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**Ninth session**

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**Report of the Court on human resources management\*****I. Introduction**

1. Management of human resources remained a strategic priority within the International Criminal Court (“the Court”) during 2009 and witnessed significant progress in key areas. In addition to a highly satisfactory rate of recruitment, combined with a lowering of the turnover rate, achievements included the development and promulgation of a number of new human resource policies, the further institutionalization of performance management and implementation of strategic learning and training plans across the organs, as well as agreement on improvements to the conditions of service of staff serving the Court.

2. In reporting on the developments in the area of human resources management, the present report follows the format of previous submissions to the Committee on Budget and Finance (“the Committee”) and is structured in accordance with the objectives of the human resources strategy first presented to the Committee at its tenth session.<sup>1</sup> For ease of reference, these objectives are recaptured in Table 1. It is recalled that the human resources objectives were derived from the Court’s Strategic Plan, specifically strategic objectives 14 (Recruitment), 16 (Caring Environment) and 17 (Employment opportunities for well-performing staff). Since then, the Strategic Plan has been revised and the cited three objectives have been summarized in a new strategic objective 10, which aims to “attract, care for, and offer career development and advancement opportunities to a diverse staff of the highest quality”.

3. The report also includes responses of the Court to specific recommendations and requests made by the Committee at its twelfth and thirteenth sessions held in April and August 2009, respectively, which are summarized below.

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\* Previously issued as ICC-ASP/9/CBF.1/10.

<sup>1</sup> ICC-ASP/7/6.

**Table 1: Overview of key HR strategic areas and specific objectives: ICC Strategic Plan Objective 10: Attract, care for and offer career development and advancement opportunities to a diverse staff of the highest quality**

<i>Key areas</i>	<i>Specific HR Objectives</i>
Recruitment	1. Define and apply a systematic, fair and transparent selection process to ensure the highest quality of (external) recruitment and (internal) placement 2. Strengthen the capabilities of staff with hiring responsibilities 3. Increase external awareness of ICC employment opportunities
Caring environment	4. Ensure attractive conditions of service and compensation systems for all Court staff at headquarters and field duty stations 5. Increase staff well-being by enhancing existing and developing new support programmes 6. Enhance and develop further the administration of internal justice systems.
Career Development	7. Institutionalize a well-functioning performance management system, including performance-based incentives 8. Provide learning and training opportunities that contribute to the achievement of the Court's goals and address individual development needs 9. Develop and implement approaches and systems for career management and advancement of staff

4. At its twelfth session, held in April 2009, the Committee “welcomed the overall progress achieved in the area of human resources management”,<sup>2</sup> and

(a) Recommended that the Court set a time-frame for the conduct of performance appraisals of all staff and that it continue to explore improvements for this system.<sup>3</sup> The Chair subsequently clarified that the Committee also wished to obtain additional information on the appraisal tool and the criteria for appraisals;

(b) Noted that the Court intended to develop clear and consistent criteria upon which contract extensions would be based;<sup>4</sup>

(c) Recommended that a further evaluation be conducted of the different types of contracts (fixed-term, continuous and permanent) and their applicability for the particular situation of the Court before proceeding with any changes to the current system;<sup>5</sup>

(d) Recommended that the Court identify priority areas for training and that it prepare long-term training plans and models such as a training for trainers system;<sup>6</sup> and

(e) Recommended that the Court consider options for increasing [geographical] representation, such as enhancing contacts with representatives of these countries to promote awareness and advertising in local media and the possibility of targeted recruitment missions.<sup>7</sup>

5. At its thirteenth session, held in August 2009, the Committee

(a) Recommended that it review with the Court at its next session the process by which reclassification proposals are prepared and reviewed, including the selection of external consultants;<sup>8</sup>

<sup>2</sup> *Official Records of the Assembly of States Parties to the Rome Statute of the International Criminal Court, Eighth session, The Hague, 18-26 November 2009* (ICC-ASP/8/20), vol. II., part B.1, para. 55.

<sup>3</sup> *Ibid.*, para. 57.

<sup>4</sup> *Ibid.*, para. 58.

<sup>5</sup> *Ibid.*, para. 61.

<sup>6</sup> *Ibid.*, para. 66.

<sup>7</sup> *Ibid.*, para. 67.

<sup>8</sup> *Ibid.*, part B.2, para. 61.

(b) Requested the Court to submit a report on gratis personnel to its fourteenth session. In the case the Court insisted on proposing new modalities for hiring personnel, a report thereon should also be submitted for the Committee's consideration at its next session;<sup>9</sup> and

(c) Recommended that the Court prepare a strategic training plan linked to the risk management that would identify training required for core functions.<sup>10</sup>

6. Wherever possible, responses to the specific requests made by the Committee are incorporated in the present report under the relevant headings of Section B reporting on the implementation of the human resources strategy objectives. The requested information on reclassifications is incorporated as a separate Section C, as this lies outside the scope of the human resources strategy.

## II. Implementation of Human Resources Strategy Objectives

7. Throughout 2009, the Court has continued implementation of its human resources objectives in the areas of recruitment, the creation of a caring environment and career development. While some of the objectives have a longer-term time horizon for implementation, significant progress was achieved with regard to all nine of the human resource objectives set out in Table 1 above. Progress to date and envisaged activities for 2010-2011 are described in the following sections.

### A. Recruitment

8. The human resources strategy objectives in the area of recruitment relate to systematic, fair and transparent selection processes, ensuring the highest quality of external recruitment and internal placement, the strengthening of the capabilities of staff with hiring responsibilities, and increased external awareness of the Court's employment opportunities. The Committee's recommendations and requests for reports by the Court dealt with under this heading relate to recruitment performance and delays, General Temporary Assistance, gratis personnel and the hiring of young professionals under the Associate Expert/Junior Professional Officer modality.

#### 1. Recruitment performance established posts: External recruitment, internal placements and turnover rates

*Information requested by the Committee*<sup>11</sup>

9. In 2009, the Court filled a total of 203 vacancies in established posts, representing the highest number of vacancies filled in one year in its history and a very high rate of recruitment. Of these, 169 were external appointments. 34 out of the 203 vacancies filled were accepted by staff members of the Court. This represents a ratio of internal versus external appointments of 20:80 per cent.

10. A total of 67 staff left the Court in 2009. This represents a turnover rate for the year of 9.8 per cent and is thus considerably below the rate of 12 per cent for 2008. The Court is of the view that this turnover rate, which amounts to a staff retention rate of 90.2 per cent, is highly satisfactory, especially bearing in mind the need for any healthy organization to avoid stagnation in its talent pool and to have sufficient leeway to replace outgoing talent with new skills and expertise that may be required over time. At the same time, the Court is mindful of the need to monitor the reasons why staff decide to leave the institution. For this purpose, exit interviews conducted by an external company will be institutionalized in 2010.

<sup>9</sup> Ibid., para. 63.

<sup>10</sup> Ibid., para. 66.

<sup>11</sup> See paras. 4 and 5 above.

11. Given internal placements and staff turnover, the net increase of staff at the end of 2009 over 2008 was 102 additional staff, or 8.5 new staff per month. As of 31 December 2009, the Court therefore had 679 staff on established posts. It will be recalled that, in earlier years, the Court's net recruitment per month was in the order of two to three staff, a fact which was of considerable concern to the Committee in 2007. The greatly improved recruitment performance thus demonstrates that the Court has successfully addressed the issue of undue recruitment delays.

12. Tables 2 and 3 below summarize the recruitment performance, appointments, internal placement and turnover by major programme as at 31 December 2009.

**Table 2: Recruitment Performance**

	<i>Budgeted Posts</i>	<i>Headcount</i>	<i>Vacancy Rate</i>	<i>Spot-Check Rate</i>	<i>Under Recruitment</i>	<i>Separations (2009)</i>	<i>Separation (%)</i>	<i>Gender Balance (Female)</i>
ICC	<b>739</b>	<b>679</b>	<b>10.15%</b>	<b>8%</b>	<b>40</b>	<b>65</b>	<b>9.80%</b>	<b>47%</b>
Judiciary	43	38	11.63%	12%	5	7	18.72%	69%
OTP	215	205	3.72%	5%	4	17	8.22%	54%
Registry	461	425	11.28%	8%	25	39	9.63%	42%

(a) Above figures include five budgeted posts for elected officials (three in OTP and two in the Registry).

(b) For the purpose of consistency, a D-1 in the Registry has been counted as separation due to its recent change of category to Elected Official.

(c) The above table does not reflect the recruitment of the new posts in the Budget 2010.

**Table 3: 2009 ICC appointments and resignations**

	<i>External appointments</i>	<i>Internal appointments</i>	<i>Resignations</i>	<i>Movements to GTA</i>	<i>Secondment</i>	<i>Non-extensions/dismissals</i>	<i>Net increase</i>
Judiciary Major Programme I	13	2	5	1	0	1	6
Office of the Prosecutor Major Programme II	30	9	13	1	1	2	13
Registry Major Programme III	121	22	36	5	0	1	79
Secretariat of the ASP Major Programme IV	1	0	0	0	0	1	0
Secretariat of the TFV Major Programme VI	2	1	0	0	0	0	2
Project Office Permanent Premises Major Programme VII	2	0	0	0	0	0	2
<b>Total ICC</b>	<b>169</b>	<b>34</b>	<b>54</b>	<b>7</b>	<b>1</b>	<b>5</b>	<b>102</b>

*This table includes the recruitment of posts for the Budget 2010 that occurred in the month of December*

13. An update on recruitment, internal placement and turnover against established posts during the first three months of 2010 will be presented separately to the Committee.

## **2. Define and apply a systematic, fair and transparent selection processes**

### *Human resources strategy objective 1*

14. The Court's selection processes are well established. As a rule, all vacant established posts as well as almost all positions funded by General Temporary Assistance (GTA) are advertised on the Court's website and through various other means and fora. While vacancies are open to both external and internal candidates at the same time, Staff Rule 104.18, entitled "Recruitment and existing staff members", stipulates that the fullest regard is paid to the requisite qualifications and experience of staff members already in the service of the Court.

15. In 2009, following an internal inter-organ consultation process, the Registrar promulgated new internal "Recruitment Guidelines for Established Posts". These guidelines describe in detail all aspects of the Court's selection process. They also formalize the expanded use of rosters across the Court, which will allow for efficiencies and enhanced expediency in the recruitment and selection processes.

16. In early 2010, a selection process for a senior managerial position included, for the first time, an assessment centre exercise conducted by an external provider. Assessment centres focus not on substantive or technical skills and expertise but on key leadership competencies such as strategic vision and approach, decision-making and negotiation skills, communication and management of people.

17. The e-recruitment module of SAP will go live in May 2010; following the initial period of running parallel systems, it is expected that the new system will further enhance the quality and speed of the Court's selection process.

### **3. Strengthening the capabilities of staff with hiring responsibilities**

*Human resources strategy objective 2*

18. The Recruitment Guidelines for Established Posts mentioned above also provide a step-by-step guide for hiring managers. A briefing session on the guidelines open to all interested staff was conducted in March 2010.

19. In early 2010, the Registry also conducted a briefing session for Judges of the Court, which highlighted relevant aspects of the selection and recruitment process.

20. For 2011, the Registry plans to conduct specific training for hiring managers on recruitment and competency-based interviewing skills.

### **4. Increase external awareness of the Court's employment opportunities**

*Human resources strategy objective 3 as well as Committee recommendation*

21. In line with the Committee's recommendation that the Court consider the possibility of targeted recruitment missions,<sup>12</sup> the Human Resources Section has prepared a two-year plan for conducting missions to non-represented or under-represented countries in the Baltic, Eastern Europe, Latin America and the Caribbean, Asia and Africa. The purpose of the missions is to present the Court and its employment opportunities to as wide a range of potential candidates for employment as possible. A first visit was conducted to Estonia in December 2009 and plans are underway to visit Latvia, Lithuania, Poland, Czech Republic and Hungary in the first half of 2010. Representatives of the Human Resources Section also participated in Information Fairs conducted by the London School of Economics and the German Ministry of Foreign Affairs.

22. It should be noted, however, that both the human and the financial resources of the Human Resources Section are limited when it comes to organizing and conducting such recruitment missions. This may put the timely implementation of the plan at risk. Particularly with regard to the organization of activities and events in the target country, assistance from the relevant Ministries (notably Foreign Affairs and Justice) will be of utmost importance. In 2011, the planned recruitment missions will also require an increase in the travel budget of the Human Resources Section.

### **5. General temporary assistance (GTA)**

*Information requested by the Committee*<sup>13</sup>

23. In 2007 and 2008, the Committee had expressed concern over the high number of staff funded from GTA that were not approved in the annual programme budgets, particularly in Registry, Presidency and Chambers. Already in 2009, the Court was able to report to the Committee that the number of such staff had been drastically reduced, owing mainly to the more rigorous discipline introduced by the current Registrar with regard to speeding up recruitment against established posts and thus avoiding prolonged or repeated

<sup>12</sup> See above, footnote 7.

<sup>13</sup> *Official Records ... Eighth session ... 2009* (ICC-ASP/8/20), vol. II., part B.2, para. 62.

extensions of temporary placements in Registry, Presidency and Chambers. The Court also introduced mandatory competitive recruitment for GTA-funded positions, except for those of very short-term (one to two month) duration. This regime has continued throughout 2009 and as of 31 December 2009, only seven staff funded from GTA not approved in the budget were under contract (excluding maternity or extended sick leave replacements) and carrying out functions of an urgent nature that could not have been foreseen at the time of the preparation of the programme budget. This figure contrasts with the number of forty reported to the Committee in September 2008 and thus represents a reduction of 83 per cent since then.

24. It may be useful to recall in this context that GTA is a funding source, not a contractual modality. Staff funded from GTA receive fixed-term appointments identical to those given to staff against established posts. A difference in benefits and entitlements would occur only when the appointments have a duration of less than twelve months, and in which case certain allowances may not apply.

25. In summary, the Court is of the view that it has successfully addressed the earlier concerns over the use of GTA-funded appointments and that the situation has fully stabilized.

#### **6. Use of gratis personnel**

*Information requested by the Committee*<sup>14</sup>

26. At its fourth session, the Assembly of States Parties (“the Assembly”) adopted guidelines on the use of gratis personnel. The Court has not availed itself of any gratis personnel.

#### **7. Recruitment of Associate Experts/Junior Professional Officers**

*Information requested by the Committee*<sup>15</sup>

27. Associate Experts (AEs), Junior Professional Officers (JPOs) or Associate Professional Officers (APOs) are employed throughout the United Nations common system, which the Court adheres to and follows. AEs, JPOs and APOs are basically the same modality and the difference in nomenclature refers only to the different organizations that employ them. For easy reference and simplicity, all three will be referred to as JPOs for the purpose of this report.

28. JPOs are young professionals (the age limit is usually 32) who become staff of the organization for a limited duration (usually two years) and are funded by member states. One of the principal purposes of the JPO programme is that it exposes young professionals to international organizations and experience, which subsequently would be put to beneficial use in their national administrations.

29. The JPO programmes have existed for almost five decades. According to a 2008 report by the United Nations’ Joint Inspection Unit (JIU),<sup>16</sup> some 1,000 JPOs are serving the UN system organizations at any given time, funded by 33 donors, which are listed in Annex I. JPOs are also employed by the Court’s sister institutions, the International Criminal Tribunal for the former Yugoslavia (ICTY), the International Criminal Tribunal for Rwanda (ICTR) as well as the International Court of Justice (ICJ). According to the JIU report, all stakeholders of the programmes have expressed great satisfaction and appreciation for the programmes. Representatives of States Parties have therefore inquired on a number of occasions when the Court would establish its own JPO programme.

30. At its thirteenth session, the Committee noted that “such practices” [i.e. the hiring of JPOs] “can result in an unfair advantage for the young professionals who may be fast tracked in recruitment exercises, thereby affecting the regional balance within the institution”.<sup>17</sup> Having carefully examined this aspect in light of the UN common system’s

<sup>14</sup> See above, footnote 9.

<sup>15</sup> *Official Records ... Eighth session ... 2009* (ICC-ASP/8/20), vol. II, part B.2, para. 63.

<sup>16</sup> JIU/REP/2008/2, Joint Inspection Unit, United Nations: Junior Professional Officer/Associate Expert/Associate Professional Officer Programmes in United Nations System Organizations, Geneva 2008.

<sup>17</sup> See above, footnote 9.

experience with JPO programmes, the Court has concluded that it would be in a position to avoid such adverse impacts. Firstly, AEs/JPOs do not occupy established posts and as such do not affect geographical representation balances during their employment under this modality. Secondly, the Court strictly applies the principle of competitive mandatory recruitment for all established posts and does not operate with “fast-track” recruitment programmes for junior professionals. Current or former JPOs would be required to compete as external candidates for any vacancy and would be subject to the normal established geographical representation criteria. Thirdly, the Court wishes to draw the attention of the Committee to the fact that some States Parties also fund nationals from other, usually less developed, countries. This modality could be further elaborated.

31. Given these considerations, the Court intends to establish its Junior Professional Officer programme for an initial period of five years, starting in 2011. At the end of the period, the Court will report to the Committee on the experience, addressing specifically the concerns expressed in 2009.

## **B. Caring environment**

32. In the human resources strategy, the concept of a “caring environment”, put forth in the then strategic objective 16 of the ICC Strategic Plan, was translated into three specific HR objectives relating to conditions of service and compensation systems, staff well-being and internal justice systems. Included under this heading is also the Court’s response to the Committee’s request on information concerning contractual arrangements.

### **1. Ensure attractive conditions of service and compensation systems for all ICC staff at headquarters and field locations**

*Human resources strategy objective 4 and response to Committee request for information on contractual arrangements*<sup>18</sup>

33. The Court’s activities in 2009 focused on the conditions governing the employment and compensation of staff serving at field locations, HR policy development, social security provisions and a review of contracts duration.

#### **(a) Conditions of Service for staff serving in the field**

34. Professional staff in the field are currently internationally-recruited (i.e. no national staff are hired at the professional level). Their compensation package was modeled on one of the United Nations’ peacekeeping models. However, this model ceased to exist as of 1 July 2009. Following an in-depth analysis of suitable options for Court field staff, conducted by an inter-organ working group, the Registrar, in consultation with the Prosecutor and in accordance with Staff Rule 112.4, decided that as of 1 January 2010, the Court will adopt the approach used by the majority of United Nations common system organizations for compensating its internationally-recruited Professional staff at field duty stations. This approach implies, firstly, that the Court will categorize its field duty stations as family or non-family duty stations, as designated by the United Nations Department of Safety and Security. Staff posted at family locations (Bangui and Kampala) will now be permitted to install their families at the duty station and their compensation package will consist of net salary plus post adjustment. Staff working at non-family locations (Kinshasa, Bunia, Abeche) will be assigned, for administrative purposes, to either a nearby family duty stations where the Court has a presence (currently Kampala) or to The Hague, where they may install their families. These staff will receive net salary and post adjustment for the administrative place of assignment as well as a special allowance based on the actual duty station.

35. The new model represents an improvement in the conditions of service for internationally-recruited Professional staff serving the Court in the field, and particularly for those working at locations where hardship and difficult living conditions prevail. The new approach will be funded through efficiencies in other areas and no increase in budgetary provisions will be requested in this regard.

<sup>18</sup> See above, footnote 5.

36. Inter-organ working groups and consultations continue with regard to the conditions of service for local staff, particularly with regard to security aspects, and the introduction of the National Professional Officer and Field Service categories.

**(b) Human Resources policy development**

37. In 2009, the Court has continued strengthening both its human resources policy framework as well as its internal policy capacity. As noted on previous occasions, the absence of a solid policy framework has proven to be a source of inefficiency in the area of human resource management. The Registrar and the Prosecutor have placed emphasis on the need to develop a sound policy basis for managing the Court's human resources and have collaborated actively in this regard. These efforts are supported by the Presidency and the status of human resource policy development is monitored by senior management on a monthly basis.

38. In 2009, the Court issued human resources policies on inter-organization mobility, recruitment and selection, determination of level and step upon appointment, and on performance rebuttal rules and procedures. Important policy work also included the above-mentioned conditions of service of field staff as well as social security issues as described below.

39. Future policies that are under development relate to contract durations and probationary periods, special service agreements (SSA), short-term appointments, and others related to specific benefits and entitlements. The Code of Conduct is awaiting finalization.

**(c) Contractual arrangements**

40. In 2009, the Court informed the Committee that it was considering the introduction of longer-term or continuing contracts, bearing in mind the fact that the Court is a permanent institution. The Committee recommended that the Court conduct a further evaluation of the different types of contract before proceeding with any changes in the current system.<sup>19</sup> Due to other priorities and resulting time constraints, no further evaluation could be carried out on this matter in the course of 2009. The introduction of continuing (i.e. open-ended) appointments is therefore not proposed.

41. However, the Court remains convinced of the usefulness of longer-term appointments in the interest of both administrative efficiencies (the process leading up to extensions is time and labour intensive), as well as providing a greater sense of security to staff. This latter point is becoming increasingly important as the institution matures and employs many highly qualified and well-performing staff who joined the Court in the early years and whom the Court wishes to retain. While expectations of career development and advancement are strong retention factors, the Court's capacity to promote staff or reassign them to other challenges is somewhat restricted by its small size and specialized nature and therefore longer-term job security, another powerful retention factor, is all the more of the essence. Given these considerations, the Court is now considering the introduction of five-year fixed-term appointments, in addition to the currently available one-, two- and three-year ones. The intention would be that five-year appointments could be granted following five years of initial satisfactory service and be renewable thereafter for further five-year periods. As such, the five-year appointments would be granted in lieu of the continuing or permanent appointments offered by other organizations adhering to the United Nations common system.

42. Both the Court and the Committee have also emphasized the need to establish clear criteria for the duration of initial appointments and their subsequent extensions. Performance and the existence of a solid performance management system are key considerations for the extension of appointments, as well of course as a continuing need for the established post. The Court has made much progress in this regard (see section 3.1 below). Inter-organ working groups and consultations have also examined the possibility of introducing a streamlined contractual duration system of an initial two-year appointment,

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<sup>19</sup> Idem.



followed by a three-year one, followed, after five years of service, by the above-mentioned five-year appointments. The initial two-year appointment (currently the Court's practices with regard to the initial appointment vary between one and three years) would be subject to a stringent monitoring of performance during the initial six-month probationary period. A policy on the probationary period is under preparation.

**(d) Social security provisions**

43. Since the establishment of the Court, a group health insurance plan has been offered to all staff. Participation in the scheme is mandatory. No provisions, however, were made for two key elements of a modern public sector social security package: Firstly, staff who have to separate from the Court due to disability have had no possibility of remaining insured under the group health plan, and thus faced the double hardship of finding themselves incapacitated for work and uninsured. Secondly, long-serving staff who reached retirement age were not given the option of participating in a retiree health insurance programme. The absence of these two features, which are integral elements of not only the social security provisions of United Nations common system organization but any modern civil service, has caused considerable concern among staff and in fact has become a retention issue, several staff having left the Court citing the insufficient health plan coverage as the main reason. It should be borne in mind that long-serving international civil servants who have reached retirement age typically no longer have easy access to any national public or private insurance scheme. Re-entry into a scheme at national level may be costly to unaffordable and be subject to restrictions by insurance providers, such as the exclusion from coverage of pre-existing medical conditions and illnesses. These problems are exacerbated by the fact that many international civil servants do not retire in their home countries.

44. The Court has now taken steps to address both issues. With regard to health insurance coverage for staff who separate under the disability provisions of the United Nations Joint Staff Pension Fund (UNJSPF), the Court's group health plan now allows such former staff to remain insured for free until they reach normal retirement age (age 62 for all staff who joined the Pension Fund after 1990). The free coverage for former and disabled staff is financed by a slight premium increase for active staff.

45. With regard to health insurance coverage for long-serving staff who retire from the Court, the Court has negotiated with the insurance provider the possibility that retirees can remain insured under the plan as well as a reduction of the otherwise high retiree premiums to the premium level applicable for active staff. This reduction is financed by another slight premium increase for active staff. The eligibility criteria for participation in the retiree insurance plan are that staff must have reached at least the early retirement age of 55, retire under the provisions of the UNJSPF and have had continuous coverage with the group health plan of the Court (or that of a UN common system organization) for at least ten years.

46. These two improvements have taken effect as of March 2010. However, the provisions for retiree coverage remain unsatisfactory and below standard compared to other organizations. The Court has conducted research into the practices of UN common system and other international organizations (such as the Co-ordinated Organizations, which include NATO) and found that all organizations that do not operate with a tenure system (i.e. a cap on employment duration) subsidize the premiums of retiree health plan coverage to a significant degree: Almost 55 per cent of organizations contribute 80 or 75 per cent to the premiums of retirees. Twenty-five per cent subsidize the premium by two thirds. Even the temporary tribunals, ICTY and ICTR, subsidize retiree premiums by 80 per cent. The International Court of Justice applies an average subsidy of 75% per cent. The Court currently is the only organization that does not provide any subsidy at all.

47. To address the current unacceptable situation, the Court intends to introduce a subsidy of two thirds (67 per cent), starting in 2011. The financial implications have been carefully examined and it has been established that in the short- and medium-term, the age of both the institution and its staff population will render the subsidy scheme highly affordable. It is expected that, at least for the next fifteen years, expenditures for the medical subsidies can be absorbed within the current budget and will thus not require an

increase in the annual programme budget. The expenditure development will be monitored and actuarial studies forecasting future expenditures will be undertaken at regular intervals, and the Court will keep the Committee informed accordingly.

## **2. Increase staff well-being by enhancing existing and developing new support programmes**

### *Human resource strategy objective 5*

48. The Court's programmes for supporting staff well-being have further expanded in 2009. On the staff welfare side, the Court assisted 293 staff through individual consultations as well as group sessions. Forty per cent of individual clients were on sick leave when counseling started; over 89 per cent of these were back at work at the end of the year. Group events included secondary traumatization awareness raising workshops, stress management workshops, team sessions on conflict resolution, information session on depression, induction for new staff and tax information sessions.

49. The Court has also been concerned with supporting work-life balance programmes, which included in 2009 work-life balance workshops, Pilates and body balance sessions, Shiatsu, information on internal and external social activities and support to the UN inter-agency sports games.

50. On the medical side, the Court continued to provide pre-employment clearances and examinations, more than 1.500 consultations on, for example, pre- and post-natal care, first aid, minor health complaints, referrals for physiotherapy and medical specialists, as well as emergencies and annual seasonal flu vaccinations. Moreover, information activities and advice concerning the H1N1 Influenza Pandemic assumed special priority in 2009.

51. The Court continued to assign priority attention to staff in the field and staff travelling to the field on mission. Support activities included pre-travel health briefings, malaria prophylaxis, travel medical kits, vaccinations and travel medical clearances to 280 travellers to the field; missions to field offices by health and welfare staff to Chad and Uganda and the Central African Republic (February 2010); pre-employment medical examinations and vaccinations for new field staff, field staff information letters in French and English regularly sent to all field offices informing field staff on outbreaks or regional epidemics of endemic infectious diseases such as meningitis, cholera, typhoid, plague and Ebola and other haemorrhagic fevers; information booklets on HIV/AIDS in the workplace; field PEP kits and support to the work of three paramedics in the field in Bangui (Central African Republic), Abeche (Chad) and Kampala (Uganda), who also cover for high-risk missions in the Democratic Republic of Congo (e.g. Bunia), with one relief paramedic on a rotational basis. This includes pharmacy and emergency supplies logistics, sick leave and medical consultations, medical evacuation and emergencies, field preventative health activities and staff welfare. First Aid training was organized for all field staff in Uganda, including refresher training and life support training as appropriate for e.g. field security staff members of various sections.

52. The Court also continues to support new staff and their spouses, partners and families upon arrival in order to facilitate integration in the new environment by building a new social and support network and by identifying spouse employment opportunities.

## **3. Enhance and develop further the administration of internal justice systems**

### *Human resources strategy objective 6*

53. As noted in the report for 2008,<sup>20</sup> the Court's formal mechanisms for the administration of internal justice, consisting of an Appeals Board and a Disciplinary Advisory Board, with a right to appeal to the external Administrative Tribunal of the International Labour Organization, are fully institutionalized. Moreover, the Assembly has approved the establishment of an Independent Oversight Mechanism, intended to strengthen the capacity of the Court to investigate misconduct of staff. Within the Human Resources Section, a dedicated capacity has been created to focus on grievances and appeals.

<sup>20</sup> See ICC-ASP/8/8, para. 52

54. In 2009, the focus was on the establishment of informal mechanisms to deal with conflict and to provide conflict resolution assistance and mediation to staff. The Court commenced training of staff members from the Office of the Prosecutor, Presidency, Registry and the Staff Union in informal mediation and this will be continued in 2010. In addition, guidelines were prepared on the procedures for performance appraisal rebuttal, as further explained in section 3.1 below.

## C. Career development

55. The career development part of the human resources strategy encompasses three specific human resources objectives relating to performance management, learning and training and career management and advancement. Responses are also provided to the Committee's requests concerning performance management and training.

### 1. Institutionalize a well-functioning performance management system, including performance-based incentives

*Human resources strategy objective 7 and response to Committee's request on further information on the Court's performance management system<sup>21</sup>*

56. For staff on established posts, a performance appraisal system (PAS) has been in place in the Court since 2005. Comprehensive guidelines on its purpose and application were approved by the heads of organs at the time and have been available on the Intranet. However, the PAS was not uniformly and consistently applied. While some managers assessed the performance of staff under their supervision in connection with contract extensions, others did so at irregular intervals or not at all. Moreover, individual staff objectives and performance plans rarely had the benefit of being linked to workplans for the division/section and, through those, to the ICC Strategic Plan.

57. This has now changed. In August 2008, the Registrar announced the introduction of a mandatory and streamlined performance management system for Registry, which included:

- (a) An annual and mandatory cycle for workplanning at the divisional, sectional, unit and individual levels;
- (b) An annual and harmonized cycle for appraisals and mid-year reviews of individual staff performance; and
- (c) An annual and harmonized cycle for developing individual and organ-wide learning and development plans for staff.

58. The Registry system is also applicable to staff in Presidency and Chambers. As of 2010, the Office of the Prosecutor has introduced the same mandatory cycle.

59. Conceptually, the ICC Performance Appraisal System is based on three pillars: competencies, accomplishments and development needs:

- (a) Competencies refer to behavioural skills and attitudes, such as teamwork, professionalism or interaction with others, in other words, the "how" people do their job.
- (b) Accomplishments refer to the job-specific results that are expected to be achieved; the "what" people do in their job.
- (c) Development needs refer to the areas which staff member and supervisor identify as relevant for further growth and advancement to higher levels or for remedial purposes. Development needs can be identified both for the "how" and the "what", for competencies and results achievement, of performance.

60. The first and key step in the performance management cycle is the establishment of realistic ("SMART") objectives at the beginning of the performance period. Objectives cannot be established retroactively and staff cannot be assessed if no objectives were set upfront. Moreover, performance objectives for a staff member must not be developed in isolation but be derived from the organizational goals and unit objectives. In the Court, the

<sup>21</sup> See above, footnote 3.

ICC Strategic Plan, the Court-wide priorities described in the annual programme budget and the division/section workplans form the basis for identifying individual objectives. Performance objectives include both the results that a staff member is expected to achieve and competency developmental goals. These are reviewed and if necessary adjusted at the mid-point of the performance period and formally assessed at the end of the period.

61. Table 4 shows the timetable for the performance management cycle. During the “peak” periods of the annual cycle (mid-February to mid-March and August/September), managers are expected to assign priority to their performance management tasks. Division heads and Section Chiefs are requested to ensure that managers responsible for performance management are given the required time to carry out these tasks. A monitoring tool for reporting on compliance is currently under preparation.

**Table 4: Performance Appraisal – regular cycle**

<i>Time/Period</i>	<i>Action</i>
Early December	Approval of Budget
December/January	Preparation of Division/Section objectives and workplans
1-15 February	Review and approval of Division/Section plans
15-28 February	Appraisal of staff for past performance period
1-15 March	Establishment of individual objectives for next performance period
August/September	Mid-term review and feedback period

62. To assist managers and supervisors in their performance management responsibilities, the Registry has been offering training on the Court’s PAS as well as on workplanning and objective-setting, communication and feedback skills and learning and development.

63. Guidelines were adopted on the procedures that staff need to follow if they wish to rebut their performance appraisals. Performance appraisals do not represent administrative decisions in the legal sense and thus cannot be appealed through the formal justice system. However, any credible performance management system needs to offer staff the possibility of having their appraisals reviewed independently. The Court has chosen the establishment of rebuttal panels to carry out such reviews.

64. In 2010, the Court will commence a review of its performance appraisal tool, since the current format is seen as in need of some improvements and simplification.

## **2. Provide learning and training opportunities that contribute to the achievement of the Court’s goals and address individual development needs**

*Human resources strategy objective 8 and response to Committee’s recommendations regarding management of training<sup>22</sup>*

65. Considerable progress has been achieved in 2008 and 2009 with regard to the introduction of a more coherent and strategic approach to learning and training. It should be noted here that the Court also uses the broader term “learning” which in both public and private sector organizations has replaced the term “training”. Learning includes training but is not limited to it. Whereas training is traditionally considered more of a classroom activity and implies that a staff member “gets trained”, learning encompasses also other developmental activities such as studying a new approach to solving a problem or a short stint with another organization for research purposes. Learning implies a more pro-active approach by the learner and as such rightly attributes a shared responsibility for acquiring new knowledge, skills and competencies to both the organization and the individual staff member.

<sup>22</sup> See above, footnotes 6 and 10.

**(a) Budgeting and programming for learning and training in the Court**

66. The current separation between the “corporate” training allocation included in the budget of the Human Resources Section and the training allocation included in other sub-programme budgets of the Court is of advantage in that it allows sections to plan for and implement technical or specialist training activities for their staff in their respective areas of expertise, e.g. IT training for IT staff, specialist legal training for trial lawyers or warehouse management training for staff working in the General Services Section. The training budget of the Human Resources Section, by contrast, was intended to fund learning activities that were of relevance to the general staff population or at least significant parts of it. Examples are language training, communication skills, ethics and integrity, induction, project management or performance management.

67. At the same time, the allocation of training budgets, and thus the responsibility for identifying training needs and training programmes to programme managers across the organs and the Court, may have had the unintended consequence that the Court was not in a position to fully utilize the benefits of a Court-wide strategic approach to learning and to entirely eliminate the risk of duplication or overlap between learning activities sponsored by individual sections and those of the Human Resources Section. It should be noted in this context that the “corporate” training budget of the Human Resources Section makes up about 35 per cent of the overall Court budget for training (€350,000 out of approximately €1,000,000).

68. Against this backdrop, the Committee recommended that the Court “identify priority areas for training and that it prepare long-term training plans and models such as training for trainers systems”. The Committee also recommended that the Court “prepare a strategic training plan linked to the risk management that would identify training required for core functions [...] and other types of training with a plan for prioritization”.<sup>23</sup>

**(b) Towards a strategic approach to learning**

69. Targeted learning and training activities typically can address a range of objectives, notably: (a) the need to ensure that staff are fully equipped to help the institution meet the goals of its strategic plan and the objectives specified in the annual division/section workplans derived both from the strategic plan and the annual budget objectives; (b) the need to address performance “gaps”, gaps being the difference between desired and actual performance; and (c) the organization’s wish to ensure that particularly its high-performing staff get prepared for assuming new and possibly higher-level responsibilities in the future. In the Court, the emphasis has remained on categories (a) and (b), with the longer-term “talent management” aspect playing some but less of a role, mainly due to financial constraints. A fourth category existing in other and older organizations which focuses on ensuring the continued employability of staff outside the organization on the external labour market (a typical example is outplacement training) does not currently exist in the Court.

70. In addition to the above typical foci of learning programmes, the risk management project currently underway in the Court will provide, starting in 2010, helpful indicators for strategic and targeted learning and development interventions.

71. Commencing in 2008 and throughout 2009, the Human Resources Section has worked with the heads of organs and their managerial staff to develop an approach for managing learning that establishes a clear link between the objectives established under (a) and (b) above and learning interventions. Concretely, this means that the organ-wide and divisional/sectional workplans, all linked to the Strategic Plan and budget objectives, as well as the individual performance appraisals and performance plans of staff serve as the starting point for identifying learning programmes that support the achievement of the objectives spelled out in each of these planning tools. This should include, starting in 2010, the objectives derived from the risk management project. In addition, specific performance issues identified as “gaps” may emerge outside of the workplanning and performance management processes and inform the development of the learning plans.

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<sup>23</sup> Idem.

72. This new strategic approach to identifying learning and training needs, prioritizing them and to evaluating them is presented in detail in Annex II. The Committee may wish to note that the approach includes practical tools for managers to carry out this part of their managerial responsibilities. These tools are also presented in the same Annex.

**(c) The 2009 Strategic Learning Plan**

73. Based on learning needs analysis and resulting from a systematic process of prioritization, the Court identified seven key strategic areas that are seen as critical for the achievement of the Court's objectives and for supporting high performance of its staff.

74. The key strategic areas of the 2009 Learning plan were:

- (a) Leadership, management and organizational development
- (b) Substantive and technical knowledge
- (c) Information Technology
- (d) Languages
- (e) Staff well-being
- (f) Human resources and financial management
- (g) Induction and career support

75. A detailed description of the specific learning interventions under each of the above categories is provided in Annex III.

76. It should be noted that this 2009 ICC Learning Plan contains many, but not necessarily all of the learning activities that were funded by the organs, divisions and sections of the Court. The reason for this is the decentralization of the training budgets described in section 3.2.1 above. For the 2011 programme budget, all sections will be asked to group their planned training and learning activities in one of the seven categories which will then make reporting on the total expenditures on training and learning more complete. Moreover, it should be noted that the annual development of Court-wide learning plans should not adhere to a calendar-year schedule but should follow the performance assessment cycle which has been established for the periods March through February. Thus the 2009 learning plan was finalized following the inputs received through performance assessments and after March 2009.

77. With regard to particularly noteworthy learning activities during this period, the Court wishes to highlight performance management training, teambuilding events, communication skills, legal training and a series of guest lectures/briefings on legal issues, stress management and secondary traumatization workshops, security training and a revised induction programme for new staff.

78. With regard to the Committee's recommendation that it develop models for a training-for-trainers system, the Court notes that this has increasingly been accomplished. The Court has run a number of train-the-trainers programmes and of the 117 different types of learning activities listed in the 2009 ICC Learning Plan, a total of 60, or more than fifty percent, was conducted by internal Court staff members or external providers free of charge. Of particular importance here is the revised Induction Programme for new staff, which is run almost entirely by ICC managers, including the heads of organs. The only external provider in the Programme is an expert on cultural awareness. The Court also wishes to note, however, that the use of internal staff as trainers has its limitations: Preparing for and conducting high-quality training is time- and labour-intensive and often cannot be accomplished in addition to the regular workload, and not every knowledgeable and skilled staff member has the know-how or talent to train others which in turn means that external train-the-trainer providers have to be procured and funded, or that the quality of the internal training programmes may not be as high as desired.

**(d) The 2010 Strategic Learning Plan**

79. The 2010 Strategic Learning Plan will focus on the same seven strategic areas as the 2009 plan. A major focus will be on leadership and management development, which is also one of the key aspects of the human resources strategy. Implementation of the leadership development programme, for which the Court conducted a competitive bidding exercise in 2007, was put on hold in 2008 for lack of funds. As recommended by the Committee, the Court has identified funds for conducting this programme in 2010.

80. Substantive training will be a further priority in 2010. The Office of the Prosecutor, following completion of its Operations Manual, will run training workshops on the Manual's contents, covering areas that include handling of information and evidence, preliminary examinations, investigations, evidence sources, witness interviews, witness protection and support, warrants of arrest and proceedings. In addition, legal training with a focus on drafting, advocacy, procedural practices and articles of the Rome Statute that focus on modes of liability will be provided to legal staff, with Judges present to promote debate and understanding amongst the participants.

81. A major new input into the 2010 Strategic Learning Plan will stem from the results of the proposals made by the respective inter-organ working groups on the risk management project. The Court established seven working groups dealing with cooperation, human resources management, oversight, public information, safety and security, inter-organ collaboration and permanent premises. All working group reports will contain recommendations with regard to learning and training aimed at safeguarding against the risks identified. Progress in this regard will be reported to the Committee in 2011.

**3. Develop and implement approaches and systems for career management and advancement of staff**

*Human resources strategy objective 9*

82. Through the implementation of its human resources strategy, the Court is increasingly putting in place key elements of a career organization. Career paths are established for certain functional groups, for example for trial lawyers, investigators and analysts in the Office of the Prosecutor. Between twenty and thirty per cent of vacant posts are filled by internal candidates, often offering advancement opportunities to higher levels. The now fully institutionalized performance management system provides a solid basis for tracking and promoting growth and development of staff. The new and strategic approach to learning and training further supports and enables staff development, including in the important area of leadership and management development.

83. The fact that the Court is indeed a career organization is also manifested by its envisaged improvements in job security, through longer-term appointments on the one hand and, on the other, social security through the introduction of a health insurance subsidy for former staff who have separated due to disability or retirement. The Human Resources Section of the Court has continued to provide career counseling to staff, including temporary and permanent transition support.

**III. Preparation and Review of Reclassification Proposals****A. Purpose and rationale for reclassifications**

84. Under principles laid down by the Assembly, and in accordance with Staff Regulation 2.1 and Staff Rule 102.1, entitled "Classification of Posts", posts in the Court "shall be classified according to the nature of their duties and responsibilities, in conformity with the United Nations common system of salaries, allowances and benefits. For the common system, the International Civil Service Commission (ICSC) has developed job evaluation standards for the two categories, General Service and Professional and higher. These standards document the criteria for determining the value of work and are used throughout the United Nations common system as well as by other intergovernmental organizations that have adopted these tools. The standards for the Professional and higher

categories are applied globally; for the General Service category, the ICSC-promulgated standards are currently duty-station specific, and the Court uses those applied by common system organizations in The Hague. Grade level summaries for each level of the two categories are provided in Annex IV. Further information on the application of the standards is provided below.

85. The nature of a job may change over time in the organizational context, due to organizational re-structuring or a shift in the distribution of tasks and responsibilities. In such cases, a review of the previously classified level of a post is indicated. While stability and strict adherence to the rank-in-post system are critical, these have to be balanced against the need for organizational flexibility and adaptability to new and emerging circumstances and developments. Often, it is also efficiency measures that lead to a change in job contents of individual posts in that additional tasks and new operational demands cannot easily be met by creating new and additional positions but require that such additional tasks be distributed among existing posts. This is particularly the case in a young and growing organization still in the process of institution-building, such as the Court. Rather than requesting additional posts, which would increase the programme budget significantly, the Court has sought to manage the increase in complexity and volume of its operations by reorganizing the distribution of functions and responsibilities. At times, this has led to the need for reviewing the level of a previously classified post, and in certain cases the changed content of the job has then called for a change in the level of the post. Reclassifications were approved in 2007, 2008 and 2009 for the subsequent budgets, and will also be proposed in 2010.

## **B. Distinction between post and incumbent**

86. The subject of reclassification of posts lies outside the scope of the human resources strategy as its focus is not on the staff member occupying a post but on the post itself and its appropriate positioning in the organizational structure. In fact, from a conceptual point of view, the two – post and incumbent – must be strictly and categorically separated. It is not the consistently commendable performance of a staff member, nor his or her demonstrated ability to assume and carry out responsibilities at a higher level than his or her functional grade that are to initiate the process of reclassification but it is the organizational need for a significant restructuring or a substantive and significant change in the nature of work, duties and responsibilities of a post that must be the originators for a reclassification exercise.

87. Ensuring and safeguarding the maintenance of the strict separation between post and incumbent is the responsibility of senior management levels. In the Court, this responsibility rests with the heads of organs, the division directors and the section chiefs, assisted by the Human Resources Section with regard to monitoring and application. At the initial stage of the process, many requests for a review of post level are rejected in the Court because they do not meet the required prerequisites. Once it has been determined that the criteria for a review of the classified level of a post have been met, and following the preparation of the necessary supporting documentation, the task of evaluating the post level is of a technical nature and in the Court is outsourced to external experts. If the expert's review establishes that the reviewed post should be at a lower or higher level, the heads of organs' approval is required and, in the case of changes with budgetary impact, the approval of the Assembly, following the recommendations of the Committee. The final stage of a reclassification exercise is its implementation. While performance and qualifications of an individual incumbent are not considered in the context of the review, at the implementation stage these factors will determine whether the post-holder is eligible for the higher grade. In certain cases, a competitive process will be required. The reclassification process is described in detail below.

## **C. Justification for review of a post previously classified**

88. In the Court, requests for reclassifications are initiated at the level of the Chief of Section. Each year, a communication is sent to managers reminding them of the following restrictions:



“A request for the reclassification of a post shall be made in the following cases only:

(a) When the section/division, to which the post belongs, has undergone a significant organizational change as a result of restructuring within a section, division or organ and/or a decision of the Assembly of States Parties; and/or

(b) When the nature of work, duties and responsibilities of a post have substantively and significantly changed since the previous classification.

The principle of “substantive and significant change” implies that there has been a considerable change in the role of the position in the Court and/or a change to the context of the work, i.e. due to restructuring or organizational change. This also includes any significant additions to the responsibilities of an incumbent of a post. Such significant change occurs rarely and must be distinguished from normal changes in functions required in the everyday operations of the Court.

Staff members are employed to perform specific duties as per their job description. The fact that a staff member is capable of performing more complex duties does not in itself constitute grounds for requesting reclassification of a post. Reclassification shall not be requested for the purpose of rewarding a staff member for good performance.

Supervisors and managers shall exercise due diligence in observing the principles outlined above. Staff who consider that they are meeting the requirements for performing higher level duties and responsibilities are encouraged to apply for suitable higher level positions.”

89. As the above instructions to managers emphasize, reclassification of a post is not seen as a career development or promotion tool in the Court.

#### **D. Procedures for requesting a review of the classified post level**

90. Requests for review are normally initiated by the Chief of Section and/or, in case of the Chief of Section reporting to a Director of Division, by the Director of Division, with the prior endorsement of the Chief of Section. Incumbents who consider that the duties and responsibilities of their posts have met either or both of the criteria that may justify a review may bring this to the attention of their supervisor(s) and request a review of the classification level. The supervisor(s) then review(s) the request and may bring it to the attention of the Chief of Section. If the Chief of Section considers the request justified, he or she forwards it to the Director of Division who seeks the approval of the Registrar or the Prosecutor, as appropriate, for the conduct of a review.

91. Following approval of the review by the Registrar or the Prosecutor, requests for review of the classified level of a post are submitted by the relevant Director or Section Chief to the Chief of Human Resources, who takes appropriate action to have the post reviewed independently by an external classification specialist in accordance with the relevant classification standards established by the International Civil Service Commission (ICSC).

92. Requests for review of the classification of a post must include the following supporting documentation:

(a) The currently applicable work survey for the post in question;

(b) A fully completed new work survey for the post in question, reflecting the changes and responsibilities as per the criteria outline above, certified and approved by the direct supervisor, Chief of Section and the Director of Division, if applicable;

(c) A detailed justification explaining the reason for submitting the request for a review and the nature of the substantive and significant changes; and

(d) An up-to-date organizational chart showing the placement of the post in question and of other posts within the Section or Division, describing the post number, group and level of each post and clearly outlining all reporting relationships.

93. The currently applicable work survey template is shown in Annex V.

## **E. Technical evaluation of classified level**

94. As noted above, the Court follows the job evaluation standards of the United Nations common system. While staff of the Court are trained in the methodology for classifying and reviewing post levels, it has been decided to contract external experts for conducting reclassification reviews in order to ensure the highest possible degree of independence in the process and also for workload reasons, because, unlike bigger organizations, the Court cannot afford to establish its own classification unit.

95. To date, the Court has worked with two external experts, who were selected from a list of names provided to the Court by other organizations following the common system. The first one conducted a round of initial classifications in 2005 and the reclassification review in 2007. She retired in 2007. The reviews in 2008 and 2009 were carried out by the second expert who was selected from a choice of three providers. For the technical evaluations to be done in 2010, the Court is currently preparing for another round of competitive bidding. It should be noted that the costs for carrying out the technical reviews are minimal (USD 100 per post reviewed for the 2008 and 2009 exercises). Typically, the consultants chosen for reclassification reviews must be highly experienced in the application of the United Nations common system classification standards promulgated by the ICSC. They are either former UN staff members or have been associated with the UN for a long time as classification consultants.

96. In evaluating the documentation submitted by the Court for the review of professional-level posts, the external experts are required to use the ICSC Master Standard. The Master Standard covers the widest possible variety of jobs and spans all fields of work. The Standard applies a point-factor rating system, which is analytical, quantitative, and made as objective as possible by prescribing an orderly approach to the analysis and evaluation of jobs requiring the consideration of six factors, each composed of a number of elements. The elements and factors selected are those commonly found in other classification systems but modifications and special interpretations have been made to reflect the distinctive international character of work and organizational structure of the United Nations common system and those organizations that are adhering to it. Fifteen different elements were selected and grouped together in matrix form in six major factors:

- Factor I: Professional knowledge required
  - (a) Theoretical knowledge required
  - (b) Practical experience
  - (c) Language knowledge
- Factor II: Difficulty of work
  - (a) Individual contributions
  - (b) Complexity of work
- Factor III: Independence of work
  - (a) Application of guidelines
  - (b) Supervisory controls over incumbents
- Factor IV: Work relationships
  - (a) Skill of contacts inside the organizations
  - (b) Importance of contacts inside the organization
  - (c) Skill of contacts outside the organization
  - (d) Importance of contacts outside the organization

- Factor V: Supervisory responsibility
- (a) Supervisory responsibility for support staff
  - (b) Supervisory responsibility for Professional staff
- Factor VI: Impact of work
- (a) Effect on work
  - (b) Consequence of (involuntary) errors

97. The classification expert analyses each work survey against the above factors. He or she also studies the justifications provided by the Court and looks at the post's positioning in the internal organizational structure as presented in the organizational chart. If necessary, the consultant also contacts the responsible Chief of Section for further information. The results of the technical evaluation are presented in the "Point Rating Worksheet". A (generic) sample is provided in Annex VI. The total number of points assigned against the six factors and fifteen elements determines whether a post falls within the range of the current level, or a higher or lower one. For example, the P-3 level ranges from 1,320 to 1,669 points. Normally, if the number of points is very close to the minimum or maximum of the range of a level, a second review is indicated.

## **F. Approval process**

98. In the case of posts at the Professional or Director level, or of posts proposed for a reclassification from the General Service to the Professional categories, the approval of the Assembly of States Parties is required in the context of its consideration of the annual programme budget of the Court. Therefore, if the outcome of the review differs from the current classification of a Professional-level post, then, pursuant to Staff Regulation 2.1 and Staff Rule 102.1, the Registrar or Prosecutor, as appropriate, prepares and submits to the Assembly of States Parties, through its Committee on Budget and Finance, proposals for reclassifications of posts according to the nature of the duties and responsibilities required and bearing in mind the budgetary restraints of the Court. Proposals for reclassification of Professional-level posts will normally be included in the programme budget for the following year.

99. In the case of posts at the General Service level, the Committee recommended that the Court be granted the flexibility to reclassify such posts where there was a need to do so.<sup>24</sup> As reclassifications within the General Service (Operational Level, GSOL) levels have no budgetary impact, they are not reflected in the programme budget for the following year, but are reported in the Annex to the programme budget of the subsequent year. This does not apply to reclassifications from the GSOL to the General Service (Programme Level, GSPL) levels, and these are required to be reflected in the programme budget for the following year.

## **G. Implementation of reclassifications**

100. Reclassifications become effective as of 1 January of the year following the review and, if granted, the approval of the reclassification by the Assembly of States Parties or the Prosecutor or Registrar, as appropriate. This also applies to reclassifications at the GSOL level. A staff member may be entitled to a change in grade resulting from the reclassification of the post he or she occupies or if he or she has the necessary qualifications. Also, at this implementation stage, the supervisor is required to certify that the performance of the staff member whose post has been reclassified has been satisfactory. An upgrade by one level normally leads to the upgrade of the incumbent, subject to the cited criteria. However, in cases of an upgrade by more than one level, an upgrade of a Section Chief post or a change of category from the General Service to the Professional level, a competitive recruitment process is mandatory. Different modalities apply for cases of a downgrade of a post.

<sup>24</sup> *Official Records ... Sixth session ... 2007* (ICC-ASP/6/20), vol. II, part B.1, para. 70.

101. Since the reclassification of a position is a result of the changes described in section 1 above and not of the performance of the incumbent, an upgrade due to reclassification is not considered a promotion for the incumbent. Therefore, an upgrade should not lead to a significant salary increase. In cases where the incumbent is awarded the higher grade owing to the upgrade of the position without a competitive selection process, he or she will thus be placed at the existing or closest higher salary rate within the salary range of the newly assigned grade.

## **H. Additional considerations**

102. The Court is of the view that the number of reclassifications approved since 2007 has been commensurate with the demands and operational realities of a new and growing institution. Through a stringently managed review and approval process, embedded in the established methodology of the ICSC-promulgated common system job evaluation standards applied by an external expert, the Court has been able to balance the need for flexibility and responsiveness to change and efficiency requirements with the principles of due diligence in avoiding misuse of reclassifications for the purpose of promoting individual staff and in observing budgetary stringency.

103. Furthermore, the Court is of the view that consistency in the approval of reclassifications of posts that have undergone a significant and substantive change is essential. If the described technical evaluation clearly establishes that the functions of a post are operating at a level higher than the current budgeted level, principles of equity and fair treatment demand that this also be recognized through the upgrade of the incumbent of the post to the higher level, provided the above conditions and prerequisites are met. Failure of the organization to do so may lead to legal repercussions grounded on such unequal treatment, including possible appeals made to the International Labour Organization Administrative Tribunal (ILOAT).

## **IV. Summary and Conclusions**

104. 2009 has been a successful year for human resources management in the Court, with all heads of organs attaching high strategic importance to the implementation of the human resources strategy.

105. Recruitment activities yielded a record of 203 vacancies filled in established posts alone; with a reduced staff turnover rate of 9.8 per cent, the net annual increase of staff was 102, or 8.5 on a monthly basis. Measures to strengthen the capabilities of hiring managers and to target under-represented countries through new recruitment activities were successfully launched. Agreements were reached on the implementation of improved conditions of service for internationally-recruited professional staff working at the Court's field locations and on improvements to the Court's social security provisions. Human resources policy development and staff wellbeing programmes continued to receive priority attention. Particular progress could be noted in the further institutionalization of the performance management system, which is now applied on a mandatory annual cycle throughout the Court, and in the development of a strategic approach to learning and training.

106. In the context of the progress made in the area of human resources management, the Court wishes to again express its appreciation to the Staff Union Council for its constructive and fruitful collaboration with the administration and for the support and assistance its members have provided to many staff of the Court.

107. In 2010, the Court will build on 2009 achievements and undertake further efforts to ensure that the institution attracts high-quality staff with due regard to geographical representation, gender balance and range of legal systems, provides a caring and supportive environment for its staff and retains them under attractive conditions of service that will foster career development and growth for individual staff, as well as maximizing organizational performance as a whole.

## **Annex I**

### **Donors of Junior Professional Officer Programmes in the United Nations Common System**

1. Australia
2. Austria
3. Belgium
4. Canada
5. Czech Republic
6. Denmark
7. Finland
8. France
9. Germany
10. Greece
11. Iceland
12. Ireland
13. Italy
14. Japan
15. Kuwait
16. Liechtenstein
17. Luxembourg
18. Monaco
19. Netherlands
20. Nigeria
21. Norway
22. Organization internationale de la Francophonie
23. Poland
24. Portugal
25. Republic of Korea
26. Saudi Arabia
27. Spain
28. South Africa
29. Sweden
30. Switzerland
31. United Arab Emirates
32. United Kingdom
33. United States of America

## Annex II

### Strategic Approach to Learning and Training Concepts and Methodology

1. In order to arrive at a more strategic approach to identifying learning needs and to better prioritize them with a view to implementation, the Court has developed a methodology as well as practical tools that assist managers to plan and programme for high-impact learning and training for their staff.
2. The Court's strategic approach to managing learning encompasses four discrete steps:
  - (a) Learning needs analysis;
  - (b) Decision-making (prioritising);
  - (c) Implementing the ICC Learning Plan; and
  - (d) Evaluating the impact of learning on performance.
3. The meaning of these steps and the way in which they have been implemented are described in the following sections.

#### Step 1: Learning Needs Analysis

4. The first component of the strategic approach to managing learning is the learning needs analysis, whose objective is to (a) identify performance enhancement areas (also referred to as performance gaps); (b) analyse the factors that are causing performance gaps; and (c) focus on the factors that may be positively affected by learning activities.
5. The sources for the identification of performance enhancement areas are the ICC Strategic Plan, the programme budget objectives, the organ/division/section workplans, the performance appraisals and development plans of individual staff and, the risk management project, as well as other areas identified outside of the above, such as unforeseen and suddenly emerging learning needs. A need for performance enhancement can exist for the immediate or the medium-term future. Suggesting that there is a need for performance enhancement does not imply that current performance is unsatisfactory as such, but may simply mean that, in order for the Court to achieve the kind of performance required to meet its strategic goals and objectives, some or all of its staff need to be equipped with knowledge, skills and competencies they do not currently have or have only to an insufficient extent. A good example is the use of the Court's new e-recruitment tool: At the moment, hiring managers do not have the knowledge and skills to work with the new system. There is thus a "gap" between current performance and the performance that is desired following the introduction of e-recruitment. Therefore, training in the use of e-recruitment is required if the objective of making recruitment more efficient is to be met. Another example is the introduction of the Operations Manual in the Office of the Prosecutor, which sets standards for the Office's operations. Training needs to be conducted to ensure that staff in the Office are fully familiar with the contents of the Manual.
6. At the same time, it is of key importance to analyze all factors that may be causing a performance gap before jumping to learning and training programmes as a solution for closing such gap. The call for training as a "quick fix" to a problem that may exist in an organization is not uncommon in organizational behaviour. In the above example of e-recruitment, the goal of increased recruitment efficiency could not be achieved through training alone if the computers of hiring managers did not have the capacity to run the necessary software. In order to facilitate this crucial phase of the learning needs analysis, managers have been provided with a simple tool that summarizes the seven most important factors that can cause performance gaps. The purpose of this tool is to allow managers to distinguish between performance issues that can be addressed through learning and training and those that cannot. The analysis tool is shown in Table 1.

**Table 1: Analysis of factors that may cause the need to enhance performance**

<i>Factors</i>	<i>Definition and Examples</i>
1. Knowledge and Skill	Staff have not been trained to perform the job to the standard. If staff do not have the knowledge and skills to use a new software system, its introduction will not lead to enhanced performance. Within the OTP, the Operations Manual was issued in February 2010 and a systematic gap analysis of knowledge and skills in relation to the Manual was conducted to identify relevant training needs for core functions
2. Capacity	Staff lack the mental or physical capacity to perform the job. An example would be a facility worker who has injured his back.
3. Standards/ Expectations	Job standards and expectations have not been defined or staff have not been informed of them. The OTP Operations Manual is a good example for setting standards.
4. Measurement	The staff member's job performance is not being monitored and measured against the standard. The absence of a functioning performance management system can be attributed to this factor.
5. Feedback	Too little feedback is given (staff do not know enough about how they are doing), feedback is poorly given (doing more harm than good), mostly negative feedback is given (reducing motivation levels); mostly positive feedback is given (reducing its believability, and creating missed opportunities for development).
6. Conditions	Staff do not have the time, tools or resources to perform the job to standard. Lack of suitable office facilities or of computer systems are typical examples.
7. Incentive / Motivation	Motivation factors span a wide range; examples are over- or under-qualification, lack of equity, perception of unfairness in staff treatment, lack of belief in the goals of an organization, lack of reward of reward of high and "punishment" of low performance and, to some extent, lack of adequate financial compensation.

*Source: Langevin Training Services Inc., Training 101: All the Basics, e-learning module, 2007*

7. It is worthwhile noting here that learning and training programmes are mainly meaningful if the lack between actual and desired performance is attributable to factor 1, lack of knowledge and skills. Organizational studies have found that the lack of knowledge and skills accounts for only 10 per cent of performance problems, with the lack of standards and clear expectations accounting for 75 per cent. The absence of standards and expectations, appropriate performance management systems or adequate computer systems are all factors that need to be addressed through different organizational measures and not through learning and training. Once such standard and systems exist, training in their application and usage is of course of the essence.

8. Once the potential causes of a performance gap have been identified, the next step is to focus on the factors that may be positively affected by learning activities. In this regard, it is important to develop learning objectives that focus concretely on the knowledge and skills that are to be required through the learning activity. In addition to learning objectives, it is equally important to develop application objectives. Application objectives focus on how the job is to be done after the learning activity is completed. Once learning and application objectives are in place, the final step is to link these to performance impact objectives. Performance impact objectives cover both hard and soft data objectives such as output, quality, cost, time, and staff/customer satisfaction.

9. Following completion of the described analysis, i.e. the identification of performance gaps, the determination of whether learning and training is a suitable solution to close them and the establishment of learning, application and performance impact objectives, managers submit the learning needs analysis template for their division/section. The template used for this purpose is shown in Table 2. Division heads and heads of organs are responsible for prioritizing such needs in light of their strategic importance in relation to the achievement of the Court's strategic goals.

**Table 2: Learning Needs Analysis Template**

Learning Needs Analysis Instructions					
1. Read the Examples spreadsheet (see green tab below) 2. Fill in 2010 LNA spreadsheet with your learning recommendations (see blue tab below and refer to Policy and Guidelines below) 3. For questions and assistance please contact Federico L'Huillier - HR Learning & Development Unit (Ext. 8997)					
Policy and Guidelines for Conducting 2010 Learning Needs Analysis					
1. Learning recommendations are to be linked to performance improvement areas. 2. Learning recommendations can focus on individual, team and organizational development needs. 3. <a href="#">The CBF has requested that Directors and Section Chiefs familiarize themselves with the key areas raised during the Risk Management Project and that learning recommendations be linked to these development areas (Click here for the list of key areas identified in the Risk Management Project).</a> 4. Directors and Section Chiefs are responsible for working with their staff members to analyze learning needs. 5. Directors and Section Chiefs are responsible for submitting their learning recommendations to the Registrar. 6. The Registrar is responsible for working with her Directors and Section Chiefs in approving learning recommendations. 7. The HR LDU is responsible for providing support (please contact Federico L'Huillier - HR Learning & Development Unit (Ext. 8997))					
Support Tools					
<a href="#">The Expression of Interest Table lists recent training activities. click here</a> <a href="#">For more detailed information on how to conduct a Learning Needs Analysis that is linked to performance improvement. click here.</a>					
	A	B	C	D	E
	Division	Section	Learning Activity /Training	Learning Objectives	Can the trainer for this course be found within the ICC or do we need an external trainer?
1				List 2-5 points on how this learning activity will improve performance	
2					
3					
4					
5					
6					
7					
8					
9					
10					



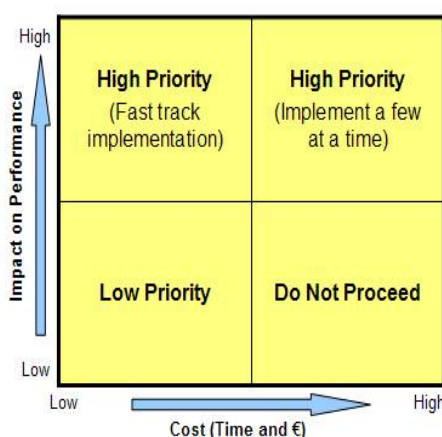
## Step 2: Decision-Making (Prioritization)

10. The number of performance enhancement activities that can be addressed through learning and training may exceed the financial or organizational capacities of the Court. Therefore, it is key to prioritize them by balancing their strategic performance impact with their costs in terms of both financial investment and staff time. In this light, each learning activity proposed by managers is classified into the following categories:

- Priority 1: High strategic impact on performance and low cost (time and money)  
*Example:* SAP training run by internal trainers.
- Priority 2: High strategic impact on performance and high cost (time and money).  
*Example:* Leadership development and executive coaching.
- Priority 3: Low strategic impact on performance and low cost (time and money)  
*Example:* a one day conference not directly related to the job.
- Priority 4: Low strategic impact on performance and high cost (time and money)  
*Example:* expensive external training programmes that are not related to the ICC's mission and goals.

11. The relationship between impact, cost and priority is shown below:

## Step 3: Implementing the ICC Learning Plan



12. The above approach was first used in 2008, in the Office of the Prosecutor, and in 2009 within Registry, Presidency and Chambers. In 2009, the first ICC Learning Plan, including learning activities for all organs, was prepared. Based on learning needs analysis and prioritization processes as described above, seven strategic learning categories were defined in which learning and training programmes are seen as having high strategic performance impacts. These will also be used for the 2010 Learning Plan.

## Step 4: Evaluating the impact of learning and training on performance

13. Evaluation of the impact that learning and training programmes have had on the performance of individuals as well as the organization as a whole completes the four-step cycle of the Court's strategic approach to learning. Impact evaluation of learning and training is also referred to as the assessment of the "Return on Investment" (ROI) of training programmes that cost the organization money and staff time. ROIs for learning are easiest to calculate in a commercial enterprise whose success is defined by profit, such as a car manufacturer which may attribute a surge in sales on the latest car model directly to the training provided to salespersons in their dealerships. They are hardest to compute in a not-for-profit organization that operates with long-term and ambitious goals such as the Court's goal to end impunity for individuals who commit crimes against humanity.

14. Typically, organizations use the four-level ROI assessment approach developed by Donald Kirkpatrick, which is composed of reaction, learning, behaviour and (organizational) result. A simplified version of Kirkpatrick's model is shown in Table 3.

**Table 3: Evaluation of impact of learning and training**

<i>Level</i>	<i>Evaluation type (what is measured)</i>	<i>Evaluation description and characteristics</i>	<i>Examples of evaluation tools and methods</i>
<b>1 Reaction</b>		How the learner felt about the training or learning experience, including trainers, other participants facilities, etc.	Feedback forms at end of training; Verbal reaction, post-training surveys or questionnaires. Reaction can be assessed immediately.
<b>2 Learning</b>		Measurement of the increase in knowledge and skills before and after the learning activity	Typically assessments or tests before and after the training. Interview or observation can also be used. Learning can be assessed immediately.
<b>3 Behaviour</b>		The extent of applied learning back on the job, i.e. change in performance	Performance assessments, multi-rater (survey) assessments. Changed behaviour requires some time to assess.
<b>4 Results</b>		Impact that the learning activity of the individual had on organizational performance	Relating an individual's participation in a learning activity to improvement of organizational performance is long-term and difficult, particularly in a non-profit organization with long-term goals.

15. In the Court, level 1 is always carried out for training activities. Level 2 is applied in many programmes, such as IT or language training. Level 3, the change in performance back on the job following a learning programme, is measured increasingly through the now fully institutionalized performance appraisal system. Level 4, the impact of an individual's learning on the performance of the Court as a whole, will require longer-term studies and mechanisms.

## Annex III

## 2009 ICC Strategic Learning Plan

Learning Category	Learning Activity	Internal or External Trainer	No. Participants	
Leadership Management and Interpersonal Skills	Building Motivation	Internal	142	
	Communication and Interpersonal Skills	External	24	
	Conflict - Managing Relationships and Conflict	External	11	
	Executive Coaching - STL	External	1	
	Leadership and Management Development Programme - OTP	External	13	
	Media Training - President	External	1	
	Media Training - Registrar	External	1	
	Mediation in the Workplace	External	10	
	OTP Service Providers Suvey	Internal	18	
	Performance Management (Advanced) - Fightback or Feedback	External	13	
	Performance Management (Introduction)	External	0	
	Performance Management (Introduction) - Communication and	External	51	
	Performance Management (Introduction) - Managing Learning	External	84	
	Performance Management Training - Setting Objectives	External	12	
	Presentation Skills	External	17	
	Process Re-Engineering	Internal	12	
	Process Re-engineering - Train the Trainer	External	4	
	Process Re-engineering Workshop	Internal	20	
	Project Management	Internal	0	
	Team Building - Cross Cultural Awareness/Skills Development	External	20	
	Team Building - HR Section - Jan 2010	External	29	
	Team Building - Legal Advisory Services Section	External	0	
	Team Building - Problem Ownership (Presidency Staff)	External	0	
	Team Building - Registry Senior Managers	External	10	
	Team Building - VPRS	External	14	
	Team Building (Detention Centre Staff)	External	20	
	Time and Self Management	External	14	
	Train the Trainer	External	14	
	<b>Grand Total</b>			<b>555</b>
	Learning Category	Learning Activity	Internal or External Trainer	No. Participants
Substantive and Technical Skills	Administrative Law of International Organisations	External	11	
	Annotated Digest of the ICC - Presented by Cyrill Laucci	External	70	
	Australia's national implementation of international criminal	External	53	
	Civil Society and the ICC	External	62	
	Electrical Safety Training NEN 3140	External	0	
	Financial Investigations (OTP)	External	55	
	Interacting with Victims	External	12	
	Investigator Certification Training	External	0	
	Joint investigation teams - experiences and challenges	External	32	
	Legal Drafting (English)	External	0	
	Legal Drafting (OTP Trial Teams)	External	0	
	Legal Drafting for Prosecution Division Appeals Staff	External	5	
	Legal Drafting Skills Course (OTP)	Internal	40	
	Legal Oral Advocacy	External	0	
	Legal Training - Drafting (French)	External	0	
	Legal Training - IHL and ICL	External	86	
	Legal Training - OTP	External	46	
	Perpetration by Hierarchical Organizations	External	46	
	Practical Aspects of Trial Proceedings (Chambers)	External	13	
	Remedies for victims of international crimes: Consequences	External	57	
	Situational Gravity under the Rome Statute	External	85	
	Speech Writing	External	0	
	Speed Reading	External	0	
	Taking Minutes	External	11	
	The European Court of Human Rights: some recent decisions	External	62	
	The involvement of corporations in international crimes	External	46	
	The Proliferation of International Courts: Ten Challenges	External	53	
	The role of the Arab League and the Arab world in	External	57	
	The RUF and its Legacy	External	61	
	<b>Grand Total</b>			<b>963</b>

Learning Category	Learning Activity	Internal or External Trainer	No. Participants
Information Technology	Analysts Notebook (i2) (OTP)	Internal	10
	CaseMap - Basic	Internal	8
	CaseMap - Basic (OTP)	Internal	16
	Livenote - Introduction (OTP)	Internal	2
	MS Excel - Advanced	External	18
	MS Excel - Basic	External	15
	MS Excel 2003 - E-Learning	External	62
	MS Outlook 2003 - E-Learning	External	35
	MS PowerPoint 2003 - E-Learning	External	52
	MS Word 2003 - E-Learning	External	38
	Ringtail	Internal	7
	Ringtail - Advanced I part 2 (OTP)	Internal	10
	Ringtail - Advanced I part 1(OTP)	Internal	10
	Ringtail - Basic (OTP)	Internal	31
	Ringtail - Biographic Database (OTP)	Internal	2
	Ringtail - Metadata Entry (OTP)	Internal	9
	Ringtail Biographic Database (OTP)	Internal	10
	SAP E-Recruitment - Hiring Managers	Internal	0
	SAP E-Recruitment - Recruiters	Internal	0
	SAP for Certifying Officers	Internal	0
	SAP for Certifying Officers (Budget)	Internal	15
	SAP for Certifying Officers (Foundations)	Internal	4
	SAP for Certifying Officers (Procurement)	Internal	4
	SAP for Certifying Officers (Reports)	Internal	15
	SAP for Certifying Officers (Travel)	Internal	8
	SAP Foundations	Internal	189
	SAP Requisitions	Internal	156
	SAP Time Management	Internal	0
	SAP Trips	Internal	129
	Transcend Training	Internal	0
	TRIM - Accessing Court Records	Internal	0
	TRIM - Basic	Internal	86
	TRIM - Power User Tutorial (OTP)	Internal	3
	TRIM - Power Users (OTP)	Internal	6
	TRIM - Power Users tutorial (OTP)	Internal	6
	TRIM - Refresher (OTP)	Internal	5
	TRIM Power User Tutorial (OTP)	Internal	1
	TRIM Power Users - tutorial (OTP)	Internal	4
	TRIM Power Users (OTP)	Internal	13
	TRIM Tutorial (OTP)	Internal	2
	TRIM Tutorial (OTP)	Internal	5
	TRIM Tutorial (OTP)	Internal	3
	<b>Grand Total</b>		

Learning Category	Learning Activity	Internal or External Trainer	No. Participants
Language	Arabic	External	18
	Arabic	External	44
	English - Effective Written Communication Skills	External	36
	English Classes - Abeche - Chad - 2010	External	6
	English Classes - Kinshasa - DRC	External	0
	English Classes - NDjamena - Chad - 2010	External	4
	English Classes (Based in The Hague) - Term 3 - 2009	External	19
	English Classes Term1- Bangui - CAR - 2010	External	11
	English Classes, Term 3, 2009 - Bangui - CAR	External	8
	English E-Learning with Rosetta Stone Package	External	15
	English Individual Tuition - Term 1, 2010	External	11
	French Classes - Abeche - Chad - 2010	External	3
	French Classes - NDjamena - Chad - 2010	External	2
	French Classes - Uganda - Kampala - 2010	External	29
	French Classes (Based in The Hague) - Term 1, 2009	External	118
	French Classes (Based in The Hague) - Term 2, 2009	External	106
	French Classes (Based in The Hague) - Term 3, 2009	External	97
	French Individual Tuition - Term 1, 2010	External	26
	French Individual Tuition - Term 3, 2009	External	14
	French Individual Tuition with E-Learning Term 2, 2009	External	10
	French Intensive - Module 1	External	7
	French Intensive - Module 2	External	6
	French Intensive - Module 3	External	3
	French Intensive - Module 4	External	7
	Language Proficiency Exam (LPE) - Oral	External	102
	Language Proficiency Exam (LPE) - Written	External	102
	Spanish Classes (Based in The Hague) - Term 1, 2009	External	25
Spanish Classes (Based in The Hague) - Term 2, 2009	External	35	
Spanish Classes (Based in The Hague) - Term 3, 2009	External	21	
<b>Grand Total</b>			<b>885</b>
Learning Category	Learning Activity	Internal or External Trainer	No. Participants
Staff Well-Being	Basic Introductory Field Safety and Survival training	External	20
	Security and Survival Training	External	22
<b>Grand Total</b>			<b>42</b>
Learning Category	Learning Activity	Internal or External Trainer	No. Participants
Human and Financial Resources Management	Budget & Finance Training	Internal	13
	Budget and Report Training	Internal	12
	Budget Training	Internal	25
	Coding Training	Internal	5
	EU Contribution Funds Training	Internal	1
	Financial Training	Internal	8
	Introduction to Budget & Finance	Internal	25
	MOD Training	Internal	8
	Open Obligation Training	Internal	28
	Report Training	Internal	5
	Reporting	Internal	5
	SAP Budget Training	Internal	13
	SAP Certify Officer Training	Internal	12
	SAP Report Training	Internal	12
Trustfund Report Training	Internal	1	
<b>Grand Total</b>			<b>173</b>
Learning Category	Learning Activity	Internal or External Trainer	No. Participants
Induction and Career Support	ICC Induction	Internal	60
	Prosecutor's Welcome Presentation for New Staff, Interns and Visiting Professionals	Internal	21
	Staff HR Administration Briefing	Internal	19
<b>Grand Total</b>			<b>100</b>

## Annex IV

### Grade level summaries for General Service, Professional and higher categories

#### General Service Category

**GS-1** Work is labour-intensive or repetitive and performed in accordance with specific instructions.

**GS-2** Work involves repetitive tasks that require selection of work procedures from a limited number of alternative standard practices. Some assignments involve the operation of standard office equipment, such as word processors to store/retrieve information, telephone switchboard, or other common tools, instruments or devices.

**GS-3** Work involves a variety of routine tasks that require selection and processing of information or data from standardized sources involving a choice of procedures or operations from among standard practices. Some assignments involve operation of relatively complex office equipment such as computerized or memory-assisted keyboard equipment to manipulate information, reprographic machinery or other tools, instruments or devices of similar complexity.

**GS-4** This is the full-working level of office and technical support, involving a variety of tasks that require the selection, interpretation, and assessment of information and data for the execution of recurring patterns of work, based on knowledge of standard practice and requiring a choice of methods to use or processes to follow. Requires thorough knowledge of the related work in own office and general knowledge of similar work in other offices. Some assignments involve adjustments of equipment, instruments, tools, and devices to perform numerous operations.

**GS-5** Senior level of work, involving specialized tasks (defined as relating to a profession, such as accounting). Requires the selection, interpretation and assembly of information and data from several sources in examining problems for which several possible solutions exist. Requires thorough knowledge of the procedures and basic knowledge of the specialised practices of the office and knowledge of related work in other offices.

**GS-6** Semi-professional work involving responsibility for specialised tasks, requiring the application of different and unrelated processes and methods, interpretation of information and organizational guidelines, and an understanding of a broad area of operation within a specialized field, including related work of other offices.

**GS-7** Semi-professional work involving responsibility for a group of specialized tasks in support of an area of work of the organization, requiring a thorough knowledge of the assigned area of work as well as general knowledge of related fields and the application of advanced and specialized methods and procedures. Usually a supervisory level although work may be non-supervisory if it is providing work at the corporate level, that is, not a duplicative assignment; or if it is highly technical, such as research or statistical assistance.

#### Professional and Director category

**P-1** Seldom used as a classified level, but serves as a salary range for inexperienced recruits.

**P-2** Typically this is the entry level into the technical and substantive occupations of the professional category. It is also is the end-grade for the work of administrative occupations which are limited in complexity in terms of variety as well as depth.

**P-3** Full working level requiring a complete, in-depth grasp of the theoretical and technical tools of a profession. Typically this level would be the highest level for administrative positions with no supervisory responsibility over other professionals. Technical work at this level would be considered as complex, requiring considerable depth of knowledge.

**P-4** Senior technical specialist/authoritative "expert", with responsibility for the full range of activities involved in project or programme management, requiring innovative design of methodology, implementation, monitoring, and evaluation. Based on the technical expertise of this level, authoritative advice is provided to Member States, legislative bodies, and donors. Technical positions at this level would frequently be responsible for coordinating the work of other professionals in the management of broad, complex projects. This is also the "expert level" for administrative positions in a complex environment where there is a requirement at the corporate level for the development of innovative policy and provision of policy advice to senior management, usually with supervision over lower-level professional positions.

**P-5** Typically technical or administrative heads of organizational units with supervision of five to fifteen professionals. The number of professionals is indicative of the breadth and complexity of the programme managed and not just the size of the organization served. Responsibilities at this level include the development and supervision of important programmes, major projects or distinct organizational units, including programme and budget development. Less frequently P-5 positions serve as the organization's acknowledged expertise and leader in a technical (not administrative) field. This can be in a non-supervisory capacity. Responsibilities include state-of-the-art programme development, original work where there is no precedent (labour economics moving from a centrally planned economy to a market-oriented economy) and senior-level programme advice which is significantly important to the operations, goals and policies of major organizational Departments/Divisions. Usually reports to the most senior level of an organization.

**D-1** Positions at the D-1 level provide leadership to major activities which are substantively important to the accomplishment of the organization's mandate; responsible for interpreting the governing body and executive head broad policy guidelines and developing goals and objectives to meet that mandate. D-1 positions typically supervise 15-30 professionals, some of whom are subordinate supervisors.

Annex V

Work survey template

**Cour  
Pénale  
Internationale**  
**International  
Criminal  
Court**

<b>Work Survey – Professional category</b>	
	For official use by <i>Position</i> _____ Human Resources: <i>number</i> _____ <i>Occ. Code</i> _____ <i>Org. Code</i> _____
1. <b>Organizational context:</b> Describe the programme/sub-programme objectives (This statement will be the same for positions in the programme area and is available in the programme budget):	
2. <b>Objectives:</b> List primary objectives (no more than 4-6) of the position, i.e., why does the position exist? What is the position accountable for/to do?	
3. <b>End product/Problem solving:</b> List the primary work products/end products or problems and summarize what is done to complete the work, to produce the end product, or resolve the problems. Do not describe procedures, but rather what you do.	
<p><u>WORK PRODUCT/PROBLEM</u></p>	<p><u>HOW IS THIS ACHIEVED? WHAT IS CONSIDERED IN COMPLETING WORK?</u></p>
4. <b>Delegation of Authority:</b>	
a) List the typical decisions and actions which are required in the work and indicate the impact of those decisions and actions, e.g. on the work unit, organization clients. <u>Note:</u> A decision or action is defined as making a choice or taking action to meet an end result; a commitment to a course of action that is not subject to detailed review. A decision does not imply final authority or signing authority but it does mean that the work is technically/substantively complete.	
<p><u>DECISIONS/ACTIONS</u></p>	<p><u>IMPACT</u></p>
b) List the typical recommendations that are expected in the work and indicate the impact of those recommendations, e.g. on the work unit, organization clients. <u>Note:</u> A recommendation is defined as developing alternatives and options for the consideration of others and thus, influencing their decision-making. Required to prepare authoritative proposals that are normally accepted.	
<p><u>RECOMMENDATIONS</u></p>	<p><u>IMPACT</u></p>



<p>5. <b><u>Interaction:</u></b></p> <p>a) List the typical and recurring interpersonal interactions outside of your work unit that are required in the work and the skills involved.</p>	
<p><b>WHAT IS THE SITUATION/ CIRCUMSTANCE?</b></p> <p>b) List work teams, committees, working groups where you participate and describe your role. Note: These are official assignments and not volunteer activities, such as staff association activities.</p>	<p style="text-align: center;"><u>WHO IS INVOLVED?</u></p> <p style="text-align: center;"><u>SKILLS REQUIRED</u></p>
<p><b>TEAM/COMMITTEE/GROUP</b></p> <p>c) Identify supervisory responsibilities and describe the skills required.</p>	<p style="text-align: center;"><u>ROLE</u></p> <p style="text-align: center;"><u>SKILLS REQUIRED</u></p>
<p>6. <b><u>Knowledge required:</u></b> List academic, technical, administrative, and/or substantive knowledge that is required to perform the work, i.e., what you need to know to do the work.</p>	
<p><b>KNOWLEDGE</b></p>	<p style="text-align: center;"><u>HOW IT IS USED</u></p> <p style="text-align: center;"><u>HOW IT IS ATTAINED</u></p>
<p>7. <b><u>Competencies required:</u></b> List skills and abilities that are required to perform the work, i.e., behaviours, talents, expertise, etc.</p>	
<p><u>SKILL ABILITY</u></p>	<p><u>IN WHAT CIRCUMSTANCES/WHEN DOES THIS OCCUR</u></p>
<p>8. <b><u>Language skills required:</u></b></p>	
<p><b>LANGUAGE</b></p>	<p style="text-align: center;"><u>SKILL LEVEL</u></p> <p style="text-align: center;"><u>WHEN USED</u></p>
<p><b><u>Prepared by:</u></b>                  Name and signature: _____                  Date: _____</p>	
<p><b><u>Certified by:</u></b>                  Supervisor name and signature: _____                  Date: _____</p>	

## Annex VI

Professional – Point Rating Worksheet			Date:
POSITION #	Occupation Code	Present Level	Classifier
	Org Code		
Approved Title:			

FACTORS	RATING	POINTS	RATIONALE
<b>I.H THEORETICAL KNOWLEDGE</b> <b>V PRACTICAL EXPERIENCE</b> <b>LANGUAGE</b>			
<b>II.H INDIVIDUAL CONTRIBUTION</b> <b>V COMPLEXITY</b>			
<b>III.H APPLICATION OF GUIDELINES</b> <b>V SUPERVISORY CONTROLS</b>			
<b>RELATIONSHIPS-IN</b> <b>IV.H SKILL</b> <b>V IMPORTANCE</b>			
<b>RELATIONSHIPS-OUT</b> <b>IV.H SKILL</b> <b>V IMPORTANCE</b>			
<b>V.H GS SUPERVISED</b> <b>V P SUPERVISED</b>			
<b>VI.H EFFECT ON WORK</b> <b>V CONSEQUENCE OF ERRORS</b>			

**Total Points:**  
**Classification Level:**  
**Comments:**

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