

AUDIT RECOMMENDATIONS

Audit of archiving and records management at ICTR

Para. no.	Recommendation	Critical ¹ / important ²	Accepted? (Yes/No)	Client comments ³
23	The Registrar of the Tribunal should assess what measures remain to be taken to finalize the transfer of archives to the Mechanism, with implementation timeline and include project status in semi-annual reports of the President and the Prosecutor of the Tribunal to the Security Council.	Important	YES	This issue was the primary focus of the most recent JASWG meeting, which took place in the end of September 2011. As a result of the meeting, the measures required for the transfer of archives to the Mechanism were identified, tasks were assigned and deadlines set. As a result of discussions leading up to the JASWG meeting, it has been agreed that the Mechanism's Chief Archivist post will be included in the transition team, and will be recruited as soon as possible in 2012. This very positive development will lead to enhanced coordination and planning for the transfer of the Tribunals' archives to the Mechanism.
29	The Registrar of the Tribunal should, as a matter of urgency, re-locate the archives and records stored in the containers to a suitable temporary archival facility, which should also be sufficient to house any future archives, including those expected from Kigali.	Critical	YES	The 1,000 square meter space within the ICTR's premises has been cleared, and resources have been allocated for its renovation from the 2010-2011 budget. A consultancy was conducted in October to determine the feasibility of the use of this space for the temporary archival facility, and it has been determined that renovations can be completed using existing resources. The procurement process is underway for the renovation work, which is expected to be completed in the first quarter of 2012, at which time all records currently stored in containers will be transferred to the temporary facility. Implementation of the project to re-structure and re-furbish the space for the temporary location of the archives is underway. Requisitions for equipment have been raised and approved. Approval has been sought and granted from

¹ Critical recommendations address significant and/or pervasive deficiency or weakness in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of control and/or business objectives under review.

² Important recommendations address important deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

³ Please indicate feasibility and realistic timelines for implementation of the recommendation.

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				Headquarters Contract Committee (HCC), actual restructuring would be initiated before end of year.
42	The United Nations Department of Management/Office of Central Support Services/Archives and Records Management Section should review and approve the retention schedules submitted by the International Criminal Tribunal for Rwanda.	Important	YES	As a result of the September 2011 JASWG meeting, it was agreed that the ICTR would undertake the task of identifying discrepancies between the draft schedules submitted by the two Tribunals with a goal of harmonizing significant differences. This comparison will facilitate the review by ARMS. As of the end of -November, the ICTR's review of the OTP-led functions has been nearly completed. According to the deadlines set at the September 2011 JASWG meeting, the drafts of all functions of the Tribunals will have been reviewed by ARMS by the end of 2011.

ANNEX II

OPPORTUNITIES FOR IMPROVEMENT

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Para. no.	Opportunity for improvement	Client comments
17	ICTR could benefit from ensuring that adequate risk assessment is carried out for the records management and archives project to be able to meet the deadline for transition of the support functions to the Mechanism by 1 July 2012.	Agreed. A key outcome of the September 2011 JASWG meeting was the identification of the major risks associated with the transfer of the archives to the Mechanism, and the establishment of deadlines for the completion of tasks which must be completed prior to the transfer. The active involvement of the offices of the Registrars of both Tribunals is expected to provide the required oversight to ensure the timely completion of these tasks and facilitate the transfer process.
21	ICTR could benefit from ensuring that a project management methodology is applied to the records management and archives project.	Agreed. Many of the ICTR Archives and Records Management staff have completed a PRINCE2 training. Ensuring a greater compliance to this methodology would enhance the implementation and management of the archiving project. Further training may also be required for the project staff. Resources for a dedicated Project Manager for the project are included in the budget submissions for 2012/2013. This was a handicap as current staff are already multitasking and could not dedicate their professional expertise to monitoring the project as it would have demanded.
34	ICTR could benefit from establishing a roster of qualified staff in order to be able to initiate and expedite the recruitment process to meet the staffing requirements	Agreed. A roster has been established for the FS-4 Archives Assistant post, and the Vacancy Announcements to establish rosters for other posts has been advertised in Inspira,

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	needed to complete the project.	
45	ICTR could benefit from developing and issuing new terms of reference for the Archives and Records Management Working Group, covering work in progress and what remains to be achieved.	Agreed. The Registrar will amend the Terms of Reference for the ARMWG in light of the outcomes of the last JASWEG meeting (September 2011) and will also expand its composition by including namely sections from DASS.
48	ICTR could benefit from collaborating with UNHQ Archives and Records Management Services, UNHQ Office of Legal Affairs and International Criminal Tribunal for ex-Yugoslavia to formalize the Joint Archives Strategy Working Group with clear terms of reference, in order to establish responsibilities and accountabilities on the tasks lists agreed upon by the group and to ensure timely delivery of the Tribunal's records to the International Residual Mechanism for Criminal Tribunals.	It may be too late for this. The opinion expressed during the September 2011 JASWG meeting is that both ARMS and OLA intend to take a less active role in the strategic planning for the management of the archives of the Tribunal at the end of 2011, with responsibilities being passed on to the Mechanism's transition team and ultimately the Mechanism Archives and Records Section. Informal discussions with OLA and ARMS are expected to continue.