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Performance Audit Report on Human Resources Management



BAI

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List of Abbreviations and Acronyms

AI	Administrative Instruction
ASP	Assembly of States Parties
BAI	Board of Audit and Inspection of Korea
CBF	Committee on Budget and Finance
DEI	Diversity, Equity and Inclusion
EA	External Auditor
FTA	Fixed-Term Appointment
GRGB	Geographical Representation and Gender Balance
GS	General Service
GTA	General Temporary Assistance
HR	Human Resources
HRM	Human Resources Management
HRS	Human Resources Section
ICC	International Criminal Court
ICSC	International Civil Service Commission
IER	Independent Expert Review
ILO	International Labour Organization
IOR	Immediate Office of the Registrar
IVP	Interns and Visiting Professionals
JPO	Junior Professional Officer
KPI	Key Performance Indicator
ODU	HR Organisational Development Unit
OIOS	Office of Internal Oversight Services
OTP	Office of the Prosecutor
PIP	Performance Improvement Plan
RLO	Registry Legal Office
RSP	Registry Strategic Plan
SLWOP	Special Leave Without Pay
STA	Short-Term Appointment
SWP	Strategic Workforce Planning
TDU	Training and Development Unit
UN	United Nations
UNCS	United Nations Common System
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
e-PAS	electronic Performance Appraisal System

I. Executive Summary

This report presents the results of a performance audit of the International Criminal Court (ICC)'s Human Resources Management (HRM) conducted by the Board of Audit and Inspection of Korea (BAI). The audit aimed to assess whether the ICC's HRM framework is appropriately designed and effectively implemented in alignment with the ICC's strategic objectives and operational needs. The external auditors focused on HR strategy and workforce planning, human resources acquisition and utilization, and performance evaluation and learning and development, and present the following findings and recommendations.

Human Resources Strategy and Workforce Planning

With regard to human resources strategy and workforce planning, the audit examined (i) whether the HR strategy framework encompasses key HRM functions and is aligned with strategic objectives, with related targets and KPIs set in a consistent and performance-oriented manner, and (ii) whether Strategic Workforce Planning (SWP) is meaningfully utilized to reflect future workforce needs and organizational requirements.

The ICC manages HR priorities through its Court-wide strategic plan rather than a dedicated HR strategy; however, certain key HRM functions were not explicitly reflected therein, continuity of targets and KPIs across planning cycles was insufficient, and some KPIs were limited to surveys, training participation rates, or specific organs, constraining the measurement of HRM performance across the ICC as a whole. The external auditors recommend that the ICC either develop a standalone HR strategy or strengthen HR-related targets and KPIs within the strategic plan, and introduce more performance-oriented quantitative indicators.

SWP was introduced in 2022 but has remained largely focused on current workforce analysis, with insufficient linkage to future workforce needs, competency requirements, and budget decision-making. The organizational design function, skill-based job framework, and procedures and accountabilities for SWP utilization were also not clearly established. The external auditors recommend that the ICC institutionalize the relevant foundations and develop formal SWP guidelines, so that SWP can serve as a substantive basis for workforce deployment and budget planning.

Human Resources Acquisition and Utilization

With regard to human resources acquisition and utilization, the audit examined (i) whether recruitment indicators, batch recruitment, and the roster system are operating efficiently, (ii) whether internal mobility functions as an institutional mechanism for workforce utilization and staff development, and (iii) whether measures to improve Geographical Representation and Gender Balance (GRGB) are being systematically implemented and managed.

With regard to recruitment, the ICC tracks Time-to-Hire as a KPI; however, inconsistent treatment of cross-year recruitments and vacancies not completed by year-end meant that the metric did not fully reflect actual recruitment duration. Furthermore, the position-by-position recruitment approach resulted in repeated procedures for identical or similar posts, indicating a need to consider expanding the use of batch recruitment, while utilization of the roster system also remained limited. The external auditors recommend that the ICC clarify the methodology for calculating recruitment duration, introduce Time-to-Fill as a complementary indicator, and develop an automated system for tracking roster utilization.

Internal mobility was recognized as a priority; however, a formal definition, policy framework, and monitoring mechanism had not been established. The external auditors recommend that the ICC develop a formal policy and clarify accountabilities for implementation.

GRGB-related KPIs fell short of targets in 2024 and 2025, and a number of post-workshop follow-up actions remained under implementation or pending for further review, limiting the ICC's ability to coordinate stakeholders and systematically monitor progress and contributions to diversity-related KPIs.

Human Resources Evaluation and Development

With regard to human resources evaluation and development, the audit examined (i) whether performance appraisal results are systematically analyzed and linked to the management of high and low performers and to

learning and development measures, and (ii) whether the learning and development framework and mandatory training are being operated in an integrated and adequate manner at the ICC level.

The ICC operates an electronic performance appraisal system; however, regular analysis of rating distributions and systematic procedures for identifying high and low performers were insufficient, assessor training to mitigate rating leniency tendencies was not adequately established, and linkages between identified competency gaps and development measures, as well as formal non-monetary recognition schemes for high performers, were absent. The external auditors recommend that the ICC conduct regular analysis of appraisal results, strengthen assessor training, establish linkages between appraisal outcomes and development measures for low performers, and introduce a non-monetary recognition and reward scheme for high performers.

With regard to learning and development, Court-wide administrative instructions and an integrated management system were not yet in place, training functions were dispersed across HRS and individual organs, and mandatory training was found to have limitations in terms of accessibility, completion cycles, and linkage to performance appraisals. The external auditors recommend that the ICC establish learning and development administrative instructions, clarify the HRS's mandate and reporting structure, integrate the management of training needs and outcomes, and strengthen the mandatory training framework to ensure all required staff complete training on a regular cycle.

II. Objectives and Scope of Audit

1. The objective of this performance audit is to assess whether the ICC's HRM framework is appropriately designed and effectively operated in alignment with the ICC's strategic objectives and operational needs.
2. In particular, the audit examined whether the HRM framework contributes to strengthening sustainable organizational capacity by promoting economy, efficiency and effectiveness under constrained resources.
3. The audit covered the following detailed objectives, among other things:
 - (a) Whether the ICC's human resources strategy and workforce planning are designed and operated in alignment with the ICC's strategic objectives and medium- to long-term workload demands;
 - (b) Whether the ICC efficiently acquires and utilizes its workforce through its recruitment and internal mobility systems, while ensuring that GRGB objectives are effectively implemented in practice; and
 - (c) Whether the ICC's performance appraisal and learning and development systems effectively support the utilization and development of human resources in response to a changing work environment, thereby strengthening the organization's overall capacity.
4. In defining the audit scope, the External Auditor took into account key HRM issues and expectations repeatedly raised by the Assembly of States Parties (ASP) and the Committee on Budget and Finance (CBF). Additionally, priority topics identified during consultations with the ICC were incorporated to reflect its practical and operational considerations.
5. Based on these considerations, the audit covered the ICC's HRM framework, with a focus on HR strategy and planning, talent acquisition and utilization, and capacity development.
6. Specifically, the audit examined HR strategies and workforce planning arrangements, recruitment systems, internal mobility, GRGB, performance management, and learning and development frameworks.

III. List of Recommendations

8. The priority of each recommendation was assessed based on two factors: impact (the potential consequences) and likelihood (the probability of misstatement or error).
- (a) High Risk: A level of risk assigned to weaknesses that have a considerable impact and require immediate action.
 - (b) Medium Risk: A level of risk assigned to weaknesses that have a moderate impact and require corrective action in the short term.
 - (c) Low Risk: A level of risk assigned to weaknesses that have limited impact and may be addressed over the long term.

Table 1. List of Recommendations and Their Level of Risk

Recommendations	Level of risk
1. The External Auditor recommends that the ICC, with reference to the International Civil Service Commission (ICSC) framework and other relevant standards, strengthen its human resources management strategy framework by either establishing a stand-alone human resources management strategy or supplementing HR-related Goals and KPIs within the Court-wide Strategic Plan, in order to comprehensively reflect human resources management functions, ensure continuity of HR-related Goals and KPIs across strategic cycles, and enable key HR-related KPIs to be applied across the ICC.	High
2. The External Auditor recommends that the ICC supplement its existing HR-related KPIs, which are mainly survey- and participation-based, and introduce a balanced set of outcome-oriented quantitative indicators, in order to more objectively assess the performance and effectiveness of its human resources management systems.	Medium
3. The External Auditor recommends that the ICC clearly establish the organizational design function and institutionalize a skill-based job architecture, so that Strategic Workforce Planning (SWP) can be developed based on systematic analysis of organizational functions, jobs and required competencies.	Medium
4. The External Auditor recommends that the ICC develop a formal Strategic Workforce Planning (SWP) framework or internal guidelines covering the roles, responsibilities, authority and procedures for the development, review and use of SWP, so that workforce planning does not remain limited to workforce status analysis but can be used as substantive input in workforce deployment and budget formulation decision-making.	High
5. The External Auditor recommends that the ICC: (i) clarify the calculation criteria for the recruitment duration performance indicator, including the treatment of incomplete recruitment cases and the inclusion of cross-year recruitments; and (ii) consider introducing a framework for calculating and managing, in parallel, a Time-to-Fill indicator that measures the entire period from the initial occurrence of a vacancy to the selected candidate's actual start date.	High
6. The External Auditor recommends that the ICC establish an internal framework for systematically compiling and managing information on roster utilization through the development of an automated management system, with a view to ensuring the effective use of the roster system.	Medium

Recommendations	Level of risk
7. The External Auditor recommends that the ICC, with a view to promoting organizational mobility and flexibility on a Court-wide basis: (i) adopt a formal definition of internal mobility and establish a framework to further develop the policy; and (ii) designate clear policy ownership and establish an implementation plan to ensure the continued promotion and monitoring of the policy.	Medium
8. The External Auditor recommends that the ICC establish a system to regularly aggregate and analyse the distribution of performance appraisal ratings and manage trends over time.	Low
9. The External Auditor recommends that the ICC: (i) regularize training and workshops for appraisers to mitigate the tendency of giving generous ratings in performance appraisal; and (ii) link competency gaps identified through appraisal results to improvement measures, including training.	Low
10. The External Auditor recommends that the ICC consider introducing a non-financial recognition and reward programme for high performers and establishing a framework to link outstanding performance results to HR incentives.	Medium
11. The External Auditor recommends that the ICC promptly establish a Court-wide Administrative Instruction on Learning and Development that clearly defines the scope and types of training, strengthens the authority and capacity of the Human Resources Section (HRS) as the responsible entity, and clarifies reporting arrangements, and put in place an integrated management system led by HRS to manage training needs at the Court-wide level and analyse training outcomes.	High
12. The External Auditor recommends that, with regard to the mandatory training under Administrative Instruction (ICC/AI/2022/003), the ICC: (i) grant access to the training programme, or provide equivalent in-person training, to non-staff personnel and Counsel who do not currently have access; (ii) require the training programme to be completed periodically; and (iii) reflect training completion in performance appraisals.	Low

IV. Introduction

1. Overview of ICC Human Resources Management

1.1 Organizational Structure and Functions for Human Resources Management

9. Human resources management at the ICC is primarily carried out by the Human Resources Section (HRS) within the Registry, which provides HR administrative support across the ICC, including the Judiciary, the Office of the Prosecutor (OTP), and the Registry. In addition, the HR Liaison Office within the OTP performs human resources-related functions within the OTP and is responsible for liaison and coordination with the HRS in the Registry.¹
10. HRS comprises three units under the Chief of Human Resources Section: the HR Legal and Policy Unit, the HR Operations Unit, and the HR Organisational Development Unit. The HR Legal and Policy Unit is responsible for HR legal and policy matters and programme coordination. The HR Operations Unit covers contract management, recruitment, HR systems, and reporting. The HR Organisational Development Unit is responsible for performance management, staff engagement, learning and development, and workforce planning.

Table 2. Main Functions of the Human Resources Section

Unit / Function	Main functions
HR Legal and Policy Unit	HR legal advice, HR policy, programme coordination
HR Operations Unit	Contracts management, talent acquisition, HR systems and reporting
Talent Acquisition	End-to-end recruitment process support, candidate management, recruitment-related data and roster support
Contracts Management	Administration of appointments and contract-related HR processes
HR Organisational Development Unit	Performance management, staff engagement, learning and development, strategic workforce planning
Performance & Engagement	Performance management and staff engagement
Learning & Development	General training, leadership development and staff development activities
Strategic Workforce Planning	Workforce data, staffing analysis, vacancy and retirement-related analysis, and workforce planning support (job architecture and internal mobility)

Source: Prepared by the External Auditor based on ICC organizational information

1.2 Main Workforce Composition and Vacancy Status

11. An analysis of ICC workforce composition trends from 2021 to 2025 shows that the number of Established Posts decreased slightly from 844 to 840, representing a decline in their share of the total workforce from 78.0 per cent to 73.8 per cent.

¹ According to the ICC Staff List as of 31 December 2025, the Registry had a total of 557 staff members, of whom 30 were assigned to the HRS. The OTP had a total of 432 staff members, of whom 10 were assigned to the OTP HR Liaison Office.

12. As for trends in other workforce categories, General Temporary Assistance (GTA) remained stable between 154 and 169 staff members throughout the period under review. Short-Term Appointments (STA) increased approximately 2.1-fold, from 52 in 2021 to 109 in 2025, mainly reflecting temporary coverage for vacant positions pending completion of selection processes and for temporary absences due to illness, maternity leave, special leave without pay, and similar circumstances.

Table 3. Year-End Trends in ICC Workforce Composition (Headcount, 2021–2025)

Category	Measure	2021	2022	2023	2024	2025
Judges	No. (#)	18	18	18	21	18
	Rate (%)	1.7%	1.7%	1.6%	1.9%	1.6%
Established Posts	No. (#)	844	829	818	822	840
	Rate (%)	78.0%	76.7%	73.6%	72.6%	73.8%
GTA	No. (#)	162	169	169	154	158
	Rate (%)	15.0%	15.6%	15.2%	13.6%	13.9%
STA	No. (#)	52	59	97	122	109
	Rate (%)	4.8%	5.5%	8.7%	10.8%	9.6%
Junior Professional Officer (JPO)	No. (#)	6	6	9	14	13
	Rate (%)	0.6%	0.6%	0.8%	1.2%	1.1%
Total	No. (#)	1,082	1,081	1,111	1,133	1,138
	Rate (%)	100.0%	100.0%	100.0%	100.0%	100.0%

Source: Data submitted by the ICC (staff lists as at 31 December 2021–2025)

13. In addition to the staff categories outlined above, the ICC engages Individual Contractors and Consultants to meet specific operational needs.² Individual Contractors are predominantly engaged for specific tasks or support services, with approximately 66–67% of contracts in 2024 and 2025 being language-related. Consultants, who provide specialised expertise or advisory services not typically available internally, increased approximately 5.3-fold from 20 to 106.

Table 4. Year-End Trends: Individual Contractors and Consultants (2021–2025)

Category	Measure	2021	2022	2023	2024	2025
Individual Contractor	No. (#)	228	330	399	389	387
	of which, language-related	—	—	—	257 (66%)	264 (68%)
Consultant	No. (#)	20	100	74	91	106
Total	No. (#)	248	430	473	480	493

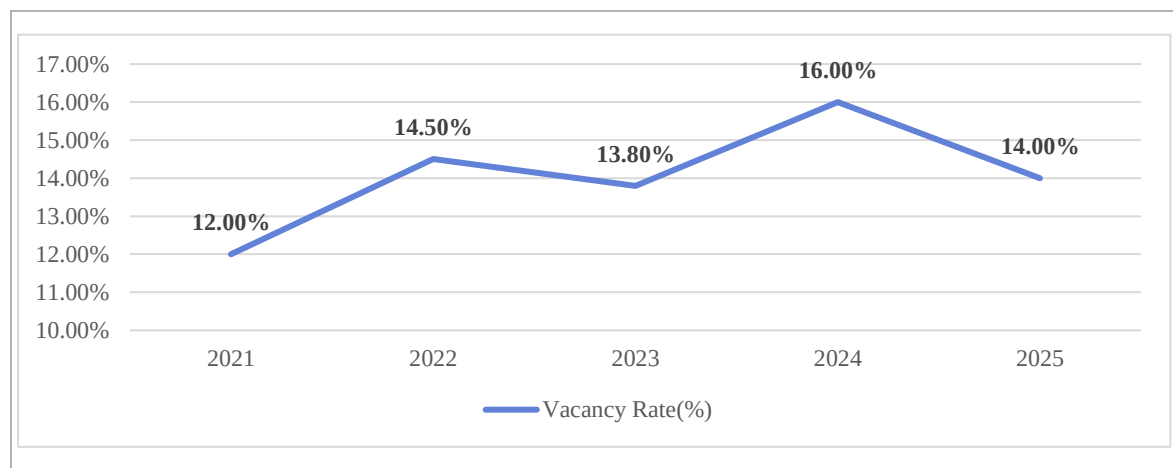
Source: ICC, “Report of the Court on Human Resources Management” (2021–2025)

Note: Figures for Individual Contractors reflect contract numbers rather than distinct headcount. Language-related breakdown is available for 2024 and 2025 only.

² As these engagements are issued on a contract basis rather than reflecting a consistent headcount, they are not directly comparable to other workforce categories and are therefore presented separately.

14. The vacancy rate for ICC Established Posts rose from 12% in 2021 to 14.5% in 2022, before declining slightly to 13.8% in 2023, and reaching a peak of 16% in 2024. While a modest improvement was observed in 2025 at 14%, the vacancy rate remained in the range of 12% to 16% throughout the period under review.

Figure 1. Trend in Vacancy Rate for ICC Established Posts (2021–2025)



Source: ICC, “Report of the Court on Human Resources Management” (2021–2025)

Note: The vertical axis starts at 10%

2. Human Resources Strategy and Workforce Planning

2.1 HR Strategy

15. A human resources strategy is a management framework that establishes the direction, priorities, and performance management approach for human resource management in alignment with an organization's strategic objectives and operational needs. In the case of the ICC, rather than formulating a separate, standalone HR strategy,³ it operates in a form integrated into the Court-wide Strategic Plan.
16. The ICC has developed and operates a Strategic Plan as a management tool designed to link the ICC's medium- to long-term development direction, priorities, annual work plans, and budget allocation.⁴ Since the ICC's first Strategic Plan was established in 2006, each subsequent plan has been implemented with a separately defined period of application.⁵ Most recently, the 2026–2029 Strategic Plan has been established and is currently in operation.
17. Accordingly, the ICC currently manages HR-related strategic directions and functions as part of the ICC Strategic Plan. In other words, the ICC's human resource management strategy is established and implemented within the structure of the ICC Strategic Plan, through its Goals, Objectives, Key Activities, and Key Performance Indicators (KPIs).⁶
18. In terms of the recent operation of the ICC Strategic Plan, during the 2023–2025 cycle, the Court-wide ICC Strategic Plan was established and implemented in parallel with separate strategic plans for individual organs, including the OTP, the Registry, and the Trust Fund for Victims (TFV). By contrast, beginning with

³ In late 2016, the ICC HRS made an attempt to design a roadmap for developing an HR strategy for 2017–2020; however, this did not lead to the formal establishment or implementation of a separate HR strategy.

⁴ The ICC Strategic Plan is a document setting out the medium- to long-term direction and priorities for the ICC's overall functioning and is not limited to any specific function or any specific organ, division, or section.

⁵ Following the adoption of its first Strategic Plan in 2006, the ICC conducted a review in 2008 and developed the *Revised Strategic Goals and Objectives of the International Criminal Court for 2009–2018*. Building on that long-term goals framework, the ICC subsequently adopted the Strategic Plan for 2013–2017, followed in succession by the Strategic Plans for 2019–2021, 2023–2025, and 2026–2029.

⁶ The drafting and coordination of the Court-wide Strategic Plan is overseen by the Immediate Office of the Registrar (IOR), and the HRS liaises with the IOR regarding the incorporation of HR-related strategic directions, functions, and KPIs.

the 2026–2029 Strategic Plan, the approach shifted from operating separate organ-specific strategic plans in parallel to integrating them into a single Court-wide “One-Court Strategic Plan.”

19. The External Auditor reviewed how human resource management-related Goals, Objectives, Key Activities, and KPIs are reflected in the Strategic Plans for the two most recent cycles, 2023–2025 and 2026–2029. The structure of the Strategic Plans by cycle and the number of relevant items are as follows.

Table 5. Comparison of ICC Strategic Plan Frameworks (2023–2025 vs. 2026–2029)

Cycle	SP Category	Framework	Number
2023–2025	Court-wide Strategic Plan	Goals	3
		KPIs	9
	OTP Strategic Plan	Goals	1
		KPIs	2
	Registry Strategic Plan (RSP)	Goals	2
		Priority Objectives	4
		Key Activities	13
		KPIs	14
2026–2029	Court-wide Strategic Plan	Court-wide Goals	3
		Court-wide Objectives	9
		Organ-Specific Objectives	3
		KPIs	18

Source: Reconstructed by the External Auditor based on data submitted by the ICC

2.2 Workforce Planning

20. Workforce planning is a function that supports an organization’s workforce management and decision-making by analyzing the workforce size, roles, competencies, and deployment needs required to meet current and future workload demands. In particular, SWP goes beyond simply responding to vacancy-filling needs; it serves as a strategic function that forecasts future workforce demand and required competencies and links them to decisions on organizational structure, workforce deployment, and budget.
21. In December 2022, the ICC introduced the SWP function to establish a systematic, data-driven workforce management framework aligned with UN best practices. It aims to support the organization’s strategic workforce decision-making by analyzing current and future workforce demand and supply, taking into account key workforce movement factors such as retirements and vacancies, and identifying future competency requirements.
22. During the initial phase from 2022 to 2024, the ICC focused on building the foundation for strategic HR with people analytics. Specifically, activities were undertaken to form a cross-functional analytics working group (i.e. HR Working Group on Analytics), assess the current analytics landscape, address data quality and governance challenges, and engage key stakeholders in order to promote a culture of data accuracy and

governance, foster accountability and collaboration, and drive data-driven decision-making across the organization.

23. As a result of these foundation-building efforts, from 2022 to 2025, the ICC developed a total of 53 dashboards and automated reports across key HR areas, including recruitment, workforce, diversity, performance, and leave. The breakdown by area is as follows.

Table 6. Status of ICC HR Dashboards and Automated Reports (2025)

Functional Area	Key Reports and Dashboards	No.
Recruitment and Talent Acquisition	Recruitment status dashboard, talent acquisition intelligence dashboard, recruitment plan (forecasting), etc.	8
Workforce and Staffing Analysis	Workforce status reporting tool, turnover reporting tool, established post status, age-profile workforce status, etc.	14
Diversity and Representation Analysis	Geographical representation and gender balance reporting tools, gender balance reports, gender balance dashboard, etc.	13
Performance and Organizational Management	Performance appraisal compliance report, CoCo summary performance report, etc.	3
Leave and Well-being Analysis	Sick leave statistics, special leave without pay (SLWOP) status, emergency leave, etc.	13
Data Quality and System Monitoring	SF data quality assurance, BPC workforce list comparison tool	2
Total		53

Source: Data submitted by the ICC (list of automated dashboards and reports)

Notes:

1. Functional areas were categorized by the External Auditor for presentation purposes.
2. Some of the 53 dashboards and reports were still under development at the time of review.

3. Human Resources Acquisition and Utilization

3.1 Recruitment

24. Recruitment is one of the core HR functions through which the ICC secures the human resources required to carry out its mandate. Under the *Rome Statute* and the ICC's staff selection framework, staff members must be selected through a competitive process on the basis of ability, competence, and integrity, while also taking into account the need for broad and equitable geographical representation and fair gender representation at all grades.⁷
25. The recruitment process for Established Posts generally proceeds in the following order: vacancy arises, confirmation of needs and resources, vacancy announcement, shortlisting, eligibility review, written test, interview and interview planning, preparation of the Selection Panel Report, review by the Selection

⁷ The ICC's recruitment framework is governed by various regulations and practical guidelines, including the Staff Rules, recruitment guidelines for Established Posts, administrative instructions relating to STAs, Individual Contractors and Consultants, the Selection Review Board, and provisions on post classification and reclassification.

Review Board, approval by the Registrar or Prosecutor, security vetting clearance and medical clearance, offer, and onboarding.

Table 7. Overview of Recruitment Steps

Step	Recruitment stage	Estimated time
A	Vacancy arises	—
B	Confirm needs and resources	1 week
C	Vacancy announcement	5 weeks / 30 working days
D	Shortlisting	3 weeks / depending on hiring manager
E	Eligibility review	2 weeks
F	Written test	4 weeks / 20 working days
G	Interview and interview planning	4 weeks / 20 working days
H	Selection Panel Report	2 weeks
I	Selection Review Board	2 weeks
J	Registrar / Prosecutor approval	1 week
K	Security vetting clearance	1 week
L	Offer	1 week
M	Medical clearance	4 weeks
N	Onboarding	1 week
O	Completion	1 week

Source: Reconstructed by the External Auditor based on data submitted by the ICC Talent Acquisition Team

26. To manage the duration of recruitment processes, the ICC has established a Time-to-Hire indicator, which measures the period from the closing date of the vacancy announcement to the approval date of the recruitment report, with a target duration of 160 days. The ICC also presents a Time-to-Fill indicator as a related management indicator, which measures the entire period from the date a vacancy arises to the actual start date or completion of onboarding, with a target duration of 180 days.
27. In addition, the ICC has introduced a roster system to support the rapid filling of similar posts. A roster is a pool of candidates whose eligibility has been confirmed through a competitive process and who are managed in advance, enabling suitable candidates to be considered when similar vacancies arise in the future without repeating the entire selection process from the beginning. It may be used as an operational tool to reduce duplication in recurring recruitment processes and support the timely filling of similar posts.

3.2 Internal Mobility

28. Internal mobility is an HR management tool that enables staff members to be assigned to other posts, divisions, or functions through movement within or between organs. It serves to flexibly redeploy human resources in response to changing workload demands, while supporting organizational agility and staff competency development. In 2022, 2024, and 2025, the ASP repeatedly emphasized the need to ensure flexibility in HR management within and between organs in order to respond to changing circumstances, needs, and workloads.
29. According to the 2025 *ICC Report of the Court on Human Resources Management*, the ICC is pursuing job families, HR system modernization, automation of onboarding and offboarding, and HR data analytics functions as a foundation to support internal mobility. The key components are as follows.

Table 8. Key Elements Supporting Internal Mobility

Element	Main function
Internal Mobility Framework	Provides the basic structure for defining the concept, scope, operating modalities and procedures for managing staff movement within and between organs.
Job Families	Establishes job families architecture and a common language for roles and skills, thereby supporting consistency in role clarity, career pathways, classification and workforce planning.
Generic Job Profiles / Job Library	Standardizes roles, responsibilities and required competencies by job type, providing a reference point for recruitment, internal mobility, career development and strategic workforce planning.
HR Systems Modernization	Uses HR systems, including SuccessFactors, to manage staff skills, job profiles and skills-matching information, thereby supporting skills-based workforce planning.
Onboarding / Offboarding Automation	Automates entry, exit and staff movement processes to capture staff movement data consistently and support smoother transitions and mobility analysis while ensuring cyber security requirements are met.
HR Analytics	Provides analysis of workforce, mobility, retirement, job and skills data to support internal mobility and strategic workforce planning.

Source: Reconstructed by the External Auditor based on “Report of the Court on Human Resources Management” (ICC-ASP/25/2) and data submitted by the ICC

3.3 Geographical Representation and Gender Balance (GRGB)

30. GRGB is a key HR management consideration intended to ensure that the ICC’s workforce composition reflects a balanced representation of diverse countries, regions, and genders. The Rome Statute requires representation and gender balance to be taken into account in the election of judges and the recruitment of staff, and the ICC manages these considerations in its recruitment and workforce management processes.
31. With regard to the ICC’s geographical representation, the number of in-balance countries increased from 15 in 2024 to 21 in 2025, while the number of over-represented countries stood at 24. The number of under-represented countries decreased from 30 in 2024 to 25 in 2025, while the number of non-represented countries remained unchanged from 2024 at 55.

Table 9. Number of Countries by Geographical Representation Category (2024–2025)

Category	2024	2025
In-balance countries	15	21
Over-represented countries	24	24
Under-represented countries	30	25
Non-represented countries	55	55

Source: ICC, “Report of the Court on Human Resources Management” (2025)

32. According to the *Report of the Court on Human Resources Management*, as at 31 December 2025, women accounted for 55 per cent of staff in the Professional and higher categories, an increase from 51 per cent in 2024, and gender balance was achieved at the D-1 level, where women and men each accounted for 50 per cent. At the P-5 level, women accounted for 45 per cent.

Table 10. Gender Distribution in the Professional and Higher Categories by Grade (2024–2025)

Grade	Female, 2024	Female, 2025	Change
Total	51%	55%	+4%p
P-1	63%	67%	+4%p
P-2	60%	60%	0%p
P-3	55%	55%	0%p
P-4	37%	38%	+1%p
P-5	46%	45%	-1%p
D-1	44%	50%	+6%p

Source: ICC, “Report of the Court on Human Resources Management” (2025)

4. Human Resources Evaluation and Development

4.1 Performance Appraisal System

33. Pursuant to sections 1.1 and 3.1 of Administrative Instruction ICC/AI/2019/003, *Performance Appraisal System*, the ICC conducts online performance appraisals, supported by an electronic performance appraisal form, for all staff members of the ICC holding a Fixed-Term Appointment (FTA) or STA that exceeds six months.⁸ The ICC’s performance appraisal cycle shall normally be 12 months, beginning on 1 March of each year and finishing at the end of February the following year. In addition, pursuant to section 2.3 of the same Administrative Instruction, the performance appraisal process consists of five steps: setting a probationary period, where applicable; setting individual performance plans; monitoring progress; providing continuous and constructive feedback; and conducting end-of-year performance appraisal evaluations.

Table 11. Key Stages of the Performance Appraisal System

Stage	AI Section	Key Content
Establishment of Probationary Period	2.3(i)	Probation and appraisal procedures in accordance with the procedures set out in ICC/AI/2013/004 (“Probationary Period and Performance Appraisal”).
Establishment of Individual Performance Plan	2.3(ii), 5.1–5.6	Translation of the organ’s priorities, strategic goals, and budget plans into work unit plans, which are then translated into individual performance plans.
Monitoring of Progress	2.3(iii), 6.1–6.3	Reviewing progress of performance through formal and informal meetings and written communication between the staff member and the immediate supervisor.
Provision of Feedback	2.3(iv), 6.1	Providing regular feedback to recognize performance and address any shortcomings.
End-of-Cycle Evaluation	2.3(v), 7.1–7.6	Rating of individual performance objectives and competencies; evaluating progress on the performance development plan and overall performance.
Management of Underperformance	8.1–8.10	Remedial actions for performance shortcomings; if not rectified, the staff member is identified for underperformance and a Performance Improvement Plan (PIP) is established; administrative actions follow if shortcomings remain unrectified.

Source: Reconstructed by the External Auditor based on data submitted by the ICC

⁸ Staff members holding an STA of six months or less undergo performance appraisal using the offline version of the e-PAS form.

34. Pursuant to ICC/AI/2019/003, the immediate supervisor and the staff member under his or her direct supervision are required to establish an individual performance plan at the beginning of the performance cycle. The staff member, together with the immediate supervisor, sets a minimum of three and a maximum of six performance objectives based on the SMART⁹ principle, as well as a minimum of three relevant core competencies. These objectives and competencies are recorded in the electronic performance appraisal form and serve as the basis for assessing performance and using the results at the end of the performance cycle.
35. At the end of the performance appraisal cycle, an end-of-year evaluation is conducted following discussion with the immediate supervisor, and the results are recorded in the electronic Performance Appraisal System (e-PAS). The performance objectives and competencies are graded in line with the respective four-point rating scales, and the evaluation is finalized upon signature by the immediate supervisor, the reviewer and the staff member.
36. In addition, when a performance shortcoming is identified during the performance appraisal cycle, remedial measures, including additional support, counselling, coaching and/or additional training, shall be taken promptly. If such performance shortcomings are not rectified, they are considered underperformance, and the staff member is required to implement a written Performance Improvement Plan (PIP) for a period of six months. If underperformance is not rectified at the end of the PIP, administrative actions may ensue (sections 8.2 to 8.8).

4.2 Learning and Development

37. The ICC operates learning and development programmes for staff to support the development of competencies required for the effective performance of their duties. Staff learning and development at the ICC is divided into two streams: General Training, which supports Court-wide capacity development, and Technical Training, which covers the job-specific skills required by each organ and section.
38. General Training is primarily managed by the HR Organisational Development Unit (ODU) within the HRS of the Registry, and supports the broader development of staff competencies in areas such as leadership, language, onboarding, and mandatory Court-wide training.
39. Technical Training, by contrast, is managed by each organ and section in accordance with their respective operational characteristics and needs, with the aim of developing the specialized competencies required for specific functions. The ICC's learning and development structure is as follows.

Table 12. ICC Learning and Development Structure

Classification	General Training	Technical Training
Purpose	To provide staff members with opportunities to develop their competencies, regardless of their specific duties	To develop technical competencies specialized for specific duties
Lead	HRS / ODU (Registry)	Each organ / section
Budget	Corporate training budget under HRS	Organ/section-specific budget
Target Group	In principle, all staff members	Specific staff members
Examples	Leadership training, language training, etc.	Security training, specialized system training, etc.

Source: Reconstructed by the External Auditor based on data submitted by the ICC

40. Over the past five years, the ICC's total training budget increased from €624.8 thousand in 2021 to €907.5 thousand in 2025, while actual expenditure rose from €360.0 thousand to €631.2 thousand over the same period. The overall training budget grew particularly from 2024 onward, driven by an expansion of technical training budgets within the OTP and the Registry. The utilization rate fluctuated across years, reaching its highest point at 85 per cent in 2023 and standing at 70 per cent in 2025.

⁹ Specific, Measurable, Achievable, Relevant, Time-bound

Table 13. ICC Training Budget Appropriation and Expenditure (2021–2025, thousand euros)

Category		General Training	Technical Training				
		ICC	Judiciary	OTP	Registry	Others	Total
2021	Budget	231.3	27.8	10.0	293.4	62.3	624.8
	Expenditure(%)	151.2(65%)	3.8(14%)	1.7(17%)	166.1(57%)	37.2(60%)	360.0(58%)
2022	Budget	183.8	27.8	100.0	288.9	58.6	659.1
	Expenditure(%)	120.0(65%)	19.8(71%)	5.6(6%)	131(45%)	18(31%)	294.4(45%)
2023	Budget	168.4	27.8	100.0	289.1	52.6	637.9
	Expenditure(%)	176.4(105%)	31.6(114%)	37.3(37%)	264.6(92%)	29.1(55%)	539.0(85%)
2024	Budget	205.0	27.8	195.0	383.3	57.2	868.3
	Expenditure(%)	190.3(93%)	19.7(71%)	73.2(38%)	233.4(61%)	34.9(61%)	551.5(64%)
2025	Budget	238.0	27.8	195.0	388.6	58.1	907.5
	Expenditure(%)	207.2(87%)	25.1(90%)	113.4(58%)	235.2(61%)	50.3(87%)	631.2(70%)

Source: Reconstructed by the External Auditor based on “Report on Activities and Programme Performance of the International Criminal Court” (2021–2024) and data submitted by the ICC

V. Observations and Recommendations

1. Human Resources Strategy and Workforce Planning

1.1. HR Strategy

41. The ICC manages the strategies and direction of its key HR functions by reflecting them as part of the Goals, Objectives, Key Activities and KPIs of the Court-wide Strategic Plan.
42. To assess the adequacy of the ICC's human resources strategy management framework, this audit referred to the standards and observations of the United Nations (UN), the International Civil Service Commission (ICSC), and the Office of Internal Oversight Services (OIOS) regarding human resources management strategy frameworks in international organizations, as well as the relevant recommendations of the Independent Expert Review (IER)¹⁰ report (2020), which was conducted at the request of the ICC ASP in 2019.
43. First, in April 2023, the UN General Assembly, through a resolution, emphasized the importance of a comprehensive human resources management strategy in enabling the Secretary-General to perform human resources management functions in a holistic and integrated manner and to ensure the efficiency and effectiveness of the organization.¹¹

¹⁰ The IER was a review process established by the ASP in December 2019, conducted by nine independent experts with the aim of developing recommendations for strengthening the functioning of the ICC and the Rome Statute system.

¹¹ A/RES/77/278

Figure 2. ICSC Framework for Human Resources Management



Source: International Civil Service Commission, “Framework for Human Resources Management”

44. In addition, the ICSC has put forward a Human Resources Management Framework as a reference for human resources management systems applicable to organizations within the United Nations Common System (UNCS). The Framework is grounded in three foundational pillars — Good Governance, Leadership, and an Enabling Work Environment — within which 13 core HR functions are systematically organized. Through this structure, the Framework aims to foster an Engaged Workforce and ultimately support the achievement of Excellent Organizational Results.
45. The table below organizes the 13 core HR functions set out in the ICSC Framework into three categories — Governance and Work Environment, Talent Management, and Operational and Support Systems — based on their respective characteristics.

Table 14. 13 Core Functions of the ICSC Strategic HR Framework

Category	Core HR Functions
Governance and Work Environment	1. Organizational Design & HR Planning
	2. Ethics/Standards of Conduct
	3. Diversity & Gender
	4. Staff Representation & Staff Management Relations
	5. Administration of Justice
Talent Management	6. Recruitment & Selection
	7. Performance Management
	8. Mobility/Staff Deployment
	9. Staff Development & Learning
	10. Staff Well-being & Duty of Care

Category	Core HR Functions
Operational and Support Framework	11. Compensation & Benefits
	12. Contractual Arrangements
	13. HR Management Information Systems

Source: Reconstructed by the External Auditor based on the ICSC human resources management framework

Note: The category labels were defined by the auditor based on the ICSC framework.

46. Meanwhile, the UN OIOS, in its *Audit Report on the Implementation of the HR Strategy*, noted that the successful implementation of an HR strategy requires a monitoring and management framework that ensures alignment with objectives, effective implementation, and the achievement of results. In particular, it observed that such a framework should include measurable performance indicators, monitoring and evaluation systems, clear communication channels, and continuous improvement procedures, as well as quantitative targets, baselines, and timelines for measuring the impact of the strategy.¹²
47. Finally, the IER report (2020) recommended that all organs of the ICC develop specific and measurable KPIs linked to the strategic objectives established in the Strategic Plan. It further noted that, in order to accurately measure the operational efficiency of the ICC, relevant data should be comparable over time and against other courts or international organizations.¹³
48. Drawing on the standards and recommendations outlined above, it is advisable that the ICC's HR strategy be formulated in accordance with the following principles.
 - (a) First, the HR strategy needs to comprehensively reflect the major HR functions performed by the ICC, so that no core area of human resources management is omitted from the scope of strategic management. In this regard, the 13 HR management functions identified by the ICSC may serve as a useful reference.
 - (b) Second, HR-related objectives and KPIs that require long-term tracking would ideally be designed to maintain a degree of continuity across strategic cycles, even as those cycles change. This would help ensure the comparability of HR performance data over time and strengthen consistency in the management of HR-related objectives and KPIs across successive strategic cycles.
 - (c) Third, key HR-related KPIs that need to apply commonly across all organs of the ICC should be established and managed at the Court-wide level, rather than being confined to specific organs. This would prevent imbalances in the coverage of HR-related KPIs arising from differences in organ-level strategic plans.
 - (d) Fourth, HR-related KPIs would benefit from being designed not merely to track implementation rates or survey results, but to measure the actual results and effectiveness of HR systems. To this end, it is advisable to strike an appropriate balance between qualitative and quantitative indicators.
49. If these principles are reflected, the ICC's HR strategy is expected to serve as a basis for covering key HR functions in a more balanced manner, managing HR performance with continuity beyond strategic cycles and organ-specific scopes, and more thoroughly assessing the actual effectiveness of HR systems.
50. Accordingly, in this audit, the External Auditor reviewed the adequacy of the ICC's management of its HR strategy through the ICC Strategic Plan, focusing on: (a) whether HR functions are comprehensively reflected; (b) the continuity of HR-related objectives and KPIs across strategic cycles; (c) whether key HR-

¹² UN Office of Internal Oversight Services, *Audit Report on the Implementation of the HR Strategy*, Report 2025/053, paras. 36 and 39.

¹³ Independent Expert Review of the International Criminal Court and the Rome Statute System, Final Report, 30 September 2020, paras. 356, 365, Recommendations R144, R146 and R147.

related KPIs are applied Court-wide; and (d) whether HR-related KPIs appropriately measure the effectiveness of HR systems.

51. First, based on the 13 HR functions set out in the ICSC framework, the External Auditor compared and reviewed how each function was reflected in the 2023–2025 and 2026–2029 Strategic Plans in the form of Goals, Objectives and KPIs. For this purpose, each function was classified into three categories: (1) areas where both Goals or Objectives and KPIs were identified; (2) areas where Goals or Objectives were identified but no KPIs were identified; and (3) areas where neither Goals or Objectives nor KPIs were identified.¹⁴

Table 15. Coverage of ICSC Core HR Functions in ICC Strategic Plans¹⁵

Category	2023–2025 Cycle	2026–2029 Cycle
(1) Goals/Objectives and KPIs identified	2. Ethics/Standards of Conduct 3. Diversity & Gender 5. Administration of Justice 6. Recruitment & Selection 7. Performance Management 8. Mobility/Staff Deployment 9. Staff Development & Learning 10. Staff Well-being & Duty of Care	2. Ethics/Standards of Conduct 3. Diversity & Gender 5. Administration of Justice 6. Recruitment & Selection 10. Staff Well-being & Duty of Care
(2) Goals/Objectives identified, but KPIs not identified	1. Organizational Design&HR Planning 12. Contractual Arrangements 13. HRM Information Systems	1. Organizational Design&HR Planning 7. Performance Management 9. Staff Development & Learning 13. HRM Information Systems
(3) Neither Goals/Objectives nor KPIs identified	4. Staff Representation & Staff Management Relations 11. Compensation & Benefits	4. Staff Representation & Staff Management Relations 8. Mobility/Staff Deployment 11. Compensation & Benefits 12. Contractual Arrangements

Source: Reconstructed by the External Auditor based on the ICSC human resources management framework and data submitted by the ICC

(a) Lack of Comprehensive Reflection of Human Resources Management Functions

52. As shown in category (3) of the table above, no Goals or KPIs were identified in either of the two Strategic Plan cycles for the ICSC functional areas of “Staff Representation & Staff Management Relations” and “Compensation & Benefits.” In addition, in the 2026–2029 cycle, no Goals or KPIs were identified for “Mobility/Staff Deployment” or “Contractual Arrangements.” Accordingly, a total of four ICSC functional areas were found not to have been explicitly reflected in the 2026–2029 Strategic Plan.¹⁶
53. In particular, Mobility/Staff Deployment is a key HR management function for responding to the ICC’s changing workload demands and making more flexible use of limited human resources. In fact, in its reports

¹⁴ This analysis is not intended to suggest that each function in the ICSC framework must be reflected on a one-to-one basis in the ICC Strategic Plan. As no separate criteria were identified at the ICC regarding the scope and components of an HR strategy, the 13 HR functions set out in the ICSC framework were used as a reference framework to compare and review how comprehensively the ICC Strategic Plan reflects those functions in the form of HR-related Goals and KPIs.

¹⁵ See Appendix 1 for the mapping of Goals, Objectives, Key Activities and KPIs in the Strategic Plans against each ICSC function.

¹⁶ The absence of explicit references to certain HR functions in the Strategic Plan does not mean that those functions are not performed in practice. During the audit, it was confirmed that Staff Representation & Staff Management Relations is handled by the ICC Staff Union; Compensation & Benefits and Contractual Arrangements by the HRS HR Operations Unit; and Mobility/Staff Deployment by the HRS HR Organisational Development Unit, respectively.

on human resources management submitted to the ASP over the past three years, the ICC has consistently presented internal mobility and talent deployment as among the main priorities of HRS.¹⁷ The ASP has also repeatedly emphasized the need to ensure flexibility in human resources management within and between organs in order to respond to changing circumstances, needs and workloads, and has requested, among other things, a review of administrative instructions relating to recruitment and staff mobility.¹⁸

54. Nevertheless, no Goals or KPIs related to Mobility/Staff Deployment were explicitly identified in the 2026–2029 Strategic Plan. As a result, there is a risk that the main priorities of HRS and the repeated requests of the ASP may not be sufficiently linked to Goals and KPIs in the Strategic Plan, thereby limiting the systematic management and monitoring of the implementation status and performance of this function.¹⁹

(b) Lack of Continuity in HR-related Goals and KPIs Across Strategic Cycles

55. Meanwhile, as shown in category (1) of the table above, in the transition from the 2023–2025 organ-specific Strategic Plans to the 2026–2029 Court-wide Strategic Plan, the number of ICSC functional areas for which both Goals or Objectives and KPIs were explicitly identified in the ICC Strategic Plans decreased from eight to five.²⁰ The three areas that decreased were “Performance Management,” “Mobility/Staff Deployment,” and “Staff Development & Learning.”
56. This means that certain HR functions were managed through HR-related Goals and KPIs in one strategic cycle, but in the following strategic cycle were either integrated into broader Goals without separate KPIs or were no longer explicitly identifiable through either Goals or KPIs. In such cases, it may become difficult to track and manage the performance of those functions continuously across strategic cycles.
57. For example, in the 2023–2025 Registry Strategic Plan, both Performance Management and Staff Development & Learning were explicitly managed under Priority Objective 2.2. For Performance Management, three KPIs were established: the compliance rate with performance appraisals, the number of performance conversations recorded in the system per Registry staff member, and the completion rate of developmental 360 reviews by Registry staff at managerial level.
58. For Staff Development & Learning, the Strategic Plan included the implementation of a new policy to strengthen the training and development function of the ICC, increased access to development opportunities for staff from country offices, and a KPI on the participation rate of Registry staff in training and development activities.
59. By contrast, in the 2026–2029 Court-wide Strategic Plan, Performance Management is mentioned only as part of an Objective related to “integrat[ing] core values into daily operations,” while Staff Development & Learning is addressed through dispersed activities on specific themes, such as ethics training, Diversity, Equity and Inclusion (DEI) training, and mentoring programmes related to gender balance. No KPIs were identified to measure the performance of either area.

¹⁷ ICC-ASP/25/2, XVI. HRS main priorities for 2026; ICC-ASP/24/2, XVI. HRS main priorities for 2025; ICC-ASP/23/2, XV. HRS main priorities for 2024.

¹⁸ ICC-ASP/21/Res.1; ICC-ASP/23/Res.6; ICC-ASP/24/Res.4.

¹⁹ In fact, it was confirmed that, as of April 2026, the official definition and framework for the internal mobility policy had not yet been finalized. For details, see section 2.3, Internal Mobility, of this report.

²⁰ However, this does not mean that the scope of HR functions actually performed by the ICC has been reduced; rather, it means that certain functions are no longer explicitly identifiable as HR-related Goals and KPIs in the Strategic Plan. During the audit, it was confirmed that the Performance Management and Staff Development & Learning functions are operated by the HRS HR Organisational Development Unit, and that the Mobility/Staff Deployment function also falls under the same unit, with the relevant policy currently under development.

Table 16. Comparison of Selected HR Functions by Strategic Plan Cycle (example)

Area	2023–2025 Cycle	2026–2029 Cycle
CASE 1: Performance Management	PRIORITY OBJECTIVE 2.2: Build systems to enable and foster an environment where all Registry staff are encouraged to improve their capacity and performance, placing the ICC Leadership Framework at the core KPI 22: % of compliance with performance appraisals for Registry staff KPI 23: Number of performance conversations recorded in the system per Registry staff member KPI 25: % of Registry staff at managerial level having completed the developmental 360 review	Court-wide Objective 6.4: Integrate core values into daily operations by incorporating integrity, fairness, accountability and inclusion into operational procedures, decision-making processes, recruitment and <u>performance evaluations</u>. KPIs: Not Available
CASE 2: Staff Development & Learning	PRIORITY OBJECTIVE 2.2: Build systems to enable and foster an environment where all Registry staff are encouraged to improve their capacity and performance, placing the ICC Leadership Framework at the core KEY ACTIVITY 2.2.1. Learning and Development (IER-R99): Implement a new policy to strengthen the training and development function of the ICC KEY ACTIVITY 2.2.2. Support to Staff in the Field (IER-R86): Provide increased access to Staff from country offices with development opportunities (R86) KPI 24: % of Registry staff participating in training and development activities	Court-wide Obj. 6.1: Promote a culture of integrity and fairness by establishing an ethic function as well as clear ethical guidelines, and providing <u>ethics training</u> for staff. Court-wide Obj. 8.1: Implement <u>Diversity, Equity and Inclusive (DEI) trainings</u> for all hiring managers and create standardised DEI guidelines for recruitment, retention and promotion decisions by the end of the Strategic Plan. Court-wide Obj. 8.2: Establish a <u>mentorship program</u> to support women and individuals from under-represented regions. KPIs: Not Available

Source: Reconstructed by the External Auditor based on the Registry Strategic Plan 2023–2025 and the ICC Strategic Plan 2026–2029

60. As such, if the Goals and KPIs for key HR functions directly related to staff capacity-building and career development, such as Performance Management and Staff Development & Learning, change across strategic cycles, it may limit the ability to identify long-term trends in those functions and assess whether HR management has improved. Therefore, it is necessary to ensure that HR-related Goals and KPIs are managed with a certain degree of continuity even when the strategic cycle changes.

(c) Insufficient Court-wide Application of Key HR-related KPIs

61. The review also identified an instance where a key HR-related KPI that would be expected to apply across the ICC was operated only in relation to a specific organ.
62. In the 2023–2025 cycle, the KPI related to recruitment was established in the Registry Strategic Plan as “Average days taken for staff recruitment at the ICC” (REG Priority Objective KPI 27). Considering that the Registry centrally supports HR administrative functions, including recruitment, this indicator effectively functioned as a Court-wide KPI.

63. By contrast, in the 2026–2029 cycle, the corresponding recruitment-related KPI was identified only under the OTP, as “Average # of days from closure of the Vacancy Announcement to submission of the Interview panel report to the Selection Review Board” (OTP Objective 3.3.1, KPI 1).

<Case> KPI related to Recruitment

- **(23-25) REG Priority Objective KPI 27.** Average days taken for staff recruitment at the ICC
- **(26-29) OTP Objective 3.3.1 KPI 1.** Average # of days from closure of the Vacancy Announcement to submission of the Interview panel report to the Selection Review Board.

(d) Limited Use of HR-related KPIs to Measure System Effectiveness

64. An analysis of KPIs across the two Strategic Plan cycles, 2023–2025 and 2026–2029, found that a significant number of HR-related KPIs focused on measuring staff perceptions, simple implementation status, or participation rates, rather than the actual performance or effectiveness of the relevant systems. Specifically, survey-based or implementation-rate-oriented indicators accounted for 13 out of 26 KPIs, or 50 per cent, in the 2023–2025 cycle, and 7 out of 18 KPIs, or 39 per cent, in the 2026–2029 cycle.²¹

Table 17. Proportion of Survey-Based and Implementation-Based KPIs by Strategic Plan Cycle

Cycle	2023–2025		2026–2029		Total
Category	No. (#)	Rate (%)	No. (#)	Rate (%)	
Total KPIs	26	100%	18	100%	44
Subtotal	13	50%	7	39%	20
Survey-Based KPIs	8	31%	6	33%	14
Implementation-Based KPIs	5	19%	1	6%	6

Source: Reconstructed by the External Auditor based on data submitted by the ICC

65. In this audit, the External Auditor analysed 14 KPIs based on surveys and staff perceptions. The review found that, in areas where qualitative insights are important, such as organizational culture and leadership, perception-based indicators can provide meaningful qualitative information that may not be sufficiently captured by quantitative indicators alone. However, in some areas, including internal mobility and staff well-being, the KPIs were set solely on a survey-based basis despite there being scope to develop more quantitative indicators. Further refinement is therefore considered necessary to ensure an appropriate balance between qualitative and quantitative indicators.
66. For example, in the area of Mobility/Staff Deployment, the ICSC framework presents objective indicators such as the volume of inter-agency staff movements and mobility-related costs, whereas the ICC applies a KPI based on the percentage of positive responses in staff surveys on internal mobility. Similarly, in the area of Staff Well-being & Duty of Care, KPIs based on staff perceptions, such as survey response rates, are used instead of quantitative indicators such as leave usage rates.
67. Such survey-based indicators can be useful as complementary information for identifying changes in staff perceptions. However, they may have limitations in quantitatively assessing the actual performance and effectiveness of HR systems.

²¹ See Appendix 2 for the list of survey- and staff perception-based KPIs and implementation- and participation-rate-oriented KPIs.

<Case> Survey- and Staff Perception-Based KPIs

- **Mobility/Staff Deployment:** % of positive responses from Registry staff to survey questions on internal mobility (23-25 RSP KPI 26)
- **Staff Well-being & Duty of Care:** % of positive responses from staff to the survey question: “The ICC supports its staff in achieving a good work-life balance.” (26-29 Obj. 6.1, KPI 4)

68. Meanwhile, the External Auditor also reviewed implementation- and participation-based KPIs. These indicators are meaningful in that they are essential for ensuring the integrity of key processes and provide a basic standard for confirming whether systems are actually being operated. However, they appear to enable a more complete assessment of system effectiveness when used together with more outcome-oriented indicators.
69. The review found that the ICC uses implementation- and participation-based KPIs in areas such as learning and performance appraisal, including compliance with administrative procedures and participation rates. However, no KPIs were identified to assess the substantive outcomes of those areas.
70. For example, in the area of Performance Management, the ICC was found to use implementation-based KPIs such as “% of compliance with performance appraisals for Registry staff” (2023–2025 RSP KPI 22), which had consistently remained above 95 per cent over the past five cycles, and “Number of performance conversations recorded in the system per Registry staff member” (2023–2025 RSP KPI 23), for which 97 per cent of staff met the requirement as of 2019. These KPIs are useful for confirming whether the system is being operated. However, as they already show a high level of implementation, they may have limitations in assessing the substantive outcomes or degree of improvement of the system.
71. For reference, the ICSC framework presents performance indicators that can assess the effectiveness of the system, such as providing incentives for high performers and identifying and managing cases of underperformance. If the ICC uses such outcome-oriented indicators as a complement, it would be able to assess the effectiveness of the system more thoroughly.
72. In the area of Staff Development & Learning, the ICC was also found to have established KPIs that mainly reflect participation or implementation rates, such as “% of Registry staff participating in training and development activities” (2023–2025 RSP KPI 24) and “% of recruitment panels trained in bias mitigation” (2026–2029 ICC Strategic Plan, Objective 6.4, KPI 3). However, no performance indicators were identified that could assess whether these learning activities actually led to career development outcomes. For reference, the ICSC framework presents “internal staff mobility outcomes” as a performance indicator in the area of Staff Development & Learning.

<Case> Implementation- and Participation-Based KPIs

- **Performance Management**
 - **KPI 22.** % of compliance with performance appraisals for Registry staff (23-25 RSP)
 - **KPI 23.** Number of performance conversations recorded in the system per Registry staff member (23-25 RSP)
- **Staff Development & Learning**
 - **KPI 24.** % of Registry staff participating in training and development activities (23-25 RSP)
 - **KPI 3.** % of recruitment panels trained in bias mitigation (Bias-Free Recruitment Score) (26-29 ICC Strategic Plan, Obj 6.4)

73. In summary, survey- and perception-based indicators and implementation- and participation-based indicators are useful for understanding staff perceptions and confirming whether HR systems are being

operated. However, they may have limitations in assessing the actual performance of the systems and the effects of improvements. Therefore, the ICC needs to supplement its existing HR-related KPIs and introduce a balanced set of outcome-oriented quantitative indicators so that it can more thoroughly assess the effectiveness of its HR systems.

Finding: Certain human resources management functions were not explicitly reflected in the ICC Strategic Plan; the continuity of HR-related Goals and KPIs across strategic cycles was not sufficiently ensured; and some HR-related KPIs were limited to specific organs or focused mainly on surveys and implementation status. As a result, there are limitations in systematically managing HR performance and system effectiveness across the ICC.

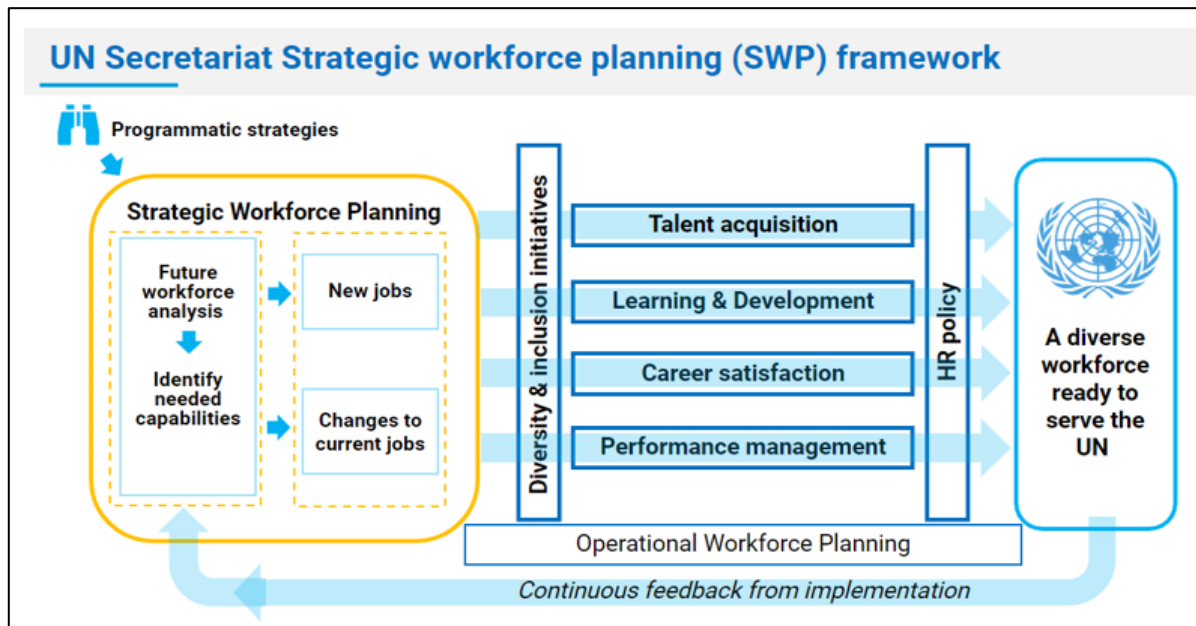
Recommendation 1. The External Auditor recommends that the ICC, with reference to the International Civil Service Commission (ICSC) framework and other relevant standards, strengthen its human resources management strategy framework by either establishing a stand-alone human resources management strategy or supplementing HR-related Goals and KPIs within the Court-wide Strategic Plan, in order to comprehensively reflect human resources management functions, ensure continuity of HR-related Goals and KPIs across strategic cycles, and enable key HR-related KPIs to be applied across the ICC.

Recommendation 2. The External Auditor recommends that the ICC supplement its existing HR-related KPIs, which are mainly survey- and participation-based, and introduce a balanced set of outcome-oriented quantitative indicators, in order to more objectively assess the performance and effectiveness of its human resources management systems.

1.2. Workforce Planning

74. In December 2022, the ICC introduced SWP with the aim of managing its workforce in line with UN best practices by supporting the organization's strategic workforce decision-making through the analysis of current and future workforce demand and supply, consideration of key workforce movement factors such as retirements and vacancies, and identification of future competency requirements.
75. SWP, as emphasized by the UN, refers to a core function for identifying required competencies through future workforce analysis and designing the medium- to long-term workforce structure through the creation of new roles and changes to existing roles.

Figure 3. UN Secretariat Strategic Workforce Planning Framework



Source: United Nations Secretariat, Strategic Workforce Planning framework

76. Meanwhile, the ICSC presents *Strategic Human Resources Management* as a reference model for organizations of the UNCS in establishing their HR management systems. Under “Organizational design and human resources planning,” the framework states, as a broad principle, that strategic human resources planning contributes to organizational success by ensuring that the organization has the human resources capabilities required to meet current and emerging needs. It also presents, as expected outcomes, human resources that meet the organization’s short-, medium- and longer-term programme needs, including leveraging human resources to support coordinated action among organizations, and a well-trained and flexible workforce to meet the organization’s changing and, at times, uncertain needs.

Strategic Human Resources Management in the United Nations Common System (ICSC)

Organizational design and human resources planning

Broad principles [...]

- Strategic human resources planning contributes to the achievement of organizational success by ensuring that the organization has the human resources capabilities required to meet current and emerging needs.

Outcomes [...]

- Human resources that meet the organization's short-, medium- and longer-term programme needs, including leveraging human resources to support coordinated action among organizations.
- Well-trained and flexible workforce to meet the organization's changing and, at times, uncertain needs.

Indicators

- A workforce plan is in place. [...]

77. The UN SWP framework and the ICSC strategic HR framework provide useful reference standards for improving the ICC’s workforce planning system. In light of these standards, the ICC needs to systematically analyse future workforce demand and required competencies, establish a medium- to long-term SWP reflecting such analysis, and link it to strategic decision-making. This would help the ICC’s workforce planning evolve beyond responding to short-term staffing needs into a more systematic and future-oriented workforce management system aligned with the organization’s strategic priorities.

78. Accordingly, it would be desirable for the ICC to establish the institutional foundation and operational framework necessary to ensure that SWP does not remain limited to an analysis of the current workforce situation, but is used as substantive input in decision-making on organizational structure, workforce deployment and budget by forecasting future workforce demand and required competencies.
79. This audit examined whether the ICC's SWP is being operated in a manner consistent with its intended purpose. Since the introduction of the SWP function, the ODU within HRS has focused on building an analytics foundation, including improving data quality, developing self-service dashboards, and reducing manual reporting. As a result, a total of 53 dashboards or automated reports have been developed or are currently under development, integrating HR data across key areas such as talent acquisition, diversity, performance management, leave, and benefits, and these dashboards are made available to stakeholders with a business need upon request. However, the dashboards currently in operation or under development function primarily as current-state tools that visualize historical and present workforce data.²²
80. For instance, the Workforce Reporting Tool provides a live staffing overview of all currently employed staff members and vacant positions, while the Turnover Reporting Tool presents a range of visualizations including a list of departed staff and turnover percentages. These tools are significant as foundational data sources that can support future predictive analytics and scenario planning.

<Case>

- **Turnover Reporting Tool:** Dashboard with lists and graphs of staff who have left the organization. Turnover percentages with graphs are also visualized here.
- **Workforce Reporting Tool:** This is a live staffing list of all currently employed staff members and list of vacant positions. This automated a manual process of generating a more basic version of this report.
- **Geographical Representation and Gender Balance Reporting Tool:** A dashboard with several lists, reports and graphs visualizing data related to GRGB queries. This includes an automated version of the GR monthly report used to track GR of staff. This was done manually in the past

81. However, SWP should not be understood merely as a collection of analytical tools; it needs to function as a formal process that directly informs workforce and budget decision-making. While the ICC has established an analytics foundation, it has yet to reach the stage of systematically using that data to forecast and analyze future workforce needs, or to translate such analysis into strategic decision-making related to organizational structure, competencies, and budget.
82. In this audit, the External Auditor analysed the factors limiting the development of the ICC's SWP into a strategic function and identified the following: (i) the organizational design function and job architecture have not been sufficiently established; (ii) the results of SWP analyses are used only to a limited extent in the budget formulation process; and (iii) the roles, authority and procedures for using SWP have not been defined.
83. In this regard, during the audit, it was confirmed that the organizational design function within the ICC has not been clearly institutionalized, and that the job architecture reflecting the competency requirements of each job is still in the process of being established. In this report, the ICC's organizational design function refers to the function of systematically managing organizational charts, job classification, standard job descriptions, and relationships between jobs, and, on that basis, reviewing organizational structure, workforce deployment and role adjustments.²³ Job architecture refers to a framework that organizes the roles, responsibilities, required competencies and relationships among job families, and is used as a basis

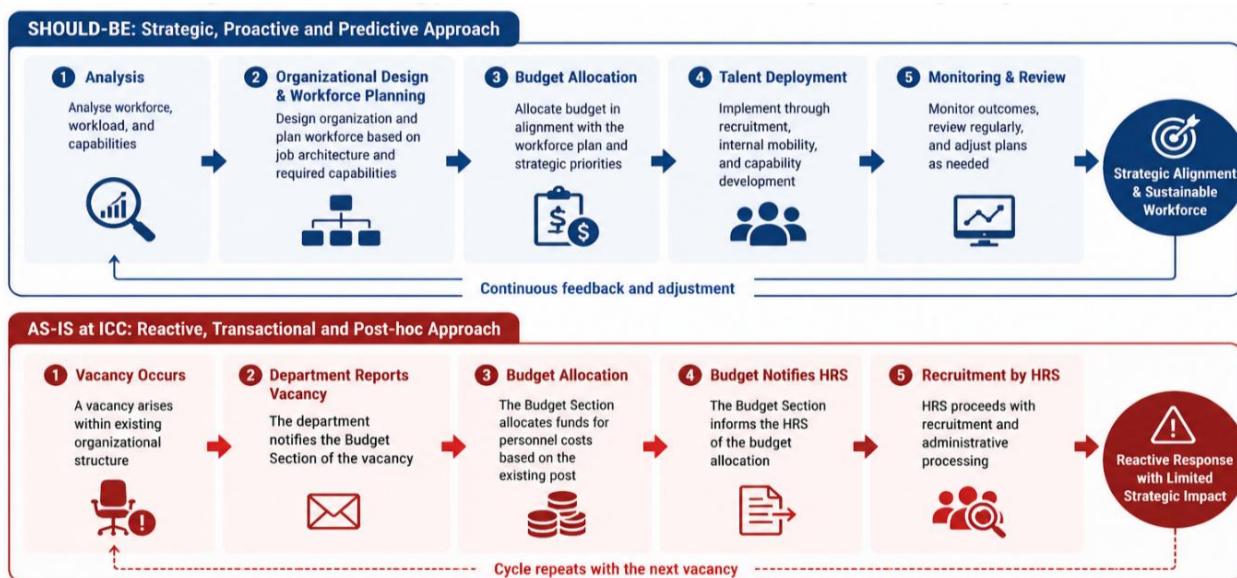
²² For the full list of dashboards currently in use at the ICC, see Appendix 3.

²³ In some organizations, the organizational design function is placed within a dedicated organizational development unit and operated in connection with SWP. In such cases, it can serve to link the results of SWP analysis to improvements in organizational structure, workforce redeployment and competency development.

for workforce demand analysis, competency analysis, career development and internal mobility management.

84. First, as the organizational design function has not been clearly institutionalized within the ICC, even where workforce analysis is conducted, comprehensive judgement is not made proactively from a Court-wide perspective as to which functions or areas should be expanded, reduced or changed. As a result, the findings of workforce analysis are not sufficiently translated into actual adjustments to organizational structure or roles, and workforce management remains largely focused on individual posts.
85. In addition, as the job architecture is still in the process of being established, workforce demand and supply analysis based on job families and required competencies is conducted only to a limited extent. The potential for movement between similar jobs, as well as pathways for internal workforce redeployment and competency development, are also not being systematically reviewed. As a result, the continued reliance on external recruitment, rather than internal redeployment and competency development, may create a risk of reduced efficiency in workforce management across the organization.
86. Second, workforce budget forecasting at the ICC has traditionally been led by the budget function based on expected workload, such as the number of trial days and judicial activities. In this process, the HRS reviews vacant posts and examines requests from each division for new posts and post reclassification from the perspective of classification standards and organizational structure before such requests are approved.
87. However, the role of HRS remains primarily focused on operational support, such as processing individual requests and managing recruitment, rather than comprehensively analysing and planning the Court-wide medium- to long-term workforce needs. As a result, workforce planning is not being carried out in a proactive and integrated manner in the budget formulation process, creating a structural limitation whereby workforce management remains reactive.

Figure 4. Strategic vs. Current Approach to Workforce Planning and Budgeting at the ICC²⁴

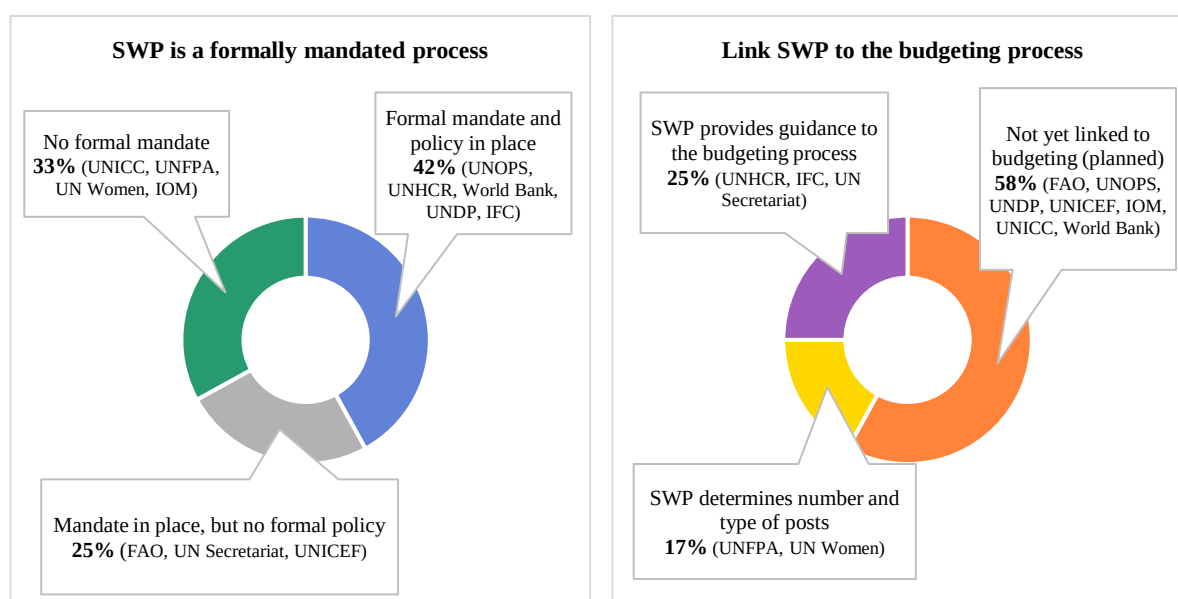


Source: Prepared by the External Auditor based on explanations provided by the ICC

²⁴ Note: The AS-IS diagram above is intended to explain HRS's recruitment and workforce management response process after a vacancy arises, and does not represent the ICC's overall budget formulation process. In the budget formulation process, the functional necessity of vacant posts, workforce needs at the time, and the level of budgetary resources are reviewed, and budget allocations are made based on decisions by senior management, such as the Registrar or the Prosecutor.

88. Finally, the lack of clearly defined roles, authority and procedures for the use of SWP was also identified as a key constraint. For SWP to be substantively used in workforce and budget decision-making, it is necessary to clarify its roles, authority and procedures for use, and to establish the institutional basis and governance framework to support them.
89. However, the ICC currently does not have a formal framework or internal guidelines that specify these elements for SWP, and there also appears to be insufficient momentum to advance this work. As a result, SWP remains primarily an analytical function and has limitations in being used as systematic input in strategic decision-making processes related to workforce and budget.
90. For reference, according to the survey conducted by the *Community of Practice on Strategic Workforce Planning* in December 2023, among 12 major international organizations under the UN, 42 per cent had both a formal mandate and a policy for conducting SWP, while 25 per cent had a mandate to establish a framework but did not yet have a corresponding policy. By contrast, only 33 per cent of the organizations had no formal mandate.
91. In terms of the linkage between SWP and budgeting, SWP provided guidelines for budget formulation in 25 per cent of the organizations, and in 17 per cent, SWP was used in the budget process to determine the number and types of posts. By contrast, in 58 per cent of the organizations, SWP was not yet linked to the budget process but was at the planning stage.

Figure 5. Strategic Workforce Planning Mandate and Integration with Budgeting Processes



Source: *Community of Practice on Strategic Workforce Planning* (December 2023)

92. Meanwhile, to assess the actual impact of the above limitations, the External Auditor conducted an analysis to estimate future workforce attrition expected to occur at the ICC. The analysis found that, under the ICC's current SWP framework, proactive responses to foreseeable vacancies are not being sufficiently undertaken.
93. For example, to assess how the ICC responds to foreseeable vacancies, such as those arising from mandatory retirement, the External Auditor reviewed 35 retirement cases out of a total of 38 staff members who retired between 2022 and 2025, excluding three judges at the USG level.²⁵ The review found that, in

²⁵ USG (Under-Secretary-General) refers to a senior-level position equivalent to Under-Secretary-General in the UN system. As this analysis was intended to review responses to vacancies arising from the mandatory retirement of general staff, three cases involving the retirement of judges, which are different in nature, were excluded.

10 cases, or 28.6 per cent, vacancy announcements had been published before retirement, indicating that a certain level of proactive recruitment had taken place.

94. However, in 21 cases, or 60.0 per cent, no vacancy announcement for the relevant post was identified during the five-year period before and after retirement (2021–2025). In addition, in 4 cases, or 11.4 per cent, vacancy announcements were published only after the staff members had already retired. In these cases, it took an average of 11.4 months from the retirement date to the publication of the vacancy announcement. This indicates that responses to foreseeable vacancies have generally been delayed and have not been sufficiently proactive.
95. The External Auditor also reviewed whether the 35 posts had actually been filled as at 31 December 2025. The review found that, among the 21 posts for which no vacancy announcement was identified, 12 had been filled, while 9 remained vacant. All 4 posts for which vacancy announcements were published only after retirement remained unfilled. Meanwhile, among the 10 posts for which vacancy announcements were published before retirement, 5 had been filled and the remaining 5 remained vacant. Overall, 18 of the 35 posts, or 51.4 per cent, remained unfilled as at the end of 2025, of which 9 were senior-level posts: 6 at the P-4 level, 2 at the P-5 level and 1 at the D-1 level.

Table 18. Status of Recruitment for Posts with Mandatory Retirements (2022–2025)

Category		Vacancy Announced		No Vacancy Announcement	Total
		Before Retirement	After Retirement		
Number (Percentage)		10 (28.6%)	4 (11.4%)	21 (60.0%)	35 (100%)
Timing of Announcement		Announced on average 277 days (approx. 9.1 months) before retirement	Announced on average 342 days (approx. 11.4 months) after retirement	No record within five years (2021–2025)	-
Filling Status (31 Dec 2025)	Filled	5	0	12*	17
	Vacant	5	4	9	18

Source: Reconstructed by the External Auditor based on data submitted by the ICC

Note: * Through other mechanisms

96. Meanwhile, according to the materials reviewed, out of a total of 1,120 applicable staff members as at the end of 2025, a total of 247 staff members, or 22.1 per cent, are expected to retire over the next 10 years, from 2026 to 2035.²⁶ Of these, 65 staff members, or 5.8 per cent, are in higher-level posts at the P-4 level and above, which are responsible for key organizational decision-making. In this context, without proactive responses, there is a risk of operational disruption, including leadership gaps. However, the ICC's current operating approach did not have a sufficiently proactive workforce planning framework to anticipate and respond to such vacancies in advance.

²⁶ This is conservatively estimated. ICC staff members participate in the United Nations Joint Staff Pension Fund (UNJSPF), which allows early retirement from the age of 55, meaning that the actual number may be higher. In addition, as the ICC has introduced a tenure policy limiting the term of P-5 and D-1 posts to a maximum of seven years, turnover at senior management levels may further increase.

Table 19. Projected Mandatory Retirements by Year and Grade (2026–2035)

Category	'26	'27	'28	'29	'30	'31	'32	'33	'34	'35	Total
General Service Staff	9	9	8	12	12	16	16	19	39	42	182
Senior Staff (P-4 and above)	2	1	5	6	9	8	9	9	9	7	65
Total	11	10	13	18	21	24	25	28	48	49	247

Source: Reconstructed by the External Auditor based on data submitted by the ICC

Finding: The ICC has introduced the SWP function and developed a number of HR dashboards. However, the institutional foundation is not yet sufficiently in place, including the organizational design function, a skill-based job architecture, and a formal framework defining the roles, authority and procedures for the use of SWP. As a result, there are limitations in using SWP as substantive input in workforce- and budget-related decision-making processes. In addition, proactive responses to foreseeable vacancies, such as those arising from mandatory retirement, have not been sufficiently undertaken, creating a risk of future staffing gaps and operational disruption.

Recommendation 3. The External Auditor recommends that the ICC clearly establish the organizational design function and institutionalize a skill-based job architecture, so that Strategic Workforce Planning (SWP) can be developed based on systematic analysis of organizational functions, jobs and required competencies.

Recommendation 4. The External Auditor recommends that the ICC develop a formal Strategic Workforce Planning (SWP) framework or internal guidelines covering the roles, responsibilities, authority and procedures for the development, review and use of SWP, so that workforce planning does not remain limited to workforce status analysis but can be used as substantive input in workforce deployment and budget formulation decision-making.

2. Human Resources Acquisition and Utilization

2.1. Recruitment

2.1.1. Key Performance Indicators (KPIs) for Recruitment Duration

97. In accordance with the Registry Strategic Plan 2023–2025 and other relevant plans, the ICC has established the average number of days required for recruitment as a KPI, as shown in the table below, in order to strengthen recruitment efficiency. This period is measured from the closing date of the vacancy announcement to the date of the Prosecutor's/Registrar's approval of the interview panel report²⁷ for the selected candidate, with a target baseline of 160 days. The ICC calculates the results annually and monitors progress against the target.

²⁷ This refers to the stage where the ICC Appointing Authority formally approves the recruitment of a selected final candidate. Following this approval, the new recruitment process is finalized after completing procedures such as background checks and medical examinations.

Table 20. Status of Recruitment Duration Results (2023–2025)

KPI Target	2023		2024		2025	
	FTA ²⁸	STA	FTA	STA	FTA	STA
160	119	118	150	86	140	45

Source: Data submitted by the ICC Talent Acquisition Team (2026)

98. The fundamental purpose of establishing a recruitment duration KPI is to assess the overall efficiency of the recruitment process by measuring actual performance and to objectively determine whether staffing needs are being met in a timely manner. Furthermore, the KPI can serve as a tool to proactively identify and systematically manage the causes of long-term vacancies. As the KPI results are official indicators reported externally to bodies such as the ASP, if they do not accurately reflect the recruitment status or are not applied consistently, there is a risk that the credibility and transparency of the overall performance management framework may be undermined.
99. The External Auditor is of the view that the ICC needs to establish a consistent framework for its recruitment duration performance indicators by clarifying the calculation criteria and methodology, so that the indicators clearly reflect the actual recruitment status and facilitate effective vacancy management.
100. Based on the materials submitted by the ICC to date, the External Auditor reviewed and analysed 261 recruitment cases (168 cases in 2024 and 93 cases in 2025²⁹) that formed the basis for calculating the ICC's average recruitment duration for 2024 and 2025. The analysis found that the ICC included in the calculation of the average duration only those cases in which both the closing date of the vacancy announcement and the date of the Prosecutor's/Registrar's approval of the interview panel report fell within the same financial year.
101. Under this calculation criterion, as illustrated in <Case 1> below, recruitment cases for which the vacancy announcement closed before the relevant year and the interview panel report was approved by the Prosecutor or the Registrar during the relevant year were not included in the KPI calculation. Consequently, the calculation methodology was structured in such a way that the longer the recruitment process took, the more likely the case was to be excluded from the calculation of the average recruitment duration.

<Case 1>

- For the recruitment case for the position of "Field Assistant (G-5)", the vacancy announcement closed on 13 October 2022 and the interview panel report was approved by the Prosecutor or the Registrar on 29 January 2025. Although the recruitment duration amounted to 839 days, this case was not included in the calculation of the average recruitment duration for the 2025 KPI.

102. Accordingly, with a view to assessing whether the KPI could be calculated accurately, the External Auditor recalculated the KPI based on 157 recruitment cases (95 FTA cases and 62 STA cases)³⁰ for which the interview panel report was approved by the Prosecutor or the Registrar in 2025, irrespective of the year in which the vacancy announcement closed. The recalculation found that the average recruitment duration was 220 days for FTA cases and 75 days for STA cases, which differed from the originally calculated averages by 80 days and 30 days, respectively.

²⁸ Fixed-Term Appointments (Established posts and GTA positions)

²⁹ Utilized data from "Recruitment Duration 2024 row Data" and "report_054 Recruitment Timelines duration new" submitted by the ICC

³⁰ Utilized data from "Report_recruitments_initiated_2021_2025_approval_final" submitted by the ICC

103. In addition, to ensure the accurate calculation of the average recruitment duration, the ICC should exclude cases for which the interview panel report had not been approved by the end of the year. However, in calculating the KPIs for 2023 and 2024, as illustrated in <Case 2> below, the ICC included cases for which the interview panel report had not been approved within the relevant year, with the recruitment duration calculated based on the elapsed days up to 31 December of that year.³¹

<Case 2>

- In the case of the recruitment for the position of “Facilities Contracts and Resources Officer (P-3)”, for which the vacancy announcement was issued on 21 December 2024 and the recruitment process remained ongoing, the ICC included the elapsed period of 10 days up to 31 December 2024 in the calculation of the average recruitment duration.
- However, the External Auditor’s review of the actual recruitment duration found that the interview panel report was approved by the Prosecutor or the Registrar on 29 August 2025, resulting in an actual recruitment duration of 251 days.

104. As a result, the criteria established by the ICC for the average recruitment duration KPI did not fully reflect the ICC’s recruitment status. In addition, the inconsistent application of the calculation criteria across years may give rise to concerns regarding the reliability and transparency of the recruitment-related performance indicators.
105. Furthermore, the External Auditor is of the view that the current recruitment duration KPI, which is used as a Time-to-Hire indicator and measures the period from the closing date of the vacancy announcement to the date of the Prosecutor’s/Registrar’s approval of the interview panel report, does not reflect the time taken at the initial stage of a vacancy or the period after recruitment approval. Accordingly, the External Auditor considers that the additional use of a Time-to-Fill indicator, which covers the full recruitment cycle from the occurrence of a vacancy to the selected candidate’s actual start date, would enable the ICC to monitor recruitment duration more effectively.

<Case 3>

- For the “Reviser (French)” position, for which the vacancy announcement was issued on 5 July 2023, the recruitment duration was 355 days on a Time-to-Hire basis, whereas the duration was 855 days on a Time-to-Fill basis. This indicates a significant difference of 500 days between the two indicators.

Finding: The ICC calculated the recruitment duration KPI by including only cases for which both the vacancy announcement closing date and the approval date fell within the same financial year, and by calculating incomplete recruitment cases based on the elapsed days up to the end of the year. As a result, the KPI calculation values may not have fully reflected the actual recruitment duration, as long-duration recruitment cases could be excluded or the average recruitment duration could be shorter than the actual duration. In addition, the current Time-to-Hire indicator measures only the period from the closing date of the vacancy announcement to the date of recruitment approval. Accordingly, it may have limitations in capturing the full recruitment delay and long-term vacancy status from the occurrence of a vacancy to the actual start date.

³¹ However, for 2025, the ICC excluded from the calculation of the average recruitment duration those cases for which the interview panel report had not been approved by the Prosecutor or the Registrar within the year.

Recommendation 5. The External Auditor recommends that the ICC: (i) clarify the calculation criteria for the recruitment duration performance indicator, including the treatment of incomplete recruitment cases and the inclusion of cross-year recruitments; and (ii) consider introducing a framework for calculating and managing, in parallel, a Time-to-Fill indicator that measures the entire period from the initial occurrence of a vacancy to the selected candidate's actual start date.

2.1.2. Batch Recruitment System

106. In accordance with the Guidelines on the Recruitment of Established Staff, the ICC conducts recruitment by initiating a separate recruitment procedure³² for each individual vacancy upon request from the relevant department when a vacancy arises in a specific position.
107. In 2021, the ICC introduced job families with a view to building common rosters to streamline the recruitment of personnel for similar job groups, so as to secure the personnel required for similar functions in advance and to fill vacancies more efficiently (ICC-ASP/20/3).
108. Meanwhile, since 2011, the UN Secretariat has operated the Young Professionals Programme (YPP), under which entry-level professional staff at the P-2 level are selected in batches across multiple occupational groups. In addition, the ICC has also used batch recruitment in cases where multiple vacancies arose for the same position, as illustrated by the consolidated vacancy announcement issued by the OTP in February 2024 to recruit three Associate Investigators (P-2).
109. The introduction of a batch recruitment approach, whereby multiple vacancies in the same or similar job families are filled through a single consolidated recruitment process, would help minimize repetitive administrative procedures, including vacancy announcements, screening and interviews, and thereby reduce recruitment duration as well as human and administrative costs.
110. Therefore, with a view to enhancing the efficiency of its recruitment practices, the ICC could consider using job families³³ to conduct batch recruitment for similar occupational groups, including through the introduction of a common recruitment system or by drawing on the practice of the UN Secretariat.
111. However, the External Auditor's analysis of the recruitment system found that the ICC currently operates on the basis of separate recruitment procedures for individual vacant positions. Accordingly, whenever vacancies arise for the same or similar positions, vacancy announcements, eligibility screening and interview procedures are carried out repeatedly. This could result in duplication of administrative costs and human resource inputs, and may affect the overall efficiency of staffing.
112. In practice, as shown in the table below, the number of publications at the ICC increased by approximately 84 per cent, from 119 in 2021 to 219 in 2025. With the increase in publications for individual vacancies, the number of applications requiring review and the volume of administrative work, including interviews, also increased. This may affect the overall efficiency of human resource allocation within the personnel department.

Table 21. Status of Recruitment Workload by Year (2021–2025)

Indicator	2021	2022	2023	2024	2025
Number of Publications	119	179	191	217	219
Applications Received	10,894	23,316	20,478	38,354	50,587
Interviews Scheduled	214	488	416	598	696

Source: ICC, "Report of the Court on Human Resources Management" (ICC-ASP/24/2)

³² The recruitment process consists of the following stages: Vacancy Announcement → Eligibility Review → Assessment (Written Test/Interview) → Preparation of the Selection Panel Report → Review of Recruitment Compliance → Approval by the Appointing Authority → Background Checks and Medical Examinations → Final Appointment

³³ Following the 2020 IER recommendation, the ICC is currently in the process of classifying job families.

Finding: The ICC has made limited use of batch recruitment based on similar job families and has continued to operate primarily through separate recruitment procedures for individual vacancies. This may increase the recruitment workload and administrative costs, and may affect the efficient use of human resources.

2.1.3. Roster System

113. In accordance with the *Recruitment Guidelines for Established Posts*, the ICC operates a roster system³⁴ as a mechanism to accelerate the filling of vacancies and enhance the efficiency of the recruitment process.
114. The roster system is intended to address the inefficiency of initiating a new recruitment process each time a vacancy arises repeatedly in the same or similar occupational fields. It allows the ICC to promptly fill vacancies by making immediate use of a pool of pre-assessed qualified candidates.³⁵
115. Therefore, with a view to preventing prolonged vacancies and reducing the overall recruitment duration, the ICC needs to systematically monitor and manage the use of the roster system so that it can be utilized in a substantive and proactive manner.
116. The External Auditor's analysis of the ICC's use of the roster system found that the ICC does not currently have a system for compiling information on roster operations, making it difficult to ascertain how the system is being used. Furthermore, based on the information submitted to the External Auditor on the appointment methods for P-2 level positions, which are middle-management positions, during the period from 2023 to 2025, all appointments to established posts were made through new recruitment procedures, and the roster system was not used.

<Case>

- During the period from 2023 to 2025, the ICC recruited 23 staff members for P-2 level positions, consisting of nine appointments to established posts (EST) and 14 appointments under GTA. While the roster system was used for 10 GTA appointments, none of the nine EST appointments were made through the roster system.

117. Furthermore, roster-related data—including utilization records, validity periods, and reasons for non-selection—are currently compiled manually, which limits the capacity to monitor overall roster status in real time.

Finding: The ICC operates a roster system to support the filling of vacancies and the reduction of recruitment timelines. However, the ICC has not established a system to systematically compile and manage information on roster utilization and the status of roster operations, which has limited the effective use of the roster system.

Recommendation 6. The External Auditor recommends that the ICC establish an internal framework for systematically compiling and managing information on roster utilization through the development of an automated management system, with a view to ensuring the effective use of the roster system.

2.2. Internal Mobility

118. Internal mobility is generally understood to facilitate employee movement between or within organizational units, enabling the reallocation of human resources to respond to changing operational demands, maximize

³⁴ The roster system refers to a mechanism where candidates whose qualifications have been pre-verified through a competitive process are registered in a database, enabling rapid appointment to similar vacancies without a separate selection process.

³⁵ When recruiting through a roster, the process typically requires only additional security clearances and medical examinations, often taking only 1 to 3 months until the actual start date, thereby significantly reducing the recruitment duration.

organizational flexibility, and strengthen workforce capabilities.

119. In 2022, 2024, and 2025, the ASP repeatedly requested the ICC to promote internal mobility as a key means of ensuring organizational efficiency and flexibility in the face of changing operational demands and a constrained budgetary environment³⁶. In response, the ICC identified mobility and workforce flexibility, namely Key Activity 2.3, “Mobility and Flexible Workforce,” as one of its priority areas in the Strategic Plan 2023–2025, and has been pursuing the promotion of internal mobility.
120. Therefore, the External Auditor is of the view that the ICC should, taking into account the ASP’s requests and the Strategic Plan 2023–2025, institutionally embed internal mobility by adopting a formal Court-wide definition of internal mobility and establishing a corresponding framework. The ICC should also make practical use of internal mobility as a policy tool to enhance workforce flexibility across the ICC.
121. However, during the audit, the External Auditor reviewed the status of the ICC’s implementation of internal mobility initiatives from 2023 to 2025 and found that the ICC had not yet established a framework setting out the definition and objectives of its internal mobility policy. As a result, the ICC was not in a position to develop the related policy objectives, scope, operating modalities, eligibility requirements, and procedures.
122. In this regard, HRS prepared an internal mobility framework in May 2024, setting out policy components such as the definition of internal mobility and policy objectives. However, as of the time of the audit, the framework remained at the level of a “zero draft” prepared by the working-level staff within HRS, as it had not yet undergone review and approval procedures at the leadership level.
123. In addition, the staff movement data currently maintained by HRS records only general information on staff movements and is not structured to clearly distinguish between different types of movement, such as movement through Expressions of Interest, Special Post Allowances, or STAs. As a result, the data was difficult to use directly for internal mobility purposes.
124. In addition, the KPI established by the ICC in 2023 to promote internal mobility — KPI 26, “Percentage of positive responses from Registry staff to survey questions on internal mobility: ‘28. The ICC provides me with prospects/opportunities for internal mobility’” — stood at 28 per cent in 2023 and 29 per cent in 2025, falling short of the original target of 59 per cent.
125. Finally, although the task of promoting internal mobility, which had been included in the ICC’s Strategic Plan 2023–2025, had not been achieved, the ICC’s Strategic Plan 2026–2029 did not include any follow-up actions or monitoring arrangements related to internal mobility. This made it difficult to ensure the continued implementation of the internal mobility policy going forward. In fact, the External Auditor did not identify any Court-wide updates or initiatives undertaken by the ICC in relation to the internal mobility policy after 2025.
126. In summary, the internal mobility policy, which had been pursued in response to the Assembly’s repeated requests in 2022, 2024, and 2025, had not been sufficiently institutionalized or put into practical use as of April 2026, as neither a leadership-level definition nor a framework for internal mobility had been finalized. In addition, as internal mobility was not included in the Strategic Plan 2026–2029, the establishment and further implementation of the internal mobility policy appeared to be practically difficult.
127. As a result, the ICC had not established sufficient institutional mechanisms to promote internal mobility.

³⁶ ICC-ASP/24/Res.4/ICC-ASP/23/Res.6 : Requests the ICC to continue to be guided by the importance of ensuring flexibility in the management of its human resources, notably in reacting to evolving situations, needs and workload, within and between organs, including by, as appropriate, reviewing the relevant administrative instructions related, but not limited, to recruitments and mobility of staff.

ICC-ASP/21/Res.1 : Requests the ICC, in its consideration of relevant Independent Expert Review recommendations, to be guided by the importance of ensuring flexibility in the management of its human resources, notably in reacting to evolving situations, needs and workload, within and between organs, including by, as appropriate, reviewing the relevant administrative instructions related, but not limited, to recruitments and mobility of staff, and notes in this regard the amendments to the Financial Regulations and Rules contained in section Q of the present resolution.

Accordingly, the HR automation initiatives³⁷ currently being developed by the ICC were not directly linked to internal mobility, which limited the ICC's ability to ensure organizational efficiency and flexibility in the context of changing operational demands and a constrained budgetary environment.

Finding: The ICC recognized the need to promote internal mobility and pursued it as a strategic priority. However, as a formal definition and framework for internal mobility, a data management system categorized by type of movement, and follow-up implementation plans had not been established, the relevant policy remained at the level of a working-level draft, limiting the ICC's ability to use internal mobility as a means of enhancing organizational flexibility.

Recommendation 7. The External Auditor recommends that the ICC, with a view to promoting organizational mobility and flexibility on a Court-wide basis: (i) adopt a formal definition of internal mobility and establish a framework to further develop the policy; and (ii) designate clear policy ownership and establish an implementation plan to ensure the continued promotion and monitoring of the policy.

2.3. Geographical Representation and Gender Balance (GRGB)

128. To fulfil its obligation to ensure fair geographical representation under article 36 of the Rome Statute, the ICC has set targets for the number of under-represented and non-represented countries in the 2023–2025 *ICC Strategic Plan*, as shown in the table below, and monitors the status of their achievement.

Table 22. KPIs Related to Geographical Representation

Category	Detail	2023 Target	2024 Target	2025 Target
KPI 8.2	No. of Under/Non-represented States	24 / 53	31 / 53	31 / 53

Source: Data submitted by the ICC

Note: Criteria apply to established posts at the P-level and above, excluding language staff

129. Meanwhile, in October 2023, the ICC held a Court-wide GRGB workshop to review the Court's progress on GRGB.³⁸ The workshop aimed to identify sustainable strategies and proactive measures, and its outcomes were subsequently reported to the ASP (ICC-ASP/23/2/Add.1). The ICC subsequently established a working group to develop a Strategic Toolkit containing concrete and actionable measures to improve GRGB in a comprehensive and sustainable manner.

130. Article 36, paragraph 8, of the Rome Statute provides that, in the selection of judges, States Parties shall take into account the need, within the membership of the Court, for the representation of the principal legal systems of the world, equitable geographical representation, and a fair representation of female and male judges. Article 44, paragraph 2, applies these criteria, *mutatis mutandis*, to the employment of staff, requiring the Prosecutor and the Registrar to ensure the highest standards of efficiency, competency and integrity in staff recruitment, while having regard to the criteria set forth in article 36, paragraph 8.

³⁷ Initiatives such as job families, aimed at classifying occupational groups and functional specializations; onboarding/offboarding automation, designed to automatically add or remove access rights when staff members move between departments; and SuccessFactors modernization, intended to automatically extract staff performance information generated during their service in the relevant department.

³⁸ The workshop participants included senior managers of the Registry, including the Registrar and Directors; representatives of relevant sections within the Registry, including HRS; representatives of the Judiciary and the OTP; other organs and offices of the ICC, including the Secretariat of the Trust Fund for Victims, the Office of Internal Audit and the Secretariat of the ASP; and representatives of the Staff Union Council.

Rome Statute of the International Criminal Court

Article 36 (Qualifications, nomination and election of judges)

8. (a) The States Parties shall, in the selection of judges, take into account the need, within the membership of the Court, for:

(i) The representation of the principal legal systems of the world;

(ii) Equitable geographical representation; and

(iii) A fair representation of female and male judges.

Article 44 (Staff)

2. In the employment of staff, the Prosecutor and the Registrar shall ensure the highest standards of efficiency, competency and integrity, and shall have regard, *mutatis mutandis*, to the criteria set forth in article 36, paragraph 8.

131. The ASP has also consistently emphasized the principle of equitable geographical representation through its annual resolutions. In 2025, the ASP reaffirmed this principle, recalling the principles of equitable GRGB in the recruitment of staff, while also underlining that multilingualism contributes to the efficiency, effectiveness and transparency of the ICC's activities.

ICC ASP Resolution (ICC-ASP/24/Res.4)

2. Underlines the inherent value of multilingualism in promoting and preserving the diversity of languages and cultures and its contribution to efficiency, effectiveness and transparency in the activities of the Court, calls for greater emphasis to be placed on staff knowledge of the Court's official and working languages, as appropriate, and recalls the principles of equitable geographical representation and gender balance in the recruitment of staff, [...]

132. Accordingly, the ICC should make efforts to achieve its performance indicators related to geographical representation, including by actively recruiting staff from States Parties across a broad geographical distribution.
133. In this audit, the External Auditor reviewed whether the ICC had achieved the targets set in the 2023–2025 Strategic Plan for the number of under-represented and non-represented countries.
134. The review found that, for under-represented countries, the ICC recorded 31 countries in 2023 and therefore did not meet the target of 24 countries. However, this figure subsequently improved, decreasing to 30 countries in 2024 and 25 countries in 2025.
135. For non-represented countries, the ICC achieved the target of 53 countries in 2023. However, the number increased to 55 countries in 2024 and remained at that level in 2025, meaning that the original target of 53 countries was not met in those years.

Table 23. Comparison of Geographical Representation KPI Targets and Results

Category	2023		2024		2025	
	Target	Result	Target	Result	Target	Result
Under-represented	24	31	31	30	31	25
Non-represented	53	53	53	55	53	55

Source: Data submitted by the ICC

136. Accordingly, the External Auditor reviewed the implementation status of follow-up actions taken by the ICC to achieve diversity-related performance indicators, including those on geographical representation. The review found that, following the GRGB workshop, the ICC had initiated follow-up work, including the preparation of a GRGB Strategy Paper, which was intended to serve as a toolkit for actionable efforts but was still under consultation. However, a significant number of the proposed actions identified during the GRGB workshop remained pending implementation or subject to further discussion and feasibility assessment.
137. Specifically, the External Auditor reviewed the implementation status of 23 actions falling under the responsibility of the HRS, out of the 25 improvement actions included in the follow-up action plan to the 2024 GRGB workshop. The review found that one action, relating to the moratorium on the recruitment of non-State Party nationals, had been completed, while one action had been identified as not feasible at the time of review. The remaining 21 actions were in progress; however, for 16 of them, or 76 per cent, no clear framework had been established for managing implementation progress over the longer term, limiting systematic monitoring.³⁹
138. In particular, several actions were identified as still incomplete or requiring further specification. For example, the action to extend GRGB considerations to various contract types, including STAs, interns and visiting professionals (IVP), is linked to the amendment of the administrative instruction on staff selection and has therefore not yet led to specific institutional improvements. As the promulgation of the administrative instruction was postponed from the first quarter of 2025 to the first half of 2026, the implementation of this action was also delayed.

Table 24. Example of Pending GRGB Measure Related to Contractual Modalities

2024		2025		
Recommendation	Timeline and actions needed	Recommendation	Timeline and actions needed	Status – Dec 2025
• GRGB consideration could be strengthened for all contractual modalities, including STAs, IVPs, GS-staff and secondees.	• The new AI on Staff Selection will address this. Work is ongoing, and the promulgation is expected in Q1 2025.	• GRGB consideration could be strengthened for all contractual modalities, including STAs, IVPs, GS-staff and secondees, and clear guidelines could be adopted for that purpose.	• The new AI on Staff Selection will address this - work is ongoing. For IVPs – continuous effort.	• Work is ongoing, promulgation is expected in early 2026

Source: Reconstructed by the External Auditor based on data submitted by the ICC

139. Some recruitment-related measures that could have a direct impact on geographical representation also remain at the stage of further discussion. For example, the proposal to hold hiring managers accountable for recruitment decisions and to include their “hiring GRGB track record” as part of their performance appraisal cycle was scheduled to be addressed in 2025, but as of 2026 it is still marked as “to be further discussed.” In addition, the proposal to partially waive the bilingual requirement for external applicants who are nationals of non- and under-represented States Parties, under the condition of a commitment to

³⁹ The ICC commented that many of the actions discussed following the GRGB workshop were ongoing efforts for which fixed implementation timelines were not applicable, while some actions were not feasible. The External Auditor notes that, even in such cases, minimum management arrangements, including responsible owners, periodic review procedures and criteria for assessing progress or closure, are necessary for long-term monitoring.

intensive language training by the recruited person upon assuming their duties, also remains under further discussion, with its timeline changed from 2025 to 2026.⁴⁰

Table 25. Examples of Pending GRGB Measures Related to Recruitment Practices

2024		2025		
Recommendation	Timeline and actions needed	Recommendation	Timeline and actions needed	Status – Dec 2025
• Hiring managers could be held accountable for recruitment decisions and their "hiring GRGB track record" could form part of their performance appraisal cycle.	• Work to be added to the programme of The Staff Wellbeing and Engagement Committee of the Court in 2025.	• Hiring managers could be held accountable for recruitment decisions and their "hiring GRGB track record" could form part of their performance appraisal cycle.	• Work to be added to the programme of The Staff Wellbeing and Engagement Committee of the Court.	• To be further discussed.
• The ICC could consider (partially) waiving the bilingual requirement (English and French) for certain positions in case of external applicants who are nationals of non- and under-represented States Parties.	• To be further discussed in 2025.	• The ICC could consider (partially) waiving the bilingual requirement (English and French) for certain positions in case of external applicants who are nationals of non- and under-represented States Parties, under the condition of a commitment to an intensive language training by the recruited person upon assuming their duties.	• To be further discussed in 2026.	• To be further discussed.

Source: Reconstructed by the External Auditor based on data submitted by the ICC

Finding: While improving geographical representation is a Court-wide responsibility that requires sustained, long-term efforts, the ICC had not yet established a clear long-term management and monitoring framework to coordinate relevant stakeholders, track the progress of follow-up actions from the GRGB workshop, and assess their contribution to diversity-related KPIs, including those on geographical representation.

3. Human Resources Evaluation and Development

3.1. Performance Appraisal System

140. The ICC conducts performance appraisals for staff in accordance with ICC/AI/2019/003.

141. Under section 7.4 of the Administrative Instruction, at the end of the performance appraisal cycle, the immediate supervisor evaluates the staff member's performance objectives and core competencies in consultation with the reviewer. Performance objectives are assessed on a four-point scale of "Exceeded," "Completed," "Partially Completed" and "Incomplete," while core competencies are assessed on a four-point scale of "Strength," "Capable," "Learner" and "Weakness." The evaluation is conducted as an

⁴⁰ HRS has indicated that both proposals were negatively assessed following internal discussions and were not included in the GRGB strategy currently under consultation.

absolute appraisal without any prescribed distribution ratio for specific ratings, and the final evaluation results are recorded in e-PAS.

Table 26. ICC Performance Appraisal Rating Scales

Assessment Area	Rating Scale (from High to Low)
Performance Objective	Exceeded → Completed → Partially Completed → Incomplete
Core Competencies	Strength → Capable → Learner → Weakness

Source: Reconstructed by the External Auditor based on data submitted by the ICC

142. In addition, section 8 of the same Administrative Instruction provides that, where performance shortcomings are not rectified through remedial measures, they are considered underperformance. In case of underperformance, the immediate supervisor, in consultation with the staff member and the reviewer, shall establish a written PIP. The PIP shall cover a period of six months. If underperformance is not rectified at the end of the PIP, a number of administrative actions may ensue, namely the withholding of a within-grade salary increment, the non-renewal of an appointment, the extension of the appointment for periods shorter than those indicated in section 2 of ICC/AI/2013/005, or the termination of the appointment for unsatisfactory service.
143. Meanwhile, section 7.7 of the same Administrative Instruction provides that the electronic performance appraisal form shall be accessible to the staff member, his or her immediate supervisor, the reviewer and the HRS. This indicates that HRS has access to Court-wide performance appraisal data and that, by using the data access provided under the Administrative Instruction, the ICC is able to compile and manage the distribution of performance ratings across the organization.
144. In this regard, the ICSC *Human Resources Management Framework* sets out, as broad principles of Performance Management, that performance management supports overall organizational objectives by linking individual work goals to the organization's mission and continuously guides staff towards the full development of competencies. It also presents, as indicators, that performance challenges are identified and addressed, and, as outcomes, that staff are recognized and rewarded according to their performance. In addition, it emphasizes the incentivization of very good performance as a key element.

Table 27. ICSC Framework on Performance Management

Category	Key contents
Broad principles	Performance management supports overall organizational objectives by linking individual work goals to the organization's mission and continuously guides staff towards the full development of competencies.
Outcomes	- Staff understand their role and requirements. - The review process is transparent, simple and well understood. - Staff perform effectively and efficiently. - The review process takes into account objectives agreed between the manager and the staff member. - Staff are recognized and rewarded according to their performance. - Continuous development.
Indicators	- Workplans are in place. - Very good performance is incentivized. - Performance challenges are identified and addressed. - Plans are in place for development and improvement (A/66/30, annex IV).

Source: Reconstructed by the External Auditor based on the ICSC human resources management framework

145. In light of the performance appraisal and access framework set out in the ICC Administrative Instruction and the performance management principles of the ICSC framework, the External Auditor considers that HRS should regularly compile and manage trends in the distribution of performance appraisal ratings, based on its access to e-PAS, and, on that basis, continuously identify both high and low performers in a balanced manner.
146. In particular, it is necessary to manage the system so that the differentiation between performance levels is not weakened by an overall tendency towards lenient appraisal. To this end, it is important to maintain a framework that enables underperformance to be appropriately identified. It would also be desirable to establish systematic performance improvement measures for identified underperformers, while developing a recognition and reward framework for high performers that corresponds to their outstanding performance.

3.1.1. Performance Rating Analysis and Identification of High and Low Performers

147. In this audit, the External Auditor reviewed how the ICC uses the results of performance appraisals. The review found that, although staff members and their immediate supervisors set objectives and competencies in each performance appraisal cycle and record the four-point evaluation results in e-PAS, the HRS does not aggregate or analyse the distribution of such ratings or their trends over time at the Court-wide level. This limitation was analysed as being attributable not only to the fact that this management activity had not been established as a settled practice at the ICC, but also to constraints related to data processing and analytical capacity.
148. In this regard, the ICC stated in its *Report of the Court on Human Resources Management* submitted to the ASP in 2023 (ICC-ASP/22/18) that it was continuing its efforts to identify high performers and low performers. This indicates that the ICC recognizes the importance of differentiating performance levels across the organization.
149. However, in actual practice, a system has not yet been sufficiently established to systematically identify and manage high performers and low performers across the organization based on performance results. In particular, specific criteria for differentiating performance levels have not yet been developed, such as defining staff members with “Exceeded” performance objectives or “Strength” competencies as high performers, and staff members with “Incomplete” performance objectives or “Weakness” competencies as underperformers.

Finding: Although the ICC accumulates staff performance appraisal results through the e-PAS, it does not regularly aggregate or analyse the distribution and trends of appraisal ratings at the Court-wide level. In addition, the ICC has not established specific criteria for differentiating high performers and low performers, which limits its ability to systematically identify and manage performance levels.

Recommendation 8. The External Auditor recommends that the ICC establish a system to regularly aggregate and analyse the distribution of performance appraisal ratings and manage trends over time.

3.1.2. Identification and Management of Underperformance

150. In this audit, the External Auditor comprehensively reviewed the practices and perceptions at the section level regarding the identification of and response to performance shortcomings and underperformance. The review found that, although the system for managing performance shortcomings and underperformance is relatively well established, including through the relevant Administrative Instruction, certain limitations exist in its actual operation. In particular, supervisors appeared to have a tendency to give relatively lenient appraisals even to staff members whose performance required improvement, and there appeared to be a certain reluctance to apply stricter appraisals.

151. Accordingly, the External Auditor reviewed the relevant data and found that, over the past five performance appraisal cycles, from 2020/21 to 2024/25, a total of eight staff members were classified as underperformers and became subject to a PIP. This accounted for approximately 0.22 per cent of the total number of staff members subject to performance appraisal during the same period, which was 3,650.

Table 28. Staff Subject to Performance Appraisal and PIP Implementation Status (2021–2025)

Appraisal Cycle	Staff Subject to Appraisal	Staff Placed on PIP	Ratio
2020/21	685	3	0.44%
2021/22	664	1	0.15%
2022/23	707	1	0.14%
2023/24	773	2	0.26%
2024/25	821	1	0.12%
Total	3,650	8	0.22%

Source: Data submitted by the ICC

152. This low rate does not necessarily mean that underperformance does not exist within the organization. Rather, it suggests that the substantive identification function may not be operating effectively due to the tendency of giving favourable ratings in performance appraisal.
153. In practice, the ICC provides online training on performance management, underperformance management and conflict management through the MyLearning and Blue Line platforms. However, systematic and tailored training or workshops to help mitigate the tendency toward leniency in performance appraisal and support supervisors in addressing underperformance more objectively and rigorously do not appear to have been sufficiently embedded. As a result, performance appraisal results may not fully reflect actual performance levels, and rating leniency may continue.
154. For reference, major international organizations such as the International Labour Organization (ILO) also recognize the psychological burden on managers and their tendency to avoid conflict when managing underperformance, and provide specialized guidance⁴¹ on techniques for “difficult conversations” to help them overcome these challenges.
155. Meanwhile, even in cases where staff members are identified as underperformers, there appears to be some room for improvement in the linkage between performance appraisal results and follow-up measures such as learning and competency development. While the ICC performance appraisal form includes a "Learning and Development Plans" section designed to connect performance objectives and competencies with learning and training plans, the formulation and implementation of such plans are not managed on a mandatory basis. As a result, learning and competency development for underperforming staff tends to be addressed on a case-by-case basis at the discretion of individual sections, with HRS playing a limited role of reviewing and providing support only when relevant information is shared with it.

⁴¹ To help managers overcome such psychological burden, the ILO provides structured and specialized guidance, including *A Difficult Conversation Checklist* (Annex 3) and *Tips for Handling Difficult Conversations* (Annex 4), in *Managing Underperformance: A Guide for Managers*, and also provides related training and workshops.

Figure 6. Learning and Development Plans Form in the ICC Performance Appraisal Form (Annex II)

LEARNING AND DEVELOPMENT	
Learning and Development Plans (make sure the actions are directly connected to the performance objectives and competencies)	

Source: Data submitted by the ICC

156. If competency gaps identified through performance appraisals are not sufficiently and systematically linked to education, training and competency development measures, support for staff members requiring performance improvement may vary depending on the judgement and response of individual sections, and the consistency and effectiveness of underperformance management may be limited. This may also not fully align with the ultimate purpose of the performance appraisal system, namely “optimizing performance at all levels.”

Finding: The ICC has established an underperformance management system. However, support for appraisers to mitigate the leniency tendency in performance appraisal has not been sufficiently embedded, and competency gaps identified through performance appraisals are not systematically linked to training and other improvement measures, limiting the effectiveness of underperformance management.

Recommendation 9. The External Auditor recommends that the ICC: (i) regularize training and workshops for appraisers to mitigate the tendency of giving generous ratings in performance appraisal; and (ii) link competency gaps identified through appraisal results to improvement measures, including training.

3.1.3. Recognition and Reward System for High Performers

157. In its 2023 *Report of the Court on Human Resources Management* (ICC-ASP/22/18), the ICC stated that it recognized the acknowledgement of outstanding performance as a priority for the ICC. Specifically, the report noted that the ICC would explore, through benchmarking with other similar organizations, non-financial rewards and recognition programmes that could increase high-performance engagement levels.
158. However, contrary to the report submitted to the ASP, as of 2026, a non-monetary recognition programme for high performers does not appear to have been implemented, and no specific future implementation plan appears to have been established at this stage. It was also confirmed that no formal feedback mechanism has been established to link outstanding performance results to specific HR actions or incentives, such as internal mobility, promotion, or secondment.
159. In the absence of a recognition system for high performers, performance appraisal results may not be sufficiently linked to motivation and career development opportunities, which may limit the development of a performance-oriented organizational culture.
160. For reference, major international organizations within the UNCS operate substantive recognition and reward systems for high-performing staff, as shown below.

Table 29. Examples of High Performer Recognition Programmes in UNCS Organizations

Organization	Key Features of Recognition and Reward Programmes for High Performers	Reference
UN Secretariat	- The <i>UN Secretary-General Awards</i> annually recognize personnel who exceed expectations or deliver high-impact, innovative projects. - Staff can nominate colleagues/projects in four categories: Collegiality, Innovation, Multilingualism, Workforce Diversity.	UNRIC (2022), UN Secretary-General Awards: Call for Nominations
UNICEF	<i>Humans of UNICEF</i> is a staff-led programme recognizing colleagues who embody core values (Care, Respect, Integrity, Trust, Accountability) and promote a positive work culture. - Staff can nominate peers/managers; nominees are reviewed monthly by a peer panel. Open to all staff regardless of contract type.	UNICEF's Journey of Organizational Transformation, 2020, p.7
UNDP	- Promotes and supports a high-performance culture, fostering a work environment that clearly links individual performance with career development. - Conducts organization-wide Talent Reviews to ensure alignment between performance and key talent management processes (selection, succession, mobility, and leadership development), and implements recognition programmes to promote innovation and excellence.	UNDP People for 2030: Phase 2 2022-2025, Focus Area 5; p.23

Source: Prepared by the External Auditor based on the references cited above

Finding: The ICC recognizes the need to acknowledge outstanding performance. However, it has not yet established a non-financial recognition and reward programme for high performers or a formal framework linking outstanding performance results to HR incentives, which limits the development of a performance-oriented organizational culture.

Recommendation 10. The External Auditor recommends that the ICC consider introducing a non-financial recognition and reward programme for high performers and establishing a framework to link outstanding performance results to HR incentives.

3.2. Learning and Development

3.2.1. Policy on the Learning and Development

161. Staff training is a strategic function that strengthens the core competencies of the organization and enables it to respond to a changing work environment. Considering that enhancing staff capabilities is a key element in fulfilling the ICC's mandate, the ICC should ensure that staff training and development activities are carried out in a systematic manner and are effectively aligned with its mandate and strategic objectives⁴².

162. Therefore, in order to ensure a systematic and consistent approach to staff training policies and operations, it is necessary to establish clear legal and administrative provisions governing staff training. Furthermore,

⁴² Reference to the Staff Training and Development Guidelines.

it would be desirable to strengthen the training and development function by centralizing it within the Registry (HRS), thereby enabling integrated Court-wide management of training and development, from needs assessment to post-training follow-up. This would help prevent duplication and waste of training resources, maximize cost-effectiveness, and raise and harmonize the overall level of organizational capability⁴³.

163. The External Auditor's analysis of the ICC's Learning and Development framework identified the following limitations.
164. At present, the ICC does not have a clear and formalized policy on Learning and Development, such as an Administrative Instruction or a systematic framework. As a result, it is difficult to expect a structured and consistent approach to staff training policies and operations. In addition, in HRS only two staff members are dedicated to the Learning and Development function, which is insufficient for performing a Court-wide strategic function.
165. In addition, although the ICC had a plan to establish a new Administrative Instruction on training⁴⁴, no draft had actually been prepared. As a result, the timeline for completing the development of the policy remained unclear, raising concerns that the absence of a formal training policy could persist over the long term.
166. The *Staff Training and Development – Guidelines*, established in 2006 as a practical reference, were of limited practical use, except for limited reference to general definitions. In practice, the development and delivery of training were carried out based on established practices rather than a formalized framework. General training was budgeted and administered by HRS, whereas technical training was planned and delivered by each organ and, within each organ, by individual sections, without overarching planning or management by HRS. As a result, there were significant disparities in the execution rates of technical training budgets across organs in 2025, with the Judiciary recording an execution rate of approximately 90.4 per cent and the OTP approximately 58.1 per cent. In some organs, the execution rate was relatively low, indicating that training was not being managed strategically at the Court-wide level.

<Case> Staff Development & Learning area

- According to the Guidelines (Article 3.1), the Training and Development Unit (TDU) under HRS is responsible for conducting an annual training needs assessment and developing training programmes. The Guidelines also provide that, in the case of technical training, TDU should select the final participants (Article 5.3) and receive reports on the results. However, no TDU currently exists; instead, ODU within HRS is responsible for general training, while technical training is administered by individual sections within each organ. Accordingly, the current arrangements differed from those set out in the Guidelines.

Finding: The ICC has not yet established an Administrative Instruction or a formal framework for the Learning and Development function, and HRS has limited overarching authority and dedicated capacity. As a result, training needs, budgets, delivery, and outcomes are not being managed systematically at the Court-wide level.

Recommendation 11. The External Auditor recommends that the ICC promptly establish a Court-wide Administrative Instruction on Learning and Development that clearly defines the scope and types of training, strengthens the authority and capacity of the Human Resources Section (HRS) as the responsible entity, and clarifies reporting arrangements, and put in place an integrated management system led by HRS to manage

⁴³ Reference to ICC-ASP/19/16, paras. 231–233; and R99 (The Experts recommend that the ASP, the CBF and the leadership of the ICC give serious consideration to strengthening the training and development function of the ICC, which again should be centralised in the Registry.)

⁴⁴ ICC-ASP/23/2, para. 37

Finding: The ICC has not yet established an Administrative Instruction or a formal framework for the Learning and Development function, and HRS has limited overarching authority and dedicated capacity. As a result, training needs, budgets, delivery, and outcomes are not being managed systematically at the Court-wide level.

training needs at the Court-wide level and analyse training outcomes.

3.2.2. Mandatory Training

167. Since November 2024, the ICC has been implementing mandatory training for all staff in accordance with section 4.2 of Administrative Instruction ICC/AI/2022/003, “Addressing Discrimination, Harassment, including Sexual Harassment, and Abuse of Authority” (hereinafter “ICC/AI/2022/003”). The training, titled “Creating a Harmonious Workplace and Addressing Prohibited Conduct at the ICC,” aims to maintain a workplace free of any form of discrimination, harassment, including sexual harassment, and abuse of authority, and to prevent such conduct.
168. According to section 4.2 of the above Administrative Instruction, the ICC is required to periodically provide regular training programmes for all staff members, non-staff personnel, such as Contractors, Individual Consultants and Interns, and Counsel, preferably to be conducted in person. Such training is intended to raise awareness of issues relating to diversity, respect and equality, and to build bystander intervention skills to enable participants to intervene when witnessing prohibited conduct.
169. In addition, according to section 4.5 of the Administrative Instruction, performance appraisals are required to reflect whether staff members have complied with mandatory training requirements.
170. Accordingly, the ICC is required to: (i) provide training programmes aimed at preventing and addressing discrimination, harassment, including sexual harassment, and abuse of authority to all staff members, non-staff personnel and counsel (hereinafter referred to as the “target participants”); (ii) ensure that the target participants complete such mandatory training on a periodic basis, for example annually or biennially, in order to maintain its effectiveness; and (iii) reflect completion of such training by staff members in performance appraisals in order to ensure compliance with mandatory training requirements.
171. Based on its analysis of the implementation status of the mandatory training programme titled “Creating a Harmonious Workplace and Addressing Prohibited Conduct at the ICC⁴⁵,” the External Auditor identified the following issue with regard to the scope of the target participants. The ICC is currently delivering the mandatory training in an online format⁴⁶; however, it has not made the training available to all members of the target participants. In particular, certain categories of non-staff personnel, such as Contractors and Individual Consultants, as well as Counsel, have not been granted access to the training programme. As a result, the training has not been provided to all persons subject to the mandatory training requirement.
172. With regard to training frequency, the ICC currently requires the mandatory training to be completed only once online: by February 2025 for existing staff members, and within three months of entry on duty for new staff members. No further completion of the training is required thereafter. As a result, the target participants are not required to complete the training programme on a periodic basis.
173. With regard to the linkage with the performance appraisal system, the ICC does not currently reflect the completion status of mandatory training in performance appraisals. As a result, as of 31 December 2025, 557 out of a total of 1,793 persons subject to the mandatory training requirement (approximately 31 per cent) had not completed the training.
174. As a result, the ICC’s mandatory training aimed at preventing and addressing discrimination, harassment (including sexual harassment), and abuse of authority only partially accomplishes the requirements set out in the relevant provisions with regard to the scope of participants, training frequency, and linkage with the performance appraisal system. Consequently, there are limitations in maintaining the continued

⁴⁵ Composed of three stages: (i) online training, (ii) toolkit, and (iii) workshop.

⁴⁶ The second stage (toolkit) and the third stage (workshop) are optional.

effectiveness of training and in effectively managing the completion of training.

Finding: The ICC provides mandatory training to prevent discrimination, harassment, and abuse of authority. However, some personnel subject to the training requirement have not been granted access to the training, and the ICC has not established a system for periodic refresher training and linkage with the performance appraisal system. As a result, there are limitations in sustaining the effectiveness of the mandatory training and in managing training completion.

Recommendation 12. The External Auditor recommends that, with regard to the mandatory training under Administrative Instruction (ICC/AI/2022/003), the ICC: (i) grant access to the training programme, or provide equivalent in-person training, to non-staff personnel and Counsel who do not currently have access; (ii) require the training programme to be completed periodically; and (iii) reflect training completion in performance appraisals.

VI. Conclusion

175. The External Auditor conducted a performance audit of the ICC's human resources management framework, with the purpose of assessing whether it is appropriately designed and effectively operated in alignment with the ICC's strategic objectives and operational needs. The audit observed that the ICC has made efforts to manage its diverse international workforce within an established administrative and legal framework. At the same time, the audit identified several areas requiring improvement, including HR strategy and KPIs, SWP, recruitment processes, GRGB, internal mobility, performance appraisal, and learning and development. The External Auditor expresses appreciation for the cooperation of the ICC's staff and hopes that the findings and recommendations in this report will contribute to strengthening the ICC's HRM framework and support the effective implementation of the ICC's mandate.

VII. Follow-up on previous recommendations

176. The External Auditor reviewed the implementation status, as at June 2026, of 34 recommendations that had been raised in previous performance audit reports and were not classified as “implemented” as at June 2025. These 34 recommendations include three recommendations made by the previous External Auditor (the French *Cour des comptes*).

No.	Ref.	Subject	Implemented	Partially Implemented	Not Implemented	Priority
1	HR-2018-1	Gender balance	X			Medium
2	BS-2018-8	Approval of Multi-year projects	X			Medium
3	BS-2018-9	Liquidity Shortfall		X (a), (b), (c)		Medium
4	TP-2022-1	Budget	X			High
5	TP-2022-2	Budget			X (Not Accepted)	High
6	TP-2022-4	Budget		X (a), (b)		Medium
7	TP-2022-6	Budget			X	High
8	TP-2022-7	Budget	X			Medium
9	TP-2022-8	GRGB	X			Low
10	TP-2022-9	GRGB	(a)	X (b)		Medium
11	LA-2023-1	Indigence Assessment	(a), (b)	X (c)		High
12	LA-2023-2	Indigence Assessment		X (a), (b)		Low
13	LA-2023-3	Indigence Assessment		X (a), (b)		Medium
14	LA-2023-6	Appointment of Counsel		X (a), (b)		Low
15	LA-2023-7	Appointment of Counsel	X			Low
16	CS-2024-1	Confidentiality	(c)	X (a), (b), (d)		High
17	CS-2024-2	Integrity	X			High
18	CS-2024-3	Availability		X (a), (b)		Medium
19	CS-2024-4	Information Security Policy		X		Medium
20	CS-2024-5	Data Classification Scheme		X (a), (b)		Low
21	CS-2024-6	Governance Body	(b)	X (a)		Low
22	CS-2024-7	Risk Management		X		Low

No.	Ref.	Subject	Implemented	Partially Implemented	Not Implemented	Priority
23	CS-2024-8	Vulnerability Prioritization		X		Low
24	TF-2025-1	Trust Fund Purpose Definition		X		Low
25	TF-2025-2	Donor Independence Safeguards	1), 2)	X 3)		Medium
26	TF-2025-3	Financial Implication Assessment	1), 2)	X 3)		High
27	TF-2025-4	Cost Plan Management			X	Low
28	TF-2025-5	Trust Fund Disclosure in PPB			X (Not Accepted)	High
29	TF-2025-6	Budget Charge Controls		X		Medium
30	TF-2025-7	PSC Waiver Criteria			X	High
31	TF-2025-8	PSC Allocation System			X	High
32	TF-2025-9	Trust Fund Reporting	X 1), 2), 3)			High
33	TF-2025-10	KPI Application in Trust Funds		X		Medium
34	TF-2025-11	Trust Fund Closure	X			Low

[HR-2018-1] Gender balance

177. **Recommendation:** In order to adequately address the issue of gender (im)balance at the ICC, the External Auditor recommends to the ICC, based on a study to be prepared by the Human Resources Section, to introduce additional measures aimed at increasing the representation of female staff, particularly at more senior levels, such as through a mentoring programme and the establishment of a Focal Point for Women.
178. **ICC Response:** The ICC stated that the mentoring programme and the Focal Point for Gender Equality have both been established, and submitted supporting references including the human resources management report, the ICC intranet page for the mentoring programme, and the Strategy on Gender Equality and Workplace Culture.
179. **EA Conclusion:** The External Auditor concludes that the recommendation has been implemented because both measures expressly contemplated by the recommendation are now in place and supported by documentary evidence. The evidence demonstrates not only that the programme and focal point exist, but also that they have been incorporated into the ICC's institutional human resources and gender equality framework.

[BS-2018-8] Approval of Multi-year projects

180. **Recommendation:** To ensure a streamlined coherence between approval of multi-year investment projects and related annual budgetary decisions by the ASP, the External Auditor recommends the ICC to submit to the ASP a proposal to extend its current IT strategy multi-year special account so that: It could be used as a multi-year multi-purpose mechanism allowing a carryover of unspent regular budget resources for a list of other multi-year significant investment projects approved by the ASP; and Adequate rules can be designed, guaranteeing a robust separation of the appropriations dedicated to each approved project and a yearly reporting to the ASP.
181. **ICC Response:** The ICC stated that, following the External Auditor's request, it submitted to the forty-

seventh session of the CBF a proposal to introduce financial regulation on multi-year projects through amendments to the ICC's Financial Regulations and Rules. The CBF considered the proposal and recommended that the Assembly approve the amendments, which were subsequently approved by the ASP at its twenty-fourth session.

182. **EA Conclusion:** The External Auditor concludes that the recommendation has been implemented. The recommendation required the ICC to establish a mechanism allowing multi-year projects to carry over unspent regular budget resources while ensuring separate appropriations and annual reporting. The amendments approved by the ASP in ICC/ASP/24/Res.4 establish the legal basis for multi-year projects and the carry-over of appropriations, thereby addressing both the mechanism and governance elements of the recommendation.

[BS-2018-9] Liquidity Shortfall

183. **Recommendation:** So as to avoid adverse financial and reputational consequences in case of a liquidity shortfall, the External Auditor recommends the ASP to delegate some responsibilities to the Bureau, in order: (a) To announce, in due time (i.e., leaving a reasonable period, such as two/three weeks – needing to be more precisely defined – before the forecasted available cash only represents less than one standard month of payments), that the ICC will be exceptionally authorised to use the Contingency Fund, and/or, in case there is no sufficient cash available in the fund, to pre-negotiate a credit line; (b) To allow the ICC to effectively use either or both facilities only if and when the liquidity crisis becomes obviously unavoidable (for instance, when only one or two days of cash are left), this delay also needing to be very precisely defined in advance); and (c) To provide for an immediate reporting of the situation to the States Parties for both previous decisions.
184. **ICC Response:** The ICC stated that States Parties continue to consider liquidity through the Hague Working Group budget facilitation, and that the Assembly adopted measures in ICC-ASP/24/Res.4 to restore and review the Contingency Fund, use anticipated cash surplus where possible, and authorize exceptional resort to the Fund for business continuity purposes.
185. **EA Conclusion:** The External Auditor concludes that the recommendation remains partially implemented. The Assembly's decisions represent progress in strengthening liquidity arrangements, but the core elements of the original recommendation have not been fully addressed: responsibility has not been clearly delegated to the Bureau to announce and authorize the exceptional use of liquidity facilities under predefined triggers, nor has a pre-negotiated credit line or equivalent mechanism been established for a severe liquidity shortfall.

[TP-2022-1] Budget

186. **Recommendation:** The External Auditor recommends the ICC to conduct a study to improve the relevancy and transparency of the GTA budget, which would include reviewing the necessity of long-term vacant GTA positions, without limiting the ICC's ability to address fluctuating staffing needs.
187. **ICC Response:** The ICC stated that it reviewed the necessity of GTA positions in the context of the preparation of the 2026 Programme Budget. GTA positions that were no longer needed were discontinued, positions with recurring needs were proposed for conversion to established posts, and new or vacant GTA positions were assessed individually and budgeted for reduced periods rather than automatically for twelve months.
188. **EA Conclusion:** The External Auditor concludes that the recommendation has been implemented. The supporting information confirms that a holistic review of GTA positions was carried out and that the 2026 budget reflects the expected period of need, including the use of six-month budgeting where appropriate. Although the supporting documents did not identify detailed justifications for every continuing post, the evidence shows that the ICC moved away from the previous practice and introduced a more position-specific assessment of continued need and funding requirements, which addresses the substance of the recommendation.

[TP-2022-2] Budget

189. **Recommendation:** The External Auditor recommends the ICC to determine whether it is necessary to apply standard vacancy rates to GTA positions that have been extended beyond the calendar year, as the CBF recommended in 2014, to ensure that the level of funding for GTA reflects the staffing demands accurately.
190. **ICC Response:** As at 31 December 2024, the ICC responded to the recommendation as “N/A, as not suitable for the Court”. As at 31 December 2025, the ICC stated, in relation to the recommendation, that it had reviewed GTA positions during the preparation of the 2026 Programme Budget, discontinued positions no longer needed, proposed recurring needs for conversion to established posts, and budgeted new or vacant GTA positions for reduced periods where appropriate.
191. **EA Conclusion:** The External Auditor concludes that the recommendation is not implemented because it was not accepted by the ICC. Although the ICC reviewed the operational need for GTA positions and adjusted some budget assumptions, the recommendation specifically required the ICC to determine whether a standard vacancy rate should be applied to GTA positions extending beyond the calendar year. The ICC continued to treat the recommendation as unsuitable for its budgetary practice, and therefore the substance of the recommendation has not been implemented.

[TP-2022-4] Budget

192. **Recommendation:** The External Auditor recommends the ICC to: a) Establish a plan either to include the existing GTA category “B” and “C” positions in the Proposed Programme Budget or to discontinue them after reviewing their operational needs and submit the plan to the CBF and ASP for approval, while providing the CBF and ASP with progress reports every year; and b) Refrain from the practice of creating or continuing “unapproved” GTA positions (category “B” and “C” positions) in the future and use STAs instead to address staffing needs of less than a calendar year that are unexpected or unforeseen when the budget is proposed.
193. **ICC Response:** The ICC stated that Category B and C GTA positions are created in response to unforeseen operational needs during the active budget year, are periodically reported to the CBF, and are reviewed individually in the context of budget proposals, with positions no longer needed being discontinued.
194. **EA Conclusion:** The External Auditor concludes that the recommendation is partially implemented. The ICC has taken steps to review and report GTA positions, and this supports some progress. However, the evidence does not show that a formal plan has been established either to include existing Category B and C positions in the Proposed Programme Budget or to discontinue them after an operational needs review and submit that plan for CBF and ASP approval. The ICC’s continued reliance on in-year creation and periodic reporting does not fully satisfy the governance and approval mechanism required by the recommendation.

[TP-2022-6] Budget

195. **Recommendation:** The External Auditor recommends the ICC to implement the reform of the GTA policy proposed in 2015 and 2017, and promulgate an Administrative Instruction on duration and extension of Fixed-Term Appointments funded against GTA.
196. **ICC Response:** The ICC stated that the matter will be addressed as part of a broader contractual framework review and that the status of the recommendation remains unchanged.
197. **EA Conclusion:** The External Auditor concludes that the recommendation is not implemented. The recommendation required implementation of the GTA policy reform proposed in 2015 and 2017 and promulgation of an Administrative Instruction on the duration and extension of GTA-funded Fixed-Term Appointments. The ICC’s response refers to future consideration within a broader review, but does not provide evidence that the reform has been implemented or that the required Administrative Instruction has been issued.

[TP-2022-7] Budget

198. **Recommendation:** The External Auditor recommends the ICC to: a) Report annually the list of vacant positions covered by STA to the CBF, in order to ensure that the STA positions are not maintained longer than the duration needed to fill vacant positions or replace the staff on extended leave; b) Report to the CBF the list of STAs that were exceptionally extended beyond one year; and c) Refrain from the practice of extending Short-Term Appointments beyond one year without justifiable reasons for extension set out in the Administrative Instruction on Short-term Appointments.
199. **ICC Response:** The ICC stated that it periodically reports STA appointments to the CBF, that the STA list distinguishes STAs covering established posts from STAs performing other functions, and that the list includes contract start and end dates. The ICC also noted that the CBF has not requested additional information.
200. **EA Conclusion:** The External Auditor concludes that the recommendation has been implemented. The information now reported to the CBF enables identification of the function of STA appointments and their contract periods, which addresses the purpose of preventing STAs from being maintained longer than necessary. In addition, the ICC's reporting of STAs extended beyond one year and the absence of further CBF requests support the conclusion that the reporting-related aspects of the recommendation have been fulfilled.

[TP-2022-8] Geographical Representation and Gender Balance (GRGB)

201. **Recommendation:** The External Auditor recommends the ICC to include professional staff in approved GTA positions when setting targets for geographical representation and report to ASP the progress to be made in geographical representation based on the comparison to the targets if GTA positions are operated for the multi-year service period as they are today.
202. **ICC Response:** The ICC stated that it discussed the inclusion of professional staff in approved GTA positions during the 2023 GRGB workshop, reported geographical representation for GTA positions to the CBF, and included indicators covering established posts, GTAs and STAs in the Strategic Plan 2026–2029 KPIs.
203. **EA Conclusion:** The External Auditor concludes that the recommendation has been implemented. The ICC has moved beyond preliminary discussion by incorporating GTA-related geographical representation into reporting and by reflecting EPs, GTAs and STAs in the relevant strategic indicators. These measures address the recommendation's objective of ensuring that long-serving professional staff in approved GTA positions are considered when monitoring and reporting progress on geographical representation.

[TP-2022-9] Geographical Representation and Gender Balance (GRGB)

204. **Recommendation:** The External Auditor recommends the ICC to: a) Compose panel striving for diversity of regions, where possible; and b) Strive to achieve meaningful outcomes toward the equitable geographical representation by employing various methods, such as establishment of rules to prioritise candidates from non- and under-represented States Parties in the recommendation process by hiring managers in response to requests for candidates to be appointed from rosters.
205. **ICC Response:** The ICC stated that recommendation (a) has been implemented and recommendation (b) remains partially implemented. It referred to the ASP moratorium on recruitment of nationals of non-States Parties to professional staff posts at P-1 to P-5 and Director levels, and stated that the staff selection policy is expected to be promulgated in 2026.
206. **EA Conclusion:** The External Auditor concludes that the recommendation is partially implemented. The evidence supports implementation of the panel-composition aspect, as the ICC has taken steps to consider diversity in recruitment panels. However, meaningful and systematic prioritisation of candidates from non- and under-represented States Parties still depends on the finalisation and promulgation of the staff selection policy. Until that policy is issued and its operation can be reviewed, the second part of the recommendation remains only partially implemented.

[LA-2023-1] Indigence Assessment

207. **Recommendation:** The External Auditor recommends the ICC to prepare measures to ensure the following principles are upheld while ensuring the protection of defendants' rights under the Rome Statute guaranteed and without compromising the expeditiousness of the trial: a) Individuals seeking legal assistance must apply for legal aid in order to be eligible for legal aid; b) All legal aid, including provisional ones, should be subject to the legitimate decision-maker; and c) When reliable indigence assessment results come out, they should be taken into account when making legal aid decisions.
208. **ICC Response:** The ICC stated that recruitment of the Indigence Assessment Officer is still ongoing and therefore the recommendation remains partially implemented.
209. **EA Conclusion:** The External Auditor concludes that the recommendation is partially implemented. The principles relating to legal aid applications and decision-making have been addressed to a certain extent, but the practical use of reliable indigence assessment results still depends on the recruitment and functioning of the Indigence Assessment Officer. Because the financial investigation process after that recruitment has not yet been reviewed, the External Auditor cannot conclude that the recommendation has been fully implemented.

[LA-2023-2] Indigence Assessment

210. **Recommendation:** The External Auditor recommends the ICC to: a) Establish a verification process for indigence assessment; and b) Clearly identify the department responsible for supervising the RFI's indigence assessment work in the Registry.
211. **ICC Response:** The ICC stated that the recommendation is linked to the recruitment of the Indigence Assessment Officer, who will advise on and implement the verification process once in post.
212. **EA Conclusion:** The External Auditor concludes that the recommendation is partially implemented. The ICC has identified the intended mechanism and responsible role, but the verification process for indigence assessment has not yet been demonstrated in practice. Since implementation depends on the Indigence Assessment Officer being recruited and assuming the relevant responsibilities, the recommendation remains partially implemented.

[LA-2023-3] Indigence Assessment

213. **Recommendation:** The External Auditor recommends the ICC to: a) Establish clear administrative procedures and division of tasks for the recovery of overpaid legal aid funds; and b) Promptly inform any defendants found to have received legal aid despite having assets and solicit their opinion, and actively pursue measures to recover overpaid legal aid funds by promptly requesting the Chamber or the Presidency for a recovery order if the defendant appeals.
214. **ICC Response:** The ICC stated that this recommendation is connected to the recruitment of the Indigence Assessment Officer, and noted that in some cases the Defence has been asked to confirm whether clients' financial circumstances have changed.
215. **EA Conclusion:** The External Auditor concludes that the recommendation is partially implemented. The ICC's *ad hoc* requests for confirmation of financial changes indicate limited progress, but they do not amount to clear administrative procedures or a defined division of tasks for recovering overpaid legal aid funds. As the procedures and the role responsible for verifying indigence remain dependent on the ongoing recruitment of the Indigence Assessment Officer, full implementation has not been achieved.

[LA-2023-6] Appointment of Counsel

216. **Recommendation:** The External Auditor recommends the ICC to: a) Implement monitoring the process for confirming availability to ensure that every counsel candidate is contacted; and b) Find a way to ensure that the contact information of counsel candidates in the List of Counsel is periodically updated to provide candidates with a fair opportunity to practice counsel.

217. **ICC Response:** The ICC stated that work remains ongoing, including discussions on a cooperation framework with the International Criminal Court Bar Association (ICCBA) and amendments to the legal framework concerning the updating of counsel contact information.
218. **EA Conclusion:** The External Auditor concludes that the recommendation is partially implemented. The ICC has taken steps to maintain and update contact information and to contact counsel candidates, but the cooperation framework and legal amendments that would make the process more systematic and enforceable are not in place. The recommendation therefore remains partially implemented until those safeguards are finalized and applied.

[LA-2023-7] Appointment of Counsel

219. **Recommendation:** The External Auditor recommends the Registry to, as a standard item in its reports on legal representation of LRV to Chambers, provide relevant options alongside their financial implications for the ICC's budget as far as these can be calculated.
220. **ICC Response:** The Registry stated that, when reporting to Chambers on the legal representation of victims, it includes relevant information on financial implications for the ICC's budget to the extent such implications can be calculated. It further stated that this practice was applied in the Duterte case, where information on legal aid implications was included in Annex I to the Registry Report on Legal Representation of Victims dated 1 September 2025.
221. **EA Conclusion:** The External Auditor concludes that the recommendation has been implemented. Although the Registry does not present a direct cost comparison between external and internal counsel, it provides estimated costs for external counsel by complexity level and presents remuneration by step, which enables Chambers to understand the financial implications and to make an indirect comparison with internal counsel costs. On that basis, the Registry now provides the type of budget-relevant options and financial information contemplated by the recommendation.

[CS-2024-1] Confidentiality

222. **Recommendation:** The External Auditor recommends the ICC to take actions regarding control for ensuring confidentiality, such as: a) Consistently classify data of the ICC; b) Review privileged access rights according to defined criteria periodically; c) Ensure that strong authentication controls are implemented such as changing passwords in accordance with the ICC's policies; d) Implement data leakage prevention measures (*Redacted*).
223. **ICC Response:** The ICC reported no further updates on recommendations a) and b). For recommendation d), implementation remains dependent on a new solution following the system transition (*Redacted*).
224. **EA Conclusion:** The External Auditor concludes that the recommendation remains partially implemented: recommendation c) is implemented, while recommendations a), b) and d) remain pending full technical implementation and operationalisation.

[CS-2024-2] Integrity

225. **Recommendation:** The External Auditor recommends the ICC to take actions regarding control for ensuring integrity such as: a) Develop additional measures for control to prevent security attacks (*Redacted*); b) Ensure that appropriate endpoint monitoring solutions are installed (*Redacted*); c) Provide appropriate controls to protect against malicious software/viruses (*Redacted*); d) Review (*Redacted*) lessons learned from information security incidents; e) Maintain logs for an appropriate duration (*Redacted*).
226. **ICC Response:** The ICC stated that the remaining evidence for the relevant integrity control was provided during the follow-up process.
227. **EA Conclusion:** The External Auditor verified the evidence and concludes that the recommendation has been implemented.

[CS-2024-3] Availability

228. **Recommendation:** The External Auditor recommends the ICC to take actions regarding control for ensuring availability such as: a) Ensure that each organ collaborates with one another to develop comprehensive Business Continuity Plans and Disaster Recovery Plans; b) Consider the availability of external service users when calculating the availability metrics of system service.
229. **ICC Response:** The ICC reported no further updates other than maintaining the target completion date.
230. **EA Conclusion:** The External Auditor concludes that recommendations a) and b) remain partially implemented until finalised Business Continuity Plans and Disaster Recovery Plans documents and updated availability metrics are provided.

[CS-2024-4] Information Security Policy

231. **Recommendation:** The External Auditor recommends the ICC to promptly revise the high-level Information Security Policy to align with the latest international standards (*Redacted*).
232. **ICC Response:** The ICC stated that formalisation remains in progress, with some rework on the relevant information classification and security policies (*Redacted*).
233. **EA Conclusion:** The External Auditor concludes that the recommendation remains partially implemented pending formal issuance and confirmation of the final administrative guidance.

[CS-2024-5] Data Classification Scheme

234. **Recommendation:** The External Auditor recommends the ICC to: a) Expedite the revision process ensuring that data classification levels are (*Redacted*); b) Conduct staff training on the updated data classification methods upon completion of the revisions.
235. **ICC Response:** The ICC stated that formalisation remains in progress, with some rework on the relevant information classification and security policies (*Redacted*).
236. **EA Conclusion:** The External Auditor concludes that recommendations a) and b) remain partially implemented until the harmonised legal texts are issued and evidence of completed staff training is provided.

[CS-2024-6] Governance Body

237. **Recommendation:** The External Auditor recommends the ICC to: a) Make the IMGB actively fulfil its governance role in information security, for example, by reviewing policies for security (*Redacted*); b) Have the IMSS timely report information security-related issues to the governing body to ensure sharing and communicating of the issues among all organs of the ICC.
238. **ICC Response:** The ICC reported no further updates for recommendation a), while recommendation b) remains implemented (*Redacted*).
239. **EA Conclusion:** The External Auditor concludes that the overall recommendation remains partially implemented because the broader governance role under recommendation a) is still pending.

[CS-2024-7] Risk Management

240. **Recommendation:** The External Auditor recommends the ICC to define the ICC's risk appetite for non-strategic information security risks.
241. **ICC Response:** The ICC reported continued progress, with the target date maintained at Q4 2026.
242. **EA Conclusion:** The External Auditor concludes that the recommendation remains partially implemented until the risk appetite for non-strategic information security risks is formally finalised.

[CS-2024-8] Vulnerability Prioritization

243. **Recommendation:** The External Auditor recommends that the ICC to allocate sufficient priority and resources to address technical vulnerabilities (*Redacted*).

244. **ICC Response:** The ICC stated that it is continuing efforts to source appropriate solutions and services for vulnerability detection.
245. **EA Conclusion:** The External Auditor concludes that the recommendation remains partially implemented until the relevant technical vulnerabilities are resolved and the vulnerability management process is implemented.

[TF-2025-1] Trust Fund Purpose Definition

246. **Recommendation:** The External Auditor recommends that the ICC improve the management of trust funds by clearly redefining the purpose of the General Trust Fund (T000) in line with its current operational practices, and ensure that any future trust funds are established and managed with a clearly defined purpose from the outset.
247. **ICC Response:** The ICC stated that the General Trust Fund (T000) is being phased out, that separate trust funds such as T403 have been established for ASP sessions with clearly defined Terms of Reference, and that the remaining balance of T000 is still being discussed with the donor State.
248. **EA Conclusion:** The External Auditor concludes that the recommendation is partially implemented. The creation of new trust funds with clearly defined purposes is a substantive step toward improving trust fund management. However, the purpose of T000 has not been clearly redefined during the phase-out, and the use of its remaining balance has not yet been determined. Because the recommendation required both a clear redefinition of T000 and purpose-based management of future funds, implementation is incomplete.

[TF-2025-2] Donor Independence Safeguards

249. **Recommendation:** The External Auditor recommends that the ICC implement the following measures: 1) Establish a standardized procedure whereby all donors, at the time of trust fund establishment, are required either to submit a declaration explicitly stating that the contribution does not affect the independence of the ICC, or to include consistent independence safeguard clause in the contribution agreements concluded with the donors; 2) Review the independence safeguard clause in the ICC's standard agreement template to ensure that the scope of such safeguards does not vary across trust funds or donors, and, if necessary, expand its coverage so that it applies to all activities funded through the trust funds; 3) Develop formal criteria to enable the Registrar to make consistent determinations as to whether a proposed contribution may affect the independence of the ICC at the time of acceptance.
250. **ICC Response:** The ICC stated that Registry Legal Office (RLO) has developed a donor declaration on independence, updated the template agreement to include corresponding wording, and proposes similar wording when reviewing donor templates. The ICC stated that further actions relating to formal acceptance criteria are still being developed.
251. **EA Conclusion:** The External Auditor concludes that the recommendation is partially implemented. The donor declaration and updated agreement template demonstrate implementation of sub-measures 1) and 2), because they standardise safeguards that contributions do not affect the ICC's independence. However, sub-measure 3) requires formal criteria enabling the Registrar to make consistent determinations at the time of acceptance. Since those criteria have not yet been established, documented and applied, the recommendation remains partially implemented.

[TF-2025-3] Financial Implication Assessment

252. **Recommendation:** The External Auditor recommends that the ICC implement the following measures to enhance the objectivity and transparency of financial implication assessments of trust funds for the regular budget: 1) Establish clear criteria to enable consistent assessment of financial implications for the regular budget; 2) Revise the trust fund establishment proposal form, based on the above criteria, to require that the rationale for a "no financial implications" assessment be explicitly documented; 3) Establish internal control mechanisms to prevent additional use of the regular budget during trust fund operations, and, in cases where financial implication is unavoidable, implement procedures for retrospective reporting to the ASP.

253. **ICC Response:** The ICC stated that a model checklist for assessing financial implications has been developed, that the trust fund establishment form has been revised to require completion of that checklist by the originating office, and that procedures on exceptional resort to the regular budget will be addressed in the Administrative Instruction on trust funds.
254. **EA Conclusion:** The External Auditor concludes that the recommendation is partially implemented. The checklist and revised establishment form address sub-measures 1) and 2) by improving consistency and documentation of financial implication assessments. However, sub-measure 3) requires internal control mechanisms to prevent additional use of the regular budget and retrospective reporting to the ASP where such use is unavoidable. Because these procedures remain dependent on the future revision of the Administrative Instruction, the recommendation is not yet fully implemented.

[TF-2025-4] Cost Plan Management

255. **Recommendation:** The External Auditor recommends that the ICC ensure thorough preparation and management of trust fund cost plans to prevent any instances where cost plans are not established without reasonable justification.
256. **ICC Response:** The ICC stated that cost plan management will be addressed through the revision of the Administrative Instruction on trust funds, following initial benchmarking by the Finance Section and consultation led by OD-DMS.
257. **EA Conclusion:** The External Auditor concludes that the recommendation is not implemented. The response describes planned work but does not provide evidence that a requirement or control mechanism for preparing and managing trust fund cost plans has been established. Since the issue is still to be addressed through a future revision of the Administrative Instruction, the recommendation remains not implemented at this stage.

[TF-2025-5] Trust Fund Disclosure in PPB

258. **Recommendation:** The External Auditor recommends that the ICC establish measures to ensure that financial information on trust funds is adequately provided during the review process of the Proposed Programme Budget (PPB), enabling the ASP to make more comprehensive and accurate assessments when deliberating and approving the PPB.
259. **ICC Response:** The ICC rejected the recommendation. It stated that the External Auditor's finding and recommendation were based on an interpretation of the relevant legal framework that, in the ICC's view, was not fully accurate. In substance, the ICC did not accept that additional measures were required to present trust funds' financial information during the PPB review process in the manner recommended by the External Auditor. The ICC therefore disagreed with the recommendation and indicated that it had provided further observations on this matter in document CBF/48/10.
260. **EA Conclusion:** The External Auditor notes the ICC's position, including its disagreement with the interpretation underlying the recommendation. However, the External Auditor maintains that the recommendation has not been implemented. The purpose of the recommendation was to enhance the availability of trust fund financial information during the review of the PPB, so that the ASP could make a more comprehensive and accurate assessment when deliberating and approving the budget. Since the ICC did not accept the recommendation and did not provide an alternative measure addressing the underlying transparency concern, the External Auditor classifies the recommendation as not implemented (not accepted).

[TF-2025-6] Budget Charge Controls

261. **Recommendation:** The External Auditor recommends that the ICC implement internal control measures to help ensure that, except in unavoidable circumstances, programme expenditures related to trust funds are charged directly to the respective trust fund contributions, rather than relying on the regular budget.
262. **ICC Response:** The ICC stated that the Finance Section now requires requesting offices to provide detailed

justification and supporting rationale for each reclassification request, and that further actions are being under development.

263. **EA Conclusion:** The External Auditor concludes that the recommendation is partially implemented. The requirement for written justification and review of reclassification requests is a meaningful internal control over the cases identified during the audit. However, the broader framework to ensure that trust fund-related programme expenditure is charged directly to the relevant trust fund, except in unavoidable circumstances, has not yet been fully established and will be further addressed through the revision of the Administrative Instruction. Full implementation therefore remains pending.

[TF-2025-7] PSC Waiver Criteria

264. **Recommendation:** The External Auditor recommends that the ICC establish clear and objective criteria for the application of PSC waivers or reductions, including procedures for analyzing the financial implications for the regular budget.
265. **ICC Response:** The ICC stated that PSC waiver and reduction criteria will be addressed through the revision of the Administrative Instruction on trust funds, following initial benchmarking and consultation.
266. **EA Conclusion:** The External Auditor concludes that the recommendation is not implemented. The recommendation required clear and objective criteria, including procedures for analysing the financial implications for the regular budget. The ICC's response identifies a future revision process, but does not show that such criteria or procedures currently exist or are being applied. Therefore, the recommendation remains not implemented.

[TF-2025-8] PSC Allocation System

267. **Recommendation:** The External Auditor recommends that the ICC establish a PSC management system, including reasonable allocation criteria consistent with the definition of PSC, to ensure that indirect costs arising from trust funds are not passed on to the regular budget.
268. **ICC Response:** The ICC stated that PSC allocation issues will be addressed through the revision of the Administrative Instruction on trust funds, following initial benchmarking and consultation.
269. **EA Conclusion:** The External Auditor concludes that the recommendation is not implemented. The recommendation required a PSC management system with reasonable allocation criteria consistent with the definition of PSC, so that indirect costs are not passed on to the regular budget. The ICC has not yet established or applied such a system; it has only indicated that the matter will be addressed in a future revision. Accordingly, the recommendation remains not implemented.

[TF-2025-9] Trust Fund Reporting

270. **Recommendation:** The External Auditor recommends that the ICC implement the following measures regarding reporting on trust funds: 1) Enhance the visibility of newly established and closed trust funds in the financial statements and the Report on Activities and Programme Performance of the ICC by clearly distinguishing them from ongoing funds—for example, by marking them or listing them under separate headings—so that such changes can be easily identified without the need to compare with previous reports; 2) Clearly distinguish extrabudgetary accounts that are not trust funds from trust funds in reporting; 3) Include detailed account information by trust fund and PSC in the Report on Activities and Programme Performance of the ICC to enable States Parties to gain a more comprehensive understanding of the financial and operational status of each fund.
271. **ICC Response:** The ICC stated that the recommended changes have been made in the ICC Financial Statements for 2025 and in the Report on Activities and Programme Performance of the ICC for 2025, and provided copies to the External Auditors.
272. **EA Conclusion:** The External Auditor concludes that the recommendation has been implemented. The 2025 financial statements now identify trust funds established or closed during the year, present trust funds separately from extrabudgetary and special accounts, and include total Programme Support Costs. In

addition, the Report on Activities and Programme Performance of the ICC includes information that enables States Parties to better understand the financial and operational status of trust funds. These changes address all three sub-measures of the recommendation.

[TF-2025-10] KPI Application in Trust Funds

273. **Recommendation:** The External Auditor recommends that, in order to enhance the efficiency and cost-effectiveness of trust fund management, the ICC expand the use of existing trust fund cases where Key Performance Indicators (KPIs) are already applied.
274. **ICC Response:** The ICC stated that KPI-based performance evaluations are already conducted in many instances under donor agreements, and that expanding KPI requirements to short-term or small-scale trust funds may create excessive administrative burden. The ICC stated that thresholds for “short” and “small” trust funds will be considered in the revision of the Administrative Instruction.
275. **EA Conclusion:** The External Auditor concludes that the recommendation is partially implemented. The ICC has provided examples showing that KPIs are already used in some trust funds, and the External Auditor acknowledges that a uniform KPI requirement may be disproportionate for short-term or small-scale funds. However, the ICC has not yet defined thresholds or criteria for when KPI reporting should apply or be excluded. Until those criteria are established through the revised Administrative Instruction and applied in practice, the recommendation remains partially implemented.

[TF-2025-11] Trust Fund Closure

276. **Recommendation:** The External Auditor recommends the Court to consider including, in future agreements, provisions that clarify the handling of unspent balances after the operational period, particularly where donor consultation proves difficult, to facilitate the effective closure of trust funds.
277. **ICC Response:** The ICC stated that agreements concluded with donors are based on the outcome of negotiations between the parties, and that the wording of the provisions, including those on the disposition of unspent balances, reflects a common understanding. The ICC therefore considered this recommendation implemented.
278. **EA Conclusion:** The External Auditor concludes that the recommendation is implemented. Based on its review of the supporting documentation, the External Auditor confirmed that the ICC issued internal guidance to include standard provisions in donor letters regarding the return of unspent contributions, unless otherwise agreed by the ICC and the donor. The External Auditor therefore considers that the Court has established the relevant practice and framework for handling unspent balances.

VIII. Acknowledgements

279. The External Auditor wishes to extend his sincere appreciation to the staff members responsible for human resources management at the ICC — in particular the staff of the HRS — as well as to all other individuals who provided relevant assistance, for the cooperation and support demonstrated during the audit.

Appendix 1

Table 30. Coverage of ICSC Core HR Functions in Strategic Plans

13 Core HR Focus Areas (ICSC)	2023–2025 ICC / OTP / REG Strategic Plan	2026–2029 ICC Strategic Plan
1. Organizational Design & HR Planning	[Registry] Goal 2, Obj. 2.3	OTP Obj 3.3.1
2. Ethics/Standards of Conduct	[Court-wide] Goal 6, KPI 6.1, 6.2	Court-wide Goal 6 Court-wide Obj 6.1, KPI 2, 3 Court-wide Obj. 6.4. KPI 1, 4
3. Diversity & Gender	[Court-wide] Goal 8, KPI 8.1, 8.2, 8.3 [Registry] Goal 2, Obj. 2.1, KEY Activity 2.1.1, 2.1.1, KPI 18-21 [OTP] Goal 10, KPI 20	Court-wide Obj 6.2, KPI 1, 2 Court-wide Obj 6.4, KPI 2 Registry Obj 8.1.1, KPI 1 Court-wide Obj 8.1, KPI 2 Court-wide Obj 8.3, KPI 1, 2
4. Staff Representation and Staff Management Relations	N/A	N/A
5. Administration of Justice	[Registry] Goal 2, Obj. 2.4, KEY Activity 2.4.2, KPI 31	Registry Obj 6.1.1, KPI 1
6. Recruitment & Selection	[Registry] Goal 2, Obj. 2.3, KEY Activity 2.3.2, 2.3.3, KPI 27,	OTP Obj 3.3.1, KPI 1 Court-wide Obj 6.4, KPI 3
7. Performance Management	[Registry] Goal 2, Obj. 2.2 KPI 22, 23, 25	Court-wide Obj. 6.4
8. Mobility/Staff Deployment	[Registry] Goal 2, Obj. 2.3, KEY Activity 2.3.1, KPI 26	N/A
9. Staff Development & Learning	[Registry] Goal 2, Obj. 2.2, KEY Activity 2.2.1, 2.2.2, KPI 24	Court-wide Obj. 6.1 Court-wide Obj. 8.1 Court-wide Obj. 8.2
10. Staff Well-being&Duty of Care	[Court-wide] Goal 7, KPI 7.1, 7.2, 7.4 [Registry] Goal 1, Obj. 1.3, KEY Activity 1.3.2, KPI 7 [Registry] Goal 2, Obj. 2.3, KPI 28 [Registry] Goal 2, Obj. 2.4, KEY Activity 2.4.1, 2.4.3, 2.4.4, KPI 29, 30 [OTP] Goal 10, KPI 19	Court-wide Obj 6.1, KPI 4 Court-wide Obj. 6.3 Court-wide Obj 6.5, KPI 1, 2, 3
11. Compensation & Benefits	N/A	N/A
12. Contractual Arrangements	[Registry] Goal 2, Obj. 2.3, KEY Activity 2.3.4	N/A
13. HRM Information Systems	[Registry] Goal 1, Obj. 1.2, KEY Activity 1.2.2	Court-wide Obj. 3.3

Source: Reconstructed by the External Auditor based on the ICSC human resources management framework and ICC strategic plans

Appendix 2

Table 31. List of Survey- and Staff Perception-Based KPIs

Cycle	Category	KPI
2023–2025	Court-wide Strategic Plan	KPI 7.2. % of positive responses from Court staff to survey questions on "Employee engagement index"
		KPI 7.4. % of positive responses from Court staff to survey question "The ICC encourages me to suggest new and better ways of doing things"
	Registry Strategic Plan	KPI 7. % of positive responses from Registry staff to survey question "The ICC encourages me to suggest new and better ways of doing things"
		KPI 20. % of positive responses from Registry staff to survey questions on gender equality
		KPI 26. % of positive responses from Registry staff to survey questions on internal mobility
		KPI 29. % of positive responses from Registry staff to survey questions on "Employee engagement index"
		KPI 30. % of positive responses from Registry staff to survey questions on occupational health
	OTP Strategic Plan	KPI 19. Evolution of working climate measured through pulse surveys
2026–2029	Court-wide objective 6.1	KPI 3. % of positive responses from staff to the survey question: "The Head of Organ shows a strong commitment to ethical decisions and conduct."
		KPI 4. % of positive responses from staff to the survey question: "The ICC supports its staff in achieving a good work-life balance."
	Court-wide objective 6.4	KPI 2. Inclusion & Fairness Index from Staff Surveys
	Court-wide objective 6.5	ICC Staff Pulse and Engagement Survey Results on 3 questions: KPI 1. The ICC has an open and honest culture. KPI 2. I understand the vision and strategy of my Organ/Programme. KPI 3. The Director of my Division provides effective leadership.

Source: Reconstructed by the External Auditor based on data submitted by the ICC

Table 32. List of Implementation- and Participation-Based KPIs

Cycle	Category	KPI
2023–2025	Court-wide Strategic Plan	KPI 7.3. % of missions that comply with mission planning procedures
	Registry Strategic Plan	KPI 22: % of compliance with performance appraisals for Registry staff
		KPI 23: Number of performance conversations recorded in the system per Registry staff member
		KPI 24: % of Registry staff participating in training and development activities
		KPI 25: % of Registry staff at managerial level having completed the developmental 360 review
2026–2029	Court-wide objective 6.4	KPI 3. % of recruitment panels trained in bias mitigation (Bias-Free Recruitment Score).

Source: Reconstructed by the External Auditor based on data submitted by the ICC

Appendix 3

Table 33. Status of HR Dashboards and Automated Reports by Category

Category	Name of Reports / Dashboards	Numbers
Recruitment & Talent Acquisition	(1) Historical Metrics Dashboard*, (2) Hiring Process Progress Dashboard, (3) Talent Acquisition Intelligence Dashboard*, (4) Recruitment Plan (Budget)*, (5) Recruitment Plan*, (6) HR Recruitment Long List report, (7) Rosters, (8) Rosters for language staff	8
Workforce & Staffing Analytics	(1) Starters, (2) Turnover Reporting Tool, (3) Turnover Reporting Tool [JUD], (4) Turnover Reporting Tool [OTP], (5) Workforce Reporting Tool, (6) Movers, (7) 005 – Staff Count-Actual, (8) 006 – Staff Count – Budget, (9) 007 – Vacant Posts (Table), (10) 008 – Staffing Status with VR (Table), (11) SSA Consultants – List (Table), (12) STA (Table), (13) Staff Member by Age, (14) GTA – Regular Programme Budget	14
Diversity & Representation Analytics	(1) HR Analytics – State Party Report (incl. PI), (2) HR Analytics – State Party Report (ICC), (3) HR Analytics – State Party Report vs EU Comparison, (4) HR Analytics – State Party Report vs Worldwide, (5) HR Analytics – State Party Report vs Worldwide (Non-state), (6) Gender Balance Dashboard – On Track x Off Track, (7) Geographical Representation and Gender Balance Reporting Tool, (8) 001 – Geo Representation ICC Professional Staff, (9) 002 – Geo Representation by Grade Professional Staff, (10) 003 – Desirable Range by Country (Table), (11) 004 – Gender Balance by Grade per Organ (Table), (12) 009 – Geographical Representation of GTA, (13) Geographical Representation of Professional Staff	13
Performance & Organizational Management	(1) CoCo Summary Performance Report, (2) Performance Management Compliance Rates, (3) Performance Management Overall Rating (Table)	3
Leave & Wellbeing Analytics	(1) HRS SLWOP, (2) HR Analytics – ICC Public Sick Leave Rate, (3) Sick Leave Rate: All ICC, (4) Sick leave rate, (5) Emergency Leave Rate, (6) Sick Leave Conversion, (7) Sick Leave CSL per Category, (8) Sick leave PSL (Ageing Days)_v2, (9) Sick leave PSL (Ageing Days + Days per Leave), (10) HR Analytics – Sick leave rate- external auditor, (11) Sick Leave CSL Usage, (12) Sick Leave CSL Usage (No_Filter), (13) Sick Leave CSL Category (HR amendments)	13
Data Quality & HR Systems Monitoring	(1) SF Quality Assurance, (2) BPC Staffing List Comparison	2
Total		53

Source: Reconstructed by the External Auditor based on data submitted by the ICC

Notes:

1. Asterisk (*) indicates that the item is currently in development.
2. The categories have been reorganized by the auditor, based on data submitted by the ICC.

Appendix 4

Opinion of the Court on the External Auditor's Findings and Recommendations of the Final Version

Finding: Certain human resources management functions were not explicitly reflected in the ICC Strategic Plan; the continuity of HR-related Goals and KPIs across strategic cycles was not sufficiently ensured; and some HR-related KPIs were limited to specific organs or focused mainly on surveys and implementation status. As a result, there are limitations in systematically managing HR performance and system effectiveness across the ICC.

Recommendation 1. The External Auditor recommends that the ICC, with reference to the International Civil Service Commission (ICSC) framework and other relevant standards, strengthen its human resources management strategy framework by either establishing a stand-alone human resources management strategy or supplementing HR-related Goals and KPIs within the Court-wide Strategic Plan, in order to comprehensively reflect human resources management functions, ensure continuity of HR-related Goals and KPIs across strategic cycles, and enable key HR-related KPIs to be applied across the ICC.

Recommendation 2. The External Auditor recommends that the ICC supplement its existing HR-related KPIs, which are mainly survey- and participation-based, and introduce a balanced set of outcome-oriented quantitative indicators, in order to more objectively assess the performance and effectiveness of its human resources management systems.

Response and Observations by the ICC:

Recommendation 1: Accepted in principle.

The Court agrees with the objective of strengthening its strategic human resources management framework. While the recommendation refers to the International Civil Service Commission (ICSC) framework, it is noted that not all organizations within the United Nations Common System have adopted this framework as the basis for their human resources strategies. The Court further notes that its Strategic Plan 2026–2029 already incorporates many of the key elements reflected in the ICSC framework.

HRS will develop a standalone Human Resources Strategy aligned with the Court's Strategic Plan and institutional priorities. In addition, HRS has been strengthening the strategic HR framework through the development of SWP, job families, a skills-based job architecture and enhanced HR KPIs. The Court will determine the most appropriate governance mechanism for embedding these elements within its strategic planning framework.

Recommendation 2: Accepted in principle.

The Court agrees with the objective of strengthening outcome-oriented HR-related performance indicators to better assess the effectiveness of its human resources management systems. The Court notes that its existing KPI framework already includes a range of quantitative operational indicators, which will continue to be enhanced and complemented as the HR function and its supporting systems mature. HRS will continue to review and strengthen the existing KPI framework, including indicators relating to Strategic Workforce Planning, recruitment and other key HR processes, taking into account the availability, quality and maturity of relevant data.

The implementation and automation of additional HR-related KPIs will, however, need to be aligned with the Court's ongoing HR systems transformation and the capabilities of the future HR technology landscape. As new systems are introduced, the Court will progressively refine and expand its KPI framework to support more effective monitoring, reporting and informed decision-making.

Finding: The ICC has introduced the SWP function and developed a number of HR dashboards. However, the institutional foundation is not yet sufficiently in place, including the organizational design function, a skill-based job architecture, and a formal framework defining the roles, authority and procedures for the use of SWP. As a result, there are limitations in using SWP as substantive input in workforce- and budget-related decision-making processes. In addition, proactive responses to foreseeable vacancies, such as those arising from mandatory retirement, have not been sufficiently undertaken, creating a risk of future staffing gaps and operational disruption.

Recommendation 3. The External Auditor recommends that the ICC clearly establish the organizational design function and institutionalize a skill-based job architecture, so that Strategic Workforce Planning (SWP) can be developed based on systematic analysis of organizational functions, jobs and required competencies.

Recommendation 4. The External Auditor recommends that the ICC develop a formal Strategic Workforce Planning (SWP) framework or internal guidelines covering the roles, responsibilities, authority and procedures for the development, review and use of SWP, so that workforce planning does not remain limited to workforce status analysis but can be used as substantive input in workforce deployment and budget formulation decision-making.

Response and Observations by the ICC:

Recommendation 3: Accepted.

The Court agrees with the recommendation. The Strategic Workforce Planning function within HRS was established in 2022 and, since then, significant progress has been made through the Job Families initiative, including the development of skills-based Generic Job Descriptions and an ICC Skills Glossary. The establishment of an organizational design function remains an important longer-term objective and will be considered in light of institutional priorities and available resources.

Recommendation 4: Accepted.

The Court agrees with the recommendation. HRS has established the Strategic Workforce Planning (SWP) function and developed workforce dashboards and analytical tools. Work is underway to further formalize the SWP framework, including roles, responsibilities, processes and accountabilities for the development, review and use of SWP, to support a more consistent and forward-looking approach to workforce planning across the Court.

As an HR function, Strategic Workforce Planning supports management decision-making by providing workforce analysis and forward-looking insights. It is intended to inform workforce movements (including internal mobility where appropriate), succession planning and budget discussions.

Finding: The ICC calculated the recruitment duration KPI by including only cases for which both the vacancy announcement closing date and the approval date fell within the same financial year, and by calculating incomplete recruitment cases based on the elapsed days up to the end of the year. As a result, the KPI calculation values may not have fully reflected the actual recruitment duration, as long-duration recruitment cases could be excluded or the average recruitment duration could be shorter than the actual duration. In addition, the current Time-to-Hire indicator measures only the period from the closing date of the vacancy announcement to the date of recruitment approval. Accordingly, it may have limitations in capturing the full recruitment delay and long-term vacancy status from the occurrence of a vacancy to the actual start date.

Recommendation 5. The External Auditor recommends that the ICC: (i) clarify the calculation criteria for the recruitment duration performance indicator, including the treatment of incomplete recruitment cases and the inclusion of cross-year recruitments; and (ii) consider introducing a framework for calculating and managing, in parallel, a Time-to-Fill indicator that measures the entire period from the initial occurrence of a vacancy to the selected candidate's actual start date.

Response and Observations by the ICC:

Accepted in principle.

The Court agrees with the objective of strengthening recruitment performance measurement. The Court notes that HRS already produces a range of recruitment statistics and performance indicators, including Time-to-Hire and operational recruitment reporting, which support the monitoring of recruitment activities. HRS has also commenced a review of recruitment performance indicators following both internal and external audit recommendations. The methodology for calculating recruitment duration will be further refined, and additional end-to-end recruitment indicators, including Time-to-Fill, will be considered to provide a more comprehensive assessment of recruitment performance.

The implementation and automation of future recruitment KPIs will be aligned with the Court's ongoing HR systems transformation and the capabilities of the future HR technology landscape. As future HR technology solutions are identified and implemented, the Court will progressively review and enhance its recruitment reporting framework to support more comprehensive performance monitoring over the medium to longer term.

Finding: The ICC has made limited use of batch recruitment based on similar job families and has continued to operate primarily through separate recruitment procedures for individual vacancies. This may increase the recruitment workload and administrative costs, and may affect the efficient use of human resources.

Response and Observations by the ICC:

The Court acknowledges that batch recruitment may improve efficiency where multiple vacancies exist for similar functions. However, due to the highly specialized nature of many ICC positions and the operational requirements of individual organs, recruitment is frequently undertaken to fill individual vacancies rather than multiple positions simultaneously.

The Court has been strengthening the use of roster-based recruitment as an important mechanism for improving recruitment efficiency and reducing recruitment timelines where appropriate. In parallel, the ongoing Job Families initiative will further support the development of broader recruitment approaches, including enhanced roster management and other streamlined recruitment processes, where operationally feasible.

Finding: The ICC operates a roster system to support the filling of vacancies and the reduction of recruitment timelines. However, the ICC has not established a system to systematically compile and manage information on roster utilization and the status of roster operations, which has limited the effective use of the roster system.

Recommendation 6. The External Auditor recommends that the ICC establish an internal framework for systematically compiling and managing information on roster utilization through the development of an automated management system, with a view to ensuring the effective use of the roster system.

Response and Observations by the ICC:

Accepted in principle.

The Court agrees with the objective of strengthening the management and utilization of recruitment rosters. HRS has already developed a number of proposals to enhance roster management, including extending roster validity, introducing greater flexibility in roster management, expanding the use of rosters for Short-Term Appointments and strengthening roster management arrangements. In parallel, the ongoing Job Families initiative will further support the broader and more effective use of recruitment rosters by promoting greater consistency in job architecture and facilitating the identification of suitable candidates across comparable functions.

Subject to the necessary governance approvals, these measures are expected to strengthen the monitoring, management and effective utilization of recruitment rosters across the Court. The Court will also consider opportunities to further automate roster management as part of its broader HR systems transformation, subject to future system capabilities and institutional priorities.

Finding: The ICC recognized the need to promote internal mobility and pursued it as a strategic priority. However, as a formal definition and framework for internal mobility, a data management system categorized by type of movement, and follow-up implementation plans had not been established, the relevant policy remained at the level of a working-level draft, limiting the ICC's ability to use internal mobility as a means of enhancing organizational flexibility.

Recommendation 7. The External Auditor recommends that the ICC, with a view to promoting organizational mobility and flexibility on a Court-wide basis: (i) adopt a formal definition of internal mobility and establish a framework to further develop the policy; and (ii) designate clear policy ownership and establish an implementation plan to ensure the continued promotion and monitoring of the policy.

Response and Observations by the ICC:

Accepted.

The Court agrees with the recommendation. While a formal Court-wide internal mobility framework is still under development, internal mobility already takes place across the Court through a range of staffing arrangements, including the appointment of internal candidates through competitive recruitment processes and other workforce movements in accordance with the Court's regulatory framework.

The Court is undertaking an extensive review of its HR policy framework, of which the development of a Court-wide internal mobility policy will form part. In parallel, Strategic Workforce Planning initiatives will continue to support a more strategic and forward-looking approach to workforce planning. The Court will develop an internal mobility framework, clarify roles and responsibilities, and establish an implementation plan while balancing operational requirements and organizational priorities. This work will be progressed over the medium to longer term.

Finding: While improving geographical representation is a Court-wide responsibility that requires sustained, long-term efforts, the ICC had not yet established a clear long-term management and monitoring framework to coordinate relevant stakeholders, track the progress of follow-up actions from the GRGB workshop, and assess their contribution to diversity-related KPIs, including those on geographical representation.

Response and Observations by the ICC:

The Court acknowledges this finding. Improving gender and geographical representation remains a long-term institutional priority that requires sustained efforts across the Court. Significant work has already been undertaken, including the GRGB workshop, the development of follow-up actions, ongoing monitoring and reporting, and regular reporting to governance bodies and States Parties, including through established reporting mechanisms such as the Committee on Budget and Finance (CBF) and the Study Group on Governance (SGG).

Recognizing the need to further strengthen the strategic coordination and monitoring of these efforts, the Court has initiated work to develop a comprehensive GRGB Strategy. Building on the recommendations arising from the GRGB workshop and subsequent internal consultations, the strategy establishes a framework for prioritizing actions, clarifying responsibilities, monitoring progress and measuring results through defined performance indicators.

The strategy is currently being finalized and will be circulated Court-wide for consultation prior to its finalization and implementation. It is intended to provide a coherent strategic, governance and monitoring framework to support the sustained implementation of GRGB initiatives across the Court.

Finding: Although the ICC accumulates staff performance appraisal results through the e-PAS, it does not regularly aggregate or analyse the distribution and trends of appraisal ratings at the Court-wide level. In addition, the ICC has not established specific criteria for differentiating high performers and low performers, which limits its ability to systematically identify and manage performance levels.

Recommendation 8. The External Auditor recommends that the ICC establish a system to regularly aggregate and analyse the distribution of performance appraisal ratings and manage trends over time.

Response and Observations by the ICC:

Accepted in principle.

The Court agrees with the objective of strengthening the analysis of Court-wide performance appraisal data to support workforce planning, learning and development and organizational decision-making. The Court notes that performance appraisal completion rates are already monitored, and established processes are in place to address cases of non-completion and individual performance issues through the Court's performance management framework. While the Court's performance management framework is designed to support performance development rather than the categorization of staff into predefined performance groups, HRS will continue to review opportunities to enhance the aggregation and analysis of Court-wide performance appraisal data while ensuring appropriate safeguards for confidentiality and data protection.

The implementation and automation of enhanced performance reporting and analytics will be aligned with the Court's ongoing HR systems transformation and the capabilities of the future HR technology landscape. As future HR technology solutions are identified and implemented, the Court will progressively strengthen its performance analytics and reporting, subject to organizational priorities and available resources, to support more comprehensive organizational performance monitoring over the medium to longer term.

Finding: The ICC has established an underperformance management system. However, support for appraisers to mitigate the leniency tendency in performance appraisal has not been sufficiently embedded, and competency gaps identified through performance appraisals are not systematically linked to training and other improvement measures, limiting the effectiveness of underperformance management.

Recommendation 9. The External Auditor recommends that the ICC: (i) regularize training and workshops for appraisers to mitigate the tendency of giving generous ratings in performance appraisal; and (ii) link competency gaps identified through appraisal results to improvement measures, including training.

Response and Observations by the ICC:

Accepted in principle.

The Court agrees with the objective of further strengthening performance management through enhanced support for managers and closer alignment between performance management and learning and development. Over recent years, the Court has progressively strengthened its management development activities, and HRS has continued to scale up initiatives to support managers, including leadership development programmes. HRS is currently developing manager induction programmes, HR Clinics and other learning interventions designed to support managers in conducting effective, objective and consistent performance discussions and appraisals.

The Court also supports strengthening the systematic identification of competency gaps and their linkage to learning and development interventions. Subject to organizational priorities and available resources, HRS will continue to strengthen these linkages as part of the continuous enhancement of the Court's performance management and learning and development frameworks. The systematic analysis, reporting and management of appraisal outcomes and competency gaps will be further enhanced through the Court's ongoing HR systems transformation and the capabilities of the future HR technology landscape, enabling a more integrated approach to performance management, staff development and organizational capability.

Finding: The ICC recognizes the need to acknowledge outstanding performance. However, it has not yet established a non-financial recognition and reward programme for high performers or a formal framework linking outstanding performance results to HR incentives, which limits the development of a performance-oriented organizational culture.

Recommendation 10. The External Auditor recommends that the ICC consider introducing a non-financial recognition and reward programme for high performers and establishing a framework to link outstanding performance results to HR incentives.

Response and Observations by the ICC:

Accepted in principle.

The Court agrees that appropriately recognizing outstanding performance can support employee engagement and reinforce organizational values. The Court will consider opportunities to further strengthen non-financial staff recognition practices, taking into account organizational priorities, available resources and the Court's regulatory framework.

The Court notes that recognition and reward practices vary across organizations and that the benchmarking examples cited do not establish a consistent United Nations Common System approach to linking performance results to HR incentives. The Court will continue to benchmark practices and engage with organizations within the United Nations Common System to better understand the approaches adopted, their implementation and lessons learned. Any future consideration of recognition initiatives will be assessed in light of the Court's specific organizational context, regulatory framework, organizational priorities and available resources.

Finding: The ICC has not yet established an Administrative Instruction or a formal framework for the Learning and Development function, and HRS has limited overarching authority and dedicated capacity. As a result, training needs, budgets, delivery, and outcomes are not being managed systematically at the Court-wide level.

Recommendation 11. The External Auditor recommends that the ICC promptly establish a Court-wide Administrative Instruction on Learning and Development that clearly defines the scope and types of training, strengthens the authority and capacity of the Human Resources Section (HRS) as the responsible entity, and clarifies reporting arrangements, and put in place an integrated management system led by HRS to manage training needs at the Court-wide level and analyse training outcomes.

Response and Observations by the ICC:

Accepted.

The Court agrees with the recommendation. Over recent years, HRS has developed and implemented a range of Court-wide learning and development programmes and initiatives aligned with the Court's strategic priorities and organizational learning needs. HRS currently leads the identification of Court-wide organizational learning priorities and the preparation of Court-wide learning and development budget proposals in line with the Court's strategic priorities and established planning and budgeting processes, while individual organs and offices remain responsible for identifying and managing technical and functional learning requirements specific to their respective mandates.

The Court recognizes that the next stage is to further integrate the Court-wide learning and development initiatives led by HRS so that they are more closely aligned with the Court's strategic objectives. This will strengthen the strategic coordination of Court-wide learning and development while maintaining the responsibility of individual organs and offices for identifying and managing technical and functional learning requirements specific to their respective mandates.

As part of the broader review of the Court's Administrative Instructions and HR policy framework, the Learning and Development Administrative Instruction will be reviewed to further clarify roles, responsibilities and processes for learning and development. The implementation of this work will be progressed in phases over the medium to longer term, taking into account organizational priorities, available resources and implementation capacity.

Finding: The ICC provides mandatory training to prevent discrimination, harassment, and abuse of authority. However, some personnel subject to the training requirement have not been granted access to the training, and the ICC has not established a system for periodic refresher training and linkage with the performance appraisal system. As a result, there are limitations in sustaining the effectiveness of the mandatory training and in managing training completion.

Recommendation 12. The External Auditor recommends that, with regard to the mandatory training under Administrative Instruction (ICC/AI/2022/003), the ICC: (i) grant access to the training programme, or provide equivalent in-person training, to non-staff personnel and Counsel who do not currently have access; (ii) require the training programme to be completed periodically; and (iii) reflect training completion in performance appraisals.

Response and Observations by the ICC:

Accepted in principle.

The Court agrees with the objective of strengthening mandatory training and recognizes the importance of ensuring comprehensive access to mandatory learning programmes and maintaining awareness through periodic refresher training. HRS will continue to work with relevant stakeholders to expand access to mandatory training, review refresher training requirements and consider appropriate mechanisms for monitoring completion as part of the continuous enhancement of the Court's learning and development framework.

The Court notes that the current Administrative Instruction and performance management framework apply to staff members. Accordingly, implementation of elements of this recommendation relating to non-staff personnel and Counsel will require further consideration as part of the broader review of the Court's Administrative Instructions and HR policy framework. Any future expansion of mandatory training requirements and associated monitoring arrangements will be progressed over the medium to longer term, taking into account organizational priorities, available resources and implementation capacity.
