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**Twentieth session**

The Hague, 6-11 December 2021

**Report of the Court on Human Resources Management\****Executive Summary*

1. This report provides (1) an update on the Court's progress on its 2019-2021 strategic objectives in relation to human resources management; (2) standard workforce statistics; and (3) responses to specific requests and/or recommendations made by the Committee on Budget and Finance.
2. In 2020, despite the challenges and restrictions resulting from the COVID-19 pandemic, the Court remained focused on delivering on the relevant strategic objectives included in the promulgated strategic plans for the period 2019-2021. Although the COVID-19 pandemic presented unprecedented operational challenges, the Court was nonetheless able to react swiftly and establish a full virtual office within a few weeks of closing the doors to its premises. It managed to do so thanks to investments already implemented in the digitization of its processes and services as well as in its human resources management. While great resilience was required of the Court's human resources to adapt to these sudden changes, the Court succeeded in finding stability within a few months and was able to continue pursuing its strategic objectives with some adjustments to remote working conditions.
3. In response to the global pandemic, under the guidance and strategic oversight of the Court's Principals, the Court deployed its Crisis Management Team (CMT) in early March 2020 and established crisis management objectives of: (1) business continuity; (2) productivity; and (3) staff well-being and engagement.
4. The objectives set by the CMT mostly complemented the Court's pre-existing strategic plans. Although the necessary initial adjustments to the working environment slowed progress on the objectives, it also provided opportunities to accelerate change in certain working methods (remote working, mobility) and consider new initiatives for the future of work.
5. The pre-existing strategic plans allowed the Court to realign its work as soon as the crisis situation started to stabilize. The Court continued its firm commitment to organizational performance by strengthening professionalism, dedication and integrity in all of the Court's operations, managing resources in an effective, coherent, transparent, responsible and adaptable manner, and creating a safe and secure working environment in which staff well-being, engagement and continuous improvement are at the centre.

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\* Previously issued as CBF/36/13.

6. While finalizing the Court's strategic plans at the beginning of 2019 on the basis of the results of the staff engagement survey, the heads of organs set the direction for the Court's human resources management priorities through strategic objectives: (1) promote gender equality; (2) support and facilitate the improvement of geographical representation; (3) review the Court's staff selection and development processes, including by adopting a mobility framework; (4) encourage occupational health and work-life balance, including through secondary trauma prevention; (5) further develop ethics and standards of conduct, with a focus on harassment and conflict resolution mechanisms; and (6) develop the Court's leadership programme.

7. The Registry Strategic Plan for 2019-2021 further expanded on these with three strategic priorities: (1) continuous improvement; (2) increased staff engagement; and (3) geographical representation and gender balance (GRGB). With regard to these three strategic priorities, the following specific deliverables were identified: (i) external review of the recruitment process; (ii) implementation of the Court's first leadership framework; (iii) development of a mobility framework; (iv) performance data on all recruitment activities and overall GRGB; (v) targeted plans for the most underrepresented States; (vi) mentoring programme for women; (vii) appointment of a focal point for gender equality; (viii) knowledge management; and (ix) digitization of administrative processes. The Office of the Prosecutor's plan for supporting these objectives entails fostering an enabling workplace culture dedicated to the core values and an integrated approach, while striving for continuous improvement. The Office was an institutional partner in many of these initiatives and deliverables.

8. The report provides a summary on pages 3-4 of the progress made in various human resources management strategic areas in 2020, a very challenging year.

## **1. Introduction**

1. In 2020, a very challenging year, activities continued to take place in support of the strategic human resources management objectives and priorities of the International Criminal Court ("the Court"), despite the restrictions and the additional workload resulting from the COVID-19 crisis. Management of human resources is a shared responsibility between managers, the Human Resources Section ("HRS" or "HR Section") and other stakeholders, and in 2020 this collaboration was required more than ever before. Consolidated efforts and cross-organ working groups were established in order to adjust to the changed working environment.

2. Organizational performance and individual performance are intrinsically linked, as are individual performance and staff well-being and engagement. It is with this understanding that the Crisis Management Team (CMT) established business continuity, productivity and staff well-being and engagement as objectives. Focusing on those principles allowed the Court to continue its work, including in the area of human resources management, vital for an organization that relies fully on its staff. When it comes to individual performance, numerous studies have shown the causal link between engagement and performance. The more engaged staff are, the better they perform.

# HUMAN RESOURCES MANAGEMENT

PROGRESS ON STRATEGIC OBJECTIVES 2019 - 2020 & PLANNED ACTIVITIES FOR 2021

P People
 ● Leadership
 ● Environment
 ● Implemented
 ▲ Ongoing
 ■ Postponed

LEADERSHIP		<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">L</span> Leadership
2019	Leadership Framework approved.	●
	3-year Leadership Development Plan approved.	●
2020	Year 1 of the Leadership Development Plan successfully rolled out; first ICC Leadership Conference held in February.	●
	Leadership foundation modules available to all staff (My Learning).	●
	3-year collaboration agreement with the UN System Staff College was signed.-	●
	5-month blended leadership development training course (UN System Executive Management Programme) completed by 13 senior leaders (P-5 and D-1); year-long online learning programme (UN Extended E-Certificate in Leadership and Management) started by 11 senior leaders (P-4).	▲
	360 feedback developmental project launched.	▲
2021	Implement approved Leadership Development Plan (conference, Developmental 360, UN courses, practical group workshops).	
	Embed leadership framework into HR processes (recruitment, performance management and staff engagement), as per CoCo approval.	
	Develop proposal for new "onboarding for managers".	
		 <p><b>83%</b> of senior leaders attended the first leadership conference</p> <p><b>24.4%</b> of P-5 and <b>11.1%</b> of D-1 staff took part in the UN Executive Management Programme</p>
STAFF WELL-BEING & ENGAGEMENT		<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">P</span> People
2019	Top 5 Staff Well-being and Engagement priorities identified and communicated by heads of organs.	●
	Staff survey results at organ, division and section levels shared and discussed.	●
	Support provided for designing staff well-being action plans.	●
	Action plans created at organ and division levels.	▲
	Staff Wellbeing and Engagement Committee (SWEC) officially established.	●
2020	Staff Wellbeing and Engagement Committee's mandate continued with focus on the top 5 Court-wide priorities.	▲
	Key initiatives implemented to strengthen the well-being and engagement of all staff with specific focus on the impact of COVID-19 restrictions (4 live webinars, 6 pulse surveys, open channels, guidelines, online resources, dedicated Intranet pages, intervention methods, COVID-19 gender perspective).	●
	WHO-5 Well-Being Index measured amongst Court managers and correlated with other similar UN organizations.	●
2021	Roll-out Staff Engagement Survey 2021 - #YourVoiceMatters.	
	Advise managers on implementing staff engagement action plans.	
		 <p><b>407</b> staff members attended the well-being webinars</p> <p><b>94%</b> of Court managers responded to the WHO-5 Well-Being Index survey</p>
STAFF SELECTION AND MOBILITY		<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">P</span> People
2019	Actively sourced female candidates and candidates from non- and underrepresented countries.	▲
	Developed staff mobility framework.	▲
2020	First ICC Staff Mobility Pilot Programme proposal designed.	▲
2021	Provide learning mobility opportunities (on-the-job learning, participation in projects/missions, job shadowing, cross-training);	
	Cooperate with OneHR: group jobs into job families and networks, per UN standards - foundational step for future increased mobility between staff in the same job family/network.	
		
PERFORMANCE MANAGEMENT		<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">P</span> People
2019	New and revamped policy, process and system implemented.	●
	Highest final compliance rate to date achieved.	●
	95% of all staff had at least one performance conversation, while 36% (1 out of 3) had more than one.	●
	Workshops and training offered to all managers (new process and coaching skills for supervisors).	▲
2020	Coaching skills for supervisors training programme successfully completed - participation rate of approx. 80%.	●
	The compliance rate, a Court KPI, sustained at the highest levels ever recorded; new performance management process recognized as a reference.	●
	Link between performance management and strategic plans improved.	▲
	Ongoing support provided for setting objectives, managing virtual teams and fostering a culture of ongoing performance conversations (webinars, guidelines, online resources, coaching, ongoing feedback, rewarding good performance).	▲
	Cross-team collaboration implemented to assess and optimize productivity, facilitate change and define the "new normal" (Flexible Working Arrangements, Staff Mobility Pilot, The Future of Work at the ICC).	▲
2021	Increase strategic relevance of the process (better link between organizational and individual objectives).	
	Continuously support managers and staff in efforts to create and maintain a culture of trust and ongoing feedback, using practical tools.	
	Sustain high compliance rate (96%).	
	Strengthen the link between performance management, learning/development and the approved leadership framework.	
		 <p>Compliance Rate: 65% (2015/2016), 92% (2016/2017), 93% (2017/2018), 95% (2018/2019), 95% (2019/2020), 97% (2020/2021)</p> <p>Performance conversations: <b>97%</b> had at least one; 1 out of 3 had more than one</p>
LEARNING & DEVELOPMENT		<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">P</span> People
2019	5,363 hours of training provided to 554 staff members across the Court (49.8%); average hours of training: 9.7 hours.	▲
	Online learning opportunities accessed by 354 staff members (32%) on LinkedIn Learning (average time per viewer: 5h22m).	▲
	More than 1000 ebooks downloaded from the ICC Bookboon eBook Collection.	●
	10 onboarding sessions facilitated for a total of 49 staff members (average satisfaction rate of 3.7 out of 5).	▲
2020	First Court learning management system, "My Learning", launched.	●
	Draft prepared of a learning and development policy, broadening the understanding of learning and introducing new learning modalities; currently under consultation.	▲
	Progress made on a sustainable culture of learning and knowledge-sharing (self-paced e-learning courses, ebooks, interactive trainings, workshops, webinars).	▲
	Language courses and the Language Proficiency Exams successfully implemented virtually; new partnership entered into with the Organisation internationale de la francophonie.	●
2021	Implement new learning and development policy, introducing new learning modalities such as "one-to-one" and "experiential" learning.	
	Provide coaching as a free service to staff, using internal resources. Continue into year 2 of mentoring programme.	
	Unleash internal knowledge: My Learning platform and in-house expertise.	
	Offer in-house trainings on unconscious bias, anti-harassment.	
		 <p><b>62%</b> Staff completed at least one learning activity.</p> <p><b>12,278</b> hours of training   <b>€14.35</b> cost per hour</p> <p><b>2x</b> learning hours for half the cost per hour in comparison to 2019</p>

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## WORKFORCE PLANNING

P People

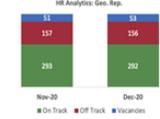
2020	Strategic Workforce Planning (SWP) project initiated.	●
	Comprehensive benchmarking exercise was conducted with 15 UN and other international organizations.	●
2021	Pursue continuous improvements on recruitment process (dashboards, process automation, new assessments, sourcing and outreach for key positions with focus on GRGB).	
	Establish clear GRGB targets.	
	Review recruitment process (external expert).	
2021	Launch pilot with generic job profiles; pilot recruitment techniques with expected high effectiveness, using agile test implementation techniques.	



## GEOGRAPHIC REPRESENTATION & GENDER BALANCE

E Environment

2019	Mentoring Programme for Women (a pilot programme) rolled out for approximately 50 participants.	▲
2020	Mentoring Programme for Women completed and evaluated and next steps proposed.	●
	Establishment of a Focal Point for Gender Equality at the Court approved. New analytical metrics showing GRGB performance over time developed by the SWT team.	▲
2021	Appoint a Focal Point for Gender Equality; initiate development of Court-wide gender policies.	



## ETHICS AND STANDARDS ON CONDUCT

E Environment

2019	Expert assessment on informal conflict resolution conducted and recommendations received.	●
2020	Ethics Charter issued.	▲
	Informal conflict resolution framework implemented.	▲



## DIGITIZATION, SYSTEMS AND KNOWLEDGE MANAGEMENT (CONTINUOUS IMPROVEMENT)

E Environment

2019	Additional 11 HR operations processes digitized.	●
	SAP Payroll Control Centre - internal controls implemented.	●
	Content for the HR Knowledge Management platform designed and prepared.	●
	Data platform for HR analytics and report automation developed.	●
2020	Learning Management System developed and configured.	●
	Learning Management System "My Learning" launched for all staff members and new courses constantly added.	●
	Automated standard compliancy reports released.	▲
2021	HR analytics dashboards released (sick leave rates 2016 - 2020, recruitment candidates (gender & geographical)).	●
	Develop HR services solution; ability to measure HR service levels. Develop digital personnel records solution.	



## POLICIES

E Environment

2019	AI on Flexible Working Arrangements	●
	AI on Performance Appraisal System	●
2020	AI on After-Service Health Insurance (ASHI)	▲
	AI on Inter-Organizational Exchange	▲
	AI on Short-Term Language Staff	▲
	AI on Service-Incurred Death, Injury or Illness - Appendix D to UN Staff Rules	▲
	AI on Staff Selection and Recruitment	▲
	AI on Learning and Development	▲
	AI on Education Grant	▲
	AI on Special Post Allowance	▲
	AI on Flexible Working Arrangements (review)	▲
	AI on Short-Term Appointments (review)	▲
AI on Consultants and Individual Contractors (review)	▲	
2021	AI on National Professional Officers	



## JPO PROGRAMME

2019	Career development programme for JPOs approved.	●
	Third year for JPOs on a cost-shared basis (50/50) approved.	●
	Meetings held with interested sponsors to increase capacity of the programme.	▲
2020	JPO Programme evaluation and next steps prepared for presentation to the Committee in 2021.	▲
	Final programme guidelines and final MoU sample prepared for presentation to the Committee and Assembly in 2021.	▲
	Third year for JPOs on a cost-shared basis (amendment of MoUs) implemented. Negotiations and inter-organ consultations on MoUs conducted with new donors (Germany, France and Finland).	●
2021	Conduct further negotiations with prospective donors.	



## INTERNSHIP AND VISITING PROFESSIONAL PROGRAMME

2019	Funding received by the Trust Fund for Development of Interns and Visiting Professionals implemented.	▲
	Communication campaign launched and private donations to the Trust Fund for IVPs administered.	●
	Participated in career events to increase awareness of the programme in non- and underrepresented countries.	●
	Legal Professional Programme (LPP) under the EC Grant for 2019-2020 implemented.	●
2020	IVPP Journey aimed at improving experience of IVPs (alumni network, welcome packs, roundtables, etc.) approved.	▲
	Outreach conducted for the Trust Fund for IVPs aimed at with potential sponsors to increase donations and number of funded placements.	▲
	LPP implemented under the EC Grant for 2019-2020. IVPP Journey implemented.	●



## 2. COVID-19 - Crisis Management Team - Productivity

3. The CMT Subcommittee for Productivity was established to advise the CMT on concrete measures to optimize productivity and ensure business continuity in the light of a volatile, uncertain, complex and ambiguous environment.



4. The cross-team collaboration was able to propose specific measures to maintain business continuity, assess productivity levels, facilitate change and define the “new normal”. The measures were supported by a number of key activities, such as productivity impact assessments; survey/research analysis and action plans for improvements; adjustments to flexible working arrangements; benchmarking with other UN organizations on best practices and knowledge-sharing; equipment feasibility studies; scenario preparation plans; change management communication and initiatives; and the development of a “White Paper – The Future of Work” featuring key findings and recommendations on trends post-pandemic. The subcommittee’s recommendations take into consideration the specifics of the Court’s core business, in particular its on-premises courtroom activities which require staff to operate from headquarters.

5. The first ICC Staff Mobility Pilot Programme proposal was designed under the subcommittee’s mandate, with the aim of using human resources efficiently in the light of the COVID-19 context. Per the pilot, the areas most affected by the pandemic and confronted with performance issues as a result of restrictions would be able to address momentary work imbalances through the temporary reassignment of staff members to different functions on a voluntary and collaborative basis. This could be done, for example, via the advertisement of internal Expressions of Interest. The pilot programme envisioned concrete steps for a responsive, flexible and resilient organization, capable of adapting to new challenges and reallocating human resources quickly and efficiently, all while ensuring a safe and motivating environment for staff. The project is currently being adjusted to incorporate legal advice and requires the support of the Committee on Budget and Finance (“the Committee”) to assign staff members across organs.

## 3. COVID-19 - Crisis Management Team - Staff Wellbeing and Resilience

6. Staff engagement and well-being remained a vital and strategic priority, considering all the uncertainties, challenges and changes brought on by the COVID-19 pandemic. Supporting the psychological and physical health of all staff – understanding, measuring, boosting and maintaining aspects of well-being, taking into account psychosocial considerations in the new working environment – became a primary focus in 2020.

7. To increase the effectiveness of well-being initiatives and to optimize overall well-being at the Court, a holistic approach was implemented, comprising a variety of organ-specific and cross-organ efforts. A significant and ongoing investment in mental and physical health and engagement was developed to monitor and strengthen well-being and resilience during these difficult times.

8. The CMT Subcommittee for Wellbeing and Resilience was established to assist the CMT and ensure that the well-being and resilience of staff are at the centre of the organization’s success by providing well-being support in response to the pandemic and in alignment with the ICC Wellbeing Framework and its engagement drivers. Its work has been essential in addressing the complex nature of well-being needs during this crisis. The subcommittee provided advice and recommendations, developed activities and communications addressed to all staff, and coordinated relevant data-gathering and analysis, thereby informing and supporting the Court’s leadership with respect to crucial aspects of well-being.

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**407** staff members attended the well-being webinars

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9. A number of initiatives were undertaken to strengthen staff well-being and engagement, such as live webinars on a variety of key topics (managing virtual teams, gradual return to the office, building resilience and strengthening team cohesion) as well as pulse surveys to capture feelings, assess current remote work experiences and identify opportunities for improvement.

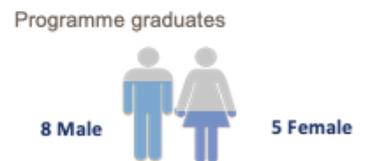
10. Ongoing communication was reinforced through open internal channels for staff seeking advice and/or support relating to concerns about their mental health, alongside dedicated Intranet pages, guidelines and online resources on well-being and resilience. The services were holistically integrated to provide care for issues of mental health, physical health and well-being of staff, share best practices and evidence-based prevention and/or intervention methods to build resilience, reduce anxiety/stress and reinforce the importance of well-being. Extensive research on trends, benchmarking and knowledge-sharing in both private and UN organizations were conducted on a continuous basis.

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**24.4%** of the Court’s P-5 and **11.1%** of D-1 staff took part in the UN System Executive Management Programme.

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11. Other relevant activities included measurement of the WHO-5 Well-Being Index among Court managers and its correlations with other similar UN organizations, implementation of a gender perspective in the current context, contingency plans, guidance on flexible working arrangements, second wave preparation to address the child care burden and support for vulnerable staff with referral pathways to external psychological/psychiatric support.



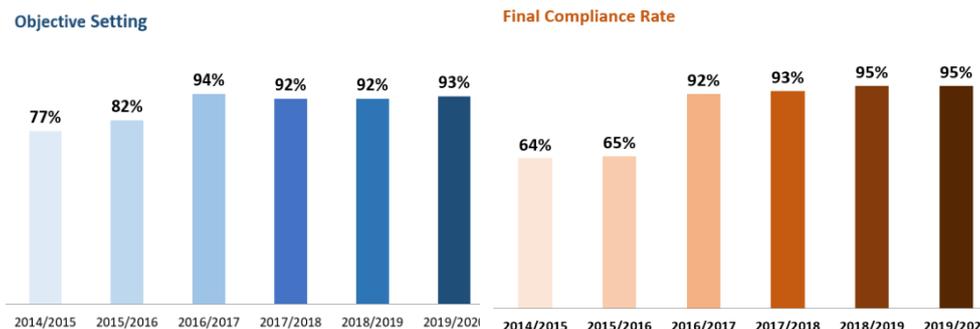
#### 4. Performance management

12. The compliance rate with the performance appraisal system, a key performance indicator of the Court, was sustained at the highest levels ever recorded. There is progress on moving towards a culture of trust and ongoing performance conversations, which became critical with the shift to remote working. Eighty per cent of managers completed the “Coaching Skills for Supervisors” training course. Support, guidelines, webinars and on-demand training were provided to staff and managers on key topics needed to navigate the challenges of performance management at a distance. Communication was frequent. The recognition of continuous learning as key for individual and organizational performance is an emerging trend, as evidenced by the number of staff who entered learning and development objectives in the system. For the 2020-2021 cycle, the final compliance rates (objective setting) reached the highest recorded levels, reflecting the organization’s multi-year efforts to highlight the importance of the process.

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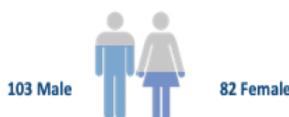
**97%** compliance rate

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Overall compliance rate (Objective Setting and Final Review) year-on-year comparison.

In total, **80% (185 participants)** of all supervisors completed the training, **108** of whom completed it in 2020.



Managers remain the key factor in increasing staff engagement, which has a direct impact on performance. To create meaningful, regular conversations,

managers were trained in **coaching techniques** in practical scenarios.

## 5. Leadership

13. In 2019 the Court recognized the strategic importance of having a common strategy that includes sustainable leadership development programmes for leaders at all levels. The leadership framework defining the leadership behaviours expected at all levels was approved alongside a three-year Leadership Development Plan 2020-2022 (Annex II). The aim of the planned activities is to empower leaders at all levels to foster a high-performing, confident and forward-looking organization, capable of making a positive difference.

14. The planned leadership development activities were implemented per the agreed plan. Executives and senior leaders attended the first ICC Leadership Conference “Walk the Talk”, where the leadership framework was introduced and a common understanding and readiness to serve as role models were developed. A cooperation agreement was signed with the United Nations System Staff College for three years, allowing Court leaders to gain access to learning opportunities offered by the College, such as the UN System Executive Development Programme for senior leaders (P-5s and above), the UN e-Certificate on Leadership and Management (P-4s) and other learning opportunities (e.g. Sustainable Development Goals Primer and Introduction to Innovation).

Programme participants



**11** of the Court’s P-4 staff are taking part in the UN e-Certificate on Leadership and Management.



15. Leadership foundation modules were launched and made available to all staff via the My Learning platform. The modules consist of self-paced online and pre-validated LinkedIn Learning courses. Each of the modules is directed at a different leadership stream with the aim of strengthening leadership competencies at all levels. Preparatory work for launching the Developmental 360 and practical workshops planned for 2021 were also completed.

16. The Court places its people first, and a number of activities were undertaken to ensure that staff competencies, commitment and contributions were in focus. Below is an outline of activities in 2019.

## **6. Staff selection**

17. Recruitment plays a key role in achieving the Court's three strategic priorities. The Registry provides recruitment services for all Major Programmes of the Court and as a result, the efficiency of recruitment is a significant driver of efficiency Court-wide.

18. A thorough external review of the staff selection process was therefore included in the Registry's strategic objectives for 2019-2021. Because of a high workload triggered by the pandemic, it was not possible to start the procurement process to engage consultants for the review until late 2020. The process has since been finalized and the review will start in the second quarter of 2021.

19. The newly developed Administrative Instruction (AI) for the selection process was concluded in 2020 and inter-organ consultations will be finalized and the AI promulgated in the second half of 2021. The new AI includes specific measures to improve geographical representation and gender balance.

## 7. Learning and development

20. The Court's first learning management platform, My Learning, was launched in March 2020, only two weeks after the shift to remote working on account of the pandemic. My Learning offers a central location for e-learning content, including the complete LinkedIn Learning catalogue, in-house content and the eBooks catalogue. Learning content previously spread over the Intranet is now centralized and more accessible. My Learning also allows Court experts (power users) to create courses and share learning content within their areas of expertise, reducing training costs and increasing internal knowledge-sharing, and specifically supporting the Registry's strategic objective of knowledge management. A number of units have already implemented in-house learning programmes. Support for navigating the pandemic – including live and recorded webinars and course catalogues, covering topics such

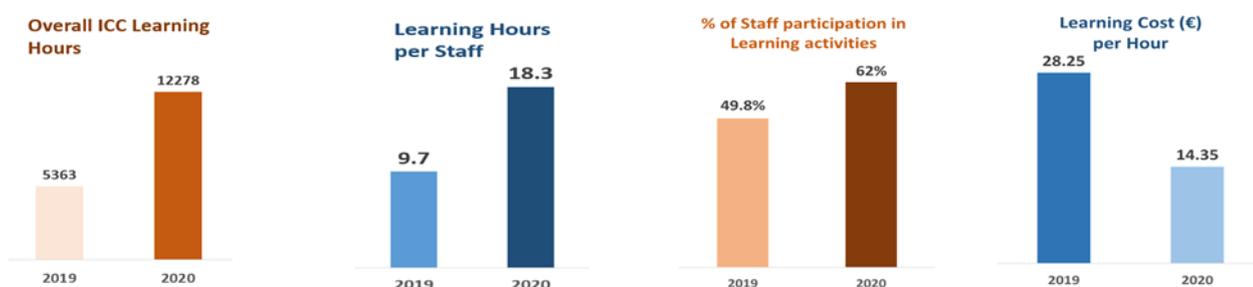
**3,506** hours of e-learning courses

**584** learners used the platform

On average, each learner engaged in **6** hrs of e-learning

as managing virtual teams, time management, building resilience, working remotely and strengthening team cohesion – was offered through My Learning.

21. More learning activities were implemented than in previous years and at a lower average cost. In total, **672** staff members have taken part in at least one learning activity. The number of learning hours completed more than doubled, for half the average cost per hour. This highlights an important step towards a sustainable culture of learning and knowledge-sharing.



Average learning hours per staff member trained and average learning cost per hour.

22. A learning and development policy, broadening the understanding of learning and introducing new learning modalities, was drafted and is currently under consultation.

23. In addition to self-paced opportunities on My Learning, the following interactive training courses, workshops and webinars took place:

Learning activities	Total hours	
Alliance Francaise Courses	4290	<b>8,771</b> total hours of learning activities
Coaching for supervisors Programme	918	
Mentoring Programme	289.5	
Crisis Management Webinars	610.5	
Leadership Conference	238.5	
UN EMP	1260	
UN e-certificate in Managemnt and Leadership	957	
UNSSC Courses	208	

24. Language courses and the language proficiency exams were adapted to the virtual environment and implemented. Onboarding sessions did not take place in 2020 but are expected to resume when pandemic restrictions are lifted. Leadership and management development programmes (a Registry strategic priority) were implemented per the agreed plan (see sections above on performance management and leadership development).

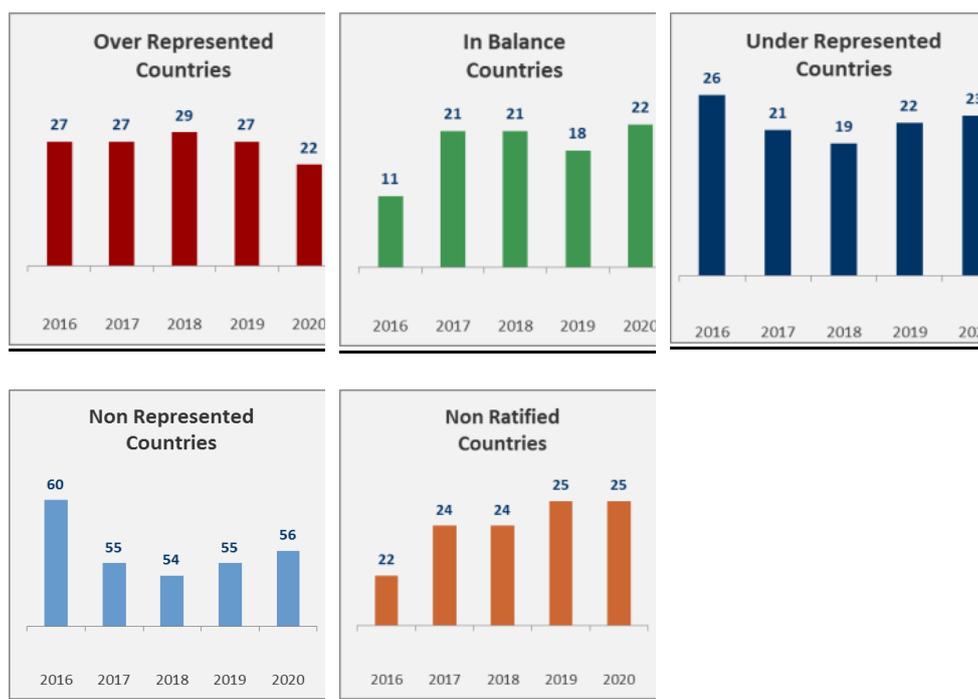
**84%** satisfaction rate

## 8. Geographical Representation and Gender Balance (GRGB)

25. It is well established that a diverse workforce increases productivity, but it is also a matter of organizational legitimacy to represent all its contributors. The Court recognizes that improvement in the area of GRGB has been slow despite various efforts over the past few years and that a new targeted approach is required. Efforts made to date have been as follows:

- (a) Vacancies continued to be advertised on various social media and international job vacancy platforms;
- (b) All vacancy announcements were distributed in both working languages of the Court;
- (c) HR staff participated *ex officio* in all recruitment processes and assisted the panels in ensuring consideration of diversity at all stages of the recruitment cycle;
- (d) The Selection Review Board oversaw all recruitment;
- (e) Geographical and gender diversity was ensured on all recruitment panels;
- (f) Updated information on geographical representation was disseminated to all recruitment panels;
- (g) Geographical and gender representation was considered both at the shortlisting stage and when the decision on the final selection of suitable candidates was made;
- (h) Geographical and gender representation was considered for all types of appointment;
- (i) HRS used social media to actively “source” qualified candidates with desirable profiles to improve the applicant pool; and
- (j) Embassies were informed of newly published vacancy announcements.

26. Following the inclusion of GRGB as a strategic objective in the strategic plan of the Registry, these efforts have been strengthened through new policy and project initiatives as well as a selection process review as mentioned in section 6 above. A new recruitment policy was drafted in 2020 and is expected to be promulgated in the second half of 2021. The policy places specific emphasis on GRGB throughout the selection process.



27. Considering the strategic relevance of the topic, dedicated resources (two staff members) from the recruitment team were allocated to this strategic objective. The Strategic Workforce Planning (SWP) project was initiated in July 2020. It supports the strategic plans of the Registry and of the Court and focuses on using continuous improvement methodologies and tools to improve recruitment timelines, GRGB and staff engagement. The project team initially focused on the fundamental questions of how to determine that improvements are needed and where to find the opportunities for improvement. Benchmarking and new metrics lie at the heart of baselining current performance to guide evidence-based conversations and project planning.

28. A comprehensive benchmarking exercise was conducted. The team met with 15 international organizations to learn how they are improving their recruitment tactics and GRGB performance. Lessons from their success stories will be translated into Court-specific initiatives. The Court also engaged external experts to provide further advice and recommendations.

29. New analytical metrics are under development to identify systemic causes having an impact on progress in the area of geographical representation over time.

30. The new metrics developed reveal that only 21 per cent, 24 per cent and 22 per cent of applications received in 2018, 2019 and 2020, respectively, came from non- or underrepresented countries. The HRS recruitment team focuses on sourcing in non- and underrepresented States, therefore improving GRGB at the Court. These early indicators identify target areas that need to be addressed.

31. Continuous improvement initiatives in the areas of recruitment automation, sourcing and outreach, recruitment culture, assessments and countering unconscious bias were formulated and will be presented in 2021 during the expected recruitment process review – one of the Registry's strategic initiatives.

## 9. Gender equality

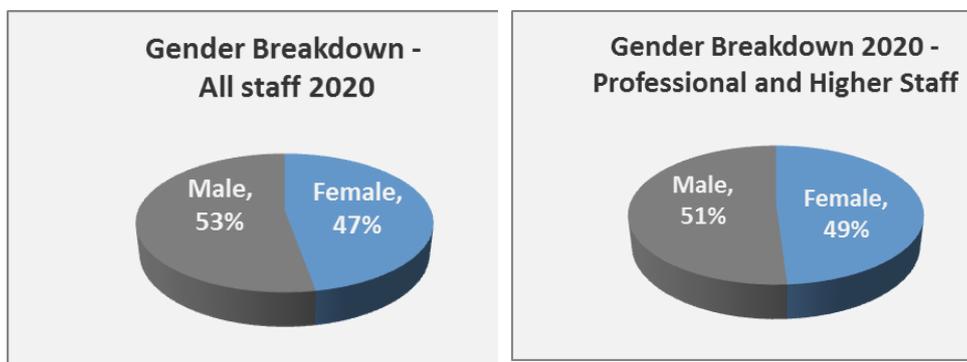
32. Gender equality is widely recognized as an intrinsic component of all intergovernmental organizations in the UN environment, and the Court is part of this global

effort to address relevant matters and ensure that this value is fully absorbed in its working culture.

33. The Staff Wellbeing and Engagement Committee (SWEC) continued its mandate in parallel to the CMT subcommittee's work, and maintained focus on the top five Court-wide priorities identified and communicated by the heads of organs after the 2018 staff engagement survey. As part of the work of the Committee and its recommendations, the Principals agreed to establish a Focal Point for Gender Equality, an initiative started a few years prior. The purpose of the focal point will be to assist the Principals in their efforts to strengthen the development of Court-wide gender policies and to assist them in addressing gender issues related to conditions of employment at the Court. The selection process was finalized in early 2021 and the selected candidate was appointed on International Women's Day 2021. Due to budgetary constraints, the Focal Point is drawn from existing resources of the Court. Given the importance of the position and mandate of the Focal Point, the Court will be seeking to create an established post for the position through the proposed 2022 budget.

34. In furtherance of the above stated institutional commitments, in April 2021, the Court's Principals adopted a high-level statement on gender equality. This High-Level commitment is consistent with values of diversity, respect, equity and inclusion as well as the principles enshrined in the Court's legal framework. The Statement, which has been promulgated internally and distributed through a press release, outlines areas where further action will be undertaken to promote gender equality at the Court.

35. The Court has implemented several initiatives (International Gender Champions, mentoring programme for women, gender awareness working group in the OTP, gender awareness training at the OTP, etc.) over the years. A dedicated focal point will now allow these initiatives to be consolidated and a strategic approach to be set for the future.



## 10. Mobility

36. Mobility options are beneficial for both the organization and staff members. Flexible contract types, such as short-term contracts and contracts for individual consultants and contractors, allow the Court to effectively respond to unforeseen short-term operational needs. The Court intends to further expand options in this regard by implementing the National Professional Officer (NPO) category to provide flexibility in field operations.

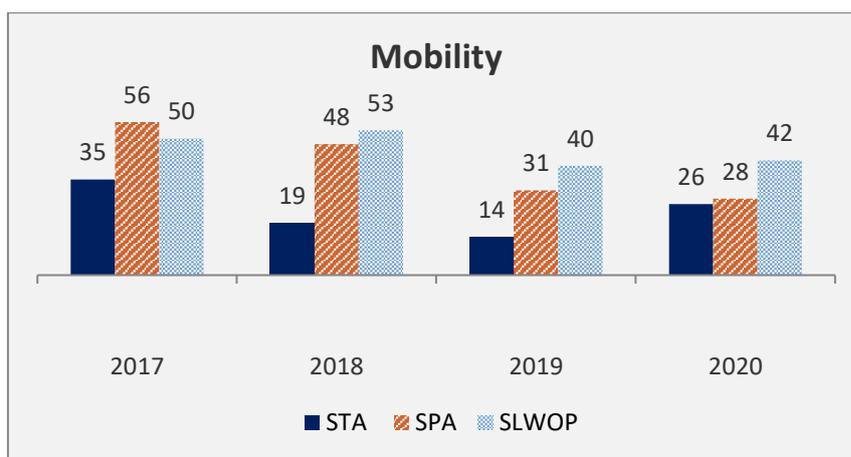
37. Staff mobility is not a new concept for the Court but it will be expanded through (1) promulgation of the new learning and development policy; (2) legal reviews to be able to temporarily assign staff members across organs; and (3) creation of job families.

38. Staff members have already taken advantage of several mobility options. In addition to the normal staff selection system which supports career advancement, the Court's

participation in the Inter-Organization Mobility Agreement since July 2019 also allows staff to take up new functions temporarily within or outside the Court.

39. It is noted that the matter of inter-organizational mobility needs to be internally regulated by way of an AI to give effect to the Court's participation. Such an AI has been drafted by HRS and is in the final stages of inter-organ consultation, after which it will be promulgated in the third quarter of 2021.

40. The table below shows staff mobility supported in recent years, namely where staff temporarily took up a different function after being selected for a short-term assignment (STA) or being called upon to assume higher-level functions (SPA), or otherwise, by being released on Special Leave Without Pay (SLWOP) for temporary employment outside the Court. Eighty-five staff members availed themselves of temporary mobility options in 2020.



41. The AI on learning and development which allows for options such as job swaps, project assignments and job shadowing is expected to be promulgated in the third quarter of 2021.

42. In 2020, the Court started collaboration with the UN Global Center for Human Resources Service (OneHR) and will start work in 2021 to group jobs into job families, thereby enabling future flexible assignments of staff within the same job family on the basis of operational needs. This would also allow for recruitment for generic rosters, which would generate efficiencies in time spent on recruitment.

43. **In order to optimize the flexible use of resources, the Court presents Annex III to the Committee with a proposal to amend the Financial Rules and Regulations which would allow for temporarily assigning staff members across organs.**

## 11. Continuous improvement - digitization

44. One aspect specifically highlighted by the COVID-19 crisis was the importance of digitized processes and remote data availability. The 2018 and 2019 HR digitization investment in HR processes (staff entitlements and payroll management) allowed the Court to seamlessly transition into remote working with little or no disruption to services. The Court will further enhance its current HR digital platform over the course of 2021.

### *Digitization*

45. As part of the Information Management/Information Technologies (IM/IT) strategy, the Court started planned procurement activities in 2020 for the digitization of two additional

HR processes which will be implemented in 2021: (1) digital personnel files; and (2) automated HR Service Requests.

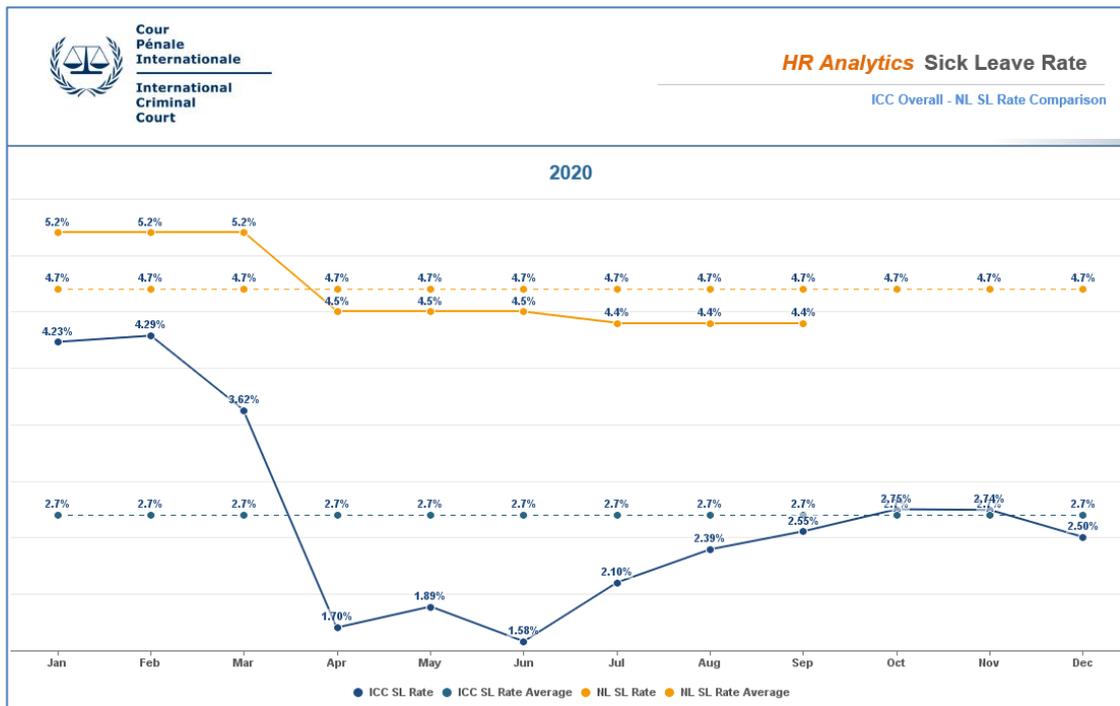
46. Digital personnel files will replace the current hard copy Official Staff Files with a digitized file that provides each staff member with direct access to their staff records and the ability to update outdated records.

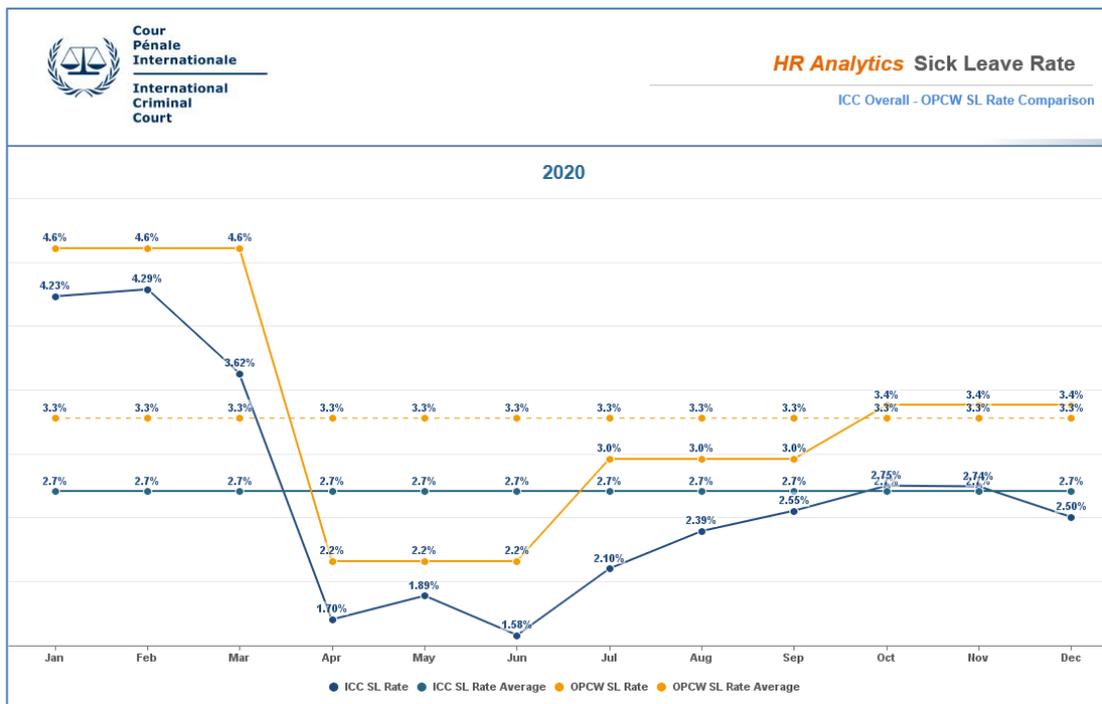
47. The HR Service Request solution will provide the Court with an efficient process to submit requests to HRS as well as the possibility to set service level agreements and measure these service levels.

***HR analytics – sick leave dashboards***

48. In 2019, HRS embarked on the process of developing an HR analytics function for the organization with the aim of facilitating results-based conversations, strategic analysis and planning, and identifying patterns within the organization. Following the recommendations of the Committee and the Office of Internal Audit, the Court focused its attention on developing analytical data dashboards for sick leave. The analytical dashboards include data from 2017 at the unit level and provide breakdowns of short-term and long-term absences.

49. Early indicators show that sick leave absences at the Court follow a predictable seasonal pattern from year to year with an annual average rate of 3-4 per cent, which is lower than that of the host State and of another UN common system organization in the duty station. In 2020 the Court’s rate was 2 percentage points lower than that of the host State and 0.5 percentage point lower than a comparable UN common system organization in the duty station. The Court will continue its benchmarking activities with other international organizations to establish performance indicators in this regard.





*Court's 2020 sick leave rates per month compared to those of the host State and of another international organization based in The Hague.*

50. These initial analytical dashboards have created the platform for future analysis and the Court will now use such dashboards for recruitment and GRGB data analysis.

## 12. The Court’s JPO, IVP and LP Programmes

### *Junior Professional Officer Programme (JPO Programme)*

51. Following the signature of the first Memorandum of Understanding with the Government of Japan in 2016 and subsequently with the Republic of Korea, Switzerland, Germany, France and Finland, the JPO Programme has now been successfully implemented. From its creation in 2017 up until December 2020, the Court welcomed JPOs sponsored by the following States Parties:

State Party	# JPO
Japan	5
Republic of Korea	2
Switzerland	2

52. The Court continued its efforts to raise awareness among States Parties of the JPO Programme and to increase the number of participants and variety of job profiles available to them. In 2020, three new States Parties joined the JPO Programme: Germany, France and Finland.

53. The Court is currently working with State representatives of all the participant countries with a view to ensuring ongoing support for the programme as well as preparing for the arrival of new JPOs.

54. In 2019, the Committee recommended that the Court provisionally extend the duration of placements by one year by absorbing the costs associated with the extension of the programme within the approved budget. In 2020, two JPOs from Japan were extended for a third year, with the costs equally shared between the Court and Japan.

**55. The Court took note of the Committee’s request for a comprehensive report on the JPO Programme highlighting lessons learned and the way forward. However, the additional workload brought on by the pandemic in 2020 did not allow the Court to finalize this exercise. The Court would like to request the possibility of submitting this report, accompanied by new guidelines and a sample agreement, for consideration by the Committee at its thirty-seventh session.**

**56. The JPO Programme was approved by the Committee on a trial basis. In view of the success and increase in the size of the programme, the Court would like to request its renewal on a definitive basis.**

### *The funded Internship and Visiting Professional Programme (IVPP) and the Legal Professional Programme (LPP)*

57. In recent years, a trust fund for the development of interns and visiting professionals (the “Trust Fund”) was established following donations received from various States Parties. The Trust Fund aims to develop judicial and administrative expertise while fostering international cooperation, contributing to the Court’s efforts to increase geographical diversity and providing fair opportunities to all individuals wishing to work at the Court.

58. With the funding received, a limited number of interns and visiting professionals (IVPs) from developing regions were supported in the form of travel costs and a monthly stipend. Preference was given to candidates from developing countries which are non-represented or underrepresented among the Court’s staff.

59. Since 2019, staff and elected officials have also been invited to contribute to the Trust Fund by making a single or a monthly donation, deducted directly from their salaries. At 31 December 2020, 45 staff members and elected officials had contributed to the Trust Fund.

60. In 2020, the Trust Fund was not implemented on account of the COVID-19 pandemic and travel restrictions. As soon as the travel situation allows, the Court will resume funded placements.

61. However, in order to do so better and more widely, the Court is proactively approaching States Parties to ask for their support through new voluntary donations to the Trust Fund. The Court notes that the IVPP has in recent years been entirely unfunded and IVPs have had to bear travel costs and the costs of living in The Hague. Although the programme is open to all nationalities, statistics show an overrepresentation of IVPs from the WEOG region. As the Court recognizes the importance of geographical diversity, the Trust Fund represents a tool to address geographical representation and provide fair opportunities to all individuals wishing to work for the Court. **The Court and the HR Section are hopeful that more States will be able to offer financial assistance for this programme.**

62. In addition, in 2020 the Court again coordinated the implementation of the Legal Professional Programme (LPP) in collaboration with the External Relations and State Cooperation Unit of the Registry. Of the eleven placements offered, three went to nationals of underrepresented States Parties and two to nationals of non-represented States Parties. The LPP provided funded placements under the European Commission Grant for Legal Professionals from the Court's situation countries, countries under preliminary examination and States Parties which are included in the United Nation's Statistics Division's list of developing regions, with a preference for placements of female candidates from non-represented or underrepresented States Parties. The funding included travel costs and a monthly stipend for a period of six months. Participants were placed in the three organs of the Court.

63. While the statistics for the IVPP and LPP do not count for the purpose of geographical representation, the Court believes that managing talent pools through other modalities contributes to better overall geographical diversity at the Court and should contribute to the overall future geographical distribution in the Court's staffing quota.

***Statistics of the Internship and Visiting Professional Programme – total (funded and unfunded)***

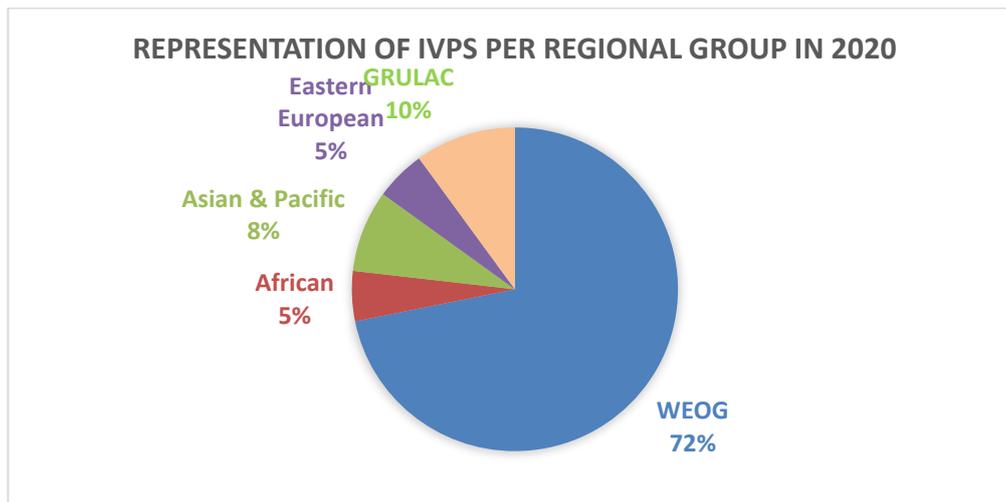
REGION	Interns	Visiting Professionals	Total
AFRICAN	11	11	22
ASIAN AND PACIFIC	18	11	29
EASTERN EUROPEAN	11	8	19
GRULAC	22	13	35
WEOG	158	20	178

64. In 2020, the Court welcomed a total of 283 IVPP participants, namely 220 interns and 63 visiting professionals. The following shows the breakdown of geographical representation:

65. Also in 2020, as part of the Court’s efforts to improve geographical representation in the IVPP, HR staff participated in virtual career events organized by States Parties (e.g. Berlin Career Fair in January and Seoul Career Fair in September).

66. The HR Section intends to continue efforts in 2021 with targeted outreach campaigns and support to increase the number of placements of candidates from non-represented and underrepresented States.

67. The Court acknowledges that there are still large numbers of placements from WEOG regions due to the limited funding available.



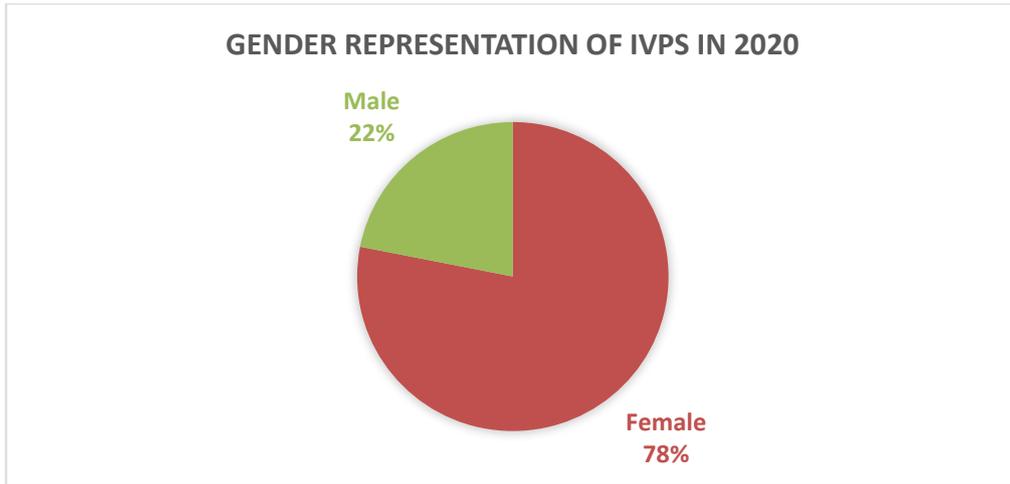
68. Of the 178 IVP nationals of WEOG countries, 60 per cent were from overrepresented countries, 14 per cent from in-balance countries, 21 per cent from underrepresented countries, 2 per cent from non-represented countries and 3 per cent from non-State Parties.

Non-ratified	Overrepresented	In-balance	Underrepresented	Non-represented	Total
5	108	25	37	3	178

69. Funding for IVPs remains limited. In 2020, the Terms of Reference of the Trust Fund were reviewed to provide opportunities to more IVPs. As a result, an amendment was suggested to reduce the stipend provided by the Trust Fund with a view to aligning it with the funding provided by other international organizations, while still reflecting the cost of living in The Hague. The amendment was endorsed by the Court. With the resulting efficiency gains, the Trust Fund is expected to be able to fund more IVPs in the future.

**70. The Court would like to seek support from States Parties for funding to further develop and expand the Trust Fund. By joining efforts, the Court hopes to address geographical imbalance, affording more placements for candidates from developing countries.**

71. In terms of gender balance, 78 per cent of IVP placements were offered to female candidates in 2020.

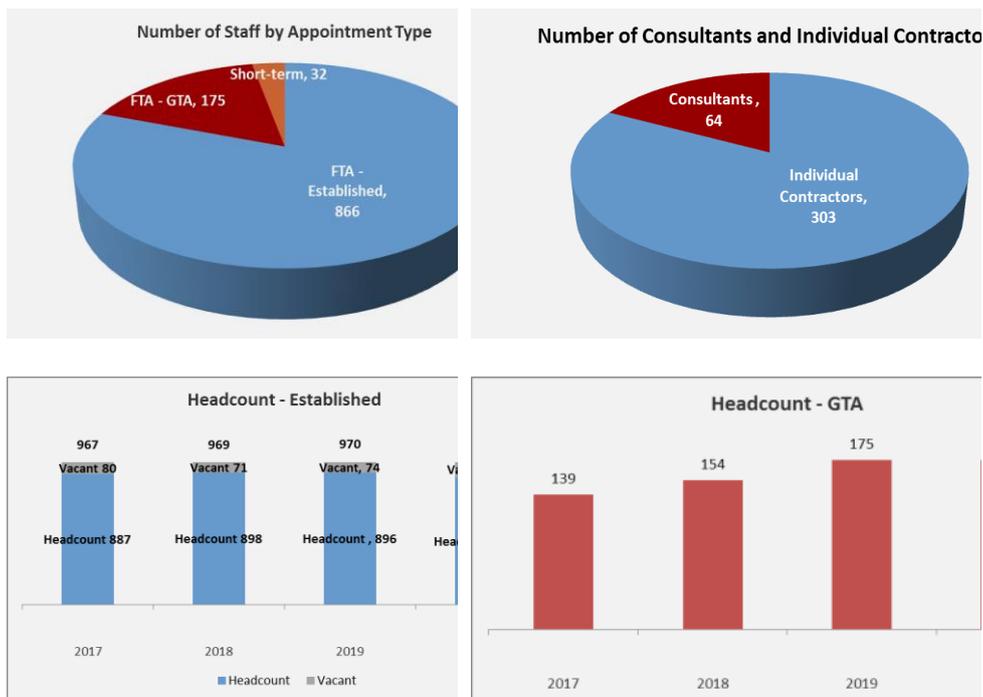


### 13. Report on 2020 workforce and recruitment statistics

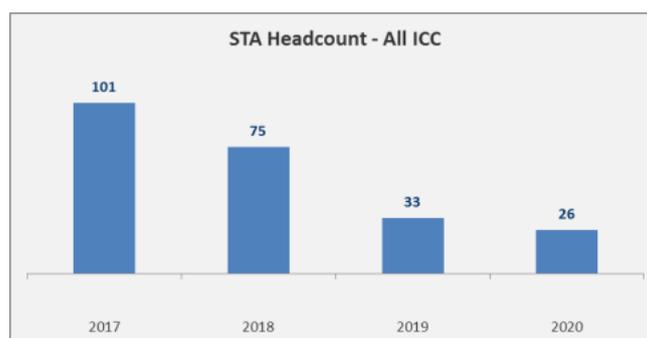
#### 13.1 Headcount

72. The Court’s diverse workforce consists of staff in established posts as well as General Temporary Assistance (GTA) funded positions to achieve the Court’s core objectives. In addition, staff on short-term appointments provide support for short-term needs of less than one year, typically backfilling for staff on leave of absence or for vacant posts pending finalization of the recruitment process.

73. In addition to staff, consultants are engaged when the Court requires highly specialized experts to deliver services which cannot be performed by current staff resources for want of specialized knowledge and expertise. Consultants and individual contractors are engaged on a temporary and ad hoc basis to provide services which are not staff functions but relate to programmed or mandated activities of the Court. A consultant is a specialist in a specific field engaged in an advisory or consultative capacity, whereas an individual contractor is engaged from time to time to provide expertise, skills or knowledge for the provision of support services in areas not covered by staff, such as witness assistance, psychosocial support or field interpretation. Below is an outline of the composition of the workforce<sup>1</sup> as at 31 December 2020.



<sup>1</sup> Figures correspond to the workforce administered by the Court’s Human Resources Section and do not include defence counsel, commercial contractors, etc.



### ***13.2 Recruitment and staffing levels***

74. In 2020, the Assembly approved 973 established posts and 194<sup>2</sup> GTA-funded positions, within the approved budget envelope, to enable the Court to achieve its set objectives.

75. Recruiting diverse staff of the highest quality continues to be a priority for the Court. With regard to geographical representation, the percentage of the workforce<sup>3</sup> from underrepresented or in-balance countries increased from 28 per cent at 31 December 2019 to 32 per cent at 31 December 2020.

#### ***Recruitment performance for established posts***

76. As at 31 December 2020, the Court had a total of 867 filled approved positions. As at 31 December 2020, the Court had 866<sup>4</sup> staff members in fixed-term established posts and 175 staff members in fixed-term GTA-funded positions.

77. In 2020, 33 fixed-term positions were filled: 18 established posts and 15 GTA-funded positions. Of the 18 filled established posts, 5 (28 per cent) were filled by external candidates, 7 (39 per cent) by staff in GTA-funded positions and 6 (33 per cent) by staff already in established posts (referred to in Table 2 as “internal appointments”). Over the course of the year, the Court conducted 580 written tests and 481 interviews.

78. In addition to fixed-term positions, a number of short-term appointments were made to replace staff on special leave without pay or on maternity leave, as well as to provide short-term cover pending recruitment for a given vacant post.

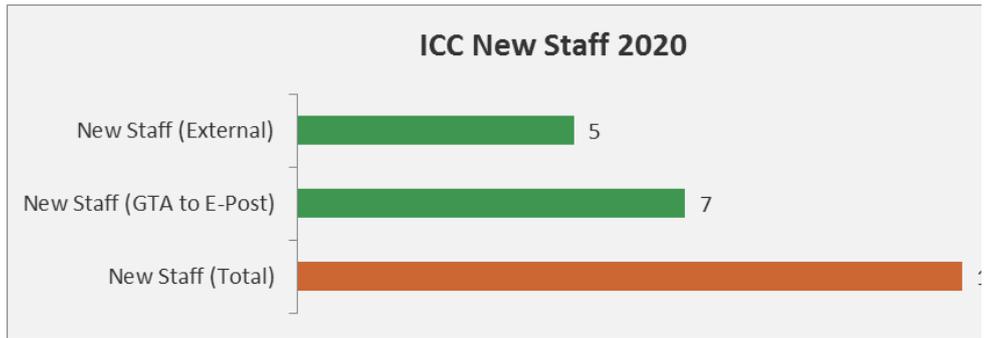
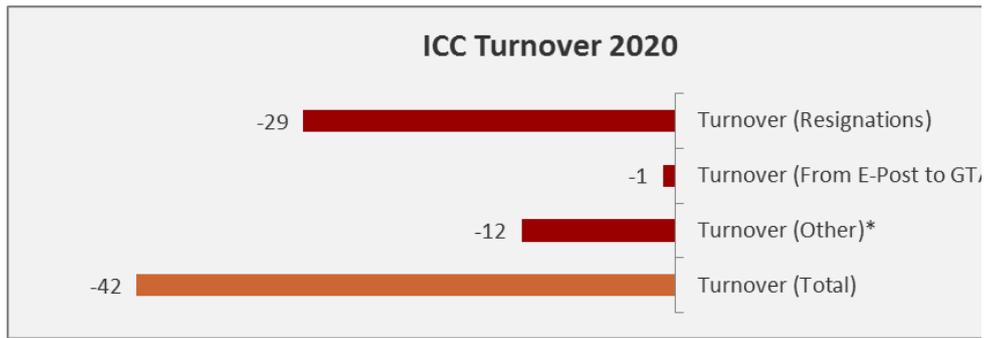
79. A total of 42 staff in established posts left the Court in 2020, including four staff members who had retired and two who passed away. This represents a turnover rate for the Court of approximately 5 per cent for the year.

80. A summary is given below of the staffing situation and recruitment performance, appointments, internal placements and turnover for the Court’s established posts as at 31 December 2020.

<sup>2</sup> Only GTAs approved for 12 months (i.e. 1 FTE) are included in this figure.

<sup>3</sup> Established posts at the Professional level.

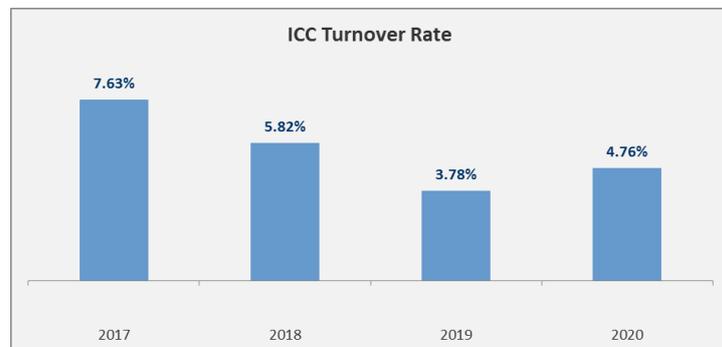
<sup>4</sup> In MP-III, one post funding a Staff Council President is counted as filled.



\*Turnover(Other) = disability, retirement, death

**Vacancy rate**

81. The Court’s monthly vacancy rate increased in 2020 from 7 per cent at the end of December 2019 to an average vacancy rate of 9 per cent for 2020. Ideally, the Court would operate at a healthy equilibrium between the number of vacant established posts which would naturally be in place owing to staff resignations and separations, and the arrival of new hires.



**14. Priorities for 2021**

82. All key initiatives mentioned are directly linked to the Registry Strategic Plan 2019-2021 and other strategic documents such as the Court Strategic Plan 2019-2021, the Independent Expert Review and commitments of heads of organs regarding staff engagement and well-being. More detailed information for each initiative will be provided as and when the projects progress and roll-out is launched.

**Leadership**

- Implement the Leadership Development Plan per approval by the Coordination Committee (“CoCo”) (conference, Developmental 360, UN courses, practical group workshops);
- Embed the leadership framework into HR processes (recruitment, performance management and staff engagement), per CoCo approval;
- Propose new “onboarding for managers”.

**Performance management**

- Increase strategic relevance of the process (better link between organizational and individual objectives);
- Strengthen the link between performance management, learning/development and the approved Leadership Framework;
- Continuously support managers and staff in efforts to create and maintain a culture of trust and ongoing feedback, using practical tools.
- Sustain high compliance rate (96%).

**Learning and development**

- Implement new learning and development policy, introducing new learning modalities such as “social” and “experiential” learning;
- Provide coaching as a free service to staff, using internal resources. Continue into year 2 of mentoring programme;
- Unleash internal knowledge: My Learning platform and in-house expertise.

**Staff engagement**

- Roll out Staff Engagement Survey 2021 - #YourVoiceMatters;
- Consolidate the Staff Wellbeing and Engagement Committee and its role in sponsoring key well-being initiatives;
- Advise managers on implementing staff engagement action plans.

**Geographical Representation and Gender Balance (GRGB)**

- Develop analytical dashboards to identify target areas;
- Increase outreach activities to non- and underrepresented States;
- Increase applications from non- and underrepresented States through active candidate sourcing.

**Staff selection**

- Ensure priority recruitments are completed on time, considering current section capacity;
- Review recruitment process (external expert);
- Launch pilot with generic job profiles: Administrative Assistant and ID Investigators. Pilot recruitment techniques with expected high effectiveness, using agile test implementation techniques;
- Promulgate new AI on the selection process during the second half of 2021.

**Staff mobility**

- Provide learning mobility opportunities (on-the-job learning, participation in projects/missions, job shadowing, job swaps);
- Cooperate with OneHR: group Court jobs into families and networks per UN standards - a foundational step for future increased mobility between staff in the same family/network.

**15. Conclusion**

83. The year 2020 was very challenging for all staff members of the Court, who showed resilience in adapting to the new remote working environment and continued to deliver on the Court’s mandate and make progress on the Court’s strategic objectives. The COVID-19 crisis not only presented the Court and its staff with great challenges but also provided opportunities to consider a new way of working in the future.

84. While some activities were initially delayed during the COVID-19 adaptation phase, progress nevertheless continued and some important milestones were reached. The Court is looking ahead to continue working on strategic HR management activities and supporting the Court’s long-term organizational development objectives. The Court looks forward to reporting on the progress made in next year’s report.

**Annex I**  
**Overview of HR-related recommendations and requests by the**  
**Assembly of States Parties and the Committee on Budget and Finance**

Reference	Request or recommendation	Referred to in the present report
Resolution ICC-ASP/18/Res. 1, section M, para. 3.	3. Notes the Administrative Instruction on the Classification and Reclassification of Posts promulgated by the Registrar, requests the Committee to continue monitoring the implementation of the Administrative Instruction at its thirty-fourth and thirty-fifth sessions and to report to the Assembly, decides to approve the reclassifications recommended by the Committee for 2020, also decides that no new requests for reclassifications should be submitted by the Court until the new review of the Administrative Instruction is finalized, stresses that reclassifications of posts cannot be used as a promotion tool or as a consequence of increased workloads and recalls the importance of fairness and transparency in all Human Resources decision-making;	Policy under review
Resolution ICC-ASP/18/Res. 6, section P, paras. 118-125.	<p>118. Takes note of the Court’s report on Human Resources Management, and requests the Court to strengthen its efforts, in the recruitment of staff, to seek equitable geographical representation with a particular focus on candidates from non-represented and underrepresented States Parties, gender balance and the highest standards of efficiency, competency and integrity, as well as to seek expertise on specific issues, including, but not limited to, trauma-related psycho-social needs and violence against women or children, and encourages further progress in this regard;</p> <p>119. Calls upon the Court to report the outcome of its efforts to seek equitable geographical representation with a particular focus on candidates from non-represented and underrepresented States Parties and gender balance to the Assembly at its nineteenth session, including, but not limited to, improvements in the recruitment process and annual recruitment data;</p> <p>120. Takes note of the continued dialogue between the Court and the Bureau with regard to ensuring equitable geographical representation and gender balance in the recruitment of staff members, and welcomes the report of the Bureau and its recommendations;</p> <p>121. Urges States Parties to undertake efforts to identify and enlarge pools of potential applicants to the Court’s professional positions from States Parties from non- and underrepresented regions and countries, including through the financing by the Assembly of the Court’s internship and visiting professional programmes, and by States Parties of Junior Professional Officer (“JPO”) programmes, through targeted outreach initiatives and through the dissemination among relevant national institutions and organizations of the Court’s vacancies;</p> <p>122. Welcomes the establishment by the Court of a programme to fund, through voluntary contributions, the placement of interns and visiting professionals from developing regions with a particular focus on candidates from non-represented and under-represented States Parties, welcomes the voluntary contributions received thus far and calls upon States Parties to contribute to this programme;</p> <p>123. Requests the Court to further devise mechanisms that can ensure in a more sustainable and systematic manner the funding of placements of interns and visiting professionals from developing regions, and further requests the Court to explore and propose modalities for implementing JPO programmes for candidates from non- and under-represented States Parties, particularly from developing regions, to be funded through voluntary contributions;</p>	<p>Paras. 25-34</p> <p>Paras. 25-34</p> <p>Paras. 25-34</p> <p>Paras. 25-34, 50-55</p> <p>Paras. 50-70</p> <p>Paras. 50-70</p>

	<p>124. Invites the Court to consider whether to introduce a rotation policy at the International Criminal Court and further invites the Court to share any outcome with States Parties;</p> <p>125. Welcomes the Registry Strategic Plan for 2019-2021 and its three-year programme of action to improve the geographical representation and gender balance as one of the Registry's priorities;</p>	<p>Addressed in IER</p> <p>Paras. 25-34</p>
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**Overview of HR-related recommendations and requests by  
the Committee on Budget and Finance**

Reference	Request or recommendation	Referred to in the present report
<p>Report of the Committee on Budget and Finance on the work of its thirty-second session, ICC-ASP/18/5, paras. 89 and 90.</p>	<p>89. [...] The Committee therefore recommended that the Court ensure that all processes and financial risks are appropriately mitigated and reconsider the wording of the Administrative Instruction to clearly distinguish between decisions on the classification of posts and administrative decisions related to the performance of staff.</p> <p>90. While recognizing the Court's need for flexibility in human resources management, the Committee realised that reclassifications are always linked to posts and not to Incumbents and recommended that reclassification requests should be put forward only under exceptional circumstances.</p>	<p>Policy under review</p> <p>Policy under review</p>
<p><i>Ibid.</i>, para. 95.</p>	<p>95. Considering the fact that the non-represented States make up just under half the number of the Assembly, the Committee recommended that the Court give special attention to the hiring of staff from those States.</p>	<p>Paras. 25-34</p>
<p><i>Ibid.</i>, para. 106.</p>	<p>106. The Committee welcomed these initiatives and recommended that the Court work on these matters with all interested parties, as well as on proposals in compliance with a zero tolerance policy on harassment and report to the Committee at its thirty-fourth session.</p>	<p>Policy in draft</p>
<p><i>Ibid.</i>, para. 109.</p>	<p>109. The Committee looked forward to receiving the Mobility Framework proposal for consideration at its thirty-fourth session. It also reiterated its recommendation that, in future, requests for new posts in the proposed programme budgets should be backed up by a more explicit justification of why recourse to existing resources may not be practicable.</p>	<p>Paras. 35-42 (annex iii)</p>
<p>Report of the Committee on Budget and Finance on the work of its thirty-third session, ICC-ASP/18/15, para. 43.</p>	<p>43. However, the Committee recommended that no new requests for reclassification should be submitted by the Court until the new review of the AI is finalized.</p>	<p>Policy under review</p>
<p><i>Ibid.</i>, para. 203.</p>	<p>203. Observing the Court will continue to face unforeseen developments in existing situations, the Committee noted that the Registry made an effort to manage its human resources in a flexible manner and the Committee recommended the different organs of the Court to make efforts to manage its human resources in the future allowing the Court to react to unexpected situations to the extent possible and redeploy resources based on actual workload requirements.</p>	<p>Paras. 35-42 (annex iii)</p>
<p><i>Ibid.</i>, paras. 220 and 223.</p>	<p>220. The Court reported the total number of professional staff (excluding elected officials and 42 language staff) was 470, of which 60 (or 12.8 per cent) came from non-State parties. The Committee recommended the Court look into the possibility of freezing hiring from this category.</p> <p>223. The Committee observed that the top grade posts in the professional staff were dominated by men. [...] The Committee recommended that the Court try a different and pro-active approach to tackle the issue of gender balance, and to set a date for achievement.</p>	<p>Paras. 25-34</p>

<i>Ibid.</i> , para. 204.	224. [...] [T]he Committee expressed its concern regarding the high cost due to sick leave and requested the Court to present a report during its thirty-fourth session by presenting information for the last five years on the following issues: (a) The volume and average duration of sick leave; (b) The financial implications of sick leave; (c) The criteria and procedure for certification and administration of sick leave, including relevant roles and responsibilities; and (d) Staff and managerial responsibilities to the Court during sick leave.	Paras. 47-49
<i>Ibid.</i> , para. 230.	230. [...] Therefore, the Committee recommended that the Court provisionally extend the Programme for a third year by absorbing the costs related to the extension of the programme within the approved budget, and report to the Committee the results of its evaluation at its thirty-sixth session in 2021.	Paras. 50-55

## Annex II

## LEADERSHIP DEVELOPMENT INITIATIVES, TARGET GROUPS AND TIMELINES

# Leadership Development

DEVELOPING CURRENT AND FUTURE LEADERS AT THE ICC



## ICC E-LEADERSHIP FOUNDATIONAL MODULES

Online catalogues with managerial/leadership good practices, organized by topics and levels, available 24/7 to all staff members.

### Target Group:

All Staff (always available)

## DEVELOPMENTAL 360

Opportunity for self-reflection, gathering feedback from team managers, peers, and coaching session(s) that will substantially increase awareness of one's Leadership style, preferences, strengths and areas for development.



### Target Group:

All Managers (Optional)  
2020: Up to 100  
2021: Up to 100



## WALK THE TALK CONFERENCE AND WORKSHOPS

"Case-based" 1/2 day workshops where leaders will be invited to prepare, discuss in focus groups and present solutions for real-life issues in a plenary. Interactive preparation and follow-up through the new Learning Management System, encouraging knowledge sharing, awareness of ICC policies/practices and networking.

### Target Group Conference:

P-5s and above (1x Year)

### Target Group Workshops:

All managers (split in 2 groups. Jr/Sr.) 1 workshop per Competency (Purpose, Collaboration, People, Results) per group, per quarter

## INDIVIDUAL DEVELOPMENT PROGRAMME PORTFOLIO

United Nations Certification Programmes with access to Management Networks (alumni) and good practices at the UN environment + Executive Coaching for Heads of Organs

- Executive Coaching: Heads of Organs
- UN System Executive Management Programme (P-5, D-1)
- UN E-Management Certificate Programme (P-4)



### Target Group:

Limited seats for P4s and above:  
2020: P4 (10), P5 (15), D1 (3), Heads (3)  
2021: P4 (10), P5 (08), D1 (3), Heads (3)  
2022: P4 (10), P5 (08), D1 (3), Heads (3)



## MY LEADERSHIP DISCUSSION E-FORUM

In-house leadership E-forum, constantly updated with relevant content (e.g. management/leadership weekly tips, new ICC tools, case studies, relevant concepts from previous trainings) and encouraged discussions around relevant topics.

### Target Group:

Access granted to all managers who complete the mandatory foundational courses offered (tbd)

## COACHING ICC FUTURE LEADERS

All new staff with managerial responsibilities will be assigned to an internal and more experienced coach/leader, who will act as a focal point for navigating the ICC managerial/leadership environment and getting up-to-speed with leadership practices, tools, etc. An onboarding day for managers will be developed.



### Target Group:

All new managers (potentially extendable to current managers in case there is demand)

## INVESTMENT AND RESOURCES\*

2019: EUR 8,000 + Leadership Focal Point (STA/GTA)  
2020: EUR 155,980 + Leadership Focal Point (STA/GTA, handover project to HR Learning Officer)  
2021: EUR 129,900  
2022: EUR 128,780

\*Detailed information can be found at the Leadership Development Resource Estimation Sheet, created based on benchmarking with other organisations, interaction with potential providers and detailed workload estimation.

## LEADERSHIP FRAMEWORK AND OTHER HR PROCESSES

# Adjusting HR Processes

Over the next 3 years existing HR processes will be adjusted to resonate with the leadership expectations set out in the framework. All adjustments will be sustained after initial implementation.



## RECRUITMENT

Hiring decisions consider the assessment of leadership capabilities

**2019:** Awareness training for HR staff. Leadership Framework included as "Core Competencies", replacing current "managerial" competencies.

**2020:** Training for HR, Hiring Managers and Panel Members on using the Leadership Framework during recruitments. Framework included to relevant vacancy announcements and used during competency-based interviews.

**2021:** Objective assessment tools also capture Leadership Competencies



## ONBOARDING AND DAY-TO-DAY PRACTICE

The Leadership Framework is introduced as an integral part of "the way we work around here"

**2019:** Communication and awareness campaign rolled-out (active participation of senior leaders in the process).

**2020:** Onboarding day for new staff with managerial responsibilities designed and implemented. "Coaching ICC future leaders" programme designed and implemented.



## PERFORMANCE MANAGEMENT

Individual performance is measured against framework (Competencies)

**2020:** Leadership Framework included as "Core Competencies", replacing current "managerial" competencies. Performance appraisal system adjusted to include leadership competencies, replacing current "managerial" competencies.

**2021:** Roll-out updated performance appraisal system.



## STAFF ENGAGEMENT SURVEY

Staff Engagement survey is adjusted to measure and reflect progress on Leadership capabilities

**2020:** Staff engagement survey updated to capture core leadership competencies.

**2021:** Survey results and HR analytics reports used as source of information for leadership development and action plans.

### **Annex III – Proposed amendments to the Financial Regulations and Rules aimed to ensure staff mobility between Major Programmes (i.e. appropriation sections)**

1. With reference to the request of the Assembly of States Parties for the Court (“ASP”) to employ maximum flexibility in the management of its human resources in reacting to unexpected situations, and to the extent possible redeploying resources based on actual workload requirements;<sup>5</sup> the Court proposes to amend its Financial Regulations and Rules (“FRR”) in order to ensure staff mobility between Major Programmes.
2. Staff Rule 101.3 (e) states that “[e]ach staff member shall be required to perform the duties related to his or her position as set forth in the letter of appointment. A staff member, however, **may be entrusted temporarily with the execution of any other duties in line with his or her competencies if required by the operational needs of the Court.** This may include the temporary replacement of an absent staff member with a higher or lower grade or in a different category”. [Emphasis added]
3. Financial Regulation 4.8 establishes that “[n]o transfer between appropriation sections may be made without authorisation by the Assembly of States Parties, unless such a transfer is made necessary by exceptional circumstances, and in accordance with criteria to be agreed upon by the Assembly of States Parties.”
4. Appropriation sections referred to in the FRR mean the different Major Programmes, in relation to which the ASP approves every year specific appropriations. These appropriations constitute “an authorisation [...] to incur obligations and make payments for the purposes of which the appropriations were adopted and up to the amounts adopted”, according to Financial Regulation 4.1.
5. The appropriations approved for each Major Programme include *inter alia* their staff resources and the related staff costs.
6. In light of that, it could be argued that the temporary assignment of a staff member from one Major Programme to another while he/she continues to be paid under the budget of the releasing Major Programme would require the prior approval of the ASP, pursuant to Financial Regulation 4.8, as funds allotted to that position are not being used for the approved purpose.
7. As a result of that, the Court would recommend the following amendments to the Financial Regulations and Rules:

7.1 Financial Regulation 4.8 be amended as follows (amendments in red):

“**Without prejudice to regulation 4.8 bis, no transfer between appropriation sections may be made without authorization by the Assembly of States Parties, unless such a transfer is made necessary by exceptional circumstances, and is in accordance with the criteria to be agreed upon by the Assembly of States Parties.**”

7.2 A new provision be added (Financial Regulation 4.8 *bis*):

“**The Registrar or the Prosecutor, as appropriate, may authorize temporary assignments of staff members between appropriation sections whilst the costs related to the salaries, entitlements and allowances of the concerned staff member remain under the budgetary administration and responsibility of the releasing appropriation section.**”

\* \* \*

<sup>5</sup> Resolution ICC-ASP/19/Res.1, Section L, para 10(c).