

**International Criminal Court**

**Registry Strategic Plan (2019-2021)**

**17 July 2019**

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## I. Context: the Court's strategic plan

1. This Registry Strategic Plan (2019-2021) is complementary to the strategic plan of the International Criminal Court ("the Court") and the strategic plan of the Office of the Prosecutor ("OTP"). It focuses on Registry-specific goals and strategies and sets out what the Registry will do to help the Court deliver on its overall goals and strategy. The Registry Strategic Plan will underpin the allocation of Registry resources in the Court's proposed budget for 2020 and subsequent years.<sup>1</sup>
2. The Registry is the Court's neutral administrative organ. It also houses several independent offices tasked with assisting counsel and parties engaged in proceedings before the Court. The Registry supports the Court's judicial activities through a broad range of services which include managing the Court's premises and records, providing security and facilitating the participation of victims and witnesses. The Registry also facilitates judicial cooperation and assistance and offers logistical and administrative support to defence and victims' counsel. The Registry ensures that the various participants in Court proceedings – including judges, the Office of the Prosecutor, the defence and victims' counsel – receive the technical, operational and linguistic support they need to conduct fair and expeditious judicial proceedings.<sup>2</sup> Without the Registry, the Court would not be able to perform its core judicial function.
3. The Registry is the Court's primary provider of services both at Headquarters and in situation countries. It is a key partner to all Court entities. As a result, the efficiency of its services has a direct impact on other major aspects of the Court's work, such as investigative activities and the operations of the Trust Fund for Victims. The Registry also has statutory responsibilities, in particular with regard to State cooperation and judicial assistance, which include executing requests from the Chambers and contacting States about the arrest and surrender of persons subject to arrest warrants. In addition, the Registry performs a wide range of administrative, corporate governance and management roles, for example by providing facilities for events and making safe travel arrangements. Last but by no means least, the Registry is responsible for keeping the general public informed of the Court's activities and conducting tailored outreach in communities affected by the crimes under the Court's jurisdiction.
4. The services of the Registry are crucial to the smooth functioning of the Court as a whole. The Registry's overarching objective is to provide the entire Court with the administrative and operational services, policies and strategies needed to successfully manage its human resources and staff well-being, coordinate its information systems, track and meet its budget and financial requirements, procure goods and services, run its facilities, arrange official travel and ensure safety and security, while centralizing an array of Court-wide executive functions such as risk management, reporting to governance bodies, audit and compliance.

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<sup>1</sup> International Criminal Court Strategic Plan (2019-2021) ("ICCSP"), paras. 5, 27, 45 and 46.

<sup>2</sup> ICCSP, Section VI, part A, Goal 1; OTP Strategic Plan (2019-2021) ("OTPSP"), para. 25.

To this end, the Registry remains focused on finding solutions to continuously improve and enhance its services and support to the Court.

## II. Three strategic priorities

5. In view of the essential services it delivers to the Court, the Registry must ensure that it employs the most productive and capable people available and that it strives for excellence in everything it does. To maximize productivity, the Registry will embark on a three-year programme aimed at increasing staff engagement.<sup>3</sup> In pursuit of excellence in all respects, the Registry will also commence a three-year programme of continuous improvement.
6. The Court is committed to improving geographical representation and gender balance among its staff.<sup>4</sup> As the largest employer of staff within the Court, the Registry must naturally prioritize this issue. Accordingly, the Registry will undertake a three-year programme of action to improve geographical representation and gender balance, focusing in the latter case mainly on higher-level posts.
7. The Registry's three priorities will therefore be:
  - Continuous improvement
  - Increasing staff engagement
  - Geographical representation and gender balance

### A. Continuous improvement<sup>5</sup>

8. Many good practices are already in place in the Registry, and many Sections have embraced a service delivery culture. The Court's Five-Year IT/IM Strategy outlined a road map of work for the SAP and Information Management Services Section teams;<sup>6</sup> what they have achieved is a good example of a centrally-driven improvement process across the Registry which is delivering increased automation and efficiency gains. However, there remain many opportunities to update policies, re-engineer processes and increase automation. If the pursuit of excellence in service delivery is to be mainstreamed across the Registry, we must embrace a sustained programme of continuous improvement. This will entail a sixfold approach:
  - Staff consultation – an internal task force has begun a Registry-wide consultation and has already facilitated more than 50 sessions across the Registry. This will provide a rich source of information to help us identify areas for future improvement.
  - We will use service delivery feedback sessions with Registry clients to identify issues and evaluate progress.

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<sup>3</sup> ICCSP, Section VI, part C, Goal 7; OTPSP, para. 45.

<sup>4</sup> ICCSP, Section VI, part C, Goal 8, paras. 30 and 34.

<sup>5</sup> ICCSP, Section VI, part C, Goals 6 and 9.

<sup>6</sup> OTPSP, para. 44.

- We will use data to help us better identify the cost and impact of processes and to assist us in identifying service delivery benchmarks and targets. A new set of performance indicators will be adopted as described in Section V.
  - Each Section will set annual service improvement priorities.
  - We will, as far as the resources of the Registry allow, fund a continuous improvement team to re-engineer business processes.
  - Reports will be made on the benefits delivered via continuous improvement initiatives.
9. The culture change that lies at the heart of the continuous improvement programme will be an ongoing process, requiring leadership and commitment from every staff member of the Registry. Bringing about this necessary change will be a long-term project, and our progress in achieving it will be reviewed annually as part of the update of the Strategic Plan. We will track the results of the programme and report on them.
10. Much efficiency will be achieved as a result of the incremental changes that come from continuous improvement. However, some services will require a more focused approach, described in Section VI, to find and implement particular efficiencies and cost savings in accordance with the culture of continuous improvement. The savings generated by continuous improvement will be reported under the efficiency plan also described in Section VI.

## **B. Increasing staff engagement<sup>7</sup>**

11. The Registry's primary function is to deliver services. It intends to automate as many of those services as possible, but at bottom it will always be reliant on the capabilities and commitment of its staff. As many studies have shown, there is a strong link between productivity and staff engagement.
12. The Registry's baseline rate of staff engagement – 64 per cent as measured by the 2018 Court-wide staff survey – is a good start but remains below the benchmark median observed at 10 comparable organizations. It also masks variations among the Sections of the Registry. One of the Registry's priorities is therefore to improve staff engagement, as measured by the staff survey, by bringing all Sections up to the benchmark.
13. Much of the work necessary to improve staff engagement will be done by the soon-to-be-established Court-wide Engagement and Well-being Committee<sup>8</sup> and will involve the conduct of periodic Staff Engagement Surveys.<sup>9</sup> The new leadership framework,<sup>10</sup> which is being developed and will be introduced in 2019, is a significant step towards building

<sup>7</sup> ICCSP, Section VI, part C, Goal 9.

<sup>8</sup> ICCSP, Section VI, part C, Goal 7; OTPSP, para. 45.

<sup>9</sup> ICCSP, para. 38.

<sup>10</sup> OTPSP, para. 39(a).

engagement and promoting efficiency, following the survey conducted at the end of 2018. Other priorities identified by the Court include:

- Focusing on gender equality as a cross-cutting topic<sup>11</sup>
- Staff selection and development
- Occupational health and work-life balance
- Ethics/standards of conduct

14. Staff engagement and continuous improvement complement each other. Staff who are engaged are more productive and efficient, and an organization that continually improves is one that empowers and engages its staff.

15. We will report annually on the actions we have taken to improve staff engagement. We intend to undertake another staff survey at the end of the Strategic Plan period, to measure our performance.

### **C. Geographical representation and gender balance<sup>12</sup>**

16. The current situation regarding geographical representation is not acceptable: 75 States Parties are either unrepresented (54) or under-represented (21). Some States Parties are heavily under-represented.

17. The failure to address this issue is affecting the confidence of many States Parties in the Court. In terms of gender balance, positions of P4 level and above continue to be occupied mostly by men.

18. The Registry is the largest employer of staff at the Court and, as such, has a particular responsibility to take action to address these imbalances, while ensuring that the Court continues to select candidates on the basis of merit and recognizing that the Court operates statutorily in two working languages.

19. The Court has made efforts to address these issues, but its efforts have proved insufficient. Therefore, in addition to existing measures, new initiatives will be taken, in accordance with the existing legal framework:

- In 2019, the Registry (in consultation with the other organs) will adjust the recruitment process so that greater emphasis is placed on the inclusion of shortlisted candidates from unrepresented and under-represented States Parties. Recruitment panels will recommend several eligible candidates, rather than a single candidate, for the appointing officer to choose from.
- In 2019 and subsequent years, all managers involved in the recruitment process will set objectives to ensure geographical representation and gender balance.

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<sup>11</sup> ICCSP, Section VI, part A, Goal 3.

<sup>12</sup> ICCSP, Section VI, part C, Goal 8, and paras. 30 and 34.

- In 2019 and 2020, the Registry will explore mechanisms for a more sustainable and systematic funding of placements of interns and visiting professionals from developing regions. It will also explore and propose modalities for implementing Junior Professional Officer (JPO) programmes for candidates from non- and under-represented States Parties.
- In 2019, a mentoring programme for women will be introduced as a pilot programme to be developed in subsequent years as part of the Court’s staff well-being framework.
- The Registry will publish (annually) the results of the Court’s recruitment activity in terms of geographical representation and gender balance.
- For States with the most glaring or excessive levels of under-representation, the Registry will implement specific targeted initiatives.
- The Registry will continue to review results and consider other approaches if necessary.

### III. Addressing strategic priorities: yearly objectives

#### A. Overarching enabling projects

20. The three overarching strategic priorities in this plan are designed to bring about the cultural change on which long-term efficiency depends. In 2019, we will lay the foundation for these long-term improvements. Each Division of the Registry will commit to a programme of efficiency and improvement. Most improvements will be specific to Divisions, but we also need to commence four Registry-wide enabling projects which are required to facilitate the necessary cultural change:

- Strengthening of the Registry Management Team (RMT) as the Registry’s highest-level forum for informing, advising and assisting the Registrar on strategic decisions, policy and major operational challenges.
- Performance management is an essential prerequisite to managing the changes required by this plan and establishing the cycle of “Plan-Do-Check and Act” on which all successful change programmes are based. Performance will be monitored through the newly created Registry Dashboard, which will include data such as indicators, risks and budget information, and the two sets of Key Performance Indicators (KPIs) described in Section V.
- Flexibility and mobility<sup>13</sup> of staff will be necessary if the Registry is to respond to changing workloads and priorities, and in order to promote staff development while benefiting from fresh ideas and perspectives.
- A strong culture of knowledge management will help facilitate flexibility and support a culture of continuous improvement. Service providers such as the Registry must have the ability to capture, manage and utilize knowledge and information to become more effective.

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<sup>13</sup> ICCSP, para. 20.

21. Divisions and Sections of the Registry, including the attached independent offices, will work collaboratively to complete their projects and achieve their objectives.
22. These four enabling projects are echoed in the Division objectives for 2019:

## **B. Alignment of Division objectives**

### **Division of Judicial Services (DJS)**

- a. Develop, agree and introduce a new legal assistance policy to modernize the Legal Aid Programme on the basis of experience and expert reports.
- b. In accordance with the agreed Five-Year IT/IM Strategy, in collaboration with the OTP:<sup>14</sup>
  - i. Develop, refine and introduce the Judicial Workflow Platform to bring about process improvements, allowing trial parties and participants to fulfil their disclosure obligations and process case material with significantly less effort.
  - ii. Continue improvements in long-term storage of digital and forensic evidence for trial parties and participants, leading to a reduction in processing and retrieval time.
  - iii. Strengthen the Court's information security profile, including via the implementation of a data-leak prevention system, an updated Information Security Management System and continued enhancement of the Threat Intelligence System.

### **Division of Management Services (DMS)**

- a. Develop and introduce a leadership framework for the Court as an essential foundation for staff engagement and continuous improvement.
- b. Continue the SAP programme and the review, streamlining and digitization of administrative processes.
- c. Keep the Court's risk management framework updated, with a particular emphasis on new and developing threats.<sup>15</sup>
- d. Develop a mobility framework to facilitate flexibility and staff development.<sup>16</sup>

### **Division of External Operations (DEO)**

- a. Increase the number of voluntary cooperation agreements and further develop the modalities of cooperation for the implementation of arrest warrants, in collaboration with the OTP.<sup>17</sup>
- b. Support the Presidency in promoting universality.<sup>18</sup>
- c. Develop and introduce a Court-wide communications strategy with the ultimate goal of obtaining and maintaining support from key stakeholders and the general public.<sup>19</sup>

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<sup>14</sup> OTPSP, para. 44.

<sup>15</sup> ICCSP, Section VIII; OTPSP, paras. 64-66.

<sup>16</sup> ICCSP, para. 20.

<sup>17</sup> ICCSP, Section VI, part B, Goal 4; OTPSP, paras. 30 and 31.

<sup>18</sup> ICCSP, paras. 33 and 34.

<sup>19</sup> ICCSP, para. 26; OTPSP, paras. 12 and 47.

- d. Devise and agree on a sustainable framework for the introduction, operation and closure of country offices, which will also require consultation and collaboration with the OTP.<sup>20</sup>
- e. Fully operationalize the country offices in Georgia and Mali.
- f. Finalize and roll out Registry-wide training on sexual exploitation and abuse.<sup>21</sup>
- g. Implement the new witness and victim threat and risk assessment model.
- h. Strengthen asset recovery capability within the Registry in collaboration with the OTP.<sup>22</sup>

#### Office of the Registrar

- a. Strengthen the strategic leadership of the Registry in accordance with this plan, through the RMT, by introducing a new Registry Dashboard based on KPIs.
- b. Streamline the process for issuance of Administrative Instructions, in agreement with the other organs of the Court.
- c. Prepare, together with the Victims Participation and Reparations Section (VPRS) and in consultation with the other organs of the Court and the Trust Fund for Victims (TFV), an Updated Victims Strategy including measurable and time-bound objectives.<sup>23</sup>
- d. Facilitate the framing of Registry Values with the participation of all Registry staff.<sup>24</sup>
- e. Devise a proposal for the organs of the Court to agree on an alternative dispute mechanism.
- f. Devise a new disciplinary process for the Court which harmonizes the role of the Independent Oversight Mechanism (IOM) with that of the Disciplinary Advisory Board and facilitates alternative dispute resolution.
- g. Develop and launch a knowledge-management strategy for the Registry.

## IV. The strategic planning process

23. The implementation of the Registry Strategic Plan is intended to span a three-year cycle.

### A. Year 1: Transition

24. Year 1 of the Registry Strategic Planning Process (2019) is a transitional year during which we will put in place the essential foundations for sustained progress in years 2, 3 and beyond.

### 25. Continuous Improvement

- The task force will complete its work to engage staff in identifying potential areas for improvement. The dashboard of KPIs will be agreed and incorporated into the Registry's management framework.

<sup>20</sup> ICCSP, Section VI, part B, Goal 10; OTPSP, para. 23.

<sup>21</sup> ICCSP, Section VI, part A, Goal 3.

<sup>22</sup> OTPSP, para. 16.

<sup>23</sup> ICCSP, Section VI, part A, Goal 2; OTPSP, paras. 34 and 36.

<sup>24</sup> ICCSP, para. 6; OTPSP, para. 3.

- The Knowledge Management Guide will be agreed and disseminated.
- The Business Process Re-engineering team (internal and external) will be identified.

#### 26. Staff Engagement

- The leadership framework will be agreed and disseminated across the Court and training in its use will be completed.
- Work will start on a mobility framework.
- Staff engagement will be included as an objective for all managers.

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

- The Court's recruitment process will be refocused to promote the inclusion of under-represented/unrepresented States on recruitment shortlists.
- Performance data on all recruitment activity and overall staff GRGB will be published.
- Specific targeted plans for the most under-represented States will be put in place.
- The mentoring programme for women will be in operation.
- The appointment of a focal point for women will be agreed among the organs of the Court.

#### 28. Strategic Planning

- The Registry Strategic Plan will be agreed as part of the overall alignment of the Court's strategic plans.
- Work in close cooperation with the TFV will take place to ensure that the respective strategic plans are aligned.
- Risk management will continue to develop and mature.
- Proposals will be made to further enhance the Court's IT governance to ensure that any proposed investment supports the Court's continuous improvement initiatives and efficiency targets.

### **B. Year 2: Cultural change process**

29. Year 2 (2020) will be the year in which the cultural change process begins in earnest.

#### 30. Continuous Improvement

- The Registry will conduct customer surveys for its key service delivery improvement programme.
- A directory of knowledge management sources will be published.
- The Business Process Re-engineering team will undertake an analysis of priority aspects of the continuous improvement programme. The first re-engineered processes will be in operation.
- Continuous improvement will be an objective for all managers and staff.

### 31. Staff Engagement

- The leadership framework will be integrated into recruitment and performance management.
- The mobility framework will be agreed and in operation.
- Improving staff engagement will be an objective for all managers and staff.
- The Court's new Engagement and Well-being Committee will have delivered a package of recommendations designed to improve staff engagement and address subjects such as harassment, stress reduction and secondary trauma prevention.

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

- A new policy on recruitment will be in operation, including refocused procedures to address GRGB.
- Specific targeted plans for all the most under-represented States will be in place.
- The GRGB data set will include trend analysis.
- Objectives to improve GRGB will be in place for all staff.
- A focal point for women will be identified and appointed.
- Training on unconscious bias will be provided.

### 33. Strategic Planning

- Strategic planning/risk management and performance management will now be integrated as part of a coherent business planning process.
- Efficiency targets will be an explicit part of the business planning process.
- Benefits achieved through IT investments will be reported on.

## **C. Year 3: Embedding cultural change**

### 34. Continuous Improvement

- Performance data will increasingly drive continuous improvement activity, supplemented by customer feedback and staff engagement.
- Key processes will have been re-engineered and automated as much as possible, with the help of the Business Re-engineering Team.

### 35. Staff Engagement

- Management will have implemented the agreed recommendations of the Engagement and Well-being Committee.
- Arrangements will be in place for the next staff survey to take place.

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

- Performance will be reviewed and shared with States Parties.

### 37. Strategic Planning

- The formulation of the 2022-2024 Registry Strategic Plan will commence.

- The IOM will be asked to conduct an evaluation of the progress achieved under the current plan at the beginning of the year to assist in the formulation of the next strategic plan.

## V. Key performance indicators<sup>25</sup>

38. Key performance indicators are a fundamental part of the culture of continuous improvement that the Registry intends to put in place. Registry performance data falls into two categories of indicators:

- A set of data at Court level
- A set of data for the services the Registry provides

39. Court-level performance data will measure performance in relation to the goals set out in the Court's strategic plan (2019-2021):<sup>26</sup>

- Judicial and prosecutorial performance goals
- Cooperation and complementarity goals
- Organizational performance goals

40. The Registry's service data will consist of performance indicators for each Section of the Registry, measuring the services it delivers. The data will be grouped according to the three Divisions of the Registry:

- DJS performance indicators will relate mainly to judicial and prosecutorial performance goals in the Court's strategic plan (2019-2021).
- DMS performance indicators will relate mainly to organizational performance goals in the Court's strategic plan (2019-2021).
- DEO performance indicators will relate mainly to cooperation and complementarity goals in the Court's strategic plan (2019-2021).

41. The Registry will publish an annual performance report containing all the data and an analysis.

42. Performance indicators will be reviewed and revised if necessary as part of the strategic planning process.

## VI. Efficiency plan

### A. Introduction

43. The performance indicators described above will be used to track improvements identified and delivered by the continuous improvement programme. These improvements will be integrated and reported on as part of the Court-wide report on savings and efficiencies in the Court's annual budget.

<sup>25</sup> ICCSP, Section VII; OTPSP, paras. 61-63.

<sup>26</sup> ICCSP, Section VI.

44. The Savings and Efficiencies exercise will use four official categories:
- (a) Savings
  - (b) Efficiencies
  - (c) Non-recurrent costs
  - (d) Additional cost reductions
45. Some services will require a more focused approach. The identifying characteristics of these services will be that:
- (a) They have an impact on efficiency across the Court.
  - (b) They are key Registry services in view of their impact on the overall efficiency of the Court's operations.
  - (c) They have been identified as key to mitigating high-level risks identified in the Court's risk management framework.
  - (d) They would benefit from a dedicated resource.

### **B. Focused approach**

46. A business process team consisting of Registry staff and external experts will be formed. The team will be funded by the Registry using savings and efficiencies achieved via continuous improvement and the redeployment of staff.
47. The team will carry out an initial study of the service in question and will recommend a preliminary efficiency target for the service.
48. The team will then undertake a more detailed study to identify the full cost, quality and time requirements of the service and perform a thorough analysis of the policies, processes and behaviours that drive the existing service.
49. The team will identify options to improve efficiency and recommend a preferred option on the basis of cost, quality and time. The team will reassess the preliminary efficiency target and set a confirmed efficiency target.
50. The team will initiate a project to achieve the chosen solution, deliver benefits and identify one or more new KPIs, including through benchmarking, to sustain performance.

### **C. Reporting**

51. The efficiencies achieved by the focused approach will be reported on as part of the report referred to in paragraph 43, above.

### **D. Management oversight**

52. In view of the importance of the services selected for a focused approach, the performance data on these services will be included in the Registry Dashboard.

## **E. Services selected for 2019-2021**

53. The following services have been selected for a focused approach under the current plan. Other services may be added as the Court's risk profile evolves.

- |                       |  |
|-----------------------|--|
| Court-wide services   | <ul style="list-style-type: none"><li>- Recruitment</li><li>- Procurement</li><li>- Travel</li><li>- Judicial workflow</li></ul>                           |
| Key Registry services | <ul style="list-style-type: none"><li>- Victim participation</li><li>- Protected witness and victim placement</li><li>- Support to Defence teams</li></ul> |