



International Residual Mechanism for Criminal Tribunals

MICT/42

25 May 2023

Original: English

# PRACTICE DIRECTION ON JUDICIAL RECORDS

(MICT/42)

#### PREAMBLE

**I**, the Registrar of the International Residual Mechanism for Criminal Tribunals ("Mechanism");

**Considering** the Statute of the Mechanism as adopted by the Security Council under Resolution 1966 (2010) of 22 December 2010 ("Statute");

**Considering** the Rules of Procedure and Evidence of the Mechanism as adopted pursuant to Article 13 of the Statute and as subsequently amended ("Rules");

**Considering** the Practice Direction on Filings Made before the International Residual Mechanism for Criminal Tribunals as issued on 14 December 2012 pursuant to Rule 31(C) of the Rules, as subsequently amended on 16 February 2015 and 24 August 2016, and as revised on 4 January 2019 ("Practice Direction on Filings");

**Taking into consideration** the principles, policies, and procedures governing the production and preservation of judicial records of the International Criminal Tribunal for Rwanda, the International Criminal Tribunal for the former Yugoslavia, and the Mechanism pursuant to the Statute and the Rules;

Having consulted the President of the Mechanism; and

Acting pursuant to Rule 31(C) of the Rules;

**Issue** this Practice Direction to set out common principles for the opening of cases and the production, submission, receipt, registration, service and maintenance of, and access to, Judicial Records in all cases under the jurisdiction of the Mechanism; and

**Rescind** the Practice Direction on Filings.

Abubacarr M. Tambadou

Registrar

Dated this day 25 of May 2023 The Hague, The Netherlands

# I. INTRODUCTION

## Article 1 Definitions

For the purpose of this Practice Direction, the following terms shall mean:

Accused:	A person indicted by the ICTR, the ICTY, or the Mechanism in accordance with Article 1 of the Statute.
Amicus Curiae:	A State, an organisation, or a person invited or granted leave by the Chamber to appear before it and make submissions on any issue specified by the Chamber pursuant to the Rules.
AV Recordings:	Audio and audio-video recordings of court hearings or other proceedings before the Mechanism made and preserved pursuant to the Rules.
Case:	A judicial proceeding pursuant to the Statute.
Case Number:	A number assigned to each proceeding before the Mechanism.
Case Record:	All records of proceedings and evidence related to a specific Case before the ICTR, the ICTY, or the Mechanism made and retained pursuant to the Rules.
Case Related Matter:	Any proceedings concerning matters arising out of, but separate from, the main Case.
Chamber:	A Single Judge, a Trial Chamber, and/or the Appeals Chamber, assigned to a Case pursuant to Article 12 of the Statute.
Confidential:	Security Classification Level of Judicial Records to which access is limited to the President, the Chamber, the Registrar, the Parties assigned to the Case, authorised Mechanism staff, and any other person explicitly given access by the President or the Chamber.
Confidential and <i>Ex Parte</i> :	Security Classification Level of Judicial Records to which, in addition to the access limitations applicable to Confidential Judicial Records, access is also restricted for others.

Convicted Person:	A person convicted by the ICTR, the ICTY, or the Mechanism for crimes under their respective jurisdictions.
Counsel:	A person formally appointed, assigned, or recognised by the Mechanism representing a Suspect, an Accused, or a Convicted Person pursuant to the Rules, as well as the last Counsel of record within the first three months after the closure of the underlying Case, unless there has been a formal recognition of Counsel for any further judicial matters.
Defence:	The Suspect, the Accused, or the Convicted Person, self-represented or represented by a Counsel formally appointed, assigned, or recognised by the Mechanism.
eCourt:	The Electronic Court Management System.
Exhibit:	A document or other record formally admitted into evidence in a Case by the Chamber.
Filing (n.):	A document submitted by the President, the Chamber, a Party, or a Non-Party and included on the Case Record, for example warrants, indictments, motions, other submissions from Parties, other submissions from Non-Parties, decisions, orders, and judgements.
filing (v.):	Official inclusion by the Registry of a document into the Case Record.
ICTR:	The International Criminal Tribunal for the Prosecution of Persons Responsible for Genocide and other Serious Violations of International Humanitarian Law Committed in the Territory of
	Rwanda and Rwandan citizens responsible for Genocide and other such violations committed in the territory of neighbouring States, between 1 January 1994 and 31 December 1994, established by Security Council resolution 955 of 8 November 1994.
ICTY:	Rwanda and Rwandan citizens responsible for Genocide and other such violations committed in the territory of neighbouring States, between 1 January 1994 and 31 December 1994, established by
ICTY: Judicial Records:	<ul> <li>Rwanda and Rwandan citizens responsible for Genocide and other such violations committed in the territory of neighbouring States, between 1 January 1994 and 31 December 1994, established by Security Council resolution 955 of 8 November 1994.</li> <li>The International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991, established by Security Council resolution 827 of 25 May</li> </ul>
	Rwanda and Rwandan citizens responsible for Genocide and other such violations committed in the territory of neighbouring States, between 1 January 1994 and 31 December 1994, established by Security Council resolution 955 of 8 November 1994. The International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991, established by Security Council resolution 827 of 25 May 1993.

	include the Registrar, Registry, <i>Amicus Curiae</i> , or other individuals, organisations, and States.
Party:	The Prosecutor or the Defence.
Practice Direction:	This Practice Direction on Judicial Records.
President:	The President of the Mechanism appointed pursuant to Article 11 of the Statute.
Prosecutor:	The Prosecutor of the Mechanism appointed pursuant to Article 14 of the Statute.
Public:	Security Classification Level of Judicial Records for which access is not restricted.
Record Book:	The Record Book pursuant to Rule 34 of the Rules.
Registrar:	The Registrar of the Mechanism appointed pursuant to Article 15 of the Statute.
Registry:	The organ of the Mechanism responsible for the administration and servicing of the Mechanism pursuant to Article 15 of the Statute.
<b>Registry Duty Officer:</b>	A staff member of the Registry who is assigned to respond to urgent requests addressed to them by or through the President, the Chamber, or the Registrar during non-working hours.
Restricted Access Filing:	A Confidential or Confidential and <i>Ex Parte</i> Filing, the access to which, due to the sensitivity of the matter or information contained therein, is temporarily limited to those Registry staff members necessary for the processing and distribution of the Filing and distributed only to the individual recipients indicated by the Submitting Entity, the President, or the Chamber.
Rules:	The Rules of Procedure and Evidence of the Mechanism adopted on 8 June 2012 and as subsequently amended.
SGB:	Secretary-General's bulletin, International Criminal Tribunals: information sensitivity, classification, handling and access (ST/SGB/2012/3).
Statute:	The Statute of the Mechanism, adopted by Security Council resolution 1966 of 22 December 2010.
Submitting Entity:	The President, the Chamber, a Party, or a Non-Party when submitting a document to the Registry for filing.
Suspect:	A person who the Mechanism has a reasonable basis to believe

	has committed a crime under Article 1, paragraph 4, of the Statute, over which the Mechanism has jurisdiction.
Transcript:	A verbatim, written record of a court hearing or other proceedings before the ICTR, the ICTY, or the Mechanism made and preserved pursuant to the Rules.
Translation Policy:	Policy on Translation for the Conduct of Judicial Activity of the International Residual Mechanism for Criminal Tribunals, MICT/22 issued on 5 April 2018.
UCR:	The Unified Court Records Database, the public interface of the UJDB.
UJDB:	The Unified Judicial Database containing Judicial Records.

### Article 2 Purpose

1. This Practice Direction governs the opening of Case Records and the production, submission, receipt, registration, service and maintenance of, and access to, Judicial Records in all Cases under the jurisdiction of the Mechanism.

## Article 3 Entry into Force

1. The present Practice Direction enters into force on XX May 2023.

## Article 4 Amendment

1. The Registrar, after consultation with the President, may amend this Practice Direction, pursuant to Rule 31(C) of the Rules.

2. An amendment shall enter into force on the date determined by the Registrar.

# **II. JUDICIAL RECORDS**

## Article 5 Responsibility for Judicial Records

1. The Registry shall be responsible for managing and providing access to Judicial Records, in accordance with the Statute, the Rules, any applicable judicial order, and the SGB.

### Article 6 Judicial Records and Record Book

1. Judicial Records are officially registered and maintained by the Registry in the UJDB.

2. The UCR constitutes the Record Book as required by Rule 34 of the Rules.

#### Article 7 Changes in Security Classification Levels of Judicial Records

1. Changes to the Security Classification Level of a Judicial Record shall be effected only after judicial authorisation or as otherwise provided for by the applicable Rules. While such judicial authorisation is being sought, the Registry may temporarily restrict access to the affected Judicial Record.

2. Where the Registry has reason to believe that confidential or *ex parte* information may be contained in a document submitted as Public or Confidential, respectively, it may bring the matter to the attention of the President or the Chamber and temporarily restrict access to the document pending judicial determination.

## Article 8 Access to Judicial Records

1. The President, the Chamber, and the Parties to a Case shall have access to the full Case Record through the UJDB, subject to any access restrictions stemming from its Security Classification Level. In cases where a part of the Case Record is not available through the UJDB as a result of, for example, its size or temporary access constraints, the Registry shall ensure that the President, the Chamber, and the Parties to a Case have access to such record, subject to any access restrictions stemming from its Security Classification Level.

2. The public shall have access to the UCR, unless otherwise ordered by the President or the Chamber.

3. Confidential, as well as Confidential and *Ex Parte*, Judicial Records shall be maintained in secure records repositories, and shall not be accessible to the public, excluded Party/Parties, or excluded Non-Party/Non-Parties unless otherwise ordered by the President or the Chamber.

4. The Registry is responsible for the provision of access to Judicial Records requested by the President, the Chambers, and the Parties to a Case, as well as to national authorities pursuant to Article 28(3) of the Statute, including the implementation of judicial orders related to such access pursuant to the Rules.

## Article 9 Certified Copies

1. The Registrar may issue certified copies of Judicial Records, when so ordered by the President or the Chamber, or requested pursuant to Article 28(3) of the Statute. Such certified copies must be issued in line with the Registry standard operating procedures bearing the

stamp of the Mechanism and the signature of the Registrar. Copies certified pursuant to this Article shall be regarded as an exact and unaltered reproduction of the original.

### Article 10 Case Record Opening

1. A new Case Record shall be opened when a document is submitted for filing in order to initiate proceedings or a new stage of proceedings. A new Case Record shall also be opened if a filing pertains to a Case Related Matter and/or judicial orders of the Mechanism.

#### Article 11 Assignment of Case Numbers

1. Each Case before the Mechanism shall be given a Case Number consisting of four components:

- (a) MICT, which indicates that this is a Case before the Mechanism;
- (b) The year in which the Case Number was registered before the Mechanism and the first document was included into the Case Record (*e.g.* "12" for 2012);
- (c) The sequential number of the Case before the Mechanism (e.g. "08" for the eighth Case); and
- (d) If applicable, a suffix, identifying the stage and/or type of the Case.
- 2. The suffix shall be assigned to the Case Number as follows:
  - (a) A: Appeal of Judgement: From the filing of the first notice of appeal pursuant to Rule 133 of the Rules, to the judgement on appeal pursuant to Rule 144 of the Rules or, exceptionally, from the filing of a motion seeking an extension of time to file the notice of appeal;
  - (b) AR: Appeals of proceedings designated by specific Rules: An "A" should appear before the suffix indicating the Rule (*e.g.* AR14, AR68, AR79, AR80);
  - (c) D: Deferral: From the filing of the application for deferral, to the decision on the application pursuant to Rule 12 of the Rules;
  - (d) ES: Enforcement of Sentence: For proceedings involving the enforcement of a sentence, as of the date the judgement becomes final;
  - (e) I: Indictment: From the filing of the indictment pursuant to Rule 48 of the Rules, until a plea is entered pursuant to Rule 64 of the Rules;
  - (f) PT: Pre-Trial: From the day a plea is entered pursuant to Rule 64 of the Rules, until the first trial hearing date (*e.g.* opening statements) or sentencing proceedings pursuant to Rule 124 of the Rules;
  - (g) R: Review proceedings: From the filing of the request for review, pursuant to Rule 146 of the Rules, or related motions, until the decision on review or further judgement pursuant to Rule 147 of the Rules;
  - (h) R14: Referral proceedings: Proceedings pursuant to Rule 14 of the Rules;
  - (i) R78: Special deposition proceedings: Proceedings pursuant to Rule 78 of the Rules;

- R86F: Witness protection measures: Proceedings arising from a request of a judge/bench or a party in another jurisdiction as authorised by an appropriate judicial authority pursuant to Rule 86(F) of the Rules;
- (k) R86G: Witness protection measures rescission, variation, or augmentation: Proceedings arising from a request of a Party to any other proceedings before the Mechanism for the rescission, variation, or augmentation of protective measures made pursuant to Rule 86(G) of the Rules;
- (1) R86H: Witness protection measures rescission, variation, or augmentation: Proceedings arising from a request of a judge/bench in another jurisdiction, a party in another jurisdiction authorised by an appropriate judicial authority, or a victim or witness for whom protective measures have been ordered by the ICTR, the ICTY, or the Mechanism, for the rescission, variation, or augmentation of protective measures made pursuant to Rule 86(H) of the Rules;
- (m) R87: Request for assistance: Proceedings arising from a request made pursuant to Rule 87 of the Rules;
- (n) R90: Contempt proceedings: Proceedings pursuant to Rule 90 of the Rules, until the issuance of a charging document;
- (o) R108: False testimony proceedings: Proceedings pursuant to Rule 108 of the Rules, until the issuance of a charging document;
- (p) S: Sentencing: For any separate proceedings pertaining to sentencing, including proceedings after the decision granting a motion for a plea agreement pursuant to Rule 124 of the Rules;
- (q) T: Trial: From the first day of the trial phase to the date of the trial judgement; and
- (r) Misc.: Miscellaneous: Proceedings which do not fall under any of the categories listed above.

3. Should more than one matter arise pursuant to the same Rule in a single Case, a number indicating the chronological order of the matter shall be added after the suffix (*e.g.* MICT-12-29-R.2). The number shall be assigned chronologically according to the order in which the first Filing in the matter was included in the Case Record.

4. Suffixes R90 and R108 shall only be used for Filings submitted in the original Case from which the Rule 90 or Rule 108 proceedings arise, until such time as a new Case Record is opened pursuant to Article 10 of this Practice Direction, and shall not be used as the suffixes of the new Case Number.

# 1. FILINGS

#### Article 12 General Provisions

1. Documents are considered officially filed when submitted to the Registry for filing and formally included in the Case Record, in accordance with Article 15 of this Practice Direction.

2. Regardless of the mode of transmission, the electronic copy, processed pursuant to Article 15 of this Practice Direction, shall be considered the official version of the Filing. This is without prejudice to Restricted Access Filings pursuant to Article 19 of this Practice

Direction or the official version of any Filing in the ICTR, the ICTY, or the Mechanism that precedes the entry into force of this Practice Direction.

3. Correspondence directly addressed to or from the President, the Chamber, a Party, or a Non-Party will not be included in the Case Record, unless so requested by the President or the Chamber, or if it constitutes a part of a document submitted for filing pursuant to Article 13 of this Practice Direction.

## Article 13 Submission of Documents for Filing

- 1. Only the following entities may submit a document for filing:
  - (a) The President;
  - (b) The Chamber;
  - (c) A Party to the Case; or
  - (d) A Non-Party authorised by the President, the Chamber, or the Rules to file one or more submissions in the Case.

2. A document submitted for filing *pro se* by a Suspect, Accused, or Convicted Person represented by Counsel in relation to any issue within the mandate of the Counsel will not be accepted, unless specifically authorised by the President or the Chamber.

3. Documents submitted for filing may include:

- (a) Arrest Warrants;
- (b) Indictments;
- (c) Motions;
- (d) Responses;
- (e) Replies;
- (f) Other submissions from a Party;
- (g) Other submissions from an authorised Non-Party;
- (h) Decisions;
- (i) Orders;
- (j) Judgements and separate or dissenting opinions to judgements; and
- (k) Supporting material and annexes to any of the above.

4. Documents submitted for filing, except supporting materials, annexes, and translations, shall bear the signature of the Submitting Entity.

5. In the documents submitted for filing, Submitting Entities shall refer to Mechanism staff members and Defence team members only by their functional titles and not their names, except when it pertains to the identities of a Party's representatives regularly identified on the cover page of Filings in the Case. Documents submitted for filing shall not publicly disclose any personal information relating to staff members and Defence team members, including but not limited to telephone numbers, email addresses, home addresses, and passport numbers, unless it constitutes the personal information of the Submitting Entity or is authorised by the President or the Chamber.

6. Documents shall be submitted to the Registry for filing in electronic format, whenever possible. Documents submitted for filing shall be submitted in either English or French, unless otherwise provided for by the Rules or a judicial order.

7. All documents submitted for filing must be accompanied by a standardised transmission sheet and must include on that transmission sheet the following information:

- (a) Name of the Submitting Entity;
- (b) Case Number and Case name;
- (c) Date created and the date transmitted;
- (d) Security Classification Level;
- (e) Number of pages;
- (f) Document title;
- (g) Document type;
- (h) Original language; and
- (i) Request for translation, if applicable.

8. All documents submitted to the Registry for filing will be brought before the President, unless the Chamber is seised of the matter.

9. The Submitting Entity is responsible for ensuring the accuracy and completeness of both the transmission sheet and the document submitted.

10. The Submitting Entity is responsible for identifying the Security Classification Level of the document submitted for filing and, if applicable, the reason for a Confidential and/or Confidential and *Ex Parte* submission. The Security Classification Level must be clearly indicated on the cover page of the submitted document and on the transmission sheet.

11. In the case of Confidential and/or Confidential and *Ex Parte* Filings, the Submitting Entity should endeavour to promptly submit a public redacted version for filing where feasible.

12. Parties and Non-Parties may submit any response, reply, or submission to another Filing only with the same or higher Security Classification Level as the underlying Filing.

#### Article 14 Receipt of Documents Submitted for Filing

1. All documents intended for filing shall comply with Article 13 of this Practice Direction.

2. Documents submitted for filing shall be sent to the following centralised email inbox for electronic filing:

- (a) Cases arising from the Arusha Branch: JudicialFilingsArusha@un.org; and
- (b) Cases arising from the Hague Branch: JudicialFilingsHague@un.org.

3. In exceptional circumstances where an electronic submission of a document for filing is not possible, a hard copy document may be accepted. Hard copy documents shall be delivered in person, by post, or by courier to the Registry at the following addresses:

- (a) Cases arising from the Arusha Branch: Haki Road, Plot No. 486 Block A, Lakilaki Area, Arumeru District, P.O. Box 6016, Arusha, Tanzania; and
- (b) Cases arising from the Hague Branch: Churchillplein 1, 2517 JW, The Hague, The Netherlands.

4. Any document that complies with the requirements and is received on working days and during the filing hours – in Arusha between 8:30 and 16:30 EAT on Mondays to Thursdays and between 8:30 and 13:00 EAT on Fridays, and in The Hague between 9:00 and 16:00 CET/CEST on Mondays to Fridays – will be distributed on the same day. In the event that consultation between the Registry and the Submitting Entity is required during the processing of the filing, same-day distribution is not guaranteed.

5. A Filing received on a working day after filing hours but prior to midnight, local time, or on a non-working day for the Mechanism, will be filed with the date on which it was received by the Registry, and will be registered and distributed on the next working day.

6. If requested by the Submitting Entity, on an exceptional basis, the Registry may authorise same-day distribution of a Filing that is received outside the filing hours. Such requests shall be submitted on a working day of the Mechanism and during the filing hours, as set out in paragraph 4 above. The request must identify the Case in which the document shall be filed, the time when it is expected to be submitted, the reason for exceptional consideration, and any other information that might be relevant for the Registry. This is without prejudice to any urgent matter raised through the Registry Duty Officer as described in paragraph 7 below.

7. In the event of an emergency situation that requires an urgent filing after working hours or on a non-working day for the Mechanism, assistance may be obtained through the Registry Duty Officer, subject to the approval and/or instruction from the President, the Chamber, or the Registrar.

#### Article 15 Registration of Documents Submitted for Filing and Entry into the Case Record

1. Upon receipt of a document submitted for filing, the Registry shall review the document to ensure compliance with Article 13 of this Practice Direction. This is not a review of the substantive contents of the document. Documents that do not comply with the requirements of Article 13 of this Practice Direction shall be returned to the Submitting Entity with an explanation of the missing mandatory requirements.

2. The Registry shall indicate on the cover page of each Filing the Case Number, Registry pagination, date filed in accordance with Article 14(5) of this Practice Direction, and the initials of the Registry representative who processed it.

3. The Registry notification page accompanying a Filing distribution shall contain the Case Number and the name of the Case, the Security Classification Level, the title of the Filing, the date of receipt/filing/distribution, the list of designated recipients, and the name of the Registry staff member approving the filing. This page may also contain any relevant comments. The notification page shall not be uploaded in the UJDB.

4. Each page of the Filing, including the notification page, shall be paginated by the Registry sequentially in reverse order, from the final page to the first page of the Filing. The final page of the Filing shall be assigned the next sequential page number following the notification page number of the previous Filing.

5. The transmission sheet will not be paginated, but will be uploaded in the UJDB together with the Filing.

## Article 16 Cross-Filing

1. Should a document submitted for filing pertain to more than one Case, the Submitting Entity shall list the relevant Case Numbers and Case names on the transmission sheet and cover page of the document, unless there is a specific provision to the contrary in another Practice Direction of the Mechanism.

2. A document submitted for cross-filing will be registered and paginated within each relevant Case Record in accordance with the procedures described in this Practice Direction.

## Article 17 Distribution of Filings

1. The Registry shall electronically distribute copies of all Filings to the designated recipients, observing relevant Security Classification Levels, except as provided for in paragraph 2 of this Article and subject to any specific requirements in accordance with the restricted access procedure as set out in Article 19 of this Practice Direction. When distributing a Filing, the Registry shall ensure that the following are accurately indicated:

- (a) Case Number and Case name;
- (b) Date of distribution;
- (c) Date of filing;
- (d) Title of the Filing; and
- (e) Security Classification Level.

2. In exceptional circumstances where it is not possible to electronically distribute Filings to one or more recipients, they shall be distributed by post, by diplomatic pouch, or in person with the notification information found in paragraph 1 of this Article. Filings distributed in hard copy shall be accompanied by a proof of service form, to be signed by the recipient and retained by the Registry.

3. Unless otherwise provided for in the Rules or ordered by the President or the Chamber, the recipient of a Filing is deemed notified of the Filing on the day the Filing is electronically distributed by the Registry. If a recipient does not receive a Filing on the date that it is electronically distributed, the recipient may seek an appropriate remedy from the President or the Chamber, including a variation of any relevant time limit. The Registry shall retain and, if required, produce proof of the electronic distribution of each Filing. This paragraph shall apply, *mutatis mutandis*, to distribution by placement in a dedicated locker where the Defence has been notified of the placement by email.

4. Unless otherwise provided for in the Rules or ordered by the President or the Chamber, where a Filing is distributed to a recipient by post or by hand, the recipient is deemed notified of the Filing on the day of receipt, as acknowledged by postal return slip or by the recipient's signature, respectively. Where the recipient declines or is unable to sign the acknowledgement of receipt, the confirmation in writing on the prescribed form by the person serving the Filing shall be proof of notification.

5. If the Registry does not have information on, and cannot reasonably identify, the current place of residence or any other contact information for the intended recipient, it shall file a certificate on the record indicating that the Filing could not be served on the intended recipient.

## Article 18 Translations of Filings

1. Where the Submitting Entity indicates on the transmission sheet that translation is required, the Registry shall ensure that the relevant official translations are made in accordance with the Translation Policy and subject to any instructions by the President or the Chamber. If no indication is made on the transmission sheet, the Filing will not be translated unless it is a decision, order, or judgement by the President or the Chamber. In addition to being translated into the other working language of the Mechanism, decisions, orders, and judgements will always be translated into a language which the Suspect, Accused, or Convicted Person understands if it does not include English or French.

2. The officially translated version of the Filing shall be filed in the Case Record as a separate document and distributed accordingly, in line with the procedures provided for registering and distributing a Filing in this Practice Direction.

3. Each translation shall be paginated in reverse order, beginning with the final page of the translation and ending with the first page of the translation. The page number of the cover page of the original document shall be added at the end of the page number of each page of the translation to create a link between the original document and the translation. The suffix "BIS" shall be added to the page numbers of translations into the other working language of the Mechanism. The suffixes "TER", "QUATER", etc. shall be added to translations into languages other than the two working languages of the Mechanism.

#### Article 19 Restricted Access Filings

1. When, due to the sensitivity of a document submitted for filing, its access needs to be limited as much as possible, a Submitting Entity shall inform the Registry of its intention to submit a document for filing with temporarily restricted access and provide a justification for such restricted access designation.

2. The Registry will refer the Submitting Entity to a Registry representative designated to receive the announced restricted access document, either in hard copy or in electronic format to the inbox of the designated Registry representative, to initiate the processing of the document.

3. Access to documents under this procedure will be limited to those Registry staff members strictly necessary for the processing and distribution of the Filing. The Filing will be distributed only to the individual recipients indicated to the Registry by the Submitting Entity, the President, or the Chamber.

4. The Registry shall clearly indicate to all recipients of the Filing that it is being distributed with a temporary restricted access designation.

5. Once the document is processed and distributed, an external drive with an electronic copy of the Filing, if applicable, will be securely locked in the Registry vault. The Registry will delete all remaining electronic copies of the document, including email attachments and scans. Only very basic and neutral associated metadata, but not the document itself, will be entered into the UJDB.

6. The Submitting Entity must indicate to the Registry and review, at regular intervals, the date or event after which the temporary restricted access designation lapses and the Filing can be uploaded to the UJDB.

7. Temporary restricted access on such filings will remain in place until the date or event indicated by the Submitting Entity or unless otherwise ordered by the President or the Chamber.

## 2. EXHIBITS

#### Article 20 General Provisions

1. Only evidence admitted by the Chamber shall be entered into the Case Record as an Exhibit.

2. In managing documents tendered into evidence, and subject to any order of the Chamber, the Registry shall ensure that all documents tendered into evidence are:

- (a) Submitted in accordance with the Rules and Practice Directions of the Mechanism;
- (b) Submitted in one of the working languages of the Mechanism. Documents submitted in another language shall include a translation into a working language of the Mechanism, unless otherwise decided by the Chamber; and
- (c) Properly registered, marked, and secured in eCourt and/or in the Registry vaults, as applicable.
- 3. For each Exhibit, the Registry shall register and maintain the relevant metadata.

## Article 21 Exhibit Numbers

1. Subject to any order by the Chamber, the Registry will assign to each Exhibit or record marked for identification by the Chamber a five-digit sequential number indicating the order of presentation, preceded by the following prefix:

- (a) "P": Exhibit tendered by the Prosecutor or the staff member(s) authorised by the Prosecutor to act on his/her behalf;
- (b) "D": Exhibit tendered by the Defence. In multiple Accused Cases, a sequential number that corresponds to the order of the Accused as listed in the indictment may be added in front of the prefix "D" to designate Exhibits tendered by the Defence of that Accused; and
- (c) "C": Exhibit admitted by the Chamber *proprio motu*.

### **3. TRANSCRIPTS**

#### Article 22 General Provisions

- 1. The Registry shall produce Transcripts of all judicial proceedings.
- 2. Transcripts shall be produced in both working languages of the Mechanism.
- 3. The Registry manages Transcripts, including by:
  - (a) Marking the Security Classification Level in line with the type of court session (open, closed, private, or *ex parte* session), including any redactions ordered;
  - (b) Implementing any redaction or reclassification order issued by the President or the Chamber;
  - (c) Implementing any corrigenda to the transcription and interpretation; and
  - (d) Distributing Transcripts to the President, the Chamber, and Parties to a Case in accordance with the Security Classification Level and distribution designation.
- 4. For each Transcript, the Registry shall register and maintain the following information:
  - (a) Case Number and Case name;
  - (b) Sequential Transcript page numbers;
  - (c) Date of the proceedings transcribed;
  - (d) Security Classification Level;
  - (e) Subject matter of the proceedings, if applicable (*e.g.* procedural matters, examination-in-chief, cross-examination); and
  - (f) Full name or pseudonym of the witness testifying, if applicable.

## 4. AV RECORDINGS

## Article 23 General Provisions

- 1. The Registry shall produce AV Recordings of all judicial proceedings, which shall capture all languages spoken during the proceedings, including interpretation.
- 2. The Registry shall manage AV Recordings, including by:
  - (a) Marking the Security Classification Level in line with the type of session (open, closed, private, or *ex parte* session), including any redactions ordered;

- (b) Ensuring that a full version and, where applicable, redacted version of the AV Recordings of each hearing is available to the Chamber, Parties to a Case, and for the public, through the UCR as appropriate and as instructed by the President or the Chamber; and
- (c) Implementing or verifying the implementation of any redaction and/or reclassification ordered by the President or the Chamber.
- 3. The Registry shall register and maintain the following information on AV Recordings:
  - (a) Case Number and Case name;
  - (b) Date of the proceedings recorded;
  - (c) Security Classification Level;
  - (d) Languages used during the proceedings; and
  - (e) Type of proceedings (*e.g.* initial appearance, status conference, trial hearing).