

UNITED NATIONS
SECRETARIAT



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ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Under-Secretary-General for Conference Services and Special Assignments

Subject: REGULATIONS FOR THE CONTROL AND LIMITATION OF
DOCUMENTATION

Addendum

INITIATION, APPROVAL AND EXECUTION OF THE UNITED NATIONS BIENNIAL
PUBLICATIONS PROGRAMME

I. DEFINITIONS

1. The term "United Nations publications programme" is understood to include all printed material - whether intended for internal or external printing - to be published under the formal authorization of the Publications Board.
2. The publications programme comprises four main categories of publications:
 - (a) Official records;
 - (b) Proceedings of special meetings and conferences;
 - (c) Recurrent publications;
 - (d) Studies and reports.

II. AUTHORITY

3. The Publications Board exercises general authority over the establishment and execution of the publications programmes in accordance with its terms of reference (ST/SGB/Organization, annex I, pp. 10 and 11). It is directly responsible to the Secretary-General.

4. The Board's functions do not limit the control exercised by the appropriate offices in respect of public information material not specifically listed in the publications programme.

5. Responsibility with regard to the substance of publications and the submission of manuscripts for printing in accordance with approved schedules rests with the various departments, offices or other organizational entities (hereinafter called "departments or offices") in their respective areas of competence. The Board exercises general supervision over the final manuscripts to ensure adherence to the procedures set out in the administrative instruction entitled "Regulations for the control and limitation of documentation" (ST/AI/189 and addenda).

III. WORKING COMMITTEE

6. The Publications Board has designated a Working Committee composed as follows:

Chief Editor, Chairman

Chief, Editorial Services

Director, Publishing Division

Chief, Printing Section

Chief, Sales Section

A representative of the Budget Division

A representative of the Office of Legal Affairs

A representative of the department or office whose proposals are under examination, a representative of the editorial unit concerned and the Budget Officer who deals with the relevant section of the Budget.

The Secretary of the Publications Board is ex officio Secretary of the Working Committee.

7. The Working Committee examines the legislative authority and technical and financial aspects of the publications programme and reports its findings to the Publications Board. The Working Committee also reports periodically to the Board on the status of submission of material.

IV. PURPOSE OF ADVANCE PLANNING

8. The purpose of the procedures set forth in sections V-VIII is to ensure that the publications programme shall be established in terms of a time-table and in terms of budgetary appropriations. Presentation of the programme in this manner should make it possible to:

(a) Establish realistic budget estimates;

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- (b) Foresee translation requirements;
- (c) Make the best allocation of funds among publications and ensure publication at the proper time;
- (d) Regulate the use of internal reproduction capacity;
- (e) Make the best use of low-bid contracts;
- (f) Determine the sales potential of individual items, facilitate general knowledge of United Nations publications and plan advance sales publicity;
- (g) Control the execution of the programme.

V. PROCEDURE FOR INITIATION OF THE BIENNIAL PROGRAMME

9. The procedure outlined in the paragraphs below is more precise for Headquarters than for other United Nations offices, but the principles involved and the methods used in the initiation, establishment and execution of the publications programme are basically the same in all United Nations offices, allowance being made for variations in administrative practice to suit local conditions.
10. By 30 September of the first year of each biennial budget period, each department or office proposing items for inclusion in the publications programme of the next biennium submits form D-3, giving the details required for estimating. The procedure for proposals for the official records of the principal organs is set forth in paragraph 13.
11. The D-3 forms are forwarded to the Publishing Division, or the corresponding authority in the case of duty stations other than Headquarters (hereinafter called the "corresponding authority"), which projects the distribution requirements and estimates printing costs on the basis of the most appropriate method of production.
12. Not later than 30 October, and upon completion of these calculations, the D-3 forms are sent back to the originating department or offices, accompanied by guidelines set by the Working Committee for adjusting the publications programme to the expected budgetary and technical resources. Not later than 30 November, and taking into account both the estimated costs provided on the D-3 forms and the guidelines provided by the Working Committee, the departments or offices submit their publications proposals to the Working Committee by budget section and programme on the forms provided by the Working Committee. The presentations contain information on titles or series, languages of issue, length of manuscripts, size of publications, press runs, anticipated dates for submission of manuscripts and methods of printing. The presentations also contain summary statements at the programme level of the appropriations approved for the current biennium, the expenditures incurred in the previous biennium and the resources estimated for the following biennium for external and internal printing.
13. In respect of the official records of the principal organs Documents Control of the Department of Conference Services, in consultation with the departments

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or offices responsible for the substantive preparation of the manuscripts, completes form D-12 and forwards it to the Publishing Division by 30 September. The costed form is submitted as a single paper to the Working Committee of the Publications Board not later than 30 November.

VI. REVIEW AND APPROVAL OF PRINTING ESTIMATES AND RELATED PUBLICATIONS PROPOSALS

14. The Working Committee reviews the publications proposals by budget section and programme on the basis of the presentations made by departments or offices. Upon completion of its review of this material, the Working Committee presents to the Publications Board a consolidated publications programme and printing estimates for the following biennium, with recommended dates for the submission and production of individual items.

15. The consolidated publications programme is reviewed by the Publications Board. Following completion of that review, and not later than 31 January of the second year of each biennial budget period, the programme, as amended by the Board, is transmitted to the Budget Division for incorporation into the Secretary-General's proposed programme budget. The Publications Board's programme is also transmitted by the Secretary of the Board to the departments or offices concerned for their information.

VII. ESTABLISHMENT OF THE BIENNIAL PROGRAMME

16. When the budget estimates have been approved by the General Assembly, the departments or offices adjust their programmes to the approved resources for the biennium and submit their revised publications proposals in accordance with the format set out by the Working Committee. The Working Committee reviews these presentations and presents a revised consolidated publications programme to the Publications Board for approval.

17. Once the publications programme has been approved, no changes may be made without the authorization of the Board. If a department or office wishes to revise its programme during the biennium, it submits details on form D-3 and its presentation is examined by the Working Committee or the Publications Board, according to the urgency of the request for publication.

VIII. EXECUTION OF THE BIENNIAL PROGRAMME

18. Each department or office is responsible for submitting the manuscript of the publications it originates in accordance with the approved dates and specifications set forth in the publications programme. Precise scheduling is of primary importance for the proper organization of editing, translation, reproduction and distribution and for the placing of printing orders under the most favourable conditions. Therefore, the dates agreed upon for the submission

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of manuscripts by issuing departments or offices should be strictly adhered to, so that printing funds can be obligated and internal capacity provided during the financial period for which they are requested.

19. Each department or office reviews, as necessary, its biennial publications programme, particularly in conjunction with the preparation of the budget for the following biennium. In addition to such reviews, it submits in May of the second year of each biennial budget period a progress report on the execution of the biennial publications programme; the Working Committee examines these reports and recommends to the Publications Board any adjustments that may be deemed appropriate.

20. Upon submission of a manuscript for external or internal printing, the Publishing Division, or the corresponding authority, re-examines the distribution and cost figures as well as the methods of printing on the basis of the latest information available and makes any necessary adjustments. The Publications Board and the department or office concerned are informed of any deviation from the specifications which will call for a compensatory revision of the programme. Arrangements for processing manuscripts so as to ensure publication by the scheduled dates are made by the Department of Conference Services or by the corresponding authority.

IX. CONTROL OF PRINTING OBLIGATIONS AND EXPENDITURES

21. The issue of allotments and the control of printing expenditures are under the authority of the Office of Financial Services. For budgetary purposes, any manuscript which has been received by the Publishing Division or the corresponding authority in time to award the work and issue a purchase order before the end of the year is considered to be within the cut-off date; the related printing costs may therefore be obligated in full against the allotments available for that particular year.

22. The status of external printing obligations and expenditures is communicated on a monthly basis to the Board and to the departments or offices by the Publishing Division or the corresponding authority.