



Administrative Instruction – Instruction administrative

Ref. ICC/AI/2017/001

Date: 24 January 2017

**ESTABLISHMENT OF THE INFORMATION MANAGEMENT GOVERNANCE BOARD, ITS
COMPOSITION AND TERMS OF REFERENCE**

The Registrar, with the agreement of the President and the Prosecutor, pursuant to Section 3.2 of ICC/PRES/G/2003/001 (*“Procedures for the promulgation of administrative issuances”*), hereby promulgates the present Administrative Instruction:

Section 1

Definitions

For the purpose of this Administrative Instruction:

- 1.1 “IMGB” means the Information Management Governance Board;
- 1.2 “Information” means the data or content, in whatever form or shape, created or generated by the judicial and administrative processes of the Court;
- 1.3 “Information Management” means the application of processes and governance to ensure that the Information is managed throughout its lifecycle, including its use, archiving and destruction;
- 1.4 “Information Security” means the application of processes and governance to ensure the security of, and access to, Information created or received by the Court;

- 1.5 “Information Technology” means the tools and structured systems used to create, capture, manage and dispose of Information to support activities;
- 1.6 “Initiative” means the set of activities that require dedicated resources, including manpower, funding, software and hardware to deliver a specified outcome;
- 1.7 “Initiative Sponsor” means the representative from one of the Court’s organs who will submit an Initiative Proposal on behalf of the organ;
- 1.8 “Initiative Proposal” means the proposal submitted by the Initiative Sponsor to improve or support the processes in the Court. The Initiative Proposal shall outline the objectives, benefits, solution options and related implementation and maintenance costs;
- 1.9 “Governance Forums” means the following cross-organ multi-stakeholder forums established for policy dialogue on Information Technology and Information Management requirements:
 - 1.9.1 Judicial Technology Forum comprised of representatives from sections and units across the Court, who participate in the judicial proceedings or in the investigation activities and use the Court’s technologies. This forum, chaired by the Head of the Judicial Information Management Unit, Court Management Section, will develop the user requirements and provide assistance in the process of drafting the Initiative Proposals. The Investigation Division within the Office of the Prosecutor will be represented in this forum. With respect to preliminary examinations and investigations requirements, the related proposals will be submitted directly to the IMGB to ensure the required level of confidentiality.
 - 1.9.2 Administration Technology Forum comprised of representatives from sections and units across the Court, who perform administration functions, including but not limited to duties related to budget, finance and human resources. This forum, chaired by the ERP Systems Officer will develop the user requirements and provide assistance in the process of drafting the Initiative Proposals; and
 - 1.9.3 Information Management and Security Forum comprised of representatives from sections and units across the Court, who are responsible for Information Management and/or Information Security. This forum, co-chaired by the Head of Information Management Unit and the Head of Information Security Unit, will develop the user requirements and provide assistance in the process of drafting the Initiative Proposals.

- 1.10 “Enterprise Architect” means the staff member in the Information Management Services Section responsible for establishing the holistic view of the Court’s strategy, processes and Information to ensure that the needs of the Court, as a whole, are aligned with the Information Technology and Information Management;
- 1.11 “Total Cost of Ownership” means the estimated financial cost for the implementation and maintenance of a system, including but not limited to the costs incurred with (i) the purchase of the software and ongoing maintenance; (ii) the supporting hardware for all software components and related required upgrades; (iii) external consultancy services; and (iv) internal resources; and
- 1.12 “Return on Investment” means the period of duration of which, and the means in which, the cost to implement a system achieves returns via process efficiencies or other determined savings.

Section 2
Establishment of the IMGB

The IMGB is hereby established as the advisory board regarding the policies to be adopted by the Court in order to ensure an integrated approach in the process of managing Information and to optimise the Court’s investment in Information Management and Information Technology.

Section 3
Terms of Reference of the IMGB

- 3.1 The mandate of the IMGB is to provide recommendations to the Coordination Council in relation to Information Management and Information Technology strategy, project prioritization and resource allocation, including funding where it impacts more than one organ of the Court. In particular, the IMGB shall:
- 3.1.1. review and make recommendations regarding the establishment of Information Management and Information Technology strategic plans and a roadmap with a five-year planning horizon to ensure its consistency with the long-term strategic objectives of the Court, as a whole, and of each of its organs; such information shall be made

available to the appropriate internal stakeholders for the purpose of preparing the Court's annual budget proposal;

- 3.1.2 review and make recommendations regarding the establishment of Information Management and Information Technology strategic plans and roadmap with a two-year planning horizon to ensure its consistency with the medium-term strategic objectives of the Court, as a whole, and of each of its organs; such information shall be made available to the appropriate internal stakeholders for the purpose of preparing the Court's annual budget proposal;
- 3.1.3 review and make recommendations regarding policies, standard operating procedures and guidelines related to Information Management and development of systems that create and maintain Information;
- 3.1.4 request management reports on Court-wide matters of concern, including but not limited to Information Security incidents that do not contain confidential information, risk assessments, annual Court-wide technology expenditure and multi-year project status;
- 3.1.5 address issues regarding Information Management and submission of proposals to the Coordination Council for the resolution of any conflicts related thereto;
- 3.1.6 review and make recommendations regarding the Initiative Proposals submitted by the Governance Forums pertaining to matters under their mandate:
 - a) which exceed expenditure of € 200,000.00 in non-staff costs to build and maintain over a five-year horizon or impacts on staff costs in any section, unit or office within the Registry;
 - b) where the magnitude of the impact to the Court requires non-standard support for a period of five years or longer; or
 - c) pertaining to unplanned activities that require additional financial resources beyond the budget allocated to Information Management and Information Technology.
- 3.1.7 establish additional Governance Forums, as required, to provide support to the IMGB; and

- 3.1.8 submit proposals to the Coordination Council to amend the Terms of Reference of any of the Governance Forums.
- 3.2 Any decision or approval by the Coordination Council in relation to the recommendations and proposals submitted by the IMGB shall not represent, in any way or form, a waiver to the procurement exercises that are to be conducted for the acquisition of any goods, equipment, software, hardware or services.

Section 4
Composition

- 4.1 The IMGB shall be comprised of the following members:
- 4.1.1 the Director of Judicial Support Services, who will chair the IMGB;
- 4.1.2 one representative from the Presidency, at P5 level, to represent the strategic objectives and business requirements of Presidency;
- 4.1.3 one representative from the Chambers, at P5 level, to represent the strategic objectives and business requirements of the Chambers;
- 4.1.4 one representative from the Office of the Prosecutor, at the D or P5 level, to represent the strategic objectives and business requirements of the Office of the Prosecutor. At the discretion of the Office of the Prosecutor, and upon agreement of the Chairperson of the IMGB, one additional representative from the Investigation Division, the Prosecution Division, and the Services Section may be nominated.
- 4.1.5 one representative from the Immediate Office of the Registrar to represent the strategic business interests and requirements of the Registry;
- 4.1.6 the Information Security Officer, who shall provide technical advice regarding all matters pertaining to information security governance, including but not limited to policies, processes and technology. The Information Security Officer shall perform such advisory role in an independent manner, without any influence from the Chief of Information Management Services Section; and

- 4.1.7 the Director of the Division of Management Services, who shall ensure compliance with the regulatory framework of the Court and secure that the funding allocations comply with the applicable accounting standards.
- 4.2 For all IMGB members identified in Section 4.1, alternates at P5 level, where possible, shall be nominated.
- 4.3 The Chief of Information Management Services Section, or his or her alternate, shall provide technical and functional support for the presentation of the Initiative Proposals and the Information Management and Information Technology strategy and roadmap. The Chief of Information Management Services Section, or his or her alternate, shall serve in a non-voting capacity.
- 4.4 A staff member from the Office of the Director of the Division of Judicial Services shall serve as the IMGB Secretary and be responsible for drafting the minutes of the IMGB meetings, circulating them for signature and maintaining a permanent record of all minutes and supporting documentation. The Secretary is not a member of the IMGB and shall serve in a non-voting capacity.
- 4.5 All members, or their alternates, shall participate in the IMGB in a voting capacity.

Section 5 **Procedure**

- 5.1 The Chairperson of the IMGB will convene the meetings when deemed necessary and when requested by either the Coordination Council or a Head of organ of the Court.
- 5.2 A quorum of seven members, or their alternates, and the Chief of Information and Management Services Section, or his or her alternate, will be required for the IMGB to perform any of the functions set forth in Section 3 above, provided that the Registry, the Office of the Prosecutor, the Chambers and the Presidency are all represented.
- 5.3 The Initiative Proposals submitted to the IMGB, pursuant to Section 3, shall be drafted in consultation with the Enterprise Architect. The Initiative Proposals shall be submitted to the IMBG members, their alternates, and the Secretary at least three weeks prior the IMGB meeting.

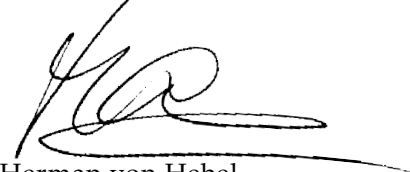
- 5.4 Initiative Proposals shall be developed in accordance with a standard template, and shall include the following elements:
- 5.4.1 description of the business problem or issue at stake;
 - 5.4.2 identification of the foreseen risks at different levels;
 - 5.4.3 proposals to address the business problem or issue at stake and to mitigate any potential risks;
 - 5.4.4 Total Cost of Ownership for the implementation and maintenance of the proposals submitted; and
 - 5.4.5 forecast benefits, including but not limited to the Return on Investment.
- 5.5 During the IMGB meetings, the Initiative Sponsor will present the Initiative Proposal and the Chief of Information Management Services Section will provide the necessary technical expertise where required to facilitate.
- 5.6 The recommendations of the IMGB to the Coordination Council shall be adopted, whenever possible, by consensus. If such consensus is not possible, both the majority's considerations and dissenting views shall be submitted to the Coordination Council for final decision.
- 5.7 Upon prior approval by the Chairperson, observers may attend the IMGB meetings when invited.
- 5.8 The Secretary shall submit, within one week from the date the IMGB meeting was held, the related minutes to all members or alternates who have attended the meeting, for their approval and signature. The Secretary shall keep and maintain a record of all Initiative Proposals submitted by the IMGB, the minutes of the meeting held and the decisions taken by the Coordination Council.

Section 6

Final Provisions

- 6.1 This Administration Instruction shall enter into force on 24 January 2017 and shall remain in force until reviewed or amended by another duly promulgated administrative issuance.

- 6.2 This Administrative Instruction shall supersede Administrative Instruction ICC/AI/2005/002 (*"Information Technology Systems Board (ITSB)"*), as of 24 January 2017.
- 6.3 This administrative instruction shall be reviewed one year after its date of issuance.

A handwritten signature in black ink, consisting of stylized, cursive letters that appear to read 'HvH' followed by a long horizontal flourish.

Herman von Hebel

Registrar