

**UNITED
NATIONS**



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

Case No. IT-01-42-A
Date: 17 July 2008
Original: English

IN THE APPEALS CHAMBER

Before: **Judge Andrésia Vaz, Presiding**
Judge Mohamed Shahabuddeen
Judge Mehmet Güney
Judge Theodor Meron
Judge O-Gon Kwon

Registrar: **Mr. Hans Holthuis**

Judgement of: **17 July 2008**

PROSECUTOR

v.

PAVLE STRUGAR

PUBLIC

JUDGEMENT

The Office of the Prosecutor:

Ms. Helen Brady
Ms. Michelle Jarvis
Mr. Xavier Tracol
Ms. Laurel Baig

Counsel for the Accused:

Mr. Goran Rodić
Mr. Vladimir Petrović

CONTENTS

I. INTRODUCTION	1
A. BACKGROUND	1
B. THE APPEAL	3
II. APPELLATE REVIEW.....	5
A. STANDARD FOR APPELLATE REVIEW	5
B. STANDARD FOR SUMMARY DISMISSAL.....	7
1. Challenges to Factual Findings on Which a Conviction Does not Rely.....	8
2. Arguments That Fail to Identify the Challenged Factual Findings, That Misrepresent the Factual Findings, or That Ignore Other Relevant Factual Findings.....	8
3. Mere Assertions That the Trial Chamber Failed to Give Sufficient Weight to Evidence or Failed to Interpret Evidence in a Particular Manner	9
4. Mere Assertions Unsupported by Any Evidence.....	9
5. Arguments That Challenge a Trial Chamber’s Reliance or Failure to Rely on One Piece of Evidence	9
6. Mere Assertions that the Trial Chamber Must Have Failed to Consider Relevant Evidence	10
III. ALLEGED ERRORS IN THE TRIAL CHAMBER’S ESTABLISHMENT OF STRUGAR’S FITNESS TO STAND TRIAL (STRUGAR’S FIFTH GROUND OF APPEAL).....	11
A. INTRODUCTION	11
B. PROCEDURAL BACKGROUND	11
C. PRELIMINARY MATTER – DECISION ON CERTIFICATION.....	14
D. ARGUMENTS OF THE PARTIES.....	15
E. DISCUSSION	16
1. Legal Standard to Establish an Accused’s Fitness to Stand Trial.....	17
(a) Decision of 26 May 2004	17
(b) Discussion	18
(i) Jurisprudence of the Tribunal and the ICTR.....	18
(ii) Other International Jurisdictions.....	19
(iii) National Jurisdictions	21
(iv) Conclusion	24
2. Application of the Legal Standard to the Facts of the Case.....	25
3. Conclusion	30
IV. ALLEGED ERRORS OF FACT (STRUGAR’S FIRST AND THIRD GROUNDS OF APPEAL).....	31
A. INTRODUCTION	31
B. ALLEGED ERRORS REGARDING JNA COMBAT OPERATIONS IN THE REGION OF DUBROVNIK IN OCTOBER AND NOVEMBER 1991	31
1. Alleged Errors Regarding JNA Combat Operations in October 1991.....	31
2. Alleged Errors Regarding JNA Combat Operations in November 1991	33
3. Alleged Errors Regarding Jokić’s Investigation of JNA Combat Operations in November 1991	34
(a) Arguments of the Parties	34
(b) Discussion	36
4. Alleged Errors Regarding Strugar’s Knowledge of the Shelling of the Old Town in October and November 1991	38
(a) Arguments of the Parties	38
(b) Discussion	38
C. ALLEGED ERRORS REGARDING THE EVENTS OF 3 AND 5 DECEMBER 1991	39

1. Alleged Errors Regarding Strugar's Responsibility for Conducting Negotiations with Croatian Ministers	39
2. Alleged Errors Regarding the Order to Attack Srđ.....	40
(a) Arguments of the Parties	40
(b) Discussion	41
3. Alleged Errors Regarding Jokić's Role in the Events of 5 December 1991.....	42
4. Alleged Errors Regarding Doyle's Testimony	43
(a) Arguments of the Parties	44
(b) Discussion	46
5. Alleged Errors Regarding the "Military Realities of the JNA"	47
6. Alleged Errors Regarding Svićević's Testimony	48
(a) Arguments of the Parties	48
(b) Discussion	49
7. Alleged Error Regarding Jovanović's Testimony.....	49
D. ALLEGED ERRORS REGARDING THE EVENTS OF 6 DECEMBER 1991	50
1. Alleged Errors Regarding Strugar's Telephone Conversation with Kadijević.....	51
(a) Arguments of the Parties	51
(b) Discussion	52
2. Alleged Errors in Finding That the Risk of Which Strugar Had Notice Was Sufficient to Justify Further Enquiry.....	53
(a) Arguments of the Parties	53
(b) Discussion	53
3. Alleged Errors in Findings on Strugar's Knowledge of the Progress of the Attack against Srđ on 6 December 1991	54
(a) Arguments of the Parties	54
(b) Discussion	56
4. Alleged Error Regarding Handžijev's Testimony	57
5. Alleged Errors Regarding Jokić's and Nešić's Reports on Events of 6 December 1991	57
(a) Arguments of the Parties	58
(b) Discussion	58
6. Alleged Errors Regarding Croat Firing Positions or Heavy Weapons in the Old Town on 6 December 1991	59
(a) Arguments of the Parties	59
(b) Discussion	59
7. Alleged Error Regarding Expert Witness Viličić's Report.....	60
(a) Arguments of the Parties	60
(b) Discussion	61
8. Alleged Errors Regarding the Ownership of Damaged Buildings.....	61
9. Alleged Errors Regarding the Status of Valjalo and Ivo Vlašica	62
(a) Arguments of the Parties	62
(b) Discussion	64
(i) Applicable Legal Standard.....	64
(ii) Alleged Errors Regarding Valjalo's Direct Participation in the Hostilities.....	70
(iii) Ivo Vlašica's and Valjalo's Civilian Status	72
E. ALLEGED ERRORS REGARDING STRUGAR'S FAILURE TO PREVENT	73
1. Alleged Errors Regarding the Command Structure of the 2 OG	73
2. Alleged Errors in Finding That Strugar Had the Material Ability to Prevent	74
(a) Arguments of the Parties	74
(b) Discussion	75
3. Alleged Errors Regarding Strugar's Measures to Prevent and Stop the Shelling of the Old Town.....	75
(a) Arguments of the Parties	76
(b) Discussion	77
4. Alleged Errors in Findings on the Ceasefire Order of 11:15 a.m.	80
(a) Arguments of the Parties	80

(b) Discussion	81
F. ALLEGED ERRORS REGARDING STRUGAR’S FAILURE TO PUNISH	82
1. Alleged Error in Finding That Strugar Had the Material Ability to Punish	82
2. Alleged Errors Regarding Strugar’s Failure to Take Measures for the Events of 6 December 1991	83
(a) Arguments of the Parties	83
(b) Discussion	85
3. Alleged Errors Regarding Promotions and Decorations for the Events of 6 December 1991	92
G. CONCLUSION	93
V. ALLEGED ERRORS OF LAW (STRUGAR’S SECOND GROUND OF APPEAL).....	94
A. ALLEGED ERRORS REGARDING THE SUPERIOR-SUBORDINATE RELATIONSHIP	94
1. Arguments of the Parties.....	94
2. Discussion.....	95
(a) Ability to Prevent	96
(b) Ability to Punish	98
B. ALLEGED ERROR IN CHARACTERIZATION OF THE <i>MENS REA</i> OF THE CRIMINAL OFFENCE.....	99
1. Arguments of the Parties.....	99
2. Discussion.....	100
(a) Attacks on Civilians (Count 3).....	101
(b) Destruction or Wilful Damage of Cultural Property (Count 6)	104
C. CONCLUSION	105
VI. ALLEGED ERROR OF LAW REGARDING THE SCOPE OF STRUGAR’S DUTY TO PREVENT (PROSECUTION’S FIRST GROUND OF APPEAL)	106
A. INTRODUCTION	106
B. ARGUMENTS OF THE PARTIES	107
C. DISCUSSION	112
D. CONCLUSION	118
VII. ALLEGED ERROR IN THE APPLICATION OF THE LAW ON CUMULATIVE CONVICTIONS (PROSECUTION’S SECOND GROUND OF APPEAL).....	119
A. INTRODUCTION	119
B. ARGUMENTS OF THE PARTIES	119
C. DISCUSSION	122
1. The Trial Chamber’s Use of Discretion in Applying the Cumulative Convictions Test.....	122
2. The Trial Chamber’s Application of the Cumulative Convictions Test.....	123
D. CONCLUSION	126
VIII. SENTENCING.....	127
A. ALLEGED SENTENCING ERRORS (STRUGAR’S FOURTH GROUND OF APPEAL AND PROSECUTION’S THIRD GROUND OF APPEAL)	127
1. Introduction.....	127
2. Standard for Appellate Review on Sentencing	127
3. Alleged Errors Regarding the Comparison of Strugar’s and Jokić’s Sentences.....	128
(a) Introduction	128
(b) Arguments of the Parties	129
(i) Strugar’s Appeal	129
(ii) The Prosecution’s Appeal	129
(c) Discussion	132
4. Alleged Errors Regarding Strugar’s Post-Trial Statement.....	135
(a) Introduction	135
(b) Arguments of the Parties	136
(i) Strugar’s Appeal	136

(ii) The Prosecution’s Appeal	136
(c) Discussion	137
5. Alleged Errors Regarding Mitigating Circumstances.....	139
(a) Introduction	139
(b) Arguments of the Parties.....	139
(c) Discussion	141
6. Conclusion	143
B. IMPACT OF THE APPEALS CHAMBER’S FINDINGS ON THE SENTENCE	143
1. Error of Law Regarding Prosecution’s First Ground of Appeal.....	143
2. Error of Law Regarding the Prosecution’s Second Ground of Appeal	144
C. CONSIDERATION OF STRUGAR’S POST-TRIAL HEALTH AS A MITIGATING CIRCUMSTANCE ON APPEAL	144
1. Arguments of the Parties.....	144
2. Discussion	145
IX. DISPOSITION	146
X. SEPARATE OPINION OF JUDGE SHAHABUDDEEN	148
A. INTRODUCTION	148
B. THE FACTS	149
C. THE LAW	153
D. SINGLENESS OF COMMAND	156
E. BURDEN OF PROOF	157
F. CONCLUSION.....	158
XI. JOINT DISSENTING OPINION OF JUDGE MERON AND JUDGE KWON	159
A. SINGLENESS OF COMMAND	159
B. THE BURDEN OF PROOF.....	160
C. THE FINDING OF THE TRIAL CHAMBER IS INSUFFICIENT TO PROVE THAT STRUGAR KNEW THAT THE INVESTIGATION WAS A SHAM	161
D. THERE IS NO EVIDENCE TO PROVE THAT STRUGAR KNEW THAT THE INVESTIGATION WAS A SHAM	161
E. STRUGAR’S COMPLICITY IN THE SHAM INVESTIGATION	162
F. CONCLUSION.....	163
XII. ANNEX A – PROCEDURAL HISTORY	164
A. TRIAL PROCEEDINGS	164
B. APPEAL PROCEEDINGS.....	165
1. Notices of Appeal	165
2. Initial Composition of the Appeals Chamber	165
3. Appeal Briefs	165
(a) Prosecution’s Appeal.....	165
(b) Strugar’s Appeal	166
4. Strugar’s Requests for the Provision of Medical Aid and Provisional Release.....	166
5. Withdrawal of the Appeals	167
6. Request for Early Release.....	168
7. Reopening of the Appeals	168
8. New Composition of the Appeals Chamber	169
9. Additional Submissions by the Parties	169
10. Status Conferences.....	169
11. Appeals Hearing.....	170
12. Provisional Release after Reopening of the Appeals.....	170
XIII. ANNEX B – GLOSSARY OF TERMS	171

A. JURISPRUDENCE	171
1. International Tribunal	171
2. International Criminal Tribunal for Rwanda	175
3. International Military Tribunals.....	177
4. European Court of Human Rights.....	177
5. Dili District Court's Special Panels for Serious Crimes.....	178
6. Special Court for Sierra Leone	178
7. National Jurisdictions.....	178
(a) Australia	178
(b) Austria.....	178
(c) Belgium	178
(d) Chile	178
(e) Canada	178
(f) Germany	179
(g) India	179
(h) Japan.....	179
(i) Korea.....	179
(j) Malaysia.....	179
(k) Russian Federation.....	179
(l) Serbia	179
(m) United Kingdom.....	179
(n) United States of America	180
8. Other Documents	180
(a) United Nations Documents	180
(b) International Treaties	180
9. Doctrine.....	181
B. LIST OF DESIGNATED TERMS AND ABBREVIATIONS	181

December 1991.⁶⁶⁸ Hence, the Appeals Chamber will first examine the applicable law and then determine whether the factual conclusion reached by the Trial Chamber was one which no reasonable trier of fact could have reached.

(a) Attacks on Civilians (Count 3)

270. The Appeals Chamber has previously ruled that the perpetrator of the crime of attack on civilians must undertake the attack “wilfully” and that the latter incorporates “wrongful intent, or recklessness, [but] not ‘mere negligence’”.⁶⁶⁹ In other words, the *mens rea* requirement is met if it has been shown that the acts of violence which constitute this crime were **wilfully** directed against civilians, that is, either deliberately against them or through recklessness.⁶⁷⁰ **The Appeals Chamber considers that this definition encompasses both the notions of “direct intent” and “indirect intent”** mentioned by the Trial Chamber, and referred to by Strugar, as the *mens rea* element of an attack against civilians.

271. As specified by the Trial Chamber in the *Galić* case,

For the *mens rea* recognized by Additional Protocol I to be proven, the Prosecution must show that the perpetrator was aware or should have been aware of the civilian status of the persons attacked. In case of doubt as to the status of a person, that person shall be considered to be a civilian. However, in such cases, the Prosecution must show that in the given circumstances a reasonable person could not have believed that the individual he or she attacked was a combatant.⁶⁷¹

The intent to target civilians can be proved through inferences from direct or circumstantial evidence.⁶⁷² There is no requirement of the intent to attack *particular* civilians; rather it is prohibited to make the civilian population as such, as well as individual civilians, the object of an attack.⁶⁷³ The determination of whether civilians were targeted is a case-by-case analysis, based on a variety of factors, including the means and method used in the course of the attack, the distance between the victims and the source of fire, the ongoing combat activity at the time and location of

⁶⁶⁸ The Appeals Chamber notes that the Trial Chamber made legal and factual findings with respect to Count 3 (attacks on civilians) and Count 5 (attacks on civilian objects) simultaneously (Trial Judgement, paras 277 *et seq.*). Strugar has not presented any argument concerning the Trial Chamber’s findings in relation the *mens rea* element of the crime of attack on civilian objects, given that, in light of its conclusion on cumulation, the Trial Chamber did not enter a conviction under Count 5. Both parties clarified that, in their views, the *mens rea* requirement of the crime of attack on civilians and the crime of attack on civilian objects are identical (AT. 137; AT. 212).

⁶⁶⁹ *Galić* Appeal Judgement, para. 140, citing *Galić* Trial Judgement, para. 54.

⁶⁷⁰ Cf. **Commentary AP I**, para. 3474 which defines the term “wilfully” in the following way: “the accused must have acted consciously and with intent, i.e., with his mind on the act and its consequences, and willing them (‘criminal intent’ or ‘malice aforethought’); this encompasses the concepts of ‘wrongful intent’ or ‘recklessness’, *viz.*, the attitude of an agent who, without being certain of a particular result, accepts the possibility of it happening; on the other hand, ordinary negligence or lack of foresight is not covered, i.e., when a man acts without having his mind on the act or its consequences.”

⁶⁷¹ *Galić* Trial Judgement, para. 55; see also *Kordić and Čerkez* Appeal Judgement, para. 48; *Blaškić* Appeal Judgement, para. 111.

⁶⁷² *Galić* Appeal Judgement, fn. 707.

⁶⁷³ *Ibid.*, fn. 709, citing *Additional Protocol I*, Article 52 (2).