



Original: **English**

No.: ICC-01/12-01/18
Date: **14 December 2021**

TRIAL CHAMBER X

Before: Judge Antoine Kesia-Mbe Mindua, Presiding Judge
Judge Tomoko Akane
Judge Kimberly Prost

**SITUATION IN THE REPUBLIC OF MALI
IN THE CASE OF
*THE PROSECUTOR v. AL HASSAN AG ABDOUL AZIZ AG MOHAMED AG
MAHMOUD***

**Public
With Confidential Annex**

**Thirteenth Registry Assessment Report on Victim Applications for Participation in
Trial Proceedings**

Source: Registry

Document to be notified in accordance with regulation 31 of the *Regulations of the Court* to:

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I. Introduction

1. For the purpose of organizing victim participation at the trial stage in the case of the *Prosecutor v. Al Hassan Ag Abdoul Aziz Ag Mohamed Ag Mahmoud* (“Case”), Trial Chamber X (“Chamber”) ruled in its ‘Decision on the procedure for the admission of victims to participate in trial proceedings’ (“12 March 2020 Decision”) to continue the “ABC approach” for victim admission as applied at the pre-trial stage in the Case, with minor modifications.¹ Following this procedure, the Registry classifies victim applicants into three categories: (a) applicants who clearly qualify as victims in the Case (“Group A”); (b) applicants who clearly do not qualify as victims (“Group B”); and (c) applicants for whom the Registry could not make a clear determination for any reason (“Group C”).² The Chamber ordered the Registry to submit Group C application forms no later than 45 days before the start of trial, and Group A forms no later than 15 days before the start of trial,³ together with reports thereon.⁴
2. On 12 June 2020, the Chamber decided to extend the deadline set by the 12 March 2020 Decision for the final transmission of newly collected victim applications to the end of the Prosecution case on the basis of the current COVID-19 pandemic (“12 June 2020 Decision”). The Chamber instructed the Registry to file any newly collected applications on a rolling basis in periodic

¹ Trial Chamber X, “Decision on the procedure for the admission of victims to participate in proceedings for the purposes of trial”, 12 March 2020, ICC-01/12-01/18-661.

² *Id.*, at paras 19-21; See also Pre-Trial Chamber I, “Decision Establishing the Principles Applicable to Victims’ Applications for Participation”, 24 May 2018, ICC-01/12-01/18-37, para 59 (i).

³ 12 March 2020 Decision, para. 29.

⁴ 12 March 2020 Decision, para. 29. The corresponding reports are transmitted to the parties and the common legal representatives of victims (“CLRs”) (*see id.*, para. 24). The Registry also notes the Chamber’s instruction with respect to Group B applications that “applications assessed by the Registry as being incomplete *and/or falling outside the scope of the concerned case* need not be transmitted to the Chamber”, and that the Registry should inform the Chamber “of any applications rejected on that account” (*see para. 18 in fine*).

intervals and as was previously the case, the Registry's final corresponding reports must be notified within the same deadline.⁵

3. To date, the Registry has transmitted to the Chamber a total of 1,877 Group A applications⁶ and five Group C applications.⁷ It has also informed the Chamber regarding 47 Group B applications and 101 applications presently assessed as incomplete.⁸
4. The Registry hereby submits its thirteenth report on victim applications for participation in the trial proceedings in the Case. This entails a report on 70 complete applications falling within Group A, including:
 - a brief description of the assessment criteria applied in relation to the 70 applicants who clearly, in the Registry's assessment, qualify as victims in Group A; and
 - a list of the 70 applications falling under Group A ("List") which are transmitted in their original version to the Chamber under separate cover, in accordance with the 12 March 2020 Decision.

II. Procedural History

5. On 24 May 2018, Pre-Trial Chamber I issued a decision setting out, *inter alia*, the transmission and admission procedure for victim participation at the confirmation hearing in the Case.⁹

⁵ Trial Chamber X, "Decision on request for extension of deadlines for the final transmission of victim applications for participation at trial", 12 June 2020, ICC-01/12-01/18-880, paras 10-14 and Disposition, p. 8.

⁶ See *infra*, footnote 17. Among the 1,877 Group A applications, there are 826 applications from victims who had already been authorised to participate during pre-trial proceedings and who remain within the scope of the Case for the purpose of trial (see "Registry's Third Assessment Report on Victim Applications for Participation in Trial Proceedings", 29 June 2020, ICC-01/12-01/18-910, paras 4 and 24). To date, the Chamber has admitted all Group A applications transmitted by the Registry as participating victims for the purposes of trial proceedings, see *infra*, footnote 20.

⁷ See *infra*, footnote 19.

⁸ See *infra*, footnote 18.

⁹ See *supra*, footnote 2, 24 May 2018 Decision.

6. On 1 July 2019, Pre-Trial Chamber I issued a further decision, authorising 882 victims to participate at the confirmation hearing in the Case (“Participating Victims”).¹⁰
7. On 30 September 2019, Pre-trial Chamber I confirmed the charges of war crimes and crimes against humanity brought against the accused and committed him to trial.¹¹
8. On 6 January 2020, the Chamber set the start of trial on 14 July 2020.¹²
9. On 24 January 2020, the Registry submitted a report informing the Chamber *inter alia* that it had started to review the Participating Victims’ applications in order to assess whether they remain within the scope of the confirmed Case.¹³
10. On 12 March 2020, the Chamber issued its decision establishing the procedure for the participation of victims at trial.¹⁴
11. On 23 April 2020, Pre-Trial Chamber I issued a decision modifying the charges confirmed against the accused.¹⁵
12. On 12 June 2020, the Chamber extended the deadline for the final transmission of newly collected victim applications to the end of the Prosecution case.¹⁶

¹⁰ Pre-Trial Chamber I, « Décision relative à la participation des victimes à la procédure », 1 July 2019, ICC-01/12-01/18-391-Conf-Exp. A public redacted version was filed on the same day (ICC-01/12-01/18-391-Red).

¹¹ Pre-Trial Chamber I, “Rectificatif à la Décision relative à la confirmation des charges portées contre Al Hassan Ag Abdoul Aziz Ag Mohamed Ag Mahmoud”, 8 November 2019, ICC-01/12-01/18-461-Conf-Corr. A public redacted version was filed on 13 November 2019 (ICC-01/12-01/18-461-Corr-Red).

¹² Trial Chamber X, “Decision Setting the Commencement Date of the Trial”, 6 January 2020, ICC-01/12-01/18-548, p. 9.

¹³ Registry, “Registry Report on the implementation of Trial Chamber X’s Decision of 20 December 2019 (ICC-01/12-01/18-536)”, 24 January 2020, ICC-01/12-01/18-563-Conf-Exp-Anx, para. 6. A confidential redacted version was filed on the same day (ICC-01/12-01/18-563-Conf-Anx-Red) as well as a public redacted version (ICC-01/12-01/18-563-Anx-Red2).

¹⁴ See *supra*, footnote 1, 12 March 2020 Decision.

¹⁵ Pre-Trial Chamber I, “Rectificatif à la Décision portant modification des charges confirmées le 30 septembre 2019 à l’encontre d’Al Hassan Ag Abdoul Aziz Ag Mohamed Ag Mahmoud”, 1 May 2020, ICC-01/12-01/18-767-Conf-Corr. A public redacted version was filed on 8 May 2020 (ICC-01/12-01/18-767-Corr-Red).

¹⁶ See *supra*, footnote 5, 12 June 2020 Decision. Also, on 24 November 2020, the Chamber clarified to the Registry that applications received prior to the Case-specific application process may be transmitted insofar as they are assessed by the Registry as complete and falling within the scope of the Case (“24 November 2020 clarification”), see email from Trial Chamber X Communications to Chief of VPRS, on

13. Between 29 May 2020 and 12 November 2021, the Registry transmitted to the Chamber 1,877 Group A applications through eleventh transmissions together with a report thereon,¹⁷ informed the Chamber about 47 Group B applications assessed as falling outside the scope of the Case and 101 applications assessed

24 November 2020, at 10:50; and “Registry Fourth Transmission of Group A Victim Applications for Participation in Trial Proceedings”, 18 December 2020, ICC-01/12-01/18-1216, paras 5-6.

¹⁷ Registry, “Registry First Transmission of Group A Victim Applications for Participation in Trial Proceedings”, dated 24 June 2020 and notified on 25 June 2020, ICC-01/12-01/18-901 (209 Group A applications transmitted), and “Registry’s Second Assessment Report on Victim Applications for Participation in Trial Proceedings”, 24 June 2020, ICC-01/12-01/18-900; “Registry Second Transmission of Group A Victim Applications for Participation in Trial Proceedings”, dated 29 June 2020 and notified on 30 June 2020, ICC-01/12-01/18-913 (888 Group A applications transmitted), and “Registry’s Third Assessment Report on Victim Applications for Participation in Trial Proceedings”, 29 June 2020, ICC-01/12-01/18-910; “Registry Third Transmission of Group A Victim Applications for Participation in Trial Proceedings”, 13 November 2020, ICC-01/12-01/18-1153 (183 Group A applications transmitted), and “Registry’s Fourth Assessment Report on Victim Applications for Participation in Trial Proceedings”, 13 November 2020, ICC-01/12-01/18-1152; “Registry Fourth Transmission of Group A Victim Applications for Participation in Trial Proceedings”, 18 December 2020, ICC-01/12-01/18-1216 (50 Group A applications transmitted), and “Registry’s Fifth Assessment Report on Victim Applications for Participation in Trial Proceedings”, 18 December 2020, ICC-01/12-01/18-1214; “Registry’s Fifth Transmission of Group A Victim Applications for Participation in Trial Proceedings”, 22 January 2021, ICC-01/12-01/18-1259 (70 Group A applications transmitted), and “Registry’s Sixth Assessment Report on Victim Applications for Participation in Trial Proceedings”, 22 January 2021, ICC-01/12-01/18-1260; “Registry’s Sixth Transmission of Group A Victims Applications for Participation in Trial Proceedings”, dated 5 March 2021 and notified on 8 March 2021, ICC-01/12-01/18-1343 (40 Group A applications transmitted), and “Registry’s Seventh Assessment Report on Victim Applications for Participation in Trial Proceedings”, dated 5 March 2021 and notified on 8 March 2021, ICC-01/12-01/18-1342; “Registry’s Seventh Transmission of Group A Victims Applications for Participation in Trial Proceedings”, 19 May 2021, ICC-01/12-01/18-1489 (63 Group A applications transmitted), and “Registry’s Eighth Assessment Report on Victim Applications for Participation in Trial Proceedings”, 19 May 2021, ICC-01/12-01/18-1488; “Registry’s Eighth Transmission of Group A Victim Applications for Participation in Trial Proceedings”, dated 10 June 2021 and notified on 11 June 2021, ICC-01/12-01/18-1510 (51 Group A applications transmitted), and “Registry’s Ninth Assessment Report on Victim Applications for Participation in Trial Proceedings”, dated 10 June 2021 and notified on 11 June 2021, ICC-01/12-01/18-1509; “Ninth Registry Transmission of Group A Victim Applications for Participation in Trial Proceedings”, 27 August 2021, ICC-01/12-01/18-1665 (70 Group A applications transmitted), and “Tenth Registry Assessment Report on Victim Applications for Participation in Trial Proceedings”, 27 August 2021, ICC-01/12-01/18-1666; “Tenth Registry Transmission of Group A Victim Applications for Participation in Trial Proceedings”, 18 October 2021, ICC-01/12-01/18-1816 (203 Group A applications transmitted), and “Eleventh Registry Assessment Report on Victim Applications for Participation in Trial Proceedings”, 18 October 2021, ICC-01/12-01/18-1817; “Eleventh Registry Transmission of Group A Victim Applications for Participation in Trial Proceedings”, 12 November 2021, ICC-01/12-01/18-1917 (50 Group A applications transmitted), and “Twelfth Registry Assessment Report on Victim Applications for Participation in Trial Proceedings”, 12 November 2021, ICC-01/12-01/18-1918.

as incomplete,¹⁸ and transmitted to the Chamber five Group C applications together with a report thereon.¹⁹

14. Between 17 June 2020 and 17 November 2021, the Chamber issued eleventh decisions on the admission of victims to participate in trial proceedings, admitting 1,877 applicants as participating victims for the purposes of the trial proceedings,²⁰ rejecting 47 applications assessed as falling outside the scope of the Case,²¹ and deferring its ruling as regards the status of one applicant.²²

¹⁸ Registry, “Registry’s Third Assessment Report on Victim Applications for Participation in Trial Proceedings”, 29 June 2020, ICC-01/12-01/18-910, and its Annex II providing a list of reference numbers of applications assessed as outside the scope of the case and applications assessed as incomplete (ICC-01/12-01/18-910-Conf-Exp-AnnexII).

¹⁹ Registry, “Registry Transmission of Group C Victim Applications for Participation at Trial”, 29 May 2020, ICC-01/12-01/18-834, and “Registry First Assessment Report on Victim Applications for Participation in Trial Proceedings”, 29 May 2020, ICC-01/12-01/18-835. This first report provided also an overview of the preliminary results of the Registry’s review on the Participating Victims’ applications which remain within the scope of the confirmed Case.

²⁰ Trial Chamber X, “Second decision on the admission of victims to participate in trial proceedings”, 17 June 2020, ICC-01/12-01/18-886-Conf-Exp (“17 June 2020 Decision”). A public redacted version was filed on 23 June 2020 (four Group C applicants have seen their status as participating victims retain for the purpose of the trial proceedings); “Third decision on the admission of victims to participate in trial proceedings”, 10 August 2020, ICC-01/12-01/18-992 (“10 August 2020 Decision”)(1,097 Group A applicants admitted); “Fourth decision on the admission of victims to participate in trial proceedings”, 14 December 2020, ICC-01/12-01/18-1204 (“14 December 2020 Decision”)(183 Group A applicants admitted); “Fifth decision on the admission of victims to participate in trial proceedings”, 29 January 2021, ICC-01/12-01/18-1271 (“29 January 2021 Decision”)(120 Group A applicants admitted); “Sixth Decision on the admission of victims to participate in trial proceedings”, 12 March 2021, ICC-01/12-01/18-1364 (“12 March 2021 Decision”) (40 Group A applicants admitted); “Seventh decision on the admission of victims to participate in trial proceedings”, 21 May 2021, ICC-01/12-01/18-1493 (“21 May 2021 Decision”)(63 Group A applicants admitted); “Eighth decision on the admission of victims to participate in trial proceedings”, 14 June 2021, ICC-01/12-01/18-1512 (“14 June 2021 Decision”) (51 Group A applicants admitted); “Ninth decision on the admission of victims to participate in trial proceedings”, 20 September 2021, ICC-01/12-01/18-1734 (“20 September 2021 Decision”) (70 Group A applicants admitted); “Tenth decision on the admission of victims to participate in trial proceedings”, 22 October 2021, ICC-01/12-01/18-1843 (“22 October 2021 Decision”) (203 Group A applicants admitted); and “Eleventh decision on the admission of victims to participate in trial proceedings”, 17 November 2021, ICC-01/12-01/18-1930 (“17 November 2021 Decision”)(50 Group A applicants admitted).

²¹ See *supra*, footnote 20, 10 August 2020 Decision, Disposition, p. 6.

²² See *supra*, footnote 20, 17 June 2020 Decision, Disposition, p. 10. The Registry notes that this deferred application has received supplementary information from the Legal Representative of the Victim by email sent to the VPRS on 7 June 2021 and this application is currently subject to further exchange with the Legal Representative of the Victim.

III. Applicable Law

15. The present report is submitted in accordance with article 68(1) and (3) of the Rome Statute, rules 85 to 89 and 92 of the Rules of Procedure and Evidence, regulation 86 of the Regulations of the Court, and regulations 107 to 109 of the Regulations of the Registry.

IV. Classification

16. The annex to the present report is classified as confidential in accordance with paragraph 29 of the 12 March 2020 Decision.²³

V. Submissions

17. For the purpose of the trial proceedings in the *Al Hassan* case, the Registry has received so far a total of 2,434 applications. Of these, it has assessed so far a total of 2,266 applications (including 880 applications of previously participating victims at pre-trial proceedings).²⁴

18. Of these 2,266 applications, the Registry assessed 1,877 applications (including 826 applications from victims authorised to participate during pre-trial proceedings and who remain within the scope of the confirmed Case) as complete and within the scope of the confirmed Case and thus has transmitted them to the Chamber within Group A applications.²⁵ In addition, 129 applications have been assessed by the Registry as outside of the scope of the confirmed Case and 190 applications have been assessed as incomplete and still requiring supplementary information,²⁶ noting that among them, 47 Group B

²³ See also *supra*, footnote 2, 24 May 2018 Decision, para. 59(iii).

²⁴ See “Registry’s Third Assessment Report on Victim Applications for Participation in Trial Proceedings”, 29 June 2020, ICC-01/12-01/18-910, para. 23. The Registry continues its legal assessment process on the remaining applications recently received.

²⁵ See *supra*, footnote 17.

²⁶ These numbers include figures provided by the Registry in its assessment reports (see *supra*, footnote 18, “Registry’s Third Assessment Report on Victim Applications for Participation in Trial Proceedings”, 29 June 2020, ICC-01/12-01/18-910, and “Registry’s Fifth Assessment Report on Victim Applications for

applications and 101 incomplete applications have been already subject to a report to the Chamber.²⁷ The Registry notes that following the Chamber's decision on Group C applications, five applications initially assessed as unclear and transmitted within Group C applications have been allocated either within the aforementioned Group A applications or within the group of incomplete applications.²⁸ Furthermore, since its last report, the Registry has assessed 70 additional applications as falling within Group A and which are subject of the present report and of a transmission to the Chamber under separate cover.²⁹

19. Accordingly, the Registry submits this report on further 70 complete applications falling within Group A.

Details on the Assessment Criteria and List of Applications Falling within Group A

20. Applying the criteria set out in the 24 May 2018 Decision³⁰ and the 17 June 2020 Decision³¹ the Registry has assessed 70 applications transmitted within Group

Participation in Trial Proceedings", 18 December 2020, ICC-01/12-01/18-1214, para. 20), as well as additional applications assessed so far as incomplete.

²⁷ See *supra*, footnote 18. The Registry notes that it may receive additional information from the CLRs regarding Group B applications and incomplete applications which may lead the Registry to revisit its preliminary assessment. Therefore, the Registry will continue to inform regularly the Chamber about figures resulting from its ongoing assessment and will provide a final report on applications assessed as falling within Group B applications (outside the scope of the confirmed Case) or assessed as incomplete together with a final list of their reference numbers in its last report to be submitted before the end of the Prosecution case in compliance with the 12 June 2020 Decision.

²⁸ See *supra*, footnote 20, by Chamber's Decision of 17 June 2020, four applicants among the Group C applications retain their status as participating victims for the purpose of the trial proceedings, while one applicant has seen its status deferred.

²⁹ The Registry notes that, among these 70 applications, application a/50783/20 (transmitted previously within Group A on 18 December 2020, ICC-01/12-01/18-1216-Conf-Exp-Anx48, and accepted for participation in the proceedings by the Chamber's 29 January 2021 Decision, ICC-01/12-01/18-1271), para. 15, footnote 16, is re-transmitted under Group A as a consolidated document including the original and new form filled in by victim a/50783/20 for the completeness of the case record. The present transmission replaces the original transmission of application a/50783/20 as instructed by the Chamber (email from Trial Chamber X communications, 7 December 2021 at 10:29).

³⁰ See *supra*, footnote 2, 24 May 2018 Decision, para. 46. The Registry notes that in its 12 March 2020 Decision the Chamber highlighted that "[o]n substantive legal issues regarding the definition of victims, [it] refers to the consistent jurisprudence on Rule 85 of the Rules, as set out by the PTC I Single Judge" (12 March 2020 Decision, para. 8).

³¹ See *supra*, footnote 20, 17 June 2020 Decision.

A as complete. In conducting its *prima facie* assessment in accordance with paragraph 48 of the 24 May 2018 Decision, the Registry confirms that each of the 70 applicants whose applications have been transmitted in Group A have met the following criteria:

- i. His or her identity as a natural person is established;
- ii. He or she has suffered harm;³²
- iii. The harm suffered is a result of an incident falling within the temporal, geographic and material scope of the *Al Hassan* case.

21. In relation to point (i), the Registry noted that certain applications³³ falling under Group A contain minor discrepancies pertaining to *inter alia* the spelling of the applicants' names.³⁴ In these cases, the Registry took note of Pre-Trial Chamber I's instruction that "a certain degree of flexibility must be shown" and considers that the discrepancies presented in these applications "do not call into question the overall credibility of the information provided by the applicant [...]"³⁵

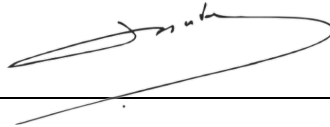
³² The Registry notes that it has considered the following jurisprudence to be relevant for the assessment of application a/11294/21 which has been filed under Group A: *The Prosecutor v. Bosco Ntaganda*, Trial Chamber VI, "Decision Order" on 8 March 2021, ICC-01/04-02/06-2659, para. 122.

³³ The applications with minor discrepancies include: a/10980/21, a/11022/21, a/11036/21, a/11080/21, a/11081/21, a/11082/21, a/11087/21, a/11089/21, a/11090/21, a/11092/21, a/11095/21, a/11099/21, a/11100/21, a/11102/21, a/11104/21, a/11114/21, a/11118/21, a/11126/21, a/11127/21, a/11133/21, a/11135/21, a/11139/21, a/11140/21, a/11141/21, a/11146/21, a/11153/21, a/11155/21, a/11162/21, a/11165/21 and a/11166/21.

³⁴ The discrepancies identified include: a spelling mistake in the applicant's first name (or second first name) and/or surname in the application form compared to the identification document; the applicant's face is slightly obscured on the ID card due to the poor quality of the picture; the applicant's full date of birth does not appear in the application form; the applicant's gender is either missing in the application form or differs from that on the applicant's State identity card (which is probably due to an inadvertent error as the gender is clearly established in the context of the form and in the identity card); an additional page, continuing the description of the events, is joined to the application form but is not signed or dated.

³⁵ See *supra* footnote 2, 24 May 2018 Decision, para. 50. See also *supra*, footnote 28, Trial Chamber's 12 March 2020 Decision, para. 8.

22. The Registry also notes that all of these 70 applications mention a lawyer who is a member of the court-appointed team of common legal representatives³⁶ as his legal representative.
23. The Registry has provided a table in the Annex with the list of the applications that fall within Group A.
24. Finally, the Registry will continue its activities in accordance with the guidance received from the Chamber in its 12 June 2020 Decision and 24 November 2020 clarification.³⁷



Marc Dubuisson, Director, Division of Judicial Services

On behalf of Peter Lewis, Registrar

Dated this 14 December 2021

At The Hague, The Netherlands

³⁶ See for the appointment of the CLRs: Pre-Trial Chamber I, “Public redacted version of Decision on Principles Applicable to Victims’ Applications for Participation, to Legal Representation of Victims, and to the Manner of Victim Participation in the Proceedings”, 20 March 2019, ICC-01/12-01/18-289-Red-tENG-Corr, para. 36.

³⁷ See *supra*, footnotes 5 and 16.