligations or the object and purpose of the treaty, the content of the obligations of the parties other than the author of the reservation remains unaffected. The content of the obligations of those parties likewise remains unaffected when reciprocal application is not possible because of the content of the reservation.

4.2.6 *Interpretation of reservations*

A reservation is to be interpreted in good faith, taking into account the intention of its author as reflected primarily in the text of the reservation, as well as the object and purpose of the treaty and the circumstances in which the reservation was formulated.

4.3 *Effect of an objection to a valid reservation*

Unless the reservation has been established with regard to an objecting State or international organization, the formulation of an objection to a valid reservation precludes the reservation from having its intended effects as against that State or international organization.

4.3.1 *Effect of an objection on the entry into force of the treaty as between the author of the objection and the author of a reservation*

An objection by a contracting State or by a contracting organization to a valid reservation does not preclude the entry into force of the treaty as between the objecting State or organization and the reserving State or organization, except in the case mentioned in guideline 4.3.5.

4.3.2 *Effect of an objection to a reservation that is formulated late*

If a contracting State or a contracting organization to a treaty objects to a reservation whose late formulation has been unanimously accepted in accordance with guideline 2.3.1, the treaty shall enter into or remain in force in respect of the reserving State or international organization without the reservation being established.

4.3.3 *Entry into force of the treaty between the author of a reservation and the author of an objection*

The treaty enters into force between the author of a valid reservation and the objecting contracting State or contracting organization as soon as the author of the reservation has become a contracting State or a contracting organization in accordance with guideline 4.2.1 and the treaty has entered into force.

4.3.4 *Non-entry into force of the treaty for the author of a reservation when unanimous acceptance is required*

If the establishment of a reservation requires the acceptance of the reservation by all the contracting States and contracting organizations, any objection by a contracting State or by a contracting organization to a valid reservation precludes the entry into force of the treaty for the reserving State or organization.

4.3.5 *Non-entry into force of the treaty as between the author of a reservation and the author of an objection with maximum effect*

An objection by a contracting State or a contracting organization to a valid reservation precludes the entry into force of the treaty as between the objecting State or organization and the reserving State or organization, if the objecting State or organization has definitely expressed an intention to that effect in accordance with guideline 2.6.7.

4.3.6 *Effect of an objection on treaty relations*

1. When a State or an international organization objecting to a valid reservation has not opposed the entry into force of the treaty between itself and the reserving State or organization, the provisions to which the reservation relates do not apply as between the author of the reservation and the objecting State or organization, to the extent of the reservation.

2. To the extent that a valid reservation purports to exclude the legal effect of certain provisions of the treaty, when a contracting State or a contracting organization has raised an objection to it but has not opposed the entry into force of the treaty between itself and the author of the reservation, the objecting State or organization and the author of the reservation are not bound, in their treaty relations, by the provisions to which the reservation relates.

3. To the extent that a valid reservation purports to modify the legal effect of certain provisions of the treaty, when a contracting State or a contracting organization has raised an objection to it but has not opposed the entry into force of the treaty between itself and the author of the reservation, the objecting State or organization and the author of the reservation are not bound, in their treaty relations, by the provisions of the treaty as intended to be modified by the reservation.

4. All the provisions of the treaty other than those to which the reservation relates shall remain applicable as between the reserving State or organization and the objecting State or organization.

4.3.7 *Effect of an objection on provisions other than those to which the reservation relates*

1. A provision of the treaty to which the reservation does not relate, but which has a sufficient link with the provisions to which the reservation does relate, is not applicable in the treaty relations between the author of the reservation and the author of an objection formulated in accordance with guideline 3.4.2.

2. The reserving State or international organization may, within a period of twelve months following the notification of an objection which has the effect referred to in paragraph 1, oppose the entry into force of the treaty between itself and the objecting State or organization. In the absence of such opposition, the treaty shall apply between the author of the reservation and the author of the objection to the extent provided by the reservation and the objection.

4.3.8 *Right of the author of a valid reservation not to comply with the treaty without the benefit of its reservation*

The author of a valid reservation is not required to comply with the provisions of the treaty without the benefit of its reservation.

4.4 *Effect of a reservation on rights and obligations independent of the treaty*

4.4.1 *Absence of effect on rights and obligations under other treaties*

A reservation, acceptance of a reservation or objection to a reservation neither modifies nor excludes any rights and obligations of their authors under other treaties to which they are parties.

4.4.2 *Absence of effect on rights and obligations under customary international law*

A reservation to a treaty provision which reflects a rule of customary international law does not of itself affect the rights and obligations under that rule, which shall continue to apply as such between the reserving State or organization and other States or international organizations which are bound by that rule.

4.4.3 *Absence of effect on a peremptory norm of general international law (jus cogens)*

1. A reservation to a treaty provision which reflects a peremptory norm of general international law (*jus cogens*) does not affect the binding nature of that norm, which shall continue to apply as such between the reserving State or organization and other States or international organizations.

2. A reservation cannot exclude or modify the legal effect of a treaty in a manner contrary to a peremptory norm of general international law.

4.5 *Consequences of an invalid reservation*

4.5.1 *Nullity of an invalid reservation*

A reservation that does not meet the conditions of formal validity and permissibility set out in Parts 2 and 3 of the Guide to Practice is null and void, and therefore devoid of any legal effect.

4.5.2 *Reactions to a reservation considered invalid*

1. The nullity of an invalid reservation does not depend on the objection or the acceptance by a contracting State or a contracting organization.

2. Nevertheless, a State or an international organization which considers that a reservation is invalid should formulate a reasoned objection as soon as possible.

4.5.3 *Status of the author of an invalid reservation in relation to the treaty*

1. The status of the author of an invalid reservation in relation to a treaty depends on the intention expressed by the reserving State or international organization on whether it intends to be bound by the treaty without the benefit of the reservation or whether it considers that it is not bound by the treaty.

2. Unless the author of the invalid reservation has expressed a contrary intention or such an intention is otherwise established, it is considered a contracting State or a contracting organization without the benefit of the reservation.

3. Notwithstanding paragraphs 1 and 2, the author of the invalid reservation may express at any time its intention not to be bound by the treaty without the benefit of the reservation.

4. If a treaty monitoring body expresses the view that a reservation is invalid and the reserving State or international organization intends not to be bound by the treaty without the benefit of the reservation, it should express its intention to that effect within a period of twelve months from the date at which the treaty monitoring body made its assessment.

4.6 *Absence of effect of a reservation on the relations between the other parties to the treaty*

A reservation does not modify the provisions of the treaty for the other parties to the treaty *inter se*.

4.7 *Effect of interpretative declarations*

4.7.1 *Clarification of the terms of the treaty by an interpretative declaration*

1. An interpretative declaration does not modify treaty obligations. It may only specify or clarify the meaning or scope which its author attributes to a treaty or to certain provisions thereof and may, as appropriate, constitute an element to be taken into account in interpreting the treaty in accordance with the general rule of interpretation of treaties.

2. In interpreting the treaty, account shall also be taken, as appropriate, of the approval of, or opposition to, the interpretative declaration by other contracting States or contracting organizations.

4.7.2 *Effect of the modification or the withdrawal of an interpretative declaration*

The modification or the withdrawal of an interpretative declaration may not produce the effects provided for in draft guideline 4.7.1 to the extent that other contracting States or contracting organizations have relied upon the initial declaration.

4.7.3 *Effect of an interpretative declaration approved by all the contracting States and contracting organizations*

An interpretative declaration that has been approved by all the contracting States and contracting organizations may constitute an agreement regarding the interpretation of the treaty.

5. *Reservations, acceptances of reservations, objections to reservations, and interpretative declarations in cases of succession of States*

5.1 *Reservations in cases of succession of States*

5.1.1 *Newly independent States*

1. When a newly independent State establishes its status as a party or as a contracting State to a multilateral treaty by a notification of succession, it shall be considered as maintaining any reservation to that treaty which was applicable at the date of the succession of States in respect of the territory to which the succession of States relates unless, when making the notification of succession, it expresses a contrary intention or formulates a reservation which relates to the same subject matter as that reservation.

2. When making a notification of succession establishing its status as a party or as a contracting State to a multilateral treaty, a newly independent State may formulate a reservation unless the reservation is one the formulation of which would be excluded by the provisions of subparagraph (a), (b) or (c) of guideline 3.1.

3. When a newly independent State formulates a reservation in conformity with paragraph 2, the relevant rules set out in Part 2 (Procedure) of the Guide to Practice apply in respect of that reservation.

4. For the purposes of this Part of the Guide to Practice, “newly independent State” means a successor State the territory of which immediately before the date of the succession of States was a dependent territory for the international relations of which the predecessor State was responsible.

5.1.2 *Uniting or separation of States*

1. Subject to the provisions of guideline 5.1.3, a successor State which is a party to a treaty as the result of a uniting or separation of States shall be considered as maintaining any reservation to the treaty which was applicable at the date of the succession of States in respect of the territory to which the succession of States relates, unless it expresses its intention not to maintain one or more reservations of the predecessor State at the time of the succession.

2. A successor State which is a party to a treaty as the result of a uniting or separation of States may neither formulate a new reservation nor widen the scope of a reservation that is maintained.

3. When a successor State formed from a uniting or separation of States makes a notification whereby it establishes its status as a contracting State to a treaty which, at the date of the succession of States, was not in force for the predecessor State but to which the predecessor State was a contracting State, that State shall be considered as maintaining any reservation to the treaty which was applicable at the date of the succession of States in respect of the territory to which the succession of States relates, unless it expresses a contrary intention when making the notification or formulates a reservation which relates to the same subject matter as that reservation. That successor State may formulate a new reservation to the treaty.

4. A successor State may formulate a reservation in accordance with paragraph 3 only if the reservation is one the formulation of which would not be excluded by the provisions of subparagraph (a), (b) or (c) of guideline 3.1. The relevant rules set out in Part 2 (Procedure) of the Guide to Practice apply in respect of that reservation.

5.1.3 *Irrelevance of certain reservations in cases involving a uniting of States*

When, following a uniting of two or more States, a treaty in force at the date of the succession of States in respect of any of them continues in force in respect of the successor State, such reservations as may have been formulated by any such State which, at the date of the succession of States, was a contracting State in respect of which the treaty was not in force shall not be maintained.

5.1.4 *Maintenance of the territorial scope of reservations formulated by the predecessor State*

Subject to the provisions of guideline 5.1.5, a reservation considered as being maintained in conformity with guideline 5.1.1, paragraph 1, or guideline 5.1.2, paragraph 1 or 3, shall retain the territorial scope that it had at the date of the succession of States, unless the successor State expresses a contrary intention.

5.1.5 *Territorial scope of reservations in cases involving a uniting of States*

1. When, following a uniting of two or more States, a treaty in force at the date of the succession of States in respect of only one of the States forming the successor State becomes applicable to a part of the territory of that State to which it did not apply previously, any reservation considered as being maintained by the successor State shall apply to that territory unless:

(a) the successor State expresses a contrary intention when making the notification extending the territorial scope of the treaty; or

(b) the nature or purpose of the reservation is such that the reservation cannot be extended beyond the territory to which it was applicable at the date of the succession of States.

2. When, following a uniting of two or more States, a treaty in force at the date of the succession of States in respect of two or more of the uniting States becomes applicable to a part of the territory

of the successor State to which it did not apply at the date of the succession of States, no reservation shall extend to that territory unless:

(a) an identical reservation has been formulated by each of those States in respect of which the treaty was in force at the date of the succession of States;

(b) the successor State expresses a different intention when making the notification extending the territorial scope of the treaty; or

(c) a contrary intention otherwise becomes apparent from the circumstances surrounding that State’s succession to the treaty.

3. A notification purporting to extend the territorial scope of a reservation in accordance with paragraph 2 (b) shall be without effect if such an extension would give rise to the application of contradictory reservations to the same territory.

4. The provisions of paragraphs 1 to 3 apply *mutatis mutandis* to reservations considered as being maintained by a successor State that is a contracting State, following a uniting of States, to a treaty which was not in force for any of the uniting States at the date of the succession of States but to which one or more of those States were contracting States at that date, when the treaty becomes applicable to a part of the territory of the successor State to which it did not apply at the date of the succession of States.

5.1.6 *Territorial scope of reservations of the successor State in cases of succession involving part of territory*

When, as a result of a succession of States involving part of the territory of a State, a treaty to which the successor State is a contracting State becomes applicable to that territory, any reservation to the treaty formulated previously by that State shall also apply to that territory as from the date of the succession of States unless:

(a) the successor State expresses a contrary intention; or

(b) it appears from the reservation that its scope was limited to the territory of the successor State that was within its borders prior to the date of the succession of States, or to a part of this territory.

5.1.7 *Timing of the effects of non-maintenance by a successor State of a reservation formulated by the predecessor State*

The non-maintenance, in conformity with guideline 5.1.1 or 5.1.2, by the successor State of a reservation formulated by the predecessor State becomes operative in relation to another contracting State or a contracting organization only when notice of it has been received by that State or organization.

5.1.8 *Late formulation of a reservation by a successor State*

A reservation shall be considered as late if it is formulated:

(a) by a newly independent State after it has made a notification of succession to the treaty;

(b) by a successor State other than a newly independent State after it has made a notification establishing its status as a contracting State to a treaty which, at the date of the succession of States, was not in force for the predecessor State but in respect of which the predecessor State was a contracting State; or

(c) by a successor State other than a newly independent State in respect of a treaty which, following the succession of States, continues in force for that State.

5.2 *Objections to reservations in cases of succession of States*

5.2.1 *Maintenance by the successor State of objections formulated by the predecessor State*

Subject to the provisions of guideline 5.2.2, a successor State shall be considered as maintaining any objection formulated by the predecessor State to a reservation formulated by a contracting State or contracting organization, unless it expresses a contrary intention at the time of the succession.

5.2.2 *Irrelevance of certain objections in cases involving a uniting of States*

1. When, following a uniting of two or more States, a treaty in force at the date of the succession of States in respect of any of them continues in force in respect of the State so formed, such objections to a reservation as may have been formulated by any of those States in respect of which the treaty was not in force on the date of the succession of States shall not be maintained.

2. When, following a uniting of two or more States, the successor State is a contracting State to a treaty to which it has maintained reservations in conformity with guideline 5.1.1 or 5.1.2, objections to a reservation made by another contracting State or a contracting organization shall not be maintained if the reservation is identical or equivalent to a reservation which the successor State itself has maintained.

5.2.3 *Maintenance of objections to reservations of the predecessor State*

When a reservation formulated by the predecessor State is considered as being maintained by the successor State in conformity with guideline 5.1.1 or 5.1.2, any objection to that reservation formulated by another contracting State or by a contracting organization shall be considered as being maintained in respect of the successor State.

5.2.4 *Reservations of the predecessor State to which no objections have been made*

When a reservation formulated by the predecessor State is considered as being maintained by the successor State in conformity with guideline 5.1.1 or 5.1.2, a State or an international organization that had not formulated an objection to the reservation in respect of the predecessor State may not object to it in respect of the successor State, unless:

- (a) the time period for formulating an objection has not yet expired at the date of the succession of States and the objection is made within that time period; or
- (b) the territorial extension of the reservation radically changes the conditions for the operation of the reservation.

5.2.5 *Right of a successor State to formulate objections to reservations*

1. When making a notification of succession establishing its status as a contracting State, a newly independent State may, in accordance with the relevant guidelines, formulate an objection to reservations formulated by a contracting State or a contracting organization, even if the predecessor State made no such objection.

2. A successor State, other than a newly independent State, shall also have the right provided for in paragraph 1 when making a notification establishing its status as a contracting State to a treaty which, at the date of the succession of States, was not in force for the predecessor State but in respect of which the predecessor State was a contracting State.

3. The right referred to in paragraphs 1 and 2 is nonetheless excluded in the case of treaties falling under guidelines 2.8.7 and 4.1.2.

5.2.6 *Objections by a successor State other than a newly independent State in respect of which a treaty continues in force*

A successor State, other than a newly independent State, in respect of which a treaty continues in force following a succession of States may not formulate an objection to a reservation to which the predecessor State had not objected, unless the time period for formulating an objection has not yet expired at the date of the succession of States and the objection is made within that time period.

5.3 *Acceptances of reservations in cases of succession of States*

5.3.1 *Maintenance by a newly independent State of express acceptances formulated by the predecessor State*

When a newly independent State establishes, by a notification of succession, its status as a contracting State to a treaty, it shall be

considered as maintaining any express acceptance by the predecessor State of a reservation formulated by a contracting State or by a contracting organization, unless it expresses a contrary intention within twelve months of the date of the notification of succession.

5.3.2 *Maintenance by a successor State other than a newly independent State of express acceptances formulated by the predecessor State*

1. A successor State, other than a newly independent State, in respect of which a treaty continues in force following a succession of States shall be considered as maintaining any express acceptance by the predecessor State of a reservation formulated by a contracting State or by a contracting organization.

2. When making a notification of succession establishing its status as a contracting State to a treaty which, on the date of the succession of States, was not in force for the predecessor State but to which the predecessor State was a contracting State, a successor State other than a newly independent State shall be considered as maintaining any express acceptance by the predecessor State of a reservation formulated by a contracting State or by a contracting organization, unless it expresses a contrary intention within twelve months of the date of the notification of succession.

5.3.3 *Timing of the effects of non-maintenance by a successor State of an express acceptance formulated by the predecessor State*

The non-maintenance, in conformity with guideline 5.3.1 or guideline 5.3.2, paragraph 2, by the successor State of the express acceptance by the predecessor State of a reservation formulated by a contracting State or a contracting organization becomes operative in relation to a contracting State or a contracting organization only when notice of it has been received by that State or that organization.

5.4 *Legal effects of reservations, acceptances and objections in cases of succession of States*

1. Reservations, acceptances and objections considered as being maintained pursuant to the guidelines contained in this Part of the Guide to Practice shall continue to produce their legal effects in conformity with the provisions of Part 4 of the Guide.

2. Part 4 of the Guide to Practice is also applicable, *mutatis mutandis*, to new reservations, acceptances and objections formulated by a successor State in conformity with the provisions of the present Part of the Guide.

5.5 *Interpretative declarations in cases of succession of States*

1. A successor State should clarify its position concerning interpretative declarations formulated by the predecessor State. In the absence of such clarification, a successor State shall be considered as maintaining the interpretative declarations of the predecessor State.

2. Paragraph 1 is without prejudice to cases in which the successor State has demonstrated, by its conduct, its intention to maintain or to reject an interpretative declaration formulated by the predecessor State.

Annex

Conclusions on the reservations dialogue

The International Law Commission,

Recalling the provisions on reservations to treaties contained in the Vienna Convention on the Law of Treaties and the Vienna Convention on the Law of Treaties between States and International Organizations or between International Organizations,

Taking into account the seventeenth report³⁹ presented by the Special Rapporteur on the topic "Reservations to treaties", which addresses the question of the reservations dialogue,

³⁹ A/CN.4/647 and Add.1, paras. 2–68.

Bearing in mind the need to achieve a satisfactory balance between the objectives of safeguarding the integrity of multilateral treaties and securing the widest possible participation therein,

Recognizing the role that reservations to treaties may play in achieving this balance,

Concerned at the number of reservations that appear incompatible with the limits imposed by the law of treaties, in particular article 19 of the Vienna Conventions on the Law of Treaties,

Aware of the difficulties raised by the assessment of the validity of reservations,

Convinced of the usefulness of a pragmatic dialogue with the author of a reservation,

Welcoming the efforts made in recent years, including within the framework of international organizations and human rights treaty bodies, to encourage such a dialogue,

I. Considers that:

1. States and international organizations intending to formulate reservations should do so as precisely and narrowly as possible, consider limiting their scope and ensure that they are not incompatible with the object and purpose of the treaty to which they relate;

2. In formulating a unilateral statement, States and international organizations should indicate whether it amounts to a reservation and, if so, explain why the reservation is deemed necessary and the effect it will have on the fulfilment by its author of its obligations under the treaty;

3. Statements of reasons by the author of a reservation are important for the assessment of the validity of the reservation, and States and international organizations should state the reason for any modification of a reservation;

4. States and international organizations should periodically review their reservations with a view to limiting their scope or withdrawing them where appropriate;

5. The concerns about reservations that are frequently expressed by States and international organizations, as well as monitoring bodies, may be useful for the assessment of the validity of reservations;

6. States and international organizations, as well as monitoring bodies, should explain to the author of a reservation the reasons for their concerns about the reservation and, where appropriate, request any clarification that they deem useful;

7. States and international organizations, as well as monitoring bodies, if they deem it useful, should encourage the withdrawal of reservations, the reconsideration of the need for a reservation or the gradual reduction of the scope of a reservation through partial withdrawals;

8. States and international organizations should address the concerns and reactions of other States, international organizations and monitoring bodies and take them into account, to the extent possible, with a view to reconsidering, modifying or withdrawing a reservation;

9. States and international organizations, as well as monitoring bodies, should cooperate as closely as possible in order to exchange views on reservations in respect of which concerns have been raised and coordinate the measures to be taken; and

II. Recommends that:

The General Assembly call upon States and international organizations, as well as monitoring bodies, to initiate and pursue such a reservations dialogue in a pragmatic and transparent manner.

2. TEXT OF THE GUIDE TO PRACTICE, COMPRISING AN INTRODUCTION, THE GUIDELINES AND COMMENTARIES THERETO, AN ANNEX ON THE RESERVATIONS DIALOGUE AND A BIBLIOGRAPHY

76. The text of the Guide to Practice on Reservations to Treaties, comprising an introduction, the guidelines and commentaries thereto, and an annex on the reservations dialogue, adopted by the Commission at its sixty-third session, is reproduced in an addendum to the present report (A/66/10/Add.1).⁴⁰

⁴⁰ See footnote 29 above.